Audit

#11.1 — Dernière mise à jour: Jan 25, 2024

Interfacing Technologies Corporation

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1. Manuel d'utilisation de l'application d'audit

2. Support Technique

Pour obtenir de l'aide et des conseils techniques, veuillez contacter le service d'assistance technique d'Interfacing. En Amérique du Nord, le département est ouvert du lundi au vendredi de 7h00 à 17h00, heure de l'Est.

Téléphone : +1 514 737 7333
Courriel : support@interfacing.com
Chat en direct : interfacing.com

Le support technique en ligne et les informations de contact dans le monde entier sont disponibles sur www.interfacing.com

3. Mentions légales

4. Notes de version 11.0

Dans notre dernière version de l'application **Audit**, nous avons introduit de nouvelles fonctionnalités, amélioré celles existantes, réorganisé l'interface utilisateur et corrigé des bogues.

Product	Version	Date
Audit Application	11.0	2022/11/09

Dans ces notes, vous trouverez :

1. Nouvelles fonctionnalités
2. Améliorations des fonctionnalités
3. Problèmes résolus
4. Bogues connus et limitations
5. Modifications à venir

4.1. Nouvelles fonctionnalités

Avec cette dernière version, nous avons introduit les nouvelles fonctionnalités suivantes :

- Nouvelle définition d'audit – Liste déroulante des secteurs d'activité
- Nouvelle définition d'audit – Champs Créé par et Date de création
- Nouvelle définition d'audit – Champs d'e-mail, de numéro de contact et d'adresse du fournisseur
- Planification de l'audit – Activer les tests et désactiver les boutons de test
- Planification de l'audit – Liste déroulante des types d'audit
- Résultat de l'exigence de conduite – Champs ID, Créé par et Date de création
- Examiner et approuver les résultats d'audit – Envoyer les principaux résultats d'audit à CAPA

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 ?

| Add | Discard | 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) **Audit Type**

Select...

+ Requirements

+ Location Override (optional)

Submit form   Save 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.

3. <mark>**Audit Plans – Waiting for Schedule**</mark>

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
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

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
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
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
🔍	🔍	🔍	🔍	🔍	(All) ▾	🔍	🔍	🔍
Observatory Evidence	2	Document Control Test	4	Laboratory Document Control	☑	1	2	2
Observatory Evidence	2	Document Control Test	4	Laboratory Document Control	☐	2	0	2
Documentary Evidence	2	Document Control Test	4	Laboratory Document Control	☑	1	2	2
Documentary Evidence	2	Document Control Test	4	Laboratory Document Control	☐	2	0	2
Observatory Evidence	3	On-Site Verification	5	Laboratory Testing Integrity & Compliance	☐	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.
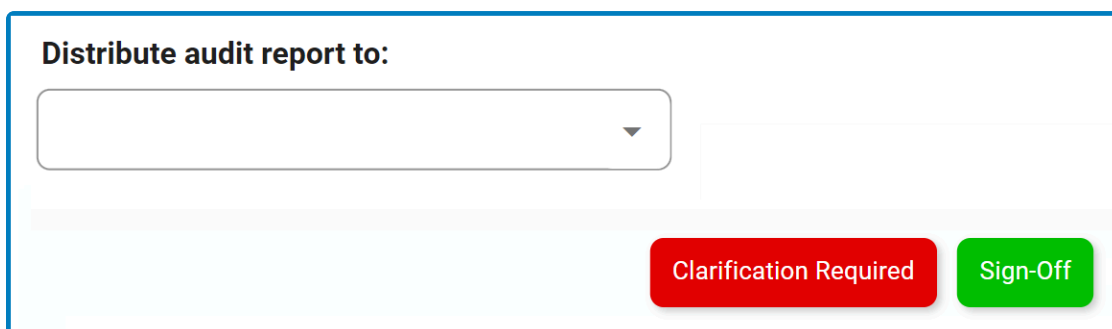
4.1.3. Audit Report Distribution

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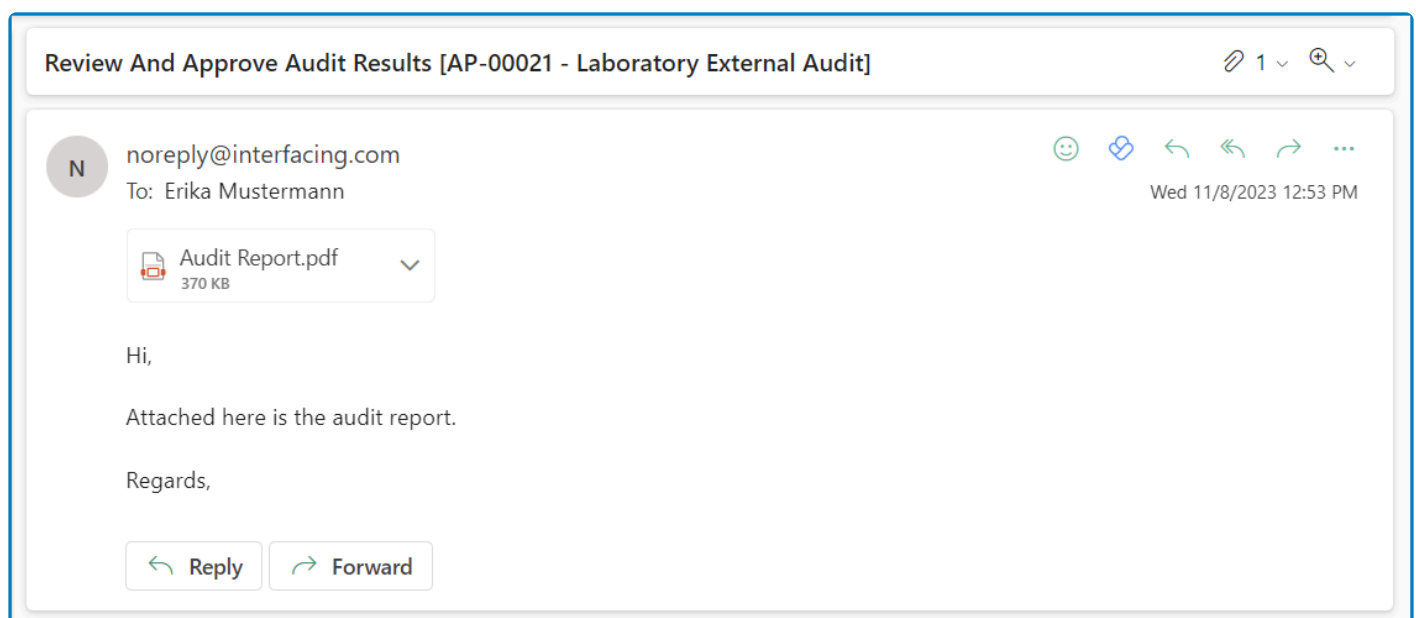
Users can access the multi-select dropdown, labeled **Distribute Audit Report To**, at the bottom of the Review and Approve Audit Results form. This dropdown allows users to select the recipient(s) for the audit report.

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.

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.

4.2. Améliorations des fonctionnalités

Avec cette dernière version, nous avons amélioré les fonctionnalités suivantes :

- Nouvelle définition d'audit – Liste déroulante de département renommée en tant que division d'affaires
- Examiner la définition de l'audit – Agenda maintenant modifiable
- "Planification de l'audit – ID du plan d'audit reformaté" :#404
- Planification de l'audit – Nom du plan d'audit désormais modifiable
- "Modifications de l'interface utilisateur" :#404

> ✳ Pour des fonctionnalités améliorées dans les applications complémentaires à l'application **Audit**, cliquez ici.

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.

4.2.2. Execute Audit – Enhanced Evidence Upload & Management

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.

Evidence

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

Describe the evidence result

| Paragraph ∨ | A̅ ∨ | A̅ ∨ | A ∨ | A ∨ | **B** | *I* | U̲ | S̶ | ☰ ∨ | ⌗ | ☰ | ☰ | ☰ | 𝒫 | 66 | 🖼 | ⊞ ∨ | ▶ ∨ | ↶ | ↷ |

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.				

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.

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.

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

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.

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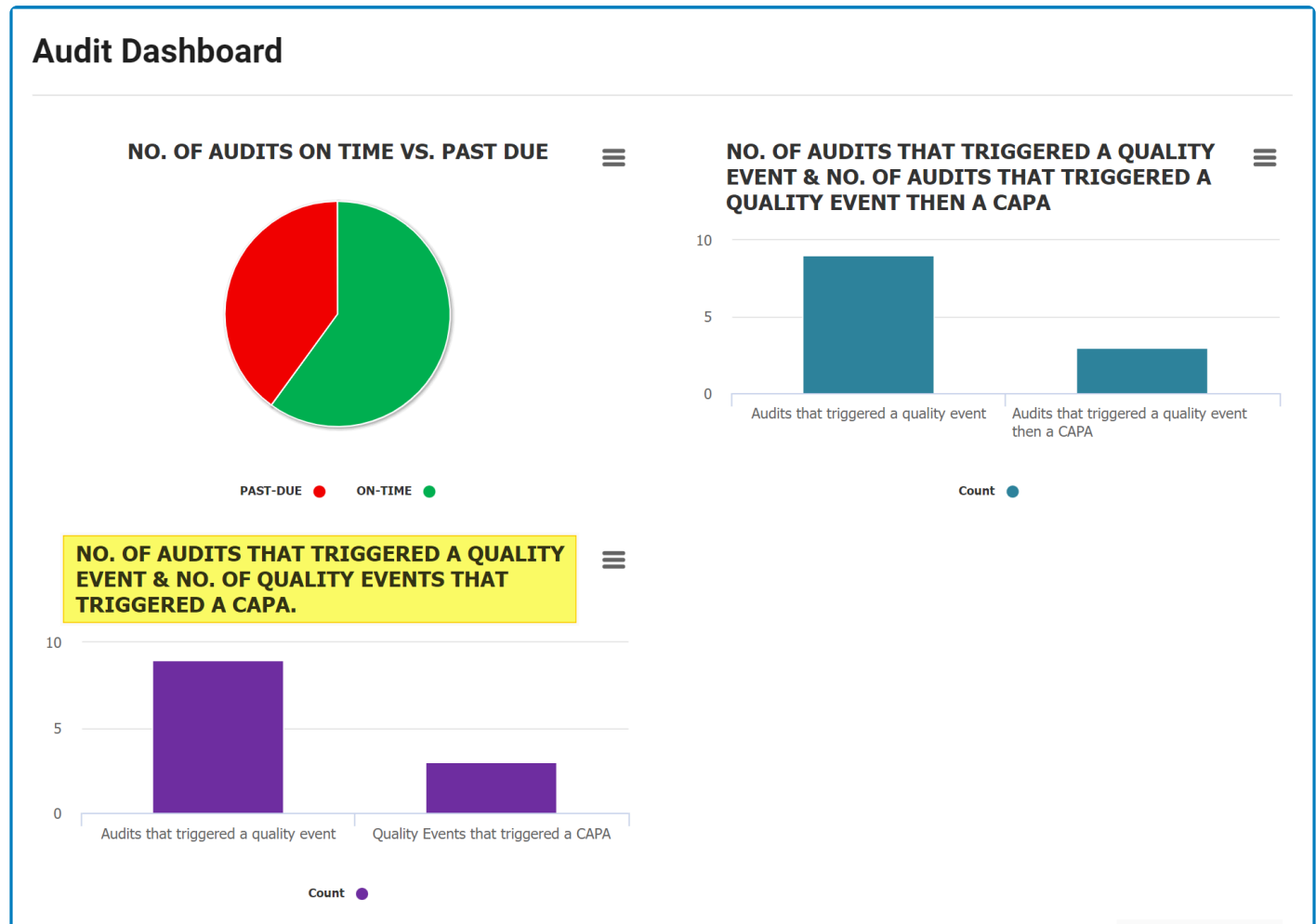
> ✳ To trigger the drilldown functionality for this chart, simply double-click on any of the bars in the bar chart.

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

Audit ID

AUD-2023-00020

— 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⁼ ⌄ | AI ⌄ | A ⌄ | A ⌄ | **B** | *I* | U | S | ☰ ⌄ | ≔ | ⋮☰ | ≡ | ≡ | ⌘ | ❝ | 🖼 | ☷ ⌄ | ▶ ⌄ | ↶ ↷

✳ In the <u>Validate Requirement</u> 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 <u>14.1 release notes</u> for the Designer program.

4.3. Problèmes résolus

Avec cette dernière version, nous avons résolu les problèmes suivants :

1. **Colonne d'emplacement vide dans les formulaires**

Dans certains formulaires, tels que ceux composant le workflow Planifier et exécuter des audits, il y avait un problème avec la colonne **Location**, qui restait vide malgré données applicables existant dans le système. Nous avons résolu ce problème dans la dernière version, en veillant à ce que ces colonnes contiennent désormais les informations applicables.

2. **Tâche d'exécution d'audit corrompue si le destinataire de la demande de document n'est pas défini**

Auparavant, il y avait un problème où si le cessionnaire n'était pas défini pour une demande de document émis, la tâche Exécuter l'audit devenir corrompu. (Corrompu, dans ce cas, signifie que certaines fonctionnalités seraient rendues inutilisables.) Nous avons résolu ce problème, en veillant à ce que la tâche reste stable, qu'un cessionnaire soit défini ou non.

3. **Colonne d'échéance de planification vide dans les rapports détaillés du tableau de bord**

Dans les rapports détaillés du module Tableau de bord, il y avait un problème avec les colonnes **d'échéance de planification**, qui restaient vides malgré les données applicables existantes dans le système. Nous avons maintenant résolu ce problème, en veillant à ce que ces colonnes contiennent désormais les informations applicables.

4. **Avertissement incorrect lors de l'enregistrement du formulaire d'exécution d'audit pendant que d'autres tâches sont en cours**

Auparavant, il y avait un problème où si les utilisateurs enregistraient le formulaire Exécuter l'audit alors que le flux de travail Recueillir des preuves était toujours en cours, ils recevaient un message d'avertissement incorrect. (Ce message avertirait les utilisateurs de *soumettre* le formulaire plutôt que de l'*enregistrer*.) Nous avons résolu ce problème dans la dernière version de …

#_ **Colonnes multilingues manquantes en mode français**

Dans le formulaire Méthodes de test, il y avait un problème avec les colonnes multi-langues, qui n'apparaissaient plus une fois que la langue était passée au français. Nous avons résolu ce problème en veillant à ce que ces colonnes apparaissent désormais dans toutes nos options linguistiques.

5. **Tâches et e-mails pas entièrement traduits en français**

Auparavant, lors du passage en mode français, il y avait un problème concernant certaines tâches et e-mails qui n'étaient pas entièrement traduits dans la langue. Nous avons résolu ce problème dans la dernière version.

#_ Lignes indésirables créées lors de la modification des résultats d'audit

Auparavant, dans le formulaire Résultat d'exigence de conduite, il y avait un problème où si les utilisateurs devaient modifier un résultat d'audit, cela se traduirait par une ligne supplémentaire (vide) remplissant la grille. Nous avons maintenant résolu ce problème, en veillant à ce que seul l'élément sélectionné soit modifié dans la grille.

 # Fichiers joints manquants après l'enregistrement des observations

Dans le formulaire Résultat d'exigence de conduite, il y avait un problème avec le champ de pièce jointe, où si les utilisateurs devaient joindre un fichier puis consigner une observation, le fichier joint disparaîtrait. Nous avons résolu ce problème dans la dernière version.

6. **Différentes rubriques dans le formulaire et la grille des résultats d'audit**

Auparavant, dans la grille et les formulaires supplémentaires du formulaire Résultat d'exigence de conduite, il y avait un problème d'en-têtes incohérents. Nous avons résolu ce problème en appliquant les mêmes rubriques, le cas échéant.

7. **Réaffectation de tâche corrompue**

Il y avait un problème avec la fonction **Résultat d'exigence de conduite**, où si les utilisateurs devaient réattribuer une tâche à un autre utilisateur, la tâche deviendrait corrompue. Nous avons résolu ce problème dans la dernière version.

8. **Détails manquants dans l'e-mail d'exécution d'audit**

Auparavant, il y avait un problème avec l'e-mail **Exécuter l'audit**, qui manquait de détails sur l'audit assigné. Nous avons résolu ce problème dans la dernière version.

9. **Tâches envoyées dans un ordre incorrect**

Auparavant, il y avait un problème avec les tâches envoyées au mauvais moment et/ou dans le mauvais ordre. Nous avons résolu ce problème dans la dernière version.

10. **Boutons d'affichage manquants dans les grilles**

Dans certains formulaires, il y avait un problème avec le bouton **Afficher** manquant, que nous avons résolu dans la dernière version.

#_ **Bouton d'édition manquant dans le champ de commentaire**

Dans le formulaire Recueillir des preuves, il y avait un problème avec les champs **Commentaire**, auxquels il manquait un bouton **Modifier**. Nous avons résolu ce problème dans la dernière version.

#_ **Réponses aux commentaires non visibles**

Dans le formulaire Réviser les preuves, il y avait un problème avec la grille des commentaires, qui n'affichait pas les réponses aux commentaires. Nous avons résolu ce problème dans la dernière version.

#_ **Bouton d'édition manquant dans le champ de commentaire**

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.
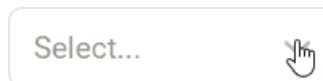
Frequency

Select... ⌄

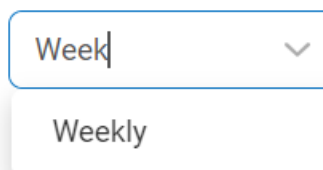There are two ways to select an item from the dropdown:

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

Frequency

Select...

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

Week ⌄

Weekly

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.
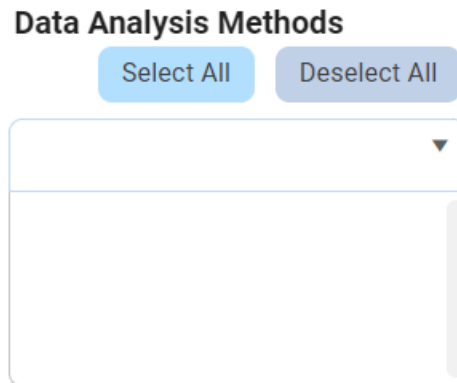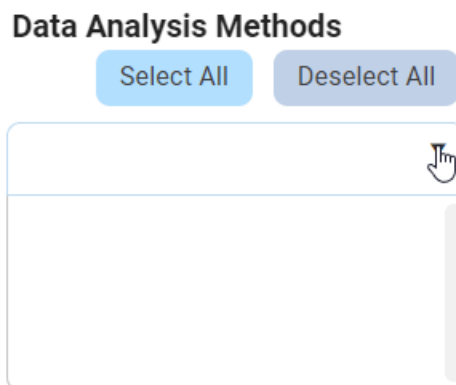
Folder

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.

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.

