

Audit

#11.1 — Last update: Jan 26, 2024

Interfacing Technologies Corporation

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1. User Manual for Audit Application



The objective of this manual is to assist users with the usage of the **Audit** application. As its name suggests, the **Audit** application enables users create, plan, schedule, and conduct audits.

2. Technical Support

For help and technical advice, please contact the Interfacing Technical Support department. In North America, the department is open Monday-Friday from 7:00 AM to 5:00PM, Eastern Time.

Phone: +1 514 737 7333

Email: support@interfacing.com

Live Chat: [interfacing.com](https://www.interfacing.com)

Online technical support and worldwide contact information are available at www.interfacing.com

3. Legal Notices

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4. Release Notes 11.1

In our latest release of the **Audit** application, we have introduced new features, improved existing ones, and fixed bugs.

Product	Version	Date
Audit Application	11.1	2023/06/14

In these notes, you will find:

- 1. [New Features](#)
- 2. [Feature Improvements](#)
- 3. [Fixed Issues](#)

4.1. New Features



With this latest release, we have introduced the following new features:

1. [New Audit Plan – Enhanced Scheduling for Future Audits](#)
2. [Evidence Collection – New Features](#)
3. [Audit Report Distribution](#)
4. [Mass Import – Update Requirements, Tests, & Evidence](#)

4.1.1. New Audit Plan – Enhanced Scheduling for Future Audits

In this latest update, we have introduced a feature to streamline and enhance the audit planning phase within the [Plan & Execute Audits](#) workflow. This feature is designed for users who plan their audits well in advance, often up to a year ahead. It offers enhanced control and visibility, effectively addressing long-term planning needs.

Key Feature Components:

1. New Date Fields

We have added three new date fields to the [New Audit Plan](#) module, which grant users control over execution and scheduling dates.

New Audit Plan

Audit ID
AP-00020

Assign the audit definitions to be executed within this audit ?

AddDiscardSave changes

Audit Definition ID	Audit Definition Name	Estimated Effort	Audit Type	Location	Language
There is no data to display.					

Audit Plan Name

Start of Execution Period ?

End of Execution Period ?

Start of Audit Scheduling ?

Total Estimated Effort (Hours)

Audit Type

+ Requirements

+ Location Override (optional)

Submit formSave Form

- **Start of Execution Period:** This is a date picker that allows users to input/select the date when the audit execution will begin.

- **End of Execution Period:** This is a date picker that allows users to input/select the date when the audit execution will conclude.
- **Start of Audit Scheduling:** This is a date picker that allows users to input/select the starting date for scheduling the audit, ensuring a timely and organized audit execution.



The date entered in the **Start of Audit Scheduling** field can be before or during the execution period. It cannot, however, extend beyond the **End of Execution Period** date.

2. Deferred Audit Scheduling

We have implemented deferred scheduling to better accommodate long-term planning. Previously, the [Schedule Audit](#) task was generated and assigned to the team leader immediately upon audit plan submission. Now, it is triggered and assigned only when the **Start of Audit Scheduling** date is reached. Until that date, the audit plan remains inactive.

John Doe

Pending Tasks (1/1)

Drafts

Completed Tasks

Pending Tasks

Open in new window

Change folder

Search...

	Flag	Prio...	Subject	Created at	Response ...	Done at	Sender
			Schedule Audit [AP-00020 - Laborator...	10/16/2023 21:...			admin

3. Audit Plans – Waiting for Schedule

To support audit plans awaiting scheduling, we have introduced a new module known as [Audit Plans – Waiting for Schedule](#). In this module, users will find a Gantt chart displaying audits whose scheduling is still pending. Additionally, a grid listing these audit plans is provided, allowing users to modify the execution start period, execution end period, and audit scheduling start date as needed.

Audit Plans - Waiting for Schedule

Start Period

End Period

Apply Filter

Task name	Priority	2023											
		October											
		15	16	17	18	19	20	21	22	23	24	25	
<div>📄</div> Laboratory External Audit	0		Laboratory External Audit										
<div>📄</div> Occupational Health & Safety Audit	0			Occupational Health & Safety Audit									

Discard

Save changes

#	Audit Plan Name	Start Period	End Period	Schedule Start Date	Created By
	<div></div>	<div></div> <div></div>	<div></div> <div></div>	<div></div> <div></div>	<div></div>
1	Laboratory External Audit	16/10/2023	23/10/2023	16/10/2023	John.Doe
2	Occupational Health & Safety Audit	17/10/2023	20/10/2023	18/10/2023	Jane.Doe

4.1.2. Evidence Collection – New Features

Within the broader context of the [Plan & Execute Audits](#) workflow, we have introduced new features specifically tailored to enhance the evidence collection phase.

These new features include:

1. [Evidence Overview Task](#)
2. [Batch Submission of Evidence \(By Test\)](#)

4.1.2.1. Evidence Overview Task

To provide lead evidence collectors with improved oversight and facilitate evidence management within the [Plan & Execute Audits](#) workflow, we have introduced the [Evidence Overview](#) task. This task serves as a centralized hub, offering a comprehensive view of the status and progress of all evidence related to a given audit. It enables lead evidence collectors to efficiently track and monitor the collected evidence.

Evidence Overview [AP-00021 - Laboratory External Audit]

Audit Plan ID

AP-00021

Audit Plan Name

Laboratory External Audit

#	Evidence ID	Name	Status	Test ID	Test Name	Requirement ID	Requirement Name	Collector	Round	Times Rejected
1	AP-00021-4-Test-00002-E-00002-RND1	Observatory Evidence	In Progress	2	Document Control Test	4	Laboratory Document Control	Jane Doe	1	0
2	AP-00021-4-Test-00002-E-00002-RND2	Observatory Evidence	In Progress	2	Document Control Test	4	Laboratory Document Control	Jane Doe	2	0
3	AP-00021-4-Test-00002-E-00004-RND1	Documentary Evidence	In Progress	2	Document Control Test	4	Laboratory Document Control	Jane Doe	1	0
4	AP-00021-4-Test-00002-E-00004-RND2	Documentary Evidence	In Progress	2	Document Control Test	4	Laboratory Document Control	Jane Doe	2	0
5	AP-00021-5-Test-00003-E-00002-RND1	Observatory Evidence	In Progress	3	On-Site Verification	5	Laboratory Testing Integrity & Compliance	Jane Doe	1	0
6	AP-00021-5-Test-00003-E-00002-RND2	Observatory Evidence	In Progress	3	On-Site Verification	5	Laboratory Testing Integrity & Compliance	Jane Doe	2	0
7	AP-00021-5-Test-00003-E-00003-RND1	Physical Examination	In Progress	3	On-Site Verification	5	Laboratory Testing Integrity & Compliance	Jane Doe	1	0
8	AP-00021-5-Test-00003-E-00003-RND2	Physical Examination	In Progress	3	On-Site Verification	5	Laboratory Testing Integrity & Compliance	Jane Doe	2	0

! The [Evidence Overview](#) task is issued concurrently with the [Execute Audit](#) task. It is important to note, however, that this task is created specifically for audits that have evidence linked to them. If an audit does not have any associated tests or requirements (with corresponding evidence), the task is not generated.

Key Task Components & Considerations

1. Evidence Item Details

Within the [Evidence Overview](#) task, lead evidence collectors can view individual pieces of evidence and gain further insight into their progress and details.

✳ To view an evidence item, either double-click on it from the grid or select it and click on the **View** button.

2. Status Tracking

The task, utilizing a grid, provides five status indicators to guide the evidence management process.

#	Evidence ID	Name	Status	Test ID	Test Name	Requirement ID	Requirement Name	Collector	Round	Times Rejected
	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>
1	AP-00021-4-Test-00002-E-00002-RND1	Observatory Evidence	Scheduled	2	Document Control Test	4	Laboratory Document Control	Jane Doe	1	0
2	AP-00021-4-Test-00002-E-00002-RND2	Observatory Evidence	In Progress	2	Document Control Test	4	Laboratory Document Control	Jane Doe	2	0
3	AP-00021-4-Test-00002-E-00004-RND1	Documentary Evidence	Overdue	2	Document Control Test	4	Laboratory Document Control	Jane Doe	1	0
4	AP-00021-4-Test-00002-E-00004-RND2	Documentary Evidence	Under Review	2	Document Control Test	4	Laboratory Document Control	Jane Doe	2	0
5	AP-00021-5-Test-00003-E-00002-RND1	Observatory Evidence	Approved	3	On-Site Verification	5	Laboratory Testing Integrity & Compliance	Jane Doe	1	0

Status Indicators

- Scheduled: This status indicates that the start date of an evidence collection round has not yet been reached.
- In Progress: This status indicates that the current date is within the start and end dates of an evidence collection round, and the evidence has not yet been submitted.
- Overdue: This status indicates that the evidence has not been submitted by the end date of an evidence collection round.
- Under Review: This status indicates that the evidence has been submitted and is awaiting review.
- Approved: This status indicates that the evidence has been reviewed and approved.

3. Additional Metrics

Within the grid, users can access additional information for each piece of evidence, including the rejected count, which indicates the number of times an evidence item has been rejected, and the sample count, which indicates the current number of samples collected for the evidence.

Round	Times Rejected	Round 1 Start	Round 1 End	Round 2 Start	Round 2 End	Round 3 Start	Round 3 End	Sample Count	Requested Sample
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
1	0	11/07/2023	11/10/2023	11/07/2023	11/10/2023			0	2
2	0	11/07/2023	11/10/2023	11/07/2023	11/10/2023			0	2
1	0	11/07/2023	11/10/2023	11/07/2023	11/10/2023			0	2
2	0	11/07/2023	11/10/2023	11/07/2023	11/10/2023			0	2
1	0	11/07/2023	11/10/2023	11/07/2023	11/10/2023			0	2

✿ These values are updated in real-time, reflecting the latest changes made to the evidence.

4. Task Completion & Final Progress Report

Once the Evidence Overview task is closed and marked as completed, it is moved from the **Pending Tasks** folder to the **Completed Tasks** folder. From there, the lead evidence collector can refer to the task to view the final status and progress report for the evidence.

- The Evidence Overview task is closed and marked as completed if either of the following conditions is met:
 1. All pieces of evidence for the audit have been reviewed and approved by the lead evidence collector.
 2. The lead auditor has signed off on the audit by finalizing the [Review and Approve Audit Results](#) task.

4.1.2.2. Batch Submission of Evidence (By Test)

To streamline the evidence collection phase of the [Plan & Execute Audits](#) workflow, we have added a new feature that enables evidence collectors to submit their evidence in smaller, test-specific batches.

✳ Previously, evidence collectors could only submit their entire collection of evidence at once, delaying the review process until all evidence from a particular collector was gathered. With this update, evidence collectors can submit their evidence for review in smaller increments, improving efficiency and facilitating a more granular analysis of evidence.

Key Task Components & Considerations

To support batch submission, we have applied certain enhancements to the [Collect Evidence](#) form.

1. Submission Status

A new column has been added to the grid, indicating the submission status of each evidence item. It features a checkbox that is automatically selected if the evidence item has been submitted for review, and remains unselected if it has not yet been submitted.

Evidence Name	Test ID	Test Name	Requirement ID	Requirement Name	Submitted	Round	Sample Count	Requested sample size
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	(All) ▾	<input type="text"/>	<input type="text"/>	<input type="text"/>
Observatory Evidence	2	Document Control Test	4	Laboratory Document Control	<input checked="" type="checkbox"/>	1	2	2
Observatory Evidence	2	Document Control Test	4	Laboratory Document Control	<input type="checkbox"/>	2	0	2
Documentary Evidence	2	Document Control Test	4	Laboratory Document Control	<input checked="" type="checkbox"/>	1	2	2
Documentary Evidence	2	Document Control Test	4	Laboratory Document Control	<input type="checkbox"/>	2	0	2
Observatory Evidence	3	On-Site Verification	5	Laboratory Testing Integrity & Compliance	<input type="checkbox"/>	1	0	2

2. Test Selection & Evidence Submission

Furthermore, a new multi-select dropdown field has been added to the form, allowing users to select the specific test(s) for which they want to submit evidence. By choosing the desired test(s) from the dropdown and clicking the **Submit Evidence for Selected Test(s)** button, evidence collectors can send the corresponding batch to the lead evidence collector for review.

✳ Each batch of submitted evidence can be independently reviewed, rejected, or approved.

Select Test(s) to submit evidence for

Submit Evidence for selected Test(s)

! It's important to note that if any of the selected tests have fewer samples than the requested sample size, a confirmation prompt will be displayed to alert the user.

3. **Task Completion**

Once the last test is submitted, either as part of a batch or as part of the submission of all evidence, the [Collect Evidence](#) task is considered completed and will no longer appear in the **Pending Tasks** folder of the evidence collector.

4.1.3. Audit Report Distribution

To facilitate and streamline the distribution of audit reports within the [Plan & Execute Audits](#) workflow, we have added a new dropdown to the [Review and Approve Audit Results](#) form.

Key Features:

1. Audit Report Recipient(s) Selection

Users can access the multi-select dropdown, labeled **Distribute Audit Report To**, at the bottom of the [Review and Approve Audit Results](#) form. This dropdown allows users to select the recipient(s) for the audit report.

Distribute audit report to:

Clarification Required

Sign-Off

2. Automated Email Notifications

After the audit results are approved, the system takes charge of the distribution process, ensuring efficient and timely delivery to all relevant parties. An email is automatically sent to selected recipient(s), including the audit report template as an attached PDF.

Review And Approve Audit Results [AP-00021 - Laboratory External Audit]

N

noreply@interfacing.com

To: Erika Mustermann

Audit Report.pdf

370 KB

Hi,

Attached here is the audit report.


Regards,

Reply

Forward

4.1.4. Mass Import – Update Requirements, Tests, & Evidence

With this latest release, users can now leverage the **Mass Import** application to update existing requirements, tests, and/or evidence within the **Audit** application. This highly anticipated feature removes the previous limitation of only being able to create new items, allowing for better maintenance and accuracy of data.

 To apply an update successfully, ensure that the name of the item in the Mass Import file matches exactly with the corresponding item's name in the web application.

Edit Requirement

BEFORE IMPORT - EXISTING REQUIREMENT

Requirement ID

14

Requirement Name

Workplace Health & Safety Compliance

Requirement Type

Both

Test(s)

Description

Paragraph

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4.2. Feature Improvements



With this latest release, we have implemented the following improvements:

1. [Performance Improvements](#)
2. [Execute Audit – Enhanced Evidence Upload & Management](#)
3. [Audit Dashboard – Improved Data Interaction](#)
4. [General UX & UI Enhancements](#)

4.2.1. Performance Improvements

This release brings significant improvements to the performance and speed of **QMS** applications.

1. Improved Form Loading Time

- Backend optimizations have resulted in faster form loading times.
- Users can expect a more efficient and responsive experience.

2. Mass User Training Assignment Time

- The time taken for mass user training assignments has been dramatically reduced, moving from several hours to just minutes.
- Administrators can now efficiently manage and assign trainings for large groups of users.

New Training

Training Name
Provide a short description of the training

— Define Details

Objective/Purpose
Paragraph

Description
Paragraph

Activation Date
Select

Length (Hours)
Days

Deadline (Days)
Days

Status
Select...

Priority
Select...

Applicability
Select...

Assessment Method
Select...

Training Definition Reviewer
Select...

Training Execution Reviewer
Select...

Trainings consist of up to 4 phases. Select phases that will apply to this training and then define each phase in the sections that appear below.

☐ Include pre-assessment

☐ Include documentation to read

☐ Include training course(s) to execute

☐ Include post-assessment

+ Select Trainees

Submit form Save Form

In the [Execute Audit](#) phase of the [Plan & Execute Audits](#) workflow, we have streamlined the process of uploading and managing evidence for requirement validation.

These enhancements focus on the revamped **Document Request** section in the Validate Requirement form, which is now presented as an accordion labeled **Evidence**. This redesign simplifies navigation, enhances access to various features, and better aligns the section with its intended purpose of providing evidence for compliance validation.

There is no data to display.

Key Changes:

1. Dedicated Field for Auditor Evidence

Previously, files provided by the evidence collector and those uploaded and requested by the auditor were displayed in the same field. In this release, to improve clarity and organization, we have introduced a dedicated field called **Attach Evidence** specifically for auditor-uploaded and requested evidence.

Attach Evidence

Upload files

Max 20 files, 2000MB each

Chemical Inventory and Hazardous Materials...

Hazardous Waste Management and Disposal...

Laboratory Health & Safety Policy.pdf

Laboratory Safety Standard Operating Proce...

2. URL Support

In addition to file uploads, auditors can now add URLs as evidence. Auditors can provide the URLs and a display name for each. These URLs are then displayed in a separate grid and can be removed as needed.

Input URL to the Evidence

http://example.com

URL Display Name (optional)

DisplayURLName

Add Evidence Link

Discard

Save changes

#		List of Links
1		Laboratory Safety Manual
2		Incident Reports and Case Studies

! Please note that if no display name is provided, the URL will be listed as is.

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3. Simplified Evidence Request

We have also simplified the process for requesting evidence. Previously, auditors were required to navigate through a nested form, which proved cumbersome and confusing. Now, with a simple click of the **Request Specific Evidence** button, auditors can reveal the evidence request section, where they can select the recipient and provide a message.

Request Receiver

Select...

Request Message

Paragraph

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Cancel

Send Request

- **Send Request:** This button allows users to send the evidence request to the selected user.
- **Cancel:** This button allows users to cancel the evidence request and hide the section.

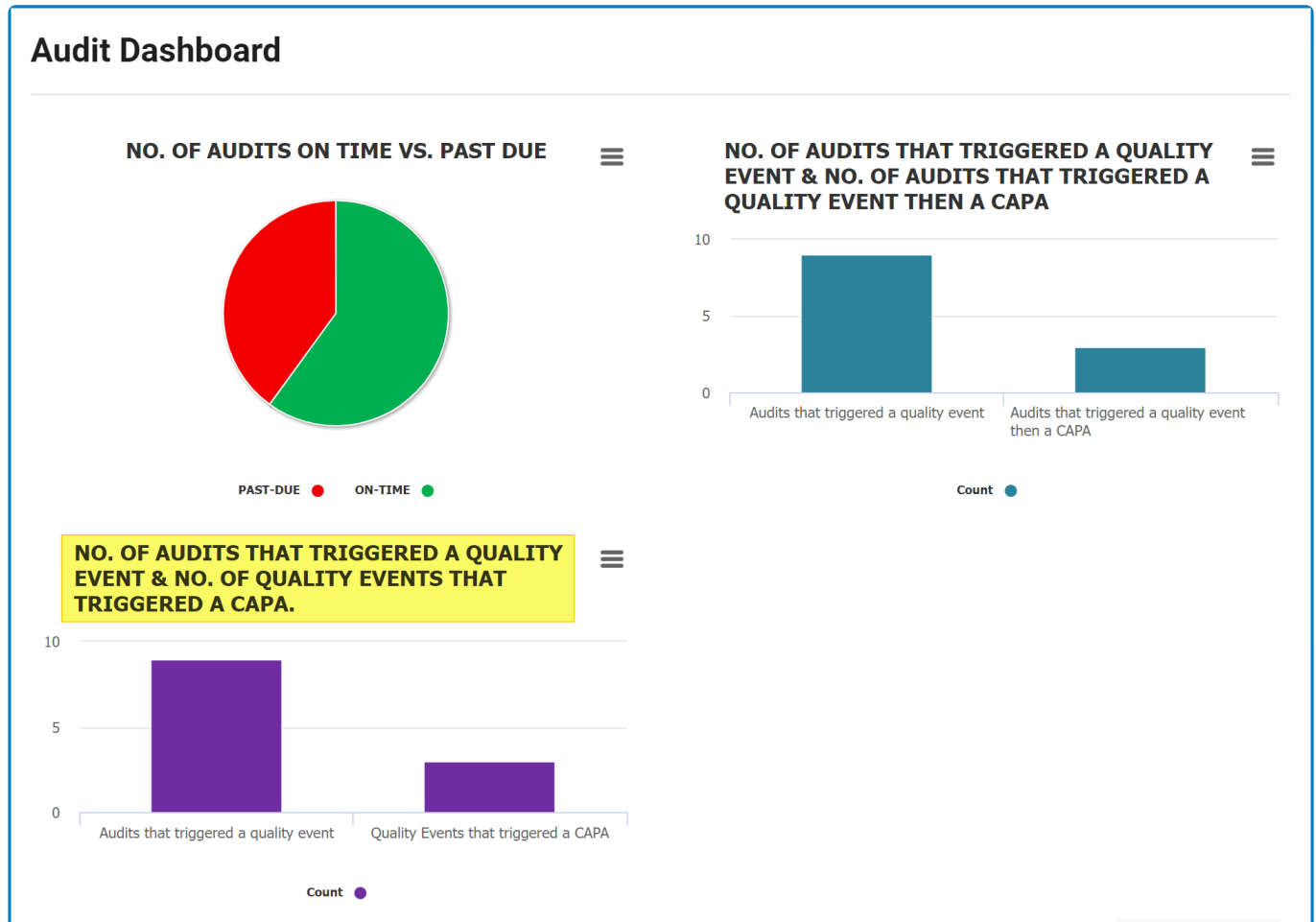
4. Evidence Tracking

Lastly, we have expanded the functionality of an existing grid, formerly known as **Document Requests**, now renamed as **Evidence Summary**. Going beyond its initial purpose of tracking document requests, this grid now logs all auditor actions related to evidence, such as uploading, requesting, and receiving evidence, including URLs. This enhancement provides auditors with a comprehensive overview of the evidence handling process.

Evidence Summary								
#	Sent To/Upl...	Status	Message	Date Sent	Uploaded Date	Files Uploaded	URL	Response Message
	<div>🔍</div>	<div>🔍</div>	<div>🔍</div>	<div>🔍</div> <div>📅</div>	<div>🔍</div> <div>📅</div>	<div>🔍</div>	<div>🔍</div>	<div>🔍</div>
1	👤 Joe Bloggs	Sent to user	Please provide the	10/19/2023 15:21				
2	👤 Richard Roe	Document transferred	Please provide a	10/18/2023 10:46	10/18/2023 10:49	Chemical Inventory and Hazardous Materials List.pdf		I've attached a copy of the requested laboratory list.
3	👤 Jane Doe	Document transferred	Please provide the	10/18/2023 10:42	10/18/2023 10:45	Hazardous Waste Management and Disposal Records.pdf		Kindly find attached the requested laboratory
4	👤 John Doe				10/18/2023 10:55		Laboratory Safety Manual:	
5	👤 John Doe				10/18/2023 10:42	Laboratory Health & Safety Policy.pdf, Laboratory Safety		

4.2.3. Audit Dashboard – Improved Data Interaction

To align it with the existing capabilities of the other two charts, we have added a drilldown functionality to the third chart in the [Dashboard](#). This enhancement enables users to interactively explore detailed information within the chart, allowing for seamless navigation across different levels of data.



To trigger the drilldown functionality for this chart, simply double-click on any of the bars in the bar chart.

4.2.4. General UX & UI Enhancements

In our ongoing commitment to optimizing the user experience with the **Audit** application, we have implemented a series of enhancements aimed at elevating its interface.

Changes in this latest release include:

1. Streamlined Navigation & Structure

To enhance user experience, we have streamlined navigation to and within the **Audit** application, simplifying the overall platform structure. This effort involved removing redundant categories, resulting in fewer steps needed to access the application and its modules.

- For example, although the **Audit** application remains a part of the **QMS** application suite, it is no longer nested under the **QMS** category.

Previous Navigation Path

Home Page / Quality Management System / Audit

- Similarly, a range of modules within the **Audit** application, such as New Audit Definition and Audit Definition List, are now readily available on the first-level category under **Audit**.

Previous Navigation Path

Home Page / Quality Management System / Audit / Audit Definition / New Audit Definition



Please note that, where categories enhance clarity and usability, such as **Test Management** and **Requirement Management**, we've retained them for an improved organizational structure.

2. Enhanced Iconography

We have also updated the icons used to represent the **Audit** application and its modules, achieving two key objectives:

- Distinct Application Identity:** We have changed the **Audit** application's icon to make it more distinguishable and align it better with its intended purpose.

Previous Icon



Audit

- **Consistent Icon Styles:** To create a more cohesive visual experience both within the application and across the **QMS** suite, we have standardized icon styles for modules with similar functions.
 - For example, modules presenting lists, such as Audit Definition List, now share the same **List** icon. Modules for creating new items, such as New Audit Definition, use the same **Add** icon.

Previous Icon Styles



New Audit
Definition



Audit Definition
List



New Audit Plan



List of All Audit
Plans

- **Modern Design:** As part of our design evolution, demonstrated in the above graphics, we have adopted a thinner icon style, embracing a sleeker and more modern aesthetic.

3. Improved Form Design & Layout

We have redesigned our forms to make them more intuitive and space-efficient. This includes reordering fields to ensure a logical flow, improving field labels for clarity and comprehension, and removing unnecessary elements to simplify and declutter the interface.

We have also replaced tabs and labeled sections with accordions. This change not only enhances aesthetics and readability but also enables a more focused interaction with content. Users can now smoothly navigate through forms, progressively revealing information as needed.

New Audit Definition

Copy an existing definition (optional) ?

Select... ▾

Copy Audit Definition

Audit Name

AUD-2023-00020

Audit ID

Details

Audit Subject

Audit Type

Compliance Program

Select... ▾

Category

Select... ▾

Business Division ?

Business Line ?

Content Language ?

Select... ▾

Frequency

Select... ▾

Estimated Effort (Hours) ?

Hours ▴ ▾

First Reminder to Be Sent ?

Days ▴ ▾

Audit Methods

Site

Team ?

Team Leader ?

Potential Auditors ?

Audit Related To (optional)

Link this audit definition to EPC Processes, Services or Products using the fields below.

Related To

EPC Process(es)

EPC Service(s)

Product(s)

What is the reason for this audit? (optional)

Paragraph ▾ A^B ▾ AI ▾ A ▾ A ▾ B I U S ≡ ▾ ;= :≡ ≡≡ ≡≡ 🔗 “ ” 🖼️ 📄 ▾ ▶ ▾ ↶ ↷

* In the [Validate Requirement](#) form, accordions, like the labeled sections before them, are dynamically shown or hidden based on relevance, ensuring a clean and user-centric interface.

! Please note that these UI enhancements are specific to the **Audit** application. For a broader understanding of UI enhancements across the entire **DBP** web application, we recommend referring to the [14.1 release notes](#) for the Designer program.

4.3. Fixed Issues



With this latest release, we have resolved the following issues:

1. **Grid View – Incorrect Title Displayed in Rich Text Pop-up**

In grids that utilize the pop-up window option to display rich text fields, there was an issue where the title occasionally included the full attribute name. We have successfully resolved this issue in our latest release.

2. **Limited File Type Support for File Attachment Preview**

Previously, the functionality to preview file attachments was limited to PNG and PDF file types. We have now enhanced this feature to include the ability to preview JPEG file types as well.

3. **File Attachment Removal in Agenda Tab Before Requirement Import**

Previously, there was an issue where attaching a file in the Agenda tab before importing a requirement from EPC would result in the file being removed. Users were only able to add files after importing all requirements. In our latest release, we have rectified this issue, allowing users to attach the agenda file(s) at any time—before or after importing requirements from EPC.

5. General Application Functionalities

To enhance understanding and utilization of the application, users are encouraged to familiarize themselves with the following key features and options:

- [Field Behavior](#): Learn how disabled, enabled, and mandatory fields appear and behave in the application.
- [Dropdown Controls](#): Learn how to effectively use single-select and multi-select dropdown fields for efficient and accurate data selection.
- [Rich Textbox Controls](#): Learn how to utilize rich textbox controls to add formatting, images, links, and more to your content.
- [Comment Controls](#): Learn how to add, edit, reply to, or delete comments.
- [Templates](#): Learn how to access and utilize pre-designed document templates.
- [Interactive Chart Controls](#): Learn how to utilize the interactive chart control for data visualization, interpretation, and analysis.



By default, in the **DBP** web application, sessions time out after 20 minutes of inactivity. To access the latest version of content, users will need to refresh the page.

5.1. Field Behavior

To distinguish between different fields in the interface, specific visual cues are employed. By default, disabled fields, which cannot be modified, are presented with a dark background color.* Mandatory fields, on the other hand, which must be filled out, are highlighted with a light-blue background color.** Enabled fields, in contrast, do not have any background color, appearing transparent.

CAPA ID	CAPA Name	Business Division
CAPA-00009		

* In the settings of either the Designer program or the **DBP** web application, users can set the background of disabled fields as transparent. In this mode, disabled fields nonetheless remain distinguishable from enabled fields in that they cannot be manipulated by the user in any way.

** In the **DBP** web application, users have the ability to customize the color of mandatory fields according to their preference.

5.2. Dropdown Controls

There are two types of dropdown fields that are commonly used in forms:

1. [Single-Select Dropdown Fields](#)
2. [Multi-Select Dropdown Fields](#)

5.2.1. Single-Select Dropdown Fields

A single-select dropdown field allows users to select only one value at a time from a predetermined list of options.

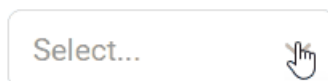
Frequency



There are two ways to select an item from the dropdown:

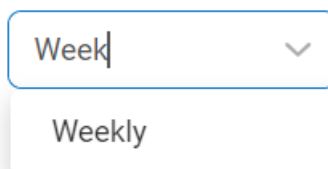
1. Click on the  icon. It will release the list of values. Users can then scroll through the options and make their selection.

Frequency



2. Search for the value in the dropdown by inputting its name or keywords relating to it. Any items that match the search will be retrieved. Users can then click on the desired value to finalize their selection.

Frequency




5.2.1.1. Single-Select Dropdown Field with Modal Window

Although most single-select fields release a dropdown menu, there are some that instead open a modal window.

* A modal window is a pop-up window that disables the main form, requiring users to interact with it before they can regain access. Users can interact with a modal typically by either completing the set task or exiting the window.

To use a single-select dropdown field linked to a modal window, follow these steps:

1. Click on the  icon. It will open a modal window containing the options available to choose from.
2. Navigate through the options and select the desired one by double-clicking on it.
 - Users will then be returned to the main form where they will find the field now populated with their selection.
3. Otherwise, to return to the main form without making a selection, click on the **Exit (X)** button.

In the example below, the modal window contains a tree view control to help users navigate through a hierarchical structure of options.

* Users can determine the contents of the modal window by creating the form and linking the corresponding form behavior to the control.

Folder

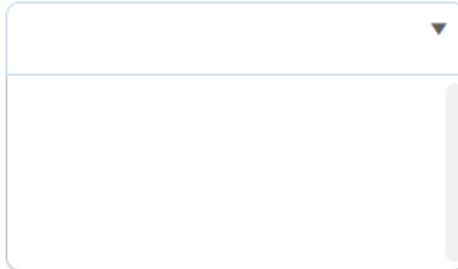
Select...



5.2.2. Multi-Select Dropdown Fields

A multi-select dropdown field allows users to select multiple values at a time from a predetermined list of options.

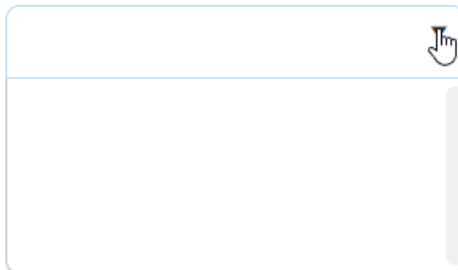
Data Analysis Methods

[Select All](#)[Deselect All](#)A multi-select dropdown field with a light blue border. The top part is a header bar with a small downward arrow icon on the right. Below the header is a large, empty rectangular area for the list of options, with a vertical scrollbar on the right side.

There are two ways to select items from the dropdown:

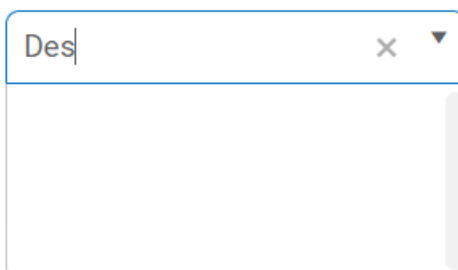
1. Click on the ▼ icon. It will release the list of values. Users can then scroll through the options and make their selection.

Data Analysis Methods

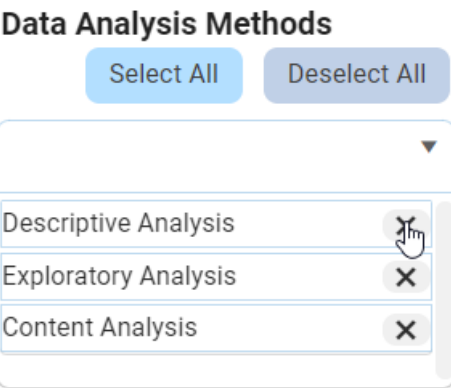
[Select All](#)[Deselect All](#)A multi-select dropdown field with a light blue border. The top part is a header bar with a hand cursor icon on the right. Below the header is a large, empty rectangular area for the list of options, with a vertical scrollbar on the right side.

2. Search for the value in the dropdown by inputting its name or keywords relating to it. Any values that match the search will be retrieved. Users can then click on the desired value to finalize their selection.

Data Analysis Methods

[Select All](#)[Deselect All](#)A multi-select dropdown field with a light blue border. The top part is a header bar with a search input field containing the text 'Des', a close button (X), and a downward arrow icon. Below the header is a large, empty rectangular area for the list of options, with a vertical scrollbar on the right side.

After selecting items, users can remove them from the dropdown by clicking on the **X** button.



✿ To automatically select all items in the list, click on the **Select All** button. To automatically deselect all items in the list, click on the **Deselect All** button.

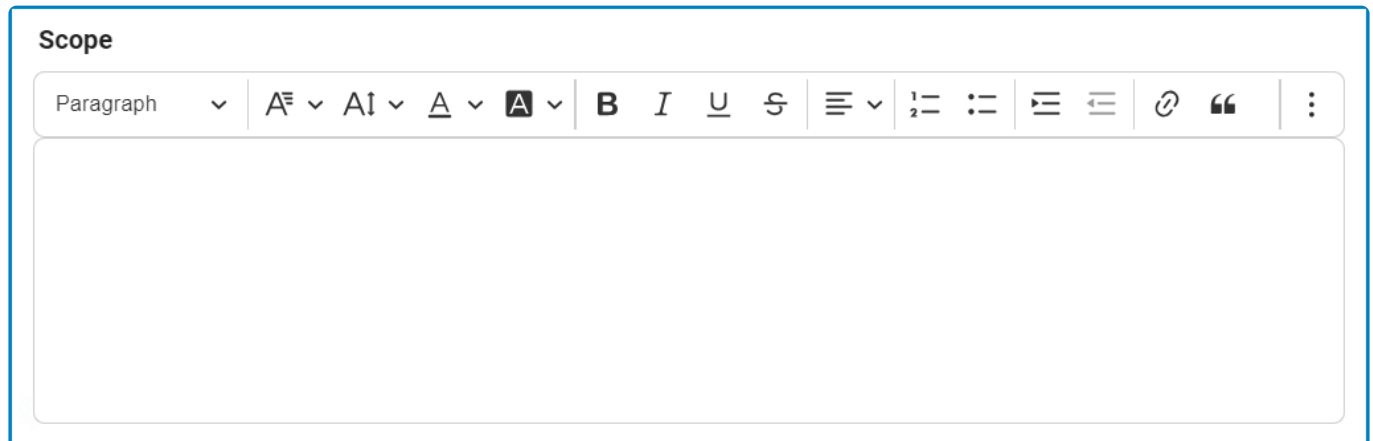
5.3. Rich Textbox Controls

In certain forms, users are provided access to rich text fields, also known as rich textbox controls.

For those unfamiliar with using these fields, here are some key features to consider:

1. Text Formatting

Users have access to various formatting options in the rich textbox control, including:



The screenshot shows a rich text editor interface. At the top, there is a title 'Scope'. Below the title is a toolbar with various formatting options. The toolbar includes a paragraph dropdown, font size and style dropdowns, bold, italic, underline, strikethrough, text alignment, list creation, link, quote, and a menu icon. Below the toolbar is a large text area.

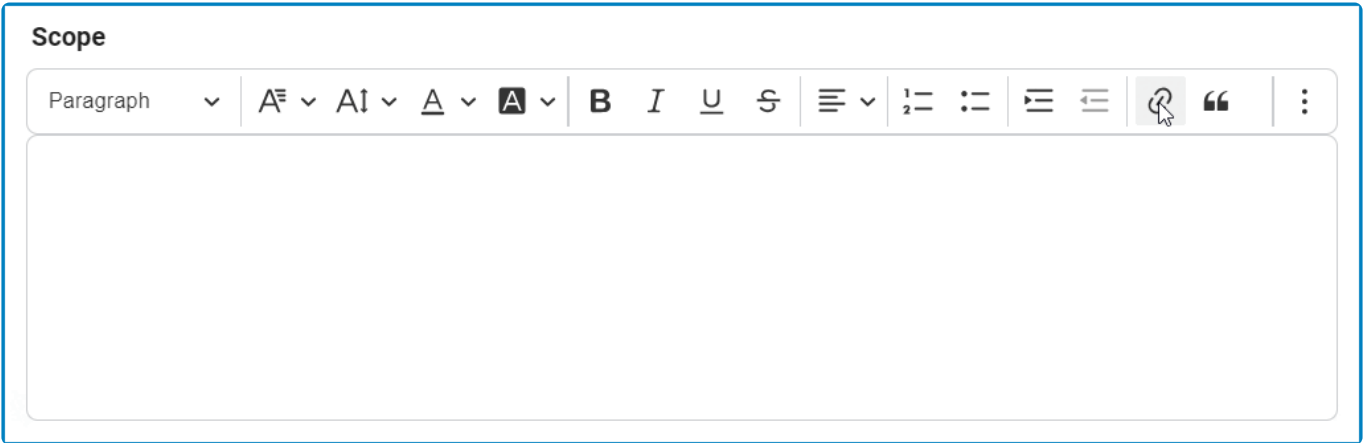
- **Heading Style:** This field allows users to choose a heading style from a dropdown menu.
- **Font Family:** This field allows users to choose the font family from a dropdown menu.
- **Font Size:** This field allows users to choose the font size from a dropdown menu.
- **Font Color:** This field allows users to choose the font color from a dropdown menu.
- **Font Background Color:** This field allows users to choose the font background color from a dropdown menu.
- **Bold:** This button allows users to apply a bold effect to the selected text.
- **Italic:** This button allows users to apply an italic or slanted effect to the selected text.
- **Underline:** This button allows users to apply an underline effect to the selected text.
- **Strikethrough:** This button allows users to apply a strikethrough effect to the selected text.
- **Text Alignment:** This field allows users to choose the alignment of the text from a dropdown menu.
- **Numbered List:** This button allows users to apply a numbered list format to selected text.
 - Users can create nested lists by using the **Indent** button, either in the rich text editor or on their keyboard.
- **Bulleted List:** This button allows users to apply a bulleted list format to selected text.
 - Users can create nested lists by using the **Indent** button, either in the rich text editor or on their keyboard.
- **Increase / Decrease Indent:** These buttons allow users to adjust the indentation level of the selected text.
- **Block Quote:** This button allows users to apply a block quote format to the selected text.



To undo any text formatting, users can either click on the **Undo** button or unselect the formatting option.

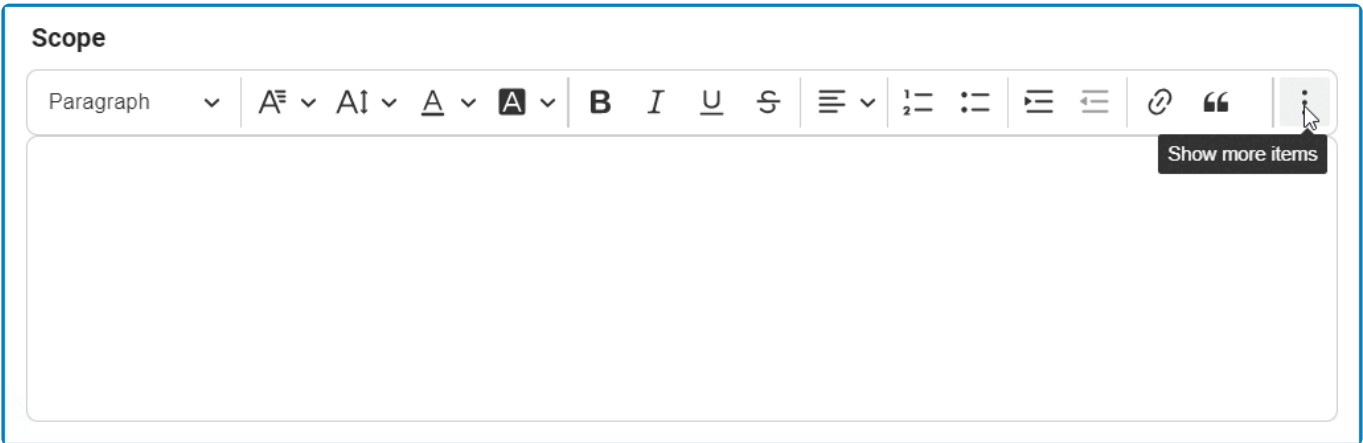
2. **Hyperlinks**

Users can insert hyperlinks to external web pages within the rich textbox control.



