

eC-AuditTool Upgrades: A Visual Guide

1. New Initial Start Page for New Audit

eCompliance Audit Tool - [Untitled.eca]

File Report Tools Help

Select Audit Content

Include Certificate of Recognition (COR)?

Include Joint H&S Committee (optional in Alberta)?

Include Injury Management / Return to Work?

Certificate of Recognition (COR) Scoring Summary

- A. Management Involvement and Commitment
- B. Hazard Identification and Assessment
- C. Hazard Control
- D. Training
- E. Emergency Response
- F. Incident Reporting and Investigation
- G. Communications
- H. Joint Health & Safety Committees

Injury Management / RTW Scoring Summary

- I. Injury Management / RTW

Other tasks

ⓘ

As you select which elements will be included in the audit, they appear in this box below.

You start the new audit by clicking “Start Audit” button after you have selected the Elements to be included.

For an administrative audit (where only a portion of the audit is conducted), you click here. Administrative audits are only conducted in a handful of scenarios and this type of audit always requires advance approval from Enform.

2. A new look for the home page of your audit that is organized on the basis of the steps of an audit.

The screenshot shows the eCompliance Audit Tool interface. On the left is a navigation menu with the following items:

- Select Audit Content
- Process Flow
- Title Page
- Executive Summary
- Company Profile
- Pre Audit
 - Company Details
 - Audit Details
 - Justification Information
 - Recommended Interview Plan
- On Site Activity
 - Review Documentation (0)
 - Conduct Interviews (0)
 - Record Observations (0)
- Audit Results
 - A. Management Involvement and Commitment
 - B. Hazard Identification and Assessment
 - C. Hazard Control
 - D. Training
 - E. Emergency Response
 - F. Incident Reporting and Investigation
 - G. Communications
 - H. Joint Health & Safety Committees
- Audit Summary-
 - Documentation Summary
 - Organizational Chart
 - Pre-Audit Confirmation Letter

The main dashboard features a header with the date "Thursday, September 26, 2013" and a large "45" indicating "Days to complete on-site activity". Below the header are four main audit steps: 1 Pre Audit, 2 Onsite Activity, 3 Reporting, and 4 Submit. Each step has associated tasks:

- 1 Pre Audit:** Company Details, Audit Details, Justification Information, Interview Plan
- 2 Onsite Activity:** Review Documents, Conduct Interviews, Record Observations
- 3 Reporting:** Record Findings, Supporting Documentation, Generate Report
- 4 Submit:** Send to Customer

Two text boxes with red arrows provide additional information:

- One box points to the "Pre-Audit Confirmation Letter" in the navigation menu and the "Company Details" button in the dashboard, stating: "You can click these to get started on that particular audit step."
- Another box points to the "Pre-Audit Confirmation Letter" in the navigation menu, stating: "Letter of Transmittal" is gone—and the "Follow-Up Letter" is now more clearly described as the "Pre-Audit Confirmation Letter"

3. Some minor changes to the “Audit Details” page to clear up any confusion.

The screenshot shows the 'eCompliance Audit Tool - [Untitled.eca*]' interface. On the left is a navigation menu with 'ENFORM Certificate of Recognition (COR)' and various audit content options. The main area is titled 'Auditor Details' and 'Details'. The 'Details' section has a 'Required Fields' group with dropdown menus for 'Audit Protocol' (ENFORM*), 'Audit Purpose' (Not Specified), 'Audit Scope' (Not Specified), 'Operations Audited' (Not Specified), and 'Organizations Audited' (Not Specified). To the right are date pickers for 'First Day on Site' (checked, Thursday, September 26, 20*) and 'Last Day on Site'. Below these is a 'Qualification / Student Audit' checkbox. A 'Validate this Section' button is at the bottom right. A red box highlights the 'First Day on Site' and 'Last Day on Site' fields, with an annotation: 'New descriptions for audit start and audit complete.' Another red box highlights the 'Audit Purpose' and 'Audit Scope' dropdowns, with an annotation: 'These now appear under “Audit Details” in your final audit report.'

