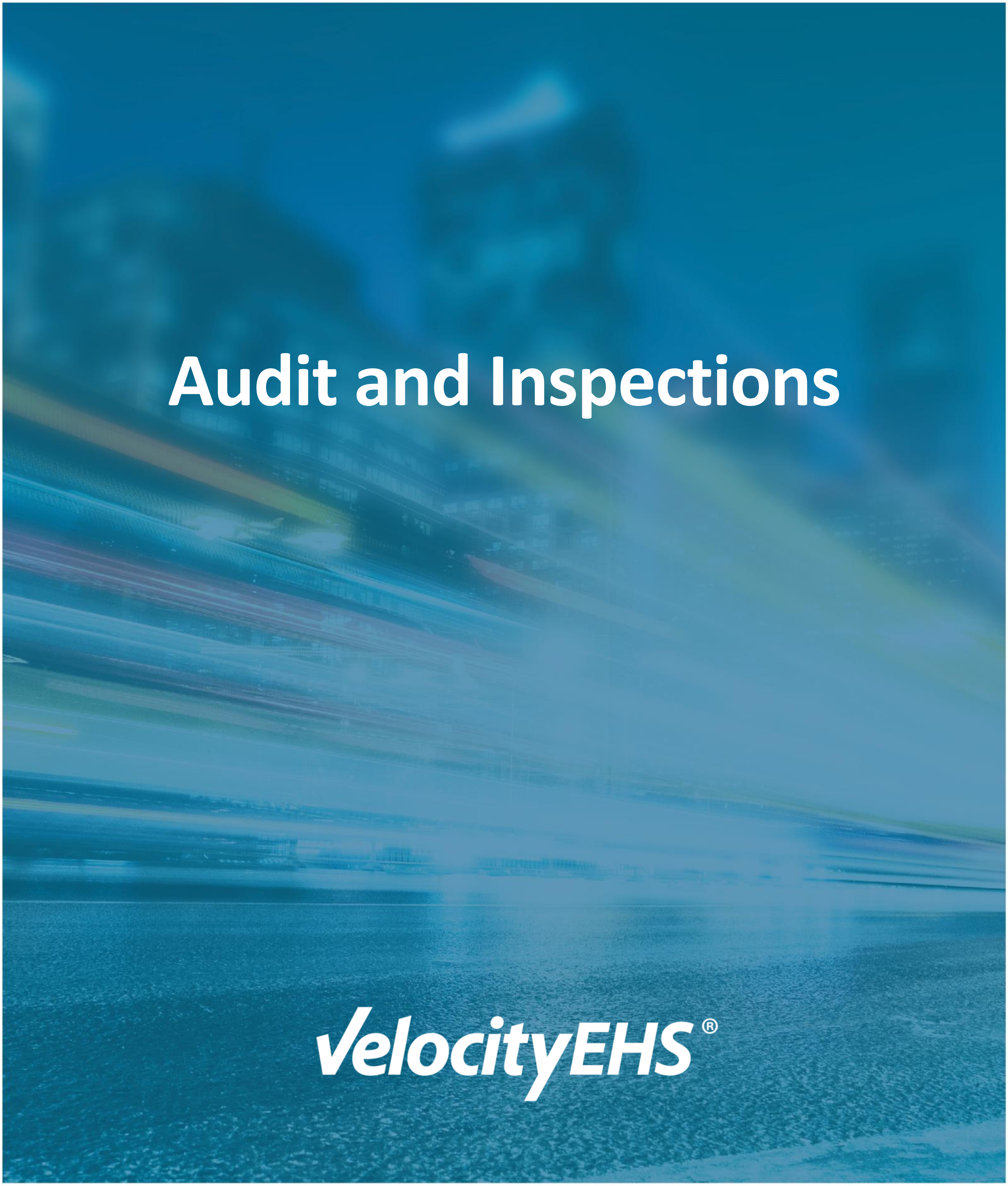
Audit and Inspections



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Creating a Template (Checklist)