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

Des

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

Data Analysis Methods

Select All   Deselect All

Descriptive Analysis

Exploratory Analysis   X

Content Analysis   X

✱ 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.
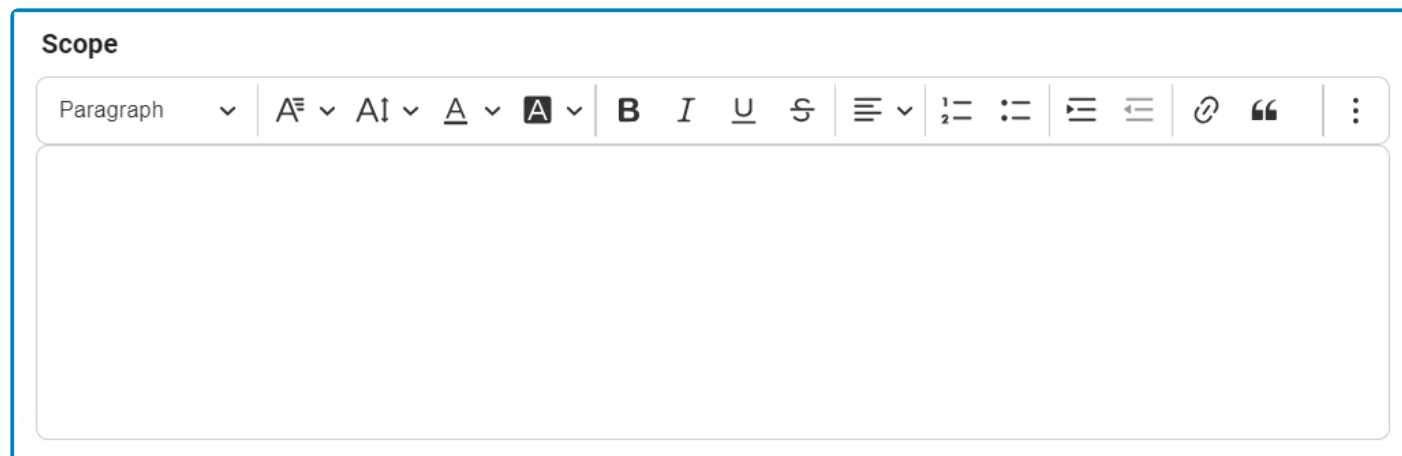
5.3. Rich Textbox Controls

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:

- *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 strikeout 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.
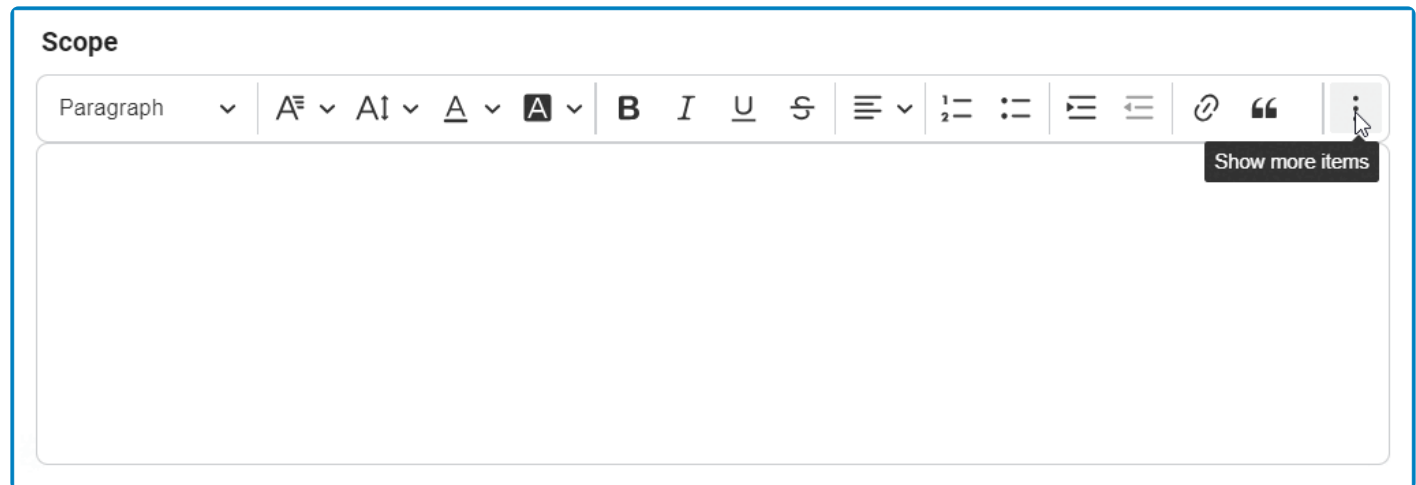

> ✳ Once an image has been inserted into the control, users can adjust its alignment, resize it, and add alternative text if needed.

4. **Table Support**

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

Scope

Paragraph ∨ | A̅ ∨ A↕ ∨ A ∨ A ∨ | B I U S̶ | ≡ ∨ | ≟≡ ∷ | ≡ ≡ | ⊘ 66 | ⋮

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.
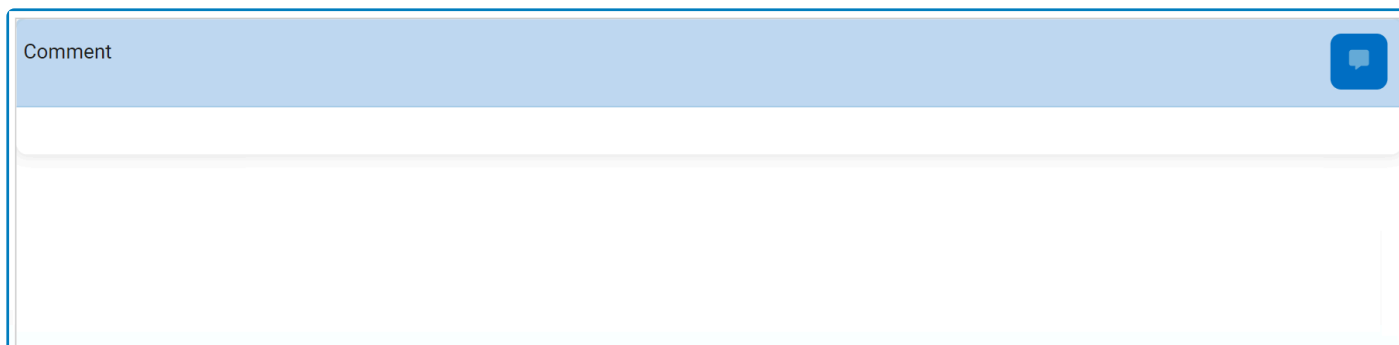
5. **Undo / Redo**

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

Scope

Paragraph ∨ | A̅ ∨ A↕ ∨ A ∨ A ∨ | B I U S̶ | ≡ ∨ | ≟≡ ∷ | ≡ ≡ | ⊘ 66 | ⋮
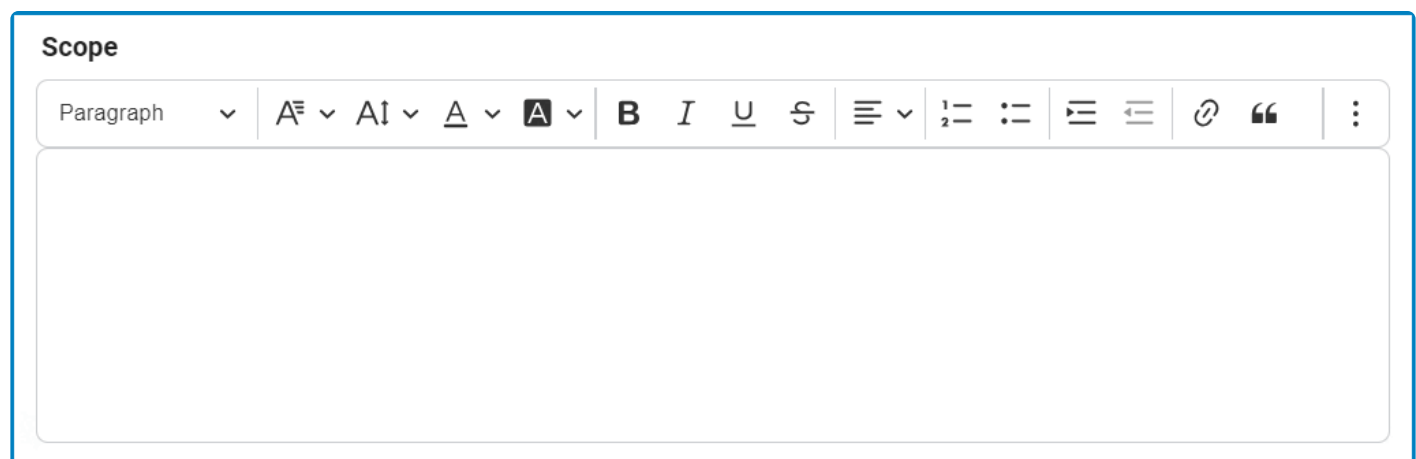
✻ Depending on the amount of text entered, a vertical scrollbar may appear on the side of the rich textbox to allow users to scroll through the contents. Additionally, users can resize this textbox by dragging at its bottom right corner.
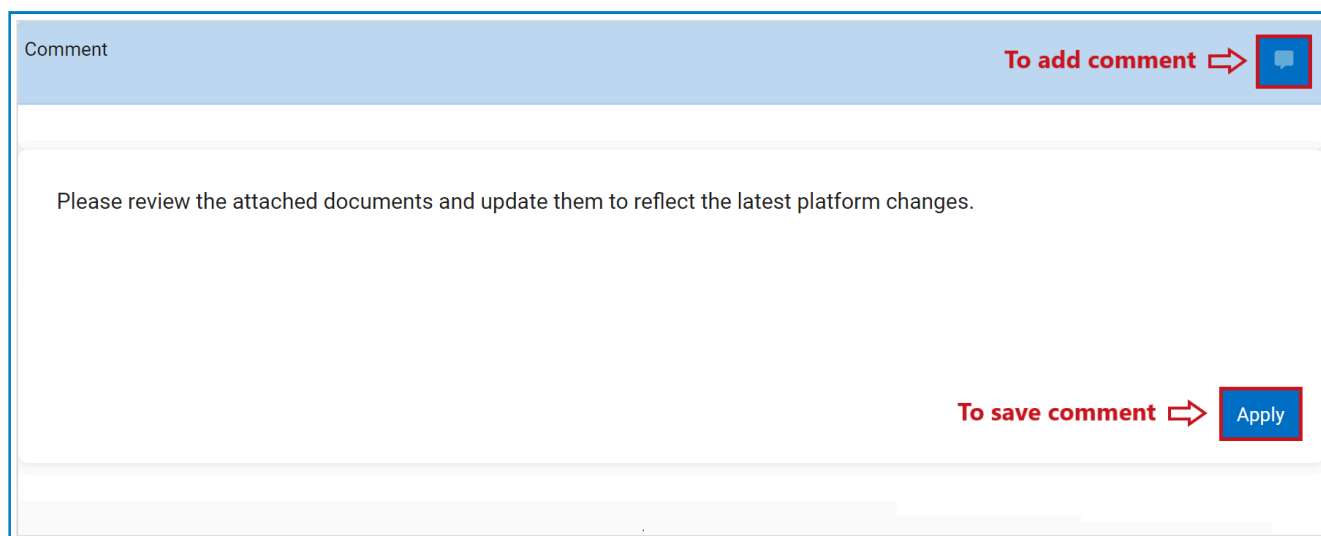
5.4. Comment Controls

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,

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.

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.

User Name / Date / Time

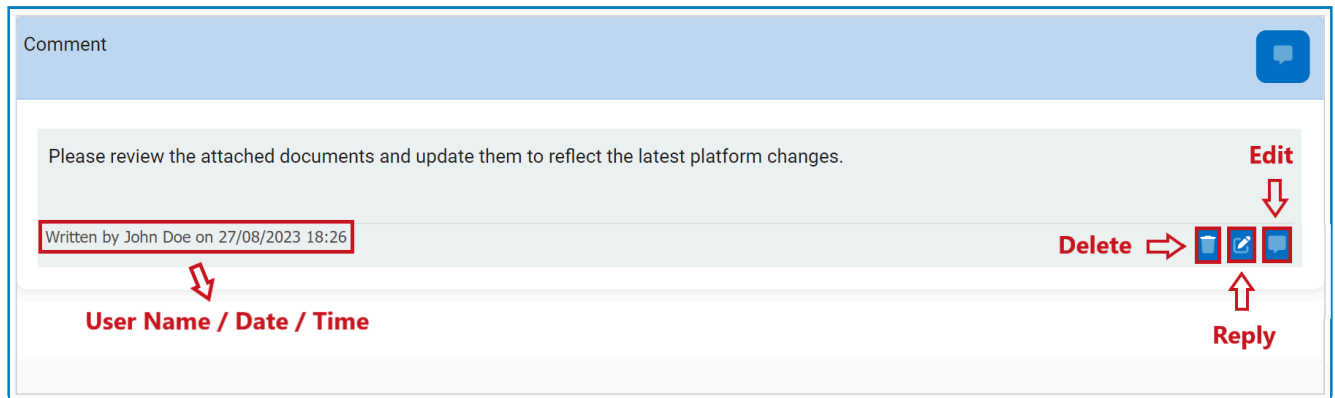3. To delete a comment, click on the 🗑 icon in the bottom left corner.
   - If selected, users will be alerted of the action with the following confirmation message:

   ◦ 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.
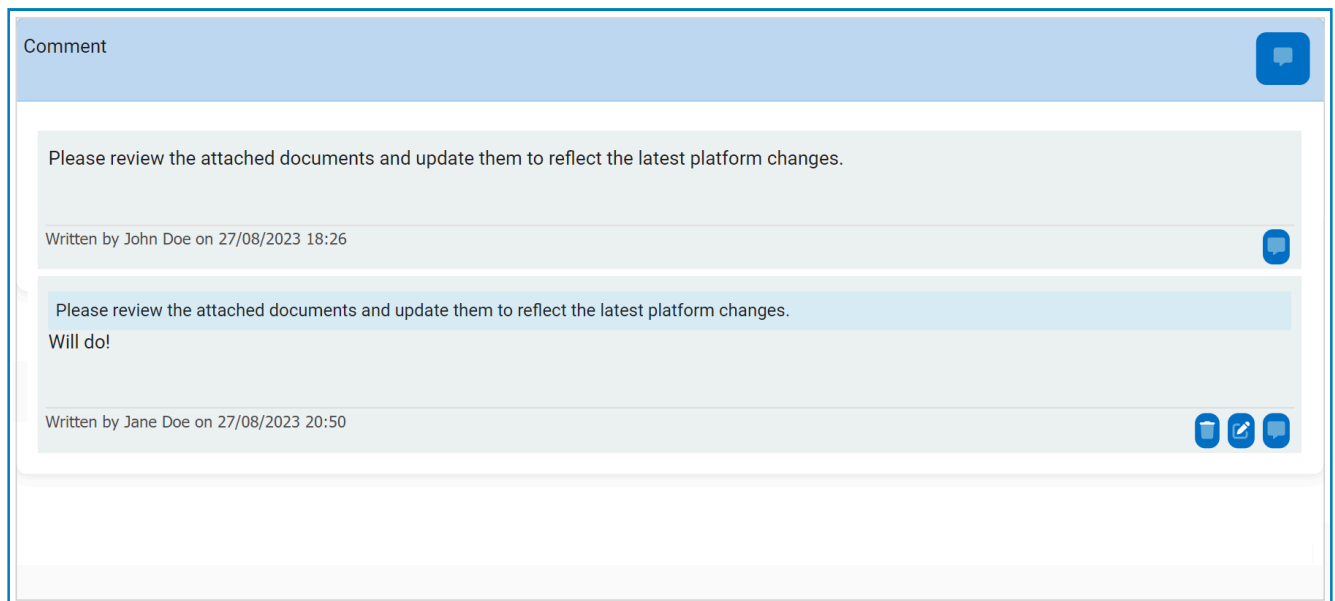
5.5. Interactive Chart Controls

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:

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

   - 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

☰

ON-TIME
● Audit Count: 6

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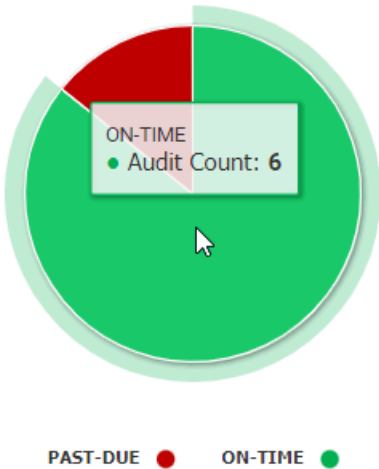
- It displays additional information about the data point, such as the label, value, or other contextual details. Users can use the tooltip to gain more insight into the data represented in the chart.

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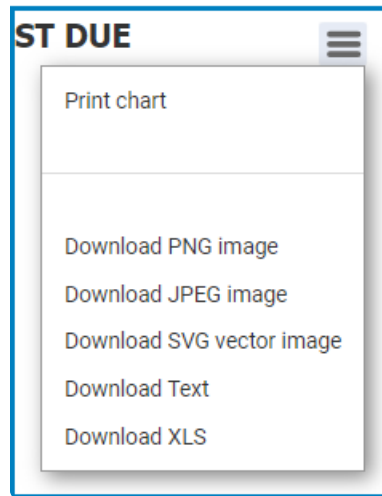
- ◦ From the menu, users can choose to download the chart as a PNG image, JPEG image, SVG vector image, text file, or XLS file.

5.6. Templates

When enabled, templates can be accessed using the kebab (or three dots) menu located in the rightmost corner of the form.
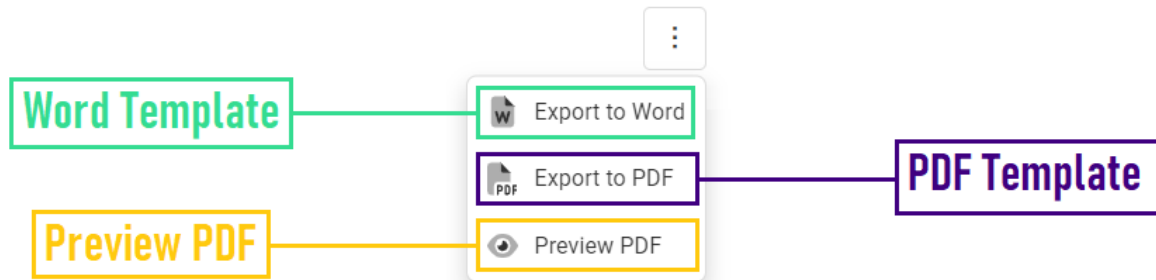
As outlined in the above image, using the available options in the menu, users can download a Word template, download a PDF template, or preview a PDF template.