3. **Media Support**

Users can embed various types of media into the rich textbox control, either by uploading them from their computer or by providing a URL to online media content.



✿ Once an image has been inserted into the control, users can adjust its alignment, resize it, and add alternative text if needed.

4. **Table Support**

Users can add, edit, and format tables in the rich textbox control.

Scope

Paragraph

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A[≡] ▼

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A ▼

A ▼

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⌚

⋮

Show more items

✳ Once a table has been inserted into the control, users can modify the column and row properties, merge or split cells, and adjust various table properties like border, background color, dimensions, and alignment. The control also enables users to modify individual cell properties for complete control over their table design.

5. Undo / Redo

Users can undo or redo a previous action in the rich textbox control.

Scope

Paragraph

▼

A[≡] ▼

A₁ ▼

A ▼

A ▼

B

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~~S~~

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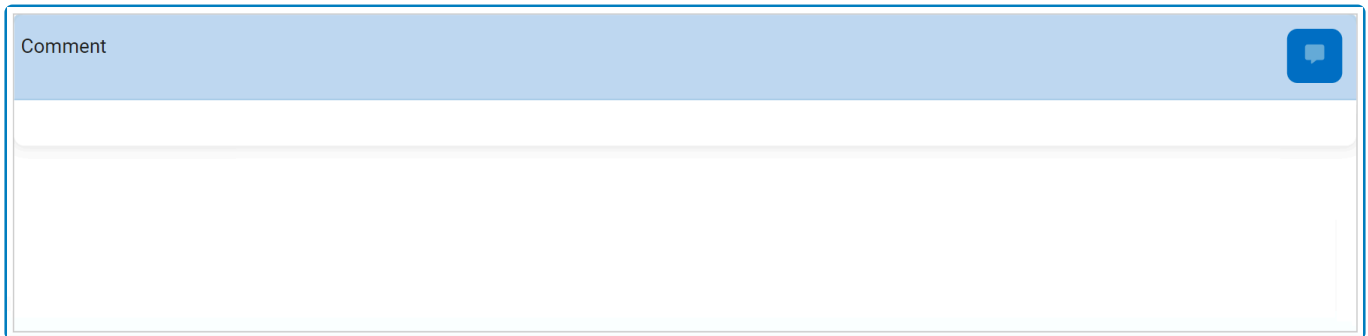
⌚

⋮

✳ Depending on the amount of text entered, a vertical scrollbar may appear on the side of the rich textbox to allow users to scroll through the contents. Additionally, users can resize this textbox by dragging at its bottom right corner.


5.4. Comment Controls

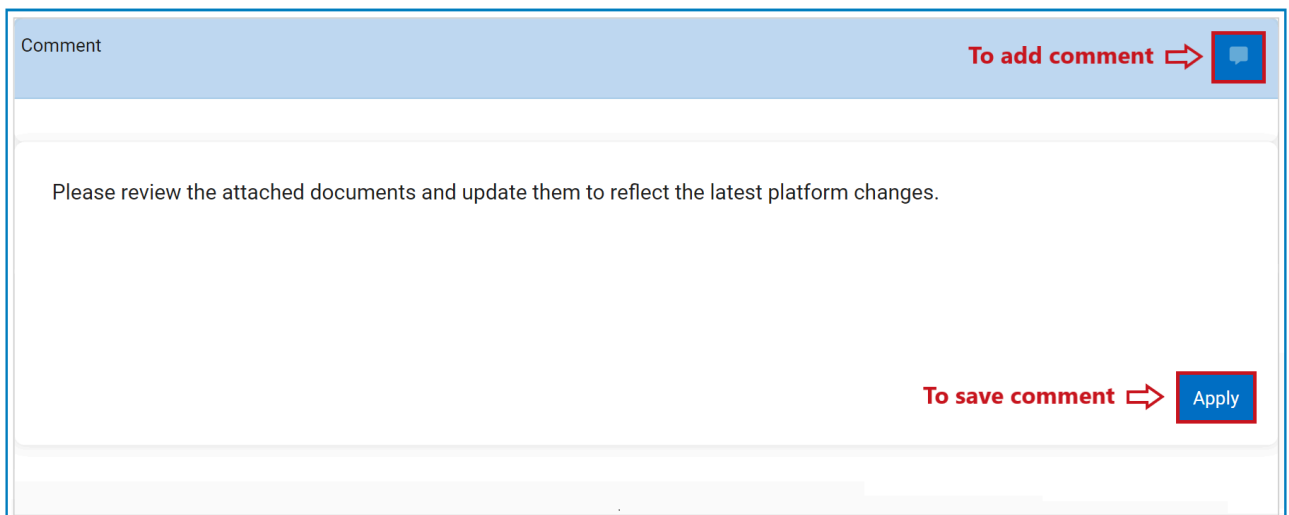
In certain forms, users are provided access to comment controls, which enable them to input any relevant comments they may have regarding a given task,




A screenshot of a comment input form. It features a light blue header bar with the word "Comment" on the left and a blue speech bubble icon on the right. Below the header is a large, empty white text area for input.

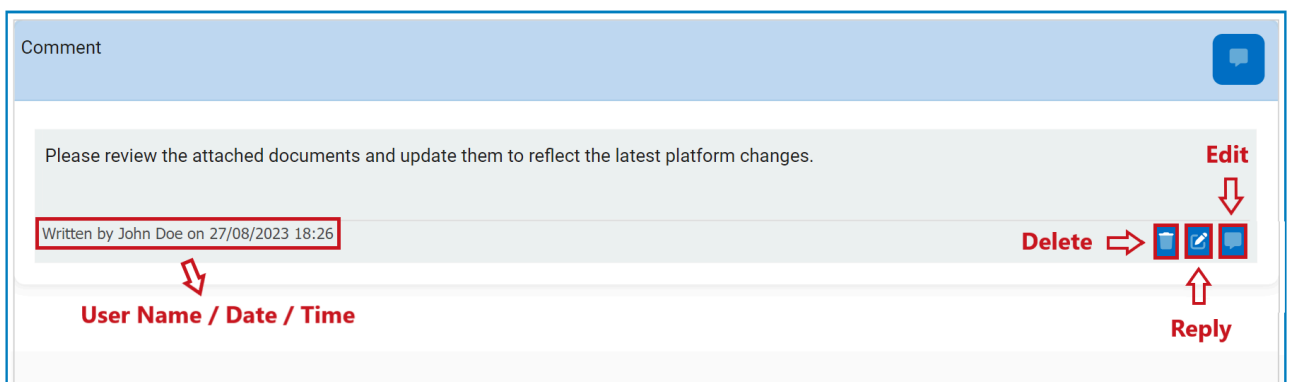
To use this function, follow the instructions below:

1. To add a comment, click on the  icon in the top right corner, input your comment(s) in the text field, and then click on the **Apply** button to save your work.




A screenshot of a comment form with a sample comment. The header bar is light blue with "Comment" on the left and a blue speech bubble icon on the right. A red arrow points to the icon with the text "To add comment". The text area contains the comment: "Please review the attached documents and update them to reflect the latest platform changes." At the bottom right, there is a blue "Apply" button. A red arrow points to the button with the text "To save comment".

2. To edit a comment, click on the  icon in the bottom right corner, make changes as desired to the original comment, and then click on the **Apply** button to save your work.



A screenshot of a comment form showing edit and delete options. The header bar is light blue with "Comment" on the left and a blue speech bubble icon on the right. The text area contains the comment: "Please review the attached documents and update them to reflect the latest platform changes." Below the comment, there is a red box containing the text "Written by John Doe on 27/08/2023 18:26". A red arrow points to this box with the text "User Name / Date / Time". To the right of the comment, there are three icons: a trash can (Delete), a pencil (Edit), and a speech bubble (Reply). A red arrow points to the Edit icon with the text "Edit". A red arrow points to the Delete icon with the text "Delete". A red arrow points to the Reply icon with the text "Reply".


3. To delete a comment, click on the  icon in the bottom left corner.


- If selected, users will be alerted of the action with the following confirmation message:

Are you sure you want to delete?


SubmitCancel

- Click on either the **Submit** button to confirm the deletion or the **Cancel** button to cancel it.

4. To reply to a comment, click on the  icon in the bottom right corner, input your reply, and then click on the **Apply** button again to save your work.




Comment 

Please review the attached documents and update them to reflect the latest platform changes.

Written by John Doe on 27/08/2023 18:26 

Please review the attached documents and update them to reflect the latest platform changes.

Will do!

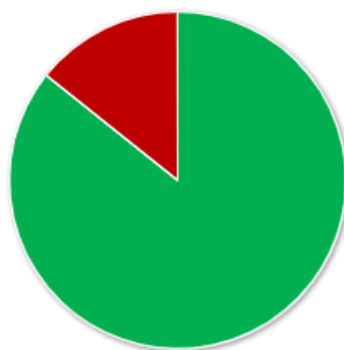
Written by Jane Doe on 27/08/2023 20:50   

5.5. Interactive Chart Controls

In certain forms, users are provided access to interactive chart controls.

For those unfamiliar with using these controls, here are some key features to consider:

NO. OF AUDITS ON TIME VS. PAST DUE



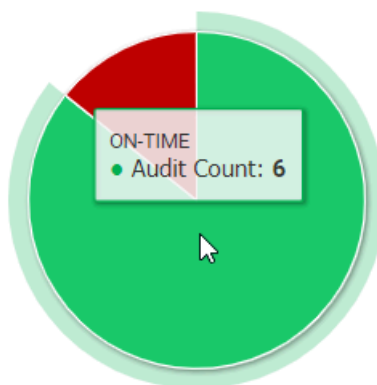
PAST-DUE ● ON-TIME ●

1. **Chart Legend:** This is a graphical element that provides a key for the data series displayed in the chart.

PAST-DUE ● ON-TIME ●

- It includes color-coded labels or symbols that correspond to the data being displayed. Users can refer to the legend to better understand the data represented in the chart.
2. **Chart Tooltip:** This is a graphical element that appears when the user hovers over a data point or marker in the chart.

NO. OF AUDITS ON TIME VS. PAST DUE



PAST-DUE ● ON-TIME ●

- It displays additional information about the data point, such as the label, value, or other contextual details. Users can use the tooltip to gain more insight into the data represented in

the chart.

3. **Drilldown Reports:** These are data reports that users can access by double-clicking on the different data points in the chart. They allow users to navigate from the summary report visualized by the chart to the detailed report that created it.
 - For example, if users were to double-click on the sector of the pie chart representing audits that have been completed on time, a modal window would appear with the following form:

List of Completed Audit Plans

Search Panel

Audit Plan ID

Audit Plan Name

Filter

Clear Filter

	Audit Plan ID	Audit Plan Name	Completion Date	No. of Audit Definitions	No. of Requirements
	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
	AP-00002	Financial Forecasting Audit	11/30/2022	1	5
	AP-00003	Information Security Audit	12/08/2022	1	10
	AP-00005	Laboratory Quality System Internal Audit	12/29/2022	1	9
	AP-00007	ISO 9001 Certification Audit	01/12/2023	1	3
	AP-00008	Corporate Social Responsibility Audit	01/24/2023	1	5
	AP-00009	Supplier Performance and Compliance Audit - ABC Widget Company	02/08/2023	1	3



Users can determine the contents of the modal window by creating the form and linking the corresponding form behavior to the control.

4. **Chart Context Menus:** These are hamburger buttons which, when collapsed, display a list of options that allow users to either print or download the chart.

- Icon:
- If selected, it will display the following menu:

ST DUE

Print chart

Download PNG image

Download JPEG image

Download SVG vector image

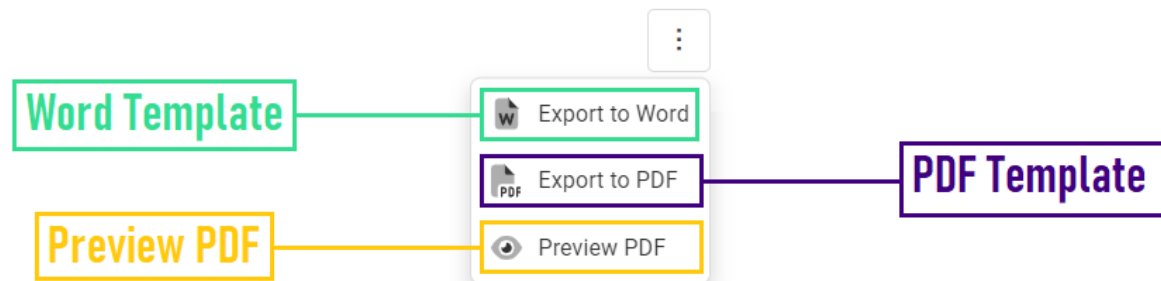
Download Text

Download XLS

- From the menu, users can choose to download the chart as a PNG image, JPEG image, SVG vector image, text file, or XLS file.

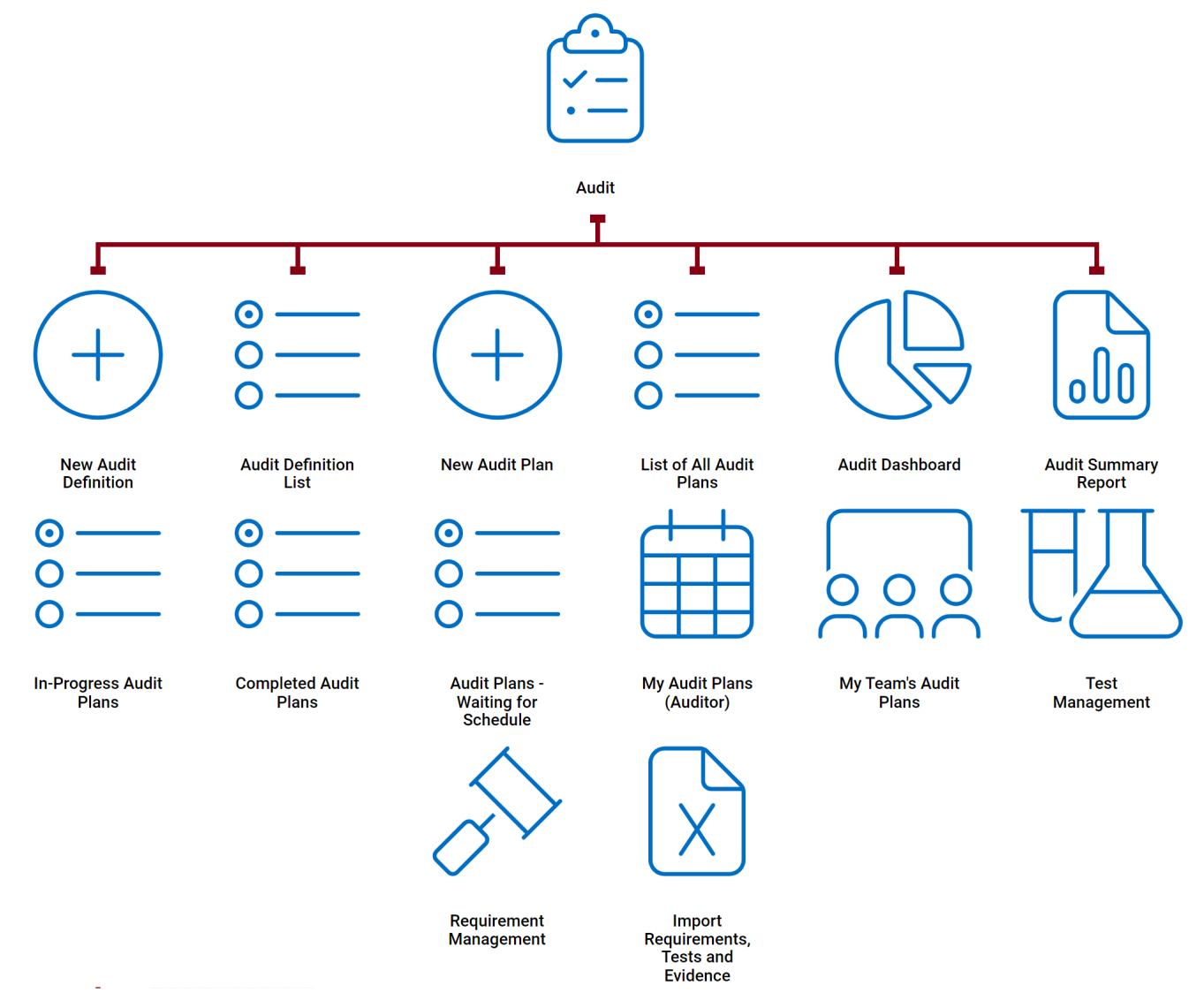
5.6. Templates

When enabled, templates can be accessed using the kebab (or three dots) menu located in the rightmost corner of the form.



As outlined in the above image, using the available options in the menu, users can download a Word template, download a PDF template, or preview a PDF template.

6. Audit Application Overview



6.1. Accessing the Audit Application

1. From the Home Page, click on **Audit**.



Audit

2. Selecting **Audit** directs users to the following subcategories:

- [New Audit Definition](#)
- [Audit Definition List](#)
- [New Audit Plan](#)
- [List of All Audit Plans](#)
- [Audit Dashboard](#)
- [Audit Summary Report](#)
- [In-Progress Audit Plans](#)
- [Completed Audit Plans](#)
- [Audit Plans – Waiting for Schedule](#)
- [My Audit Plans](#)
- [My Team's Audit Plans](#)
- [Test Management](#)
- [Requirement Management](#)
- [Import Requirements, Tests, and Evidence](#)



New Audit
Definition



Audit Definition
List



New Audit Plan



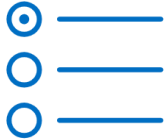
List of All Audit
Plans



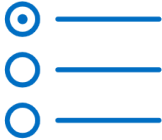
Audit Dashboard



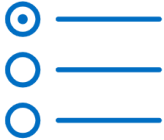
Audit Summary
Report



In-Progress Audit
Plans



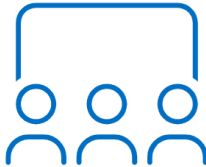
Completed Audit
Plans



Audit Plans -
Waiting for
Schedule



My Audit Plans
(Auditor)



My Team's Audit
Plans



Test
Management



Requirement
Management



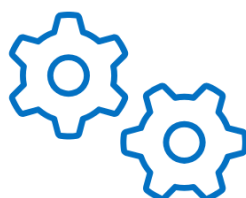
Import
Requirements,
Tests and
Evidence

7. Settings

In the **QMS Settings** section of the **QMS** application suite, users can configure the settings for the **Quality Event** application.

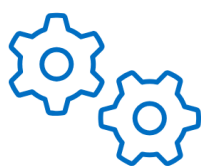
To access **QMS Settings**, use the following steps:

1. From the Home Page, click on **QMS Settings (Admin)**.



QMS Settings
(Admin)

2. Selecting **QMS Settings (Admin)** directs users to the following subcategories:



General Settings



Audit Settings



Quality Event
Settings



Action Item
Setting



CAPA Setting



Training Settings



Management
Review Setting



Product &
Supplier Setting



Risk Setting

3. There are two modules from this list that are relevant to the **Audit** application:

- [Audit Settings](#)
- [General Settings](#)



General Settings



Audit Settings



Quality Event Settings



Action Item Setting



CAPA Setting



Training Settings



Management Review Setting



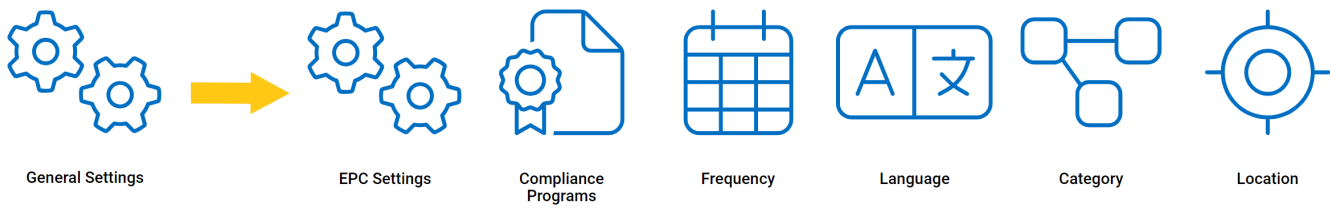
Product & Supplier Setting



Risk Setting

7.1. General Settings

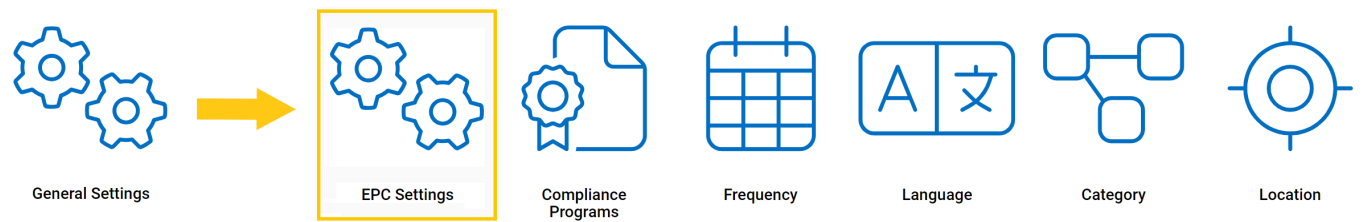
Selecting **General Settings** directs users to the following subcategories:



1. [EPC Settings](#)
2. [Compliance Types List](#)
3. [Frequency](#)
4. [Language](#)
5. [Category](#)
6. [Location](#)

7.1.1. EPC Settings

In this section, users can set the EPC environment from which they want data to be pulled.



Setting EPC Environment

EPC Settings

Enter an EPC administrator's credentials

Base URL ?

The server's timezone offset in 00:00:00

https://epc-qa-mut.interfacing.com/

Username

epcadmin

Password

.....

☒ Skip Certificate Validation

Fetch Environments

Select the environment from which all EPC data will be pulled

Environment

Aerospace and Defense

Submit form

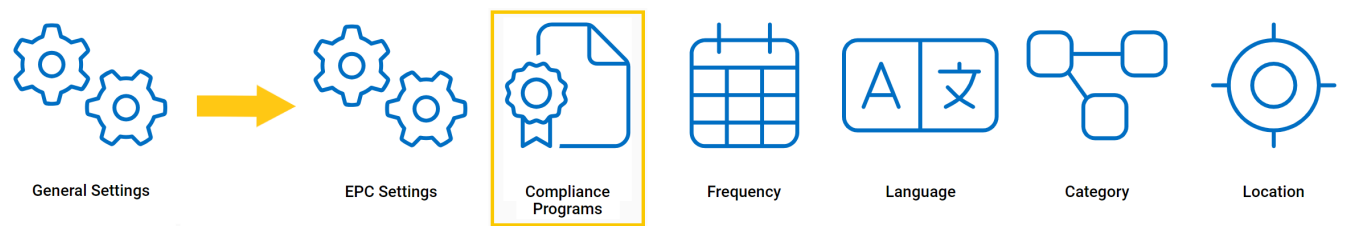
1. **Base URL:** This is a text field that allows users to input the base URL of the EPC server. It is a **mandatory** field.
2. **Username:** This is a text field that allows users to input the username.
3. **Password:** This is a text field that allows users to input the password.
4. **Skip Certification Validation:** This is a checkbox that, when selected, allows users to skip certification validation.
5. **Fetch Environments:** This button allows users to fetch the list of environments from the selected

EPC server.

6. **Environment:** This is a single-select dropdown field that retrieves the list of environments from EPC. It allows users to select only one value from the dropdown.
7. **Submit Form:** This button allows users to submit the form.

7.1.2. Compliance Types List

In this section, users can create, edit, and delete the compliance types displayed in the **Compliance Program** dropdown. This dropdown is found in the [New Audit Definition](#) form.



Defining Compliance Types

Although the specific features of this form will be delved into below, it essentially functions the same as any form with an editable grid control—that is, one with **Inline Add/Inline Edit** functions. [For more details on this type of grid and its features, click here.](#)

Compliance Types List

Create, edit, and/or delete the compliance types that are to be used in QMS ?

Add

Discard changes

Save changes

#		Active	Compliance Type	French Title	Arabic Title	German Title	Prefix
		(All) ▾	🔍	🔍	🔍	🔍	🔍
1	🗑	<input checked="" type="checkbox"/>	ISO 27001				ISO27001
2	🗑	<input checked="" type="checkbox"/>	ISO 9001				ISO9001
3	🗑	<input checked="" type="checkbox"/>	ISO 17025				ISO17025
4	🗑	<input checked="" type="checkbox"/>	ISO 45001				ISO45001
5	🗑	<input checked="" type="checkbox"/>	ISO 14001				ISO14001

1. **Add:** This button allows users to add a new compliance type.

Add


Discard changes


Save changes


#		Active	Compliance Type	French Title	Arabic Title	German Title	Prefix
		(All) ▾	🔍	🔍	🔍	🔍	🔍
	🗑	<input type="checkbox"/>	<input type="text"/>				

- **Compliance Type/Title:** This is a text field that allows users to input the title(s) of the compliance type (in English [default], Arabic, German, or French). It is a **mandatory** field.
- **Prefix:** This is a text field that allows users to input the prefix associated with the

compliance type.

- The prefix inputted in this field will impact the format of the Audit ID (as will be demonstrated).
- **Active:** This is a checkbox that, when selected, allows for the compliance type to be displayed in the **Compliance Program** dropdown.
 - This checkbox is automatically unselected when a new compliance type is added; however, if users want the compliance type to be displayed, they can still manually select the checkbox.
- 2. **Discard Changes:** This button allows users to discard their changes.
- 3. **Save Changes:** This button allows users to save their changes.
- 4. **Delete** (): This button allows users to delete a compliance type.

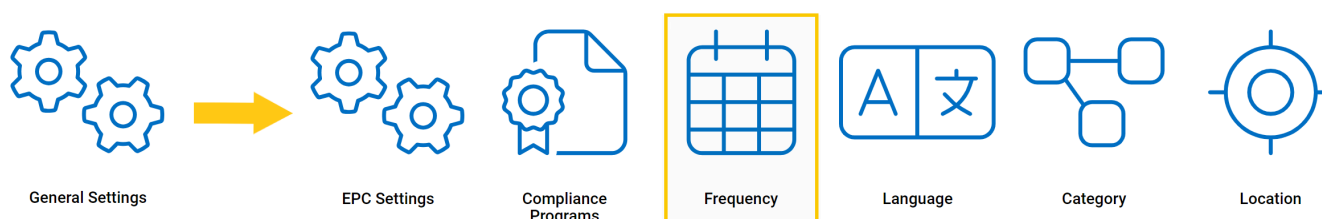
* To confirm the deletion of items in the grid, click on the **Save Changes** button or simply click outside the grid. To undo deletion, click on either the **Discard Changes** button or the **Undo** () icon.

* To edit content within the grid, simply click on the element you want to modify. For [additional options or actions](#) related to the grid, please utilize the kebab menu () located in the upper rightmost corner.

! If a compliance type is in use, users cannot delete it without first deleting all instances of its use.

7.1.3. Frequency

In this section, users can create, edit, and delete the frequency options displayed in the **Frequency** dropdown. This dropdown is found in the [New Audit Definition](#) form.



Defining Frequency Options

Although the specific features of this form will be delved into below, it essentially functions the same as any form with an editable grid control—that is, one with **Inline Add/Inline Edit** functions. [For more details on this type of grid and its features, click here.](#)

Frequency

Create, edit, and/or delete the frequency options that are to be used in QMS

Add
Discard changes
Save changes

#	Active	Frequency	French Title	Arabic Title	German Title	Day Count
	(All) ▼	🔍	🔍	🔍	🔍	🔍
1	<input checked="" type="checkbox"/>	Daily				1
2	<input checked="" type="checkbox"/>	Weekly				7
3	<input checked="" type="checkbox"/>	Monthly				30
4	<input checked="" type="checkbox"/>	Biweekly				14
5	<input checked="" type="checkbox"/>	Quarterly				90


1. **Add:** This button allows users to add a new frequency option.


Add
Discard changes
Save changes


#	Active	Frequency	French Title	Arabic Title	German Title	Day Count
	(All) ▼	🔍	🔍	🔍	🔍	🔍
	<input type="checkbox"/>					

- **Frequency/Title:** This is a text field that allows users to input the title(s) of the frequency option (in English [default], French, Arabic, or German). It is a **mandatory** field.
- **Day Count:** This is a numeric field that allows users to input the day count. It is a **mandatory** field.

field.

- **Active:** This is a checkbox that, when selected, allows for the frequency option to be displayed in the **Frequency** dropdown.
 - This checkbox is automatically unselected when a new frequency option is added; however, if users want the frequency option to be displayed, they can still manually select the checkbox.
- 2. **Discard Changes:** This button allows users to discard their changes.
- 3. **Save Changes:** This button allows users to save their changes.
- 4. **Delete** (): This button allows users to delete a frequency option.

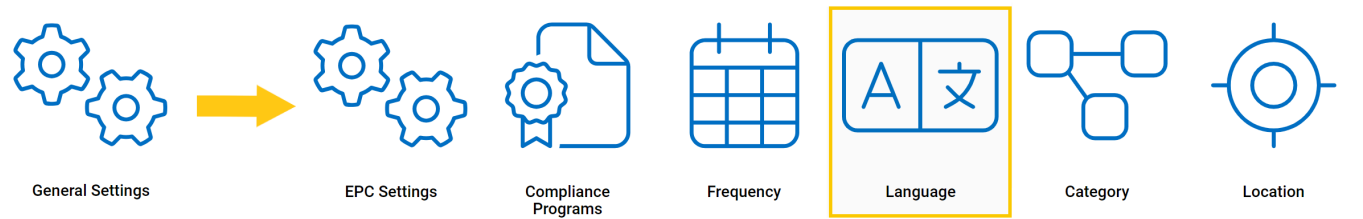
* To confirm the deletion of items in the grid, click on the **Save Changes** button or simply click outside the grid. To undo deletion, click on either the **Discard Changes** button or the **Undo** () icon.

* To edit content within the grid, simply click on the element you want to modify. For additional options or actions related to the grid, please utilize the kebab menu () located in the upper rightmost corner.

! If a frequency option is in use, users cannot delete it without first deleting all instances of its use.

7.1.4. Language

In this section, users can create, edit, and delete the language options displayed in the **Content Language** dropdown. This dropdown is found in the [New Audit Definition](#) form.



Defining Language Options

Although the specific features of this form will be delved into below, it essentially functions the same as any form with an editable grid control—that is, one with **Inline Add/Inline Edit** functions. [For more details on this type of grid and its features, click here.](#)

Language

Create, edit, and/or delete the languages in which an audit or inspection can be written

Add

Discard changes

Save changes

#		Active	Language	French Title	Arabic Title	German Title
		(All) ▾	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
1		<input checked="" type="checkbox"/>	English			
2		<input checked="" type="checkbox"/>	French			
3		<input checked="" type="checkbox"/>	Spanish			
4		<input checked="" type="checkbox"/>	German			
5		<input checked="" type="checkbox"/>	Arabic			

1. **Add:** This button allows users to add a new language option.

Add


Discard changes


Save changes


#		Active	Language	French Title	Arabic Title	German Title
		(All) ▾	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
		<input type="checkbox"/>	<input type="text"/>			

- **Language/Title:** This is a text field that allows users to input the title(s) of the language option (in English [default], French, Arabic, or German). It is a **mandatory** field.
- **Active:** This is a checkbox that, when selected, allows for the language option to be

displayed in the **Content Language** dropdown.

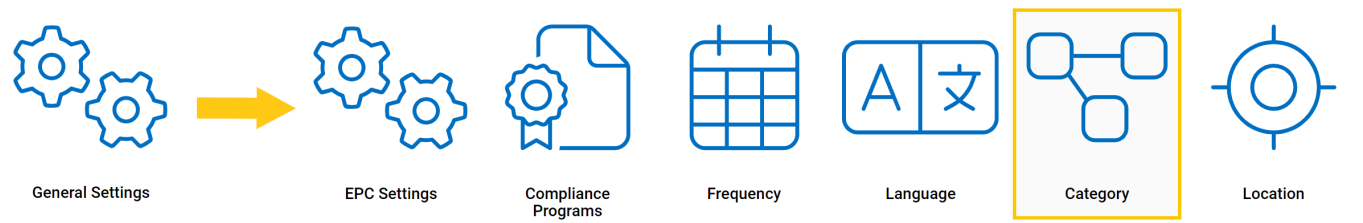
- This checkbox is automatically unselected when a new language option is added; however, if users want the language option to be displayed, they can still manually select the checkbox.
2. **Discard Changes:** This button allows users to discard their changes.
 3. **Save Changes:** This button allows users to save their changes.
 4. **Delete** (): This button allows users to delete a language option.

* To confirm the deletion of items in the grid, click on the **Save Changes** button or simply click outside the grid. To undo deletion, click on either the **Discard Changes** button or the **Undo** () icon.

* To edit content within the grid, simply click on the element you want to modify. For additional options or actions related to the grid, please utilize the kebab menu () located in the upper rightmost corner.

7.1.5. Category

In this section, users can create, edit, and delete the categories displayed in the **Category** dropdown. This dropdown is found in the [New Audit Definition](#) form.



Defining Categories

Although the specific features of this form will be delved into below, it essentially functions the same as any form with an editable grid control—that is, one with **Inline Add/Inline Edit** functions. **For more details on this type of grid and its features, [click here](#).**

Category

Create, edit, and/or delete the categories that are to be used in QMS

Add

Discard changes

Save changes

#		Active	Category	French Title	Arabic Title	German Title
		(All) ▾	🔍	🔍	🔍	🔍
1	🗑	<input checked="" type="checkbox"/>	QMS			
2	🗑	<input checked="" type="checkbox"/>	BCM			
3	🗑	<input checked="" type="checkbox"/>	OHS			
4	🗑	<input checked="" type="checkbox"/>	IT			
5	🗑	<input checked="" type="checkbox"/>	ISMS			

1. **Add:** This button allows users to add a new category.

Add


Discard changes


Save changes


#		Active	Category	French Title	Arabic Title	German Title
		(All) ▾	🔍	🔍	🔍	🔍
	🗑	<input type="checkbox"/>				

- **Category/Title:** This is a text field that allows users to input the title(s) of the category (in English [default], French, Arabic, or German). It is a **mandatory** field.
- **Active:** This is a checkbox that, when selected, allows for the category to be displayed in

the **Category** dropdown.

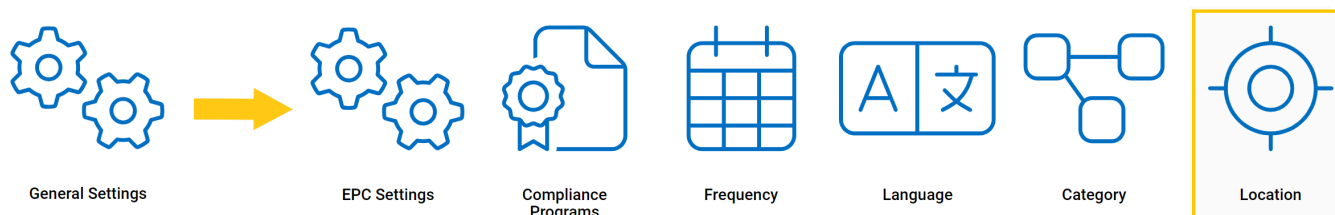
- This checkbox is automatically unselected when a new category is added; however, if users want the category to be displayed, they can still manually select the checkbox.
2. **Discard Changes:** This button allows users to discard their changes.
 3. **Save Changes:** This button allows users to save their changes.
 4. **Delete** (): This button allows users to delete a category.

* To confirm the deletion of items in the grid, click on the **Save Changes** button or simply click outside the grid. To undo deletion, click on either the **Discard Changes** button or the **Undo** () icon.

* To edit content within the grid, simply click on the element you want to modify. For additional options or actions related to the grid, please utilize the kebab menu () located in the upper rightmost corner.

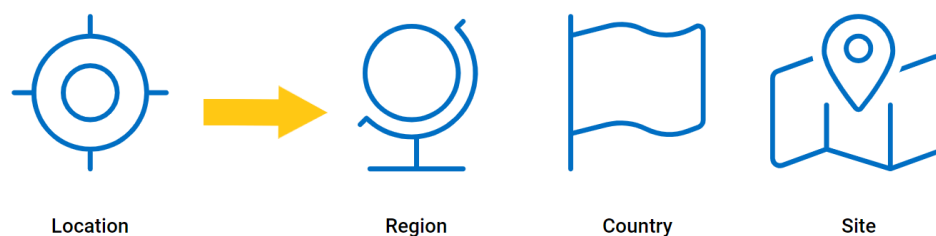
7.1.6. Location

In this section, users can set up the list of locations.



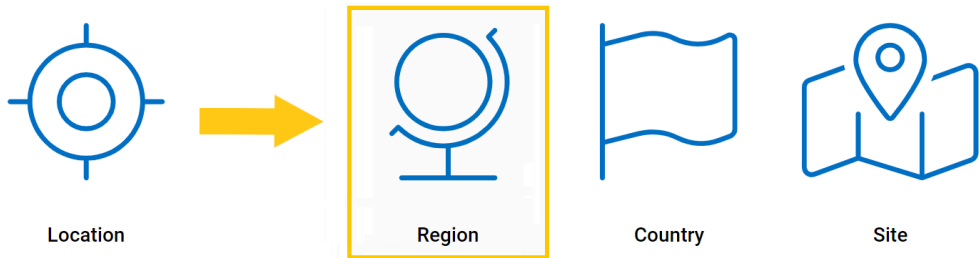
Selecting **Location** directs users to the following subcategories:

1. [Region](#)
2. [Country](#)
3. [Site](#)



7.1.6.1. Region

In this section, users can create, edit, and delete the region options displayed in the **Region** dropdown. This dropdown is found in the [Country](#), [New Site](#), and [New Audit Plan](#) forms.



Defining Region Options

Although the specific features of this form will be delved into below, it essentially functions the same as any form with an editable grid control—that is, one with **Inline Add/Inline Edit** functions. [For more details on this type of grid and its features, click here.](#)

Region

Create, edit, or delete Regions ?

Add

Discard changes

Save changes

#		Active	Name
		(All) ▾	🔍
1	🗑️	<input checked="" type="checkbox"/>	South America
2	🗑️	<input checked="" type="checkbox"/>	North America
3	🗑️	<input checked="" type="checkbox"/>	Europe
4	🗑️	<input checked="" type="checkbox"/>	Asia
5	🗑️	<input checked="" type="checkbox"/>	Oceania

1. **Add:** This button allows users to add a new region option.


Add


Discard changes


Save changes

#		Active	Name
		(All) ▾	🔍
	🗑️	<input type="checkbox"/>	<input type="text"/>

- **Name:** This is a text field that allows users to input the name of the region option. It is a **mandatory** field.

- **Active:** This is a checkbox that, when selected, allows for the region option to be displayed in the **Region** dropdown.
 - This checkbox is automatically unselected when a new region option is added; however, if users want the region option to be displayed, they can still manually select the checkbox.
- 2. **Discard Changes:** This button allows users to discard their changes.
- 3. **Save Changes:** This button allows users to save their changes.
- 4. **Delete** (): This button allows users to delete a region option.

