Connect Plus
Section 4: Audits

Contents

4) Auditing

BSI Connect Plus allows you to conduct internal audits to check compliance within your organization.

Click on the left menu. Click 'auditing', then 'view audits' (highlighted [fig.1]).

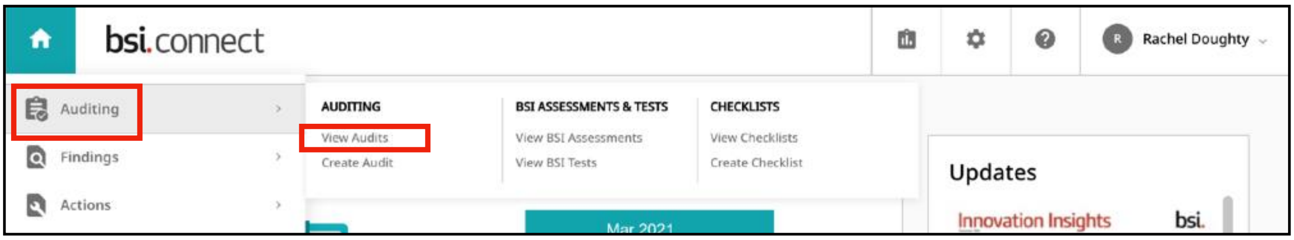


Fig. 1

4.1) viewing, Exporting and Filtering your audits

Your audits are displayed in the record list (highlighted [fig.2]).

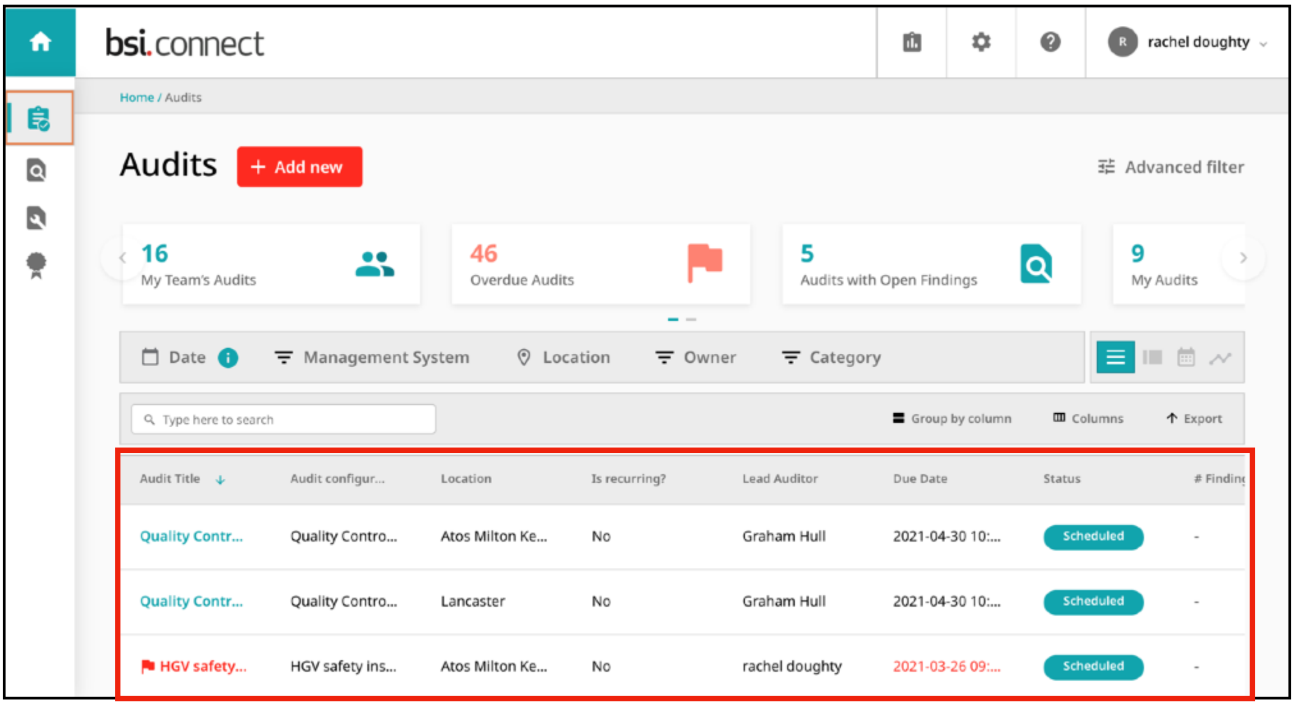


Fig. 2

You can organize how they are ordered, which ones are visible and what information about each isdisplayed.

4.1.1) Using the Advanced Filter

The advanced filter is in the top right. This allows you to create and save specific filters.

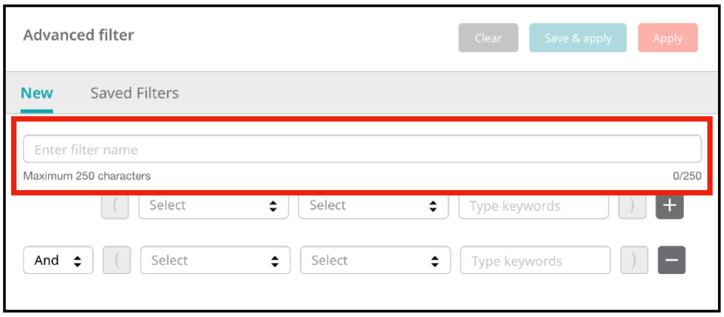


Fig. 3

Name your filter by typing in the field (highlighted [fig.3]).

Click the filter selector button and select an option from the drop down. Move from left to right to create your filter.

Clicking the + button adds a new filter row, so you can drill further into your data. Clicking the − button deletes a filter row.
You can decide whether you want to return records that follow both filter requirements or follow one requirement by changing the 'and' field on the left side to 'or'.

Click the Apply button to search using your filter.

To save your filter to use at another time, click the Save & apply button.You can find your saved filters by clicking 'saved filters' header next to 'new'.

To clear your filter specifications, click the Clear button.

4.1.2) Using the Quick Filters

Below the advanced filter are the quick filters [fig.4].

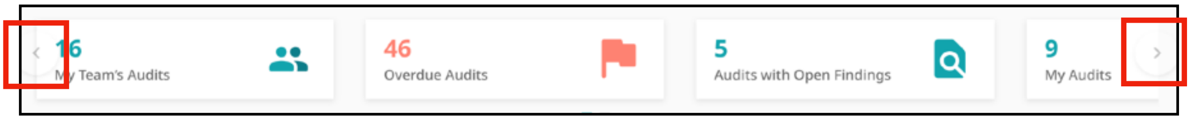
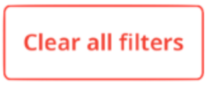


Fig. 4

Click the quick filters to quickly filter the records. See more quick filters by clicking the arrows either side (highlighted in [fig.4]).

To cancel a filter, click the 

button.

4.1.3) Using the Common Filters

Common filters (highlighted in [fig.5]).

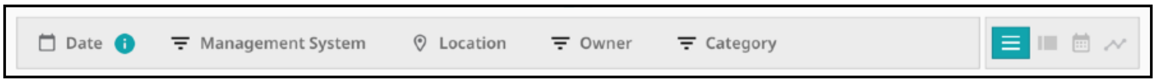


Fig. 5

You can filter your records by date, management system, location, owner and category by clicking the icons to the left of each filter.

4.1.4) Changing the Record view

To the side of the common filters are the record list view, card view, calendar view, and chart view icons (highlighted in [fig.6]).

Fig. 6

These affect how the records are displayed. Any filters applied will persist when switching views.The  button produces the list view.

The  button produces the card view (highlighted in [fig.7]).

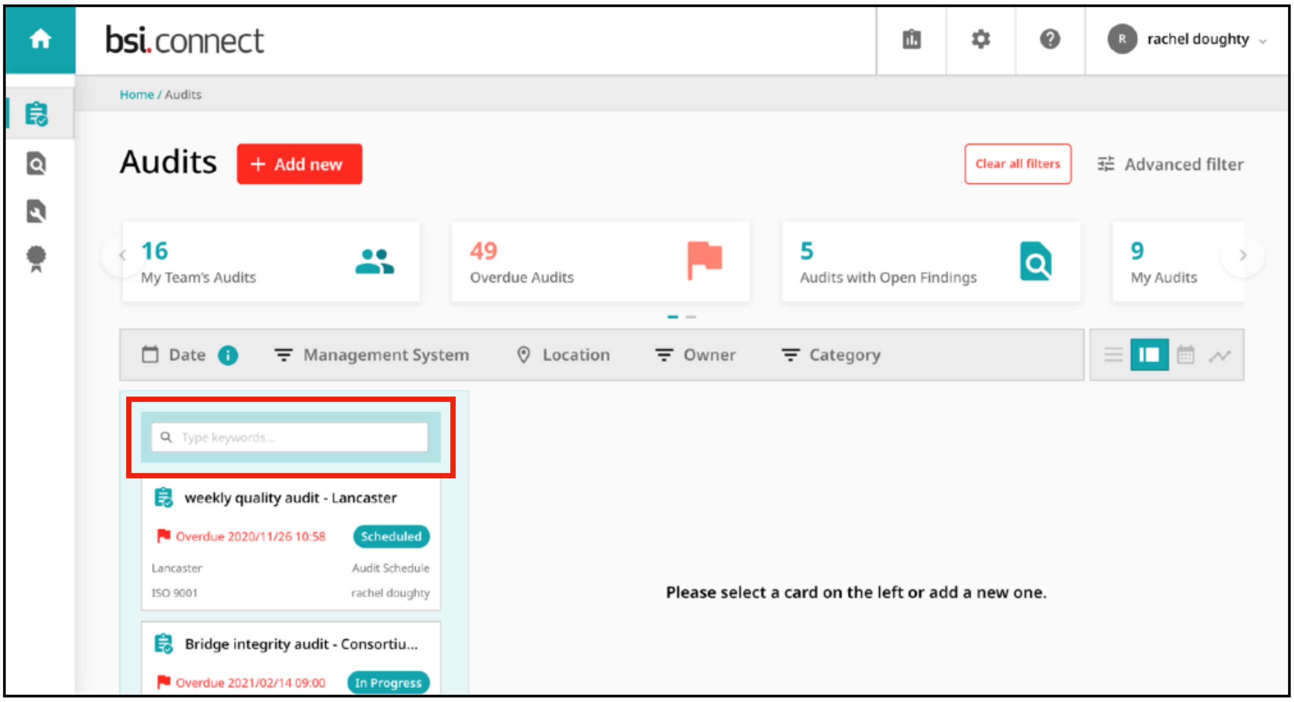


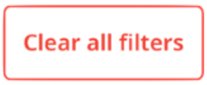
Fig. 7

In card view, the cards are shown on the left. You can search for a specific record by typing in the search field (highlighted [fig.7]) and clicking the magnifying glass.

In card view, you can use quick filters, column filters and the advanced filter as in the list view. If you scroll to the bottom of the record list, you will see the pagination options (highlighted in [fig.8]).

Fig. 8

Click the  button to alter the number of records displayed on each page.To the right, use the arrows to navigate through the pages.

At the top of the page, use the 

button to clear any filters applied.Click on a card to see more detail and edit the record (highlighted in [fig.9]).

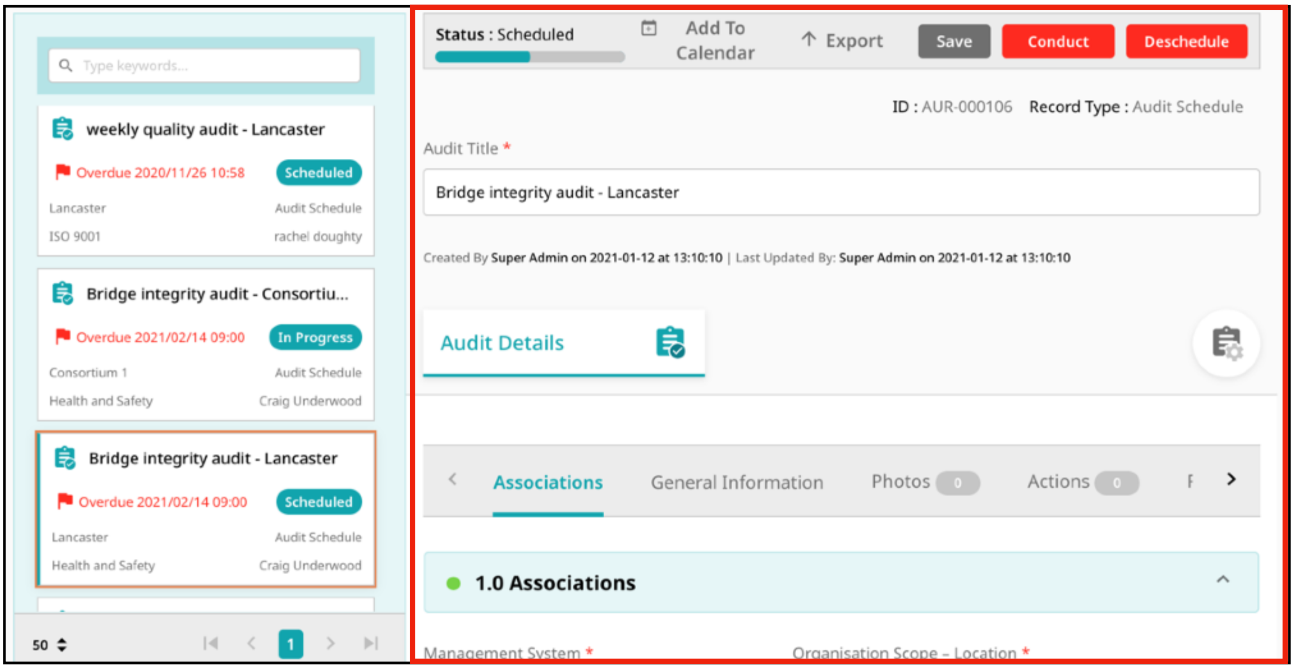


Fig. 9

Next to the card view icon, is the calendar view icon .