- Before a user can conduct, or even schedule an inspection, audit or observation, a checklist needs to be created for the location of the inspection, audit, or observation.
- To create a new checklist, select the 'Add New' option from the navigation bar. Under the Audit module, click 'template'.
  - Give your template a name.
  - Templates (checklists) are location based. The checklist will only be available for users to assign to an inspection, audit, or observation at the level in the tree where it was created. Ensure that you set your template at the appropriate level.
  - Select the category that this template will belong to audit, inspection or observation.
  - Determine your template properties.
  - Set up the question types and the validation requirements for each of your question types. You can select three different question types to be made available in your checklist:
    i. Positive/Negative – These can be formatted to also include a n/a answer. The 'yes/no' can be changed to include any language that you want. This will display as help text in the checklist.
    ii. Scored answers – set the score and definition. For multiple score types, use your ⊕ button to open additional fields.
    iii. Text responses – this will create a text box for the users who are completing the checklist to enter text responses.
  - Start building your checklist by selecting 'Checklist' from the index on the left side of your screen and then 'Build Checklist' from the top right of your screen.

- The title of your checklist will appear as a top folder. To begin adding categories and questions, right click on the title folder and choose "category" or "question".
- Enter your category name or your question. Select the answer type that you would like applied to that question.
- If there is a checklist with questions that you would like to copy that has already been created at another location in your tree, move the option over to 'copy'. Select the location of the other checklist. Click and drag the questions from the checklist that have already been published over into the checklist that you are creating.
- When the checklist is complete, 'Publish' the checklist to make it available to users. Click on 'Publish' in the top right-hand corner of your screen.

Try this:

- [ ] Check the monitor menu to see if the checklist you need already exists for your location.
- [ ] Create multiple score options for your checklist.
- [ ] Create a category with a question within it.
- [ ] Copy questions from an existing checklist to the one that you are creating.

Knowledge Check:

1. If a checklist is created at the divisional level of the tree, will it be available to user to select when they are scheduling their inspections at the global level? Why or why not. ____

   ____
2. True or False: Checklist properties validation requirements change by checklist category.
3. What are the answer types that can be used when creating a checklist?
   i. ______________________________

ii. ____

iii. ____

4. True or False: You can only display a rollup results by percentage?
5. What is the process of copying questions from a checklist that has already been published? ____

____

Inspection Workflow

Evaluation of an area or piece of equipment or using a pre-determined checklist

Draft	Scheduled	In Progress	Review	Closed
	Inspector	Inspector and inspection team	Responsible for Review	

Inspection – Draft and Scheduled

- To schedule a new Inspection, click 'Add New' from the navigation bar, click "Inspection" and fill out the draft form using an inspection scenario you create. Here are some pointers for you to consider:
    - Add as many details as possible. This will make the inspection more thorough.
    - We can set the inspection as a reoccurring event by establishing the recurrence pattern when selecting the date.
    - Under the 'Inspection Team' field, add all the members of the team who will be working on the inspection.
    - Be sure to include any attachments which may be important for the inspection by clicking on the attachments tab on the left of your screen.
    - To begin the inspection right away, click on the hamburger menu at the top right of your screen and select 'Begin Inspection'.

- To schedule the inspection, click on 'schedule' at the top right of your draft.

Inspection—In Progress

- Access the inspection from your dashboard in the "My to Do's" webpart, the monitor menu, or from the notification's email link. Once you have accessed your inspection, click on 'checklist' on the left-hand side. Consider these points when completing the inspection:
  - Complete the checklist by answering the questions.
  - If you need to enter additional information to a specific question, click on the ▼ in order to expand the question.
  - Add in any finding, corrective action(s) associated to the question, comments, or attachments.
  - Once the question is collapsed again, any question that contains embedded information will be visible with these icons: (corrective action(s)) and (finding(s)).
  - On the 'general results' tab on the left side of your screen, you will be able to add any findings or corrective actions which may not specifically be related to a question in your checklist, however that are still overall important to the inspection as a whole.
  - On the 'general results' tab, you will see a consolidated list of corrective actions which have been added during the inspection.
  - Ensure that you always save along the way. The 'save' option can be found in the hamburger menu at the top right of your screen.
  - In the hamburger menu, you can print details, print summary, or print a blank form of your inspection.