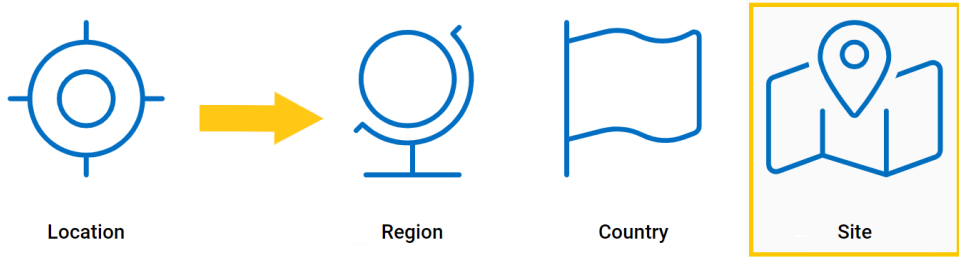
✿ To confirm the deletion of items in the grid, click on the **Save Changes** button or simply click outside the grid. To undo deletion, click on either the **Discard Changes** button or the **Undo** () icon.

✿ To edit content within the grid, simply click on the element you want to modify. For additional options or actions related to the grid, please utilize the kebab menu () located in the upper rightmost corner.

! If a region option is in use, users cannot delete it without first deleting all instances of its use.

7.1.6.2. Country

In this section, users can create, edit, and delete the country options displayed in the **Country** dropdown. This dropdown is found in both the [New Site](#) and [New Audit Plan](#) forms.



Defining Country Options

Although the specific features of this form will be delved into below, it essentially functions the same as any form with an editable grid control—that is, one with **Inline Add/Inline Edit** functions. For more details on this type of grid and its features, [click here](#).

Country

Create, edit, or delete Countries ?

Add

Discard changes

Save changes

#		Active	Country	Region
		(All) ▾	🔍	
1	🗑	<input checked="" type="checkbox"/>	Canada	North America
2	🗑	<input checked="" type="checkbox"/>	Japan	Asia
3	🗑	<input checked="" type="checkbox"/>	France	Europe
4	🗑	<input checked="" type="checkbox"/>	Germany	Europe
5	🗑	<input checked="" type="checkbox"/>	Australia	Oceania

1. **Add:** This button allows users to add a new country option.


Add


Discard changes


Save changes

#		Active	Country	Region
		(All) ▾	🔍	
	🗑	<input type="checkbox"/>		

- **Name:** This is a text field that allows users to input the name of the country option. It is a mandatory field.

- **Region:** This is a single-select dropdown field that retrieves the list of predefined regions. It allows users to select only one value at a time from the dropdown.
 - **Active:** This is a checkbox that, when selected, allows for the country option to be displayed in the **Country** dropdown.
 - This checkbox is automatically unselected when a new country option is added; however, if users want the country option to be displayed, they can still manually select the checkbox.
2. **Discard Changes:** This button allows users to discard their changes.
 3. **Save Changes:** This button allows users to save their changes.
 4. **Delete** (): This button allows users to delete a country option.

* To confirm the deletion of items in the grid, click on the **Save Changes** button or simply click outside the grid. To undo deletion, click on either the **Discard Changes** button or the **Undo** () icon.

* To edit content within the grid, simply click on the element you want to modify. For additional options or actions related to the grid, please utilize the kebab menu () located in the upper rightmost corner.

! If a country option is in use, users cannot delete it without first deleting all instances of its use.

7.1.6.3. Site

In this section, users can create, edit, and delete the site options displayed in the **Site** dropdown. This dropdown is found in both the [New Audit Definition](#) and [New Audit Plan](#) forms.



Defining Site Options

Although the specific features of this form will be delved into below, it essentially functions the same as any form with an editable grid control—that is, one with **Add/Edit** functions. For more details on this type of grid and its features, [click here](#).

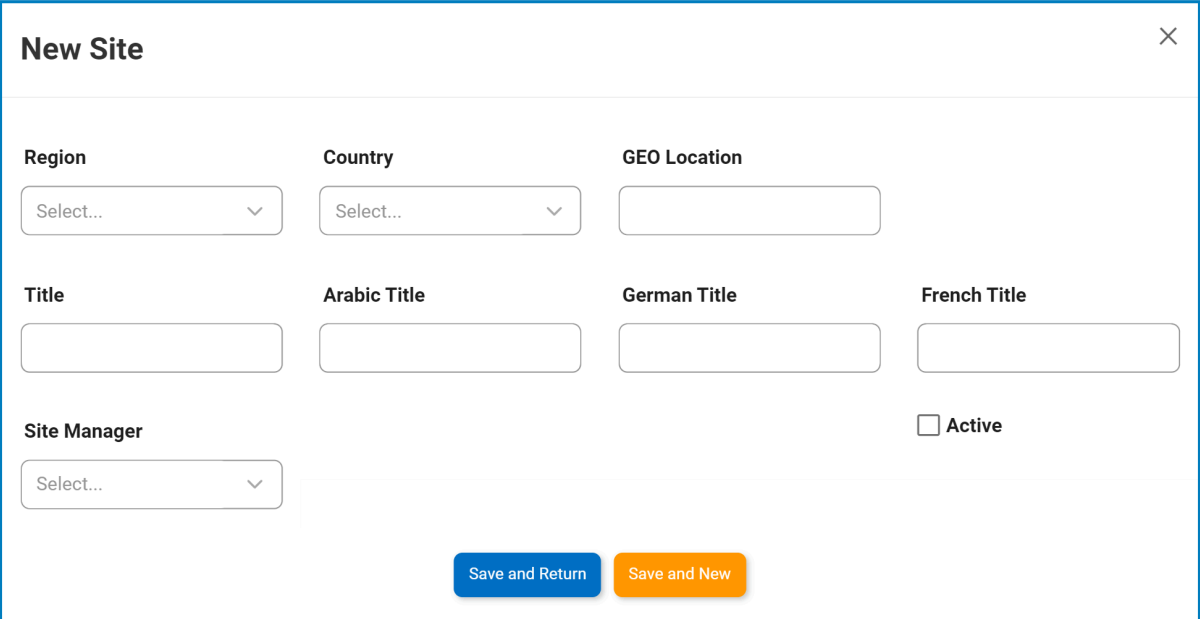
Site

Create, edit, or delete Sites

AddDiscard changesSave changes

	Active	Site	Region	Country	Site Manager	GEO Location	French Title	Arabic Title	German Title
	(. ▾	🔍				🔍	🔍	🔍	🔍
🗑️✎️	☑️	Montreal	North America	Canada	John.Doe				
🗑️✎️	☑️	Paris	Europe	France	Jane.Doe				
🗑️✎️	☑️	Tokyo	Asia	Japan	John.Doe				
🗑️✎️	☑️	Sydney	Oceania	Australia	Richard.Roe				
🗑️✎️	☑️	Berlin	Europe	Germany	Max.Mustermann				

1. **Add:** This button allows users to add a new site option.
- If selected, it will display the [New Site](#) form.



New Site ✕


Region **Country** **GEO Location**

Title **Arabic Title** **German Title** **French Title**

Site Manager ☐ **Active**


Save and Return **Save and New**


- **Region:** This is a single-select dropdown field that retrieves the list of predefined regions (from the [Region List](#)).
- **Country:** This is a single-select dropdown field that retrieves the list of predefined countries (from the [Country List](#)).
- **GEO Location:** This is a text field that allows users to input the GEO location of the site option.
- **Title:** This is a text field that allows users to input the title of the site option (in English [default]). It is a **mandatory** field.
- **Arabic Title:** This is a text field that allows users to input the Arabic title of the site option.
- **German Title:** This is a text field that allows users to input the German title of the site option.
- **French Title:** This is a text field that allows users to input the French title of the site option.
- **Site Manager:** This is a text field that single-select dropdown field that retrieves the list of users. It is a **mandatory** field.
 - The user selected will be assigned as manager of the site.
- **Active:** This is a checkbox that, when selected, allows for the site option to be displayed in the **Site** dropdown.
 - This checkbox is automatically unselected when a new site option is added; however, if users want the site option to be displayed, they can still manually select the checkbox.
- **Save and Return:** This button allows users to save the site option and return to the main form.
- **Save and New:** This button allows users to save the site option and open a new form to create another site option.

2. **Delete** (): This button allows users to delete a country option.






To confirm the deletion of items in the grid, click on the **Save Changes** button or simply click outside the grid. To undo deletion, click on either the **Discard**

Changes button or the **Undo** () icon.

3. **Edit** (): This button allows users to edit an existing site option.

 To edit, users can also simply double-click on the respective entry in the grid.

 To access additional options or perform actions related to the grid, please utilize the kebab menu () located in the upper rightmost corner.

 If a site option is in use, users cannot delete it without first deleting all instances of its use.

7.2. Audit Settings

Selecting **Audit Settings** directs users to the following subcategories:

1. [Test Methods](#)
2. [Audit Types](#)
3. [Related To](#)
4. [Audit Methods](#)
5. [Teams](#)



Audit Settings



Test Methods



Audit Types



Related To



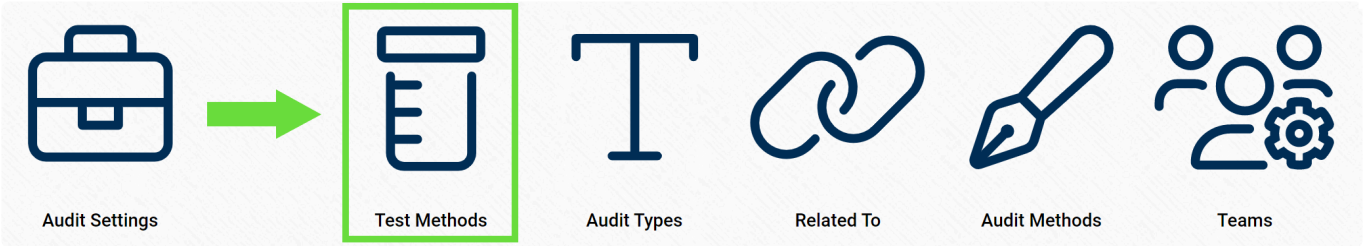
Audit Methods



Teams

7.2.1. Test Methods

In this section, users can create, edit, and delete the test methods displayed in the **Test Methods** dropdown. This dropdown is found in the [Create Evidence](#) form.



Defining Test Methods

Although the specific features of this form will be delved into below, it essentially functions the same as any form with an editable grid control—that is, one with **Inline Add/Inline Edit** functions. [For more details on this type of grid and its features, click here.](#)

Test Methods

Create, edit, and/or delete the test methods

+ Inline Add

Inline Edit

Export to Excel

Excel template

Import from Excel

		Test Method	French Title	Arabic Title	German Title	Active
		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
1		Observation				<input checked="" type="checkbox"/>
2		Inspection				<input checked="" type="checkbox"/>
3		Recalculation				<input checked="" type="checkbox"/>
4		Interview				<input checked="" type="checkbox"/>

1. **Inline Add:** This button allows users to add a new test method.

✓ Save

✗ Cancel

Export to Excel

Excel template

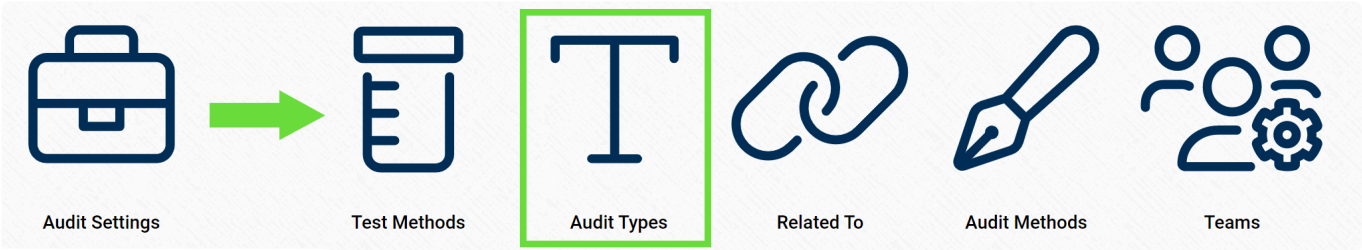
Import from Excel

		Test Method	French Title	Arabic Title	German Title	Active
		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
1						<input checked="" type="checkbox"/>

- **Test Method/Title:** This is a text field that allows users to input the title(s) of the test method (in English [default], French, German, or Arabic). It is a **mandatory** field.
 - **Active:** This is a checkbox which, if enabled, allows for the test method to be displayed in the **Test Methods** dropdown.
 - This checkbox is automatically enabled whenever a new test method is added; however, if users do not want the test method to be displayed, they can still manually deselect the checkbox.
2. **Inline Edit:** This button allows users to edit an existing test method.
 3. **Delete:** This button allows users to [delete](#) a test method.
 4. **Export/Template/Import:** These buttons allow users to to [extract and integrate data](#).

7.2.2. Audit Type

In this section, users can create, edit, and delete the audit types displayed in the **Audit Type** dropdown. This dropdown is found in the [New Audit Definition](#) form.



Defining Audit Types

Although the specific features of this form will be delved into below, it essentially functions the same as any form with an editable grid control—that is, one with **Inline Add/Inline Edit** functions. [For more details on this type of grid and its features, click here.](#)

Audit Types

Create, edit, and/or delete the audit types

As a standard audit type, the “Supplier” option will impact the visibility of certain fields in the New Audit Definition form

+ Inline Add

Inline Edit

Export to Excel

Excel template

Import from Excel

		Audit Type	French Title	Arabic Title	German Title	Active
		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
1		Internal				<input checked="" type="checkbox"/>
2		External				<input checked="" type="checkbox"/>
3		Supplier				<input checked="" type="checkbox"/>

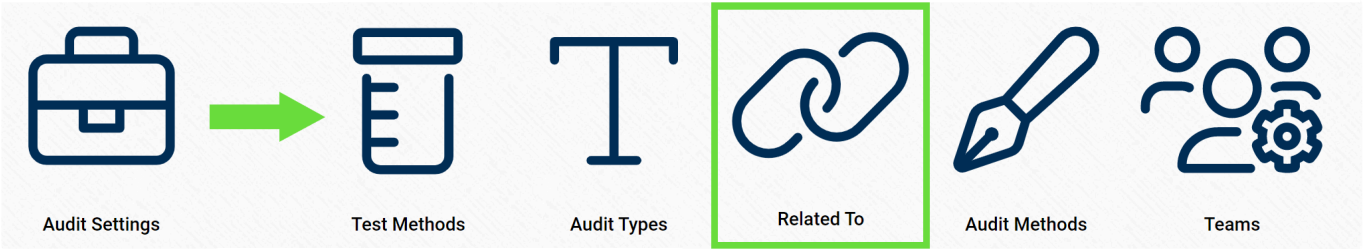
- 1. **Inline Add:** This button allows users to add a new audit type.

	Audit Type	French Title	Arabic Title	German Title	Active
1	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input checked="" type="checkbox"/>

- **Audit Type/Title:** This is a text field that allows users to input the title(s) of the audit type (in English [default], French, Arabic, or German).
 - **Active:** This is a checkbox which, if enabled, allows for the audit type to be displayed in the **Audit Type** dropdown.
 - This checkbox is automatically enabled whenever a new audit type is added; however, if users do not want the audit type to be displayed, they can still manually deselect the checkbox.
2. **Inline Edit:** This button allows users to edit an existing audit type.
 3. **Delete:** This button allows users to [delete](#) an audit type.
 4. **Export/Template/Import:** These buttons allow users to to [extract and integrate data](#).

7.2.3. Related To

In this section, users can create, edit, and delete the audit relations displayed in the **Audit Related To** dropdown. This dropdown is found in the [New Audit Definition](#) form.



Defining Audit Relations

Although the specific features of this form will be delved into below, it essentially functions the same as any form with an editable grid control—that is, one with **Inline Add/Inline Edit** functions. [For more details on this type of grid and its features, click here.](#)

Audit Related To List

Create, edit, and/or delete the items to which an audit can be related

“Process,” “Service,” and “Product” are standard audit relations. In the New Audit Definition form, if “Process” and/or “Service” are selected as options, the corresponding dropdowns will be enabled to allow users to relate the audit to the applicable EPC objects.

Likewise, if “Product” is selected, the corresponding dropdown will be enabled. The user will also be provided the option of relating the product to other EPC objects.

+ Inline Add

Inline Edit


Export to Excel

Excel template

Import from Excel

	Item	French Title	Arabic Title	German Title	Active
	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
1	Process				<input checked="" type="checkbox"/>
2	Product				<input checked="" type="checkbox"/>
3	Service				<input checked="" type="checkbox"/>

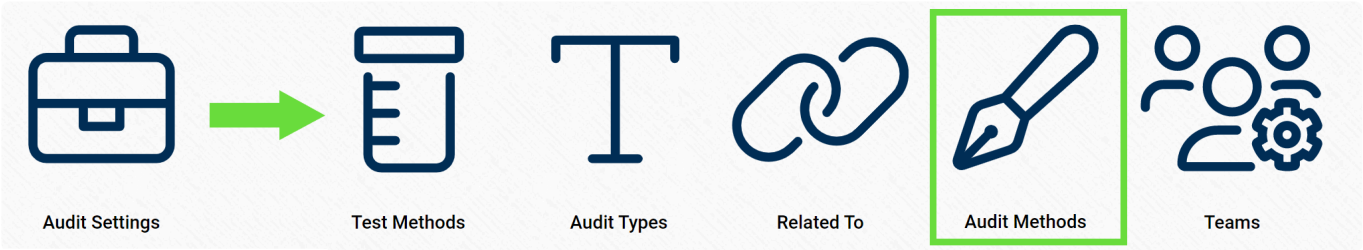
- 1. **Inline Add:** This button allows users to add a new audit relation.

		Item	Arabic Title	German Title	French Title	Active
1		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input checked="" type="checkbox"/>

- **Item/Title:** This is a text field that allows users to input the title(s) of the audit relation (in English [default], Arabic, German, or French).
 - **Active:** This is a checkbox which, if enabled, allows for the audit relation to be displayed in the **Audit Related To** dropdown.
 - This checkbox is automatically enabled whenever a new audit relation is added; however, if users do not want the audit relation to be displayed, they can still manually deselect the checkbox.
2. **Inline Edit:** This button allows users to edit an existing audit relation.
 3. **Delete:** This button allows users to [delete](#) an audit relation.
 4. **Export/Template/Import:** These buttons allow users to to [extract and integrate data](#).

7.2.4. Audit Method

In this section, users can create, edit, and delete the audit methods displayed in the **Audit Methods** dropdown. This dropdown is found in the [New Audit Definition](#) form.



Defining Audit Methods

Although the specific features of this form will be delved into below, it essentially functions the same as any form with an editable grid control—that is, one with **Inline Add/Inline Edit** functions. **For more details on this type of grid and its features, [click here](#).**

Audit Method

Create, edit, and/or delete the audit methods

+ Inline Add

Inline Edit






Export to Excel

Excel template

Import from Excel

		Audit Method	French Title	Arabic Title	German Title	Active
		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
1		Observation				<input checked="" type="checkbox"/>
2		Inspection				<input checked="" type="checkbox"/>
3		Inquiry				<input checked="" type="checkbox"/>
4		Confirmation				<input checked="" type="checkbox"/>

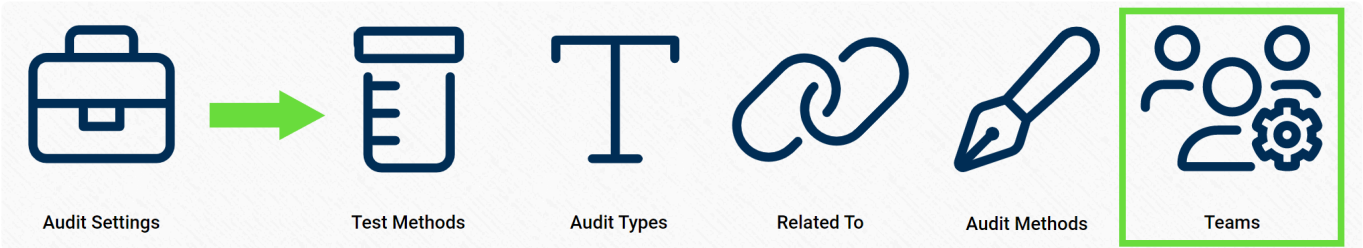
- 1. **Inline Add:** This button allows users to add a new audit method.

 Save  Cancel		 Export to Excel		 Excel template		 Import from Excel	
	Audit Method	French Title	Arabic Title	German Title	Active		
1	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input checked="" type="checkbox"/>		

- **Audit Method/Title:** This is a text field that allows users to input the title(s) of the audit method (in English [default], French, Arabic, or German).
 - **Active:** This is a checkbox which, if enabled, allows for the audit method to be displayed in the **Audit Methods** dropdown.
 - This checkbox is automatically enabled whenever a new audit method is added; however, if users do not want the audit method to be displayed, they can still manually deselect the checkbox.
2. **Inline Edit:** This button allows users to edit an existing audit method.
 3. **Delete:** This button allows users to [delete](#) an audit method.
 4. **Export/Template/Import:** These buttons allow users to to [extract and integrate data](#).

7.2.5. Teams

In this section, users can create, edit, and delete the teams displayed in the **Team** dropdown. This dropdown is found in the [New Audit Definition](#) form.



Defining Teams

Although the specific features of this form will be delved into below, it essentially functions the same as any form with an editable grid control—that is, one with **Add/Edit** functions. [For more details on this type of grid and its features, click here.](#)

Team list

Search Panel

Team Name

Team Leader

Select...


Filter

Clear Filter

+ Add

Edit

	Active	Team Name	Team Leader	Members
		<div></div>	<div></div>	<div></div>
1	<div><div></div><div></div></div>	Laboratory External Audit Team	John Doe	Jane.Doe; John.Doe
2	<div><div></div><div></div></div>	Laboratory Internal Audit Team	Jane Doe	Jane.Doe; Richard.Roe
3	<div><div></div><div></div></div>	Financial Forecasting Team	Max Mustermann	Erika.Mustermann; Max.Mus...
4	<div><div></div><div></div></div>	ISO 9001 Internal Audit Team	Maria Ivanova	Jan.Janssen; Joe.Bloggs; Ma...
5	<div><div></div><div></div></div>	SOC External Audit Team	Joe Bloggs	Jane.Doe; Joe.Bloggs; John....

 [For more details on the single-select and multi-select dropdown fields populating this form, click here.](#)

1. **Team Name:** This is a text field that allows users to input the name of the team.
 - This field acts as a search box. Any value inputted in this field will be, upon request, searched for in the grid and, if possible, retrieved.
2. **Team Leader:** This is a single-select dropdown field that retrieves the list of users.
 - This field acts as a search box. Any value inputted in this field will be, upon request, searched for in the grid and, if possible, retrieved.
3. **Filter:** This button retrieves the list of requests that match with the search (based on the values entered).
4. **Clear Filter:** This button clears the filter that was used in the previous search.
5. **Add:** This button allows users to add a new audit team.
 - If selected, it will open a pop-up window with the following form:

Audit team ✕

An audit team should be selected, taking into account the competence needed to achieve the objectives of the individual audit within the defined scope. If there is only one auditor, the auditor should perform all applicable duties of an audit team leader.

Team Name **Team Leader**

▼

Members ? **Select All** **Deselect All**

▼

☒ **Active**

Save and Return **Save and New**

- **Team Name:** This is a text field that allows users to input the name of the audit team. It is a **mandatory** field.
- **Team Leader:** This is a single-select dropdown field that retrieves the list of users. It is a **mandatory** field.
 - The user selected will be assigned as leader of the audit team.
- **Members:** This is a multi-select dropdown field that retrieves the list of users.
 - The users selected will be assigned as potential auditors in the New Audit Definition form.
- **Active:** This is a checkbox which, if enabled, allows for the team to be displayed in the **Team** dropdown.
 - This checkbox is automatically enabled whenever a new team is added; however, if users do not want the team to be displayed, they can still manually

deselect the checkbox.

- **Save and Return:** This button allows users to save the team and return to the main form.
- **Save and New:** This button allows users to save the team and open a new form to create another team.

6. **Edit:** This button allows users to edit an existing audit team.

7. **Delete:** This button is used to [delete](#) an audit team.

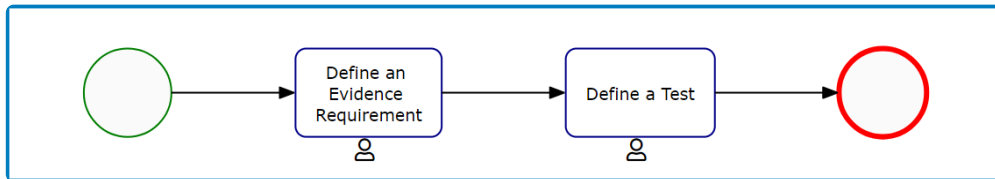
8. Audit Application Forms and Workflows

In the sections of the manual that follow, we will be delving into the various forms and workflows of the **Audit** application.

Generally, the workflows of the **Audit** application can be divided into four supersets :

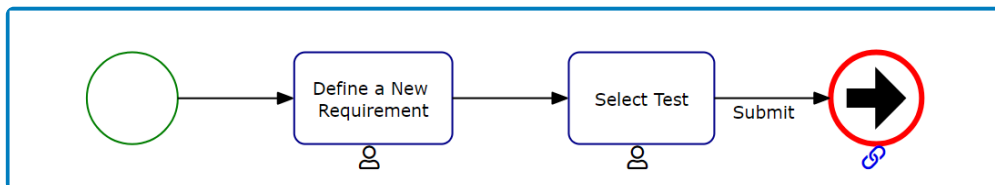
1. Define Evidence and Tests

This workflow consists of two primary stages: [Define an Evidence Requirement](#) and [Define a Test](#).



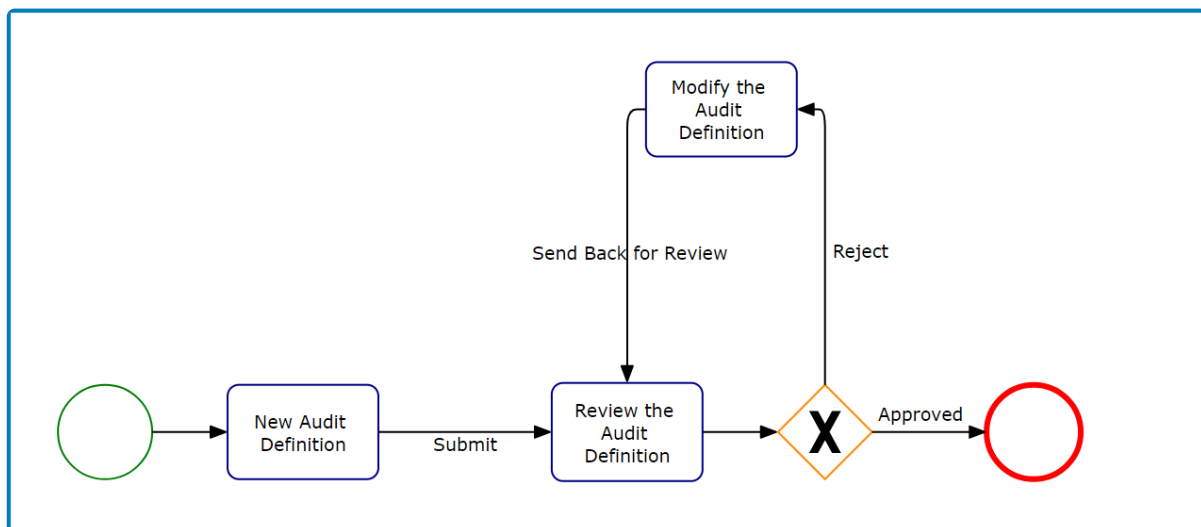
2. Define Requirements

This workflow consists of a two primary stages: [Define a New Requirement](#) and [Select Test](#). Both stages are accomplished in the [New Requirement](#) form.



3. Define Audits

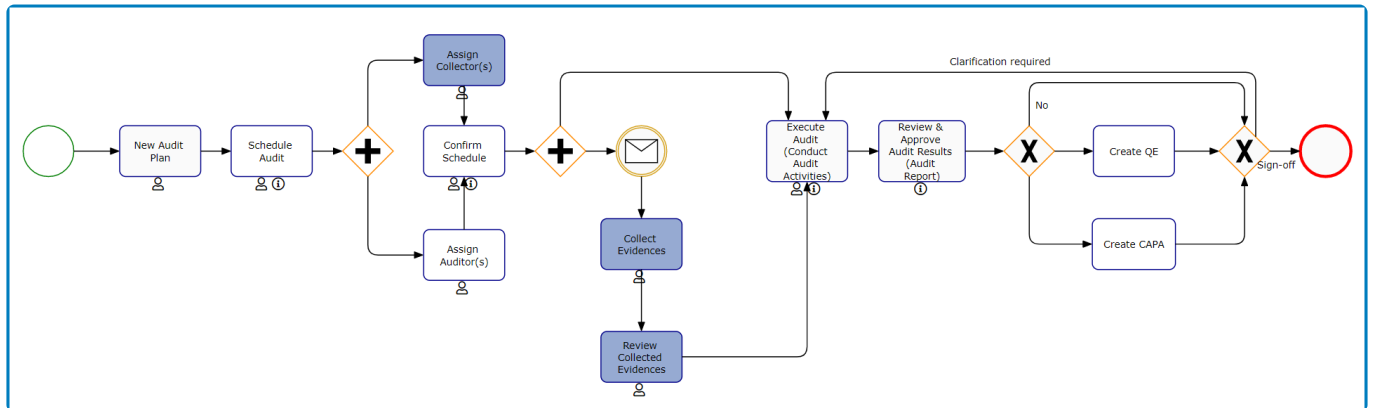
This workflow consists of three primary stages: [New Audit Definition](#), [Review the Audit Definition](#), and [Modify the Audit Definition](#).



****** Although the [Modify the Audit Definition](#) form is part of the workflow, it is only issued if the audit definition is rejected by the reviewer.

4. Plan & Execute Audits

This workflow consists of seven primary stages: [New Audit Plan](#), [Schedule Audit](#), [Assign Auditors](#), [Assign Collectors](#), [Confirm Schedule](#), [Execute Audit](#), and [Review & Approve Audit Results](#).



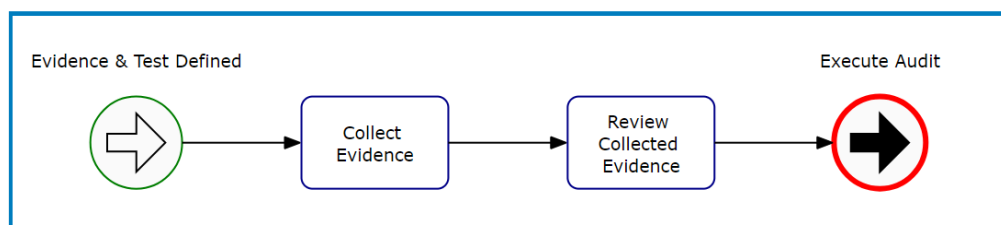
** Although the [Assign Collectors](#) form is part of the workflow, it is only issued if an audit requirement is linked to a test.

** Likewise, the [Collect Evidence](#) workflow (described in more detail below) is only included in this workflow if an audit requirement is linked to a test.

The Plan & Execute Audits workflow encompasses two other workflows:

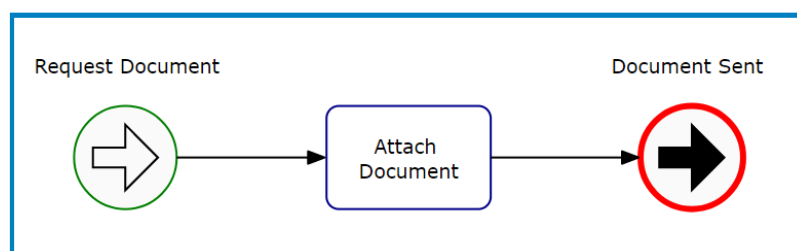
- **Collect Evidence**

- This workflow is triggered only if an audit requirement is linked to a test—that is, a test with assigned evidence.
- It consists of two primary stages: [Collect Evidence](#) and [Review Collected Evidence](#).



- **Attach Evidence**

- This workflow is triggered only if a document request has been issued (in the [Validate Requirement](#) form).
- It consists of a single stage: [Attach Evidence](#).



9. New Audit Definition

In this module, users can define a new audit. Upon submission, it will trigger the [Define Audits](#) workflow. Users will be guided on how to navigate this workflow throughout the **New Audit Definition** portion of this manual.

For the purposes of ease and clarity, the New Audit Definition form has been divided into several subsections within this manual.

- For more details on the contents of this form, [click here](#).

9.1. Define Audit

In the New Audit Definition form, users can create and customize the audit to align with their specific needs and preferences.

New Audit Definition

Copy an existing definition (optional) ?

Select...

Copy Audit Definition

Audit Name

Audit ID

AUD-2023-00022

+ Details

+ Requirements

+ Scope (optional)

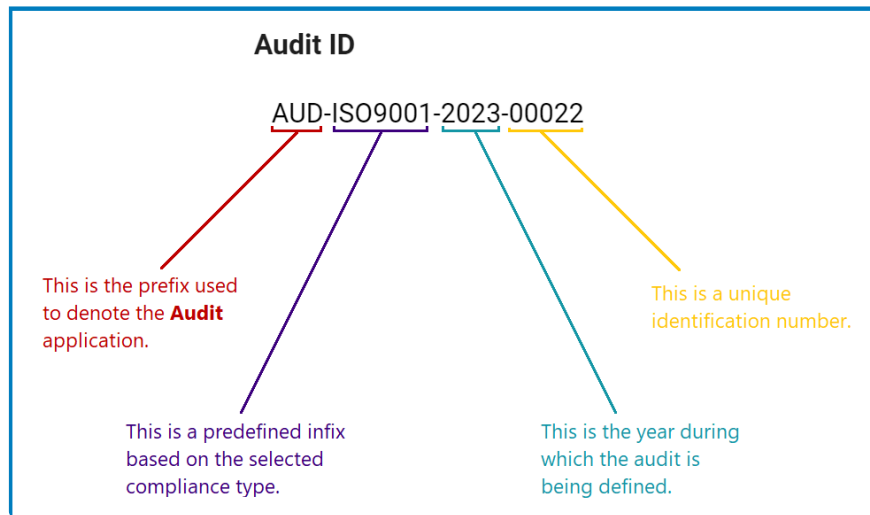
+ Logistics & Preparations (optional)

+ Agenda (optional)

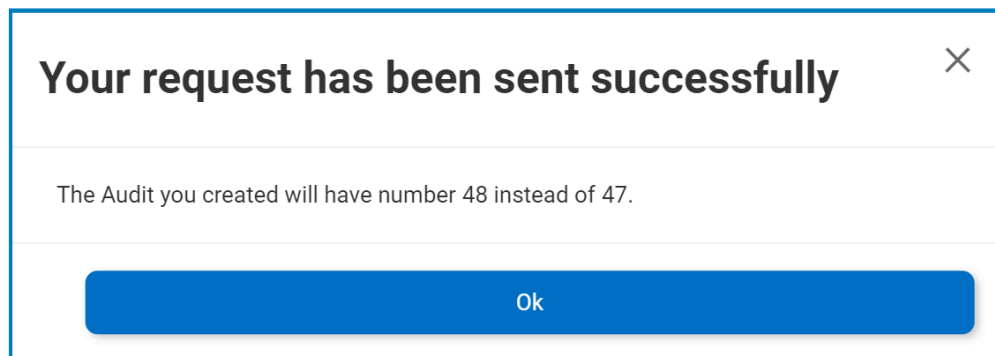
+ Comments (optional)

Submit form

- Copy an Existing Definition:** This is a single-select dropdown field that retrieves the list of audit definitions. The audit definition selected will have its information copied and reused.
- Copy Audit Definition:** This button allows users to copy the information from the selected audit definition.
 - Once this button is clicked on, all fields in the form will be updated according to the selected audit definition. Users can then modify the updated fields.
- Audit Name:** This is a text field that allows users to input the name of the audit. It is a **mandatory** field.
- Audit ID:** This field is automatically populated with a unique identifier when a new audit is defined. Users cannot modify the field.
 - When a compliance program is selected, the audit ID will dynamically update to incorporate the appropriate infix.
 - For example, if ISO 9001 is selected as a compliance program, the audit ID undergoes the following modification:




5. **Accordions:** The form includes several collapsible sections, known as accordions, which each serve a specific purpose.
- [Details](#)
 - [Requirements](#)
 - [Scope \(Optional\)](#)
 - [Logistics & Preparations \(Optional\)](#)
 - [Agenda \(Optional\)](#)
 - [Comments \(Optional\)](#)
6. **Submit Form:** This button allows users to submit the completed form.
- To maintain the integrity of the Audit ID system, we have implemented a validation mechanism. When users select this button and are ejected from the [New Audit Definition](#) module, a pop-up window may appear with the following message:



- This notification is triggered by the ID allocation system, which is designed to prevent duplicate Audit IDs when multiple audit definitions are initiated simultaneously (or within seconds of one another).
 - For example, if two users were to simultaneously create and submit their audit definitions, the following change (or lack thereof) will be observed:
 - For one user, the Audit ID in the following stages of the Define Audits workflow will match the value displayed in this form.
 - For the other user, the Audit ID in the following stages of the Define Audits workflow will be one value greater than the value displayed in this form.
 - Any necessary alterations to the Audit ID will be communicated through this message.

- Users can dismiss the window by clicking either the **Exit** button (**X**) or the **OK** button.
- Once the New Audit Definition form has been submitted, it will be [sent for review](#).



To access additional options or perform actions related to the form, please utilize the kebab menu () located in the upper rightmost corner.

9.1.1. Details

In this section of the New Audit Definition form, users can define the details that shape the audit program.

Details

Audit Subject	Audit Type	Compliance Program	Category
<input type="text"/>	<input type="text" value="Select..."/>	<input type="text" value="Select..."/>	<input type="text" value="Select..."/>
Business Division ?	Business Line ?	Content Language ?	Frequency
<input type="text" value="Select.."/>	<input type="text" value="Select..."/>	<input type="text" value="Select..."/>	<input type="text" value="Select..."/>
Estimated Effort (Hours) ?	First Reminder to Be Sent ?	Audit Methods	Site
<input type="text" value="Hours"/>	<input type="text" value="Days"/>	<input type="text" value="Select..."/>	<input type="text" value="Select..."/>
Team ?	Team Leader ?	Participant Auditors ?	
<input type="text" value="Select..."/>		<input type="text"/>	

Audit Related To (optional)

Link this audit definition to EPC Processes, Services or Products using the fields below.

Related To	EPC Process(es)	EPC Service(s)	Product(s)
<input type="text" value="Select..."/>			

What is the reason for this audit? (optional)

Paragraph
A[Ⓐ] A^ℱ A^ℙ A[Ⓜ] B I U S ≡ ∑ ∴ ≡ ≡ ↺ ↻

↶ ↷

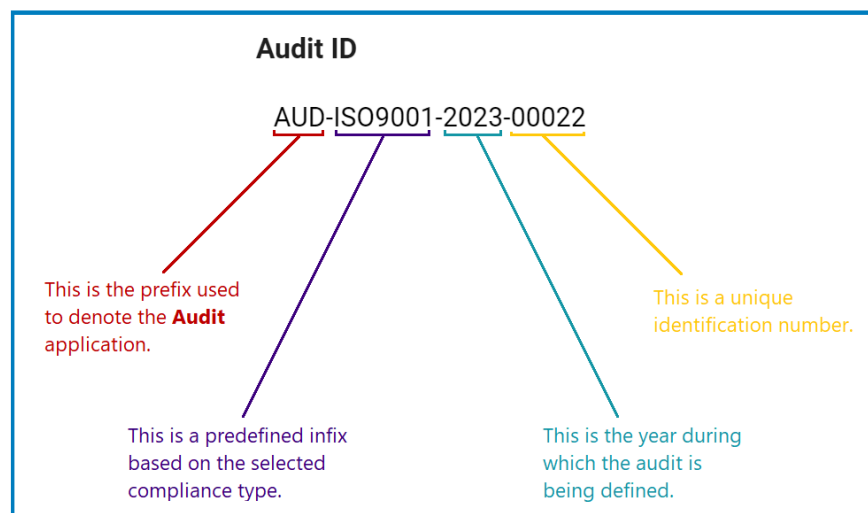


For guidance on common form functions, please refer to the [dedicated section](#) in the manual.