Like the list view and the card view, you can filter using the advanced, column and quick filters. Remember that any filters used in one view will affect the records shown in another.

At the top of the page, use the **Clear all filters** button to clear any filters applied.

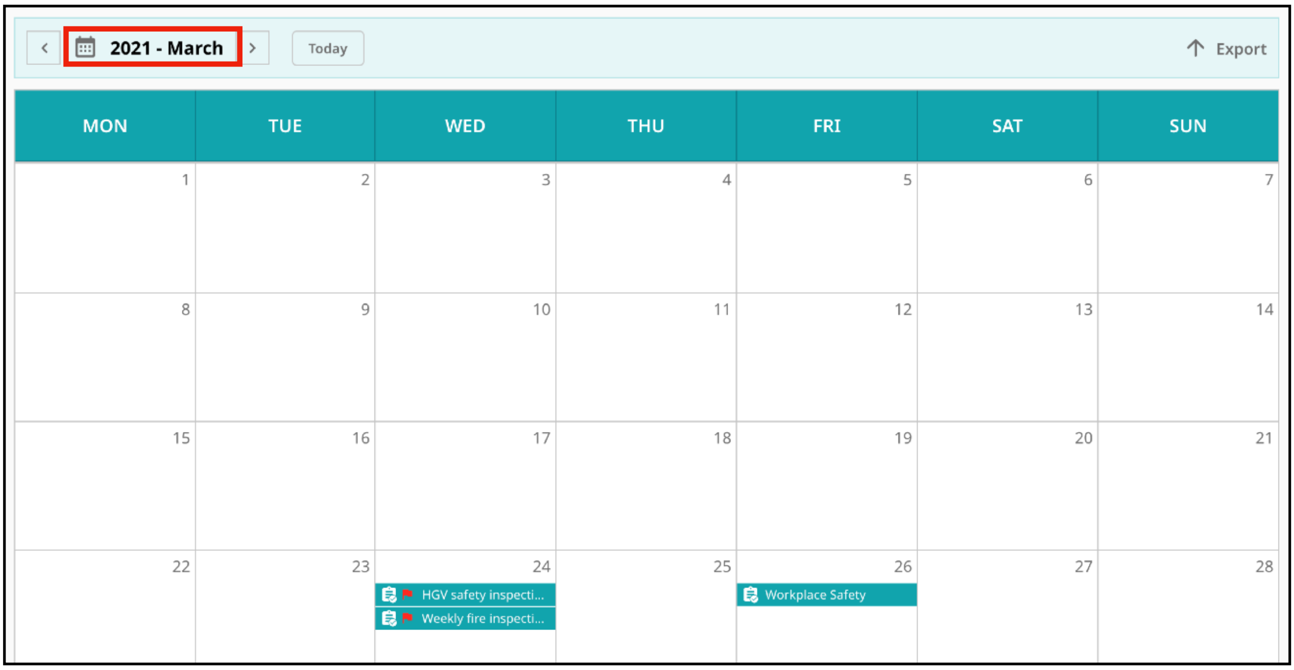


Fig. 10

At the top right of the calendar view, you can click Export to export the calendar as an excel spreadsheet.

At the top left, you can decide which month you would like to view. Click the Today icon to view the current month.

To change the year and month, click the arrows either side of the text (highlighted [fig.10]) to change months.

You can also click on the date text (highlighted [fig.10]) to produce a drop down. Select the month and the year.

Next to the calendar view icon is the chart view icon. Like the other views, you can filter the records shown.

Click the button in the top right corner of each graph to download it as a .png or .pdf file.

4.1.5) Configuring the Columns

Above the column headers are the column configuration options, and the export function.

bsi.

Fig. 11

You can type in the search field to return a specific record. Clicking 'group by column' will produce the menu below [fig.12].

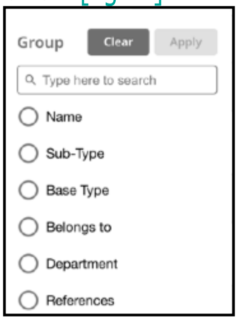


Fig. 12

This menu allows you to group specific records together.

You can search for a specific column by typing in the search field. Some records have many columns available for display.

To clear a grouping, click the Clear grouping button which will appear next to the advanced filter button when you have groupings applied.

Next to group by column is columns. Clicking this button will produce a menu of options. If you select many columns, you may need to scroll left or right to view them. The scroll bar is at the bottom of the record grid.

4.1.6) Filtering the records using the Column Headers

Fig. 13

Columns can be sorted or filtered. Click the ↓ button to sort.

Sorting is either ascending, descending or off. Sorting is applied cumulatively. For example, if you apply a sort to both the title and the date columns, it will sort in the order you applied them.

N.B. If it appears that sorting is not working as you'd expect, ensure there is not a sort applied to another column (either off screen, or hidden).

If you click and drag on the column boundaries [fig.13], you can make the columns wider or narrower.

Click the button to filter the records according to each column.

Remember to clear any filters applied, click the Clear all filters button in the top right corner of the screen.

4.1.7) Using the Record lists

Below the filters is the record list. If you hover over a record, you have the option to add a date toan external calendar.

Click the button. Select which date you'd like to export, and then select an external calendar.

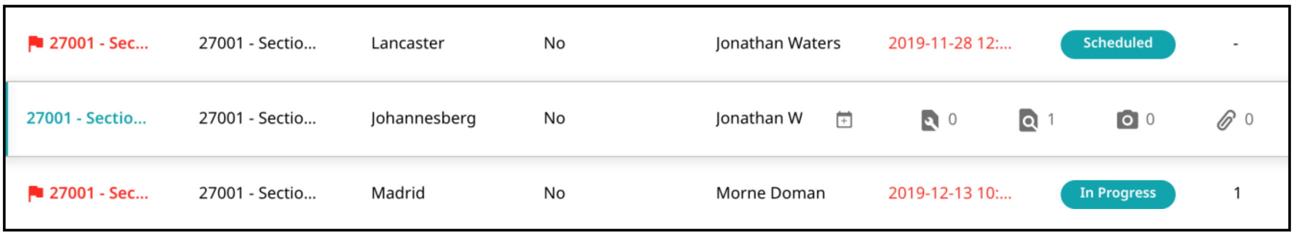


Fig. 14

Next to the button are four icons. These show the number of attachments in a record.

The first shows actions, the second findings, the third photographs, and finally references.

If you scroll to the bottom of the record list, you will see the pagination options [fig.15].

Fig. 15

Click the button to alter the number of records displayed on each page.To the right, use the arrows to navigate through the pages of records.
When you log off, your filters will stay applied.

4.2) Creating audits and audit Schedules

If an audit recurs, you can manage the frequency and/or location in the audit schedules setup. For more information on how to manage the frequency, refer to section '4.2.2 Creating an audit schedule' in this manual. For more information about changing the location, refer to section '4.2.3 Choosing the Location(s), Lead Auditors and Initial audit timings' in this manual.

To create an audit, select 'auditing', then 'create audit' from the left menu (highlighted [fig.16]).

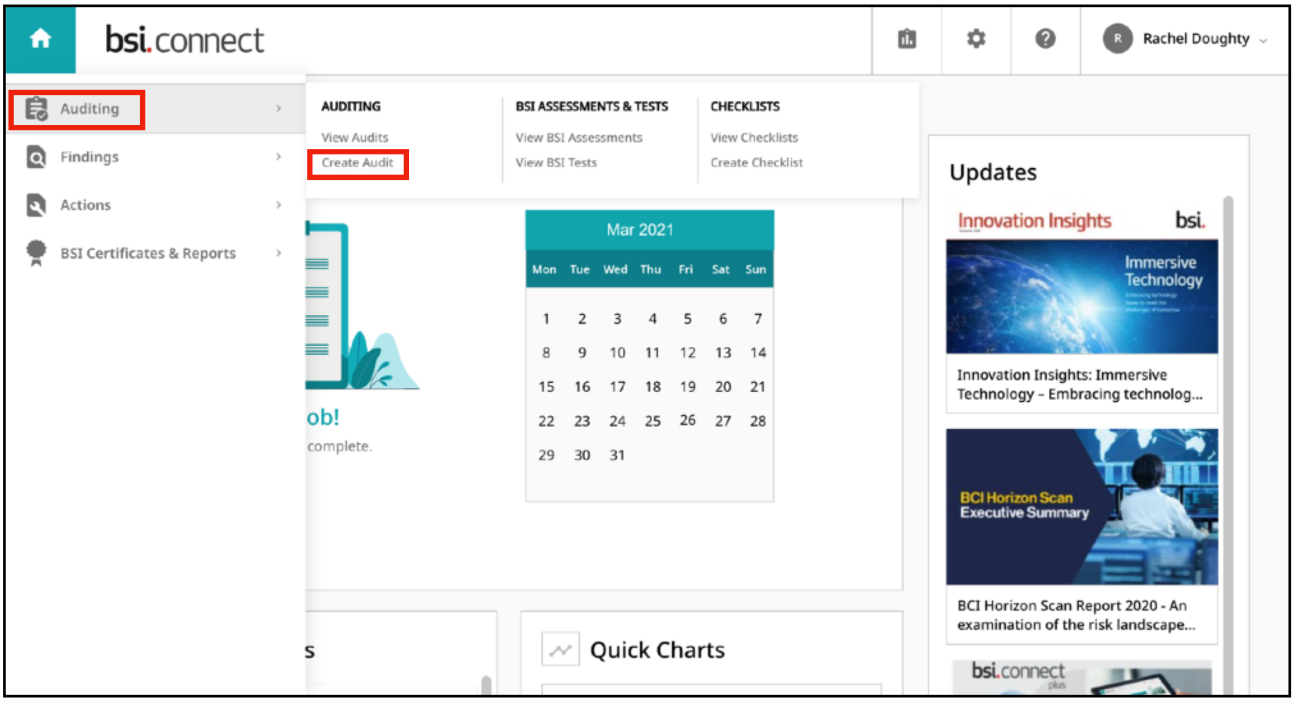


Fig. 16

You can also create an audit by clicking the + Add new button on the audits record grid. On the audit creation page, you must fill in all the fields with a *, starting with the title.

In the associations section, management system, location and owner are mandatory.

Use the button and the buttons to input data.
Once you have input data into all the fields with a *, you will be able to click the Next button.

Fig. 17

For the 'General Information' section, describe the audit, using the formatting tools [fig. 17].You can click the **Previous** button to return to an earlier section.

Once you have completed the mandatory fields, click the **Next** button.

4.2.1) Adding a checklist to your audit

If you wish to add a checklist, click the **Add** button.

BSI Connect Plus comes with a set of preconfigured checklists [fig. 18].

You can also make your own unique checklists. This is covered in section '4.7 Creating checklists' in this manual.

To see the information contained in sections 4.2.1-4.3.4 in a video format, see the checklists video in the User Guides & Resources page, under the question mark, in the top right of BSI Connect Plus.

Once you have created a checklist, it will appear in the list below [fig.18].