Inspection—Review and Closed

- Access the inspection record from your dashboard in the "My to Do's" webpart, the monitor menu, or from the notification email link. Consider these points when completing the review:
  - Ensure that all the information is correct.
  - Verify the corrective actions are appropriate.
  - Add any additional information that has not been completed.
  - Ensure that action items are completed.

Try this:

- [ ] Schedule a new inspection with a reoccurrence pattern.
- [ ] Enter findings and corrective actions to a specific question in the checklist.
- [ ] Access the 'print details' option.
- [ ] Once in the review stage, revert the inspection back to 'in progress.

Knowledge Check:

1. True or False: Checklists are location based.
2. What is the difference between the print summary and print details?

   ____

   ____

3. What is a blank form used for? ____

   ____

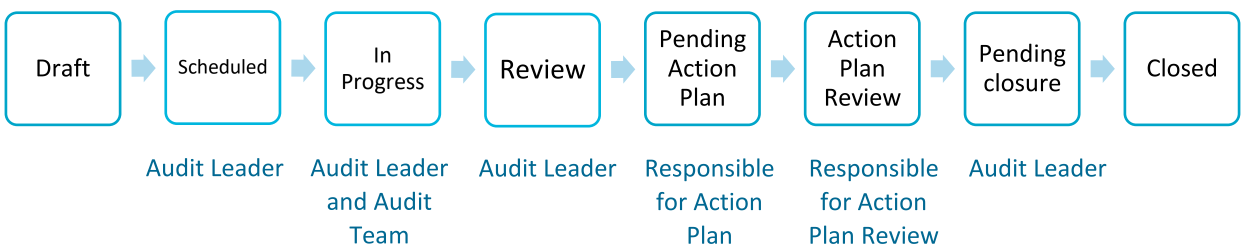
4. How can I identify that an action or finding has been created within one of my checklist questions? ____

   ____

5. True or False: You can set an inspection up as a reoccurring event.

Audit Workflow

An assessment of one, or several aspects of a Management System against a standard to compare site self-assessment to second- or third-party auditor assessments. Audits are intended to measure and promote self-assessment maturity.



Audit—Draft and Scheduled

- Click 'Add New' from the navigation bar, select "Audit" and fill out the draft using an audit scenario you create. Here are some pointers for you to consider:
    - Add as many details as possible to the audit draft.
    - Set up the reoccurrence pattern for the audit if necessary.
    - Select the location and the audit template for that location.
    - Assign any the audit team members who require visibility or inclusion on the audit.
    - Once the audit is scheduled, it will move into the queue until the start date. Otherwise, if you choose to begin the audit immediately, you can do so by selecting 'Begin Audit' from the hamburger menu

Audit—In Progress

- Access the audit from your dashboard in the "My to Do" webpart, the monitor menu, or from the notification email link. Once you have accessed your audit, click on 'checklist' on the left-hand side.
- Consider these points when completing the audit:
  - Complete the checklist by answering each question.
  - If you need to enter additional information to a specific question, click on the ▼ in order to expand the question.
  - Add in any findings, risks associated to those findings, recommendations, comments, or attachments.
  - Once the question is collapsed again, any question that contains additional information will be visible with these icons: (findings) and (recommendations).
  - In your 'General Results' tab on the left of your screen, you will be able to add any findings or corrective actions which may not specifically be related to a question in your checklist, however are still overall important to the audit as a whole.
  - Ensure that you always save along the way. The 'save' option can be found in the hamburger menu at the top right of your screen.
  - In your hamburger menu, you will be able to print details, print summary or print a blank form of your audit.