6. Audit Application Overview

Audit

**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**
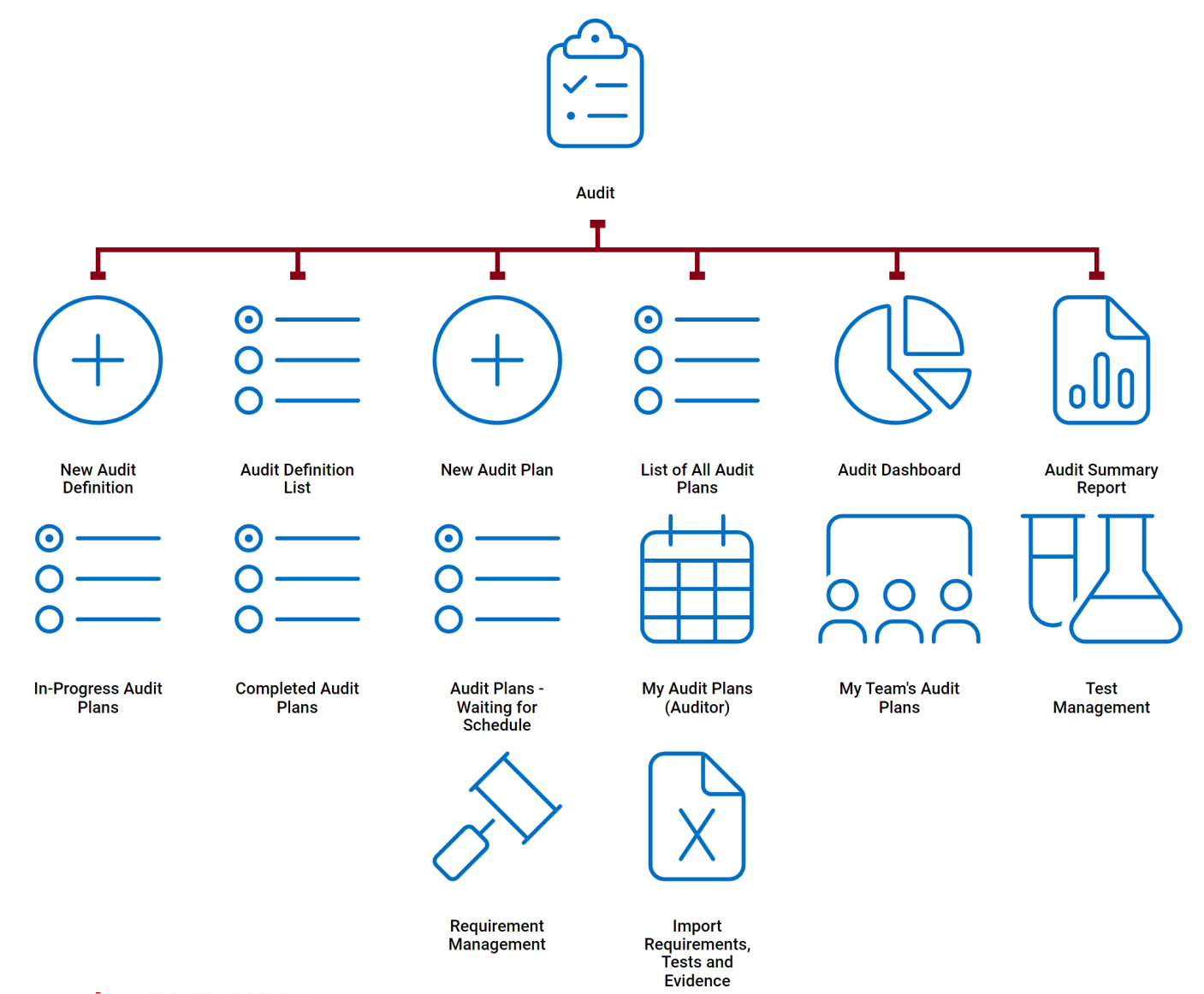
6.1. Accessing the Audit Application

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**
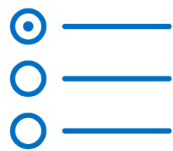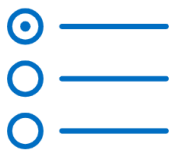
**Audit Definition
List**

New Audit Plan

**List of All Audit
Plans**

Audit Dashboard

**Audit Summary
Report**
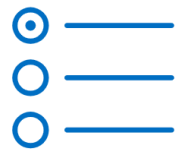
**In-Progress Audit
Plans**
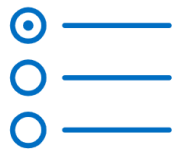
**Completed Audit
Plans**
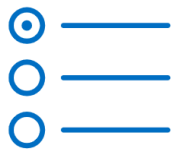
**Audit Plans -
Waiting for
Schedule**

**My Audit Plans
(Auditor)**
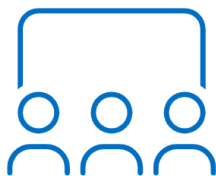
**My Team's Audit
Plans**
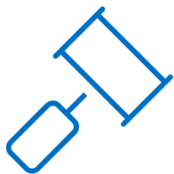
**Test
Management**

**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)**.
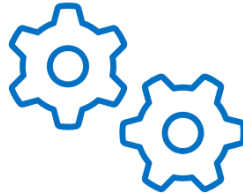
**QMS Settings
(Admin)**

2. Selecting **QMS Settings (Admin)** directs users to the following subcategories:
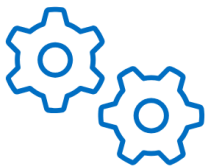
General Settings	**Audit Settings**	**Quality Event Settings**	**Action Item Setting**	**CAPA Setting**	**Training Settings**

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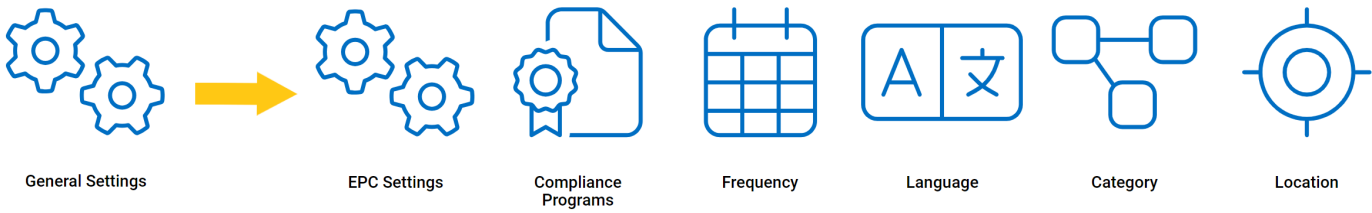
1. [EPC Settings](#)
2. [Compliance Types List](#)
3. [Frequency](#)
4. [Language](#)
5. [Category](#)
6. [Location](#)

7.1.1. EPC Settings

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

General Settings | EPC Settings | Compliance Programs | Frequency | Language | Category | Location
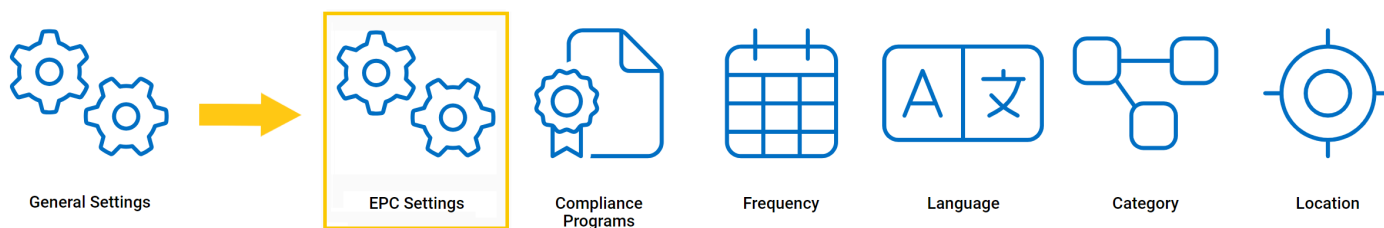
Setting EPC Environment

EPC Settings

Enter an EPC administrator's credentials

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

Base URL ?

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.

General Settings	EPC Settings	Compliance Programs	Frequency	Language	Category	Location
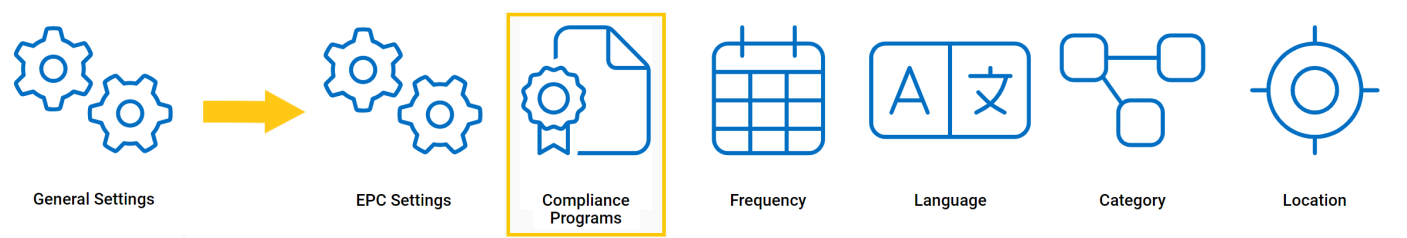
Defining Compliance Types

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	🗑	☑	ISO 27001				ISO27001
2	🗑	☑	ISO 9001				ISO9001
3	🗑	☑	ISO 17025				ISO17025
4	🗑	☑	ISO 45001				ISO45001
5	🗑	☑	ISO 14001				ISO14001

---

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

#		Active	Compliance Type	French Title	Arabic Title	German Title	Prefix
		(All) ▼	🔍	🔍	🔍	🔍	🔍
	🗑	☐					

Add   Discard changes   Save changes   ⋮

- *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 <u>mandatory</u> 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.

General Settings	EPC Settings	Compliance Programs	Frequency	Language	Category	Location
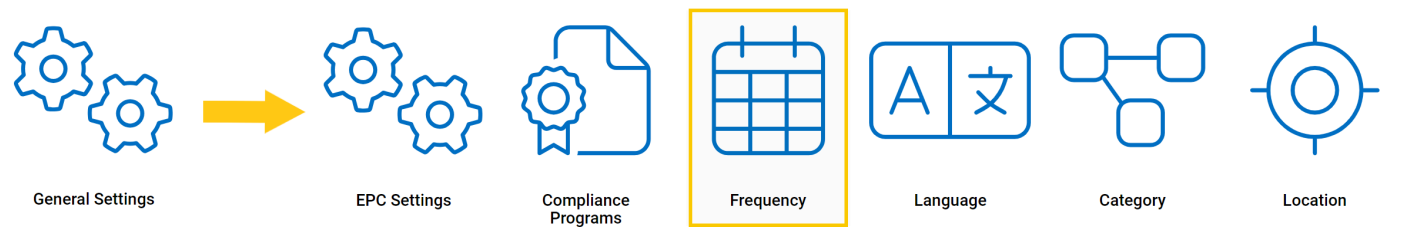
Defining Frequency Options

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	🗑	☑	Daily				1
2	🗑	☑	Weekly				7
3	🗑	☑	Monthly				30
4	🗑	☑	Biweekly				14
5	🗑	☑	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) ▾	🔍	🔍	🔍	🔍	🔍
🗑	☐					

- **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 <u>mandatory</u> field.
- **Day Count:** This is a numeric field that allows users to input the day count. It is a <u>mandatory</u> 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.

General Settings	EPC Settings	Compliance Programs	Frequency	Language	Category	Location
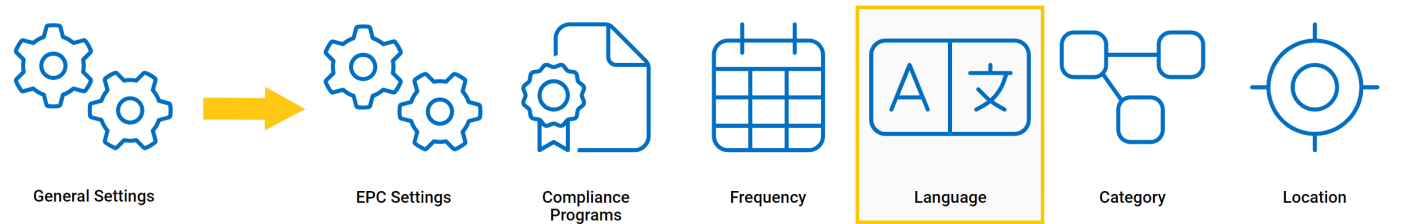
Defining Language Options

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) ▾	🔍	🔍	🔍	🔍
1	🗑	☑	English			
2	🗑	☑	French			
3	🗑	☑	Spanish			
4	🗑	☑	German			
5	🗑	☑	Arabic			

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

- **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 <u>mandatory</u> 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

<u>additional options or actions</u> 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.
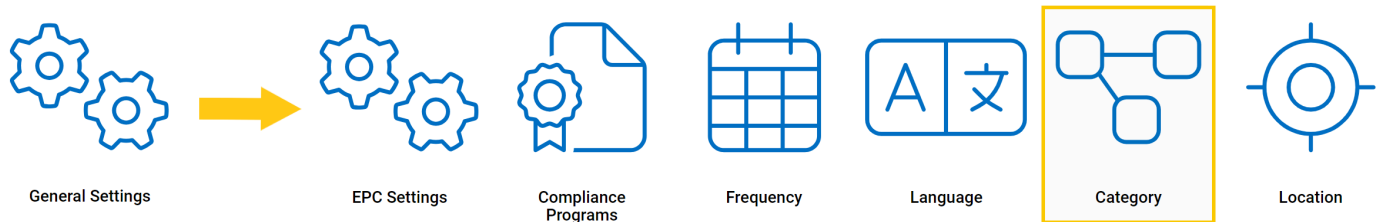
Defining Categories

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.

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

- • **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 <u>mandatory</u> 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.

General Settings   EPC Settings   Compliance Programs   Frequency   Language   Category   Location
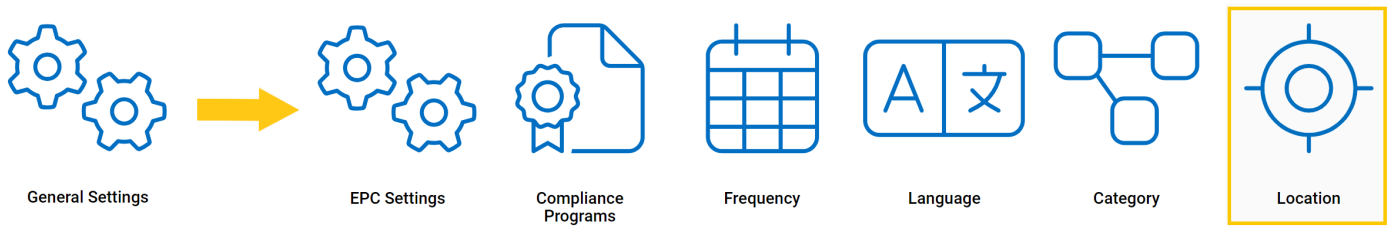
Selecting **Location** directs users to the following subcategories:

1. Region
2. Country
3. Site

Location   Region   Country   Site
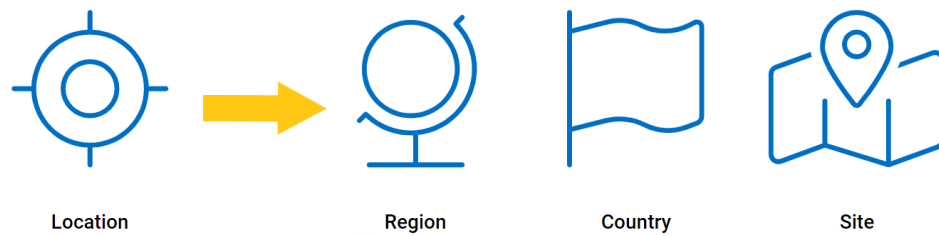
7.1.6.1. Region

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.

Location   Region   Country   Site
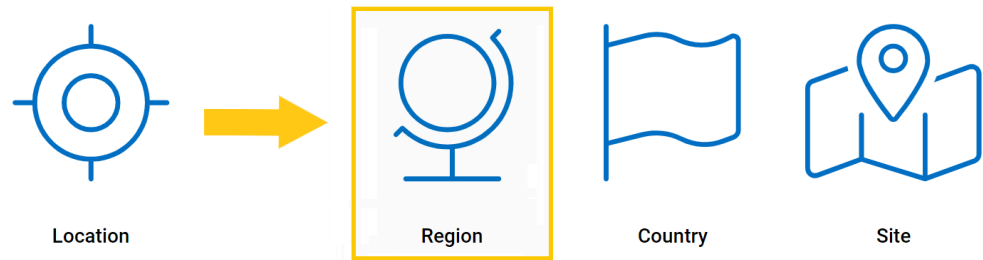
Defining Region Options

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	🗑	☑	South America
2	🗑	☑	North America
3	🗑	☑	Europe
4	🗑	☑	Asia
5	🗑	☑	Oceania

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

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

| Location | Region | Country | Site |
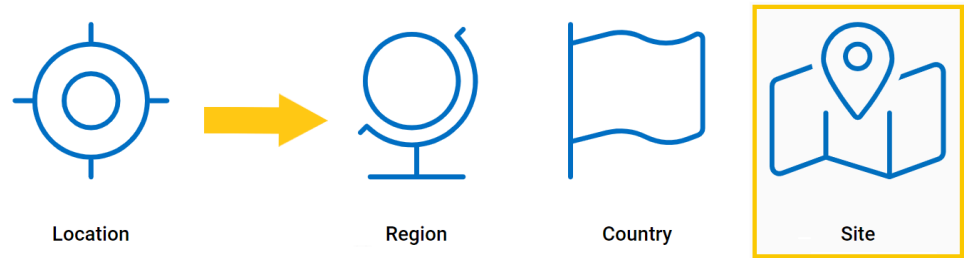
Defining Country Options

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.

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

- **Name:** This is a text field that allows users to input the name of the country option. It is a <u>mandatory</u> 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 <u>additional options or actions</u> 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.

Location   Region   Country   Site

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

		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**

Select...   Select...

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

Site Manager   ☐ Active

Select...

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.
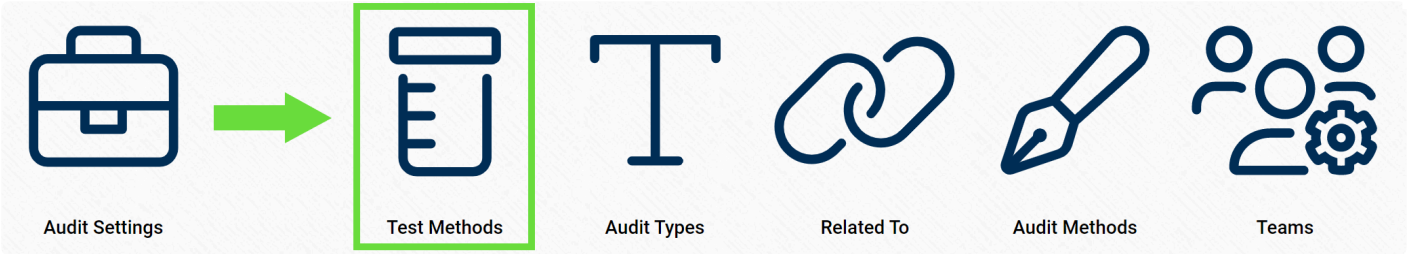
Defining Test Methods

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](#).

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

✓ Save	⊘ Cancel		x Export to Excel	x Excel template	x Import from Excel
	Test Method	**French Title**	**Arabic Title**	**German Title**	**Active**
1	🗑 |				☑

- **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 <u>mandatory</u> 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 <u>delete</u> a test method.
4. **Export/Template/Import:** These buttons allow users to to <u>extract and integrate data</u>.

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.

| Audit Settings | Test Methods | Audit Types | Related To | Audit Methods | Teams |
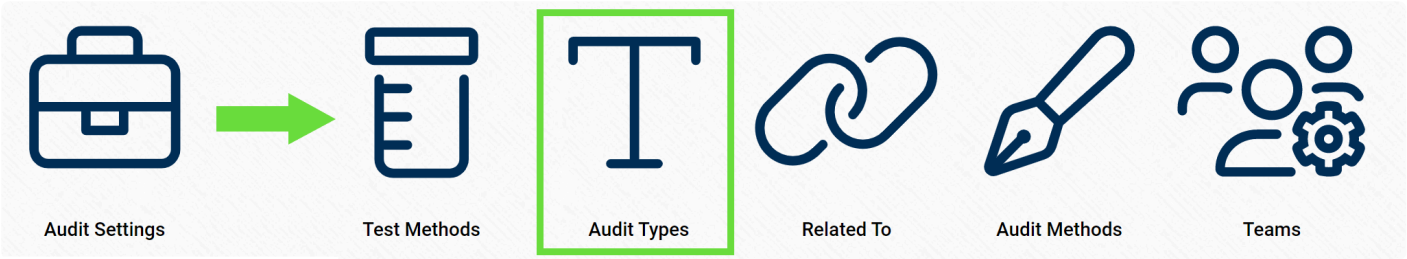
Defining Audit Types

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
1	🗑	Internal				☑
2	🗑	External				☑
3	🗑	Supplier				☑

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

- ***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 <u>delete</u> an audit type.
4. ***Export/Template/Import:*** These buttons allow users to to <u>extract and integrate data</u>.

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.
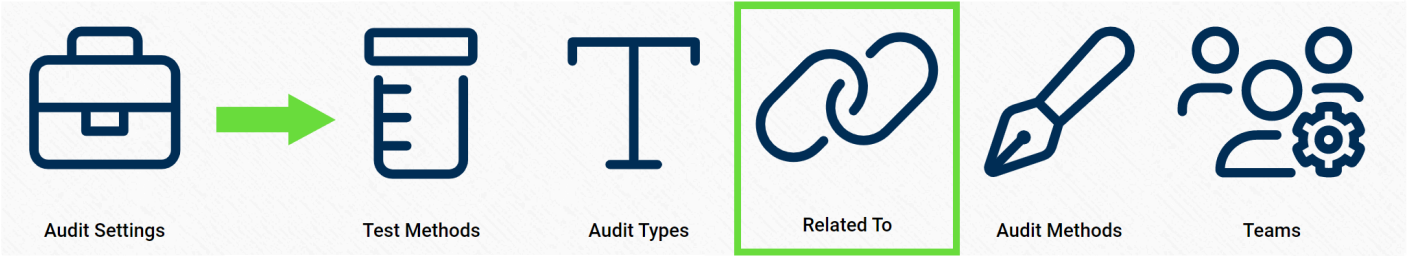
Defining Audit Relations

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.