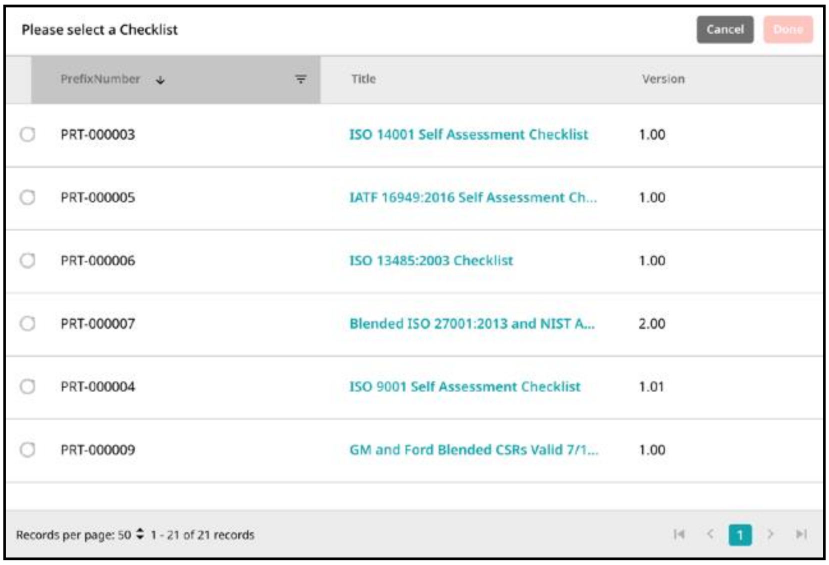


Fig. 18

You can filter this list according to each column header [fig.18] by clicking the button.
Sort the list by clicking the button.
Sorting is either ascending, descending or off. Sorting is applied cumulatively. For example, if you apply a sort to both the title and the date columns, it will sort in the order you applied them.

If you click and drag on the boundary between the headers, you can change the width of the column.

Below the list, you will see the pagination options [fig.19].

Fig. 19

Click the button to alter the number of checklists displayed on each page.To the right, use the arrows to navigate through the pages of checklists.

Once you have chosen your checklist, click the Done button.

4.2.2) Creating an audit schedule

If your audit does not recur, select 'one off' and click the Next button to continue to the next section.

If you want to create an audit schedule, click 'recurring'. You can decide whether you want it torecur daily/weekly, monthly, or yearly.

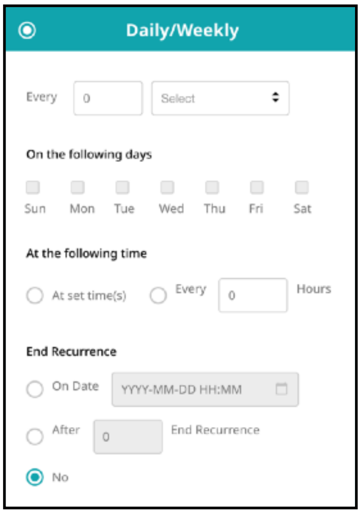


Fig. 20

If you select daily/weekly', the first options allow you to type a number and select 'days' or'weeks', to decide how often you want this audit to recur.

You must fill in data from top to bottom - greyed out fields cannot be altered. Below, you can choose the day(s) of the week you want the audit to take place on.
Next, choose whether you want the audit to happen at a set time each week, or whether it will occur every set number of hours.

If you select 'at set time(s)', a HH:MM field will appear below.

Click on the button to produce a drop down. Click 'set' to confirm. [fig. 21].

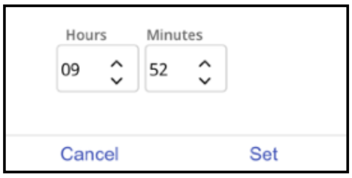


Fig. 21

Once you've chosen a time, a + button will appear to the left.
Clicking it creates a new HH:MM field.
If you select the 'every _ hours' option, type a number in to the field.

Next, decide whether you want your audits to recur indefinitely.

If you select 'on date', click the button to trigger a calendar drop down.

Select the year in the top left corner, then a month, a date and a time. Click 'set' to confirm.

If you select 'after _ end recurrence', type a number in the field. The audit schedule will stop scheduling audits after this number of audits has been created.

'Monthly', and 'yearly', have similar options.

With these options, you can choose the recurrence to happen on a set date, or day. For example, the 15th of every month, or the second Friday of every 3 months.

When you have decided your schedule, click the Next button.

4.2.3) Choosing the Location(s), Lead Auditors and Initial audit timings

Click the **Add** button to produce the pop up below [fig. 22].

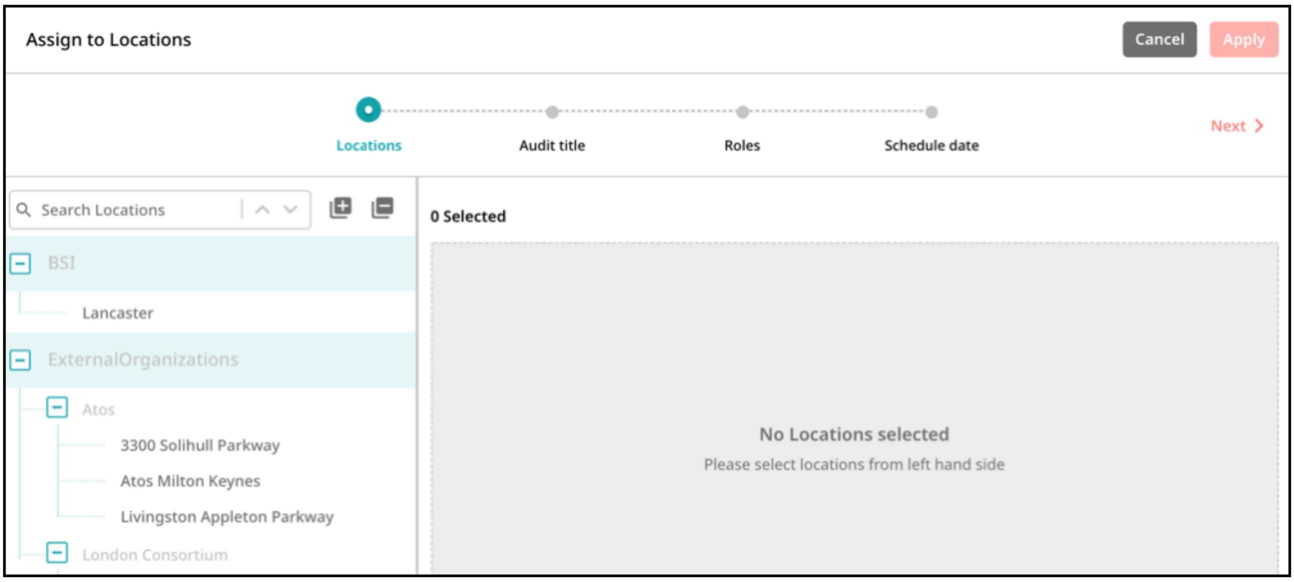


Fig. 22

The left side shows your options. Type in the search field and click the magnifying glass to find a specific option. The arrows to the right of the search field allow you to navigate through options.

The button opens all organization hierarchies. The button closes them.

The right side shows your choices. Click **Next >** when you're finished.

On the next page, your titles will be automatically filled in. If you click on your title, it will become an editable field.

Fig. 23

Click the button next to 'locations' on the grey bar [fig.23].

It will automatically add the location of each audit to the title, helping you to differentiate auditsof the same type at different locations.

When you have completed the title(s), click Next >

The next page allows you to assign a Lead Auditor to each location, who will be responsible for completing the audit.

Click the button and select one or more individual(s) from the list.

Individuals with read only user permissions will appear as greyed out, as they cannot be assigned as auditors.

Repeat this process for the audit team. This allows you to grant other members access to the audit.

If you wish to have the same lead auditor and audit team for each location, click the Copy down button.

Once you have completed the mandatory fields, click Next >

The final page is schedule date. The date you select here will be the date for the first audit in each location. The dates of the later audits will be set from the schedule builder,discussed in section 4.2.2. 'Creating an audit schedule' in this manual.

To decide a 'schedule date', click the button to trigger a calendar drop down.

Select the year by clicking in the top left corner, followed by the month, date and time. Click 'set' to confirm.

Repeat this process for the due date. This refers to the date the audit should be completed by. If it is not completed by this date, it will become overdue.

If you wish to have the same schedule date and due date for each location, click the Copy down button.

You can use the < Previous button to refer to previous pages.

Once you have completed the mandatory fields, click the Apply button.

4.3) Conducting and De-scheduling audits and audit Schedules

To conduct a scheduled audit, select it from the audit record grid.

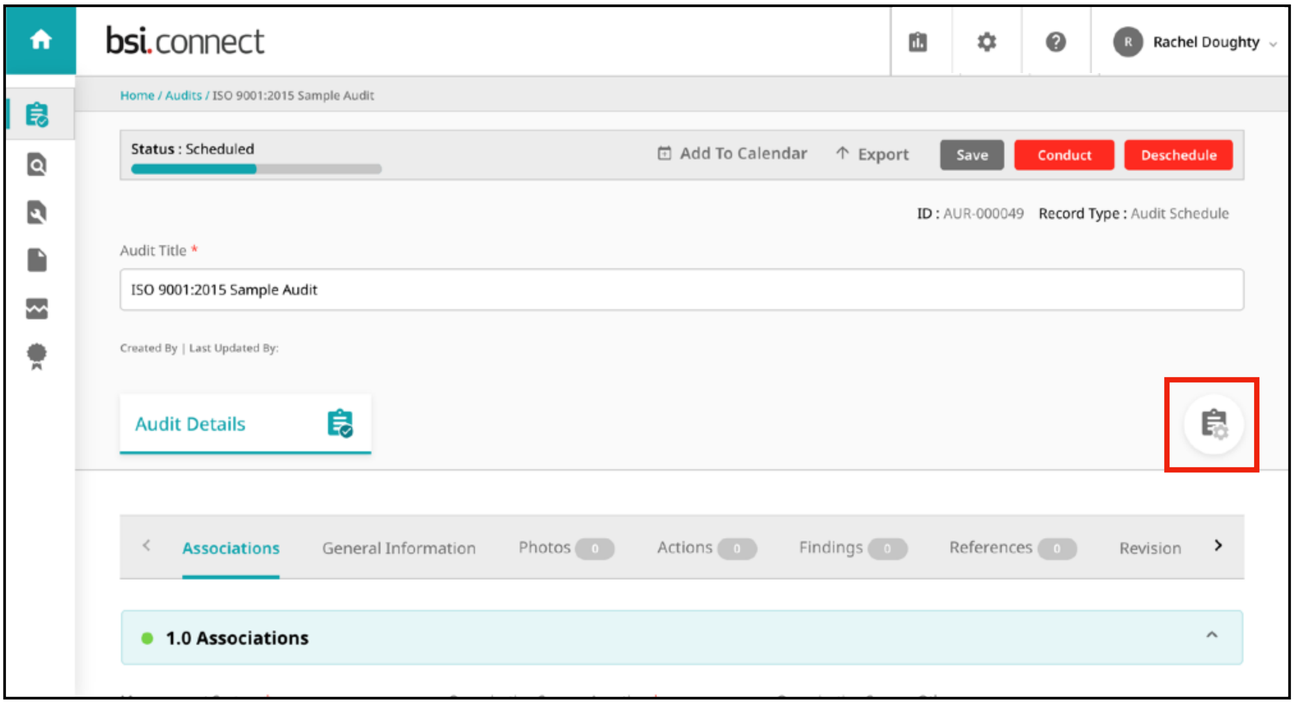


Fig. 24

Click the Add To Calendar button to export the audit schedule date, or due date, to an external calendar.

Click the Export button to export the audit as a .doc or .pdf file.

You can edit the audit on this page, using section 4.2. 'creating audits and audit schedules' in this manual as a guide. You can also click the button highlighted [fig. 24] to review the recurrence schedule and locations.

Clicking Save will save any changes you make.

If you don't see 'save', 'conduct', or 'de-schedule' in the top right, your audit is not in the 'scheduled' status and is likely in 'draft'.

Refer to 4.10. 'audit statuses' in the manual for more information about the different statuses of audits.

4.3.1) Conducting an audit without a checklist

To conduct the audit, click the **Conduct** button. This will begin your audit and transition it to the 'in progress' status.

Underneath the title, you can select audit details [fig. 25].

Fig. 25

Describe the audit in the introduction and executive summary fields.

You can add photos as supplementary evidence. Click **Select file** to open your computer's file menu.

You can attach any files that are relevant to this audit in the references section [fig. 26]. 'Upload file' opens your computer's file menu. 'Add URL' allows you to type a web address. 'System record' allows you to associate another BSI Connect Plus record.

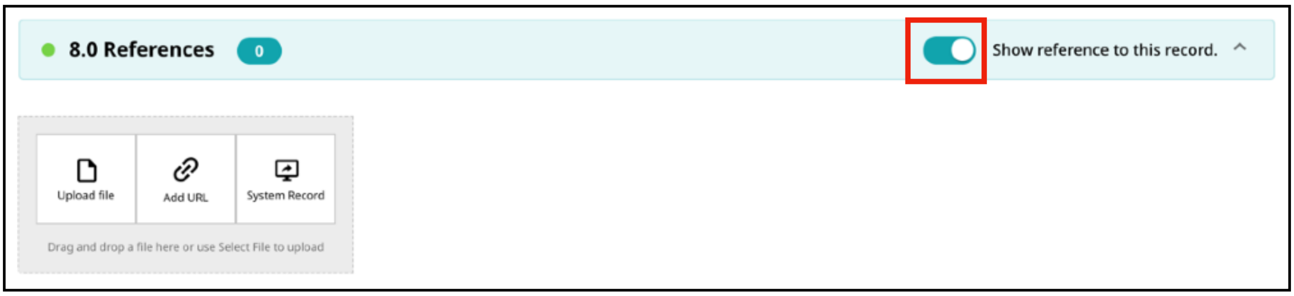


Fig. 26

When the switch (highlighted in red [fig. 26]) is on, this will list any other system records that reference this audit in their own section 8.