1. **Audit Subject:** This is a text field that allows users to input the subject of the audit.
2. **Audit Type:** This is a single-select dropdown field that retrieves the list of predefined audit types. It is a mandatory field. It allows users to specify and categorize the type of audit to be conducted.
 - Audit Types (Standard): External, Internal, and Supplier.
 - If Supplier is selected, it will display the following fields:

Supplier <input type="text" value="Select..."/>	Supplier Email <input type="text"/>	Supplier Contact Number <input type="text"/>	Supplier Address <input type="text" value="Paragraph"/>
---	---	--	---

- **Supplier:** This is a single-select dropdown field that retrieves the list of suppliers (from the [Supplier List](#) module of the **Supplier** application).
 - **Supplier Email:** Once a supplier has been selected from the dropdown, this field will automatically be populated with the email inputted in the [New Supplier](#) form
 - **Supplier Contact Number:** Once a supplier has been selected from the dropdown, this field will automatically be populated with the contact number inputted in the [New Supplier](#) form
 - **Supplier Address:** Once a supplier has been selected from the dropdown, this field will automatically be populated with the address inputted in the [New Supplier](#) form
- Audit types are created in the [Audit Types](#) section of **Audit Settings**.
3. **Compliance Program:** This is a single-select dropdown field that retrieves the list of predefined compliance programs. It allows users to select the applicable compliance program for the audit.
- When a compliance program is selected, the audit ID will dynamically update to incorporate the appropriate infix.
 - For example, if [ISO 9001](#) is selected as a compliance program, the audit ID undergoes the following modification:



- Compliance types are created in the [Compliance Types List](#) section of **General Settings**.
4. **Category:** This is a single-select dropdown field that retrieves the list of predefined categories.
- Categories are created in the Category section of **General Settings**.
5. **Business Division:** This is a single-select dropdown field that retrieves the list of business divisions or departments. It allows users to specify the relevant business division for the audit.
- Once a parent department is selected from this field, it will filter the items in the **Business Line** dropdown.
6. **Business Line:** This is a single-select dropdown field that retrieves the list of business lines associated with the selected business division. It allows users to specify the relevant business line for the audit.

- All child departments of the selected parent department will be displayed in this list.
7. **Content Language:** This is a single-select dropdown field that retrieves the list of predefined language options. It allows users to select the language in which the audit content will be presented.
 - Language options are created in the [Language](#) of section **General Settings**.
 8. **Frequency:** This is a single-select dropdown field that retrieves the list of predefined frequencies. It allows users to specify the frequency at which the audit will be conducted.
 - Frequency options are created in the [Frequency](#) section of **General Settings**.
 9. **Estimated Effort (Hours):** This is a numeric field that allows users to input the estimated number of hours it will take to execute the audit.
 10. **First Reminder to Be Sent:** This is a numeric field that allows users to input the number of days that can pass before the first reminder about the scheduled audit should be sent.
 11. **Audit Methods:** This is a multi-select dropdown field that retrieves the list of predefined audit methods. It allows users to choose one or more audit methods applicable to the audit.
 - Audit methods are created in the [Audit Method](#) section of **Audit Settings**.
 12. **Site:** This is a multi-select dropdown field that retrieves the list of predefined location sites. It allows users to specify the site associated with the audit.
 - Site options in this dropdown adhere to the following template: [Region] – [Country] – [Site].

The screenshot shows a modal dialog box titled "Site". At the top is a search input field with a magnifying glass icon. Below it is a list of items, each preceded by a checkbox. The items are: "Select All", "North America - Canada - Alberta", "North America - Canada - Calgary", "North America - Canada - Montr...", and "North America - Canada - Toronto". At the bottom of the dialog are two buttons: "OK" and "Cancel".

- Site options are created in the [Site](#) form. To properly set up a site, however, users will first need to set up the corresponding region in the [Region](#) form and the corresponding country in the [Country](#) form.
 - For example, to establish Montreal as the site for the audit, users will first need to set up North America as a region and Canada as a country in the associated forms.
 - These forms are all found in the [Location](#) section of **General Settings**.
- 13. **Team:** This is a single-select dropdown field that retrieves the list of predefined teams. It is a **mandatory** field. It allows users to assign the audit to a specific team.
 - Teams are created in the [Team](#) section of **Audit Settings**.
 - In the [Team](#) form, users can define the Team Name, Team Leader, and Team Members.

14. **Team Leader:** Once a team has been selected from the above dropdown, this field is automatically populated with the associated team leader.
15. **Participant Auditors:** Once a team has been selected from the above dropdown, this field is automatically populated with the list of associated team members. Users can still modify the field.



The users displayed/inputted in this field will appear again in the [Schedule Audit](#) stage of the [Plan & Execute Audits](#) workflow, when the team leader is tasked with both selecting a lead auditor and assigning an auditor per requirement.

16. **Related To:** This is a multi-select dropdown field that retrieves the list of predefined audit relations. It allows users to define their audit as specific to certain processes, products, services, etc.
 - Audit Relations (Standard): Process, Service, Product.
 - If Process is selected, it will enable the **EPC Process(es)** dropdown.

- **EPC Process(es):** This is a multi-select dropdown field that retrieves the list of processes from EPC.
- If Service is selected, it will enable the **EPC Service(s)** dropdown.

- **EPC Service(s):** This is a multi-select dropdown field that retrieves the list of capabilities from EPC.
- If Product is selected, it will enable the **Product(s)** dropdown.
 - **Product(s):** This is a multi-select dropdown field that retrieves the list of products from the **Products** application.

- Audit relations are created in the [Audit Related To List](#) section of **Audit Settings**.
17. **What is the reason for this audit?:** This is a rich text field that allows users to provide the reason for the audit.
 - For more details on this field, [click here](#).

9.1.2. Requirements

In this section of the [New Audit Definition](#) form, users can specify the requirements to be validated during the audit.

Within the **Requirements** tab, there are two subtabs to consider:

1. Select Prior Requirements

In this tab, users can access all requirements previously defined in the system, including QMS-defined and EPC-defined requirements chosen for past audits. Users can select requirements from this list to assign to the current audit.



QMS-defined requirements are those defined using the [Requirement Management](#) application.

Requirements

Select Prior Requirements

Select New Requirements

Discard changes

Save changes

Selected for Import	Requirement ID	Requirement Name	Description	Module
(All) ▾	<input type="text"/>	<input type="text"/>	<input type="text"/>	
<input type="checkbox"/>	1	ISMS Scope Document	A document precisely defining assets, locations, technology,	Document
<input type="checkbox"/>	2	Evaluate ISMS Performance	The performance of the ISMS must be reviewed to evaluate	Process
<input type="checkbox"/>	3	Conduct ISMS Management Review	The organization's Information Security Management System	Process
<input type="checkbox"/>	4	Laboratory Document Control	The laboratory must have a document management system.	QMS Defined
<input type="checkbox"/>	5	Laboratory Testing Integrity & Compliance	The laboratory must have written documentation for all tests and	QMS Defined

5 ▾

Page 1 of 140 (699 items) < 1 of 140 >

Select All

Deselect All

Assign Selected

Summary of Requirements

All requirements assigned to this audit definition are listed below.

Discard changes

Save changes

Requirement... ↑	Requirement Name	Module	Responsibilities	Assets
<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>
There is no data to display.				

!

In this grid, users can mark individual requirements for assignment by checking the corresponding **Selected** checkbox. Selections can be saved by clicking the **Save Changes** button or by simply clicking outside the grid. To discard selections, click on the **Discard Changes** button

1. **Select All:** This button allows users to select all requirements in the grid for assignment.

2. **Deselect All:** This button allows users to deselect all requirements in the grid.







3. **Assign Selected:** This button allows users to assign the selected requirements in the grid.
 - Once assigned, these requirements will automatically populate the grid inside the **Summary of Requirements** accordion.


Summary of Requirements



All requirements assigned to this audit definition are listed below.



Discard changes

Save changes

	Requirement ID	Requirement Name	Module	Responsibilities	Assets
	<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>
 	4	Laboratory Document Control	QMS Defined		
 	5	Laboratory Testing Integrity & Compliance	QMS Defined		
 	6	Laboratory Health and Safety	QMS Defined		

- To delete a requirement, select the corresponding **Delete** () icon.

 To confirm the deletion of items in the grid, click on the **Save Changes** button or simply click outside the grid. To undo deletion, click on either the **Discard Changes** button or the **Undo** () icon.

- To view a requirement, select the corresponding **View** () icon.
- To access the full content of the requirement description, select the corresponding **Expand** () icon.

2. Select New Requirements

In this tab, users can select new requirements to assign to the audit.

Requirements

Select Prior Requirements

Select New Requirements

Select Module

Select... ▾

Summary of Requirements

All requirements assigned to this audit definition are listed below.

Discard changes

Save changes

⋮

Requirement... ↑	Requirement Name	Module	Responsibilities	Assets
🔍	🔍		🔍	🔍
There is no data to display.				

1. **Select Module:** This is a single-select dropdown field that retrieves the list of EPC modules (Process, Document, Rule, Control, and Capability).
 - Once a module is selected, the **Select Folder** field becomes visible.

Select Module

Select Folder

Process ▾

▾

2. **Select Folder:** This is a single-select field that displays a list of the selected module's parent folders. Rather than in a dropdown menu, however, this list is displayed in a pop-up window.
 - Once a folder is selected, the EPC Objects grid becomes visible, automatically populated with the child objects of the selected parent folder.

Select Module

Process

Select Folder

Document Control

Retrieved 13 objects type process

Discard changes

Save changes

Selected	Parent	Type	Identifier	Name
(...)	🔍	🔍	🔍	🔍
<input checked="" type="checkbox"/>	Document Retrieval and Distribution	START		Request Document Access
<input checked="" type="checkbox"/>	Document Retrieval and Distribution	TASK		Maintain Distribution Records
<input checked="" type="checkbox"/>	Document Control	PROCESS		Document Development & Management
<input checked="" type="checkbox"/>	Document Development & Management	END		Document Approved
<input checked="" type="checkbox"/>	Document Retrieval and Distribution	TASK		Verify Access Permissions
<input checked="" type="checkbox"/>	Document Retrieval and Distribution	TASK		Search and Retrieve Document
<input checked="" type="checkbox"/>	Document Retrieval and Distribution	END		event
<input checked="" type="checkbox"/>	Document Development & Management	TASK		Review Document
<input checked="" type="checkbox"/>	Document Development & Management	TASK		Modify Document
<input checked="" type="checkbox"/>	Document Development & Management	START		New Document Created
<input checked="" type="checkbox"/>	Document Retrieval and Distribution	TASK		Quality Check Document
<input checked="" type="checkbox"/>	Document Control	PROCESS		Document Retrieval and Distribution
<input checked="" type="checkbox"/>	Document Retrieval and Distribution	TASK		Distribute Document

Select All

Deselect All

Assign Selected



In this grid, users can mark individual requirements for assignment by checking the corresponding **Selected** checkbox. Selections can be saved by clicking the **Save Changes** button or by simply clicking outside the grid. To discard selections, click on the **Discard Changes** button.

- **Select All:** This button allows users to select all requirements in the grid for assignment.
- **Deselect All:** This button allows users to deselect all requirements in the grid.
- **Assign Selected:** This button allows users to assign the selected requirements in the grid.
 - Once assigned, these requirements will automatically populate the grid inside the **Summary of Requirements** accordion.


Summary of Requirements



All requirements assigned to this audit definition are listed below.



Discard changes



Save changes

	Requirement ID	Requirement Name	Module	Responsibilities	Assets
	<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>
<div><div></div><div></div></div>	61	Document Development & Management	<div></div> Process		
<div><div></div><div></div></div>	62	Document Retrieval and Distribution	<div></div> Process		
<div><div></div><div></div></div>	63	Communication and Awareness	<div></div> Rule		
<div><div></div><div></div></div>	64	Setting and Reviewing Quality Objectives	<div></div> Rule		

- To delete a requirement, select the corresponding **Delete** () icon.

 To confirm the deletion of items in the grid, click on the **Save Changes** button or simply click outside the grid. To undo deletion, click on either the **Discard Changes** button or the **Undo** () icon.

- To view a requirement, select the corresponding **View** () icon.
- To access the full content of the requirement description, select the corresponding **Expand** () icon.

 In order to view all columns inside the Summary of Requirements grid, users will need to manipulate the horizontal scrollbar. (Users can scroll by either dragging the thumb on the scrollbar or dragging two fingers across the touchpad of their device.) To access additional options or perform actions related to the grid, please utilize the kebab menu () located in the upper rightmost corner.

In this section of the New Audit Definition form, users can shape the focus of the audit program.

— Scope (optional)

Objectives ?

Paragraph

↕

A[≡] ↕ A[!] ↕ A ↕ **A** ↕ **B** *I* U ~~S~~ ≡ ↕ ≡: ≡: ≡: ≡: 🔗 “ ” 🖼️ 📊 ↕ 🎥 ↕ ↩️ ↪️

Scope ?

Paragraph

↕

A[≡] ↕ A[!] ↕ A ↕ **A** ↕ **B** *I* U ~~S~~ ≡ ↕ ≡: ≡: ≡: ≡: 🔗 “ ” 🖼️ 📊 ↕ 🎥 ↕ ↩️ ↪️

Risks ?

Paragraph

↕

A[≡] ↕ A[!] ↕ A ↕ **A** ↕ **B** *I* U ~~S~~ ≡ ↕ ≡: ≡: ≡: ≡: 🔗 “ ” 🖼️ 📊 ↕ 🎥 ↕ ↩️ ↪️

Opportunities ?

Paragraph

↕

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Criteria ?

Paragraph

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✿ For guidance on how to utilize rich text fields, [click here](#).

1. **Objectives:** This is a rich text field that allows users to outline the objectives of the audit program.
2. **Scope:** This is a rich text field that allows users to outline the scope of the audit program.
3. **Risks:** This is a rich text field that allows users to outline the risks associated with the audit program.
4. **Opportunities:** This is a rich text field that allows users to outline the opportunities for improving

the audit program.

5. **Criteria:** This is a rich text field that allows users to outline the criteria guiding the audit program.

9.1.4. Logistics & Preparations

In this section of the New Audit Definition form, users can set up and manage logistical details, as well as make preparations necessary for the upcoming audit.

Considerations

— Logistics & Preparations (optional)

Enter any information that may be useful during the planning stage of the audit.

☐ Impact of different time zones

☐ The availability of information and communication technologies (e.g., technical resources required to set up a remote audit using technologies that support remote collaboration)

☐ The availability of any required tools, technology, and equipment

☐ Requirements related to the facility, including any security clearances and equipment (e.g., background checks, personal protective equipment or clean room attire)

1. **Time Zone Impact:** This is a checkbox that, when selected, allows users to indicate the impact of different time zones as an important consideration for the audit program.

2. **ICT Availability:** This is a checkbox that, when selected, allows users to indicate the availability of information and communication technologies as an important consideration for the audit program.

3. **Tools/Tech/Equipment Availability:** This is a checkbox that, when selected, allows users to indicate the availability of tools, technology, and equipment as an important consideration for the audit program.

4. **Facility Requirements:** This is a checkbox that, when selected, allows users to indicate facility requirements as an important consideration for the audit program.

Financial & Time Resources

Financial Resources ?

AddDiscard changesSave changes

#ItemCostTimeComment

Q

Q

Q

Q

There is no data to display.

1. **Add:** This button allows users to add a new item/resource.

#	Item	Cost	Time	Comment
	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<input type="text"/>			












- **Item:** This is a text field that allows users to input the name of the item.
 - **Cost:** This is a numeric field that allows users to input the cost.
 - **Time:** This is a numeric field that allows users to input the time.
 - **Comment:** This is a text field that allows users to input their comment on the item.
2. **Discard Changes:** This button allows users to discard their changes.
 3. **Save Changes:** This button allows users to save their changes.
 4. **Delete** (): This button allows users to delete an item/resource.

✳ To confirm the deletion of items in the grid, click on the **Save Changes** button or simply click outside the grid. To undo deletion, click on either the **Discard Changes** button or the **Undo** () icon.

✳ To edit content within the grid, simply click on the element you want to modify. For additional options or actions related to the grid, please utilize the kebab menu () located in the upper rightmost corner.












Additional Requirements & Arrangements

Required audit reporting output, to whom said output is to be distributed, and any matters relating to confidentiality and information security

Paragraph ▾ A¹ ▾ A² ▾ A ▾ A ▾ B I U         ▾  ▾  












A

Any health, safety, and environmental arrangements for the auditors

Paragraph ▾ A¹ ▾ A² ▾ A ▾ A ▾ B I U         ▾  ▾  












B

Requirements for travel or access to remote sites

Paragraph ▾ A¹ ▾ A² ▾ A ▾ A ▾ B I U         ▾  ▾  

C

Any security and authorization requirements

Paragraph ▾ A¹ ▾ A² ▾ A ▾ A ▾ B I U         ▾  ▾  

D

✿ For more details on the rich text fields populating this section of the form, [click here](#).

1. **A:** This is a rich text field that allows users to input the required audit reporting output, to whom the output is to be distributed, and any matters relating to confidentiality and information security.
2. **B:** This is a rich text field that allows users to input any health, safety, and environmental arrangements for the auditors.
3. **C:** This is a rich text field that allows users to input the requirements for travel or access to remote sites.
4. **D:** This is a rich text field that allows users to input any security and authorization requirements.

9.1.5. Agenda

In this section of the [New Audit Definition](#) form, users can prepare the agenda for the audit.

— Agenda (optional)

Agenda Document(s)

⬆

Max 10 files, 2000MB each

↺

No data

Description of the Agenda

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 For guidance on common form functions, please refer to the [dedicated section](#) in the manual.

- 1. **Agenda Document(s):** This is an attachment field that allows users to upload documents relating to the agenda.
- 2. **Agenda:** This is a rich text field that allows users to outline the agenda.

9.1.6. Comments

In this section of the New Audit Definition form, users can provide comments on the audit.

— Comments (optional)

Notes

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Please enter some comments / notes about this audit


Comments

 For guidance on common form functions, please refer to the [dedicated section](#) in the manual.

- 1. **Notes:** This is a rich text field that allows users to provide notes and observations related to the audit.
- 2. **Comment:** This field allows users to add comments related to the audit.

9.2. Review the Audit Definition

Once the [New Audit Definition](#) form has been submitted, the assigned team leader will receive a notification in their **Pending Tasks** prompting them to review the audit definition.

 For the purposes of this manual, the term *users* will often be applied for any given task. It is important to note, however, that tasks can be assigned differently according to specific roles and users.

John Doe

Pending Tasks (1/1)

Drafts

Completed Tasks

Open in new window

Change folder

Search...

Flag

Prio...

Subject

Created at

Response ...

Done at

Sender

Review the Audit Definition [AUD-ISO9...

11/06/2023 19:...

Richard Roe

or comments left by its creator.

— Comments (optional)

Notes

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Please enter some comments / notes about this audit

Comments

Add ➡ 

For data collection and analysis, please validate that the chosen methods and tools are appropriate for the audit's objectives.




Written by Richard Roe on 11/6/2023 9:16 PM

↴

User Name / Date / Time

Edit

↴

Delete ➡   

↱

Reply

- **Notes:** This is a rich text field that allows users to provide notes and observations related to the audit.
- **Comment:** This field allows users to add comments related to the audit.

2. Reject / Approve

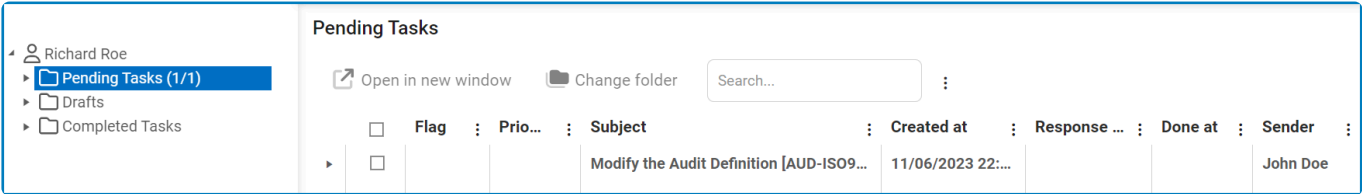
At the bottom of the Review the Audit Definition form, there are the following two buttons:



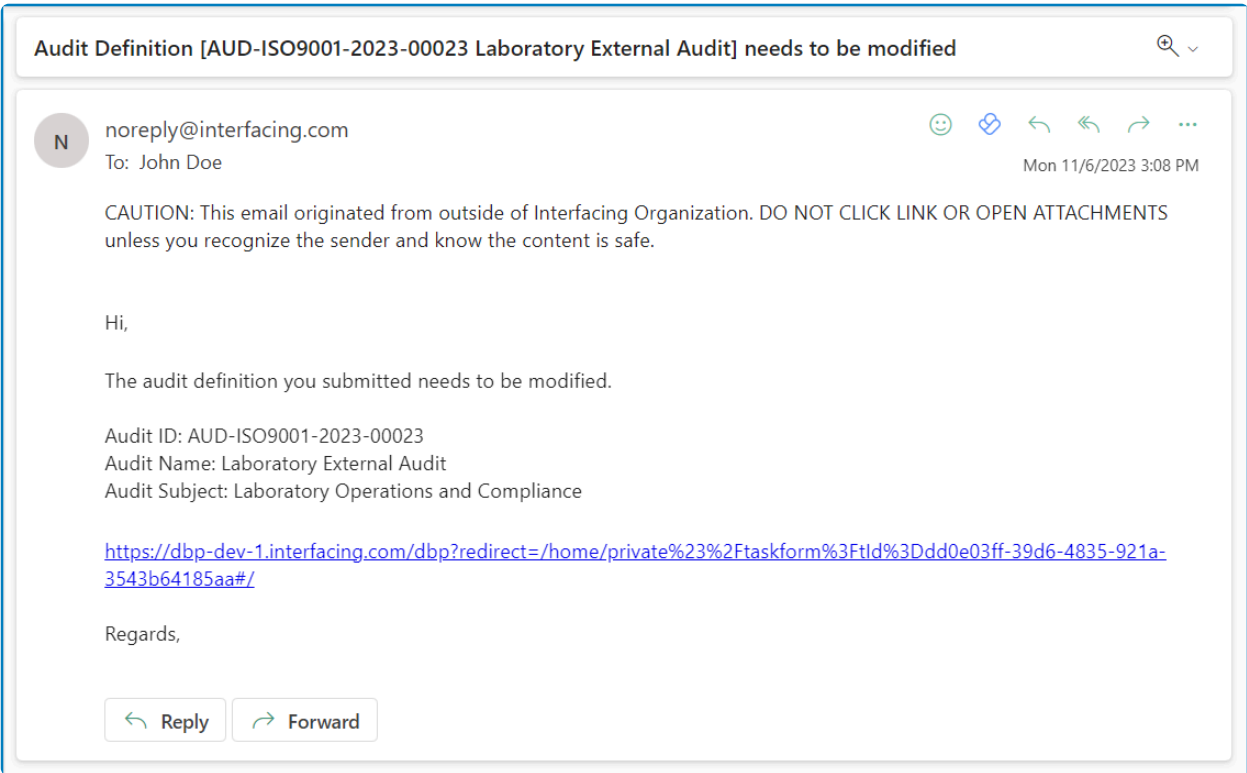
- **Approve:** This button allows users to approve the audit definition, bringing the workflow to an end.
- **Reject:** This button allows users to reject the audit definition.
 - If selected, the user responsible for the audit definition will be tasked with [modifying it](#).

9.3. Modify the Audit Definition

If the reviewer rejects the audit definition, the creator will receive a notification in their **Pending Tasks** prompting them to make modifications.



They will also receive an email notification informing them of the assigned task.



Clicking on either the subject in **Pending Tasks** or the link in the email will direct the user to the Modify the Audit Definition form. This form is largely a duplicate of the New Audit Definition form, with the exception being that the fields are all populated with previously entered information. Users can modify all of these fields.

To avoid unnecessary repetition, only the notable aspects of the Modify form will be listed below.

1. Comments

Users can provide notes or comments on the modified audit definition. They can also review or respond to comments left by the reviewer.

Comments (optional)

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Great work on the audit plan. Your attention to detail is appreciated. I've added a comment below for us to discuss a specific point further.

Please enter some comments / notes about this audit

Comments

Add ➞

For data collection and analysis, please validate that the chosen methods and tools are appropriate for the audit's objectives.
Written by Richard Roe on 11/6/2023 9:16 PM

For data collection and analysis, please validate that the chosen methods and tools are appropriate ...
The chosen data collection and analysis methods look suitable. However, I believe we should review and possibly refine the audit's scope to ensure it covers all relevant areas. Could you provide further details on how the scope was determined and whether any adjustments are needed?

Written by John Doe on 11/6/2023 12:00 AM

Delete ➞

User Name / Date / Time

Edit

- **Notes:** This field is populated with any notes provided by the reviewer in the Review the Audit Definition form. Users can still modify the field.
- **Comment:** This field is populated with any comments provided by the reviewer in the Review the Audit Definition form. Users can delete, edit, or reply to these comments. They can also add new comments.

2. Send Back for Review

At the bottom of the Modify the Audit Definition form, there is the following button:

Send Back for Review

- **Send Back for Review:** This button allows users to send the audit definition back for review.
 - If upon review, the audit definition is approved, the workflow will end.
 - If upon review, the audit definition is rejected, this process will repeat.

10. Audit Definition List

In this module, users can access and manage the list of audits defined within the application. These audits can be in the approval cycle or already approved.

Search Panel

All fields inside the search panel act as search boxes. Any value inputted inside them will be used as search criteria to filter and retrieve data from the grid, if possible.

Search Panel

Audit ID

Audit Name

Audit Team

Select... ▾

Team Leader

Select... ▾

Location

Business Division

Select... ▾

Created By

Select... ▾

Creation Date

Filter

Clear Filter

 For guidance on how to utilize single-select dropdown fields, [click here](#).
















1. **Audit ID:** This is a text field that allows users to filter by audit ID.
2. **Audit Name:** This is a text field that allows users to filter by the name of the audit.
3. **Audit Team:** This is a single-select dropdown field that allows users to filter by the audit team.
4. **Team Leader:** This is a single-select dropdown field allows users to filter by the team leader of the audit.
5. **Location:** This is a text field that allows users to filter by the location of the audit.
6. **Business Division:** This is a single-select dropdown field that allows users to filter by the business division linked to the audit.
7. **Created By:** This is a single-select dropdown field that allows users to filter by the creator of the audit.
8. **Creation Date:** This is a date picker that allows users to filter by the creation date of the audit.
9. **Filter:** This button filters the results according to the entered search criteria.
10. **Clear Filter:** This button clears the filters that were used in the previous search and allows users to again view the full data set.

Grid

Inside the grid, audit definitions are organized by the values inputted in the [New Audit Definition](#) form.




In the event of any changes to the audit objectives, scope or criteria, the audit programme should be modified (if necessary) and communicated to interested parties for approval (if appropriate).


Discard changes
Save changes
⋮


	Status	Audit ID	Audit Name	Audit Subject	Compliance Type	Audit Type	Creation Date
  	Review the audit definition	AUD-2023-00001	Environmental Management System Audit	Environmental Management System Audit (Toronto)		Internal	01/10/2023
  	Modify the audit definition	AUD-2023-00002	Financial Forecasting Audit	Financial Forecasting Audit (Berlin)		Internal	01/23/2023
  	Audit approved	AUD-ISO27001-2023-00003	Information Security Audit	Information Security Audit (Toronto)	ISO 27001	Internal	02/24/2023
  	Modify the audit definition	AUD-ISO45001-2023-00004	Occupational Health & Safety Audit	Health and Safety Practices and Compliance	ISO 45001	External	03/20/2023
  	Review the audit definition	AUD-ISO9001-2023-00005	Laboratory Quality System Internal Audit	Laboratory Quality System Internal Audit (Paris)	ISO 9001	Internal	06/05/2023

5
Page 1 of 7 (31 items) < 1 of 7 >

✿ For more details on this type of grid and its features, [click here](#).

- Edit** (): This button allows users to edit an existing audit definition.
 - If selected, it will open a pop-up window with the Edit the Audit Definition form. This form is largely a duplicate of the New Audit Definition form; however, it does not include the fields for copying an audit definition.
- View** (): This button allows users to view an audit definition.
 - In viewing mode, users cannot make any modifications. They can, however, view details in supplemental forms, download any attached files, and access/download any available [templates](#).
- Delete** (): This button allows users to delete an audit definition.

✿ To confirm the deletion of items in the grid, click on the **Save Changes** button or simply click outside the grid. To undo deletion, click on either the **Discard Changes** button or the **Undo** () icon.

✿ To access [additional options or perform actions](#) related to the grid, please utilize the kebab menu () located in the upper rightmost corner.

11. New Audit Plan

In this module, users can create an audit plan. Upon submission, it will trigger the [Plan & Execute Audits](#) workflow. Users will be guided on how to navigate this workflow throughout the **New Audit Plan** portion of this manual.

For the purposes of ease and clarity, the New Audit Plan form has been divided into subsections within this manual.

- For more details on the contents of this form, [click here](#).

11.1. Plan Audit

In the [New Audit Plan](#) form, users can create and customize the audit plan to align with their specific needs and preferences.

New Audit Plan

Audit ID

AP-00021

Assign the audit definitions to be executed within this audit ?

Add

Discard changes

Save changes

	Audit Definition ID	Audit Definition Name	Estimated Effort	Audit Type	Location	Language
There is no data to display.						

Audit Plan Name

Start of Execution Period ?

End of Execution Period ?

Start of Audit Scheduling ?

Total Estimated Effort (Hours)

0

Audit Type

Select...

+ Requirements


+ Location Override (optional)


Submit form

Save Form

1. **Audit Plan ID:** This field is automatically populated with the plan ID whenever a new audit plan is created.

2. **Add:** This button allows users to add an audit, thereby setting it up to be executed.
 - If selected, it will open a pop-up window with the [Add Audit Definition to Plan](#) form.



Once users have saved their selection and returned to the main form, they will find the selected audit populating the grid. Users can then choose to either add more audits to the plan or remove selected audits using the **Delete** () function.

3. **Audit Plan Name:** This is a text field that allows users to input the name of the audit plan. It is a **mandatory** field.

✿ Once an audit definition has been added, its name will automatically populate this field. If multiple audit definitions are added, their names will populate the field with an ampersand (&) separating them.

4. **Start of Execution Period:** This is a date picker that allows users to input/select the date when the audit execution will begin.
5. **End of Execution Period:** This is a date picker that allows users to input/select the date when the audit execution will conclude.
6. **Start of Audit Scheduling:** This is a date picker that allows users to input/select the starting date for scheduling the audit, ensuring a timely and organized audit execution.

! The date entered in the **Start of Audit Scheduling** field can be before or during the execution period. It cannot, however, extend beyond the **End of Execution Period** date.

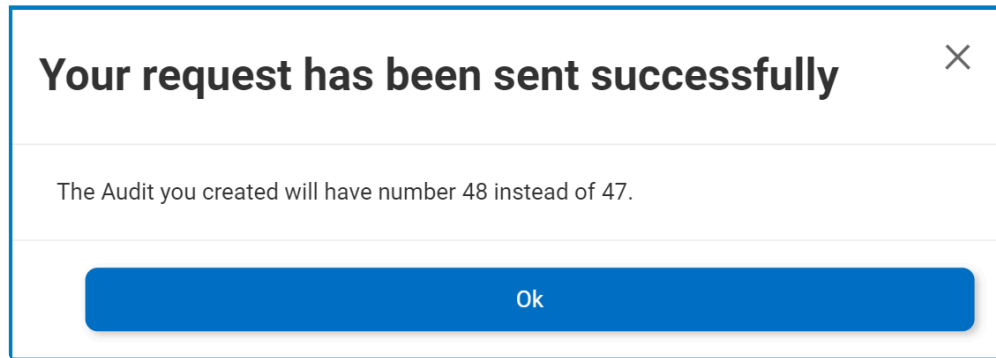
7. **Total Estimated Effort (Hours):** Once an audit has been selected for execution, this field will automatically display the total number of hours estimated for its execution.
 - If multiple audits are selected, this field will display the combined total of hours.

✿ The estimated effort of an audit is a value that would have been inputted in the [New Audit Definition](#) form.

8. **Audit Type:** This is a single-select dropdown field that retrieves the list of predefined audit types. It is a **mandatory** field.
 - If a single audit definition is selected, this field becomes disabled, displaying only the audit type associated with the selected audit definition.
 - If multiple audits are selected, this field reverts to being an active dropdown menu, enabling users to choose the relevant audit type applicable to all selected audits.

✿ The audit type is a value that would have been selected in the [New Audit Definition](#) form.

9. **Accordions:** The form includes two collapsible sections, known as accordions, which each serve a specific purpose.
 - [Requirements](#)
 - [Location Override](#)
10. **Submit Form:** This button allows users to submit the completed form.
 - To maintain the integrity of the Audit Plan ID system, we have implemented a validation mechanism. When users select this button and are ejected from the [New Audit Plan](#) module, a pop-up window may appear with the following message:

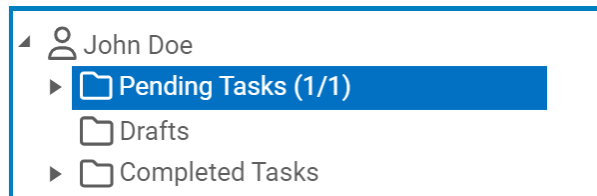



- This notification is triggered by the ID allocation system, which is designed to prevent duplicate Audit Plan IDs when multiple audit plans are initiated simultaneously (or within seconds of one another).
- After submission, the audit plan remains inactive until the specified **Start of Audit Scheduling** date is reached.
 - Upon reaching this date, the system automatically triggers the [Schedule Audit](#) task, assigning it to the designated team leader.

✿ Audits awaiting scheduling are recorded and monitored in the [Audit Plans – Waiting for Schedule](#) module.

11. **Save Form:** This button allows users to save the form.

- If saved, this form can be found in the **Drafts** folder (shown in the image below).
 - A saved form can be found in the **Drafts** folder if it is the first step in a given workflow. If it is a task assigned in the middle of a workflow, the saved form will remain in the **Pending Tasks** folder.



✿ To access additional options or perform actions related to the form, please utilize the kebab menu () located in the upper rightmost corner.

11.1.1. Add Audit Definition to Plan

In the Add Audit Definition to Plan form, users can select the audit definition(s) to be assigned for execution.

Add Audit Definition to Plan

Select the Audit Definition

Select...

Save and ReturnSave and New

1. **Select the Audit Definition:** This is a single-select field that retrieves the list of approved audit definitions—specifically, the audits for which the user has been assigned as team leader. It is a **mandatory** field. It allows users to select an audit either by entering its name or by clicking on the arrow icon. Rather than release the standard dropdown menu, however, this arrow icon opens the following pop-up window:

Select Audit

Search Panel

Audit ID

Audit Definition Name

Filter

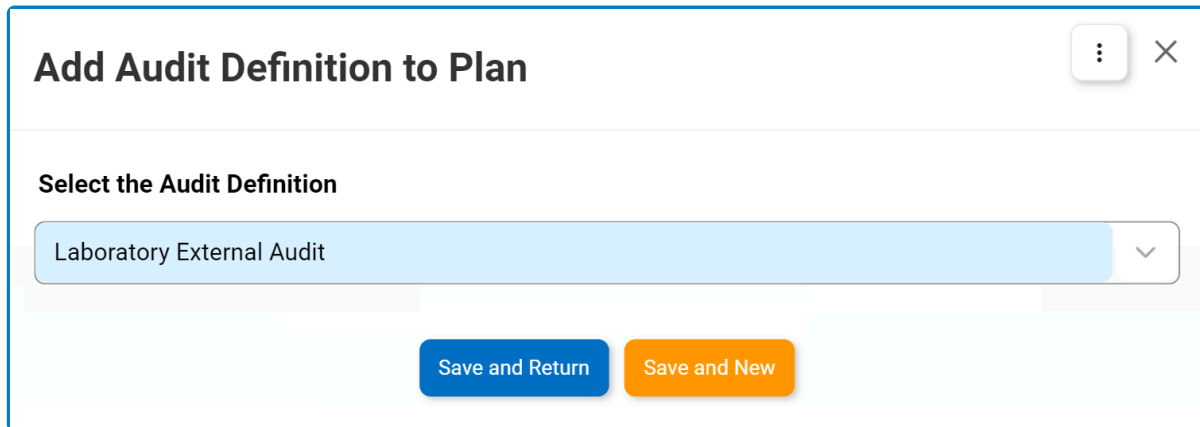
Clear Filter

In the event of any changes to the audit objectives, scope or criteria, the audit programme should be modified (if necessary) and communicated to interested parties for approval (if appropriate).

Audit ID	Audit Definition Name	Audit Subject	Frequency	Audit Type	Language	Location
AUD-ISO14001-2023-00001	Environmental Management System Audit	Environmental Management System Audit (Toronto)	Yearly	Internal	English	North America - Canada - Toronto
AUD-ISO45001-2023-00004	Occupational Health & Safety Audit	Health and Safety Practices and Compliance	Yearly	External	English	North America - Canada - Montreal
AUD-ISO9001-2023-00023	Laboratory External Audit	Laboratory Operations and Compliance	Yearly	External	English	North America - Canada - Montreal

- **Audit ID:** This is a text field that allows users to filter by audit ID.
- **Audit Definition Name:** This is a text field that allows users to filter by the name of the audit definition.
- **Filter:** This button filters the results according to the entered search criteria.
- **Clear Filter:** This button clears the filters that were used in the previous search and allows users to again view the full data set.

- ✿ To select an audit for execution in this window, users will need to double-click on the audit from the grid. Users will then be returned to the [Add Audit Definition to Plan](#) window where they will find the selected audit now populating the **Select the Audit Definition** field.




Add Audit Definition to Plan

Select the Audit Definition

Laboratory External Audit

Save and Return Save and New

2. **Save and Return:** This button allows users to save the selection and return to the [New Audit Plan](#) form.
3. **Save and New:** This button allows users to save the selection and open a new window to make another selection.

- ✿ Once users have saved their selection and returned to the [New Audit Plan](#) form, they will find the selected audit populating the grid. Users can then choose to either add more audits to the plan or remove selected audits using the **Delete** () function.

11.1.2. Requirements

Once an audit has been selected for execution, its list of associated requirements will populate the **Requirements** accordion.

✿ If multiple audits have been selected, all of their associated requirements will be listed in the grid (barring any duplications).

— Requirements

The evidence collection process will only be triggered for requirements that require testing.

Discard changes

Save changes

Requires Testing?	Requirement Name	Requirement ID	Audit Definition ID	Audit Definition Name
(All) ▾	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="checkbox"/>	Laboratory Document Control	4	AUD-ISO9001-2023-00023	Laboratory External Audit
<input type="checkbox"/>	Laboratory Testing Integrity & Compliance	5	AUD-ISO9001-2023-00023	Laboratory External Audit
<input type="checkbox"/>	Laboratory Health and Safety	6	AUD-ISO9001-2023-00023	Laboratory External Audit
<input type="checkbox"/>	Document Development & Management	61	AUD-ISO9001-2023-00023	Laboratory External Audit
<input type="checkbox"/>	Document Retrieval and Distribution	62	AUD-ISO9001-2023-00023	Laboratory External Audit
<input type="checkbox"/>	Communication and Awareness	63	AUD-ISO9001-2023-00023	Laboratory External Audit
<input type="checkbox"/>	Setting and Reviewing Quality Objectives	64	AUD-ISO9001-2023-00023	Laboratory External Audit

Enable Testing For All

Disable Testing For All

! In this grid, users can enable testing for individual requirements by checking the corresponding **Requires Testing?** checkbox. Selections can be saved by clicking the **Save Changes** button or by simply clicking outside the grid. To discard selections, click on the **Discard Changes** button


- 1. **Enable Testing For All:** This button allows users to enable testing for all requirements in the grid.
- 2. **Disable Testing For All:** This button allows users to disable testing for all requirements in the grid.

All requirements for which the **Requires Testing?** checkbox is enabled will undergo testing during the audit execution. If the checkbox is not selected, the requirement will bypass testing, even if a test has been previously assigned to it in the [New Requirement](#) form.

! It's important to note that the evidence collection phase will only be triggered for requirements that necessitate testing. If a requirement is not linked to a test, the

evidence collection phase of the workflow will not be initiated. Similarly, if a requirement is linked to a test but the test itself is not connected to any evidence, the evidence collection phase will not be triggered.



To access [additional options or perform actions](#) related to the grid, please utilize the kebab menu () located in the upper rightmost corner.

11.1.3. Location Override

In this section of the [New Audit Plan](#) form, users can choose to override the location for the selected audit definition(s).