		Item	French Title	Arabic Title	German Title	Active
1	🗑	Process				☑
2	🗑	Product				☑
3	🗑	Service				☑

＋ Inline Add   ✎ Inline Edit   Export to Excel   Excel template   Import from Excel

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

- ***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.

| Audit Settings | Test Methods | Audit Types | Related To | Audit Methods | Teams |
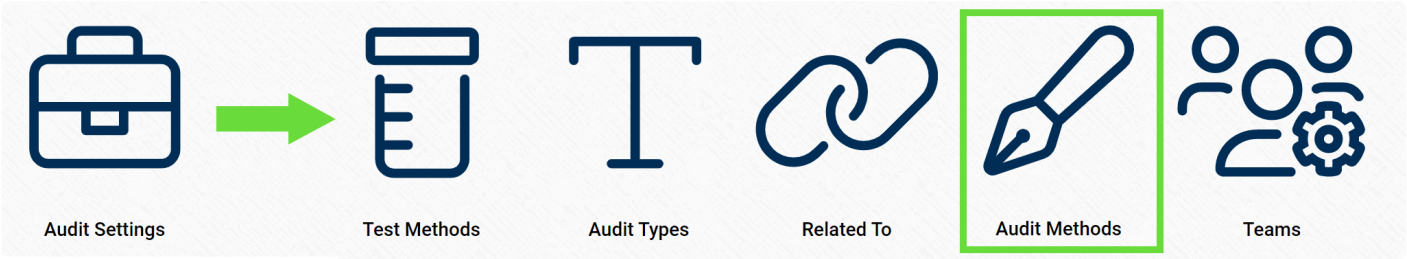
Defining Audit Methods

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

		Audit Method	French Title	Arabic Title	German Title	Active
1	🗑	Observation				☑
2	🗑	Inspection				☑
3	🗑	Inquiry				☑
4	🗑	Confirmation				☑

Inline Add · Inline Edit · Export to Excel · Excel template · Import from Excel

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

- **_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.

| Audit Settings | Test Methods | Audit Types | Related To | Audit Methods | Teams |
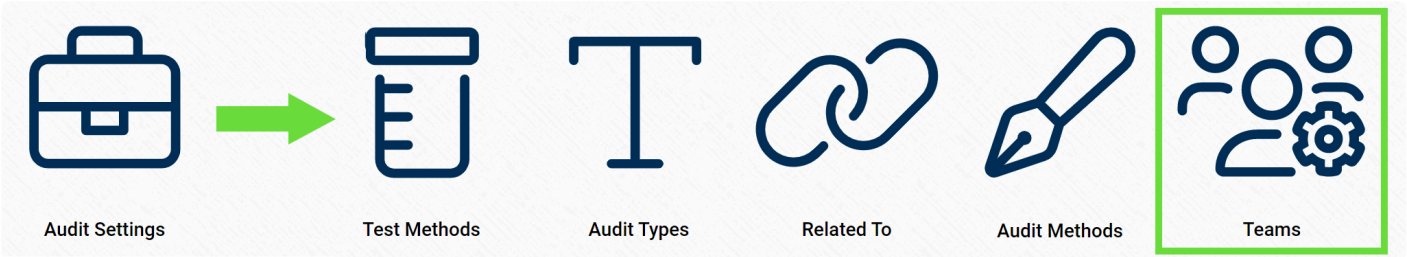
Defining Teams

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]
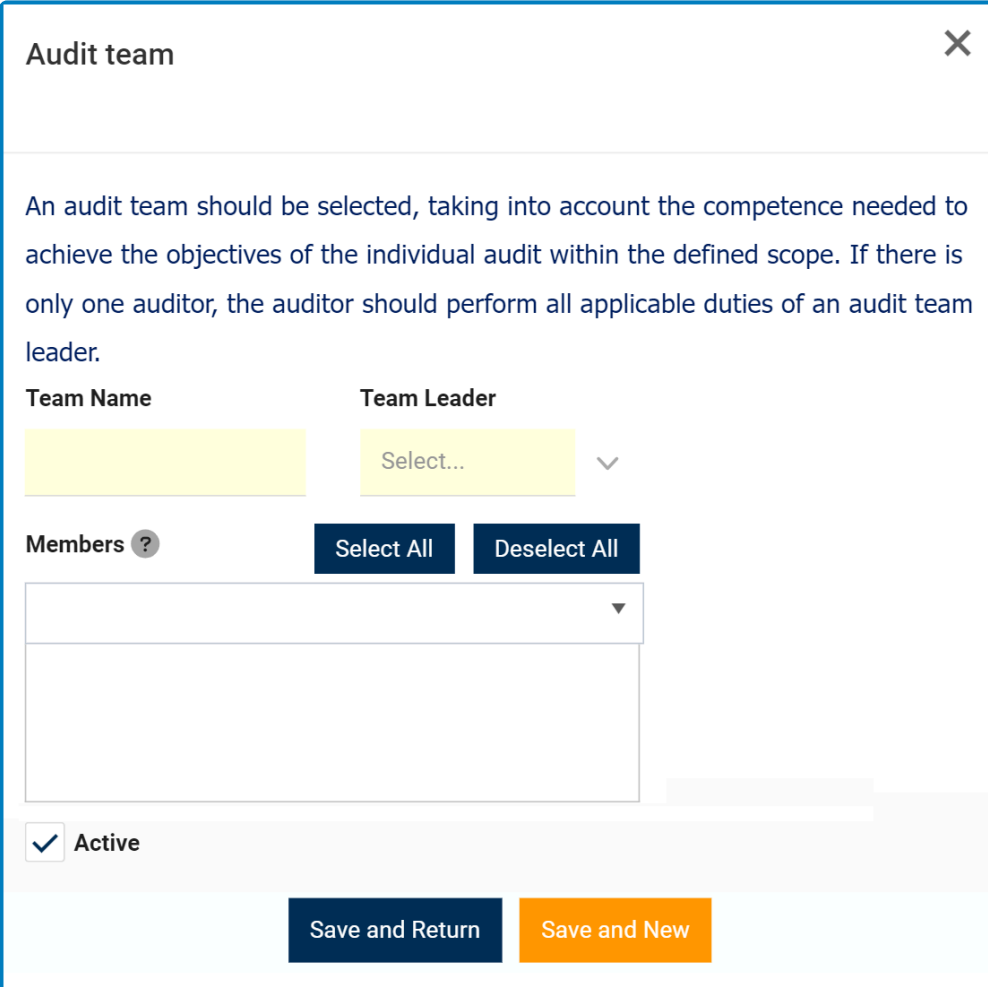
+ Add   ✎ Edit

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

[   ]   [Select...   ⌄]

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.
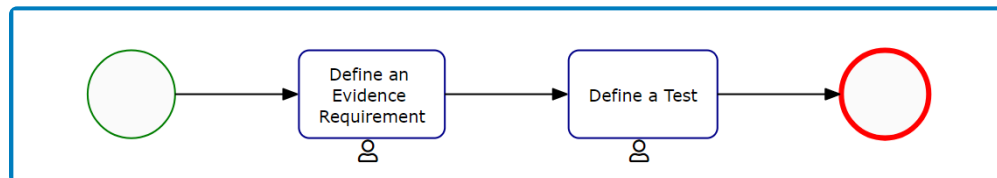
2. **Define Requirements**

This workflow consists of a two primary stages: Define a New Requirement and Select Test. Both stages are accomplished in the New Requirement form.
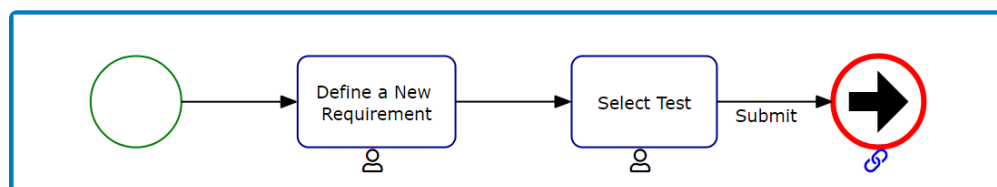
3. **Define Audits**

This workflow consists of three primary stages: New Audit Definition, Review the Audit Definition, and Modify the Audit Definition.
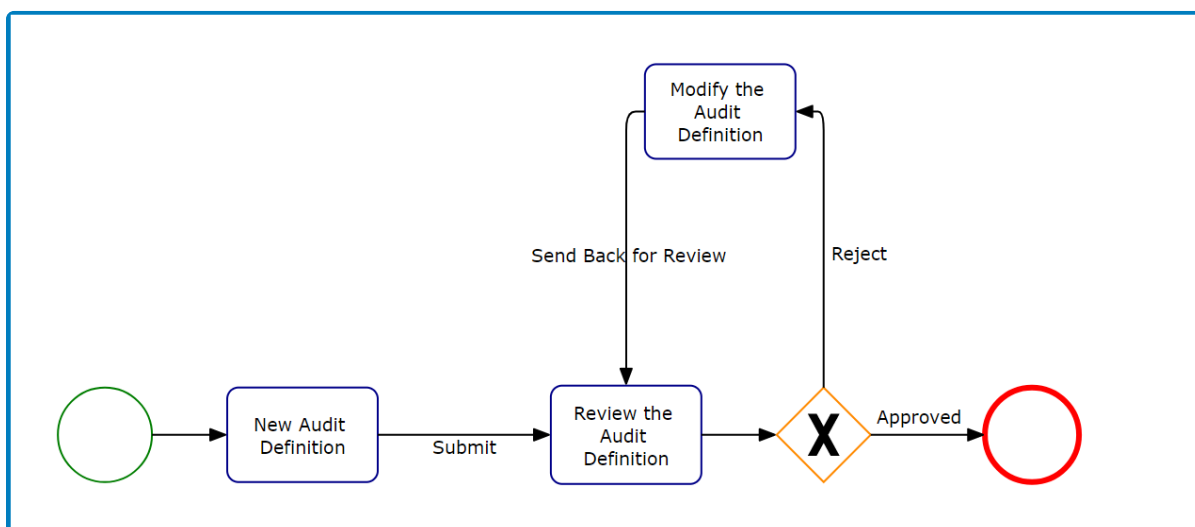
** Although the Modify the Audit Definition form is part of the workflow, it is only issued if the audit definition is rejected by the reviewer.

4. **Plan & Execute Audits**

This workflow is consists of seven primary stages: New Audit Plan, Schedule Audit, Assign Auditors, Assign Collectors, Confirm Schedule, Execute Audit, and Review & Approve Audit Results.
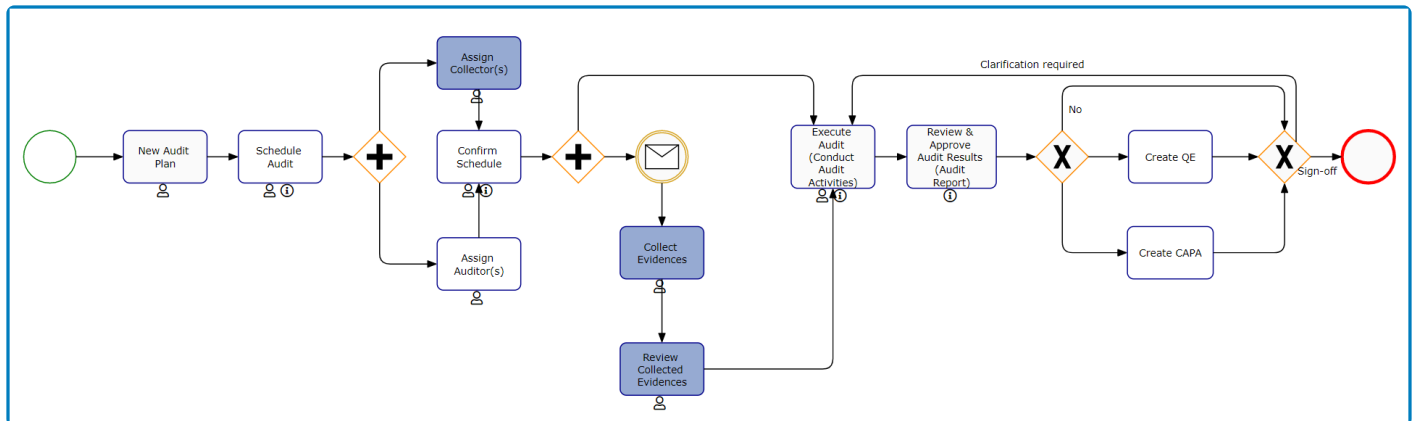
** Although the Assign Collectors form is part of the workflow, it is only issued if an audit requirement is linked to a test.

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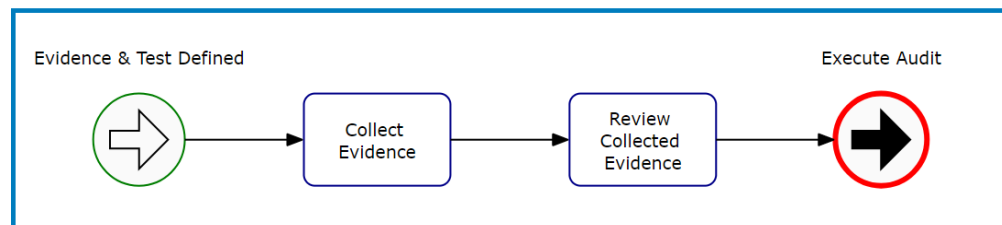
- **Attach Evidence**
   ◦ This workflow is triggered only if a document request has been issued (in the Validate Requirement form).
   ◦ It consists of a single stage: Attach Evidence.

Request Document

Document Sent

Attach
Document
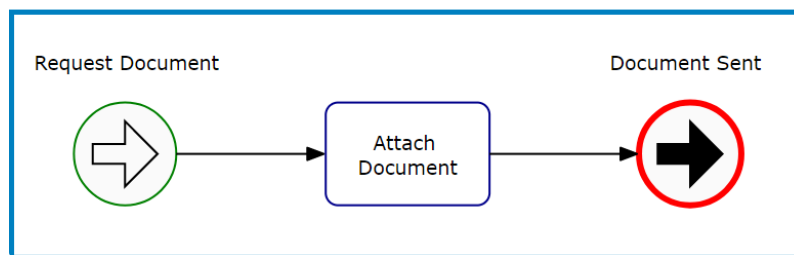
9. New Audit Definition

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]

---

1. ***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.
2. ***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.
3. ***Audit Name:*** This is a text field that allows users to input the name of the audit. It is a mandatory field.
4. ***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 <u>ISO 9001</u> is selected as a compliance program, the audit ID undergoes the following modification:

Audit ID

<u>AUD-ISO9001-2023-00022</u>

This is the prefix used to denote the **Audit** application.

This is a unique identification number.

This is a predefined infix based on the selected compliance type.

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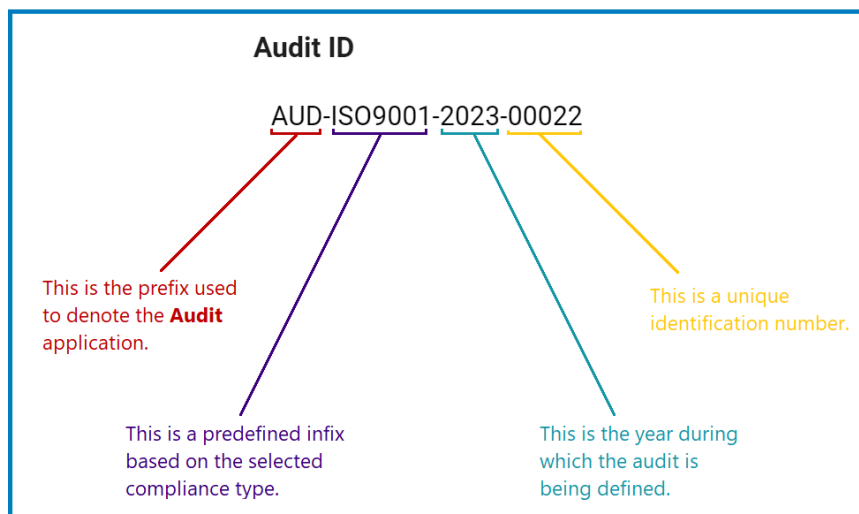
5. *Accordions:* The form includes several collapsible sections, known as accordions, which each serve a specific purpose.
   - Details
   - Requirements
   - Scope (Optional)
   - Logistics & Preparations (Optional)
   - Agenda (Optional)
   - Comments (Optional)
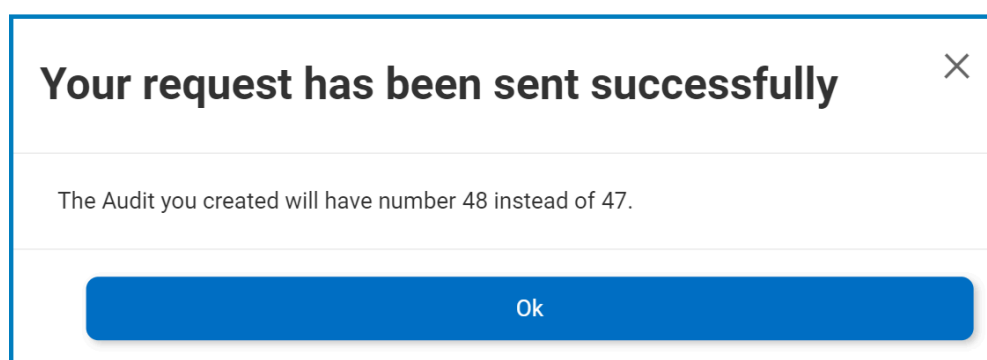6. *Submit Form:* This button allows users to submit the completed form.
   - To maintain the integrity of the Audit ID system, we have implemented a validation mechanism. When users select this button and are ejected from the <u>New Audit Definition</u> module, a pop-up window may appear with the following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

Your request has been sent successfully ✕

The Audit you created will have number 48 instead of 47.

Ok

◦ 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

[Select...   ▾]

Compliance Program

[Select...   ▾]

Category

[Select...   ▾]

Business Division ?

[Select.   ▾]

Business Line ?

[Select...   ▾]

Content Language ?

[Select...   ▾]

Frequency

[Select...   ▾]

Estimated Effort (Hours) ?

[Hours   ▲▼]

First Reminder to Be Sent ?

[Days   ▲▼]

Audit Methods

[Select...   ▾]

Site

[Select...   ▾]

Team ?

[Select...   ▾]

Team Leader ?

Participant Auditors ?