You can also add actions and findings to audits. For more information, refer to section 4.4. 'raising actions / findings from audits' in this manual.

4.3.2) Conducting an audit with a checklist

Fig. 27

If your audit has a checklist, click the checklist card to answer the questions [fig. 27].

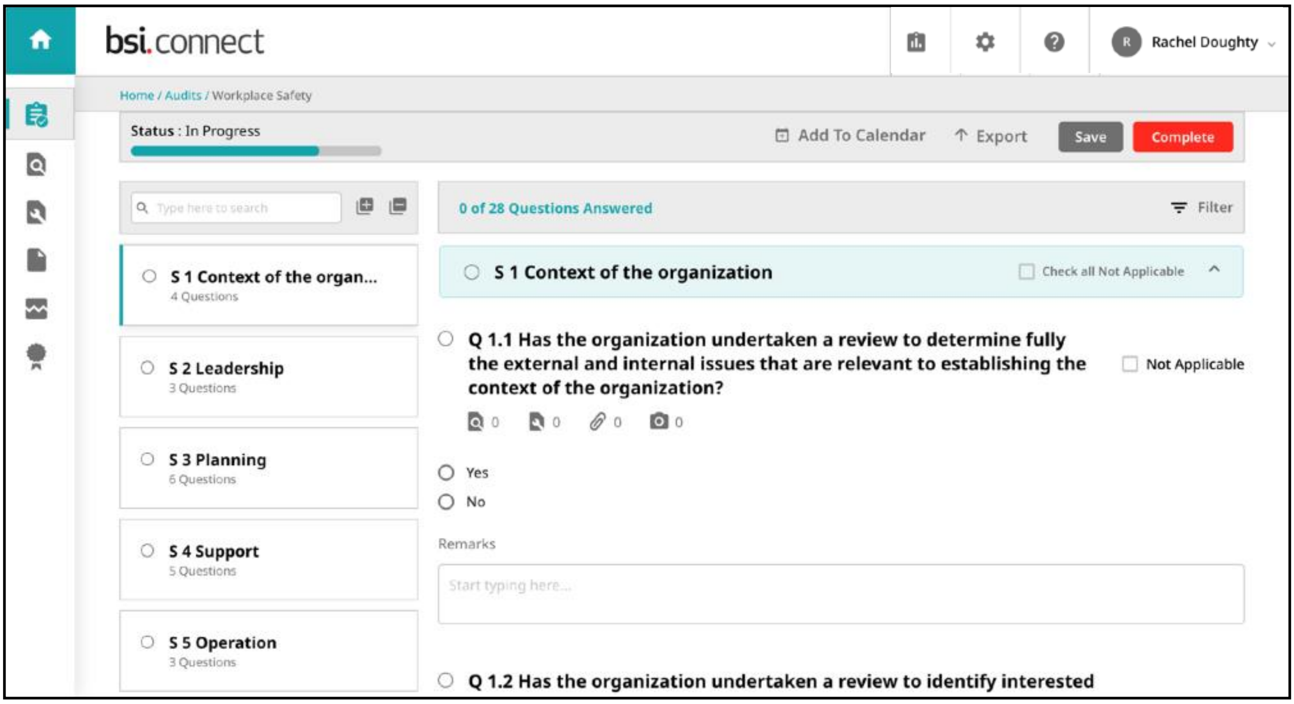


Fig. 28

Type in the search field and click the magnifying glass to find a specific question. Select the section you'd like to answer on the left side.
To the right of the search field, in teal writing, shows how many questions you have answered.On the right, click the button to filter by answered status [fig. 29].

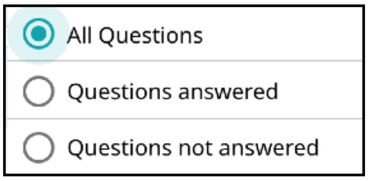


Fig. 29

If the section can be marked as not applicable, there will be a ☐. Click it to check all questions in that section as not applicable.

Below the question are four buttons [fig. 30].

Fig. 30 [findings, actions, attachments, photos]

The numbers show the amount of each that are attached to this specific question.

From left to right, you can click on these buttons to add a new finding, action, attachment and image to this specific question.

For more information about adding findings and actions look to section 4.4.3. 'raising actions from checklist questions' and section 4.4.4. 'raising findings from checklist questions' in this manual.

Clicking the attachment button allows you to upload files and add web page addresses. Clicking the Photo button allows you to add photographic evidence.

If you want to write any extra details, type in the field under 'remarks'. Repeat this process for all the mandatory questions, which will have a *.

Once you're at the bottom of the page, use the Previous Next buttons to navigate through the sections.

After you've completed the questions, click the Complete button.

Clicking this button will transition the audit to the completed status. To learn more about statuses, refer to section 4.10. 'audit statuses' in this manual.

4.3.3) De-scheduling an audit

Click Deschedule in the top right to de-schedule a specific audit.

4.3.4) Cancelling an audit schedule

If you wish to end an audit schedule, the recommendation is to set the audit end recurrence to the current date and time. This will prevent any new audits from being scheduled.

To do this, click the button underneath the title, to the right. This shows you the audit builder.

Scroll down to section 4.0. For every time interval (daily/weekly/monthly/yearly), this process is the same.

In the end recurrence section, select 'on date' [fig.31].

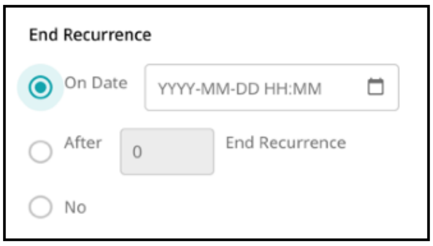


Fig. 31

Select the button to trigger a calendar drop down.

The calendar will show the current time, so you can click 'set'.

4.4) Raising actions / findings from audits

Findings and actions can be raised as a result of conducting an audit and added to the audit details, or they can be raised as a result of a specific question in a checklist.

To raise findings or actions by adding them to the audit details, please refer to the next two sections of this manual, 4.4.1. 'adding actions to audit details' and 4.4.2. 'adding findings to audit details'.

To raise findings or actions as a result of a specific question in a checklist, please refer to sections 4.4.3. 'adding actions to checklist questions' and 4.4.4. 'adding actions to checklist questions'

Both pathways require you to select an audit from the audit Record grid.

The audit record grid can be found by selecting 'auditing', then 'view audits' from the left menu (highlighted [fig.32]).

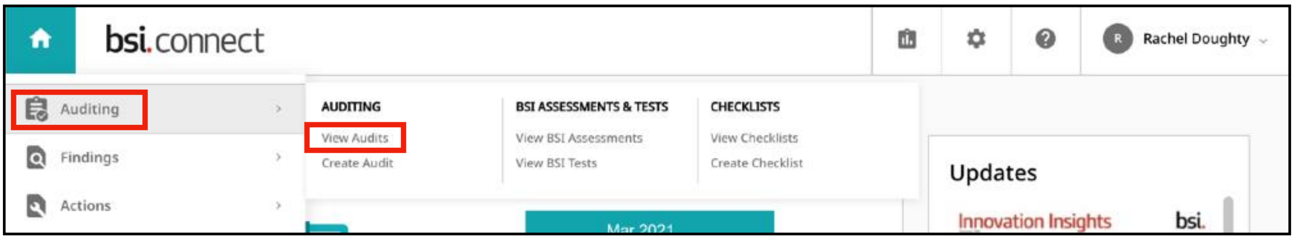


Fig. 32

To raise an action or finding from an audit, it must be in progress.

4.4.1) Adding actions to audit Details

Once you have opened the audit, go to section 5.0 in the record.

Click the 

button. This will trigger a drop down, allowing you to decide the type of action.

A correction is an action to eliminate a detected nonconformity.

A corrective action is an action to eliminate the cause of a nonconformity.

An action allows you to create an action that does not fit into the previous two categories.

Once you've clicked on the type of action, a popup will appear on the right-hand side. The fields with a * are mandatory.

To select a management system and priority, click the button.To select a 'Location' and 'Owner', click the button.

To select a s tart date' and due date, click the button.

Once you have filled in all the data, click the Create button.

Your action will then appear in section 5.0 within the audit record. If you hover your cursor over your action [fig. 33], you have the option to view or remove it.

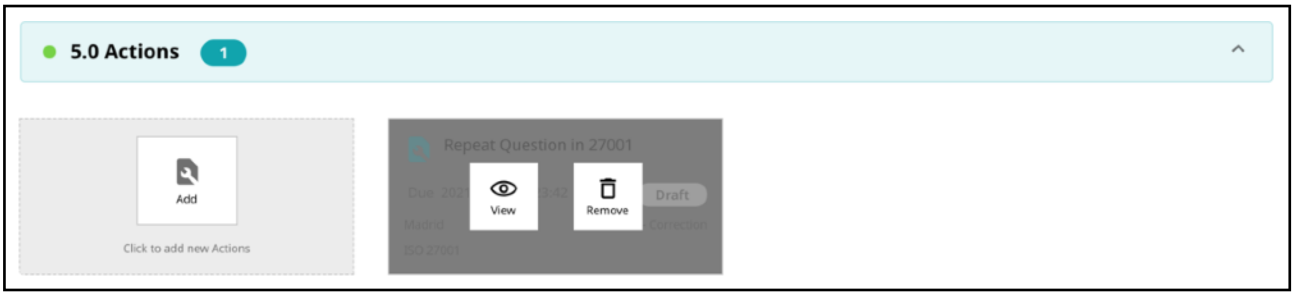


Fig. 33

If you click view, the pop up showing the action details will reappear on the right. In the right corner, you can click the Close button to close the box.

Clicking the Save button will save any changes.

Clicking the View button will open the action in full screen.

4.4.2) Adding findings to audit Details

Once you have opened the audit, go to section '6.0 findings' in the record.

Click the Add button. This will trigger a drop down, allowing you to decide the type of finding.

Non-Conformance is a non-fulfilment of a requirement.

Opportunity for Improvement is a statement of fact made by an assessor during an assessment, substantiated by objective evidence, referring to a weakness or potential deficiency in a management system, which if not improved may lead to nonconformity in the future.

Observations are comments that maybe relevant for the next audit. actions do not necessarily have to be taken for observations however, it is recommended that these have been considered as part of your continuous improvement process.

Once you've clicked on the type of finding, a popup will appear on the right-hand side.The fields marked with a * are mandatory.
To select a management system and classification, click the button. To select a location and owner, click the icon. To select a start date and due date, click the button.

Once you have filled in all the data, click the Create button.

Your findings will then appear in section '6.0 findings' within the audit record. If you hover your cursor over your finding [fig. 34], you have the option to view or remove it.

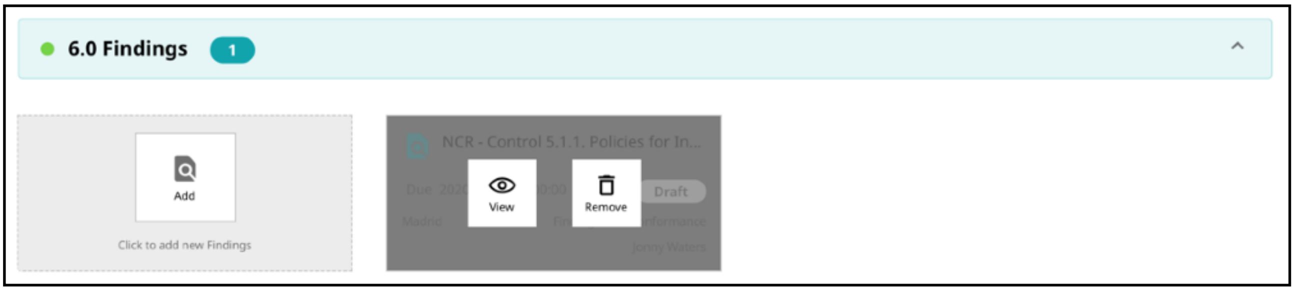


Fig. 34

If you click 'view', the pop up showing the finding details will reappear on the right.In the right corner, you can click the Close button to close the box.

Clicking the Save button will save any changes.

Clicking the View button will open the finding in a full screen format.

4.4.3) Raising actions from checklist Questions

From the audits record grid, select the audit you wish to raise an action for.

On the next page, click the Checklist button underneath the title, to see the checklist.

The left side shows the sections, and the right the questions. For more information on conductingan audit, refer to the section 4.3. 'Conducting and de-scheduling audits and audit schedules' in this manual.