— Location Override (optional)

☐ Set this location for the audit(s) selected for execution

Region ?

Country ?

Site

Select... ▼

Select... ▼

- Region:** This is a single-select dropdown field that retrieves the list of predefined regions (from the [Region](#) form). The region selected in this field will override the one chosen in the [New Audit Definition](#) form.
 - When a **Region** is selected, it will filter the options in the **Country** dropdown.
- Country:** This is a single-select dropdown field that retrieves the list of predefined countries (from the [Country](#) form). The country selected in this field will override the one chosen in the [New Audit Definition](#) form.
 - When a **Country** is selected, it will filter the options in the **Site** dropdown.
- Set This Location:** This is a checkbox that, when selected, allows users to set a new location site for the audit execution (thereby overriding the one previously set in the [New Audit Definition](#) form).
 - If this checkbox is selected, it will enable the **Site** dropdown.

Site

Select... ▼

- Site:** This is a single-select dropdown field that retrieves the list of predefined location sites (from the [Site](#) form). It is a **mandatory** field. The site selected in this field will override the site chosen in the [New Audit Definition](#) form.

11.2. Schedule Audit

When the specified **Start of Audit Scheduling** date is reached, the team leader will receive a notification in their **Pending Tasks** prompting them to schedule the audit.

John Doe

Pending Tasks (1/1)

Drafts

Completed Tasks

Pending Tasks

Open in new window Change folder Search...

	Flag	Prio...	Subject	Created at	Response ...	Done at	Sender
			Schedule Audit [AP-00020 - Laborator...	11/07/2023 16:...			admin

They will also receive an email informing them of the assigned task.

Schedule Audit [AP-00021 - Laboratory External Audit]

N

noreply@interfacing.com

To: John Doe

Tue 11/7/2023 10:14 AM

CAUTION: This email originated from outside of Interfacing Organization. DO NOT CLICK LINK OR OPEN ATTACHMENTS unless you recognize the sender and know the content is safe.

Hi,

You have an audit plan to schedule.

<https://dbp-dev-1.interfacing.com/dbp?redirect=/home/private%23%2Ftaskform%3FtId%3Ddd0e03ff-39d6-4835-921a-3543b64185aa#/>

Regards,

Reply

Forward

Clicking on either the subject in **Pending Tasks** or the link in the email will direct the team leader to the Schedule Audit form. This form contains details previously established in the New Audit Plan form.

Schedule Audit [AP-00021 - Laboratory External Audit]

Audit ID

AP-00021

Audit Plan Name

Laboratory External Audit

Start of Execution Period ?

11/07/2023

End of Execution Period ?

11/14/2023

Start of Audit Scheduling ?

11/07/2023

Total Estimated Effort (Hours)

48

Audit Type

External

+ Participant selection & Audit schedule

+ Requirements

+ Evidence

+ Location Override (optional)

Establish Contact

1. **Accordions:** The form includes several collapsible sections, known as accordions, which each serve a specific purpose.

- [Participant Selection & Audit Schedule](#)
- [Requirements](#)
- [Evidence](#)
- [Location Override](#)

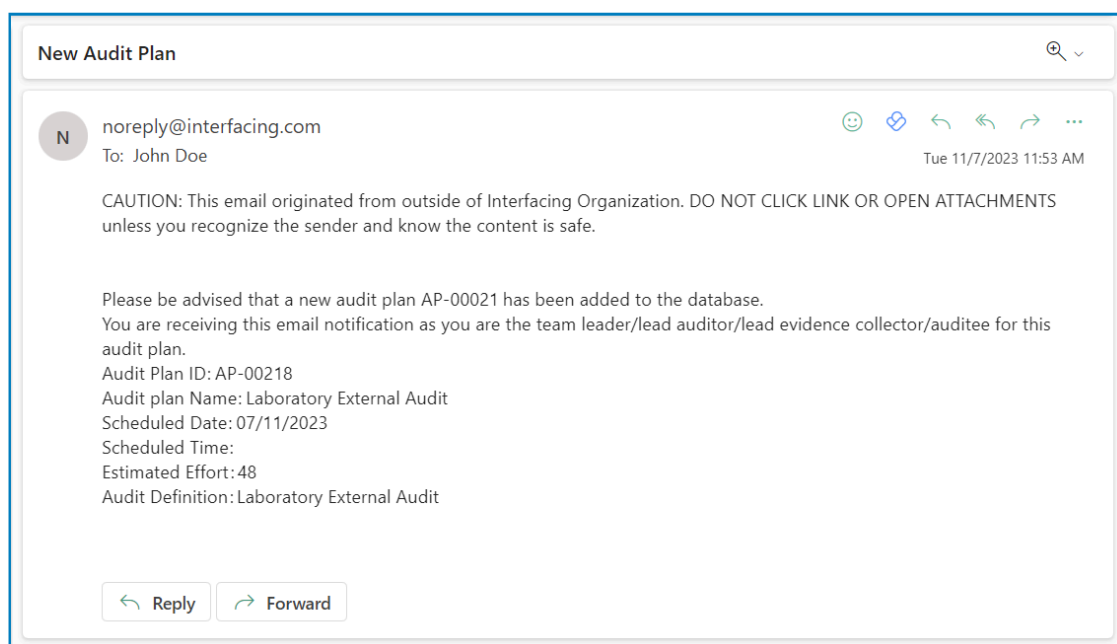
* The **Evidence** accordion will only be included in the form if a requirement is linked to a test. If none of the requirements for this audit are linked to a test—or if a requirement is linked to a test but the test itself is not connected to any evidence—there will not be an **Evidence** accordion.

2. **Establish Contact:** This button allows the team leader to establish contact with the selected users.

- The lead auditor will then be tasked with [assigning auditors](#).
- The lead evidence collector will be tasked with [assigning collectors](#).

* This task only applies if a requirement is linked to a test. If none of the requirements are linked to a test—or if a requirement is linked to a test but the test itself is not connected to any evidence—the [Assign Collector\(s\)](#) task will not be sent out.

- An email will be issued out to the team leader and applicable resources informing them that a new audit plan has been added to the database. This email will include details about the audit schedule.
 - Resources, in this context, refers to the assigned lead auditor, lead evidence collector, and auditees.



11.2.1. Participant Selection & Audit Schedule

In this section of the [Schedule Audit](#) form, users can schedule the audit as well as assign the primary resources.



For guidance on how to utilize single-select and multi-select dropdown fields, [click here](#).

1. **Participant Auditors:** This is a multi-select dropdown field that retrieves the list of users. The users selected will be set up as participant auditors.
 - This field is automatically populated with the auditors previously selected in the [New Audit Definition](#) form. Users, however, can still remove these entries.
2. **Lead Auditor:** This is a single-select dropdown field that retrieves the list of users. It is a **mandatory** field. The user selected will be assigned as the lead auditor.
3. **Lead Evidence Collector:** This is a single-select dropdown field that retrieves the list of users. It is a **mandatory** field. The user selected will be assigned as the lead evidence collector.



The **Lead Evidence Collector** dropdown is only shown in this form if a requirement is linked to a test. If none of the requirements for this audit are linked to a test—or if a requirement is linked to a test but the test itself is not connected to any evidence—the dropdown will be hidden.

4. **Auditees' Roles:** This is a multi-select dropdown field that retrieves the list of roles.
5. **Auditees:** This field is automatically populated with the user(s) associated with the role(s) selected. Users can add to and/or remove these entries.
 - The auditees set in this field will receive an email containing details about the audit that is to

be executed.

6. **Schedule Type:** This is a radio button that allows users to choose only one option from a set of mutually exclusive options. Users can choose to schedule the audit to occur either over a single day or over a specific date range.
- If Single Day is selected, the following fields will be displayed:

The screenshot shows a form for scheduling an audit. It has two main sections. The top section is titled 'First Reminder to be Sent' with a help icon and a dropdown menu currently showing 'Days'. To its right is the 'Schedule Type' section with two radio buttons: 'Single Day' (which is selected) and 'Date Range'. The bottom section has two parts: 'Date' with a light blue date picker field and a calendar icon, and 'All Day Event?' with two radio buttons: 'Yes' (selected) and 'No'.

- **All Day Event:** This is a radio button that allows users to choose only one option from a set of mutually exclusive options. It is a **mandatory** field. Users can choose whether to set the execution as an all-day event.
 - If Yes is selected, the following field becomes visible:
 - **Date:** This is a date picker that allows users to input/select the date for the audit execution. It is a **mandatory** field.
 - If No is selected, the following fields become visible:

The screenshot shows the configuration form when 'All Day Event?' is set to 'No'. The 'Schedule Type' section remains at the top with 'Single Day' selected. Below it, the 'All Day Event?' section shows 'Yes' and 'No' radio buttons, with 'No' selected. To the right of this are two new fields: 'Start Time' with a time picker field and a clock icon, and 'Duration (Hours)' with a numeric input field containing the value '48' and a clear/reset icon.

- **Start Time:** This is a time picker that allows users to input/select a specific start time for the audit execution (in the hours:minutes format).
 - **Duration (Hours):** This is a numeric field that allows users to input the duration (in hours) of the audit execution. This field will automatically be populated with the **Estimated Effort (Hours)** value previously inputted in the [New Audit Definition](#) form. Users can still modify the field.
 - If Date Range is selected, the following fields will be displayed:

The screenshot shows the configuration form when 'Date Range' is selected. The 'Schedule Type' section at the top shows 'Single Day' and 'Date Range' radio buttons, with 'Date Range' selected. Below this are two date picker fields labeled 'From' and 'To', each with a light blue input field and a calendar icon.

- **From:** This is a date picker that allows users to input/select the start of the date range (for the audit execution). It is a **mandatory** field.
 - **To:** This is a date picker that allows users to input/select the end of the date range (for the audit execution). It is a **mandatory** field.

7. **First Reminder to be Sent:** This is a single-select dropdown field that retrieves the applicable value from the [New Audit Definition](#) form.

- The value selected in this dropdown represents the number of days that can pass before the first reminder about the scheduled audit should be sent.

11.2.2. Requirements

In this section of the Schedule Audit form, users can assign auditors to requirements.

✿ By default, the user set as lead auditor in the Participant Selection & Audit Schedule accordion will be assigned as the auditor for all requirements in the grid.

— Requirements

Assign the auditor(s) for each requirement

Discard changes

Save changes

Requirement ID	Requirement Name	Audit Definition Name	Auditor
<input type="text"/>	<input type="text"/>	<input type="text"/>	
4	Laboratory Document Control	Laboratory External Audit	John Doe
5	Laboratory Testing Integrity & Compliance	Laboratory External Audit	John Doe
6	Laboratory Health and Safety	Laboratory External Audit	John Doe
61	Document Development & Management	Laboratory External Audit	John Doe
62	Document Retrieval and Distribution	Laboratory External Audit	John Doe
63	Communication and Awareness	Laboratory External Audit	John Doe
64	Setting and Reviewing Quality Objectives	Laboratory External Audit	John Doe

! To assign an auditor to a specific requirement, simply click inside the corresponding **Auditor** column. Selections can be saved by clicking the **Save Changes** button or simply clicking outside the grid. To discard selections, click on the **Discard Changes** button.

✿ To access additional options or perform actions related to the grid, please utilize the kebab menu () located in the upper rightmost corner.

11.2.3. Evidence

In this section of the [Schedule Audit](#) form, users can assign evidence collectors to requirements. They can also establish the dates for the rounds of evidence collection.

✿ By default, the user set as lead evidence collector in the [Participant Selection & Audit Schedule](#) accordion will be assigned as the collector for all evidence in the grid.

— Evidence

Assign the evidence collector(s) for each requirement ?

Discard changes

Save changes

Select	Evidence ID	Evidence Name	Test ID	Test Name	Requirement ID	Audit Definition ID	Collector	Accountable	Round 1 Start	Round 1 End
(...)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		(All)	<input type="text"/>	<input type="text"/>
<input type="checkbox"/>	E-00002	Observatory Evidence	Test-00003	On-Site Verification	5	AUD-ISO9001-2023-00023	Jane Doe	<input type="checkbox"/>		
<input type="checkbox"/>	E-00003	Physical Examination	Test-00003	On-Site Verification	5	AUD-ISO9001-2023-00023	Jane Doe	<input type="checkbox"/>		
<input type="checkbox"/>	E-00002	Observatory Evidence	Test-00002	Document Control Test	4	AUD-ISO9001-2023-00023	Jane Doe	<input type="checkbox"/>		
<input type="checkbox"/>	E-00004	Documentary Evidence	Test-00002	Document Control Test	4	AUD-ISO9001-2023-00023	Jane Doe	<input type="checkbox"/>		

Specify the dates for each round of evidence collection.

Round 1 Start

Round 1 End

Round 2 Start

Round 2 End

Select All Evidence

Deselect All Evidence

Set Entered Dates

! To assign a collector to a specific evidence item, simply click inside the corresponding **Collector** column. Similarly, to set the dates for each round of evidence collection, click inside the **Round [No.]** columns that correspond to the specific evidence item. Selections can be saved by clicking the **Save Changes** button or simply clicking outside the grid. To discard selections, click on the **Discard Changes** button.



- Round 1 Start:** This is a date picker that allows users to input/select the start date for the first round of evidence collection.
- Round 1 End:** This is a date picker that allows users to input/select the end date for the first round of evidence collection.
- Round 2 Start:** This is a date picker that allows users to input/select the start date for the second round of evidence collection.
- Round 2 End:** This is a date picker that allows users to input/select the end date for the second round of evidence collection.
- Select All Evidence:** This button allows users to select all evidence in the grid.

6. **Deselect All Evidence:** This button allows users to deselect all evidence in the grid.
7. **Set Entered Dates:** This button allows users to set the entered dates for the respective rounds in the grid.
 - An evidence item must first be selected in the grid for the dates to be set.

Discard changes

Save changes

Evidence Name	Test ID	Test Name	Requirement ID	Audit Definition ID	Collector	Accountable	Round 1 Start	Round 1 End	Round 2 Start	Round 2 End
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		(All) ▾	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Observatory Evidence	Test-00003	On-Site Verification	5	AUD-ISO9001-2023-00023	Jane Doe	<input type="checkbox"/>	11/07/2023	11/10/2023	11/07/2023	11/10/2023
Physical Examination	Test-00003	On-Site Verification	5	AUD-ISO9001-2023-00023	Jane Doe	<input type="checkbox"/>	11/07/2023	11/10/2023	11/07/2023	11/10/2023
Observatory Evidence	Test-00002	Document Control Test	4	AUD-ISO9001-2023-00023	Jane Doe	<input type="checkbox"/>	11/07/2023	11/10/2023	11/07/2023	11/10/2023
Documentary Evidence	Test-00002	Document Control Test	4	AUD-ISO9001-2023-00023	Jane Doe	<input type="checkbox"/>	11/07/2023	11/10/2023	11/07/2023	11/10/2023

 To access [additional options or perform actions](#) related to the grid, please utilize the kebab menu () located in the upper rightmost corner.

11.2.4. Location Override

In this section, users can review any location override applied to the audit, if such an override has been performed.

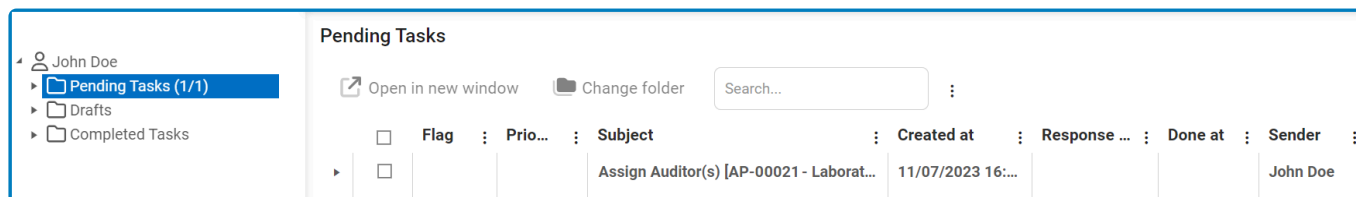
— Location Override (optional)

☒ Set this location for the audit(s) selected for execution

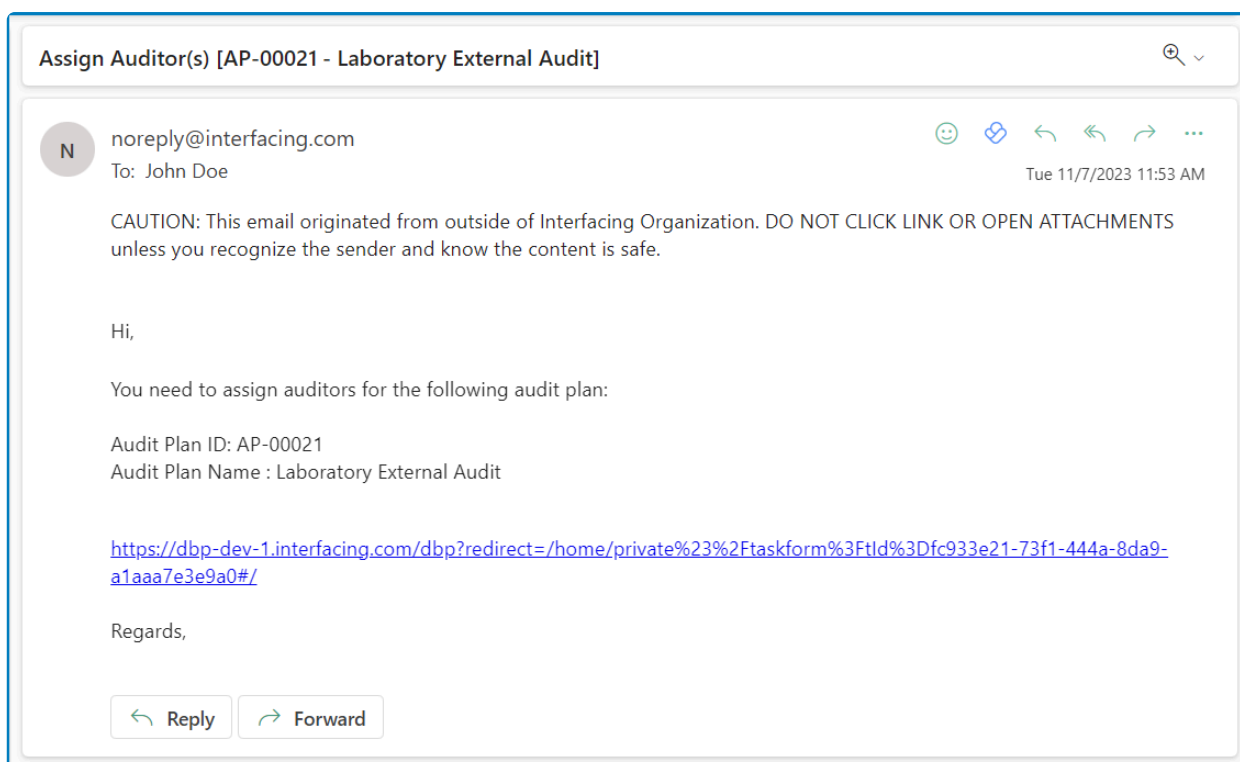
Region ?	Country ?	Site
North America	Canada	Toronto

11.3. Assign Auditor(s)

After the team leader selects the **Establish Contact** button in the [Schedule Audit](#) form, the lead auditor will receive a notification in their **Pending Tasks** prompting them to assign auditors for the audit.



They will also receive an email informing them of the assigned task.



Clicking on either the subject in **Pending Tasks** or the link in the email will direct the lead auditor to the [Assign Auditor\(s\)](#) form. Similar to the [Schedule Audit](#) form, this form provides details about the audit plan and includes the [Participant Selection & Audit Schedule](#) accordion. While all fields in this accordion are set to read-only, it serves as a means for users to review the audit schedule and its assigned participants.

Listed below are the other notable features in the form:

1. [Requirements](#)

Users can access the **Requirements** accordion. Similar to the [Schedule Audit](#) task, within this accordion, users have the ability to assign auditors to requirements, making necessary modifications to existing assignments.

— Requirements

Assign the auditor(s) for each requirement

Discard changes

Save changes

Requirement ID	Requirement Name	Audit Definition Name	Auditor
<input type="text"/>	<input type="text"/>	<input type="text"/>	
4	Laboratory Document Control	Laboratory External Audit	John Doe
5	Laboratory Testing Integrity & Compliance	Laboratory External Audit	John Doe
6	Laboratory Health and Safety	Laboratory External Audit	John Doe
61	Document Development & Management	Laboratory External Audit	John Doe
62	Document Retrieval and Distribution	Laboratory External Audit	John Doe
63	Communication and Awareness	Laboratory External Audit	John Doe
64	Setting and Reviewing Quality Objectives	Laboratory External Audit	John Doe

! To assign an auditor to a specific requirement, simply click inside the corresponding **Auditor** column. Selections can be saved by clicking the **Save Changes** button or simply clicking outside the grid. To discard selections, click on the **Discard Changes** button.

✳ To access additional options or perform actions related to the grid, please utilize the kebab menu () located in the upper rightmost corner.

2. **Submit Auditors**


At the bottom of the Assign Auditor(s) form, there is the following button:

Submit Auditors

- **Submit Auditors:** This button allows users to submit the selected auditors to the team leader for review and confirmation.

11.4. Assign Collector(s)

After the team leader selects the **Establish Contact** button in the [Schedule Audit](#) form, the lead evidence collector will receive a notification in their **Pending Tasks** prompting them to assign collectors for the audit.



This task only applies if a requirement is linked to a test. If none of the requirements are linked to a test—or if a requirement is linked to a test but the test itself is not connected to any evidence—the [Assign Collector\(s\)](#) task will not be sent out.

John Doe

- Pending Tasks (1/1)
- Drafts
- Completed Tasks

Pending Tasks

Open in new windowChange folderSearch...

<input type="checkbox"/>	Flag	Prio...	Subject	Created at	Response ...	Done at	Sender
<input type="checkbox"/>			Assign Collector(s) [AP-00021 - Labor...	11/07/2023 16:...			John Doe

They will also receive an email informing them that they have a new task to do.

Assign Collector(s) [AP-00021 - Laboratory External Audit]

N

noreply@interfacing.com

To: John Doe

Tue 11/7/2023 11:53 AM

CAUTION: This email originated from outside of Interfacing Organization. DO NOT CLICK LINK OR OPEN ATTACHMENTS unless you recognize the sender and know the content is safe.

Hi,

You need to assign evidence collectors for the following audit plan:

Audit Plan ID: AP-00021
Audit Plan Name : Laboratory External Audit

<https://dbp-dev-1.interfacing.com/dbp?redirect=/home/private%23%2Ftaskform%3FtId%3Dfc933e21-73f1-444a-8da9-a1aaa7e3e9a0#/>

Regards,

Reply

Forward

Clicking on either the subject in **Pending Tasks** or the link in the email will direct the lead auditor to the [Assign Collector\(s\)](#) form. Similar to the [Schedule Audit](#) form, this form provides details about the audit plan and includes the [Participant Selection & Audit Schedule](#) accordion. While all fields in this accordion are set to read-only, it serves as a means for users to review the audit schedule and its assigned participants.

Listed below are the other notable features in the form:

1. Evidence

Users can access the **Evidence** accordion. Similar to the Schedule Audit task, within this accordion, users have the ability to assign evidence collectors to evidence items, making necessary modifications to existing assignments. Users can also specify or modify the dates for the rounds of evidence collection.

! If the same date is set for both the first and second rounds of evidence collection, the user will later receive them in the same task. If different dates (either start or end) are set, however, the user will receive the rounds as separate tasks on the respective days.

— Evidence

Assign the evidence collector(s) for each requirement ?

Discard changes

Save changes

Select	Evidence ID	Evidence Name	Test ID	Test Name	Requirement ID	Audit Definition ID	Collector	Accountable	Round 1 Start	Round 1 End
(...)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		(All)	<input type="text"/>	<input type="text"/>
<input checked="" type="checkbox"/>	E-00002	Observatory Evidence	Test-00003	On-Site Verification	5	AUD-ISO9001-2023-00023	Jane Doe	<input type="checkbox"/>	11/07/2023	11/10/2023
<input checked="" type="checkbox"/>	E-00003	Physical Examination	Test-00003	On-Site Verification	5	AUD-ISO9001-2023-00023	Jane Doe	<input type="checkbox"/>	11/07/2023	11/10/2023
<input checked="" type="checkbox"/>	E-00002	Observatory Evidence	Test-00002	Document Control Test	4	AUD-ISO9001-2023-00023	Jane Doe	<input type="checkbox"/>	11/07/2023	11/10/2023
<input checked="" type="checkbox"/>	E-00004	Documentary Evidence	Test-00002	Document Control Test	4	AUD-ISO9001-2023-00023	Jane Doe	<input type="checkbox"/>	11/07/2023	11/10/2023

Specify the dates for each round of evidence collection.

Round 1 Start

Round 1 End

Round 2 Start

Round 2 End

Select All Evidence

Deselect All Evidence

Set Entered Dates

! To assign a collector to a specific evidence item, simply click inside the corresponding **Collector** column. Similarly, to set the dates for each round of evidence collection, click inside the **Round [No.]** columns that correspond to the specific evidence item. Selections can be saved by clicking the **Save Changes** button or simply clicking outside the grid. To discard selections, click on the **Discard Changes** button.

- **Round 1 Start:** This is a date picker that allows users to input/select the start date for the first round of evidence collection.
- **Round 1 End:** This is a date picker that allows users to input/select the end date for the first round of evidence collection.
- **Round 2 Start:** This is a date picker that allows users to input/select the start date for the second round of evidence collection.
- **Round 2 End:** This is a date picker that allows users to input/select the end date for the second round of evidence collection.


- **Select All Evidence:** This button allows users to select all evidence in the grid.
- **Deselect All Evidence:** This button allows users to deselect all evidence in the grid.
- **Set Entered Dates:** This button allows users to set the entered dates for the respective rounds in the grid.
 - An evidence item must first be selected in the grid for the dates to be set.

Discard changes

Save changes

Evidence Name	Test ID	Test Name	Requirement ID	Audit Definition ID	Collector	Accountable	Round 1 Start	Round 1 End	Round 2 Start	Round 2 End
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		(All)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Observatory Evidence	Test-00003	On-Site Verification	5	AUD-ISO9001-2023-00023	Jane Doe	<input type="checkbox"/>	11/07/2023	11/10/2023	11/07/2023	11/10/2023
Physical Examination	Test-00003	On-Site Verification	5	AUD-ISO9001-2023-00023	Jane Doe	<input type="checkbox"/>	11/07/2023	11/10/2023	11/07/2023	11/10/2023
Observatory Evidence	Test-00002	Document Control Test	4	AUD-ISO9001-2023-00023	Jane Doe	<input type="checkbox"/>	11/07/2023	11/10/2023	11/07/2023	11/10/2023
Documentary Evidence	Test-00002	Document Control Test	4	AUD-ISO9001-2023-00023	Jane Doe	<input type="checkbox"/>	11/07/2023	11/10/2023	11/07/2023	11/10/2023



To access [additional options or perform actions](#) related to the grid, please utilize the kebab menu () located in the upper rightmost corner.

2. Submit Collectors

At the bottom of the [Assign Collector\(s\)](#) form, there is the following button:

Submit Collectors

- **Submit Collectors:** This button allows users to submit the selected collectors to the team leader for [review and confirmation](#).

11.5. Confirm Schedule

Once all applicable resources have been assigned and submitted, the team leader will receive a notification in their **Pending Tasks** prompting them to confirm the schedule.

John Doe

Pending Tasks (1/1)

Drafts

Completed Tasks

Pending Tasks

Open in new windowChange folderSearch...

	Flag	Prio...	Subject	Created at	Response ...	Done at	Sender
			Confirm Schedule? [AP-00021 - Labor...	11/07/2023 20:...			Jane Doe

They will also receive an email informing them of both the schedule for the audit plan and the audit details. (These details are established in the [New Audit Definition](#) form.)

Confirm Schedule? [AP-00021 - Laboratory External Audit]

N

noreply@interfacing.com

To: John Doe

Tue 11/7/2023 11:53 AM

CAUTION: This email originated from outside of Interfacing Organization. DO NOT CLICK LINK OR OPEN ATTACHMENTS unless you recognize the sender and know the content is safe.

Hi,

The schedule has been confirmed for the audit plan [AP-00021 - Laboratory External Audit]

It will start on Tuesday, November 07, 2023

Audit ID AUD-ISO9001-2023-00023
Audit Name : Laboratory External Audit
Audit Type : External
Objectives : Evaluate compliance with regulatory requirements and industry standards.
Assess the accuracy and precision of laboratory testing.
Identify potential risks related to laboratory operations.
Ensure the integrity of laboratory data and reporting.

Scope : The audit will cover all aspects of laboratory operations, including but not limited to sample handling, testing procedures, equipment calibration, data management, and reporting.

Risks : Non-compliance with regulations
Inaccurate test results
Data integrity issues
Equipment calibration problems

Criteria : Adherence to regulatory requirements (e.g., FDA, ISO 17025)
Precision and accuracy of test results
Data integrity and security
Equipment calibration and maintenance

Resources : Audit Team Costs, Audit Tools and Software
Auditees : Richard.Roe
Auditors : John Doe
Evidence Collectors : Jane Doe

Thanks

Reply

Forward

Clicking on either the subject in **Pending Tasks** or the link in the email will direct the team leader to the [Confirm Schedule](#) form. This form consolidates details from the [Schedule Audit](#) form, the [Assign Auditor](#) form, and the [Assign Collector](#) form into one comprehensive program. It does not permit any modifications. In the form, users can review the audit plan and schedule, including the assigned auditors and evidence collectors.

Confirm Schedule [AP-00021 - Laboratory External Audit]

Audit ID

AP-00021

Audit Plan Name

Laboratory External Audit

Start of Execution Period ?

11/07/2023

End of Execution Period ?

11/14/2023

Start of Audit Scheduling ?

11/07/2023

Total Estimated Effort (Hours)

48

Audit Type

External

+ Participant selection & Audit schedule

+ Requirements

+ Evidence

+ Location Override (optional)

By confirming the schedule, you acknowledge that all auditees have confirmed the audit time. ?

Confirm

Reject

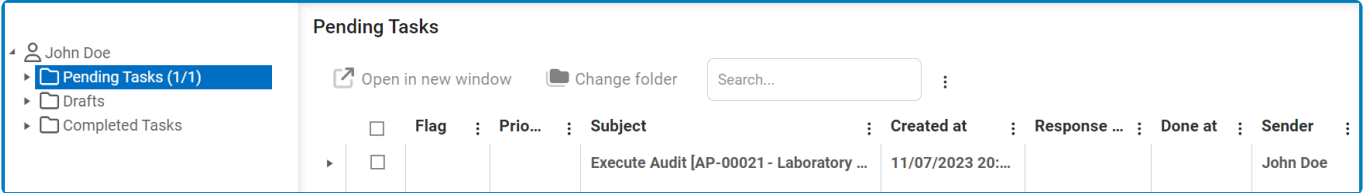
1. **Confirm:** This button allows users to confirm the schedule.
 - By confirming the schedule, the user is acknowledging that all auditees have confirmed the audit time.
2. **Reject:** This button allows users to reject the schedule.
 - If selected, the team leader will be tasked with re-scheduling the audit.
 - They will again receive the [Schedule Audit](#) form, except this version will include all previously entered information. Once the audit plan has been re-scheduled, users will again go through the process of assigning resources before the auditor is asked to confirm the new schedule.

!

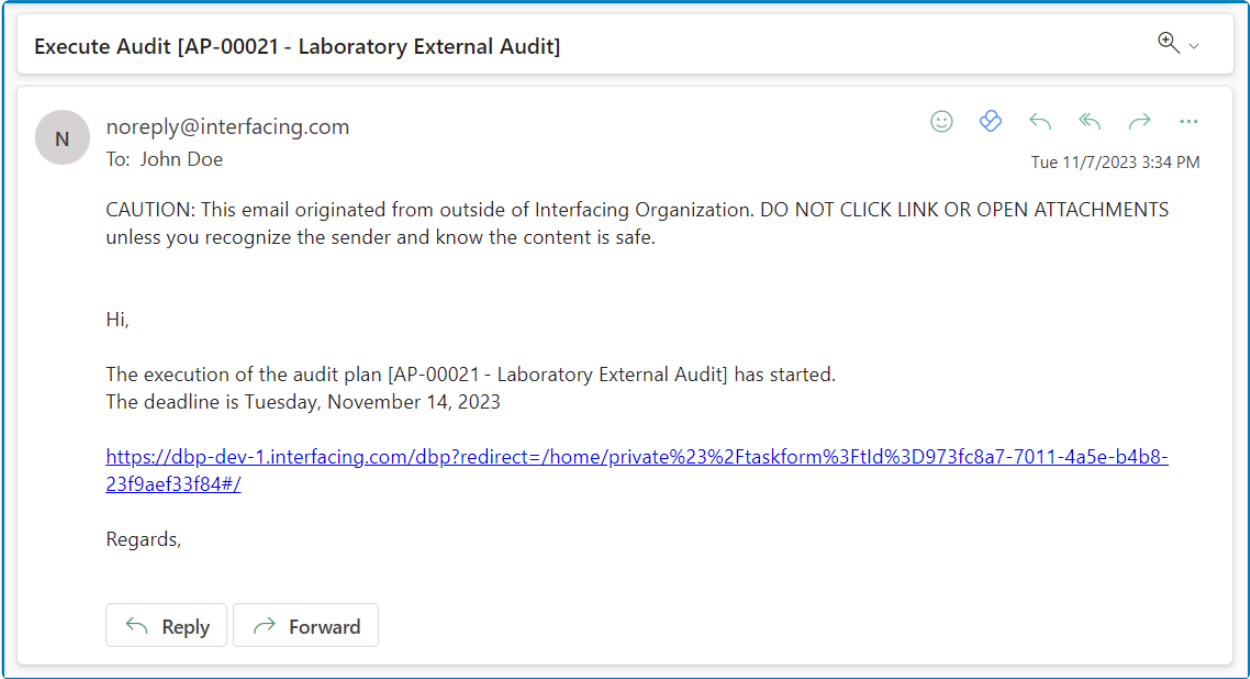
The **Evidence** accordion will only be included in this form if a requirement is linked to a test. If none of the requirements for this audit are linked to a test—or if a requirement is linked to a test but the test itself is not connection to any evidence—there will not be an **Evidence** accordion.

11.6. Execute Audit

Once the audit schedule has been confirmed and the set start date/time has arrived, the assigned auditor(s) will receive a notification in their **Pending Tasks** prompting them to execute the audit. (Assigned auditors, in this case, refers to the auditors—lead or otherwise—that have been assigned to specific requirements.)



They will also receive an email informing them that the audit execution has started. This email will specify the deadline for the execution.



Clicking on either the subject in **Pending Tasks** or the link in the email will direct the auditor to the Execute Audit form.

Execute Audit [AP-00021 - Laboratory External Audit]

These requirements have been assigned to you for validation.

	Requirement ID	Requirement Name	Auditor	Audit Definition Name	Requirement Description	Requirement Completed	Observation Count
	<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>	(All)	<input type="text"/>
	4	Laboratory Document Control	John Doe	Laboratory External Audit	The laboratory must have a document	<input type="checkbox"/>	
	5	Laboratory Testing Integrity & Compliance	John Doe	Laboratory External Audit	The laboratory must have written	<input type="checkbox"/>	
	6	Laboratory Health and Safety	John Doe	Laboratory External Audit	The laboratory must adhere to occupational	<input type="checkbox"/>	
	61	Document Development & Management	John Doe	Laboratory External Audit		<input type="checkbox"/>	
	62	Document Retrieval and Distribution	John Doe	Laboratory External Audit		<input type="checkbox"/>	
	63	Communication and Awareness	John Doe	Laboratory External Audit		<input type="checkbox"/>	
	64	Setting and Reviewing Quality Objectives	John Doe	Laboratory External Audit		<input type="checkbox"/>	

☐ Select to mark all requirements as verified ?

Compilation of all observations entered


Requirement ID	Requirement Name	Entered By	Observation ID	Type	Notes
<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>	<input type="text"/>

There is no data to display.


General comments about the audit


Submit Audit Results

✿ For guidance on common form functions, please refer to the [dedicated section](#) in the manual.

1. **Edit** (): This button allows users to access and validate a requirement.
 - If selected, it will display the [Validate Requirement](#) form.
2. **Select to Mark All Requirements as Verified**: This is a checkbox that, when selected, allows users to mark all requirements in the grid as verified and completed.
 - If selected, the **Requirement Completed** checkbox for each requirement will be selected.

! Please note that if a requirement has an associated checklist and the checklist remains incomplete, validation from this field will be omitted.


3. **Expand** (): This button allows users to reveal detailed information within individual grid elements.
- In the first grid, it provides access to the full requirement description.
 - In the second grid, it provides access to the full notes associated with the audit observation.

* If observations have not yet been [logged in the Validate Requirement form](#), the second grid will be empty. Once observations have been logged, however, the  icon will appear for each row.

4. **General Comments About the Audit:** This is a rich text field that allows users to provide any comments they may have on the audit.
5. **Submit Audit Results:** This button allows users to submit the audit results.
- Users cannot submit the form until all requirements have been marked as completed.

* If a requirement has an associated checklist, the checklist must be completed before the requirement counts as completed.

- If users select this button and the assigned rounds of evidence collection are still in progress, the user will be alerted of the fact and asked if they wish to proceed.
 - Choosing to proceed means that the tasks assigned to the evidence collector(s) will automatically be closed and removed from their **Pending Tasks** folder.
- Once the audit results have been submitted, the lead auditor will be tasked with [reviewing and approving](#) them.

* To access [additional options or perform actions](#) related to the above grids, please utilize the corresponding kebab menu () located in the upper rightmost corner.

11.6.1. Validate Requirement

In the Validate Requirement form, users can assess and validate requirement compliance.

Validate Requirement: Capture Evidence and/or Create Observations

Requirement ID	Requirement Name	Parent Folder Name
4	Laboratory Document Control	

Description

The laboratory must have a document management system. It must have a set of policies and procedures that regulate how laboratory documents are created, reviewed, approved, distributed, updated, stored, secured, and discarded. These policies and work procedures must not only be adequately documented, but they must also undergo review and approval by authorized staff members.

+ Evidence

+ Tests Informations

+ Checklist

+ Observations

☐ This requirement is completed

Save and Return

1. **Accordions:** The form includes several collapsible sections, known as accordions, which each serve a specific purpose.
 - [Evidence](#)
 - [Test Information](#)
 - [Checklist](#)
 - [Observations](#)

* The **Test Information** and **Checklist** accordions are both conditional (or dynamic) sections. The **Test Information** accordion will only be included in the form if a test was assigned to the requirement. Similarly, the **Checklist** accordion will only be included in the form if a checklist was assigned to the requirement.

2. **This Requirement is Completed:** This is a checkbox that, when selected, allows users to mark the requirement as completed.
3. **Save and Return:** This button allows users to save their changes and return to the [Execute Audit](#) form.

11.6.1.1. Evidence

In this section of the Validate Requirement form, users can manage evidence for requirement validation.

Evidence

You can provide evidence by adding a comment, attaching files and/or including links.

Describe the evidence result

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Attach Evidence

📁 Upload files

Max 20 files, 2000MB each

🔄

No data

Input URL to the Evidence

http://example.com

URL Display Name (optional)

DisplayURLName

Add Evidence Link

Discard changes

Save changes

#


List of Links

There is no data to display.

Request Specific Evidence

Evidence Summary

#	Sent To/Uploaded...	Status	Message	Date Sent	Uploaded Date	Files Uploaded	URL	Response Message
	🔍	🔍	🔍	🔍 📅	🔍 📅	🔍	🔍	🔍
There is no data to display.								

 For guidance on common form functions, please refer to the [dedicated section](#) in the manual.

1. **Describe the Evidence Result:** This is a rich text field that allows users to provide a description of the evidence.

2. **Attach Evidence:** This is an attachment field that allows users to upload evidence for requirement validation.

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Attach Evidence

Upload files

Max 20 files, 2000MB each

Chemical Inventory and Hazardous Materials...

...

Hazardous Waste Management and Disposal...

...

Laboratory Health & Safety Policy.pdf

...

Laboratory Safety Standard Operating Proce...

...

Attached files are recorded in the **Evidence Summary** grid.

Evidence Summary

#

Sent To/Upl...