This close-up view of the 'Required Fields' section shows the 'Audit Purpose' dropdown menu expanded. The options are: 'Not Specified', 'Certification (COR)', 'Maintenance', 'Renewal', 'Limited Scope', 'Administrative', and 'Baseline'. The 'Qualification / Student Audit' checkbox is highlighted with a red box. A red arrow points from an annotation: 'Student Audit is now designated here rather than under “Audit Purpose” (e.g., sometimes an audit is both a “student audit” and a “maintenance audit”)'. The 'First Day on Site' and 'Last Day on Site' date pickers are also visible. At the bottom, a 'Validate this Section' button and error messages are present.

4. New mandatory fields under Justification Information and assistance meeting the standard on the number of required site visits.

Site / Location Summary

Site / Location Add New Site Total Sites / Locations 0

	Site	Type	Province/State	Description of Operations	Last Audited	Visited	Senior Manager	Middle Manager	Supervisor	Worker	Contractor	Visitor	Multi-Pole
Delete	Main Office	Head office	Alberta	Administrative Only	2012	<input checked="" type="checkbox"/>	5	8	2	60	2	1	0
Delete	Service Shop	Fixed	Alberta	Maintenance and...	2011	<input checked="" type="checkbox"/>	1	2	6	20	2	0	0
Total							0	0	0	0	0	0	0

Total Employees(Excluding Contractors) **104** Total Interviewed(Excluding Contractors) **0**
 Minimum Required Interviews **23**

Total Sites Sites Visited
 Minimum Required Sites to Visit

Audit Plan Approved By on

Justification Questions

Does the company run multiple shifts? Yes

New mandatory fields that will ultimately help ensure representative sites are visited and ensure all sites are visited over a 3 year cycle.

An site visit planning tool equivalent to the one provided for interviews that calculates the number of required sites given the number of total sites (based on the Alberta Partnerships site sampling standard)

Whenever there are over 30 sites or any question about the required number of sites or other audit complexities, an audit plan is required. This ensures the auditor receives the information they need on sampling requirements for these non-standard scenarios in advance.

Where standard sampling applies and an audit plan has not been pre-approved by Enform, this may be left blank.

5. More writing space for those occasions when auditor notes get longer.

ENFORM Certificate of Recognition (COR)

A. Management Involvement and Commitment

A.1 Company Safety Policy

Question A.1a

Does the company have a written health and safety policy that contains the following:

- the signature of the current most senior manager for the business units being audited,
- the date the policy was signed,
- the requirement to comply with government legislation,
- a reference to management responsibilities,
- a reference to supervisor responsibilities,
- a reference to worker responsibilities, and
- reference to the company's goals, aims, responsibilities for and/or commitment to health and safety?

Guidelines

Review the Company's written health and safety policy for the specified criteria (signature, date, compliance to legislation, etc.). Enter the percentage of the seven criteria that appear in the policy. For example, if all criteria except signature are met (i.e., 6 of 7 criteria appear), enter 86% (6/7), and the final score would be 12/14.

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View Comment(s)
Append Notes

Findings / Notes*

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Question A.1b

Are employees made aware of the health and safety policy through some form of distribution of the policy?

Guidelines

For interview validation, interview management to verify some form of distribution of the health and safety policy (e.g., orientation materials, public posting, electronic distribution, etc.). The score is based on the percentage of managers that can describe a method of policy distribution to all employees.

For observation validation, use the interview findings to establish where the policy should appear in the work place (e.g., public posting in reception, lunchroom, field office, vehicle health and safety manuals, orientation package, company website, etc.). Confirm the policy appears or is made available in these locations. Enter the percentage of observable locations where the policy appears as expected.

Mark for follow-up

eCompliance Audit Tool - [Untitled.eca*]

File Report Tools Help

ENFORM Certificate of Recognition (COR)

Conduct Interviews (0)
Record Observations (0)

Audit Results

- A. Management Involvement and Commitment
 - A.1 Company Safety Policy
 - Question A.1a
 - Question A.1b**
 - Topic Summary-
 - A.2 Safety Responsibilities
 - Question A.2a
 - Question A.2b
 - Question A.2c
 - Question A.2d
 - Question A.2e
 - Question A.2f
 - Question A.2g
 - Question A.2h
 - Topic Summary-
 - A.3 Management Communications
 - Question A.3a
 - Question A.3b
 - Question A.3c
 - Question A.3d
 - Topic Summary-
 - Element Summary-
- B. Hazard Identification and Assessment
- C. Hazard Control
- D. Training
- E. Emergency Response
- F. Incident Reporting and Investigation
- G. Communications
- H. Joint Health & Safety Committees

Question A.1b

Are employees made aware of the health and safety policy through some form of distribution of the policy?