Under each question are 4 icons, findings, actions, references and images. The 0 button allows you to add a new action.
Clicking this button when the number is greater than zero will produce a drop down with two options, 'view' and 'create'. If you click 'view', the actions will appear on the right side of the screen.If you click 'create', a new drop down will appear, allowing you to pick the type of action.

A correction is an action to eliminate a detected nonconformity.

A corrective action is an action to eliminate the cause of a nonconformity.

An action allows you to create an action that does not fit within the previous two categories. Once you've clicked on the type of action, a popup will appear on the right-hand side.
The fields with a * are mandatory.

To select a management system and priority, click the button.To select a location and owner, click the button.

To select a start date and due date, click the button.

Once you have filled in all the data, click the Create button.

The number next to the action button will increment by 1. If you click it when the number is greater than zero, it will produce a drop down with two options, view and create. If you click 'view', the action will re appear on the right side of the screen.

In the right corner, you can click the Close button to close the box.

Clicking the Save button will save any changes.

Clicking the View button will open the action in a full screen format.

4.4.4) Raising findings from checklist Questions

From the audits record grid, select the audit you wish to raise an action for.

On the next page, click the Checklist button underneath the title, to see the checklist.

The left side shows the sections, and the right the questions. For more information on conductingan audit, refer to the section 4.3. 'Conducting and de-scheduling audits and audit schedules' in the manual.

Under each question are 4 icons, findings, actions, references and images. The 0 button allows you to add a new finding.
Clicking this button when the number is greater than zero will produce a drop down with two options, 'view' and 'create'. If you click 'view', the finding will appear on the right side of the screen. If you click 'create', a new drop down will appear, allowing you to pick the type of finding.

Non-conformance is a non-fulfilment of a requirement.

Opportunity for improvement is a statement of fact made by an assessor during an assessment,and substantiated by objective evidence, referring to a weakness or potential deficiency in a management system, which if not improved may lead to nonconformity in the future.

Observations are comments that maybe relevant for the next audit. actions do not necessarily have to be taken for observations however, it is recommended that these have been considered aspart of your continuous improvement process.

Once you've clicked on the type of finding, a popup will appear on the right-hand side.The fields marked with a * are mandatory.
To select a management system and classification, click the button.

To select a location and owner, click the button.

To select a 'Start Date' and 'Due Date', click the button.

Once you have filled in all the data, click the Create button.

The number next to the finding button will increment by 1. If you click it when the number is greater than zero, it will produce a drop down with two options, view and create. If you click 'view', the action will re appear on the right side of the screen.

In the right corner, you can click the Close button to close the box.

Clicking the Save button will save any changes.

Clicking the View button will open the finding in a full screen format.

4.5) Viewing and filtering your BSI Assessments and BSI Tests

Both BSI Assessments and BSI Tests are found by clicking 'audits' on the left menu, then selectingthe relevant title (highlighted [fig.35]). Both pages have an identical format, so can be viewed and filtered in the same ways.

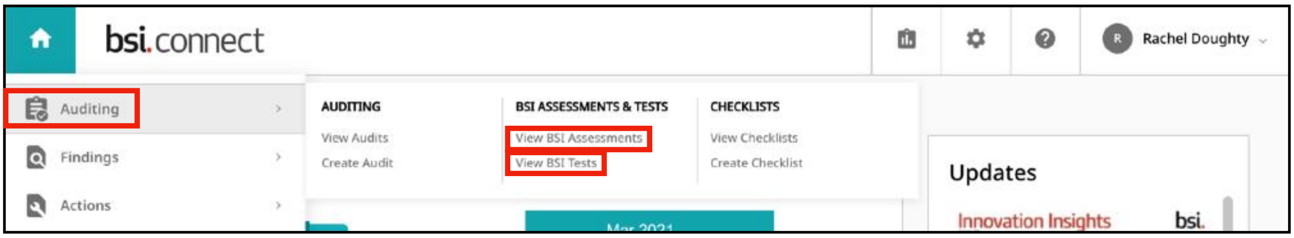


Fig. 35

Your BSI assessments and tests are displayed in the record grid (highlighted [fig.36]). You can organize how the records are displayed with various sorting and filtering options, including which columns are visible and what information about each assessment or test is displayed.

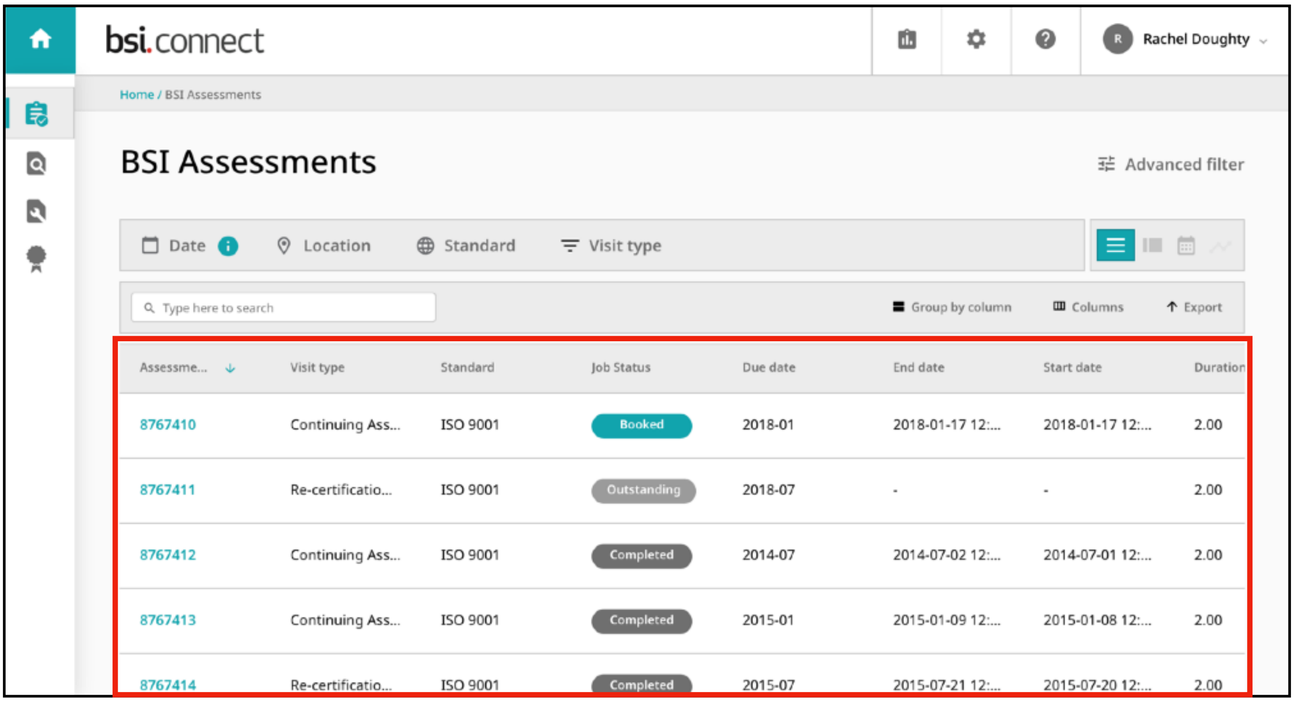


Fig. 36

Please see the navigation video in the User Guides & Resources page, under the question mark, in the top right of BSI Connect Plus.

4.5.1) Using the Advanced Filter

The advanced filter is in the top right. This allows you to create and save specific filters.

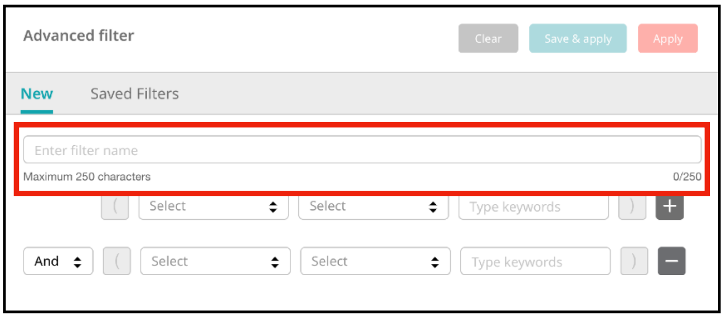


Fig. 37

Name your filter by typing in the field (highlighted [fig.37]).

Click the button, and select an option from the drop down, from left to right to create your filter.

Clicking the + button adds a new filter row, so you can drill further into your data.
Clicking the − button removes a filter row.
You can decide whether you want to return records that follow both filter requirements or follow one or the other by changing the 'and' field on the left side to 'or'.

The brackets allow you to combine filters.

Click the Apply button to search using your filter.

To save your filter to use at another time, click the Save & apply button. You can find your saved filters by clicking 'saved filters' header next to 'new'.

To clear your filter specifications, click the Clear button.

4.5.2) Using the Common Filters

Below the quick filters are the common filters. These vary between BSI assessments [fig.38], and BSI tests [fig.39]. Click the icons to the left to filter by type.

Fig. 38

Fig. 39

4.5.3) Changing the Record view

To the right of the common filters are the record list view, card view, calendar view, and chart view options [fig.40].

Fig. 40

These affect how the records are shown. Any filters applied will stay when switching views.The  button produces the list view.
The  button produces the card view [fig.41].

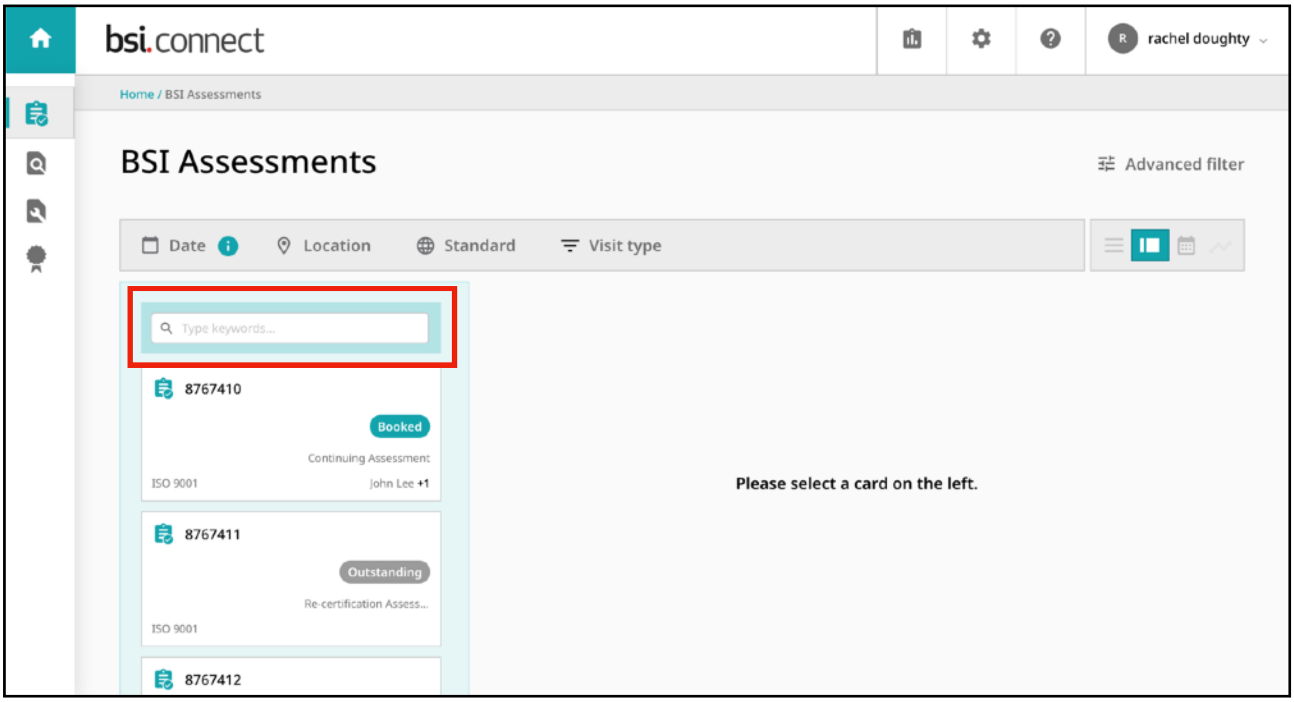


Fig. 41

The cards are shown on the left. You can search for a specific record by typing in the field (highlighted [fig.41]) and clicking the magnifying glass.

You can use common filters and the advanced filter as in the list view. You can scroll down through cards on the left.
If you scroll to the bottom of the page, you will see the pagination options [fig.42].

Fig. 42

Click the button to alter the number of records displayed on each page. To the right, use the arrows to navigate through the pages of records.
At the top of the page, use the all filters button to clear any filters applied.
Click on a card to see more detail. BSI assessments and tests cannot be edited.
Next to the card view button, is the button – the calendar view button.