Status

Message

Date Sent

Uploaded Date

Files Uploaded

URL

Response Message

1

John Doe

10/18/2023
10:42

Laboratory Health & Safety
Policy.pdf, Laboratory Safety

3. **Input URL to the Evidence:** This is a text field that allows users to input the URL for the evidence.

- The expected format for the URL is ‘http://example.com’.

4. **URL Display Name:** This is a text field that allows users to specify a display name for the URL.

!

If no display name is provided, the URL will be listed as is.

5. **Add Evidence Link:** This button allows users to add the linked evidence.

- As links are added, they populate the below grid.

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Input URL to the Evidence

http://example.com

URL Display Name (optional)

DisplayURLName

Add Evidence Link

Discard

Save changes

#		List of Links
1		Laboratory Safety Manual
2		Incident Reports and Case Studies

- To delete a link, select the corresponding **Delete** () icon.


To confirm the deletion of items in the grid, click on the **Save Changes** button or simply click outside the grid. To undo deletion, click on either the **Discard Changes** button or the **Undo** () icon.

Added links are also recorded in the **Evidence Summary** grid.


Evidence Summary								
#	Sent To/Upl...	Status	Message	Date Sent	Uploaded Date	Files Uploaded	URL	Response Message
1	John Doe				10/18/2023 10:55		Laboratory Safety Manual	









6. **Request Specific Evidence:** This button allows users to request specific evidence for requirement validation.
- If selected, it will reveal the evidence request section, where users can select the recipient and provide a message.





Request Receiver









Select...


Request Message

Paragraph






Cancel

Send Request

- **Send Request:** This button allows users to send the evidence request to the selected user.
 - The selected user will receive the [Attach Evidence](#) form.
- **Cancel:** This button allows users to cancel the evidence request and hide the section.

- ✿ Evidence requests are recorded in the **Evidence Summary** grid. When the evidence is sent by the assigned party, the corresponding row in the grid updates to reflect the sent files or links, along with any response message provided.

Evidence Summary									
#	Sent To/Upl...	Status	Message	Date Sent	Uploaded Date	Files Uploaded	URL	Response Message	
1	 Richard Roe	Document transferred	Please provide a 	10/18/2023 10:46	10/18/2023 10:49	Chemical Inventory and Hazardous Materials List.pdf		I've attached a copy of the requested laboratory list. 	

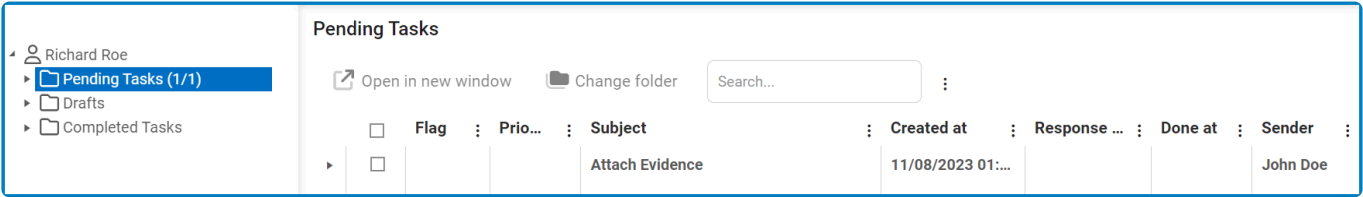
Evidence Summary

The **Evidence Summary** grid provides auditors with a comprehensive overview of the evidence handling process. It logs all auditor actions related to evidence, such as uploading, requesting, and receiving evidence, including URLs.

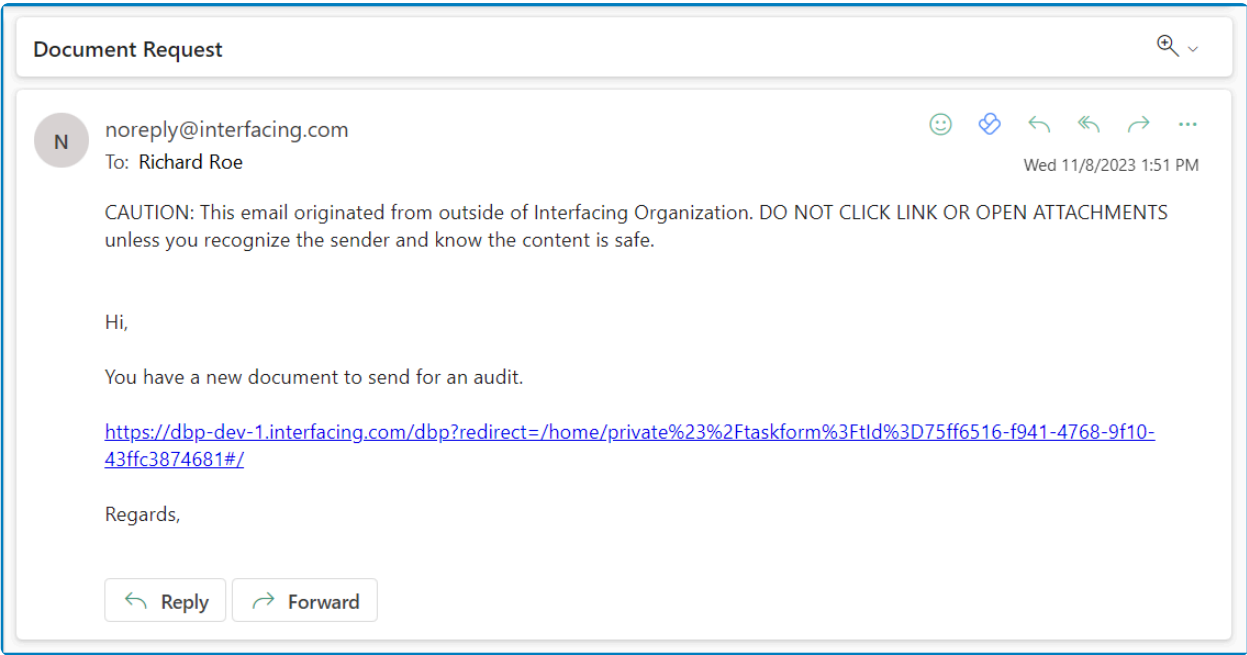
Evidence Summary									
#	Sent To/Upl...	Status	Message	Date Sent	Uploaded Date	Files Uploaded	URL	Response Message	
	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
1	Joe Bloggs	Sent to user	Please provide the	10/19/2023 15:21					
2	Richard Roe	Document transferred	Please provide a	10/18/2023 10:46	10/18/2023 10:49	Chemical Inventory and Hazardous Materials List.pdf		I've attached a copy of the requested laboratory list.	
3	Jane Doe	Document transferred	Please provide the	10/18/2023 10:42	10/18/2023 10:45	Hazardous Waste Management and Disposal Records.pdf		Kindly find attached the requested laboratory	
4	John Doe				10/18/2023 10:55		Laboratory Safety Manual;		
5	John Doe				10/18/2023 10:42	Laboratory Health & Safety Policy.pdf, Laboratory Safety			

11.6.1.1.1. Attach Evidence

Once the evidence request has been sent, the assigned user will receive a notification in their **Pending Tasks** prompting them to attach the necessary documents.



They will also receive an email informing them of the assigned task.



Clicking on either the subject in **Pending Tasks** or the link in the email will direct the user to the Attach Documents form.

Attach Evidence

Audit Plan ID
AP-00221

Audit Plan Name
Laboratory External Audit

Requirement Name
Laboratory Document Control

Request sent by
John Doe

Request Message

Please provide a copy of the current Chemical Inventory and Hazardous Materials List for the laboratory.

You can provide evidence by either attaching files and/or including links.

Attach Evidence

Upload files

Max 20 files, 2000MB each

No data

Input URL to the Evidence

http://example.com

URL Display Name (Optional)

Add Evidence Link

List of Links

Discard changes

Save changes

#	List of Links
There is no data to display.	

Response Message

Paragraph

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Send





1. **Attach Evidence:** This is an attachment field that allows users to upload the requested evidence.

Attach Evidence

 Upload files

Max 20 files, 2000MB each



	Chemical Inventory and Hazardous Materials...	...
	Hazardous Waste Management and Disposal...	...
	Laboratory Health & Safety Policy.pdf	...
	Laboratory Safety Standard Operating Proce...	...

2. **Input URL to the Evidence:** This is a text field that allows users to input the URL for the requested evidence.
 - The expected format for the URL is 'http://example.com'.
3. **URL Display Name:** This is a text field that allows users to specify a display name for the URL.

! If no display name is provided, the URL will be listed as is.

4. **Add Evidence Link:** This button allows users to add the linked evidence.
 - As links are added, they populate the below grid.



Input URL to the Evidence


URL Display Name (optional)


Add Evidence Link

Discard

Save changes

#		List of Links
1		Laboratory Safety Manual
2		Incident Reports and Case Studies

- To delete a link, select the corresponding **Delete** () icon.

* To confirm the deletion of items in the grid, click on the **Save Changes** button or simply click outside the grid. To undo deletion, click on either the **Discard Changes** button or the **Undo** () icon.

5. **Response Message:** This is a rich text field that allows users to provide their response to the evidence request.
6. **Send:** This button allows users to send the requested evidence.
 - Once sent, the requested evidence is integrated into the [Validate Requirement](#) form based on its type: files appear in the **Attach Evidence** field, while URLs are added to the List of Links grid.

Attach Evidence

Upload files

Max 20 files, 2000MB each

Chemical Inventory and Hazardous ...

...

Input URL to the Evidence

http://example.com

URL Display Name (optional)

DisplayURLName

Add Evidence Link

Discard changes

Save changes

#

List of Links

1

Laboratory Safety Manual

- Furthermore, an overview of the evidence exchange is presented in the **Evidence Summary** grid.

Evidence Summary

#	Sent To/Upl...	Status	Message	Date Sent	Uploaded Date	Files Uploaded	URL	Response Message
1	Richard Roe	Document transferred	Please provide a	11/08/2023 20:29	11/08/2023 20:51	Chemical Inventory and Hazardous Materials List.pdf		I've attached a copy of the requested laboratory list.


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
11.6.1.2. Test Information

In this section of the Validate Requirement form, users can access and review any tests assigned to the requirement.

— Tests Informations

#	Test ID	Test Name	Description
1 	Test-00002	Document Control Test	(Click to expand)

1. **Edit** (): This button allows users to access the test results.
- If selected, it will display the [Test Results](#) form.

 To reveal the full contents of the test description, click the '(Click to Expand)' text within the corresponding column. For additional options or actions related to the grid, please utilize the corresponding kebab menu () located in the upper rightmost corner.

11.6.1.2.1. Test Results

In the Test Results form, users can review the collected evidence for the test and decide whether to initiate a third round of evidence collection.

✿ If evidence has not yet been collected and reviewed/approved, the Collected Samples grid will be empty.

Test Results

Test ID

Test Name

Test-00002

Document Control Test

Collected Samples

#	Evidence ID	Evidence Name	Round	Notes
1	E-00002	Observatory Evidence	1	Inconsistent recording of document-related activities in the logbook indicates a lack of clear procedures and guidelines for documenting
2	E-00002	Observatory Evidence	1	Deviations from authorization protocols in the access control system reveal weaknesses in control measures.
3	E-00004	Documentary Evidence	1	Unclear document creation, revision, and approval processes. This is reflected in inconsistencies, missing signatures, and unclear
4	E-00004	Documentary Evidence	1	Incomplete signatures and instances of unauthorized document use on review and approval forms signify a breakdown in enforcing

Test Evidences

Discard changes

Save changes

Evidence ID	Evidence Name	Evidence Collector	Round 1 Start	Round 1 End	Round 2 Start	Round 2 End	Round 3 Start	Round 3 End
E-00004	Documentary Evidence	Jane Doe	11/07/2023	11/10/2023	11/07/2023	11/10/2023		
E-00002	Observatory Evidence	Jane Doe	11/07/2023	11/10/2023	11/07/2023	11/10/2023		

Trigger 3rd Evidence Round

Select Evidence

Round Start

Round End

Set 3rd Round Dates

Save and Return

✿ To edit dates inside the Test Evidence grid, simply click on the element you want to

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modify. To save changes, click on the **Save Changes** button or simply click outside the grid. To discard changes, click on the **Discard Changes** button.

- 1. **Select Evidence:** This is a multi-select dropdown field that displays the list of evidence items. It allows users to select the evidence for which the third round of collection will be applicable.
- 2. **Round Start:** This is a date picker that allows users to input/select the start date for the third round.
- 3. **Round End:** This is a date picker that allows users to input/select the end date for the third round.
- 4. **Set 3rd Round Dates:** This button allows users to set the selected dates for the third round of evidence collection.
 - Once selected, these dates will populate the Test Evidence grid.

Test Evidences								
Discard changes		Save changes						
Evidence ID	Evidence Name	Evidence Collector	Round 1 Start	Round 1 End	Round 2 Start	Round 2 End	Round 3 Start	Round 3 End
E-00004	Documentary Evidence	Jane Doe	11/07/2023	11/10/2023	11/07/2023	11/10/2023	11/08/2023	11/10/2023
E-00002	Observatory Evidence	Jane Doe	11/07/2023	11/10/2023	11/07/2023	11/10/2023	11/08/2023	11/10/2023

- 5. **Save and Return:** This button allows users to save their changes and return to the Validate Requirement form.

! Please note that changes must be saved in both the Test Results and Validate Requirement forms for the third round of evidence collection to be triggered on the specified date.

* For additional options or actions related to the Collected Samples grid, please utilize the corresponding kebab menu () located in the upper rightmost corner.

11.6.1.3. Checklist

In this section of the [Validate Requirement](#) form, users can access and complete the checklist assigned to the requirement.

— Checklist

The checklist below is tailored to this requirement. Please ensure all items are completed before proceeding.

	Item No.	Question	Completed
	<input type="text"/>	<input type="text"/>	(All) ▾
	1	Changes to documents are clearly identified and recorded as well as reviewed and approved by an authorized	<input type="checkbox"/>
	2	All laboratory documents are indexed and cross-referenced.	<input type="checkbox"/>
	3	All laboratory documents are numbered and sequenced.	<input type="checkbox"/>
	4	The established document management system ensures that the laboratory only uses current and up-to-date	<input type="checkbox"/>
	5	All laboratory documents are clearly labeled with version numbers and revision dates.	<input type="checkbox"/>

1. **Edit** (): This button allows users to access and modify the outcome of a checklist item.
- If selected, it will display the [Conduct Audit Checklist Item](#) form.

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Conduct Audit Checklist Item

Question 1

Changes to documents are clearly identified and recorded as well as reviewed and approved by an authorized individual.

Choose your answer:

☐ Pass

☐ Fail

◀ Save and Previous

Save and Return

Save and Next ▶

The answer options presented here will vary depending on the answer type selected in the [Define Requirement Check Item](#) form.

2. **Save and Previous**: This button allows users to save their changes and navigate to the previous item in the grid.

3. **Save and Return:** This button allows users to save their changes and return to the [Validate Requirement](#) form.
4. **Save and Next:** This button allows users to save their changes and navigate to the next item in the grid.



To mark the requirement as complete, users must fulfill all items constituting the checklist.

11.6.1.4. Observations

In this section of the Validate Requirement form, users can enter any observations or audit findings relevant to the requirement.

— Observations

Enter any observations/audit findings related to this requirement.

Add

Discard changes

Save changes

#	Observation ID	Type	Notes
	<input type="text"/>		<input type="text"/>
There is no data to display.			

1. **Add:** This button allows users to add a new observation or audit finding.
- If selected, it will display the Enter New Observation form.

Enter New Observation

Observation ID

AF-00093

Type

Select...

Notes

Paragraph

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Save and Return

Save and New

- **ID:** This field is automatically populated with the unique ID of the observation or audit finding.
- **Type:** This is a single-select dropdown field that displays the list of observation types. It is a mandatory field.
 - Types: Minor Observation, Major Observation, General Finding, and Non-Conformity.
- **Notes:** This is a rich text field that allows users to provide their notes.
- **Save and Return:** This button allows users to save the observation and return to the

[Validate Requirement](#) form.

- **Save and New:** This button allows users to save the observation and open a new form to create another observation.



Any observations added here will also populate the [Observations](#) grid in the [Execute Audit](#) form.

Compilation of all observations entered

	Requirement ID	Requirement Name	Entered By	Observation ID	Type	Notes	
	<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>	<input type="text"/>	
	4	Laboratory Document Control	John Doe	AF-00093	General Findings	The laboratory's document management and control system lacks clear procedures and	
	4	Laboratory Document Control	John Doe	AF-00094	Major Observation	The laboratory does not have a backup or disaster recovery plan for its electronic document	
	4	Laboratory Document Control	John Doe	AF-00095	Minor Observation	Some laboratory personnel are not consistently following the document control procedures when	
	4	Laboratory Document Control	John Doe	AF-00096	Non-conformity	The laboratory fails to maintain a comprehensive and up-to-date list of controlled documents.	

To view an observation in the grid, click on the corresponding **View** () button. To access the full contents of the notes associated with an observation, click on the corresponding **Expand** () button.

2. **Delete** (): This button allows users to delete an observation or audit finding.
- This option becomes available after users have created and saved an observation.



To confirm the deletion of items in the grid, click on the **Save Changes** button or simply click outside the grid. To undo deletion, click on either the **Discard Changes** button or the **Undo** () icon.



To edit content within the grid, simply click on the element you want to modify. To save changes, click on the **Save Changes** button or simply click outside the grid. To discard changes, click on the **Discard Changes** button.

11.7. Evidence Overview

Once the audit schedule has been confirmed, the lead evidence collector will receive a notification in their **Pending Tasks** informing them that they have evidence to oversee.




The Evidence Overview task is issued concurrently with the Execute Audit task. It is important to note, however, that this task is created specifically for audits that have evidence linked to them. If an audit does not have any associated tests or requirements (with corresponding evidence), the task is not generated.

Clicking on the subject in **Pending Tasks** will direct the lead evidence collector to the Evidence Overview form. This form serves as a centralized hub, offering a comprehensive view of the status and progress of all evidence related to the audit. It enables efficient tracking and monitoring of the collected evidence.

#	Evidence ID	Name	Status	Test ID	Test Name	Requirement ID	Requirement Name	Collector	Round	Times Rejected
1	AP-00021-4-Test-00002-E-00002-RND1	Observatory Evidence	In Progress	2	Document Control Test	4	Laboratory Document Control	Jane Doe	1	0
2	AP-00021-4-Test-00002-E-00002-RND2	Observatory Evidence	In Progress	2	Document Control Test	4	Laboratory Document Control	Jane Doe	2	0
3	AP-00021-4-Test-00002-E-00004-RND1	Documentary Evidence	In Progress	2	Document Control Test	4	Laboratory Document Control	Jane Doe	1	0
4	AP-00021-4-Test-00002-E-00004-RND2	Documentary Evidence	In Progress	2	Document Control Test	4	Laboratory Document Control	Jane Doe	2	0
5	AP-00021-5-Test-00003-E-00002-RND1	Observatory Evidence	In Progress	3	On-Site Verification	5	Laboratory Testing Integrity & Compliance	Jane Doe	1	0
6	AP-00021-5-Test-00003-E-00002-RND2	Observatory Evidence	In Progress	3	On-Site Verification	5	Laboratory Testing Integrity & Compliance	Jane Doe	2	0
7	AP-00021-5-Test-00003-E-00003-RND1	Physical Examination	In Progress	3	On-Site Verification	5	Laboratory Testing Integrity & Compliance	Jane Doe	1	0
8	AP-00021-5-Test-00003-E-00003-RND2	Physical Examination	In Progress	3	On-Site Verification	5	Laboratory Testing Integrity & Compliance	Jane Doe	2	0






1. **View (🔍):** This button allows users to view an evidence item.
 - If selected, it will display the Review Collected Evidence form, which presents all relevant data for the evidence. This includes any collected samples and/or review comments.
 - In viewing mode, users cannot make any modifications. They can, however, access any provided links and download any attached files.

✿ To access additional options or perform actions related to the above grids, please utilize the corresponding kebab menu () located in the upper rightmost corner.

Key Task Components & Considerations

1. Status Tracking

This task, utilizing a grid, provides five status indicators to guide the evidence management process.

#	Evidence ID	Name	Status	Test ID	Test Name	Requirement ID	Requirement Name	Collector	Round	Times Rejected
	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>
1	 AP-00021-4-Test-00002-E-00002-RND1	Observatory Evidence	Scheduled	2	Document Control Test	4	Laboratory Document Control	Jane Doe	1	0
2	 AP-00021-4-Test-00002-E-00002-RND2	Observatory Evidence	In Progress	2	Document Control Test	4	Laboratory Document Control	Jane Doe	2	0
3	 AP-00021-4-Test-00002-E-00004-RND1	Documentary Evidence	Overdue	2	Document Control Test	4	Laboratory Document Control	Jane Doe	1	0
4	 AP-00021-4-Test-00002-E-00004-RND2	Documentary Evidence	Under Review	2	Document Control Test	4	Laboratory Document Control	Jane Doe	2	0
5	 AP-00021-5-Test-00003-E-00002-RND1	Observatory Evidence	Approved	3	On-Site Verification	5	Laboratory Testing Integrity & Compliance	Jane Doe	1	0

Status Indicators

- Scheduled: This status indicates that the start date of an evidence collection round has not yet been reached.
- In Progress: This status indicates that the current date is within the start and end dates of an evidence collection round, and the evidence has not yet been submitted.
- Overdue: This status indicates that the evidence has not been submitted by the end date of an evidence collection round.
- Under Review: This status indicates that the evidence has been submitted and is awaiting review.
- Approved: This status indicates that the evidence has been reviewed and approved.

2. Additional Metrics

Within the grid, users can access additional information for each piece of evidence, including the rejected count, which indicates the number of times an evidence item has been rejected, and the sample count, which indicates the current number of samples collected for the evidence.

✿ These values are updated in real-time, reflecting the latest changes made to the evidence.

Round	Times Rejected	Round 1 Start	Round 1 End	Round 2 Start	Round 2 End	Round 3 Start	Round 3 End	Sample Count	Requested Sample
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
1	0	11/07/2023	11/10/2023	11/07/2023	11/10/2023			0	2
2	0	11/07/2023	11/10/2023	11/07/2023	11/10/2023			0	2
1	0	11/07/2023	11/10/2023	11/07/2023	11/10/2023			0	2
2	0	11/07/2023	11/10/2023	11/07/2023	11/10/2023			0	2
1	0	11/07/2023	11/10/2023	11/07/2023	11/10/2023			0	2

3. Task Completion & Final Progress Report

Once the Evidence Overview task is closed and marked as completed, it is moved from the **Pending Tasks** folder to the **Completed Tasks** folder. From there, the lead evidence collector can refer to the task to view the final status and progress report for the evidence.

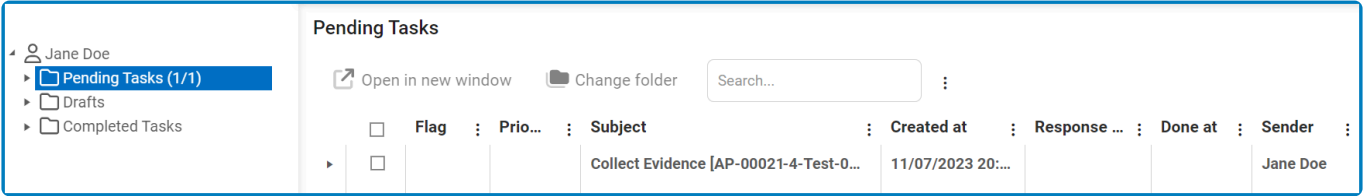
- The Evidence Overview task is closed and marked as completed if either of the following conditions is met:
 - All pieces of evidence for the audit have been reviewed and approved by the lead evidence collector.
 - The lead auditor has signed off on the audit by finalizing the [Review and Approve Audit Results](#) task.



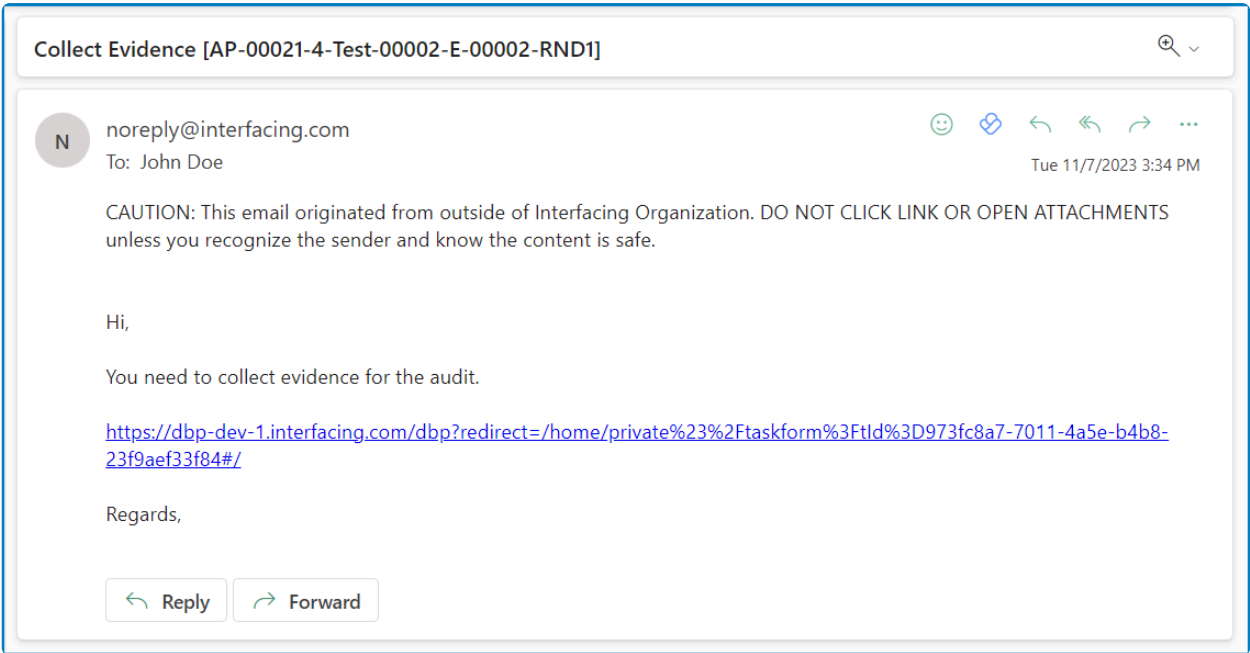
Please note that users cannot make any modifications within this form; it is designed solely for monitoring purposes.

11.8. Collect Evidence

Once the audit schedule has been confirmed and the date for the first round of evidence collection has arrived, the assigned collector(s) will receive a notification in their **Pending Tasks** prompting them to collect evidence.

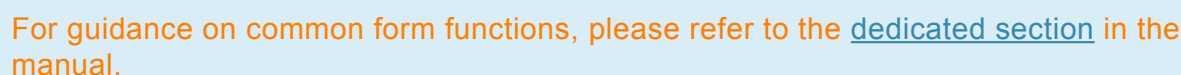



They will also receive an email informing them of the assigned task.



Clicking on either the subject in **Pending Tasks** or the link in the email will direct the collector(s) to the Collect Evidence form. In this form, the collector(s) can access the assigned rounds of evidence collection, including the third round (if one was triggered in the Test Results form).

✿ If the same date is set for both the first and second rounds of evidence collection, the user will receive them in the same task. If different dates (either start or end) are set, however, the user will receive the rounds as separate tasks on the respective days. Likewise, if the third round is triggered after this form has been submitted, the user will receive a separate task for it.



1. **Edit ()**: This button allows users to collect the evidence for a round.
 - If selected, it will display the [Collect Evidence](#) form.
2. **Select Test(s) To Submit Evidence For:** This is a multi-select dropdown field that retrieves the list of tests for which evidence has not yet been submitted.
 - Users can select one or multiple tests from the dropdown to indicate the tests they want to submit evidence for.
3. **Submit Evidence for Selected Test(s):** This button allows users to submit the evidence for the selected test(s).
 - If any of the selected tests have fewer samples than the requested sample size, a confirmation prompt will be displayed to alert the user.
 - To proceed, simply confirm the submission.
 - Each submitted batch of evidence will be processed independently and sent to the lead evidence collector for [review](#).



As a visual indicator of the submission status, the **Submitted** checkbox in the grid will be marked as selected.


Evidence Name	Test ID	Test Name	Requirement ID	Requirement Name	Submitted	Round	Sample Count	Requested sample size
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	(All) <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Observatory Evidence	2	Document Control Test	4	Laboratory Document Control	<input checked="" type="checkbox"/>	1	2	2
Observatory Evidence	2	Document Control Test	4	Laboratory Document Control	<input type="checkbox"/>	2	0	2
Documentary Evidence	2	Document Control Test	4	Laboratory Document Control	<input checked="" type="checkbox"/>	1	2	2
Documentary Evidence	2	Document Control Test	4	Laboratory Document Control	<input type="checkbox"/>	2	0	2
Observatory Evidence	3	On-Site Verification	5	Laboratory Testing Integrity & Compliance	<input type="checkbox"/>	1	0	2

4. **Submit All Evidences:** This button allows users to submit the entire collection of evidence.
 - If users select this button despite not having collected as many samples as required for the evidence, they will be alerted of the fact and asked if they wish to proceed.
 - Once the collected evidence has been submitted, the lead evidence collector will be tasked with [reviewing it](#).



If the collected evidence is rejected during the review process, the corresponding reason will be displayed in the **Reason for Rejection** field.



To access [additional options or perform actions](#) related to the above grids, please utilize the corresponding kebab menu () located in the upper rightmost corner.

11.8.1. Collect Evidence

In the [Collect Evidence](#) form, users can collect evidence for a given test.

Collect Evidence

+ Evidence Details

+ Audit and Test Details

+ Evidence Collected (Sample)

Comment

Save and Previous

Save and Return

Save and Next

✿ For more guidance on how to utilize comment fields, [click here](#).

1. **Accordions:** The form includes several collapsible sections, known as accordions, which each serve a specific purpose.

Evidence Details

Audit and Test Details

Evidence Collected

2. **Comment:** This field allows users to add comments related to the evidence collection.

Any comments (or replies) added here will populate the Comments grid in the [Collect Evidence](#) form.
- | Comments | | | | |
|------------------------------------|----------|------------|--|----------|
| Evidence ID | User | Date | Message | Reply To |
| AP-00021-4-Test-00002-E-00002-RND1 | Jane.Doe | 11/07/2023 | The observatory evidence highlights inconsistent practices and deviations from established procedures. | |
3. **Save and Previous:** This button allows users to save their changes and navigate to the previous item in the grid.
- © 2023 Interfacing Technologies Corporation
- Page 166 of 231

4. **Save and Return:** This button allows users to save their changes and return to the [Collect Evidence](#) form.
5. **Save and Next:** This button allows users to save their changes and navigate to the next item in the grid.

✿ Once changes have been saved, the **Sample Count** in the [Evidence](#) grid of the [Collect Evidence](#) form will update accordingly.

11.8.1.1. Evidence Details

In this section of the [Collect Evidence](#) form, users can review the details of the evidence item. (These details are established in the [Create Evidence](#) form.)

— Evidence Details

Evidence ID	Evidence Name	Population	Round
E-00002	Observatory Evidence	15	1

Prerequisite

1. Auditor must be accredited under industry standards.
2. Auditor must prepare audit checklist in advance

Procedure

- Suitability of processes and operating procedures
- Staff competence and training
- Reliability and accuracy of equipment
- Suitability of the environment
- The handling of samples and equipment
- Quality control and verification
- Recording and reporting procedures
- Awareness of health and safety protocols
- Efficacy of implemented health and safety protocols

11.8.1.2. Audit and Test Details

In this section of the [Collect Evidence](#) form, users review details about the audit and test.

— Audit and Test Details

+ Audit Details

+ Test Details

- Inside the **Audit Details** accordion, users can access details about the audit plan and the requirement linked to the test. (These requirement details are established in the [New Requirement](#) form.)

— Audit Details

Audit Plan ID	Audit Plan Name
AP-00021	Laboratory External Audit
Audit Definition ID	Audit Definition Name
AUD-ISO9001-2023-00023	Laboratory External Audit
Requirement ID	Requirement Name
4	Laboratory Document Control
Description	
The laboratory must have a document management system. It must have a set of policies and procedures that regulate how laboratory documents are created, reviewed, approved, distributed, updated, stored, secured, and discarded. These policies and work procedures must not only be adequately documented, but they must also undergo review and approval by authorized staff members.	

- Inside the **Test Details** accordion, users can access details about the test—that is, the test for which evidence is being requested and to which the requirement is linked. (These details are established in the [New Test](#) form.)

— Test Details

Test ID	Test Name
Test-00002	Document Control Test
Description	
This audit test reviews and evaluates the effectiveness of the organization's document control system.	

11.8.1.3. Evidence Collected (Sample)

In this section of the [Collect Evidence](#) form, users can collect the requested samples.

Evidence Collected (Sample)

Requested Sample Size

2

Collected Samples

Add

Discard changes

Save changes

#	Sample	Sample Date & Time	Notes
There is no data to display.			

Attach Evidence

Upload files

Max 1000 files, 2000MB each

No data

URL & Description

Paragraph

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A↑

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A ▼

B

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[Past Results Samples](#)

☐ Same Requirement
 ☐ Same Test
 ☐ Same Evidence

Import Selected
Select All
Deselect All

Discard changes
Save changes
:

Collected On	Sample ID	Note	Effectiveness	Accurate	Issue (Yes/No)	Collected By	Select
01/30/2023 00:11	AP-00029-4-Test-00002-E- 00002-RND2-SMP00001	All documents are indexed and cross-referenced.	Yes	Yes	No	Jane.Doe	
01/30/2023 00:11	AP-00029-4-Test-00002-E- 00002-RND2-SMP00002	All documents are numbered and labeled.	Yes	Yes	No	Jane.Doe	
01/29/2023 23:53	AP-00029-4-Test-00002-E- 00002-RND1-SMP00001	Changes are clearly identified, verified, and approved by an authorized staff member.	Yes	Yes	No	Jane.Doe	
01/29/2023 23:53	AP-00029-4-Test-00002-E- 00002-RND1-SMP00002	All internal laboratory documents are controlled.	Yes	Yes	No	Jane.Doe	

5 ▾
Page 1 of 90 (449 items) < 1 of 90 >

1. **Requested Sample Size:** This field is automatically populated with the sample size requested in the [Create Evidence](#) form.
2. **Add:** This button allows users to add a new sample.

<div> Add Discard changes Save changes </div>			
#	Sample	Sample Date & Time	Notes

- **Sample:** Once the entry has been saved, this field will automatically be populated with the sample ID. Users cannot modify the field.
- **Sample Date & Time:** Once the entry has been saved, this field will automatically be populated with the date and time at which the sample was collected. Users cannot modify the field.
- **Notes:** This is a text field that allows users to input their notes on the collected sample.


To edit notes within the [Collected Samples](#) grid, simply click on the corresponding column. Changes can be saved by clicking the **Save Changes** button or simply clicking outside the grid. To discard changes, click on the **Discard Changes** button.

3. **Delete** (): This button allows users to delete a sample.
- This option becomes available after users have created and saved an sample.

To confirm the deletion of items in the grid, click on the **Save Changes** button or simply click outside the grid. To undo deletion, click on either the **Discard Changes** button or the **Undo** () icon.

4. **Attach Evidence:** This is an attachment field that allows users to upload evidence relating to the collected samples.
5. **URL & Description:** This is a rich text field that allows users to input any related web resources as well as a description for them.
6. **Same Requirement:** This is a checkbox that, when selected, allows users to filter the grid by past sample results collected for the same requirement.
7. **Same Test:** This is a checkbox that, when selected, allows users to filter the grid by past sample results collected for the same test.
8. **Same Evidence:** This is a checkbox that, when selected, allows users to filter the grid by past sample results collected for the same evidence.
9. **Import Selected:** This button allows users to import the selected samples from this grid to the [Collected Samples](#) grid.
10. **Select All:** This button allows users to select all sample results (for importing purposes).
11. **Deselect All:** This button allows users to deselect all sample results (to cancel import).

In the [Past Results Samples](#) grid, users can mark individual samples for import by checking the corresponding **Select** checkbox. Selections can be saved by clicking the **Save Changes** button or by simply clicking outside the grid. To discard selections, click on the **Discard Changes** button.

* For additional options or actions related to the above grids, please utilize the corresponding kebab menu () located in the upper rightmost corner.

11.9. Review Evidence

Once the collected evidence has been submitted, the lead evidence collector will receive a notification in their **Pending Tasks** informing them that they need to review the evidence.

Jane Doe

Pending Tasks (1/1)

Drafts

Completed Tasks

Pending Tasks

Open in new windowChange folderSearch...

<input type="checkbox"/>	Flag	Prio...	Subject	Created at	Response ...	Done at	Sender
<input type="checkbox"/>			Review Evidence [AP-00021-4-Test-0...	11/07/2023 20:...			Jane Doe

They will also receive an email informing them of the assigned task.

Review Evidence [AP-00021-4-Test-00002-E-00002-RND1]

N

noreply@interfacing.com

To: John Doe

Tue 11/7/2023 3:34 PM

CAUTION: This email originated from outside of Interfacing Organization. DO NOT CLICK LINK OR OPEN ATTACHMENTS unless you recognize the sender and know the content is safe.

Hi,

You need to review the collected evidence.

https://dbp-dev-1.interfacing.com/dbp?redirect=/home/private%23%2Ftaskform%3Ftld%3D973fc8a7-7011-4a5e-b4b8-23f9aef33f84#

Regards,

Reply

Forward

Clicking on either the subject in **Pending Tasks** or the link in the email will direct the lead evidence collector to the Review Evidence form.

⋮

Round End Date

11/10/2023

...

...

Reject Selected

In the Collected Evidence grid, users can reject individual evidence items by checking the corresponding **Reject** checkbox. Selections can be saved by clicking the **Save Changes** button or by simply clicking outside the grid. To discard selections, click on the **Discard Changes** button.

- Page 174 of 231

modifications in this form. They can, however, add, edit, and/or reply to comments.

- **Comment:** This field will contain any comments previously entered by the evidence collector in the [Collect Evidence](#) form. The reviewer can edit or reply to these comments. They can also add new comments.
- Any comments (or replies) added here will populate the [Comments](#) grid in the [Review Evidence](#) form.

Comments				
Evidence ID	User	Date	Message	Reply To
AP-00021-4-Test-00002-E-00004-RND1	Jane.Doe	11/07/2023	Yes, the collected evidence indicates significant challenges in the laboratory's document management and control system.	The documentary evidence reveals clear deficiencies in documenting and enforcing document creation, revision, and approval processes.
AP-00021-4-Test-00002-E-00002-RND1	Jane.Doe	11/07/2023	Noted, the observed inconsistent practices and deviations highlight a need for immediate standardization of document control procedures.	The observatory evidence highlights inconsistent practices and deviations from established procedures.
AP-00021-4-Test-00002-E-00004-RND1	Jane.Doe	11/07/2023	The documentary evidence reveals clear deficiencies in documenting and enforcing document creation, revision, and approval processes.	
AP-00021-4-Test-00002-E-00002-RND1	Jane.Doe	11/07/2023	The observatory evidence highlights inconsistent practices and deviations from established procedures.	

2. **Reason for Rejection:** This is a rich text field that allows users to provide the reason for the rejection.

- If evidence is rejected, the reason provided here will be displayed in the corresponding field within the [Collect Evidence](#) form.



Users cannot reject evidence without providing a reason.

3. **Reject Selected:** This button allows users to reject the selected evidence.

- If clicked on, the evidence collector(s) assigned to the selected evidence will be tasked with re-collecting it.
 - They will again receive the [Collect Evidence](#) form, but this time the grid will only contain the rejected evidence. The form will also include the **Reason for Rejection** field, containing the provided reason.



In the [Collect Evidence](#) form for the rejected evidence, the fields will all

be populated with previously entered information. Users can still make modifications where applicable.

- Once evidence has been re-collected, it will be sent back for review.
 - If upon review, all evidence is approved, the Collect Evidence workflow will end.
 - If upon review, evidence is rejected, this process will repeat.
- This button refers to all evidence items for which the **Reject** checkbox has been selected.

