Preparing the Audit Report for Submission

The final audit submission MUST include the following components:

a) Executive Summary

b) Audit Tool / Report

c) Scorecard

∗ Organization Chart (if requested by QA)

∗ Pre & Post Meeting Minutes for student audits only

A.   Executive Summary

An executive summary is meant to summarize the entire audit in approximately one page. This summary is typically one of the last pieces of the audit report to be completed. The following is a guide to what should be included in the executive summary as listed in the Policies and Procedures Manual | go2HR | COR.

Topic	Description
Legal and trade names	The full legal name and, if applicable, trade name of the company being audited must be included in the first paragraph.
Company profile	In a paragraph or less, describe the business of the company. If the auditor uses content from company promotional materials, this should be noted as not being original auditor work.
Account number/s	The applicable WorkSafeBC account numbers to which the audit applies must be included.
Classification Number/s	The applicable WorkSafeBC CUs to which the audit applies must be included.
Audit Outcome	The audit's outcome (success or non-success) needs to be clearly stated in the first two paragraphs. Depending on the complexity of the audit, a table of names, numbers and outcomes may be the most compact way to present this information.
Locations	A description of the locations sampled compared to the overall company locations should be included. If this information is complex (i.e., more than 4–6 locations) an appendix is recommended.
Sites	If the WorkSafeBC locations contain several work sites, describe this as well. Complex audits should move this content to an appendix.
Dates of audit	The date range of the audit (start and end) must be presented.
Last day of on-site activities	The last day of on-site activities must be explicitly and obviously stated.
Interview count compared to minimum	The auditor needs to state the minimum number of interviews required and actual interviews completed.
Major strengths	Include a list of 3–5 major areas of strength. These are typically philosophical areas rather than the names of audit elements. After performing an audit, the auditor should have a clear ability to state what the company is good at.
Major areas for improvement	Include a list or 3–5 overall areas of improvement that the company should work on for the next audit.
Obstacles encountered	Record any obstacles in the audit that could cause problems for future audits.

B. Audit Report Requirements

The audit tool forms your audit report, the final audit report will show the organization and go2HR a detailed account of the entire audit process. The report should be a concise, clear and accurate reflection of the audit. The report must include both positive and negative aspects of the audit using the most recent version of the approved audit tool (COR): Large Employer Audit Tool | go2HR | Tourism & Hospitality Resources. The executive summary and audit report should be checked for correct grammar, punctuation and spelling errors.

Audit Report Contents

All reports should include the following information as a standard:

Report Requirements
Audit findings and comments are appropriate and address the intent of the audit question and guidelines.
Auditor identifies (or lists) the audit evidence (documented or observed) which was reviewed to determine audit findings.
Comments provide clear justification and do not conflict with comments in other sections or questions in the audit report.
Points (all or nothing, range) are awarded correctly and reason(s) for deviations are provided.
The percentage of positive response is provided to justify the score given.
Recommendations and conclusions arising from the audit match the auditor's notes, are clear and concise, and provide adequate information for the client to address audit findings.
Auditor's recommendations address deficiencies and are consistent with applicable legislation and best practices.
All applicable audit questions are addressed or marked "N/A", where necessary.
Reason(s) for marking questions "N/A" is provided.
Overall, the audit report supports continuous improvement.

C. Scorecard Requirements

Audit Scorecard Requirements
Reflect Overall Performance: Provide a balanced and accurate summary of the audit results, including strengths and areas for improvement.
Be Complete and Consistent: All required sections must be filled out. Ensure scores align with the findings and comments in the audit report.
Use Clear and Justified Scoring: Each score must be supported by objective evidence found during the audit. Comments must justify the scores given in the report.
Indicate N/A Where Applicable: If a question is not applicable, it must be clearly marked as "N/A" with a brief reason noted in the report.
Be Aligned with Report Findings: The scorecard must not contradict the final audit report. They should be reviewed together for accuracy and consistency.
Follow Standardized Format: Use the prescribed format or template to ensure uniformity across all audit submissions.
Be Submitted with the Final Report: The scorecard is a required part of the final audit package and must be submitted along with the report.

Submission to go2HR for Quality Assurance (QA) Review

Once the audit package is submitted to go2HR, the audit report goes through a review and quality assurance (QA) process. This is meant to be a co-operative process between the auditor and the QA reviewer, where the goal is to review and approve the audit report. The objective is a concise, clear, understandable report that answers all the audit questions and is statistically valid for the desired CUs. The audit report should pass the five-year test — it should be understandable five years into the future.

Once the review has been completed, the QA reviewer will email the marked-up audit report to the auditor. Depending on the time of year and number of audits received in a month, the QA reviewer will typically return the report to the auditor within two weeks of receiving the completed audit report for review. Depending on the nature and number of comments the reviewer makes, there may also be overall commentary meant to help the auditor. The auditor can incorporate the edits, expand on their findings, or ask for additional information to help understand or clarify the requirement. It is important for both parties to understand that since the QA reviewer was not present at the audit, they have only the report and the auditor's notes to work from. In cases needing further clarification, often the auditor may have obtained all the necessary information but may not have clearly or fully described their findings in the report.

Auditors can address each of the mandatory issues in the following ways:

- Modify the note, score or recommendation as the reviewer suggests.
- Modify the text to support or explain the auditor's initial intent or conclusion.
- Send an email to the QA reviewer asking for clarification or providing context that the QA reviewer might be missing and which should not appear in the audit notes.

Edits should be made directly into the report and returned to the QA reviewer with an updated file extension (i.e. revised, edited). In all cases, a complete response is required from the auditor within 14 calendar days of the request for revisions from the reviewer.

Reviewers may be trained safety professionals, either on staff or contractors, with auditing experience. The QA reviewer will use a QA review checklist, including the criteria listed in the 'Report Requirements' table above, to assist in the review process and to ensure that the report meets the necessary standards.

After the review is concluded, go2HR will authorize the auditor to release the final approved audit report and supporting documents to the company. go2HR requires the auditor to deliver at least the executive summary, audit report and scorecard to the company, including the notes/recommendations/scores for all audit questions. Additional information may be added at the discretion of the auditor and company.

Additional Document Submission

In addition to the documents listed above, the audit submission may require additional documentation.

- **Pre & Post Meeting Minutes**
  Required to be submitted for all student audits. While these meetings should still be held for every audit, the minutes are not required to be submitted to go2HR for regular maintenance or certification/recertification audits.
- **Organizational Chart**
  May be requested by the QA reviewer, you may submit this with your audit package or submit it by request. An organizational chart outlines key roles and reporting relationships between accounts, classification units, departments, and levels of hierarchy. It helps show how responsibilities and oversight are structured by position titles within the organization.

Sample Organizational Chart