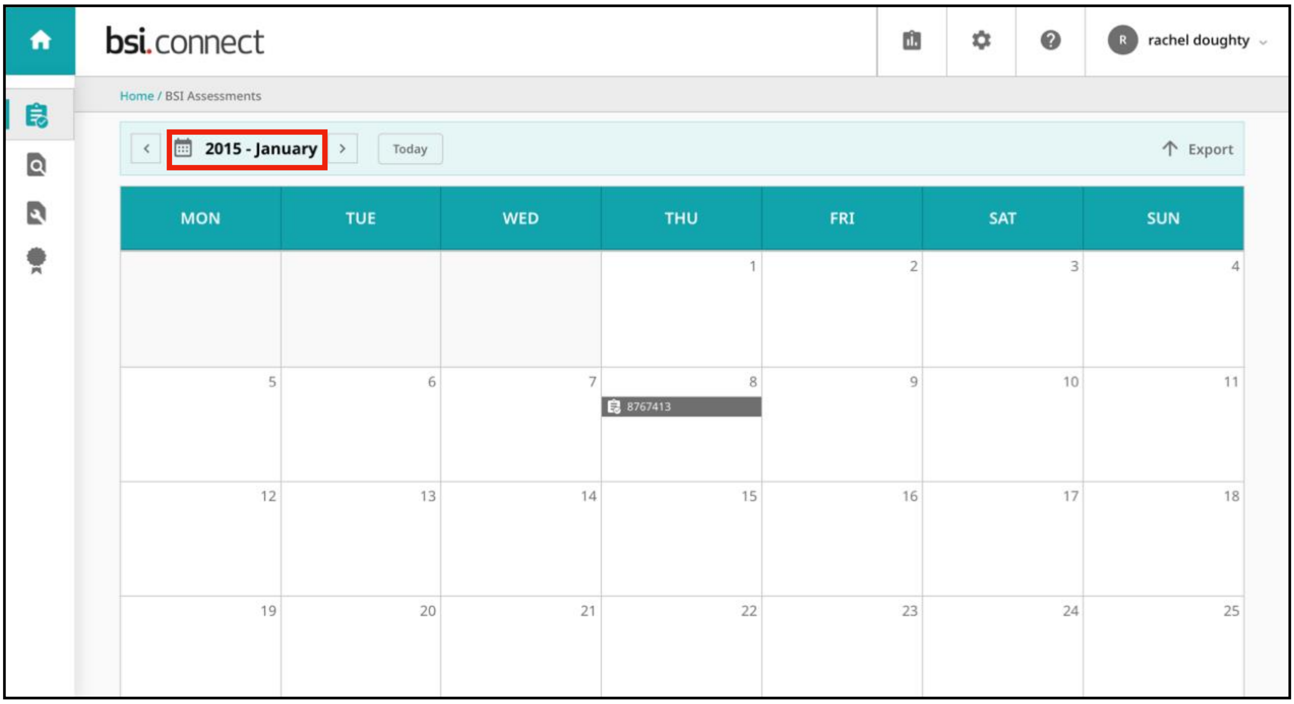


Fig. 43

Like the list view and the card view, you can filter using the advanced and common filters. Remember that any filters used in one view will affect the records shown in another.
At the top of the page, use the Clear all filters button to clear any filters applied.

At the top right of the calendar view, you can click Export to export the calendar as an Excel spreadsheet.

At the top left, you can decide which month you would like to see. Click the Today button tosee the current month.

To change the year and month, click the arrows either side of the text (highlighted [fig.43]) to see chronologically linear months.

You can also click on the text (highlighted [fig.43]) to produce a drop down. Select the year and the month.

Next to the calendar view button is the button. This is the chart view button. It is disabled on the BSI assessments and tests pages.

4.5.4) Configuring the Columns

Above the column headers are the column configuration options, and the export function.

Fig. 44

You can type in the search field to return a specific record. Clicking 'group by column' will open the menu below [fig.45].

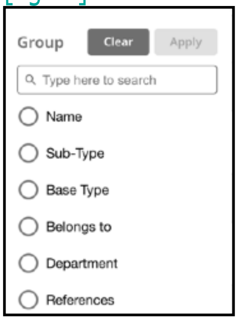
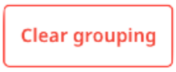


Fig. 45

This menu allows you to group specific records together.

You can search for a specific option by typing in the 'type here to search' field. Some records have many columns available for display.

To clear a grouping, click the 

button which will appear next to the advanced filter button when you have groupings applied.

Next to 'group by column' is 'columns'. Clicking this button will show all columns available for viewing on the record list. If you select many columns, you may need to scroll left or right to view them. The scroll bar is at the bottom of the record grid.

4.5.5) Filtering the records using the Column Headers

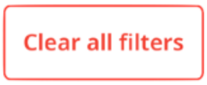
Fig. 46

Columns can be sorted or filtered. Click the ↓ button to sort.

Sorting is either ascending, descending or off. Sorting is applied cumulatively. For example, if youapply a sort to both the title and the date columns, it will sort in the order you applied them.

N.B. If it appears that sorting is not working as you'd expect, ensure there is not a sort applied toanother column (either off screen, or hidden).

If you click and drag on the column boundaries, you can make the columns wider or narrower.Click the button to filter the records according to each column.
Remember, ~~to~~ clear any filters applied, click the button in the top right corner of the screen.



4.5.6) Using the Record lists

On the list view, below the column filters is the record list. Hover over a record and click to select. If you scroll to the bottom of the record list, you will see the pagination options [fig.47].

Fig. 47

Click the button to alter the number of records displayed on each page.To the right, use the arrows to navigate through the pages of records. When you log off, your filters will stay applied.

4.7) viewing checklists

To view your checklists, click 'audits' on the left menu, then select 'view checklists' (highlighted[fig.48]).

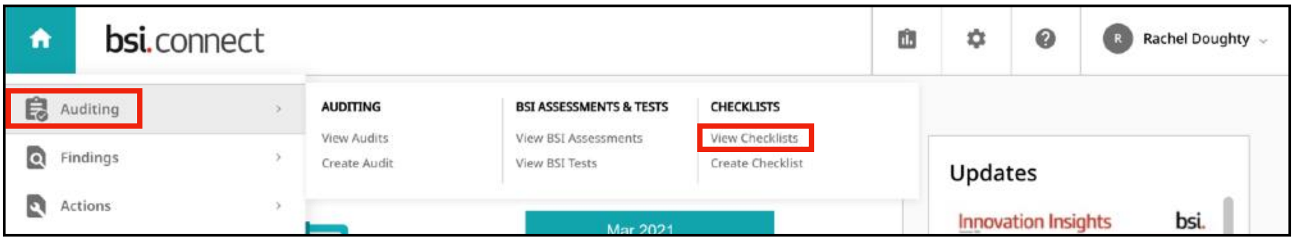


Fig. 48

This will take you to the checklists record grid [fig.49].

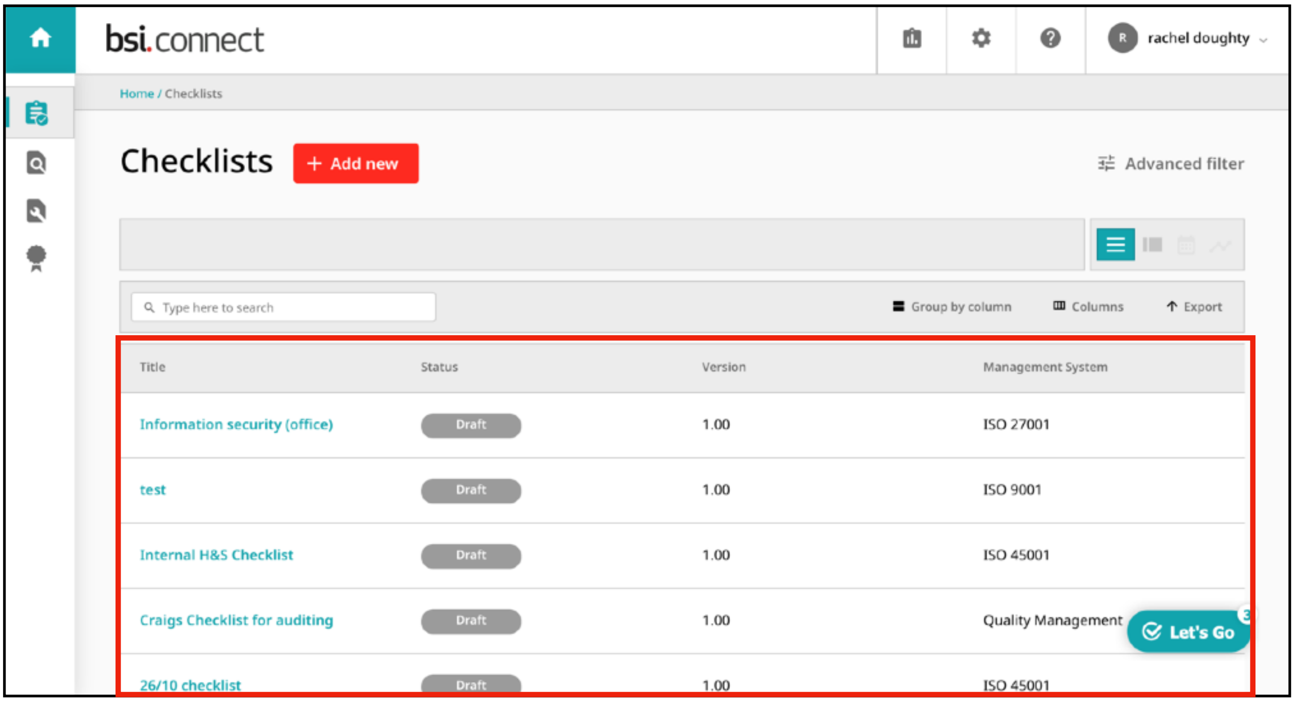


Fig. 49

Your checklists are displayed in the record grid (highlighted [fig.49]). You can organize how the records are displayed with various sorting and filtering options, including which columns are visible and what information about each finding is displayed.

4.6.1) Using the Advanced Filter

The advanced filter is in the top right. This allows you to create and save specific filters.

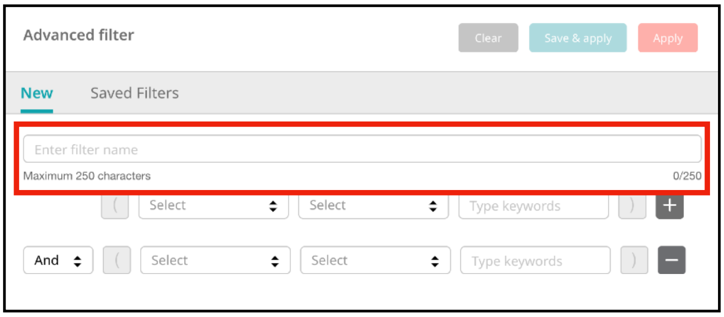


Fig. 50

Name your filter by typing in the field (highlighted [fig.50]).

Click the ⬍ button and select an option from the drop-down menu. Complete the filter row as appropriate.

Clicking the + button adds a new filter row, so you can drill further into your data.
Clicking the − button deletes a filter row, to simplify your search.
You can decide whether you want to return records that follow both filter requirements or follow one or the other by changing the 'and' field on the left side to 'or'.

The brackets allow you to combine filters.

Click the Apply button to search using your filter.

To save your filter to use at another time, click the Save & apply button.
You can find your saved filters by clicking 'saved filters' next to 'new'.

To clear your filter specifications, click the Clear button.

4.6.2) Changing the Record view

Underneath the advanced filter is the record list view, card view and calendar view [fig.51].

Fig. 51

These affect how the records are shown. The button produces the list view.The button produces the card view [fig.52].

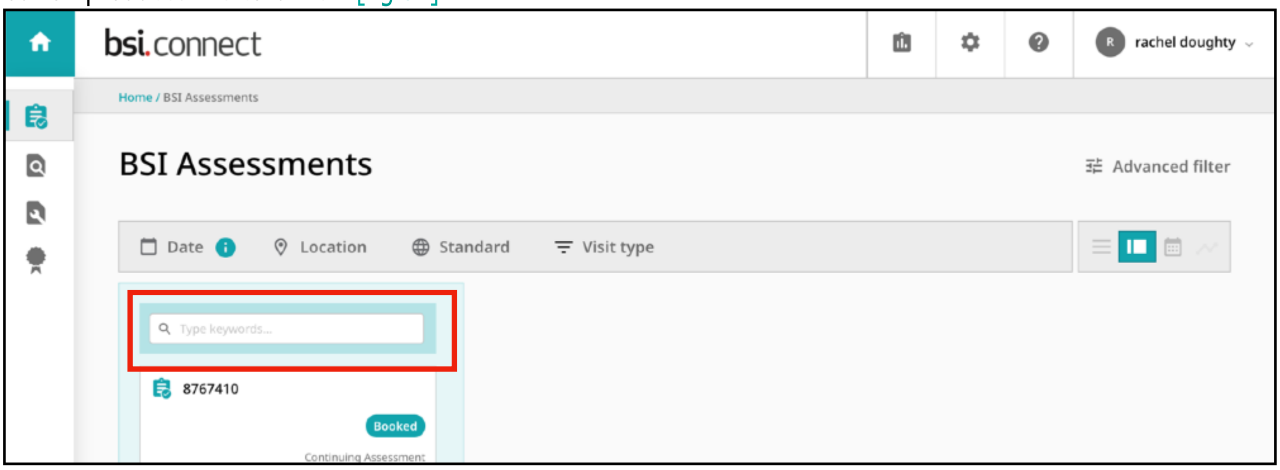


Fig. 52

The cards are shown on the left. You can search for a specific record by typing in the field (highlighted [fig.52]) and clicking the magnifying glass.