Evidence Name	Test ID	Test Name	Submitted	Requirement ID	Requirement Name	Round	Times Rejected	Sample Count	Requested sample size	Reject
<input type="text"/>	<input type="text"/>	<input type="text"/>	(All) ▾	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	(All) ▾
Observatory Evidence	2	Document Control Test	<input checked="" type="checkbox"/>	4	Laboratory Document Control	1	0	2	2	<input checked="" type="checkbox"/>
Observatory Evidence	2	Document Control Test	<input checked="" type="checkbox"/>	4	Laboratory Document Control	2	0	2	2	<input checked="" type="checkbox"/>
Documentary Evidence	2	Document Control Test	<input checked="" type="checkbox"/>	4	Laboratory Document Control	1	0	2	2	<input checked="" type="checkbox"/>
Documentary Evidence	2	Document Control Test	<input checked="" type="checkbox"/>	4	Laboratory Document Control	2	0	2	2	<input checked="" type="checkbox"/>
Observatory Evidence	3	On-Site Verification	<input checked="" type="checkbox"/>	5	Laboratory Testing Integrity & Compliance	1	0	2	2	<input checked="" type="checkbox"/>

4. **Approve All:** This button allows users to approve all collected evidence.

- If selected, the Collect Evidence workflow will end.
 - The assigned evidence collector(s) will be notified of the approval via email.

Approved Evidence [AP-00021-4-Test-00002-E-00002-RND1]

N

noreply@interfacing.com

To: John Doe

Tue 11/7/2023 4:29 PM

CAUTION: This email originated from outside of Interfacing Organization. DO NOT CLICK LINK OR OPEN ATTACHMENTS unless you recognize the sender and know the content is safe.

Hi,

Evidence have been approved for round [AP-00021-4-Test-00002-E-00002-RND1].

<https://dbp-dev-1.interfacing.com/dbp?redirect=/home/private%23%2FtaskForm%3Fdld%3Dc0e2097e-883f-460a-bbc3-b09e00456a75%26fid%3D76db40af-4991-4510-80dc-ada500e326fb>

Regards,

Reply

Forward


- Once all collected evidence has been reviewed and approved, it will populate the Collected Samples grid in the Test Results form.



In the case of batch submission, please note that the lead evidence collector can receive multiple Review Evidence tasks, each containing different batches of evidence to review. This allows for independent review, rejection, or approval of each specific batch of submitted evidence.

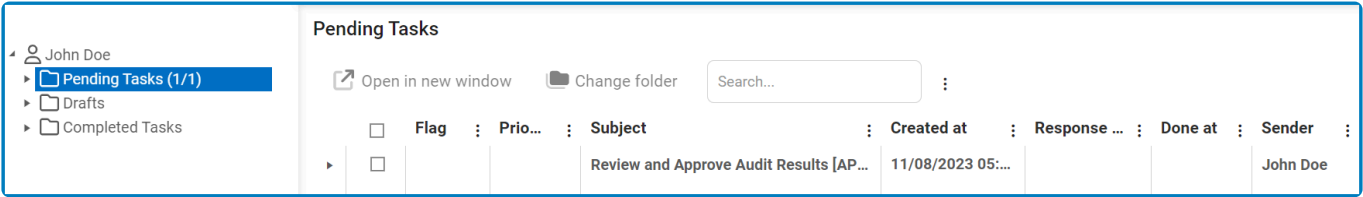


To access additional options or perform actions related to the above grids, please utilize

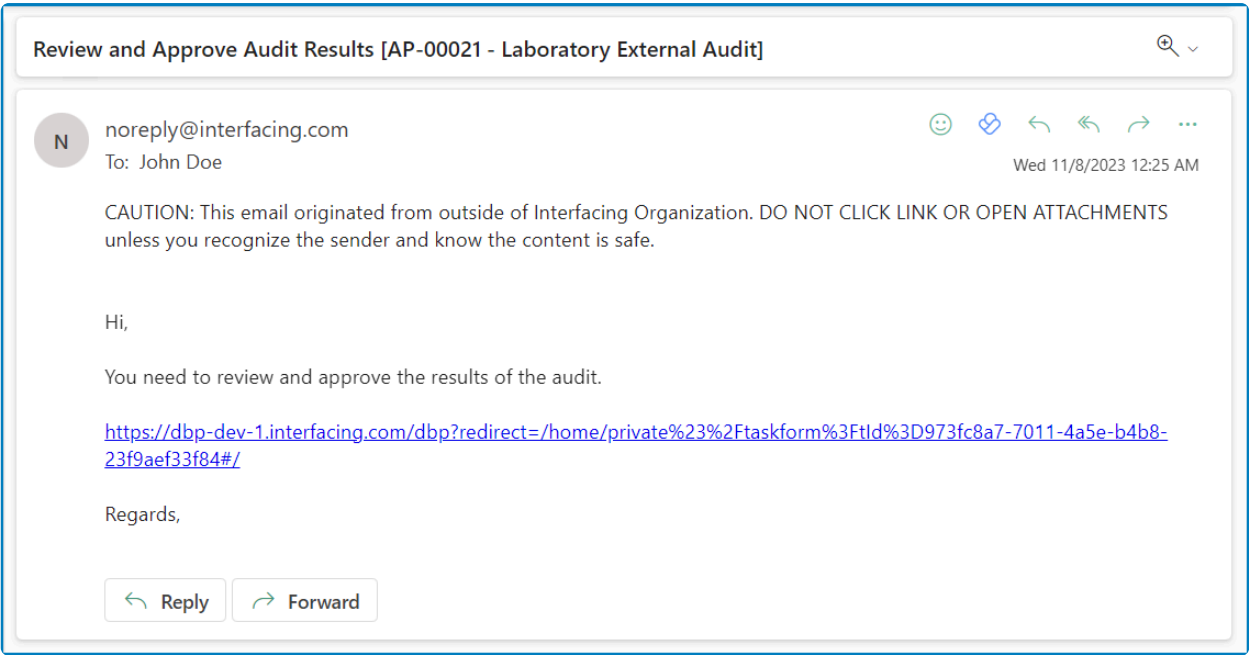
the corresponding kebab menu () located in the upper rightmost corner.

11.10. Review and Approve Audit Results

Once the audit results have been submitted, the audit manager will receive a notification in their **Pending Tasks** informing them that they need to review and approve the audit results.



They will also receive an email informing them that they have a new task to do.



Clicking on either the subject in **Pending Tasks** or the link in the email should direct the auditor manager to the Review & Approve Audit Results form.

This form can be divided into five main sections: (1) Participant Selection & Audit Schedule, (2) Requirements, (3) Observations & Comments, (4) Trigger Quality Event(s)/CAPA(s), and (5) Audit Distribution & Approval.

1. Participant Selection & Audit Schedule

In this section of the form, users can review the audit schedule and its assigned participants.

Review and Approve Audit Results [AP-00021 - Laboratory External Audit]

Audit Plan Name

Laboratory External Audit

Participant selection & Audit schedule

Participant Auditors

John DoeJane Doe

Lead Auditor

John Doe

Auditees' Roles

Quality Assurance Analyst

Auditees

Richard Roe

Lead Evidence Collector

Jane Doe

First Reminder to be Sent

1

Schedule Type

Single Day

Date Range

From

11/07/2023

To

11/14/2023


2. Requirements

In this section of the form, users can individually review the requirement reports (submitted by the auditors).

These requirements have been assigned to you for validation.

	Requirement ID	Requirement Name	Auditor	Audit Definition Name	Requirement Description	Observation Count
	<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>	<input type="text"/>
	4	Laboratory Document Control	John Doe	Laboratory External Audit	The laboratory must have a document management	1 Major ; 1 Minor; 1 NC; 1 GF
	5	Laboratory Testing Integrity & Compliance	John Doe	Laboratory External Audit	The laboratory must have written documentation for	
	6	Laboratory Health and Safety	John Doe	Laboratory External Audit	The laboratory must adhere to occupational	
	61	Document Development & Management	John Doe	Laboratory External Audit		
	62	Document Retrieval and Distribution	John Doe	Laboratory External Audit		
	63	Communication and Awareness	John Doe	Laboratory External Audit		
	64	Setting and Reviewing Quality Objectives	John Doe	Laboratory External Audit		









1. **View** (): This button allows users to view an audit requirement report.
- In viewing mode, users cannot make any modifications. They can, however, view details inside supplemental forms and download any attached files.
2. **Expand** (): This button allows users to access the full requirement description.

✿ To access additional options or perform actions related to the grid, please utilize the corresponding kebab menu () located in the upper rightmost corner.

3. Observations & Comments

In this section of the form, users can review any observations and/or comments related to the audit and its requirements (submitted by the auditors).

Compilation of all observations entered

	Requirement ID	Requirement Name	Entered By	Observation ID	Type	Notes	Quality Event	CAPA
	<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
	4	Laboratory Document Control	John Doe	AF-00093	General Findings	The laboratory's document 		
	4	Laboratory Document Control	John Doe	AF-00094	Major Observation	The laboratory does not have a backup or 		
	4	Laboratory Document Control	John Doe	AF-00095	Minor Observation	Some laboratory personnel are not 		
	4	Laboratory Document Control	John Doe	AF-00096	Non-conformity	The laboratory fails to maintain a 		

General comments about the audit

Paragraph

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The audit reveals serious shortcomings in the laboratory's document management and control system. Clear procedures are lacking for document creation, revision, and approval, and there is no backup or disaster recovery plan for electronic documents. Inconsistent adherence to document control procedures by some personnel and the absence of an updated list of controlled documents are areas of concern. Immediate action is needed to address these issues and ensure document integrity and compliance.

1. **View** (👁️): This button allows users to view an audit observation.
 - In viewing mode, users cannot make any modifications. They can, however, view details inside supplemental forms and download any attached files.
2. **Expand** (🔍): This button allows users to access the full notes associated with an observation.

✿ To access additional options or perform actions related to the grid, please utilize the corresponding kebab menu () located in the upper rightmost corner.

4. Trigger Quality Event/CAPA

In this section of the form, users can trigger quality events and/or CAPAs for the audit observations (shown in the previous section).

! Once a quality event or CAPA has been triggered, it will apply to all observations selected in the respective dropdown. If users wish to create a separate quality event or CAPA instance for different observations, they will need to select those observations one by one and click on either the **Create Quality Event** or **Create CAPA** button after each selection. An observation can only be selected and triggered for a quality event/CAPA

once.

— Trigger Quality Event(s) / CAPA(s)

Observations that are selected together in the corresponding dropdown below will create one quality event or CAPA instance. To create separate instances, select the observations one by one and click on either the Create Quality Event or Create CAPA button after each selection. An observation can only be selected and triggered once.

Observation(s) for Quality Event

Observation(s) for CAPA

Reviewer ?

Select...

Create Quality Event

Create CAPA



For more guidance on how to utilize single-select and multi-select dropdown fields, [click here](#).

1. **Observation(s) for Quality Event:** This is a multi-select dropdown field that retrieves the list of observations for the audit. The observation(s) selected in this dropdown will be, upon request, sent to the **Quality Event** application.
2. **Observation(s) for CAPA:** This is a multi-select dropdown field that retrieves the list of observations for the audit. The observation(s) selected in this dropdown will be, upon request, sent to the **CAPA** application.
3. **Reviewer:** This is a single-select dropdown field that retrieves the list of users, roles, and groups in the system. It is a **mandatory** field. It allows for the selection of the user, role, or group responsible for reviewing the quality event or CAPA.
4. **Create Quality Event:** This button allows users to create a quality event.
 - If selected, a message will appear informing the user of the Quality Event ID.

Quality event has been created with ID: QE-AF-00053

- The assigned user will automatically be tasked with reviewing the issue. Details about the audit plan and the selected observations associated with the audit plan will be included in this task.
 - For more details on the Quality Event workflow, see the [User Manual for the Quality Event Application](#).
- 5. **Create CAPA:** This button allows users to create a CAPA.

- If selected, a message will appear informing the user of the CAPA ID.

CAPA has been created with ID: CAPA-AF-00053

- The assigned user will automatically be tasked with reviewing the CAPA. Details about the audit plan will be included in this task.
 - For more details on the CAPA workflow, see the [User Manual for the CAPA Application](#).

!

While all types of observations can trigger a quality event, only major observations can trigger a CAPA.

5. Audit Distribution & Approval

In this section of the form, users can determine the recipients of the audit report, if distribution of the report is desired. Users can also decide whether to send the audit results back for further clarification or approve them.

Distribute audit report to:

Clarification Required

Sign-Off

1. **Distribute Audit Report To:** This is a multi-select dropdown field that retrieves the list of users, roles, and groups in the system. It allows for the selection of the the recipient(s) for the audit report.
 - Once the audit results are approved, the selected recipient(s) will receive an email including the audit report template as an attached PDF.

2. **Clarification Required:** This button allows users to send the audit results back for further

clarification.

- If selected, the assigned auditor(s) will be tasked with re-executing the audit.
 - They will again receive the [Execute Audit](#) form, except this version will include all previously entered information. Users can still make modifications where applicable.
 - Once the audit has been re-executed, its results will be sent back for review.
 - If upon review, the results are approved, the [Plan & Execute Audits](#) workflow will end.
 - If upon review, the results are sent back for further clarification, this process will repeat.
3. **Sign-Off:** This button allows users to sign-off on the audit results, bringing the workflow to an end.
- If selected, a pop-up window will appear prompting users to authenticate their signature with a unique code.

Approval Authentication

We sent you a secret code to your email. Please copy and paste it here.

Code:

By Approving with your e-signature, you are signing the document electronically. You agree that your electronic signature has the same legal validity and effect as your handwritten signature on the document, and that it has the same meaning as your handwritten signature.

- ✿ Users will receive this code via email. Once the code is entered, the event will be successfully signed off, and the task will be marked as completed. Users can then access their signature by viewing a PDF template of the form.

12. List of All Audit Plans

In this module, users can access and manage the list of audit plans created within the application.

Search Panel

All fields inside the search panel act as search boxes. Any value inputted inside them will be used as search criteria to filter and retrieve data from the grid, if possible.

Search Panel

Audit Plan ID

Audit Plan Name

Scheduled Start Date

Execution Date

Filter

Clear Filter

- 1. **Audit Plan ID:** This is a text field that allows users to filter by audit plan ID.
- 2. **Audit Plan Name:** This is a text field that allows users to filter by the name of the audit plan.
- 3. **Scheduled Start Date:** This is a date picker that allows users to filter by the scheduled start date of the audit plan.
- 4. **Execution Date:** This is a date picker that allows users to filter by the execution date of the audit plan.
- 5. **Filter:** This button filters the results according to the entered search criteria.
- 6. **Clear Filter:** This button clears the filters that were used in the previous search and allows users to again view the full data set.

Grid

Inside the grid, audit plans are organized by their ID, name, scheduled start date, and execution date. These values are derived from the [Plan & Execute Audits](#) workflow.

AddDiscard changesSave changes



	Audit Plan ID	Audit Plan Name	Scheduled Start Date	Execution Date
	<div></div>	<div></div>	<div></div>	<div></div>
<div></div>	AP-00001	Environmental Management System Audit	11/09/2022	11/12/2023
<div></div>	AP-00002	Financial Forecasting Audit	11/29/2022	11/30/2022
<div></div>	AP-00003	Information Security Audit	11/30/2022	12/08/2022
<div></div>	AP-00004	Occupational Health & Safety Audit	12/11/2023	12/23/2023
<div></div>	AP-00005	Laboratory Quality System Internal Audit	12/20/2023	12/29/2022


5


Page 1 of 40 (200 items)

1 of 40

For more details on this type of grid and its features, [click here](#).

1. **Add:** This button allows users to add a new audit plan.
 - If selected, it will display the [New Audit Plan](#) form.
2. **View** (): This button allows users to view an audit plan.
 - In viewing mode, users cannot make any modifications. They can, however, view details in supplemental forms and access/download any available [templates](#).
3. **Delete** (): This button allows users to delete an audit plan.

* To confirm the deletion of items in the grid, click on the **Save Changes** button or simply click outside the grid. To undo deletion, click on either the **Discard Changes** button or the **Undo** () icon.

* To access [additional options or perform actions](#) related to the grid, please utilize the kebab menu () located in the upper rightmost corner.

13. Audit Summary Report

In this module, users can access a summary report of all audit plans.

Search Panel

All fields inside the search panel act as search boxes. Any value inputted inside them will be used as search criteria to filter and retrieve data from the grid, if possible.

Search Panel

Executed Date

Audit Plan ID

Audit Plan Name

Filter

Clear Filter

1. **Executed Date:** This is a date picker that allows users to filter by the executed date of the audit.

2. **Audit Plan ID:** This is a numeric field that allows users to filter by the audit plan ID.

3. **Audit Plan Name:** This is a text field that allows users to filter by the name of the audit plan.

4. **Filter:** This button filters the results according to the entered search criteria.

5. **Clear Filter:** This button clears the filters that were used in the previous search and allows users to again view the full data set.

Grid

Inside the grid, audit plans are organized by values derived from the [Plan & Execute Audits](#) workflow.

#		Audit Plan ID	Audit Plan Name	No. of Audits Done	Total No. of Audits	No. of Requirements Done	Total No. of Requirements
		<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>
1	<div></div>	AP-00001	Environmental Management System Audit	1	1	10	10
2	<div></div>	AP-00002	Financial Forecasting Audit	1	1	5	5
3	<div></div>	AP-00003	Information Security Audit	1	1	10	10
4	<div></div>	AP-00004	Occupational Health & Safety Audit	1	1	3	3
5	<div></div>	AP-00005	Laboratory Quality System Internal Audit	1	1	9	9

5

Page 1 of 40 (200 items)

<


1

>

of 40

1. **View ():** This button allows users to view an audit report.

In viewing mode, users cannot make any modifications. They can, however, view details in supplemental forms and access/download any available [templates](#).

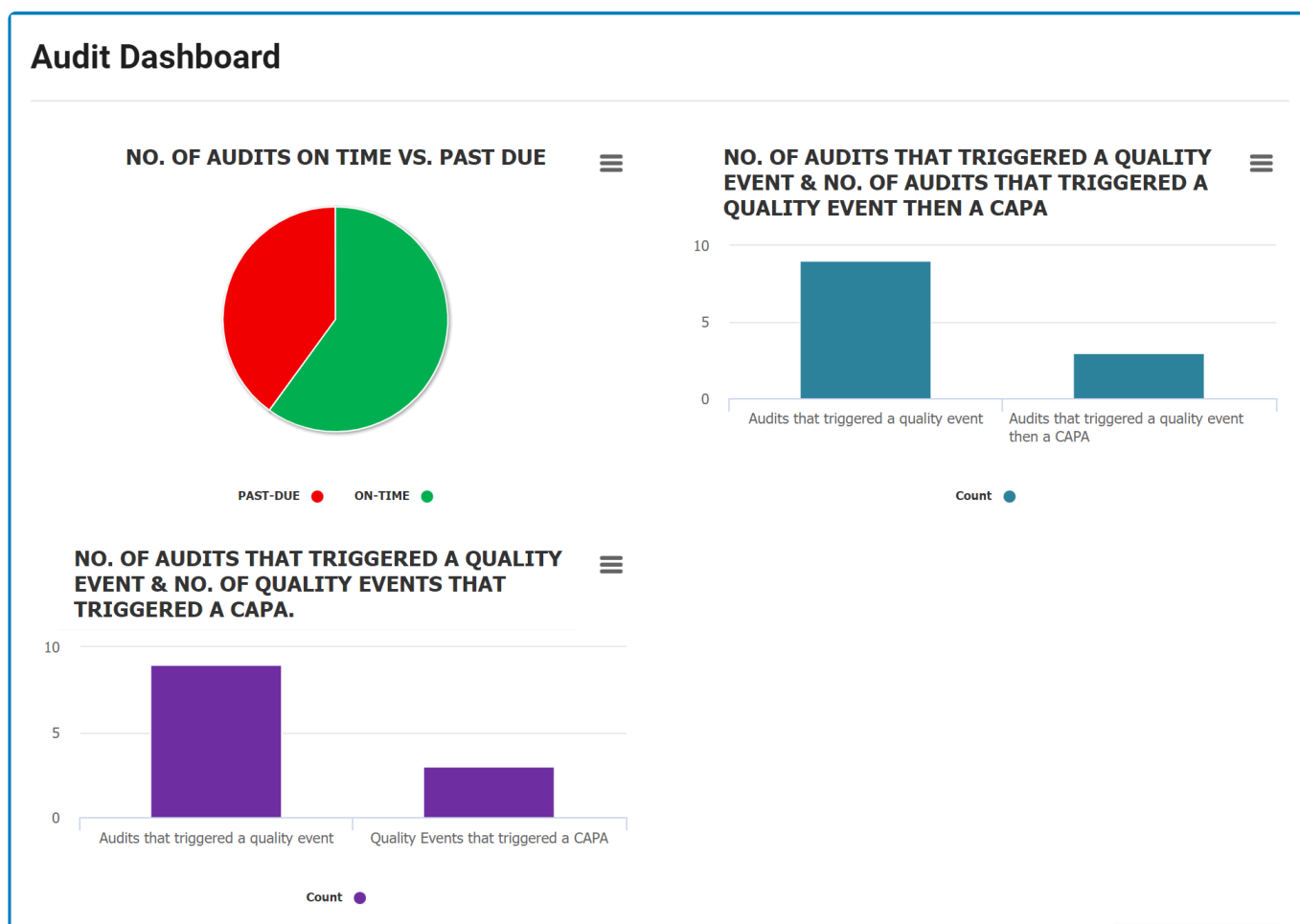
✿ To access additional options or perform actions related to the grid, please utilize the kebab menu () located in the upper rightmost corner.

14. Audit Dashboard

In this module, users can access visual representations of audit statistics.

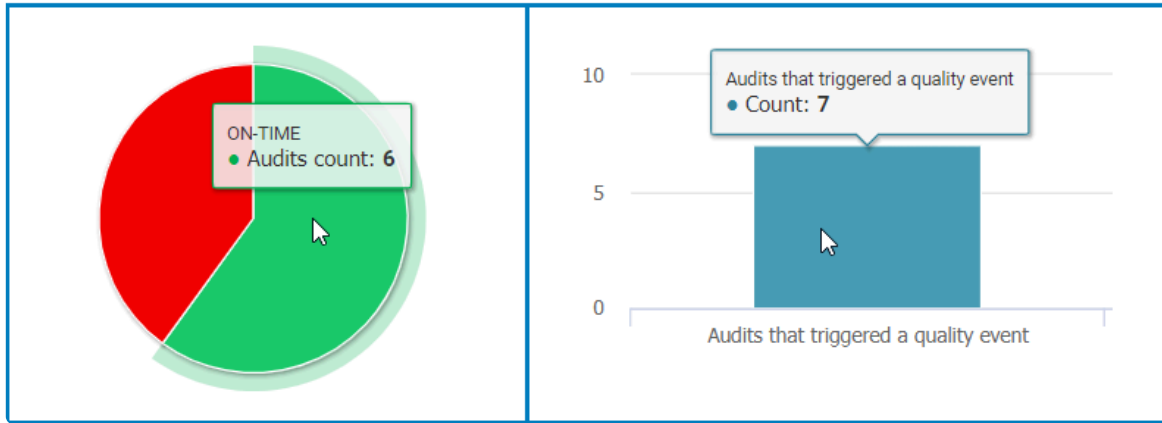
Audit Dashboard

In the upper left corner of the Audit Dashboard form, there is a pie chart representing the number of audits that have been completed on time versus the ones that are overdue. Below the pie chart, in the lower left corner, there is a bar graph representing both the number of audits that triggered a quality event and the number of quality events that triggered a CAPA. In the upper right corner of the page, there is a bar graph representing both the number of audits that triggered a quality event and the number of audits that triggered a quality event and then a CAPA.



For more guidance on how to utilize interactive charts, [click here](#).

1. **Chart Context Menus:** These are hamburger buttons which, when collapsed, display a list of options that allow users to either print or download the chart.
2. **Audits Count:** This is quantitative data that users can access by hovering their cursor over the different symbols in the charts. (Symbols, in this case, refers to the slices of the pie charts and the bars of the bar chart).



3. **Drilldown Reports:** These are data reports that users can access by double-clicking on the different symbols in the pie and bar charts. (Symbols, in this case, refers to the slices/sectors of the pie charts and the bars of the bar chart).
- For example, if users were to double-click on the sector representing audits that have been completed on time, a pop-up window would appear with the following form:

List of Completed Audit Plans

Search Panel

Audit Plan ID

Audit Plan Name

Filter

Clear Filter

	Audit Plan ID	Audit Plan Name	Completion Date	No. of Audit Definitions	No. of Requirements
	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
	AP-00002	Financial Forecasting Audit	11/30/2022	1	5
	AP-00003	Information Security Audit	12/08/2022	1	10
	AP-00005	Laboratory Quality System Internal Audit	12/29/2022	1	9
	AP-00007	ISO 9001 Certification Audit	01/12/2023	1	3
	AP-00008	Corporate Social Responsibility Audit	01/24/2023	1	5
	AP-00009	Supplier Performance and Compliance Audit - ABC Widget Company	02/08/2023	1	3



All charts in this form are equipped with a drilldown functionality. By double-clicking on a sector/bar of the chart, users are essentially drilling down data. They are moving from the summary report visualized by the graph to the detailed report that created it.

15. In-Progress Audit Plans

In this module, users can access the list of audit plans that are currently in progress.

Search Panel

All fields inside the search panel act as search boxes. Any value inputted inside them will be used as search criteria to filter and retrieve data from the grid, if possible.

Search Panel

Audit Plan ID

Execution Date

Scheduled Start Date

Lead Auditor

Select...

Filter

Clear Filter

1. **Audit Plan ID:** This is a numeric field that allows users to filter by audit plan ID.

2. **Execution Date:** This is a date picker that allows users to filter by the execution date of the audit.

3. **Schedule Start Date:** This is a date picker that allows users to filter by the scheduled start date of the audit plan.

4. **Lead Auditor:** This is a single-select dropdown field that allows users to filter by the lead auditor of the audit plan.

5. **Filter:** This button filters the results according to the entered search criteria.

6. **Clear Filter:** This button clears the filters that were used in the previous search and allows users to again view the full data set.


Grid

Inside the grid, audit plans are organized by values derived from the [Plan & Execute Audits](#) workflow. The audit plans listed in this grid are all still in progress.

	Audit Plan ID	Audit Plan Name	Lead Auditor	Total No. of Audit Definitions	No. of Completed Audit Definitions
	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>
<div></div>	AP-00001	Environmental Management System Audit	John.Doe	1	1
<div></div>	AP-00004	Occupational Health & Safety Audit	Jane.Doe	1	1
<div></div>	AP-00006	Data Privacy and Security Audit	Richard.Roe	1	1
<div></div>	AP-00021	Laboratory External Audit	John.Doe	1	1
<div></div>	AP-00232	General Data Protection Regulation Compliance	Richard.Roe	1	1

1. **View ():** This button allows users to view an audit plan.

In viewing mode, users cannot make any modifications. They can, however, view details in supplemental forms and access/download any available [templates](#).

✿ To access additional options or perform actions related to the grid, please utilize the kebab menu () located in the upper rightmost corner.

16. Completed Audit Plans

In this module, users can access the list of completed audit plans.

Search Panel

All fields inside the search panel act as search boxes. Any value inputted inside them will be used as search criteria to filter and retrieve data from the grid, if possible.

Search Panel

Audit Plan ID

Audit Plan Name







Filter


Clear Filter



1. **Audit Plan ID:** This is a numeric field that allows users to filter by audit plan ID.
2. **Audit Plan Name:** This is a text field that allows users to filter by the name of the audit plan.
3. **Filter:** This button filters the results according to the entered search criteria.
4. **Clear Filter:** This button clears the filters that were used in the previous search and allows users to again view the full data set.

Grid

Inside the grid, audit plans are organized by values derived from the Plan & Execute Audits workflow. The audit plans listed in this grid are all completed.

	Audit Plan ID	Audit Plan Name	Completion Date	No. of Audit Definitions	No. of Requirements
	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
	AP-00002	Financial Forecasting Audit	11/30/2022	1	5
	AP-00003	Information Security Audit	12/08/2022	1	10
	AP-00005	Laboratory Quality System Internal Audit	12/29/2022	1	9
	AP-00008	ISO 9001 Certification Audit	01/12/2023	1	3
	AP-00009	Corporate Social Responsibility Audit	01/24/2023	1	5
	AP-00010	Supplier Performance and Compliance Audit - ABC Widget Company	02/08/2023	1	3

1. **View ():** This button allows users to view an audit plan.
 - In viewing mode, users cannot make any modifications. They can, however, view details in supplemental forms and access/download any available [templates](#).

 To access [additional options or perform actions](#) related to the grid, please utilize the kebab menu () located in the upper rightmost corner.

17. Audit Plans – Waiting for Schedule

In this module, users can monitor audits whose scheduling is still pending. A Gantt chart is available to visualize these pending audits. Additionally, a grid listing these audit plans is provided, allowing users to modify the execution start period, execution end period, and audit scheduling start date as needed.

Audit Plans - Waiting for Schedule

Start Period

End Period

Apply Filter

Task name	Priority	2023 October											
		15	16	17	18	19	20	21	22	23	24	25	
Laboratory External Audit	0		Laboratory External Audit										
Occupational Health & Safety Audit	0		Occupational Health & Safety Audit										

Discard

Save changes

#	Audit Plan Name	Start Period	End Period	Schedule Start Date	Created By	
1	Laboratory External Audit	16/10/2023	23/10/2023	16/10/2023	John.Doe	
2	Occupational Health & Safety Audit	17/10/2023	20/10/2023	18/10/2023	Jane.Doe	

- 1. **Start Period:** This is a date picker that allows users to filter by the start period of the audit execution.
- 2. **End Period:** This is a date picker that allows users to filter by the end period of the audit execution.
- 3. **Apply Filter:** This button filters the results according to the entered search criteria.



To edit dates inside the grid, simply click on the element you want to modify. To save changes, click on the **Save Changes** button or simply click outside the grid. To discard changes, click on the **Discard Changes** button.

! Upon reaching the specified Start of Audit Scheduling date for a given audit, the system will automatically trigger the Schedule Audit task, assigning it to the designated team leader. Subsequently, the active audit plan will be removed from the Audit Plans – Waiting for Schedule module.

18. My Audit Plans (Auditor)

In this module, users can access a Gantt chart illustrating their audit schedule. They can also access a list of their audit plans.

My Audit Plans (Auditor)

Task name	Priority	2023									
		September					October				
		26	27	28	29	30	01	02	03	04	05
 Laboratory External Audit	0		Laboratory External Audit								
 Occupational Health & Safety Audit	0						Occupational Health & Safety Audit				



Audit Plan ID	Audit Plan Name	Is Completed	No. of Com...	Total No. of ...	No. of Complet...	Total No. of Re...	Sched...
<input type="text" value="🔍"/>	<input type="text" value="🔍"/>	false ▾	<input type="text" value="🔍"/>	<input type="text" value="🔍"/>	<input type="text" value="🔍"/>	<input type="text" value="🔍"/>	<input type="text" value="🔍"/>
AP-00037	Laboratory External Audit	<div></div>	1	1	0	3	26/09/2020:00
AP-00038	Occupational Health & Safety Audit	<div></div>	1	1	0	1	30/09/2020:00


19. My Team's Audit Plans

In this module, users can access their team's list of audit plans.

Audit Definitions to Plan

In this section, team leaders can access the list of defined audits that are ready to be planned and executed. (These audits would specifically be the ones for which they are assigned as team leader.)

My Team's Audit Plans					
Audits Definitions to Plan					
#		Audit Definition ID	Audit Definition Name	Reason	Estimated Effort
		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
1		AUD-ISO9001-2023-00031	Laboratory External Audit	The purpose of this audit is to verify that laboratory policies, processes, and procedures are well-documented and comply with regulatory standards.	48
2		AUD-ISO45001-2023-00035	Occupational Health & Safety Audit	This audit aims to assess the effectiveness of the organization's implemented health and safety management system.	16


1. **View** (): This button allows users to view an audit definition.
 - In viewing mode, users cannot make any modifications. They can, however, view details in supplemental forms and access/download any available [templates](#).

My Team's Plans

In this section, team leaders can access a list of their team's audit plans. Only plans that are still in-progress will appear in this list.

My Team's Plans

#		Audit Plan ID	Audit Plan Name	No. of Completed Audit Definitions	Total No. of Audit Definitions	No. of Completed Requirements
		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
1		AP-00015	Laboratory External Audit	1	1	5
2		AP-00019	Occupational Health & Safety Audit	1	1	3

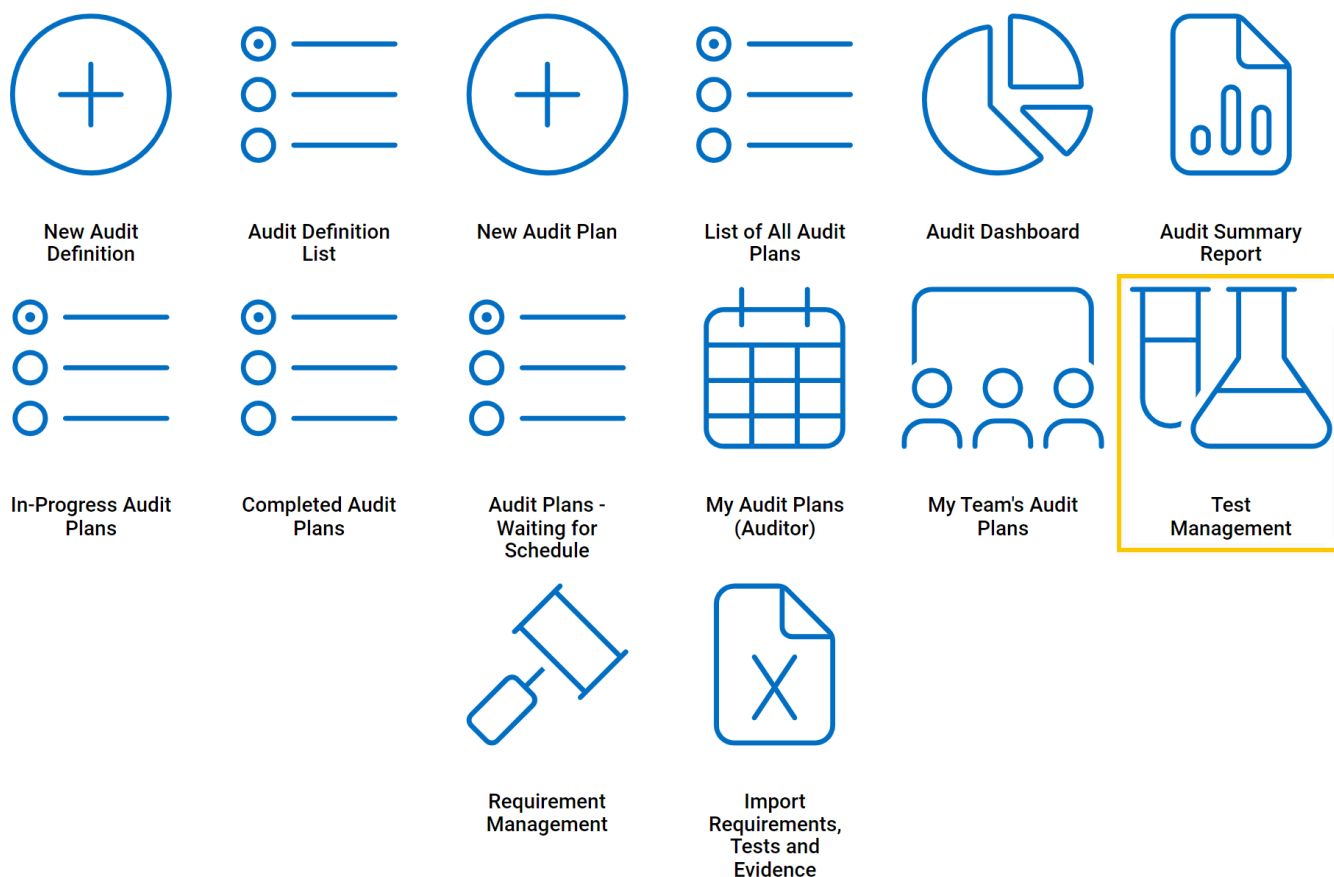
1. **View** (): This button allows users to view an audit plan.
 - In viewing mode, users cannot make any modifications. They can, however, view details in supplemental forms and access/download any available [templates](#).

20. Test Management

The **Test Management** application facilitates the management of evidence requests and tests, integral components for the evidence collection phase within the [Plan & Execute Audits](#) workflow.

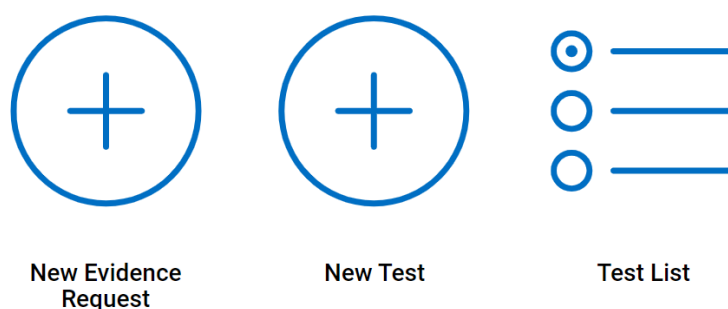
To access the **Test Management** application, take the following steps:

1. Click on the **Audit** application.
2. Selecting **Audit** directs users to this subpage. Click on **Test Management**.



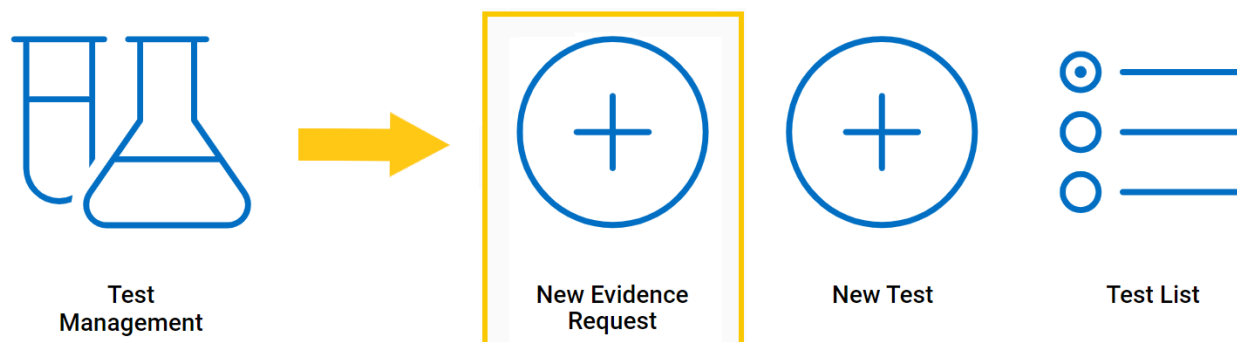
3. Selecting **Test Management** directs users to the following subcategories:

- [Evidence Collection Requirements](#)
- [New Test](#)
- [Test List](#)



20.1. New Evidence Request

In this module, users can access and manage the list of evidence requests created within the application.



Search Panel

All fields inside the search panel act as search boxes. Any value inputted inside them will be used as search criteria to filter and retrieve data from the grid, if possible.

Search Panel

Evidence ID

Evidence Name



























Filter

Clear Filter

1. **Evidence ID:** This is a numeric field that allows users to filter by evidence ID.
2. **Evidence Name:** This is a text field that allows users to filter by the name of the evidence.
3. **Filter:** This button filters the results according to the entered search criteria.
4. **Clear Filter:** This button clears the filters that were used in the previous search and allows users to again view the full data set.

Grid


Inside the grid, evidence requests are organized by the values entered in the [Create Evidence](#) form.



<div> Add Discard changes Save changes </div>							
	Evidence ID	Evidence Name	Sample Size	Population	Frequency	Prerequisites	Procedure
	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
  	E-00001	Oral Evidence	20	40	Yearly	The auditor must build a schedule to 	The auditor will hold individual question- 
  	E-00002	Observatory Evidence	2	15	Yearly	1. Auditor must be accredited 	<ul style="list-style-type: none"> Suitability of processes and  Reliability and accuracy of 
  	E-00003	Physical Examination	4	25	Yearly	1. Auditor must prepare audit 	1. Gather external and internal 
  	E-00004	Documentary Evidence	2	15	Quarterly	1. To discourage fraud, original 	1. Gather external and internal 
  	E-00005	Analytical Procedure	3	5	Monthly	N/A 	The auditor must analyze and assess 


5

Page 1 of 20 (96 items)
1
of 20



 For more details on this type of grid and its features, [click here](#).