[▾]

— *Audit Related To (optional)*

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

Related To

[Select...   ▾]

EPC Process(es)

EPC Service(s)

Product(s)

What is the reason for this audit? (optional)

[Paragraph ▾ | A̅ ▾ | A̅I ▾ | A ▾ | A̲ ▾ | **B** *I* U̲ S̶ | ≡ ▾ | ≔ ≔ | ⇥ ⇤ | 🔗 66 🖼 ⊞ ▾ ▶ ▾ | ↶ ↷]

[   ]

✱ For guidance on common form functions, please refer to the dedicated section in the manual.
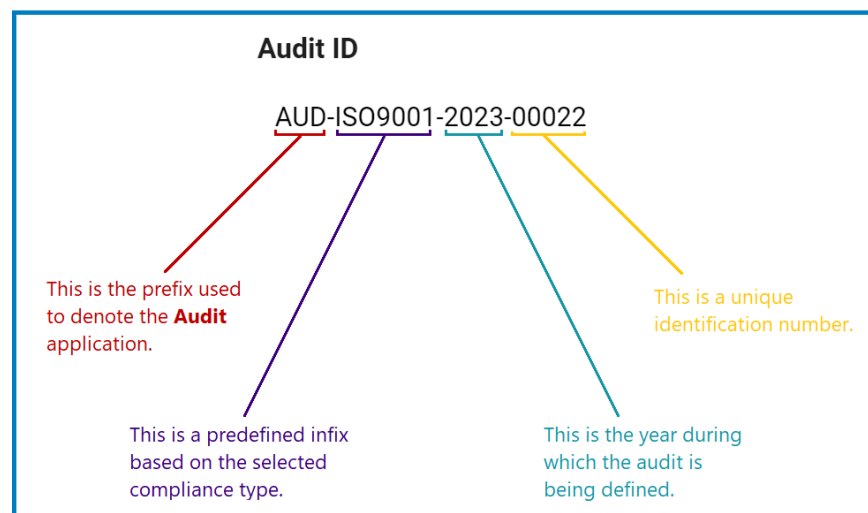
---

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:

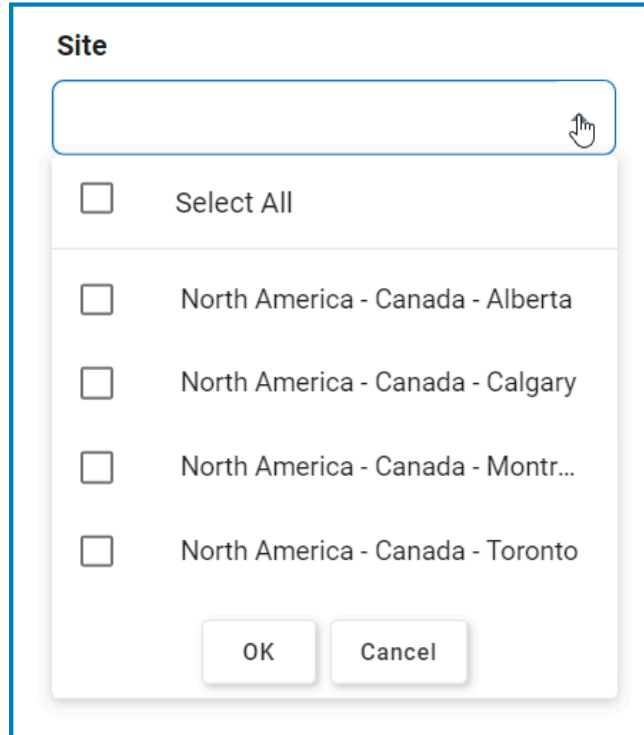| Supplier	Supplier Email	Supplier Contact Number	Supplier Address
Select... ⌄			Paragraph ⌄ ⋮

- **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:

Audit ID

AUD-ISO9001-2023-00022

This is the prefix used to denote the **Audit** application.

This is a unique identification number.

This is a predefined infix based on the selected compliance type.

This is the year during which the audit is being defined.

- 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].

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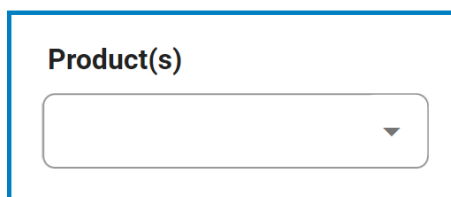
16. ***Related To:*** This is a multi-select dropdown field that retrieves the list of predefined audit relations. It allows users to define their audit as specific to certain processes, products, services, etc.
    - Audit Relations (Standard): Process, Service, Product.
        ◦ If Process is selected,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

EPC Process(es)

[▾]

- ***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)

[▾]

- ***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.

Product(s)

- 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 <u>New Audit Definition</u> 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 <u>Requirement Management</u> application.

Requirements

Select Prior Requirements   Select New Requirements

| Discard changes | Save changes | | | | ⋮ |

Selected for Import	Requirement ID	Requirement Name	Description	Module
(All) ▼	🔍	🔍	🔍	
☐	1	ISMS Scope Document	A document precisely defining assets, locations, technology, ⤢	📄 Document
☐	2	Evaluate ISMS Performance	The performance of the ISMS must be reviewed to evaluate ⤢	⊞ Process
☐	3	Conduct ISMS Management Review	The organization's Information Security Management System ⤢	⊞ Process
☐	4	Laboratory Document Control	The laboratory must have a document management system. ⤢	QMS Defined
☐	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
	🔍	🔍		🔍	🔍

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
	🔍	🔍		🔍	🔍
🗑 👁	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 <u>EPC Objects</u> 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
(... ⌄	🔍	🔍	🔍	🔍
✅	Document Retrieval and Distribution	START		Request Document Access
✅	Document Retrieval and Distribution	TASK		Maintain Distribution Records
✅	Document Control	PROCESS		Document Development & Management
✅	Document Development & Management	END		Document Approved
✅	Document Retrieval and Distribution	TASK		Verify Access Permissions
✅	Document Retrieval and Distribution	TASK		Search and Retrieve Document
✅	Document Retrieval and Distribution	END		event
✅	Document Development & Management	TASK		Review Document
✅	Document Development & Management	TASK		Modify Document
✅	Document Development & Management	START		New Document Created
✅	Document Retrieval and Distribution	TASK		Quality Check Document
✅	Document Control	PROCESS		Document Retrieval and Distribution
✅	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.

- 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.

9.1.3. Scope

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

Objectives ?

Scope ?

Risks ?

Opportunities ?

Criteria ?

✳ 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 ?

Add	Discard changes	Save changes		⋮
#	Item	Cost	Time	Comment
	🔍	🔍	🔍	🔍
		There is no data to display.		

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

- *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 ∨ | A̿ ∨ A↕ ∨ A ∨ A ∨ | B *I* U S | ≡ ∨ | ≔ ≔ | ≣ ≡ | 🔗 66 🖼 ⊞ ∨ ▶ ∨ | ↶ ↷ |

A

Any health, safety, and environmental arrangements for the auditors

| Paragraph ∨ | A̿ ∨ A↕ ∨ A ∨ A ∨ | B *I* U S | ≡ ∨ | ≔ ≔ | ≣ ≡ | 🔗 66 🖼 ⊞ ∨ ▶ ∨ | ↶ ↷ |

B

Requirements for travel or access to remote sites

| Paragraph ∨ | A̿ ∨ A↕ ∨ A ∨ A ∨ | B *I* U S | ≡ ∨ | ≔ ≔ | ≣ ≡ | 🔗 66 🖼 ⊞ ∨ ▶ ∨ | ↶ ↷ |

C

Any security and authorization requirements

| Paragraph ∨ | A̿ ∨ A↕ ∨ A ∨ A ∨ | B *I* U S | ≡ ∨ | ≔ ≔ | ≣ ≡ | 🔗 66 🖼 ⊞ ∨ ▶ ∨ | ↶ ↷ |

D

✳ For more details on the rich text fields populating this section of the form, <u>click here</u>.

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

| Paragraph ∨ | A̅ ∨ | A̲ ∨ | A ∨ | A ∨ | **B** | *I* | U̲ | S̶ | ☰ ∨ | ⋮☰ | ☰ | ⋮ |

✳ 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.

⁕ 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**							
▸ 📁 Pending Tasks (1/1)	🗗 Open in new window 📁 Change folder	Search...		⋮				
▸ 📁 Drafts								
▸ 📁 Completed Tasks	☐	Flag ⋮	Prio... ⋮	Subject ⋮	Created at ⋮	Response ... ⋮	Done at ⋮	Sender ⋮
	▸ ☐			Review the Audit Definition [AUD-ISO9...	11/06/2023 19:...			Richard Roe

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

New Audit Definition to Review [AUD-ISO9001-2023-00023 Laboratory External Audit]

> N noreply@interfacing.com
> To: John Doe
> Mon 11/6/2023 2:34 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 have a new audit definition to review.
>
> Audit ID: AUD-ISO9001-2023-00023
> Audit Name: Laboratory External Audit
> Audit Subject: Laboratory Operations and Compliance
>
> 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 user to the Review the Audit Definition form. This form displays all information entered in the New Audit Definition form; however, all fields are set to read-only.

Listed below are the other notable features in the form:

1. **Comments**

Users can offer notes or feedback on the audit definition. They can also review and respond to any notes or comments left by its creator.

- **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 <u>Review the Audit Definition</u> 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.

- **Notes:** This field is populated with any notes provided by the reviewer in the <u>Review the Audit Definition</u> form. Users can still modify the field.
- **Comment:** This field is populated with any comments provided by the reviewer in the <u>Review the Audit Definition</u> 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 <u>Modify the Audit Definition</u> form, there is the following button:

- **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	Team Leader
		Select...	Select...

Location	Business Division	Created By	Creation Date
	Select...	Select...	

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).

		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

Discard changes   **Save changes**

5

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

✳ For more details on this type of grid and its features, click here.

1. **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.
2. **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.
3. **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)   **Audit Type**

[0   ✕ ⬍]   [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:
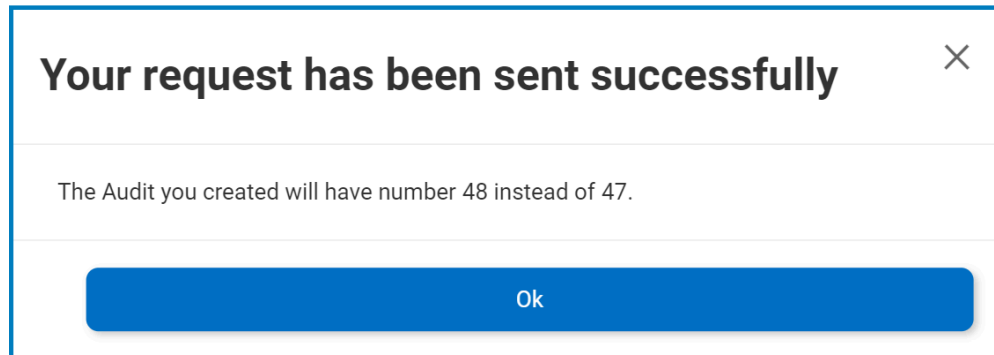
> ## Your request has been sent successfully ✕
>
> The Audit you created will have number 48 instead of 47.
>
> **Ok**

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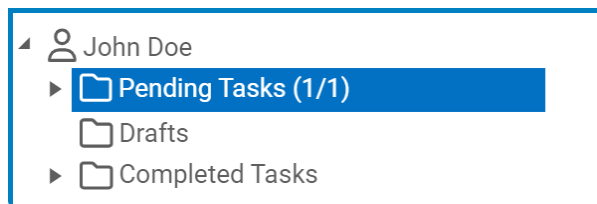
> ✳ To access additional options or perform actions related to the form, please utilize the kebab menu (⋮) located in the upper rightmost corner.

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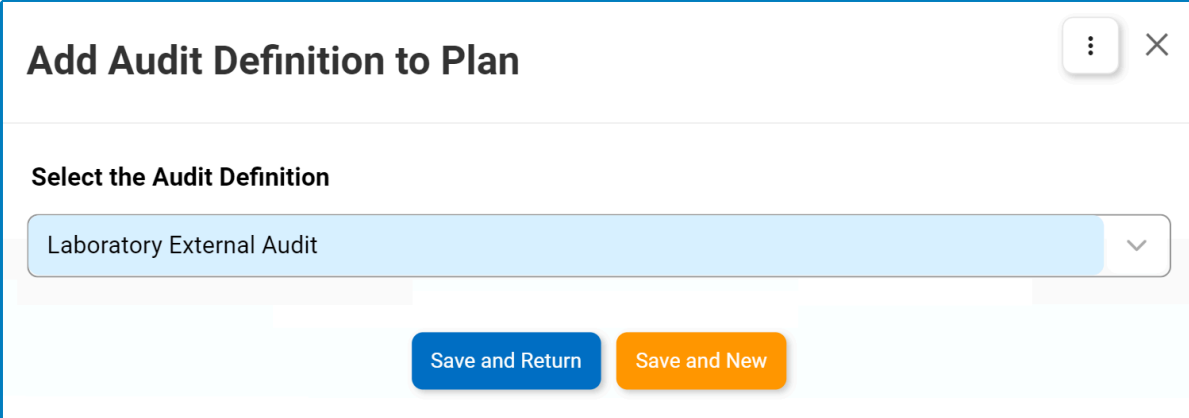
In the event of any changes to the audit objectives, scope or criteria, the audit programme should be modified (if necessary) and communicated to interested parties for approval (if appropriate).

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 <u>Add Audit Definition to Plan</u> 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 <u>New Audit Plan</u> 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 <u>New Audit Plan</u> 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) ▾	🔍	🔍	🔍	🔍
☐	Laboratory Document Control	4	AUD-ISO9001-2023-00023	Laboratory External Audit
☐	Laboratory Testing Integrity & Compliance	5	AUD-ISO9001-2023-00023	Laboratory External Audit
☐	Laboratory Health and Safety	6	AUD-ISO9001-2023-00023	Laboratory External Audit
☐	Document Development & Management	61	AUD-ISO9001-2023-00023	Laboratory External Audit
☐	Document Retrieval and Distribution	62	AUD-ISO9001-2023-00023	Laboratory External Audit
☐	Communication and Awareness	63	AUD-ISO9001-2023-00023	Laboratory External Audit
☐	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.
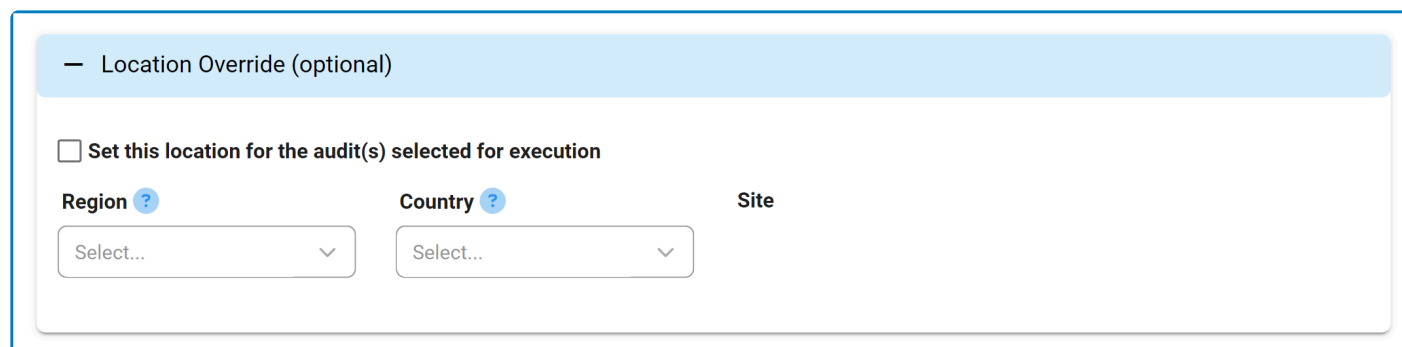
! It's important to note that the evidence collection phase will only be triggered for requirements that necessitate testing. If a requirement is not linked to a test, the evidence collection phase of the workflow will not be initiated. Similarly, if a requirement is linked to a test but the test itself 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.
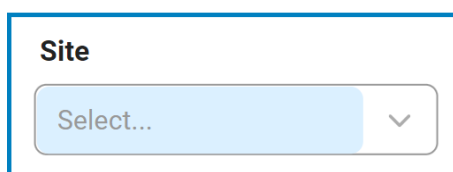
11.1.3. Location Override

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

1. *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.
2. *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.
3. *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:* 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.

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 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	**Start of Execution Period** ?	**End of Execution Period** ?	**Start of Audit Scheduling** ?
Laboratory External Audit	11/07/2023	11/14/2023	11/07/2023

Total Estimated Effort (Hours)   **Audit Type**

48   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
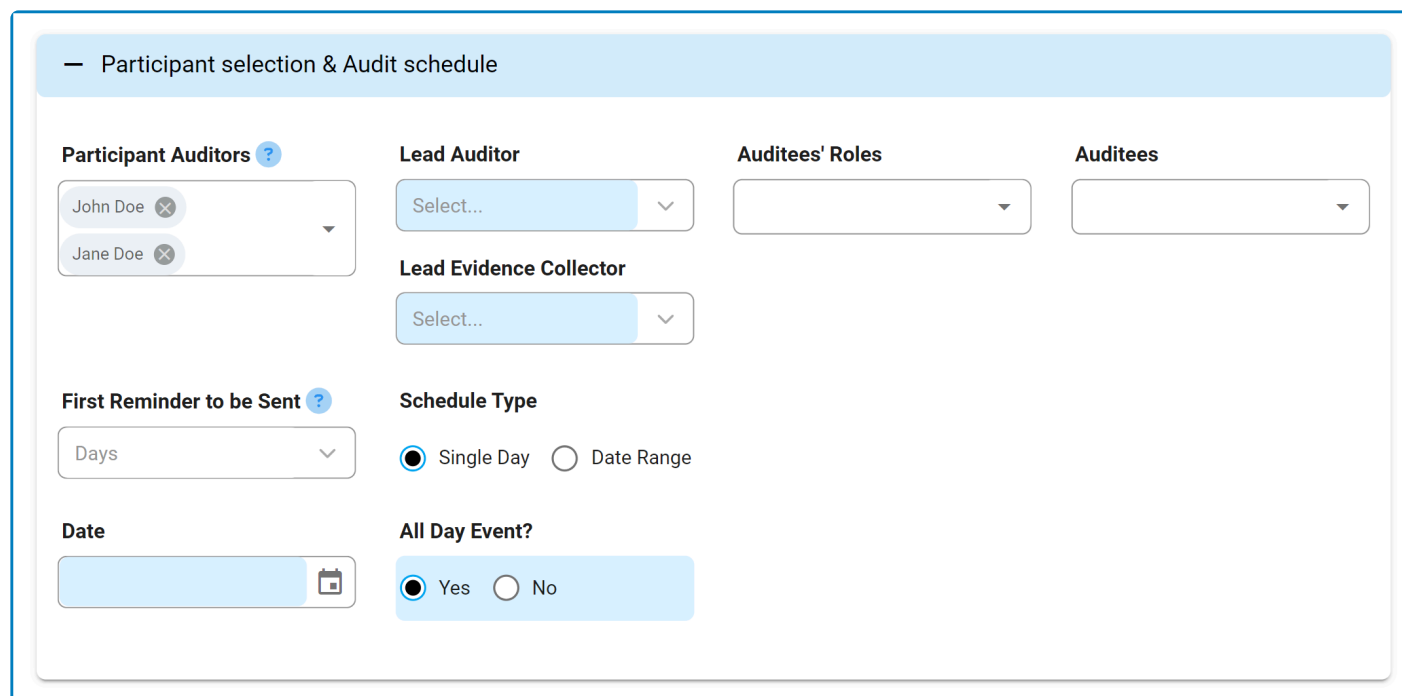
> test itself is not connected to any evidence— the <u>Assign Collector(s)</u> task will not be sent out.

- 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.

New Audit Plan   🔍 ⌄

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.

Please be advised that a new audit plan AP-00021 has been added to the database.
You are receiving this email notification as you are the team leader/lead auditor/lead evidence collector/auditee for this audit plan.
Audit Plan ID: AP-00218
Audit plan Name: Laboratory External Audit
Scheduled Date: 07/11/2023
Scheduled Time:
Estimated Effort: 48
Audit Definition: Laboratory External Audit

↩ Reply   ↪ Forward

11.2.1. Participant Selection & Audit Schedule

In this section of the <u>Schedule Audit</u> form, users can schedule the audit as well as assign the primary resources.

Participant selection & Audit schedule

Participant Auditors ?   **Lead Auditor**   **Auditees' Roles**   **Auditees**

John Doe ⊗   Select...   [▼]   [▼]

Jane Doe ⊗

Lead Evidence Collector

Select...

First Reminder to be Sent ?   **Schedule Type**

Days   ◉ Single Day   ◯ Date Range

Date   **All Day Event?**

[📅]   ◉ Yes   ◯ No

✳ For guidance on how to utilize single-select and multi-select dropdown fields, <u>click here</u>.

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 <u>New Audit Definition</u> 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 <u>Single Day</u> is selected, the following fields will be displayed:

- ◦ ***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 <u style="color:red">mandatory</u> field. Users can choose whether to set the execution as an all-day event.
  - ▪ If <u>Yes</u> 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 <u style="color:red">mandatory</u> field.
  - ▪ If <u>No</u> is selected, the following fields become visible:

- ▪ ***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 <u>Date Range</u> is selected, the following fields will be displayed:

◦ *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 <u>Schedule Audit</u> form, users can assign auditors to requirements.