You can use the common filters and the advanced filter as in the list view.You can scroll down through cards on the left.
If you scroll to the bottom of the page, you will see the pagination options [fig.53].

Fig. 53

Click the button to alter the number of records displayed on each page.To the right, use the arrows to navigate through the pages of records.
At the top of the page, use the button to clear any filters applied.Click on a card to see more detail [fig.54].

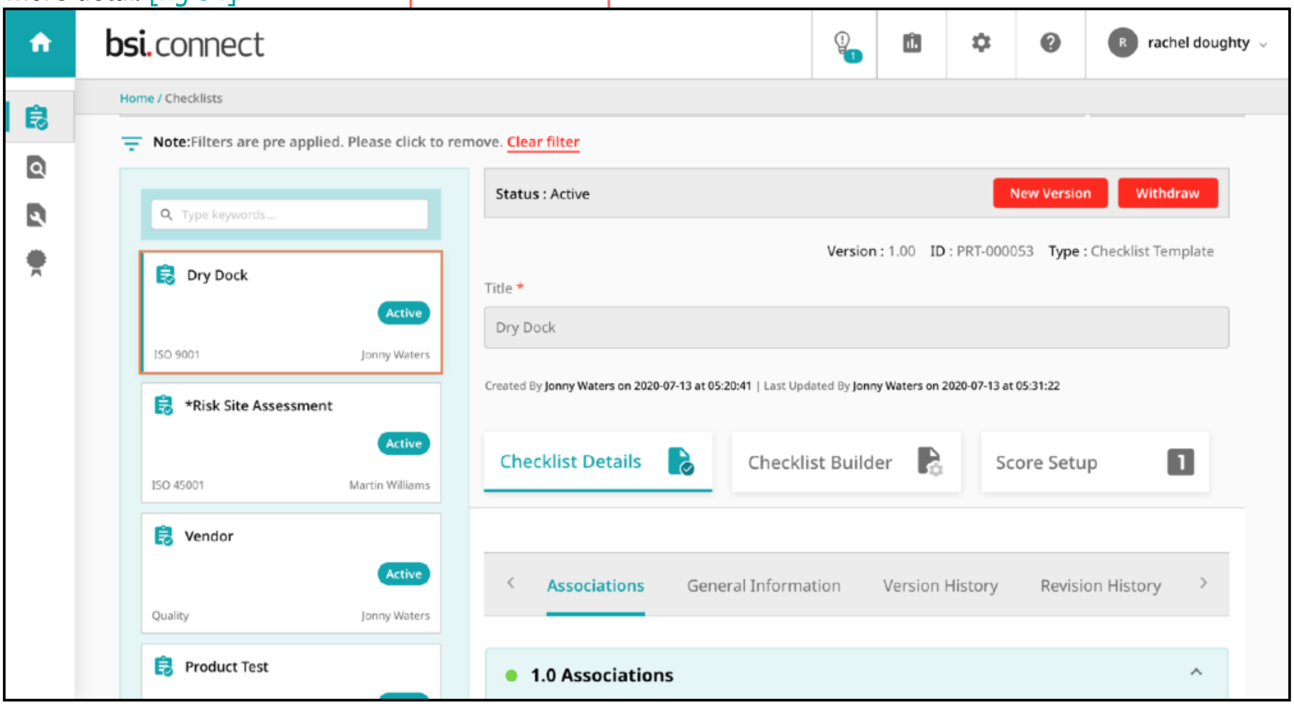


Fig. 54

From here, you can edit your checklist.

For more information about how to create a new version of a checklist, please refer to section 4.8 of this manual.

Next to the card view button is the calendar view button. This view is disabled on the checklists page.

4.7.3) Configuring the Columns

Back on the list view, there are several ways to organize your records.

Above the column headers are the column configuration options, and the export function.

Fig. 55

You can type in the search field to return a specific record. Clicking 'group by column' will produce the menu below [fig.56].

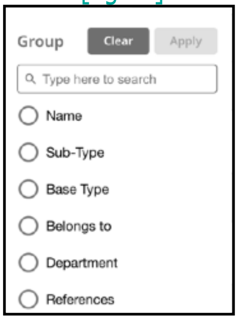


Fig. 56

This menu allows you to group specific records together.

You can search for a specific option by typing in the 'type here to search' field and clicking the magnifying glass. Some records have many columns available for display.

To clear a grouping, click the Clear grouping button, which will appear next to the 'advanced filter' button when you have groupings applied.

The next button is 'columns'. Clicking this button will produce a menu of options. If you select many columns, you may need to scroll left or right to view them. The scroll bar is at the bottom of the record grid.

4.6.4) Filtering the records using the Column Headers

Fig. 57

Columns can be sorted or filtered. Click the button to sort.

Sorting is either ascending, descending or off. Sorting is applied cumulatively. For example, if you apply a sort to both the title and the date columns, it will sort in the order you applied them.

If it appears that sorting is not working as you'd expect, ensure there is not a sort applied to another column (either off screen, or hidden).

If you click and drag on the column boundaries, you can make the columns wider or narrower. Click the filter button to filter the records according to each column.

Remember, to clear any filters applied, click the Clear all filters button in top right corner of the screen.

4.6.5) Using the Record lists

On the list view, below the column filters, is the record list. Hover over a record and click to select it.

Click the button to copy the record.

If you have multiple audits to create, copying the record is useful to pre-populate the associations(e.g., owner, location).

If you scroll to the bottom of the record list, you will see the pagination options [fig.58].

Fig. 58

Click the button to alter the number of records displayed on each page. To the right, use the arrows to navigate through the pages of records.
When you log out, your filters will stay applied.

4.7) Creating checklists

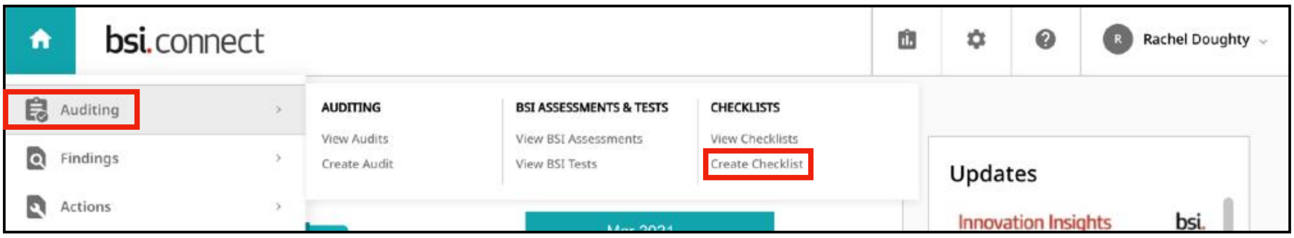


Fig. 59

Checklists are the questions an audit team asks to assess compliance against a specified standard.

To create a checklist, select 'auditing' then 'create checklists' (highlighted [fig.59]).

You can also create a checklist by clicking the + Add new button on the checklists page. On the checklist creation page, you must fill in all the fields with a *, starting with the title. In the associations section, management system and owner are mandatory.

Use the button and the buttons to input data.

Once you have input data into all the fields with a *, you will be able to click Next.

Fig. 60

For the general information section, type in the field. Describe the checklist, optionally using the rich-text formatting tools [fig.60].

Next, click the Create button in the top right corner.

This will create the 'checklist builder' and 'score setup' sections, shown on the next page [fig.61].

If you stay on the 'checklist details' tab, you will see below your description the version history,and the revision history.

Revision history shows edits made to this checklist version.

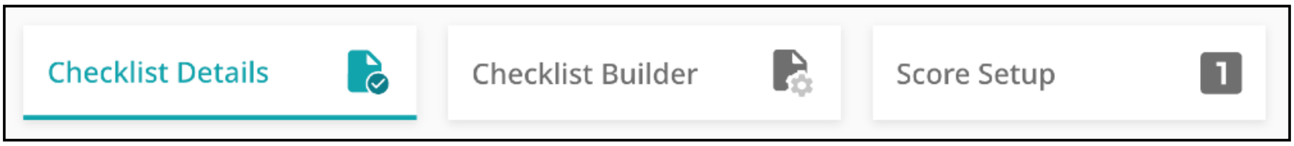


Fig. 61

Click 'checklist builder' [fig.61].

Click the Add section button in the left top corner, to add a group of questions. All fields with a * are compulsory, starting with the title field.

Next, select whether the 'default display' of questions should be 'open', meaning the auditor can see all the questions without clicking, or 'closed', meaning the auditor must click on the section to view the questions. The closed option is recommended for checklists with lots of questions.

Below, you can add guidance and notes for the section.
These are shown to the auditor during the completion of the checklist. Guidance and notes cannot be changed once the audit has been allocated.

Once you have filled in the compulsory fields, you will have the option to add questions. Select the section you wish to add question(s) too, then click the Add question button.

Your sections and questions will appear on the left side of the screen [fig.62].

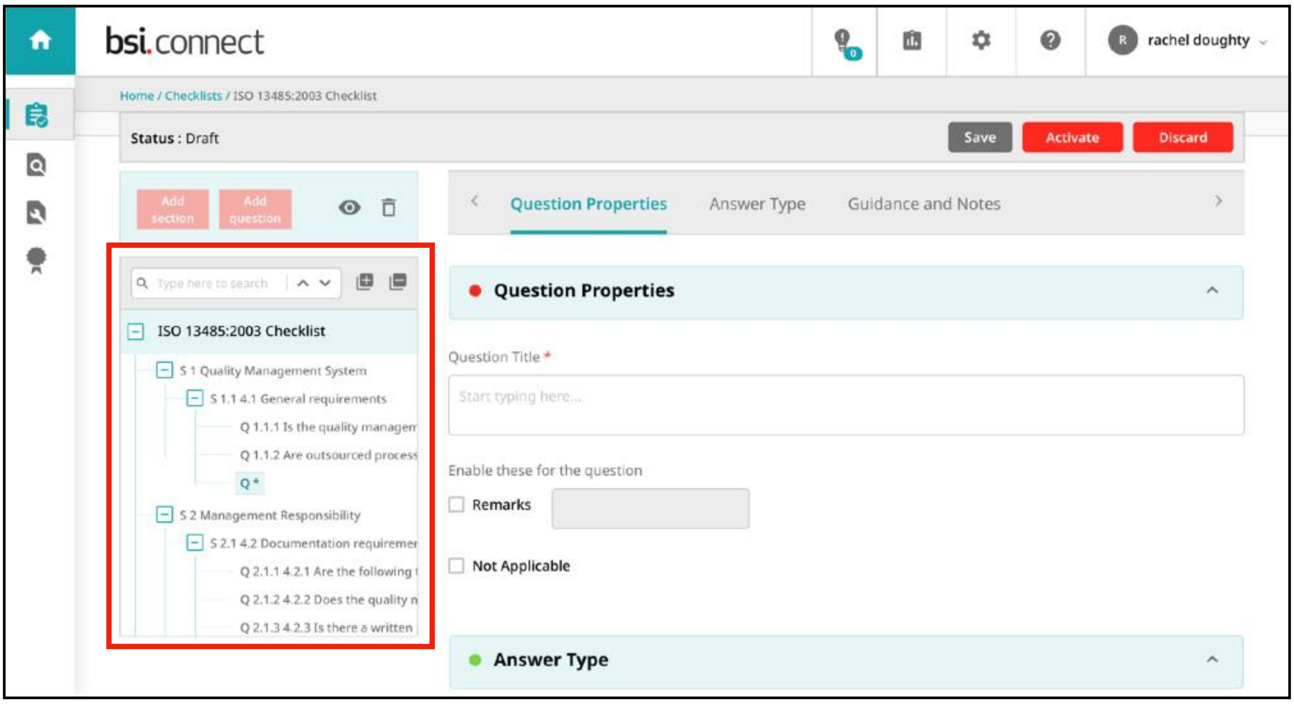


Fig. 62

You can search for specific sections and questions using the magnifying glass.Click the button to show all the sections and questions.

Click the button to hide all the sections and questions.

Click the button to hide the relevant subsections and questions.

Above the highlighted box [fig. 62], click the button to see how your checklist will look to theassigned Auditors.

To remove a question or section, select it from the list, then click the button.

If you click and drag whilst selecting a question or section, you can rearrange the order. Pressing'Save' will automatically correct the numbering sequence.

Fill in the title field on the right [fig.62].

You can optionally allow the auditor to enter remarks by clicking the remarks tick-box, below the title. Use the text field to change what the remarks field is called on the checklist, such as 'evidence'.