1. **Add:** This button allows users to add a new evidence request.
 - If selected, it will display the [Create Evidence](#) form.
2. **Delete** (): This button allows users to delete an evidence request.

 To confirm the deletion of items in the grid, click on the **Save Changes** button or simply click outside the grid. To undo deletion, click on either the **Discard Changes** button or the **Undo** () icon.

3. **Edit** (): This button allows users to edit an existing evidence request.

 To edit, users can also simply double-click on the respective entry in the grid.

4. **View** (): This button allows users to view an evidence request.
 - In viewing mode, users cannot make any modifications.
5. **Expand** (): This button allows users to access the full contents of the evidence collection prerequisites and procedure.

 If an evidence request is in use, users cannot delete it without first deleting all instances of its use.

20.1.1. Create Evidence

In the Create Evidence form, users can create a new evidence request.

Create Evidence

Evidence ID

E-00015

Evidence Name

Sample Size

Population

Frequency

Select...

Test Method(s)

Prerequisites

Paragraph

A[±]

A₁

A

A

B

I

U

Procedure

Paragraph

A[±]

A₁

A

A

B

I

U

Save and Return

Save and New

For guidance on common form functions, please refer to the [dedicated section](#) in the manual.

1. **Evidence ID:** This field is automatically populated with a unique identifier when a new evidence request is created. Users cannot modify the field.
2. **Evidence Name:** This is a text field that allows users to input the name of the evidence. It is a [mandatory](#) field.
3. **Sample Size:** This is a numeric updown field that allows users to input the sample size. It is a [mandatory](#) field.
 - Users can enter this number manually or by clicking the increment/decrement arrows.
4. **Population:** This is a text field that allows users to input the population size.
5. **Frequency:** This is a single-select dropdown field that retrieves the list of predefined frequencies. It allows users to select the frequency of the evidence collection.
 - Frequency options are created in the [Frequency](#) section of **General Settings**.
6. **Test Methods:** This is a multi-select dropdown field that retrieves the list of predefined test methods. It allows users to select the method by which the evidence will be tested during the audit.
 - Test methods are created in the [Test Methods](#) section of **Audit Settings**.
7. **Prerequisites:** This is a rich text field that allows users to input the prerequisites for the evidence

collection.

8. **Procedure:** This is a rich text field that allows users to input the procedure for the evidence collection.
9. **Save and Return:** This button allows users to save the evidence request and return to the Evidence Collection Requirements form.
10. **Save and New:** This button allows users to save the evidence request and open a new form to create another evidence request.

20.2. New Test

In this module, users can create a new test.



The New Test form is composed of two tabs:

1. [Details](#)
2. [Evidence](#)

20.2.1. Details

In this section of the **New Test** form, users can define the details of the test.

New Test

Details
Evidence

Test ID	Test Name	Created By
Test-00023	<input type="text"/>	John.Doe

Description

Paragraph ▼
 A[Ⓐ] ▼ Ai ▼ A ▼ AA ▼
 B I U S
 ≡ ▼
 ¶ ▬ ▮ ▭ ▯
 🔗 “ 🖼️ 📅 ▶ ⏪ ↩ ➞

Requirement(s)

✿ For guidance on common form functions, please refer to the [dedicated section](#) in the manual.

1. **Test ID:** This field is automatically populated with a unique identifier when a new test is created. Users cannot modify the field.
2. **Test Name:** This is a text field that allows users to input the name of the test. It is a mandatory field.
3. **Created By:** This field is automatically populated with the login name of the user creating the test.
4. **Description:** This is a rich text field that allows users to provide a description of the test.
5. **Requirement(s):** This is a multi-select dropdown field that retrieves the list of requirements (from the [Requirement List](#)). It allows users to attach requirements to the test.
 - Requirements are created in [New Requirement](#) section of the **Requirement Management** application.
6. **Submit Form:** This button allows users to submit the completed form.
 - Before submitting, users should [assign evidence](#) to the test.
 - Once submitted, tests are recorded in the [Test List](#).

20.2.2. Evidence

In this section of the New Test form, users can assign evidence to the test.

Under the Evidence tab, there are two subtabs to consider: (1) **Select Evidence** and (2) **Evidence Selected**.

1. Select Evidence

In this tab, users can select the evidence that they would like to assign to the test.

New Test

DetailsEvidence

Select EvidenceEvidence Selected

Assign AllAssign SelectedSelect AllDeselect All

Available Evidence

Discard changesSave changes

Select	Evidence ID	Evidence Name	Sample Size	Frequency	Population	Prerequisites	Procedure
<input checked="" type="checkbox"/>	E-00001	Oral Evidence	20	Yearly	40	The auditor must build a schedule	The auditor will hold individual question-
<input checked="" type="checkbox"/>	E-00002	Observatory Evidence	2	Yearly	15	1. Auditor must be	• Suitability of processes and
<input checked="" type="checkbox"/>	E-00003	Physical Examination	4	Yearly	25	1. Auditor must	• Reliability and accuracy of
<input checked="" type="checkbox"/>	E-00004	Documentary Evidence	2	Quarterly	15	1. To discourage	1. Gather external and internal

Submit form

! In this grid, users can mark individual evidence requests for assignment by checking the corresponding **Select** checkbox. Selections can be saved by clicking the **Save Changes** button or by simply clicking outside the grid. To discard selections, click on the **Discard Changes** button

- Assign All:** This button allows users to assign all evidence requests to the test.
 - If this button is selected, all evidence requests will populate the grid inside the **Selected Evidence** tab.
- Assign Selected:** This button allows users to assign selected evidence requests to the test.
 - If this button is selected, only selected evidence requests will populate the grid inside the **Selected Evidence** tab.
- Select All:** This button allows users to select all evidence requests in the Available Evidence grid.

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4. **Deselect All:** This button allows users to deselect all evidence requests in the Available Evidence grid.
5. **Expand (🔗):** This button allows users to access the full contents of the evidence collection prerequisites and procedure.
6. **Submit Form:** This button allows users to submit the completed form.
 - Once submitted, tests are recorded in the Test List.

2. Selected Evidence

In this tab, users can access the list of selected evidence that has been assigned to the test.

New Test

Details
Evidence

Select Evidence
Evidence Selected

Discard changes
Save changes

#		Evidence ID ↑	Evidence Name	Sample Size	Population	Prerequisites	Procedure
1	🗑️	E-00002	Observatory Evidence	2	15	1. Auditor must be accredited 🔗	• Suitability of processes and 🔗
2	🗑️	E-00004	Documentary Evidence	2	15	1. To discourage fraud, original 🔗	1. Gather external and internal 🔗

Submit form

1. **Delete (🗑️):** This button allows users to delete an assigned evidence request.

✳ To confirm the deletion of items in the grid, click on the **Save Changes** button or simply click outside the grid. To undo deletion, click on either the **Discard Changes** button or the **Undo (↶)** icon.

2. **Expand (🔗):** This button allows users to access the full contents of the evidence collection prerequisites and procedure.
3. **Submit Form:** This button allows users to submit the completed form.
 - Once submitted, tests are recorded in the Test List.

✳ To access additional options or perform actions related to either grid, please utilize the kebab menu (⋮) located in the upper rightmost corner.

20.3. Test List

In this module, users can access the list of all tests created using the application.



Search Panel

All fields inside the search panel act as search boxes. Any value inputted inside them will be used as search criteria to filter and retrieve data from the grid, if possible.

Search Panel

Test ID

Test Name











Filter

Clear Filter


1. **Test ID:** This is a numeric field that allows users to filter by test ID.
2. **Test Name:** This is a text field that allows users to filter by the name of the test.
3. **Filter:** This button filters the results according to the entered search criteria.
4. **Clear Filter:** This button clears the filters that were used in the previous search and allows users to again view the full data set.


Grid

Inside the grid, tests are organized by the values entered in the New Test form.

<div> Add Discard changes Save changes </div>			
	Test ID	Test Name	Description
	<input type="text"/>	<input type="text"/>	<input type="text"/>
	Test-00001	Risk Assessment Procedures	This audit test is used to identify and assess the potential risks to the audited entity. It is also used to evaluate the 
	Test-00002	Document Control Test	This audit test reviews and evaluates the effectiveness of the organization's document control system. 
	Test-00003	On-Site Verification	This audit test inspects and evaluates the organization's processes and assets to ensure compliance with industry 
	Test-00004	Test of Controls	This audit test examines and evaluates the effectiveness of an organization's internal controls. It aims to determine 
	Test-00005	Workplace Health and Safety Inspection	This audit test inspects the workplace to identify and record potential health and safety hazards. 
<div> 1 of 2 </div>			



* For more details on this type of grid and its features, [click here](#).

1. **Add**: This button allows users to add a new test.
 - If selected, it will display the [New Test](#) form.
2. **Delete** (): This button allows users to delete a test.

* To confirm the deletion of items in the grid, click on the **Save Changes** button or simply click outside the grid. To undo deletion, click on either the **Discard Changes** button or the **Undo** () icon.

3. **Edit** (): This button allows users to edit an existing test.

* To edit, users can also simply double-click on the respective entry in the grid.

4. **View** (): This button allows users to view a test.
 - In viewing mode, users cannot make any modifications.
5. **Expand** (): This button allows users to access the full test description.


! If a test is in use, users cannot delete it without first deleting all instances of its use.

21. Requirement Management

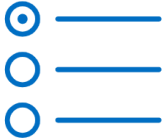
The **Requirement Management** application facilitates the management of audit requirements, integral components within the [Plan & Execute Audits](#) workflow.

To access the **Requirement Management** application, take the following steps:


1. Click on the **Audit** application.
2. Selecting **Audit** directs users to this subpage. Click on **Requirement Management**.



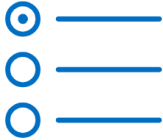
New Audit Definition




Audit Definition List




New Audit Plan



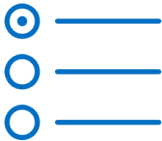
List of All Audit Plans



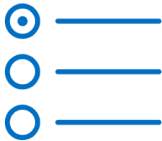
Audit Dashboard



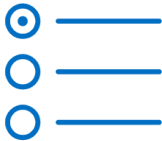
Audit Summary Report




In-Progress Audit Plans




Completed Audit Plans




Audit Plans - Waiting for Schedule



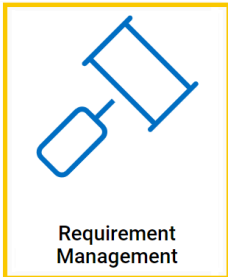
My Audit Plans (Auditor)




My Team's Audit Plans



Test Management




Requirement Management




Import Requirements, Tests and Evidence

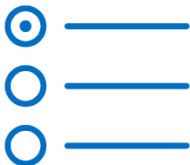
3. Selecting **Requirement Management** directs users to the following subcategories:
 - [Import Requirements from EPC](#)
 - [New Requirement](#)
 - [Requirement List](#)



Import Requirements from EPC



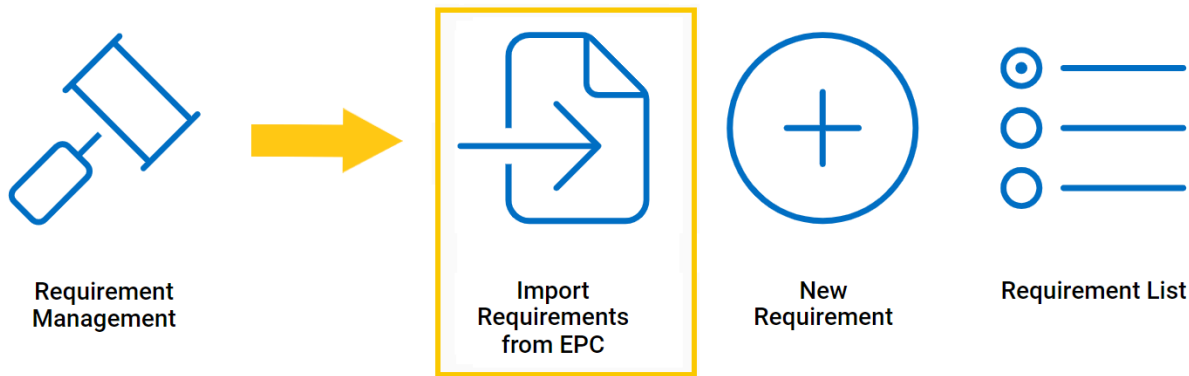
New Requirement



Requirement List

21.1. Import Requirements from EPC

In this module, users can import requirements from EPC.



Importing EPC Controls, Documents, Processes, Capabilities, and/or Rules

Import Requirements from EPC

Import Control

Import Document

Import Process

Import Capability

Import Rule

In this tab, you can select which control(s) to import from EPC.

Folder

Select...

Select All

Deselect All

Import Selected

Discard changes

Save changes

Parent	Identifier	Name	Selected For Import
<input type="text"/>	<input type="text"/>	<input type="text"/>	(All)

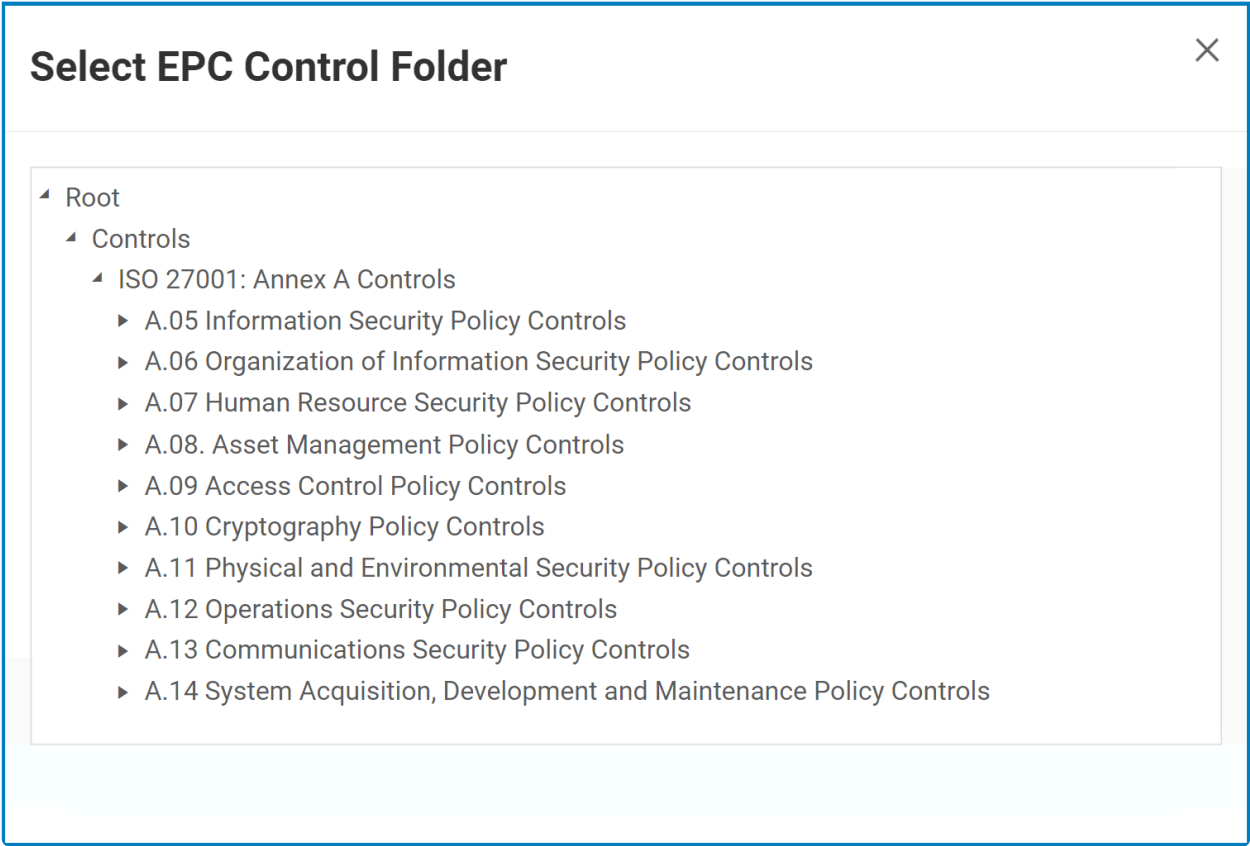
There is no data to display.

Output

! To avoid repetition in the manual, similar functions across tabs in this form are collectively described below. Please note that this combination is solely for the purpose of the manual, and in the actual application, each tab operates independently with its

specific functions.

- 1. **Folder:** This is a single-select field that displays the list of EPC object folders. Rather than in a dropdown menu, however, this list is displayed in a pop-up window.



- Once a parent EPC object folder is chosen, its child objects will populate the grid.



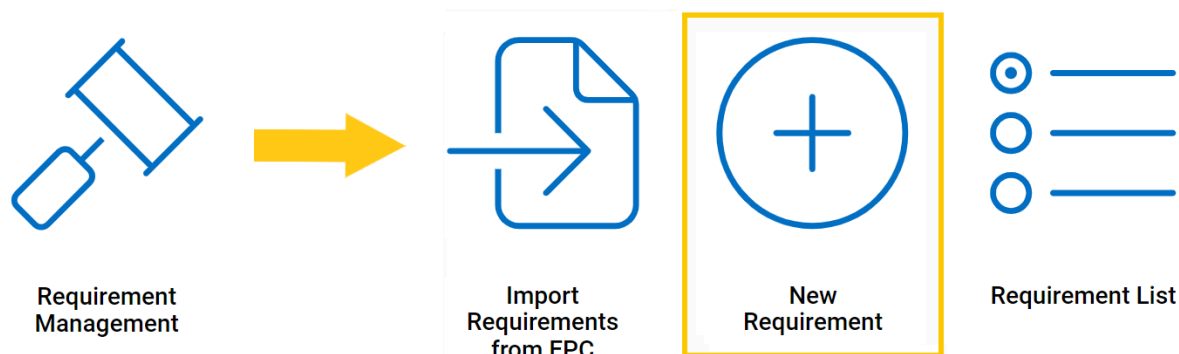
- 2. **Select All:** This button allows users to select all child objects in the grid for import.
- 3. **Deselect All:** This button allows users to deselect all child objects in the grid.
- 4. **Import Selected:** This button allows users to import the selected child objects from EPC.
 - If selected, a message will appear in the **Output** field, listing the number of imported objects.

Output

Importing selected controls started
2 controls have been imported.

21.2. New Requirement

In this module, users can create new a requirement.



Defining Requirements

Although its specific features will be delved into below, the grid in the Checklist section of this form essentially functions the same as any editable grid control—that is, one with **Add/Edit** functions. [For more details on this type of grid and its features, click here.](#)

New Requirement

Requirement ID

57

Requirement Name

Requirement Type

Test(s)

Select... ▼

Description

Paragraph ▼

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Checklist

Add

Discard changes

Save changes

Checklist No.

Question

🔍

🔍


There is no data to display.

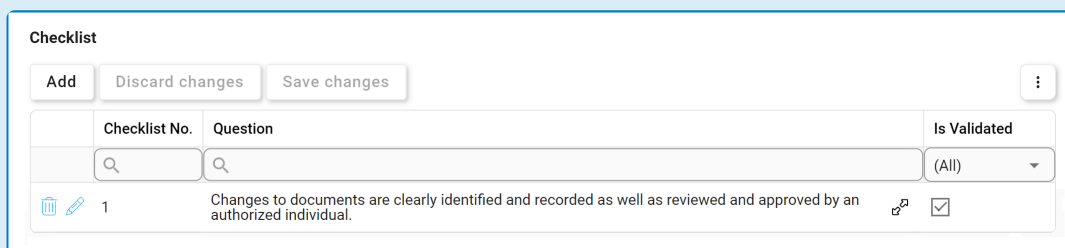
Submit form

Save Form

* For guidance on common form functions, please refer to the [dedicated section](#) in the manual.

1. **Requirement ID:** This field is automatically populated with a unique identifier when a new requirement is defined. Users cannot modify the field.
2. **Requirement Name:** This is a text field that allows users to input the name of the requirement. It is a [mandatory](#) field.
3. **Requirement Type:** This is a single-select dropdown field that displays the list of requirement types. It is a [mandatory](#) field.
 - [Requirement Types](#): Audit, Inspection, or Both.
4. **Test(s):** This is a multi-select dropdown field that retrieves the list of predefined tests (from the [Test List](#)). It allows users to select the tests linked to the requirement.
 - Tests are created in the [New Test](#) module of the **Tests Management** application.
5. **Description:** This is a rich text field that allows users to provide a description of the requirement.
6. **Add:** This button allows users to add a requirement checklist item.
 - If selected, it will display the [Define Requirement Check Item](#) form.


* As new checklist items are added, they populate the [Checklist](#) grid. To perform additional customization and review, users can either click on the **Edit** () icon beside each item or double-click on the item itself.




The screenshot displays a 'Checklist' interface. At the top, there are three buttons: 'Add', 'Discard changes', and 'Save changes'. Below these is a search bar. The main part of the interface is a table with the following structure:

Checklist No.	Question	Is Validated
1	Changes to documents are clearly identified and recorded as well as reviewed and approved by an authorized individual.	<input checked="" type="checkbox"/>

Each row in the table has an 'Edit' (pencil icon) and a 'Delete' (trash icon) button. The 'Is Validated' column has a dropdown menu currently set to '(All)'.

To access the full checklist item description, click on the corresponding **Expand** () button.

7. **Delete** (): This button allows users to delete a checklist item.

* To confirm the deletion of items in the grid, click on the **Save Changes** button or simply click outside the grid. To undo deletion, click on either the **Discard Changes** button or the **Undo** () icon.

8. **Submit Form:** This button allows users to submit the completed form.
 - Once submitted, requirements are recorded in the [Requirement List](#).
9. **Save Form:** This button allows users to save the form. It will remain in the **Drafts** folder.

* To access [additional options or actions](#) related to the grid, please utilize the kebab menu

() located in the upper rightmost corner.

21.2.1. Define Requirement Check Item

In the Define Requirement Check Item form, users can create a new item for the checklist.

Define Requirement Check Item

Checklist No.

1

Question

Paragraph

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Answer Type

Select... ▾

Will this check be validated?

☐ Yes

☐ No

Save and Return

Save and New

1. **Checklist No.:** This is a numeric field that allows users to input the display order of the checklist item. It is a mandatory field. It determines the sequence in which the item appears within the checklist.

- ✿ Please note that the system automatically assigns a unique number to each item based on its order in the checklist. Users, however, can modify this number as needed.

2. **Question:** This is a rich text field that allows users to input the question or statement to be presented in the checklist.
3. **Answer Type:** This is a single-select dropdown field that display a list of answer types. It is a **mandatory** field. It allows users to select the appropriate answer format for the question.
 - Answer Types: True/False, Multiple Choice, Text Value, Yes/No, Pass/Fail.
 - If Multiple Choice is selected, it will reveal the following fields:

Answer Type	Will this check be validated?
Multiple Choice	<input type="radio"/> Yes <input type="radio"/> No
Multiple Choice Option 1	
Multiple Choice Option 2	
Multiple Choice Option 3	
Multiple Choice Option 4	
Multiple Choice Option 5	

4. ***Will this check be validated?:*** This is a radio button that allows users to select only one option from a set of mutually exclusive options. It is a **mandatory** field. Users can choose whether or not the checklist item will undergo validation.
- If Yes is selected, users are required to provide the correct answer for the question based on the selected answer format.
 - Validation Details Based on Answer Formats**
 - For the True/False format, the following field is revealed:

Answer Type	Will this check be validated?
True/False	<input checked="" type="radio"/> Yes <input type="radio"/> No
Provide the correct answer	
<input type="radio"/> True <input type="radio"/> False	

- For the Multiple Choice format, the following fields are revealed:

Answer Type	Will this check be validated?
Multiple Choice	<input checked="" type="radio"/> Yes <input type="radio"/> No
Multiple Choice Option 1	<input type="checkbox"/> Correct Answer?
<input type="text"/>	
Multiple Choice Option 2	<input type="checkbox"/> Correct Answer?
<input type="text"/>	
Multiple Choice Option 3	<input type="checkbox"/> Correct Answer?
<input type="text"/>	
Multiple Choice Option 4	<input type="checkbox"/> Correct Answer?
<input type="text"/>	
Multiple Choice Option 5	<input type="checkbox"/> Correct Answer?
<input type="text"/>	

- For the Text Value format, the following field is revealed:

Answer Type	Will this check be validated?
Text Value	<input checked="" type="radio"/> Yes <input type="radio"/> No
Provide the correct answer	
<input type="text"/>	

- For the Yes/No format, the following field is revealed:

The screenshot shows a configuration form for a checklist item. It is divided into two main sections. The top section contains two controls: on the left, a dropdown menu labeled 'Answer Type' with 'Yes/No' selected; on the right, a group box labeled 'Will this check be validated?' containing two radio buttons, 'Yes' (which is selected) and 'No'. The bottom section is a large light blue box labeled 'Provide the correct answer' containing two radio buttons, 'Yes' and 'No'.

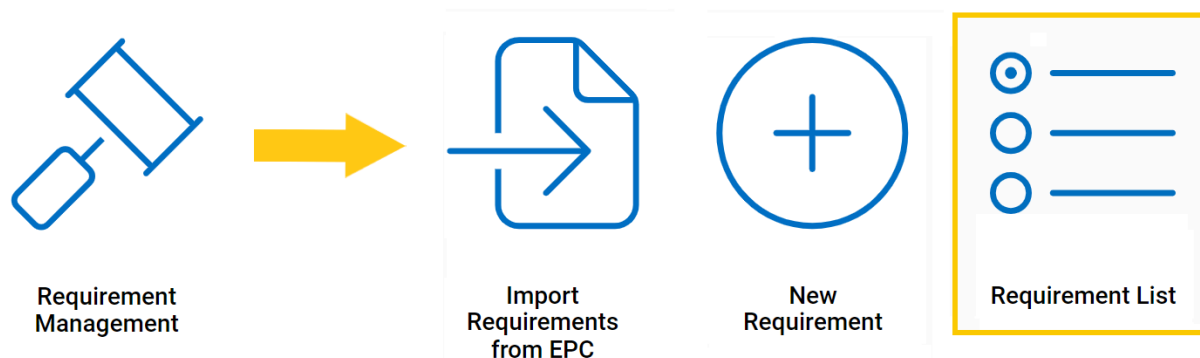
- For the Pass/Fail format, the following field is revealed:

The screenshot shows a configuration form for a checklist item, similar to the one above but for the 'Pass/Fail' format. The 'Answer Type' dropdown is set to 'Pass/Fail'. The 'Will this check be validated?' group box has 'Yes' selected. The 'Provide the correct answer' section now contains two radio buttons labeled 'Pass' and 'Fail'.

5. **Save and Return:** This button allows users to save the checklist item and return to the [Define a New Requirement](#) form.
6. **Save and New:** This button allows users to save the checklist item and open another form to create another checklist item.

21.3. Requirement List

In this module, users can access and manage the list of requirements created within the application.



Search Panel

All fields inside the search panel act as search boxes. Any value inputted inside them will be used as search criteria to filter and retrieve data from the grid, if possible.

Search Panel

Requirement Name

Requirement Type

Select...

▼

Module

Select...

▼

Filter

Clear Filter























1. **Requirement Name:** This is a text field that allows users to filter by the name of the requirement.
2. **Requirement Type:** This is a single-select dropdown field that allows users to filter by the type of requirement.
3. **Module:** This is a single-select dropdown field that allows users to filter by module.
4. **Filter:** This button filters the results according to the entered search criteria.
5. **Clear Filter:** This button clears the filters that were used in the previous search and allows users to again view the full data set.

Grid

Inside the grid, requirements are organized by the values entered in the [New Requirement](#) form.

Sync With EPC

Add
Discard changes
Save changes

	Requirement ID	Requirement Name	Description	Requirement Type	Module
	<input type="text"/>	<input type="text"/>	<input type="text"/>		
  	1	Laboratory Document Control	The laboratory must have a document management 	Audit	QMS Defined
  	2	Laboratory Testing Integrity & Compliance	The laboratory must have written documentation for all 	Audit	QMS Defined
  	3	Laboratory Health and Safety	The laboratory must adhere to occupational health and 	Both	QMS Defined
  	4	Information Security Policy	Top management shall establish an information 	Audit	 Rule
  	5	Document Development & Management	This is the process by which documents are created. 	Audit	 Process

5
Page 1 of 20 (96 items)
1 of 20


Output



 For more details on this type of grid and its features, [click here](#).


1. **Sync with EPC:** This button allows users to synchronize with EPC.
 - Upon selection, data stored in EPC will be synced with the data displayed in the form.
 - A message will appear in the **Output** field, listing the number of synchronized requirements, if applicable.


Output



Syncing Requirements with EPC
2 requirement have been synchronised.

2. **Add:** This button allows users to add a new requirement.
 - If selected, it will display the [New Requirement](#) form.
3. **Delete** (): This button allows users to delete a requirement.

 To confirm the deletion of items in the grid, click on the **Save Changes** button or simply click outside the grid. To undo deletion, click on either the **Discard Changes** button or the **Undo** () icon.

4. **Edit** (): This button allows users to edit an existing requirement.

 To edit, users can also simply double-click on the respective entry in the grid.

5. **View** (): This button allows users to view a requirement.
 - In viewing mode, users cannot make any modifications.
6. **Expand** (): This button allows users to access the full requirement description.

22. Mass Import

Users can streamline the management of crucial audit components by leveraging the **Mass Import** feature in the [Import Requirements, Tests, and Evidence](#) module.

Import Requirements, Tests and Evidence

+ Templates


+ Import

+ Imported Data (For 1 sheet template only)

 This feature allows for the efficient import of items directly into the **Audit** application, bypassing individual setups in the [Requirement Management](#) and [Test Management](#) modules. It offers a faster and more user-friendly alternative for those who prefer a consolidated setup.

22.1. Import Requirements, Tests, and Evidence

In this module, users can import requirements, tests, and/or evidence directly into the **Audit** application. Users can also set up the necessary links between these items.

 For existing requirements, tests, and evidence in the system—whether imported or manually created—users can leverage this feature to update them as needed. Users can update all fields apart from the item's name.

Templates


In this section of the form, users can access the Excel templates used for importing data into the **Audit** application. These templates fulfill the primary requirements for data import and only require users to input the necessary information.


— Templates

One of the following two templates could be used for importing, download one of them then fill the data without any change in column names then attach the excel file and click on "Import" button

1 Sheet Template

1 file, max 2MB





 Import Requirement, Test & Evidence Template.xlsx

...


3 sheets Template

1 file, max 2MB



 Import Requirement, Test & Evidence - 3 Tabs.xlsx

...

 For guidelines and considerations on importing data from Excel, [click here](#).

1. **1 Sheet Template:** This template consists of a single worksheet with the following columns:

	A	B	C	D	E	F	G	H	I	J	K
1	Requirement Name	Test link to this requirement	Description of the requirement	Test Description	Evidence link to this test	Sample	Population	Frequency	Test Methods	Evidence Prerequisites	Evidence Procedures
2											
3											
4											
5											
6											
7											
8											
9											
10											
11											

2. **3 Sheet Template:** This template consists of three worksheets, each with their own set of columns:

	A	B	C	D	E	F	G	H	I	J	K	L	M	N
1	Requirement Name	Tests link to this requirement	Requirement Description											
2														
3														
4														
5														
6														
7														
8														
9														
10														
11														

How to Download a Template

To download a template, either select the file and click the **Download** button from the resulting menu or select the corresponding kebab menu and click **Download** from the context menu.

1 Sheet Template

Download

Delete

Preview

Import Requirement, Test & Evidence Template.xlsx

1 Sheet Template

Download

Delete

Preview

Import Requirement, Test & Evidence Template.xlsx

Download

Delete

Refresh

Preview

✿ Users can also access this context menu by right-clicking on the file.

✿ Users can choose either of the provided templates in this form. For a quick and simple approach, we recommend the 1 Sheet Template. For a comparably cleaner and more organized approach, we recommend the 3 Sheet Template.

Import

In this section of the form, users can upload the Excel file and trigger the import process.

— Import

Attach the excel file

Upload File 1 file, max 10MB
Accepted file types: xlsx

No data

Import Excel File

Output

3. **Attach the Excel File:** This is an attachment field that allows users to upload the Excel file containing the required information.
4. **Import Excel File:** This button allows users to import the items directly into the relevant modules of the **Audit** application.
 - For ease of reference:
 - Imported requirements can be found in the [Requirement List](#).
 - If a requirement has been linked to a test, it will also be listed inside the corresponding test form.
 - Imported tests can be found in the [Test List](#).
 - If a test has been linked to a requirement, it will also be listed inside the corresponding requirement form.
 - Imported evidence can be found in [Evidence Collection Requirements](#).
 - If evidence has been linked to a test, it will also be listed inside the corresponding test form.
5. **Output:** This field is automatically populated with the results of the import once the import process has concluded.
 - It will list the number of requirements, tests, and/or evidence now added. If any errors have occurred during the import, they will also be outlined in this field.

Output

***** Requirement Import 1 *****
2 row(s) have been imported.
0 requirement(s) have been updated.
0 test(s) have been updated.
1 evidence(s) have been updated.
1 requirement(s) have been created.
1 test(s) have been created.
1 evidence(s) have been created.
17/12/2023 04:58 (UTC)

Imported Data (For 1 Sheet Template Only)

In this section of the form, users can access an overview of the imported data.

— Imported Data (For 1 sheet template only)

Imported Data (for 1 Sheet Template only)

#	Requirement Name	Test Name	Requirement Description	Test Description	Evidence Name	Sample	Population	Frequency	
There is no data to display.									

Items imported using the 1 Sheet Template are listed in the Imported Data grid.

Imported Data (for 1 Sheet Template only)									
#	Requirement Name	Test Name	Requirement Description	Test Description	Evidence Name	Sample	Population	Frequency	
1	Document Control	Document Control Test	The organization must have a document management system.	This audit test reviews and evaluates the effectiveness of the organization's document control system.	Observatory Evidence	2	15	Yearly	C
2		Document Control Test			Documentary Evidence	2	15	Yearly	C Ir Ir

* While the 3 Sheet Template generates the same output, it will not list the imported items in this grid. Users will need to go directly to the relevant modules in the **Audit** application.

22.1.1. Data Import – Guidelines and Considerations

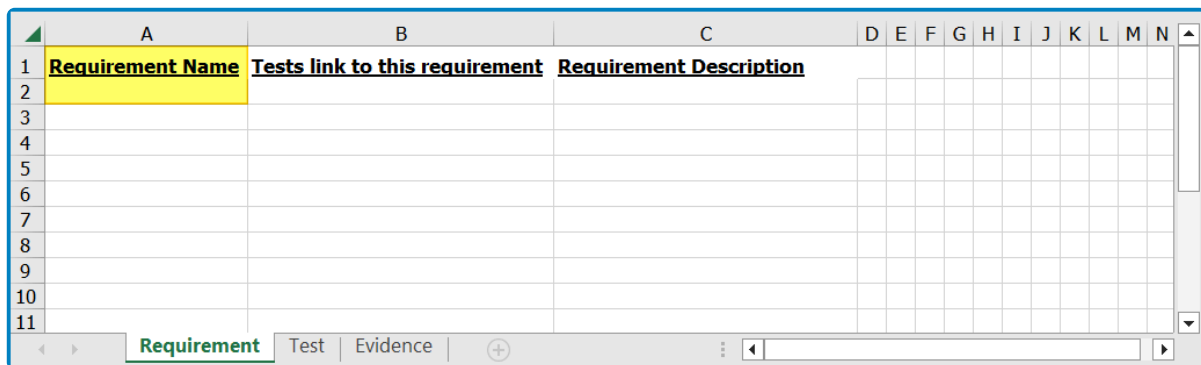
When importing requirements, tests, and/or evidence from Excel, users should take note of the following guidelines and considerations:

1. Requirement ID / Test ID / Evidence ID

To avoid compromising the identification system currently in place, we do not permit users to create their own IDs for requirements, tests, or evidence. Instead, once these items have been imported, they are automatically assigned a unique and incremental ID by the system.

2. Requirement Name / Test Name / Evidence Name

Users should exercise caution when naming items. To avoid unwanted duplicates, users must ensure that the name of an item is unique to the corresponding application. Likewise, to update these items, users must ensure that any existing names are matched exactly.



	A	B	C	D	E	F	G	H	I	J	K	L	M	N
1	Requirement Name	Tests link to this requirement	Requirement Description											
2														
3														
4														
5														
6														
7														
8														
9														
10														
11														

As a general note, if an item does not exist under the registered name, it will be created and added to the relevant module.

- For example, if a requirement is imported under a name that does not match any other requirement in the application, it will be considered a new requirement to be added.

If an item does exist under the registered name, its information will be updated accordingly.

- All fields, that is, except for the name field, will be updated for the item, ensuring that the latest data is reflected accurately.



If users do not input a name for a requirement or test, the first 50 characters of its description will be taken as the name instead. Likewise, if users do not input a name for an evidence request, the first 50 characters of the evidence procedure will be taken as the name instead. To avoid duplication, users must ensure that these first 50 characters are unique to such items in the system.

! Please note that if the requirement, test, or evidence was originally created with the first 50 characters of its description or procedure as the name, and users once again upload the same file without providing a new name, it will retain the same 50 characters as the name.

3. Frequency & Test Methods

For both the **Frequency** and **Test Methods** columns, the same naming rules apply.

	A	B	C	D	E	F	G
1	Evidence Name	Sample	Population	Frequency	Test Methods	Evidence Prerequisites	Evidence Procedures
2							
3							
4							
5							
6							
7							
8							
9							
10							
11							

- If the name for a given frequency does not already exist, it will be created and added to the [Frequency](#) form. Similarly, if the name for a given test method does not already exist, it will be created and added to the [Test Methods](#) form.

* When updating the test methods for a specific evidence request, it is important to include the previous selections in addition to the new ones. If the Excel file only shows the new selection(s), the existing test methods (if any) will be removed and replaced with only the ones provided in the file. Users must ensure that the updated list includes all the desired test methods for that evidence request.

- If the name for either the frequency or test method does exist, however, the existing entry is simply selected for the imported evidence.

* If users create a new frequency option using this method, they will still need to go to the [Frequency](#) form and input the day count for the added entry.

4. Requirement Module

Any new requirements created are listed as QMS-Defined.

Requirement ID	Requirement Name	Description	Requirement Type	Module
<input type="text"/>	<input type="text"/>	<input type="text"/>		
115	Information Security Compliance	The organization is in compliance with regulatory	Both	QMS Defined

5. Requirement Description / Test Description / Evidence Prerequisites & Procedure

For these columns, text formatting (e.g., typographical emphasis) does not apply. All rows are imported as plain text.

	A	B	C	D	E	F	G	H	I	J	K	L	M	N
1	Requirement Name	Tests link to this requirement	Requirement Description											
2														
3														
4														
5														
6														
7														
8														
9														
10														
11														

6. Links & Assignments

To link requirements and tests, users may need to duplicate rows.

- For example, to assign multiple tests to the same requirement, users will need to duplicate the requirement for each test.
- Likewise, to assign multiple requirements to the same test, users will need to duplicate the test for each requirement.

	A	B	C	D	E	F	G	H	I	J	K	L	M	N
1	Requirement Name	Tests link to this requirement	Requirement Description											
2	Information Security Compliance	Penetration Test	The organization is in compliance v											
3	Information Security Compliance	Vulnerability Assessment												
4	Information Security Compliance	Configuration Scan												
5														
6														
7														
8														
9														
10														
11														

When assigning evidence, however, users do not necessarily need to duplicate all the rows. If an evidence request has been assigned to a test once in the table, it will be registered for all tests of the same name upon import.

7. Multi-Selection

Multi-selection is only supported for test methods.

Observation, Inspection, Inquiry								
	D	E	F	G	H	I	J	K
1	Test Description	Evidence link to this test	Sample	Population	Frequency	Test Methods	Evidence Prerequisites	Evidence Procedures
2	audit test review	Documentary Evidence	2	15	Quarterly	Observation, Ins	N/A	N/A
3								
4								
5								
6								
7								
8								
9								
10								
11								
12								
13								
14								

8. Blank or Null Fields

As these templates are merely a guiding tool, the system will disregard any null or blank rows inside them. Users, essentially, will not be blocked from or warned against importing an Excel file with empty fields.