✳ By default, the user set as lead auditor in the <u>Participant Selection & Audit Schedule</u> 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
🔍	🔍	🔍	
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 <u>additional options or perform actions</u> 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
(... ▼	🔍	🔍	🔍	🔍	🔍	🔍		(All) ▼	🔍 📅	🔍 📅
☐	E-00002	Observatory Evidence	Test-00003	On-Site Verification	5	AUD-ISO9001-2023-00023	Jane Doe	☐		
☐	E-00003	Physical Examination	Test-00003	On-Site Verification	5	AUD-ISO9001-2023-00023	Jane Doe	☐		
☐	E-00002	Observatory Evidence	Test-00002	Document Control Test	4	AUD-ISO9001-2023-00023	Jane Doe	☐		
☐	E-00004	Documentary Evidence	Test-00002	Document Control Test	4	AUD-ISO9001-2023-00023	Jane Doe	☐		

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.

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

round of evidence collection.

4. ***Round 2 End:*** This is a date picker that allows users to input/select the end date for the second round of evidence collection.
5. ***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
🔍	🔍	🔍	🔍	🔍		(All) ▾	🔍 📅	🔍 📅	🔍 📅	🔍 📅
Observatory Evidence	Test-00003	On-Site Verification	5	AUD-ISO9001-2023-00023	Jane Doe	☐	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	☐	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	☐	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	☐	11/07/2023	11/10/2023	11/07/2023	11/10/2023

✳ To access underline 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.

Requirement ID	Requirement Name	Audit Definition Name	Auditor
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

Requirements

Assign the auditor(s) for each requirement

Discard changes   Save changes

! 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.

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 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
(... ▼	🔍	🔍	🔍	🔍	🔍	🔍		(All) ▼	🔍 📅	🔍 📅
✅	E-00002	Observatory Evidence	Test-00003	On-Site Verification	5	AUD-ISO9001-2023-00023	Jane Doe	☐	11/07/2023	11/10/2023
✅	E-00003	Physical Examination	Test-00003	On-Site Verification	5	AUD-ISO9001-2023-00023	Jane Doe	☐	11/07/2023	11/10/2023
✅	E-00002	Observatory Evidence	Test-00002	Document Control Test	4	AUD-ISO9001-2023-00023	Jane Doe	☐	11/07/2023	11/10/2023
✅	E-00004	Documentary Evidence	Test-00002	Document Control Test	4	AUD-ISO9001-2023-00023	Jane Doe	☐	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
Observatory Evidence	Test-00003	On-Site Verification	5	AUD-ISO9001-2023-00023	Jane Doe	☐	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	☐	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	☐	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	☐	11/07/2023	11/10/2023	11/07/2023	11/10/2023

✳ To access underlined 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.
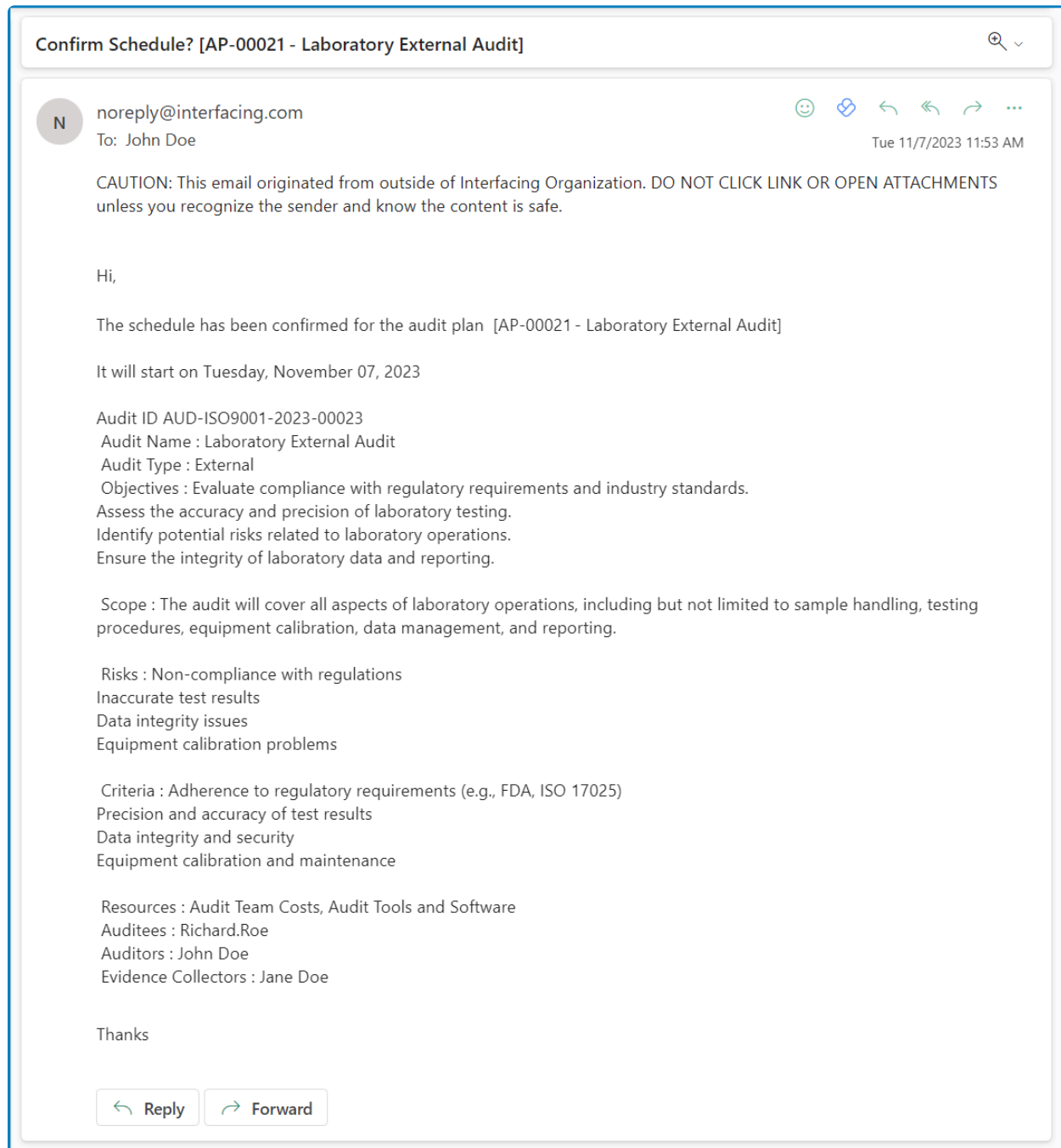

They will also receive an email informing them of both the schedule for the audit plan and the audit details. (These details are established in the New Audit Definition form.)

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.)
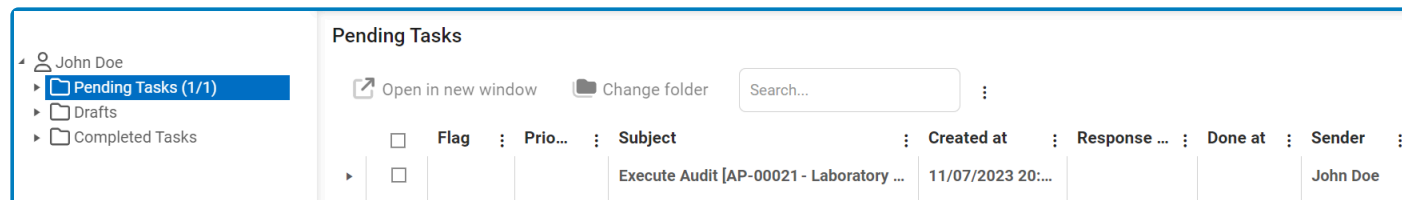
They will also receive an email informing them that the audit execution has started. This email will specify the deadline for the execution.
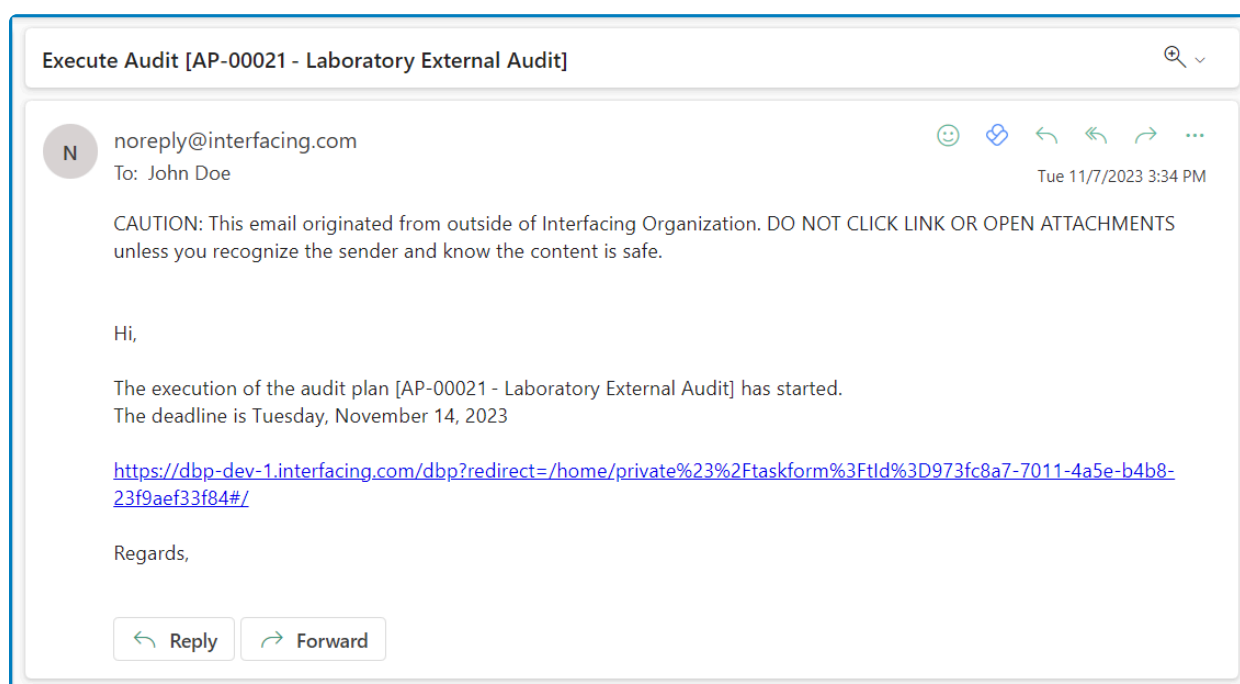
Clicking on either the subject in **Pending Tasks** or the link in the email will direct the auditor to the <u>Execute Audit</u> form.

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
	🔍	🔍		🔍	🔍	(All) ▼	🔍
✏	4	Laboratory Document Control	John Doe	Laboratory External Audit	The laboratory must have a document ⤢	☐	
✏	5	Laboratory Testing Integrity & Compliance	John Doe	Laboratory External Audit	The laboratory must have written ⤢	☐	
✏	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		☐	

☐ **Select to mark all requirements as verified** ⑦

Compilation of all observations entered

⋮

	Requirement ID	Requirement Name	Entered By	Observation ID	Type	Notes
	🔍	🔍		🔍	🔍	🔍

There is no data to display.

General comments about the audit

| Paragraph ▼ | A꙰ ▼ A꙰ ▼ A ▼ A ▼ | B I U S | ☰ ▼ ⅏ ∷ ⫸ ⫷ | 🔗 ❝ 🖼 ▦ ▼ ▶ ▼ | ↶ ↷ |

[text editor area]

Submit Audit Results

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 <u>logged in the Validate Requirement</u> 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 <u>reviewing and approving</u> them.

> ✳ To access <u>additional options or perform actions</u> 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

Paragraph ⌄	A⌄ A⌄ A⌄ A⌄	B I U S	≡⌄ ⅟≡ ⚬≡ ⇥ ⇤	🔗 ❝ 🖼 ⊞⌄ ▶⌄	↺ ↻

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.

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

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.

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 ⌄ | A̅ ⌄ | A̅ ⌄ | A ⌄ | A ⌄ | **B** | *I* | U̲ | S̶ | ≡ ⌄ | ≔ | ≔ | ⇥ | ⇤ | ⋮ |

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	
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.

Interfacing Technologies Corporation

Audit - #11.1_fr

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 ⌄ | A⁼ ⌄ | AI ⌄ | A ⌄ | A ⌄ | B | I | U | S | ≡ ⌄ | ☰ | ☰ | ☶ | ☴ | 🔗 | 66 | 🖼 | ⊞ ⌄ | ▶ ⌄ | ↶ | ↷ |

Send

---

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

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Page 160 de 249

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.

   - 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.

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

11.6.1.2. Test Information

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

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

Tests Informations ⋮

1. ***Edit (✎):*** This button allows users to access the test results.
   - If selected, it will display the <u>Test Results</u> form.

✱ To reveal the full contents of the test description, click the '(Click to Expand)' text within the corresponding column. For <u>additional options or actions</u> 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-00002

Test Name

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 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 <u>Validate Requirement</u> 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
	🔍	🔍	(All) ▼
✏️	1	Changes to documents are clearly identified and recorded as well as reviewed and approved by an authorized	☐
✏️	2	All laboratory documents are indexed and cross-referenced.	☐
✏️	3	All laboratory documents are numbered and sequenced.	☐
✏️	4	The established document management system ensures that the laboratory only uses current and up-to-date	☐
✏️	5	All laboratory documents are clearly labeled with version numbers and revision dates.	☐

---

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

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 <u>Validate Requirement</u> form, users can enter any observations or audit findings relevant to the requirement.

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

   - **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.

▪ <u>Types:</u> 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 <u>Validate Requirement</u> 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 <u>Observations</u> grid in the <u>Execute Audit</u> form.

Compilation of all observations entered

	Requirement ID	Requirement Name	Entered By	Observation ID	Type	Notes	
◉	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.

	Flag	:	Prio…	:	Subject	:	Created at	:	Response …	:	Done at	:	Sender	:
☐					Evidence Overview [AP-00021 - Labor…		11/07/2023 20:…						John Doe	

Pending Tasks

⌐→ Open in new window   📁 Change folder   Search…   ⋮

△ 👤 John Doe
  ▷ 📁 Pending Tasks (1/1)
  ▷ 📁 Drafts
  ▷ 📁 Completed Tasks

> ❗ The <u>Evidence Overview</u> task is issued concurrently with the <u>Execute Audit</u> 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 <u>Evidence Overview</u> 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 Overview [AP-00021 - Laboratory External Audit]   ⋮

Audit Plan ID   **Audit Plan Name**

AP-00021   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

1. **View (◎):** This button allows users to view an evidence item.
   - If selected, it will display the <u>Review Collected Evidence</u> 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
		🔍	🔍	🔍	🔍	🔍	🔍	🔍		🔍	🔍
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
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:

  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.

> ❗ 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.
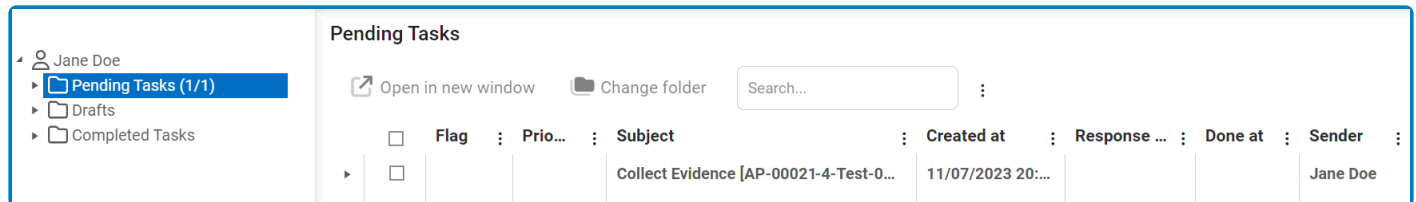
They will also receive an email informing them of the assigned task.
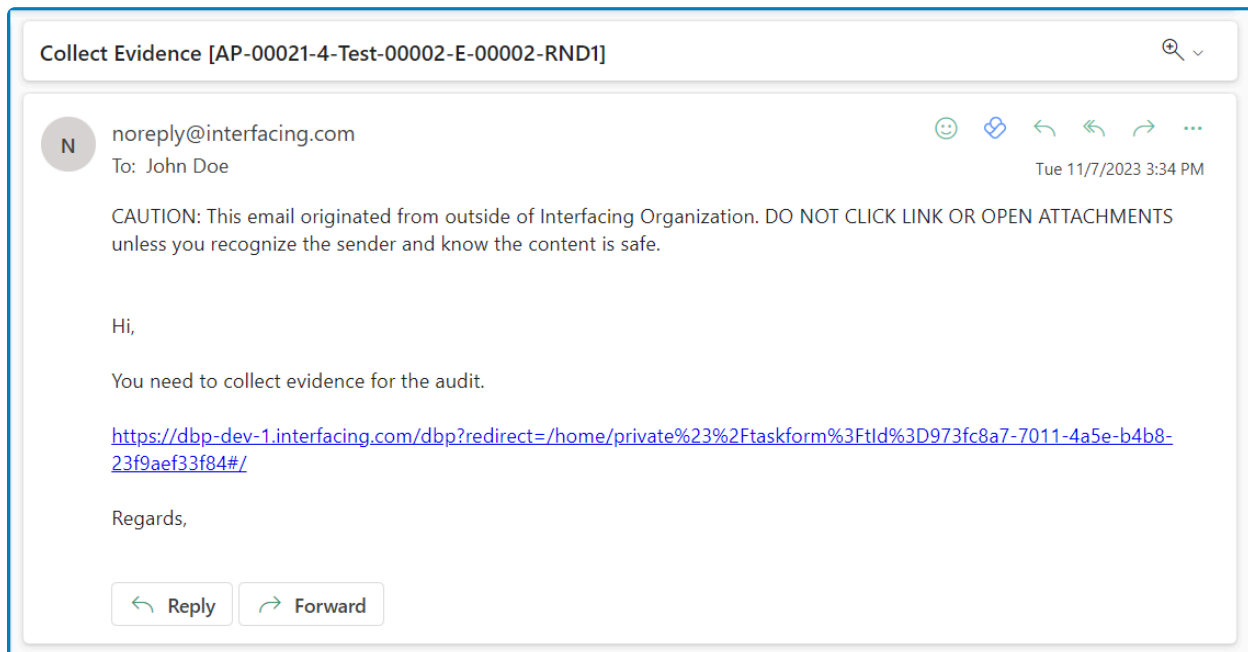
Clicking on either the subject in **Pending Tasks** or the link in the email will direct the collector(s) to the <u>Collect Evidence</u> form. In this form, the collector(s) can access the assigned rounds of evidence collection, including the third round (if one was triggered in the <u>Test Results</u> 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.

Collect Evidence [AP-00021-4-Test-00002-E-00002-RND1 - 07Nov - 10Nov]   ⋮

Audit Plan ID	**Audit Plan Name**	**Round End Date**
AP-00021	Laboratory External Audit	11/10/2023

⋮

	Evidence ID	Evidence Name	Test ID	Test Name	Requirement ID	Requirement Name	Submitted	Round	Sample Count
🔍	🔍	🔍	🔍	🔍	🔍	🔍	(All) ▾	🔍	🔍
✎	AP-00221-4-Test-00002-E-00002-RND1	Observatory Evidence	2	Document Control Test	4	Laboratory Document Control	☐	1	0
✎	AP-00221-4-Test-00002-E-00002-RND2	Observatory Evidence	2	Document Control Test	4	Laboratory Document Control	☐	2	0
✎	AP-00221-4-Test-00002-E-00004-RND1	Documentary Evidence	2	Document Control Test	4	Laboratory Document Control	☐	1	0
✎	AP-00221-4-Test-00002-E-00004-RND2	Documentary Evidence	2	Document Control Test	4	Laboratory Document Control	☐	2	0
✎	AP-00221-5-Test-00003-E-00002-RND1	Observatory Evidence	3	On-Site Verification	5	Laboratory Testing Integrity & Compliance	☐	1	0
✎	AP-00221-5-Test-00003-E-00002-RND2	Observatory Evidence	3	On-Site Verification	5	Laboratory Testing Integrity & Compliance	☐	2	0
✎	AP-00221-5-Test-00003-E-00003-RND1	Physical Examination	3	On-Site Verification	5	Laboratory Testing Integrity & Compliance	☐	1	0
✎	AP-00221-5-Test-00003-E-00003-RND2	Physical Examination	3	On-Site Verification	5	Laboratory Testing Integrity & Compliance	☐	2	0

Comments

⋮

Evidence ID	User	Date	Message	Reply To
		There is no data to display.		