Guidelines

For interview validation, interview management to verify some form of distribution of the health and safety policy (e.g., orientation materials, public posting, electronic distribution, etc.). The score is based on the percentage of managers that can describe a method of policy distribution to all employees.

For observation validation, use the interview findings to establish where the policy should appear in the work place (e.g., public posting in reception, lunchroom, field office, vehicle health and safety manuals, orientation package, company website, etc.). Confirm the policy appears or is made available in these locations. Enter the percentage of observable locations where the policy appears as expected.

Mark for follow-up

D -
I 0% 0 / 12
O 0% 0 / 15

View Comment(s)
Append Notes

Findings / Notes*

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Question is complete and valid.

Validate this Question

* Required Fields

6. You can automatically paste your auditor notes into the audit report Findings/Notes text box.

The screenshot displays the eCompliance Audit Tool interface. On the left is a navigation tree for 'ENFORM Certificate of Recognition (COR)'. The main area shows a list of audit questions (A.1a through B.1c.3) with their respective compliance percentages. A dialog box titled 'Edit Documentation Review Details' is open, showing details for question A.1a. The dialog includes a 'Question' field, a 'Collective comments from ALL sites' text area, and a '% Compliant' field showing 86%. A red arrow points from the 'Append Notes' button in the dialog to the 'Findings / Notes' text box in the main audit report view. A callout box with a red arrow pointing to the 'Append Notes' button contains the text: 'Click "Append Notes" to automatically copy your auditor notes into the audit report.'

ENFORM Certificate of Recognition (COR)

Start New Documentation Review Edit Site/Location: Main Office -- Red Deer

Question Result % Collective Comments Main Office -- Red

Edit Documentation Review Details

Documentation Review Details

Site / Location*: Main Office -- Red Deer Delete Done

Question	Collective comments from ALL sites	% Compliant
A.1a	Does the company have a written health and safety policy that contains the following: <ul style="list-style-type: none"> the signature of the current most senior manager for the business units being audited, the date the policy was signed, the requirement to comply with: 	86
A.2a	Are there written health and safety roles and responsibilities for all levels within the company (e.g., senior management, management, middle management, supervisor, and worker)?	N/A
A.2c	Are specific health and safety responsibilities written for contractors and visitors?	N/A
A.2d	Is there a system or process in place for holding employees at all levels of the company accountable for their health and safety responsibilities?	N/A
B.1a		
B.1b		
B.1c.1		
B.1c.2		
B.1c.3	Have both health and safety hazards for each task been prioritized according to risk in order to determine the order of importance to implement controls?	N/A

ENFORM Certificate of Recognition (COR)

Question A.1a Guidelines Mark for

Does the company have a written health and safety policy that contains the following:

- the signature of the current most senior manager for the business units being audited,
- the date the policy was signed,
- the requirement to comply with government legislation,
- a reference to management responsibilities,
- a reference to supervisor responsibilities,
- a reference to worker responsibilities, and
- a reference to the company's goals, aims, responsibilities for and/or commitment to health and safety?

Review the company's written health and safety policy for the specified criteria (signature, date, compliance to legislation, etc.). Enter the percentage of the seven criteria that appear in the policy. For example, if all criteria except signature are met (i.e., 6 of 7 criteria appear), enter 86% (6/7), and the final score would be 12/14.

D 86% 12 / 14
I -
O -

View Comment(s)
Append Notes

Findings / Notes*

B Documentation Comments:
Z The policy contained the all of the required elements with the exception that the signature was out of date and was not that of the current, most senior manager (6/7 elements).
U

Question is complete and valid. Validate this Question

* Required Fields