Audit—Review

- The Audit Leader will access the audit record from your dashboard in the "My to Do's" webpart, the monitor menu, or from the notification email link.
- Consider these points when completing the review stage:
  - Verify that the audit has been completed in full and is up to standards.

- Prepare the audit findings to be passed off to the facility.

Audit—Pending Action Plan and Action Plan Review

- Frequently, the audit team will consider the audit closed at this point as they have delivered the audit report to the facility. The audited facility leadership takes responsibility for the audit record in the application for the purpose of addressing the findings.
  - It is the responsibility of the facility lead to define the action plan that they will take in response to the audit findings.
  - At this stage, any question(s) in the audit which had a finding attached to it can now be assigned a corrective action.
  - It is the responsibility of the 'action plan review' individual to review the action items that were created. They can make any necessary adjustments to the plan, or establish additional actions, if necessary.

Audit—Pending Closure and Closed

- The Audit Leader will access the audit from your dashboard in the "My to Do's" webpart, the monitor menu, or from the notification email link.
- Ensure and verify that all the information is correct and that all corrective actions are accurate and appropriate.

Try this:

- [ ] Export your audit to your outlook calendar.
- [ ] Add a general corrective action.
- [ ] Create a recommendation and comment within a question

Knowledge Check:

1. At what stage in the workflow are you able to add corrective actions to a specific question? ____

   ____

2. True or False: Audit recommendations require a response.
3. True or False: The audit leader/team can add corrective actions to their findings.
4. What is the purpose of the pending closure stage? ______________________________

   ____
5. How can I print a summary of the audit? ____

   ____

Observations Workflow

A manager to employee engagement process to promote safe behaviors.

Draft → **In Progress** → **Closed**

Observer

Observation—Draft, In Progress and Closed

- To document an Observation in the application, click 'Add New' from the navigation bar, click "Observation" from the audit module and fill out the report using an observation scenario you create.
- Here are some pointers for you to consider:
  - Add as many details as possible.
  - Select the location of the observation and the checklist that you would like to use.
  - The name of the supervisor should be the supervisor of the area where the activity or behavior was observed.
  - Be sure to enter the amount of people who were observed in the behavior.

Try this:

- ☐ Add an activity to the Observation.
- ☐ Add a finding to a checklist question.

Knowledge Check:

1. What is the general results tab used for? ______________________________________

   ____
2. True or False: I can filter and find only unanswered questions on my checklist.
3. True or False: You can set a risk level to an Observation question.
4. True or False: I can schedule an Observation
5. True or False: You can identify the name of the employee who was observed.

Walkthrough Workflow

A visual inspection of a building with an eye toward identifying and correcting unsafe or potentially unsafe conditions

Draft → **In Progress** → **Review** → **Closed**

In Progress: Inspector and inspection team

Review: Responsible for Review

Walkthrough—Draft, In Progress, Review and Closed

- To document a Walkthrough in the application, click 'Add New' from the navigation bar, click "Walkthrough" from the audit module and fill out the report using a walkthrough scenario you create.
- Here are some pointers for you to consider:
  - Add as many details as possible.
  - Select the location of the walkthrough and the form.

Try this:

- [ ] Select a Walkthrough Form
- [ ] Add an action to a finding.

Knowledge Check:

1. True or False: I can answer checklist questions when documenting walkthrough findings.
2. True or False: I cannot add any General Results when entering a Walkthrough.
3. True or False: I can attach photos to findings.

Tips and Tricks

- No single user "owns" an audit – there are people with responsibilities throughout the process of managing that record.
- Certain users other than the person currently responsible for an audit can make edits to it – this is determined by the functional role of a user.
- Include attachments when appropriate
- 'Saving' the record or a corrective action does not push the record forward in the workflow.
- You can print a record by selecting the hamburger menu at the top right of your screen.
- Depending on your role, a record can be deleted. All deleted records can be found in the admin tab of the navigation bar; they can be accessed by system or global admins.
- Score definitions cannot be edited once the template has been used once, so make sure you get it right!