Reason For Rejection

Paragraph ▾	A̅ ▾	A̅ ▾	A ▾	A ▾	**B**	*I*	U̲	S̶	≡ ▾	≟	⁝≡	≡→	←≡	🔗	66	🖼	⊞ ▾	▶ ▾	↶	↷

Select Test(s) to submit evidence for

[▾]

Submit Evidence for selected Test(s)

Submit All Evidences

✳ For guidance on common form functions, please refer to the <u>dedicated section</u> in the manual.

1. ***Edit (✐):*** This button allows users to collect the evidence for a round.
   - If selected, it will display the <u>Collect Evidence</u> 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 <u>review</u>.

✳ 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
Observatory Evidence	2	Document Control Test	4	Laboratory Document Control	☑	1	2	2
Observatory Evidence	2	Document Control Test	4	Laboratory Document Control	☐	2	0	2
Documentary Evidence	2	Document Control Test	4	Laboratory Document Control	☑	1	2	2
Documentary Evidence	2	Document Control Test	4	Laboratory Document Control	☐	2	0	2
Observatory Evidence	3	On-Site Verification	5	Laboratory Testing Integrity & Compliance	☐	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 <u>reviewing it</u>.

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

✳ To access <u>additional options or perform actions</u> 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.

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-00002

Test Name

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 ⌄ | A⁼ ⌄ | Aↀ ⌄ | A ⌄ | A ⌄ | B | I | ⋮ |

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.

[Add] [**Discard changes**] [**Save changes**]   ⋮

#		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.

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 evidence collector to the Review Evidence form.

Review Evidence [AP-00021-4-Test-00002-E-00002-RND1 - 07Nov - 10Nov]

Audit Plan ID	**Audit Plan Name**	**Round End Date**
AP-00021	Laboratory External Audit	11/10/2023

Discard changes   Save changes

	Evidence ID	Evidence Name	Test ID	Test Name	Submitted	Requirement ID	Requirement Name	Round	Times Rejected
✎	AP-00221-4-Test-00002-E-00002-RND1	Observatory Evidence	2	Document Control Test	☑	4	Laboratory Document Control	1	0
✎	AP-00221-4-Test-00002-E-00002-RND2	Observatory Evidence	2	Document Control Test	☑	4	Laboratory Document Control	2	0
✎	AP-00221-4-Test-00002-E-00004-RND1	Documentary Evidence	2	Document Control Test	☑	4	Laboratory Document Control	1	0
✎	AP-00221-4-Test-00002-E-00004-RND2	Documentary Evidence	2	Document Control Test	☑	4	Laboratory Document Control	2	0
✎	AP-00221-5-Test-00003-E-00002-RND1	Observatory Evidence	3	On-Site Verification	☑	5	Laboratory Testing Integrity & Compliance	1	0
✎	AP-00221-5-Test-00003-E-00002-RND2	Observatory Evidence	3	On-Site Verification	☑	5	Laboratory Testing Integrity & Compliance	2	0
✎	AP-00221-5-Test-00003-E-00003-RND1	Physical Examination	3	On-Site Verification	☑	5	Laboratory Testing Integrity & Compliance	1	0
✎	AP-00221-5-Test-00003-E-00003-RND2	Physical Examination	3	On-Site Verification	☑	5	Laboratory Testing Integrity & Compliance	2	0

Comments

Evidence ID	User	Date	Message	Reply To
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.	

Reason For Rejection

| Paragraph ⌄ | A⫶ ⌄ | A↕ ⌄ | A ⌄ | A ⌄ | **B** | *I* | U̲ | S̶ | ☰ ⌄ | ☷ | ☰ | ⇥ | ⇤ | 🔗 | ❝ | 🖼 | ⊞ ⌄ | ▶ ⌄ | ↶ | ↷ |

Approve All   Reject Selected

! In the <u>Collected Evidence</u> 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.

1. **Edit (✏):** This button allows users to access and review the collected evidence.
   - If selected, it will display the Review Collected Evidence form. Users cannot make any 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.

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 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
			(All)							(All)
Observatory Evidence	2	Document Control Test	☑	4	Laboratory Document Control	1	0	2	2	☑
Observatory Evidence	2	Document Control Test	☑	4	Laboratory Document Control	2	0	2	2	■
Documentary Evidence	2	Document Control Test	☑	4	Laboratory Document Control	1	0	2	2	☑
Documentary Evidence	2	Document Control Test	☑	4	Laboratory Document Control	2	0	2	2	■
Observatory Evidence	3	On-Site Verification	☑	5	Laboratory Testing Integrity & Compliance	1	0	2	2	☑

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%3FdId%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 <u>Collected Samples</u> grid in the <u>Test Results</u> form.

> **!** In the case of batch submission, please note that the lead evidence collector can receive multiple <u>Review Evidence</u> 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 <u>additional options or perform actions</u> 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 ?	**Lead Auditor**	**Auditees' Roles**	**Auditees**
John Doe Jane Doe	John Doe	Quality Assurance Analyst	Richard Roe
	Lead Evidence Collector		
	Jane Doe		

First Reminder to be Sent ?	**Schedule Type**	**From**	**To**
1	◯ Single Day ⦿ Date Range	11/07/2023	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
👁	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 <u>additional options or perform actions</u> 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
◎	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 ⌄ | A⁼ ⌄ | A↕ ⌄ | A ⌄ | **A** ⌄ | **B** | *I* | U̲ | S̶ | ☰ ⌄ | ≔ | ≔ | ⇥ | ⇤ | 🔗 | 66 | 🖼 | ⊞ ⌄ | ▶ ⌄ | ↺ | ↻ |

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 <u>additional options or perform actions</u> 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:

<div>
Clarification Required   Sign-Off
</div>

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.
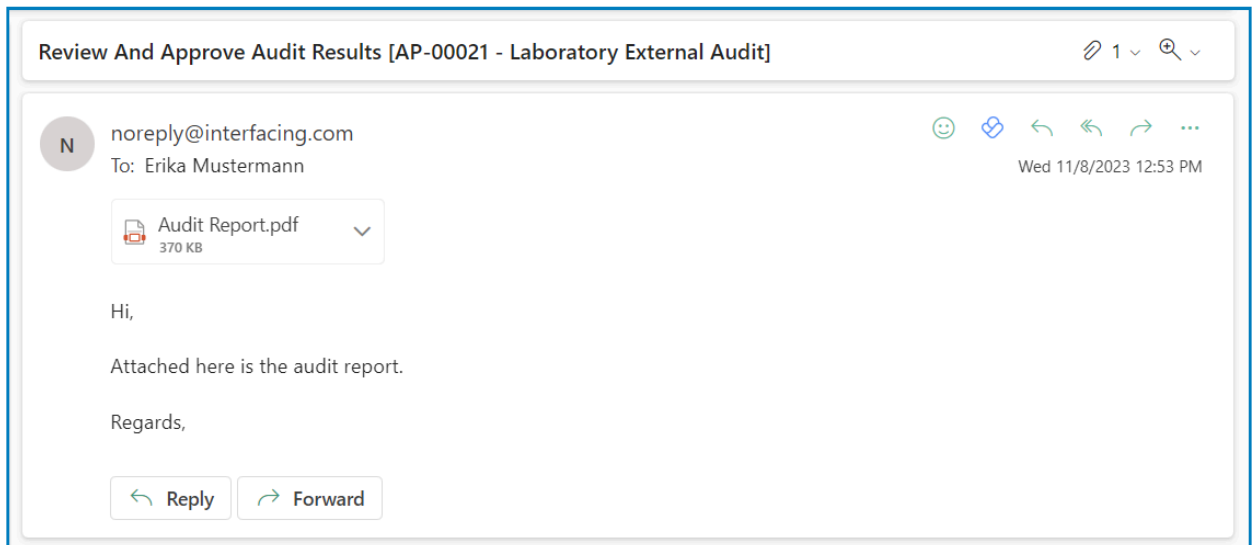
2. ***Clarification Required:*** This button allows users to send the audit results back for further clarification.
   - If selected, the assigned auditor(s) will be tasked with re-executing the audit.
     - They will again receive the Execute Audit form, except this version will include all previously 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.

✳ 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.

Add   Discard changes   Save changes

	Audit Plan ID	Audit Plan Name	Scheduled Start Date	Execution Date
🗑 👁	AP-00001	Environmental Management System Audit	11/09/2022	11/12/2023
🗑 👁	AP-00002	Financial Forecasting Audit	11/29/2022	11/30/2022
🗑 👁	AP-00003	Information Security Audit	11/30/2022	12/08/2022
🗑 👁	AP-00004	Occupational Health & Safety Audit	12/11/2023	12/23/2022
🗑 👁	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
		🔍	🔍	🔍	🔍	🔍	🔍
1	👁	AP-00001	Environmental Management System Audit	1	1	10	10
2	👁	AP-00002	Financial Forecasting Audit	1	1	5	5
3	👁	AP-00003	Information Security Audit	1	1	10	10
4	👁	AP-00004	Occupational Health & Safety Audit	1	1	3	3
5	👁	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.
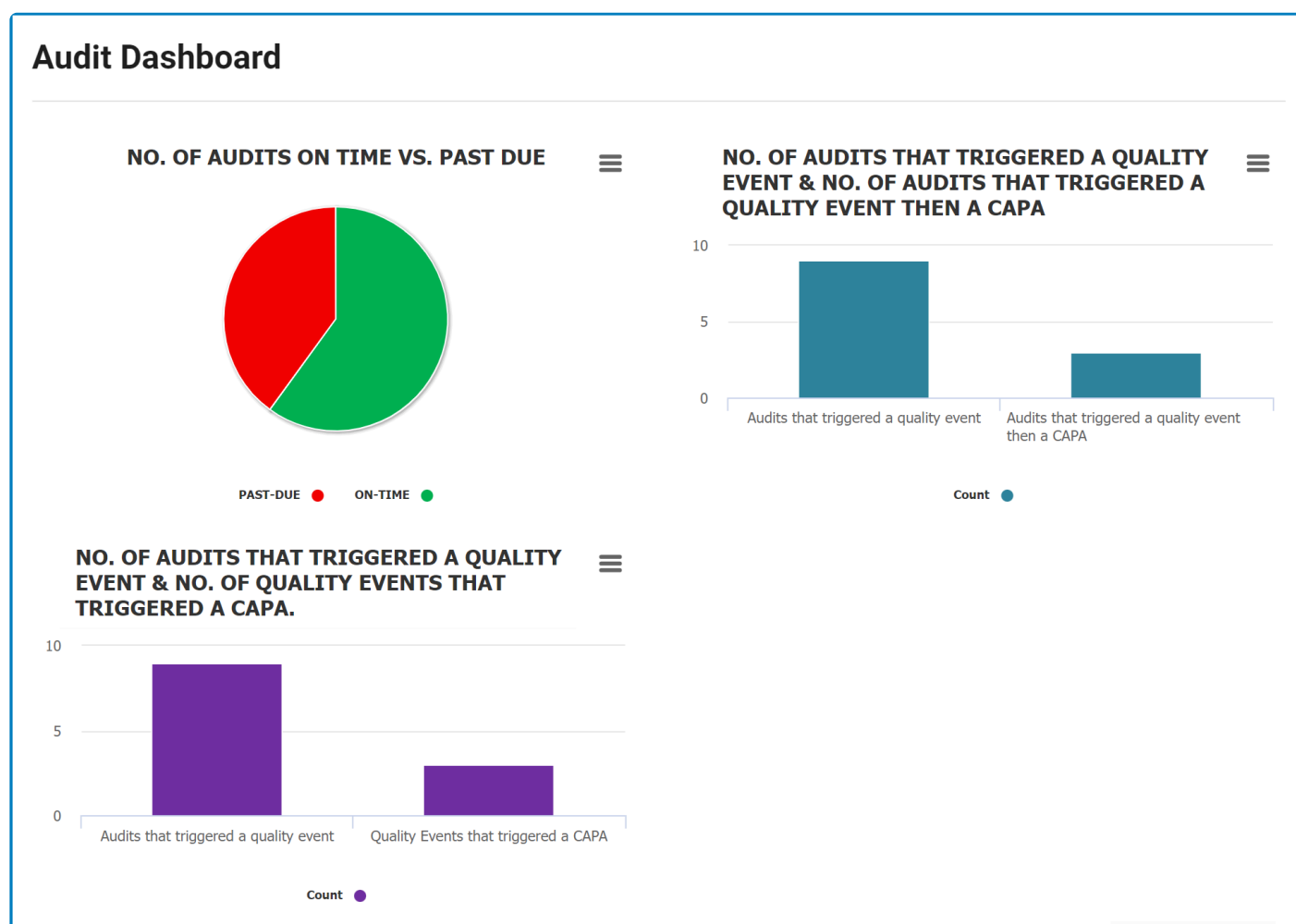
✳ For more guidance on how to utilize interactive charts, click here.

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).
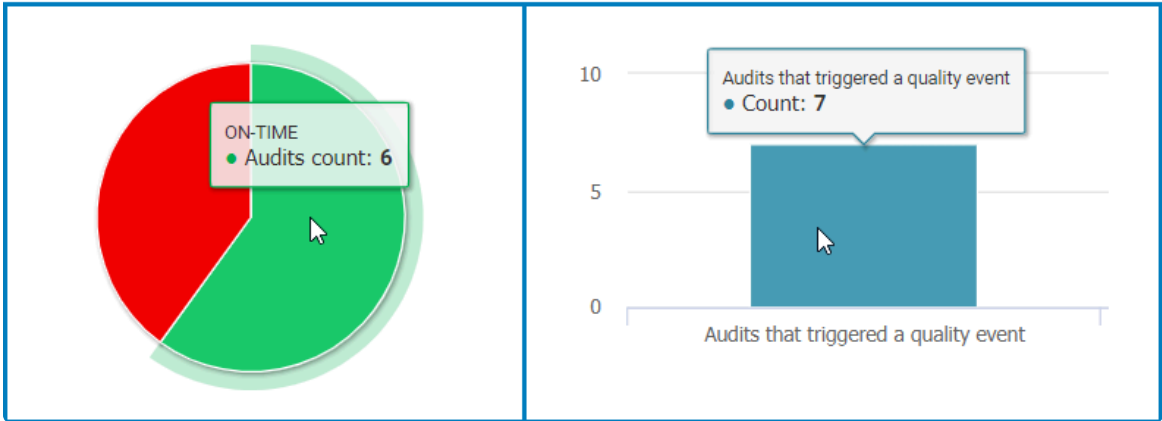
3. **Drilldown Reports:** These are data reports that users can access by double-clicking on the different symbols in the pie and bar charts. (Symbols, in this case, refers to the slices/sectors of the pie charts and the bars of the bar chart).

   - 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:

✳ 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
	🔍	🔍	🔍	🔍	🔍
👁	AP-00001	Environmental Management System Audit	John.Doe	1	1
👁	AP-00004	Occupational Health & Safety Audit	Jane.Doe	1	1
👁	AP-00006	Data Privacy and Security Audit	Richard.Roe	1	1
👁	AP-00021	Laboratory External Audit	John.Doe	1	1
👁	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
	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...
🔍	🔍	false ▼	🔍	🔍	🔍	🔍	🔍
AP-00037	Laboratory External Audit	🟩	1	1	0	3	26/09/20 20:00
AP-00038	Occupational Health & Safety Audit	🟩	1	1	0	1	30/09/20 20:00

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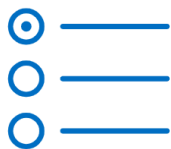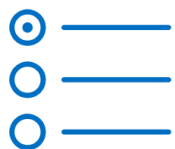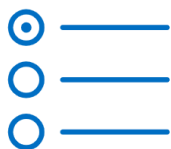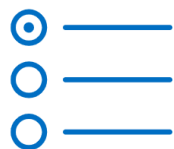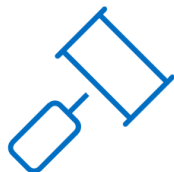
New Audit Definition	**Audit Definition List**	**New Audit Plan**	**List of All Audit Plans**	**Audit Dashboard**	**Audit Summary Report**
In-Progress Audit Plans	**Completed Audit Plans**	**Audit Plans - Waiting for Schedule**	**My Audit Plans (Auditor)**	**My Team's Audit Plans**	**Test Management**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

3. Selecting **Test Management** directs users to the following subcategories:
   • Evidence Collection Requirements
   • New Test
   • Test List

New Evidence Request

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.

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.

		Evidence ID	Evidence Name	Sample Size	Population	Frequency	Prerequisites	Procedure
		🔍	🔍	🔍	🔍	🔍	🔍	🔍
🗑 ✏ 👁		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 ⤢	• Suitability of processes and ⤢
🗑 ✏ 👁		E-00003	Physical Examination	4	25	Yearly	1. Auditor must prepare audit ⤢	• Reliability and accuracy of ⤢
🗑 ✏ 👁		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, <u>click here</u>.

1. ***Add:*** This button allows users to add a new evidence request.
   - If selected, it will display the <u>Create Evidence</u> 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	Evidence Name	Sample Size	Population	Frequency
E-00015				Select... ⌄

Test Method(s)

[⌄]

Prerequisites

Paragraph ⌄ | A̅ ⌄ | A↕ ⌄ | A ⌄ | A ⌄ | **B** *I* U̲ | ⋮

Procedure

Paragraph ⌄ | A̅ ⌄ | A↕ ⌄ | A ⌄ | A ⌄ | **B** *I* U̲ | ⋮

[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   [   ]   John.Doe

Description

| Paragraph ∨ | A̅ ∨ | AI ∨ | A ∨ | A ∨ | **B** | *I* | U̲ | S̶ | ≡ ∨ | ⅟≡ | ≔ | ≢ | ≣ | 🔗 | 66 | 🖼 | ⊞ ∨ | ▶ ∨ | ↶ | ↷ |

[   ]

Requirement(s)

[∨]

                                        Submit form

✳ 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 <u>New Test</u> 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   ⋮

Details   **Evidence**

Select Evidence   *Evidence Selected*

| Assign All | Assign Selected | Select All | Deselect All |

Available Evidence

| Discard changes | Save changes | ⋮

Select	Evidence ID	Evidence Name	Sample Size	Frequency	Population	Prerequisites	Procedure
(. ▼	🔍	🔍	🔍	🔍	🔍	🔍	🔍
🟩	E-00001	Oral Evidence	20	Yearly	40	The auditor must build a schedule ⤢	The auditor will hold individual question- ⤢
🟩	E-00002	Observatory Evidence	2	Yearly	15	1. Auditor must be ⤢	• Suitability of processes and ⤢
🟩	E-00003	Physical Examination	4	Yearly	25	1. Auditor must ⤢	• Reliability and accuracy of ⤢
🟩	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

1. *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.

2. ***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.
3. ***Select All:*** This button allows users to select all evidence requests in the <u>Available Evidence</u> grid.
4. ***Deselect All:*** This button allows users to deselect all evidence requests in the <u>Available Evidence</u> 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 <u>Test List</u>.

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 <u>Test List</u>.

✳ To access <u>additional options or perform actions</u> 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.

| Test Management | New Evidence Request | New Test | Test List |

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.

	Test ID	Test Name	Description	
🗑 ✏ 👁	Test-00001	Risk Assessment Procedures	This audit test is used to identify and assess the potential the 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.	⬈

Add   Discard changes   Save changes

‹ **1** of 2 ›

✳ For more details on this type of grid and its features, <u>click here</u>.

1. *Add:* This button allows users to add a new test.
   - If selected, it will display the <u>New Test</u> 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		
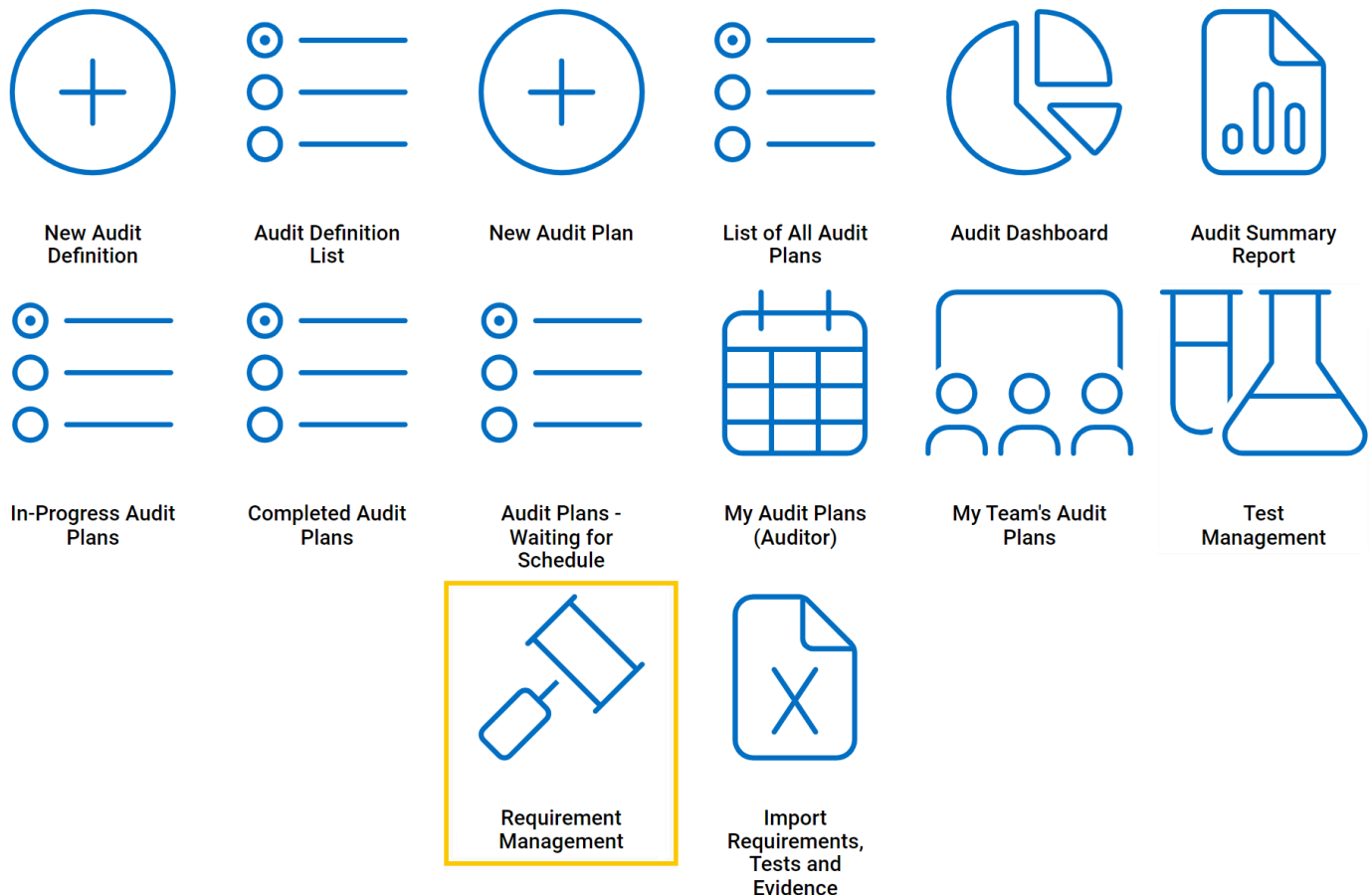
3. Selecting **Requirement Management** directs users to the following subcategories:
    *   Import Requirements from EPC
    *   New Requirement
    *   Requirement List

Import Requirements from EPC

New Requirement

Requirement List

21.1. Import Requirements from EPC

In this module, users can import requirements from EPC.

Requirement Management

Import Requirements from EPC

New Requirement

Requirement List

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
🔍	🔍	🔍	(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.

Requirement Management → Import Requirements from EPC → New Requirement → Requirement List
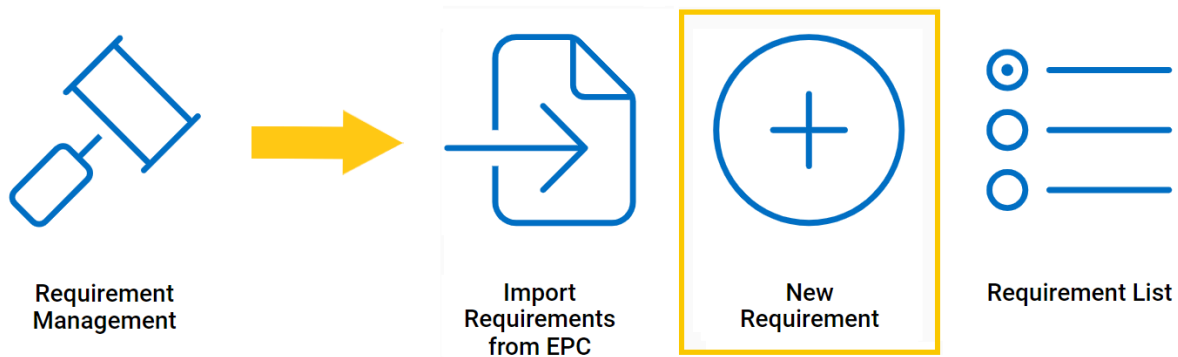
Defining Requirements

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

Select... ⌄

Test(s)

⌄

Description

| Paragraph ⌄ | A̅ ⌄ | A↕ ⌄ | A ⌄ | A ⌄ | B | I | U | S̶ | ≡ ⌄ | ≔ | ⋮≡ | ⇥ | ⇤ | 🔗 | 66 | 🖼 | ▦ ⌄ | ▶ ⌄ | ↶ | ↷ |

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.

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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 <u>Checklist</u> 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.

Checklist

Add	Discard changes	Save changes		⋮

	Checklist No.	Question	Is Validated
🔍		🔍	(All) ▾
🗑 ✎	1	Changes to documents are clearly identified and recorded as well as reviewed and approved by an authorized individual. ⤢	☑

To access the full checklist item description, click on the corresponding **Expand** (⤢) button.

7. *Delete (🗑):* This button allows users to delete a checklist item.
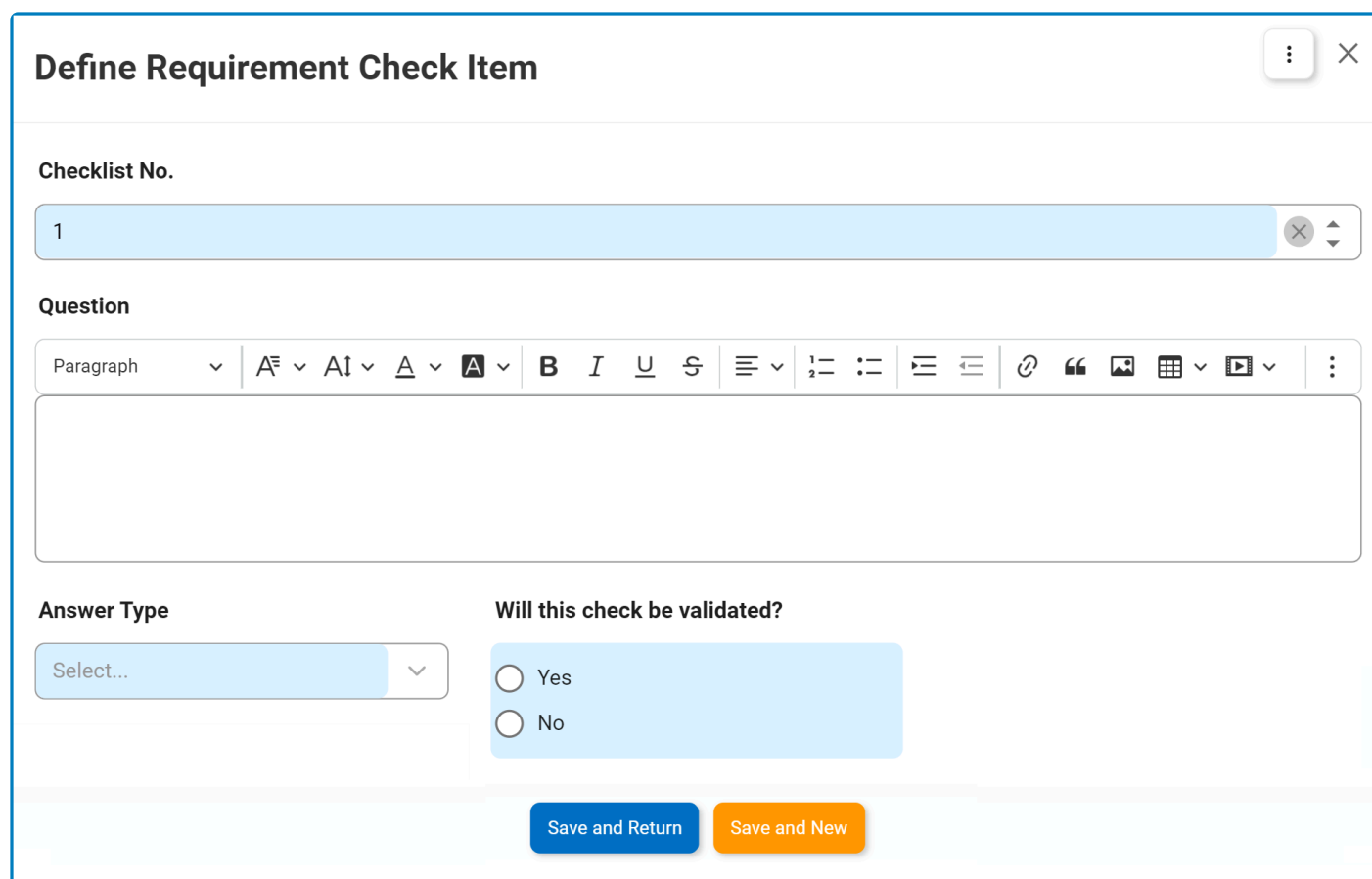
✳ To confirm the deletion of items in the grid, click on the **Save Changes** button or simply click outside the grid. To undo deletion, click on either the **Discard Changes** button or the **Undo** (↺) icon.

8. *Submit Form:* This button allows users to submit the completed form.
   • Once submitted, requirements are recorded in the <u>Requirement List</u>.
9. *Save Form:* This button allows users to save the form. It will remain in the **Drafts** folder.

✳ To access <u>additional options or actions</u> 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 ⌄ | A⁻ ⌄ | A¹ ⌄ | A ⌄ | A ⌄ | B | I | U | S | ≡ ⌄ | ⅟≡ | ⋮≡ | ⇥ | ⇤ | 🔗 | ❝ | 🖼 | ⊞ ⌄ | ▶ ⌄ | ⋮ |

| |

Answer Type   **Will this check be validated?**

| Select...   ⌄ | ◯ 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 <u>**mandatory**</u> 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 <u>**mandatory**</u> field. It allows users to select the appropriate answer format for the question.
   - <u>Answer Types:</u> True/False, Multiple Choice, Text Value, Yes/No, Pass/Fail.
     - If <u>Multiple Choice</u> is selected, it will reveal the following fields:

Answer Type

Multiple Choice ⌄

Will this check be validated?

○ Yes

○ 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 <u>mandatory</u> field. Users can choose whether or not the checklist item will undergo validation.
   - If <u>Yes</u> 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 <u>True/False</u> format, the following field is revealed:

Answer Type

True/False

Will this check be validated?

● Yes

○ No

Provide the correct answer

○ True

○ False

- For the <u>Multiple Choice</u> format, the following fields are revealed:

Answer Type

Multiple Choice

Will this check be validated?

● Yes

○ No

Multiple Choice Option 1

☐ **Correct Answer?**

Multiple Choice Option 2

☐ **Correct Answer?**

Multiple Choice Option 3

☐ **Correct Answer?**

Multiple Choice Option 4

☐ **Correct Answer?**

Multiple Choice Option 5

☐ **Correct Answer?**

- For the <u>Text Value</u> format, the following field is revealed:

Answer Type

Text Value ⌄

Will this check be validated?

⦿ Yes

◯ No

Provide the correct answer

• For the Yes/No format, the following field is revealed:

Answer Type

Yes/No ⌄

Will this check be validated?

⦿ Yes

◯ No

Provide the correct answer

◯ Yes

◯ No

• For the Pass/Fail format, the following field is revealed:

Answer Type

Pass/Fail ⌄

Will this check be validated?

⦿ Yes

◯ No

Provide the correct answer

◯ Pass

◯ Fail

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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.
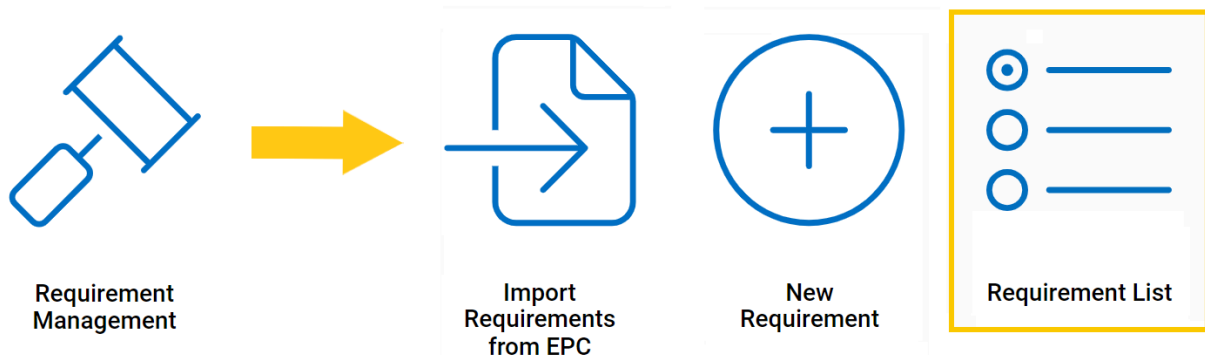
| Requirement Management | Import Requirements from EPC | New Requirement | Requirement List |

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.

		Requirement ID	Requirement Name	Description		Requirement Type	Module
Sync With EPC							
		🔍	🔍	🔍			
🗑 ✏ 👁		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

Add | **Discard changes** | **Save changes** | ⋮

5 ▼   Page 1 of 20 (96 items)   ‹   1   of 20 ›

Output

✳ For more details on this type of grid and its features, <u>click here</u>.

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 <u>New Requirement</u> 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											

Import

2. ***3 Sheet Template:*** This template consists of three worksheets, each with their own set of columns:

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.
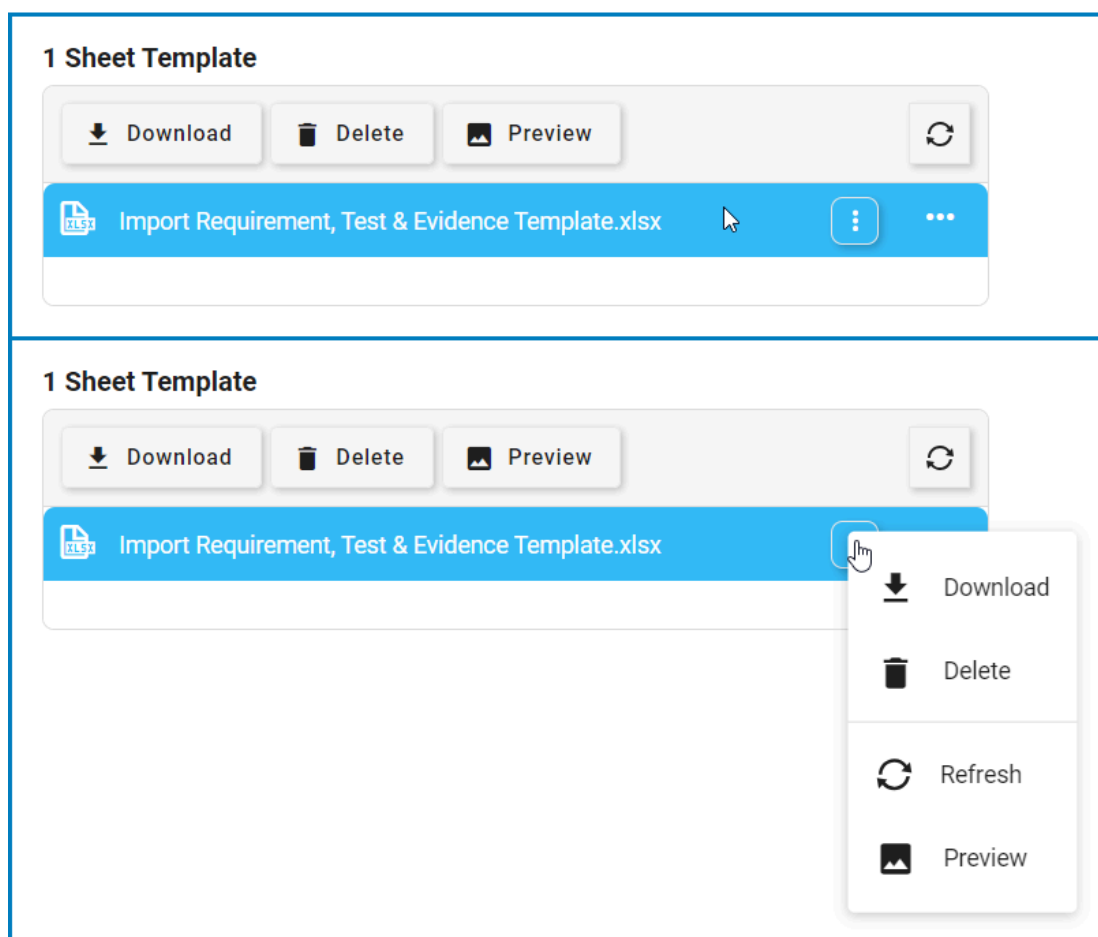
✳ Users can also access this context menu by right-clicking on the file.

✳ 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 <u>Requirement List</u>.
       - 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 <u>Test List</u>.
       - 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 <u>Evidence Collection Requirements</u>.
       - 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	T
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.
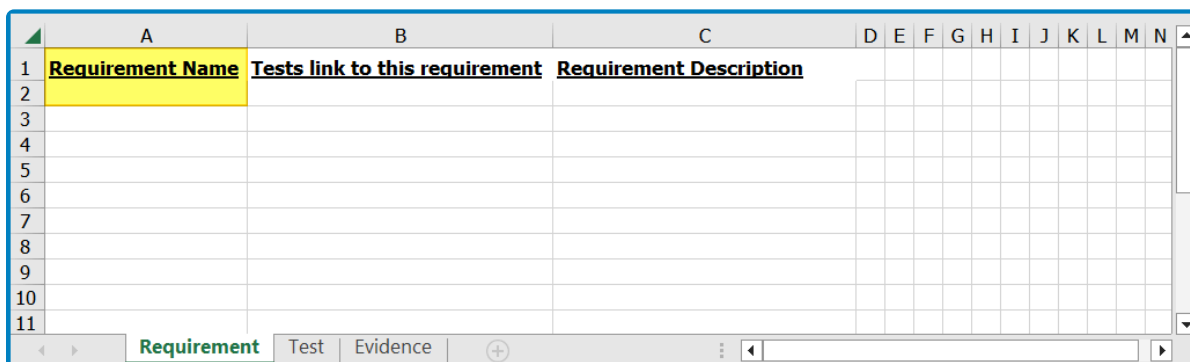
22.1.1. Data Import – Guidelines and Considerations

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.

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.

- 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
🗑 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				

Requirement | Test | Evidence ⊕

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				

Requirement | Test | Evidence ⊕

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.

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.