If you tick 'not applicable', the auditor will be able to mark the question as not applicable.

If all questions in a section have the not applicable tick box, during the audit, the entire section can be marked as not applicable in one go (highlighted in [fig.63]).

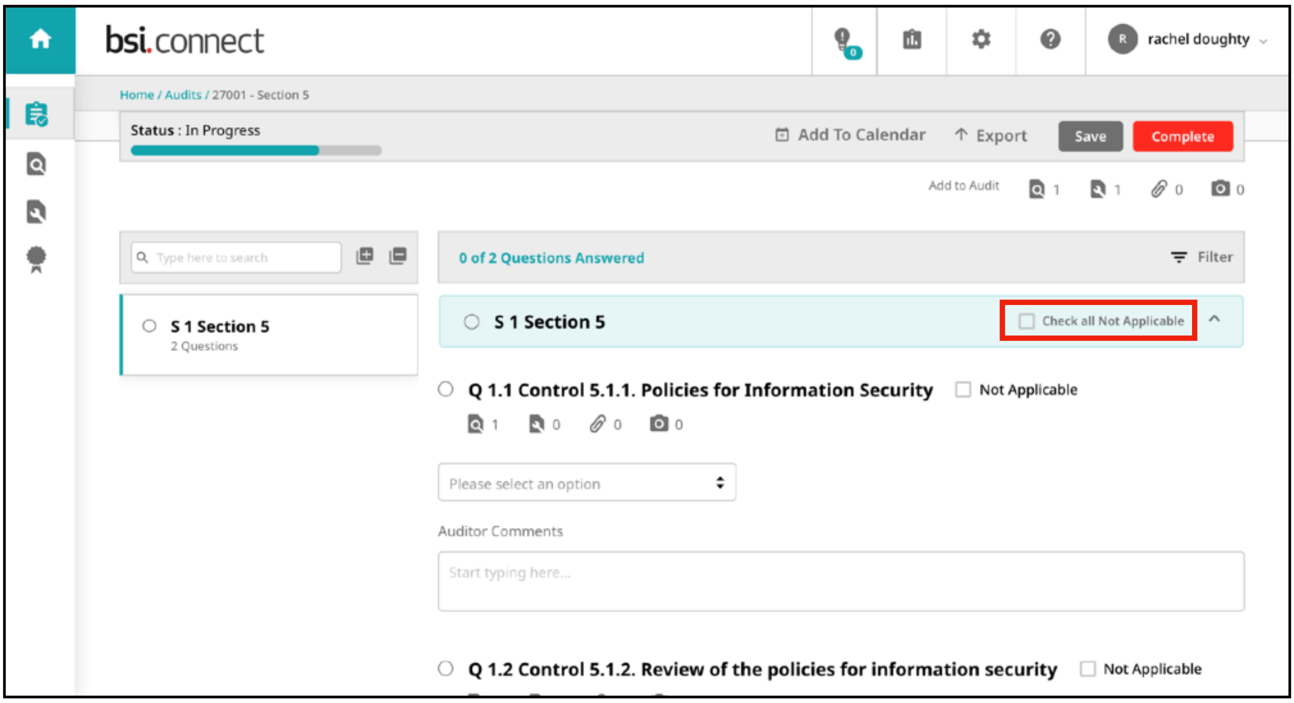


Fig. 63

If you don't allow a question to be marked as not applicable, you will be forced to provide an answer when conducting the audit.

You cannot complete an audit using a checklist unless all required answers have been completed or marked at not applicable if possible.

Below the 'not applicable' tick box [fig.62] is the answer type section. Use the dropdown to choose a style of answer.

4.7.1) The Dropdown Answer Type

Dropdown creates a list you can select from - the Auditor will only be able to choose one option.

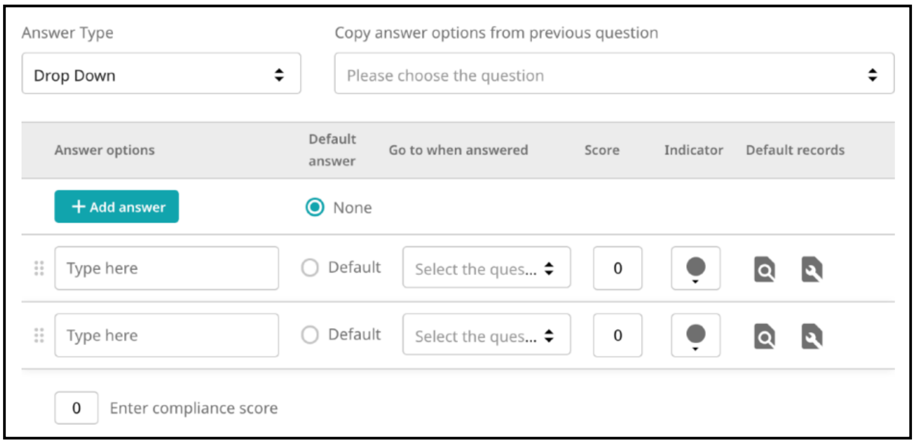


Fig. 63

Write the options in the fields to the left [fig.63], under 'answer options'. To add a new answer, click the + Add answer button.

Once you have more than 3 options, a button will appear to the far right, allowing you to delete an option.

Click and drag the button to reorganise the options.

On the next column along, 'default answer', allows you to set a default option.

If a default option is selected, the answer will be pre-populated when conducting the audit.

The 'go to when answered' option gives you the ability to jump to another question in the audit, depending on your response. For example, if you had "is this section applicable to this audit?" as your first question, if the Auditor selected 'no', then you could specify which question the auditor went to next.

Optionally, add an indicator colour and add a score. For more information on score setup, see

The next column, 'default records' allows you to choose the type of findings and/or actions that will be created if that answer is selected during the audit.

The default finding or action, created in the checklist builder, will be generated automatically when conducting the audit, if the question answer with a default finding is chosen by the auditor.

4.7.2) The Numeric Answer Type

This answer type is useful for answers where the answer is a number in a range.

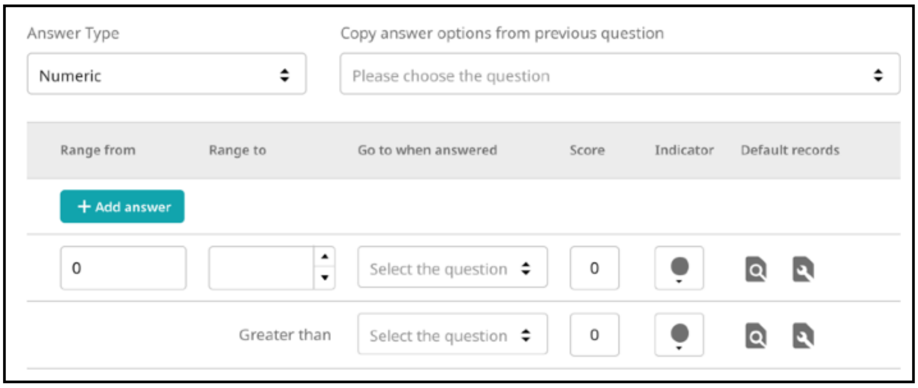


Fig. 64

In the 'range from' column, on the left [fig. 64], enter the lowest possible number for the answer.Next, in the 'range to' column, enter the upper limit of this range.
Then click 'add answer' to create a new range. The 'range from' column in this new range will bealready completed as one more than the upper bound of the previous range [fig.65].

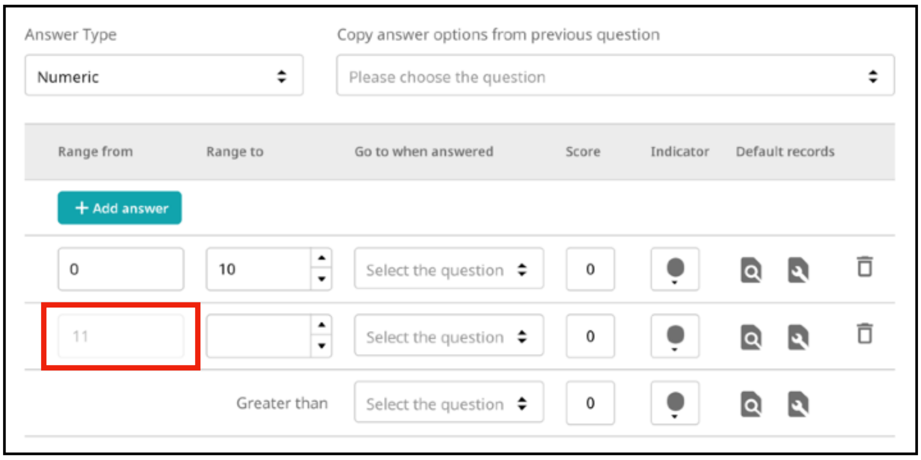


Fig. 65

The rest of the question builder options are the same as for the dropdown answer type, in section 4.7.1 in this manual.

4.7.3) The Radio Button Answer Type

This answer type is like the dropdown answer type, except all options are visible at once.

4.7.4) The Text Answer Type

This answer type provides the auditor with a text field. You can choose if there should be a limit to the length of their response.

4.7.5) The Tick Box Answer Type

This answer type is like the radio button answer type in presenting a list of options, but the auditor can select one or more options.

The 'copy answer options from previous question' feature helps you streamline the answer creation process. Click the ⬍ button to use the answer options of another question you previously made.

Click the **Add section** button to create more groups of questions.

To add more questions, select a section and click the **Add question** button.

Once you have finished building your checklist, click the **Save** button to save it.

Click the **Discard** button to delete this checklist.

Clicking the **Activate** button will move the checklist from the 'Draft' state to 'Active'.Once active, the checklist can be added to new audits and audit schedules.
For more information on checklist statuses, refer to section 4.9. in this manual.

If you need to change or edit the checklist used in an audit, you can create a new version of the checklist and update the questions as necessary.

Once activated, any newly scheduled audits will use the new version of the checklist.

Any existing scheduled or in progress audits will continue to use the version available when they were created.

4.8) Creating a new version of a checklist

Click the **New Version** button and choose between major and minor versions.

If the current version is version 1.0, a new major version will then be 2.0, and a new minor version will be 1.01.

When a new version of a checklist is activated, the earlier version is automatically withdrawn. Any in progress audits will continue to use the version of checklist that was available when it was originally conducted. The new version of the checklist will be used by any audits in a scheduled state.

Next, label the new version. You will be taken to the checklist builder.

4.9) Checklist statuses

When creating a new checklist, if you click the **Save** button, the checklist will be saved as a draft.

When your checklist is completed, and you click the **Activate** button, the checklist transitions to the 'active' status.

Once active, the checklist can be added to new audits.

A checklist becomes withdrawn when a new version is created, although it is possible towithdraw a checklist without creating a new version.

If you withdraw a checklist, it will no longer be used by future scheduled audits.

Once a checklist is withdrawn, you can transition it to 'archived' by clicking the **Archive** button.

Withdrawn records are visible on record grids, archived records are hidden by default. Each status change is irreversible for checklists.
The status workflow for checklists is shown below [fig.66].

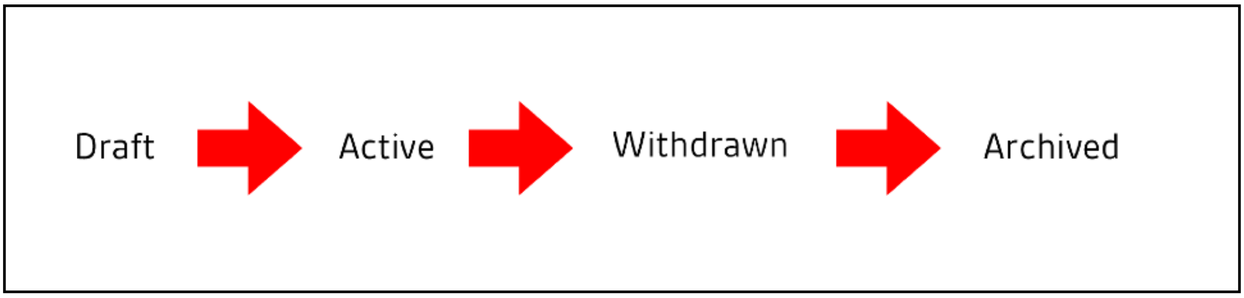


Fig. 66

4.10) Audit statuses

When you click the Create button, any newly created audit will be scheduled.

When you click the Conduct button, the audit transitions to 'in progress'.

If you no longer want to conduct a scheduled audit, you can click the Deschedule button to de-schedule that audit.

This does not stop the scheduled recurrence. For further information, please refer to section 4.3.1. in this manual.

Once the audit is in progress, and you have completed all the questions, click the Complete button to transition the audit to 'completed'.

Once a checklist is completed, you can transition it to 'archived' by clicking the Archive button.

Each status change is irreversible for audits.

The status workflow for audits is shown on the next page [fig.67].

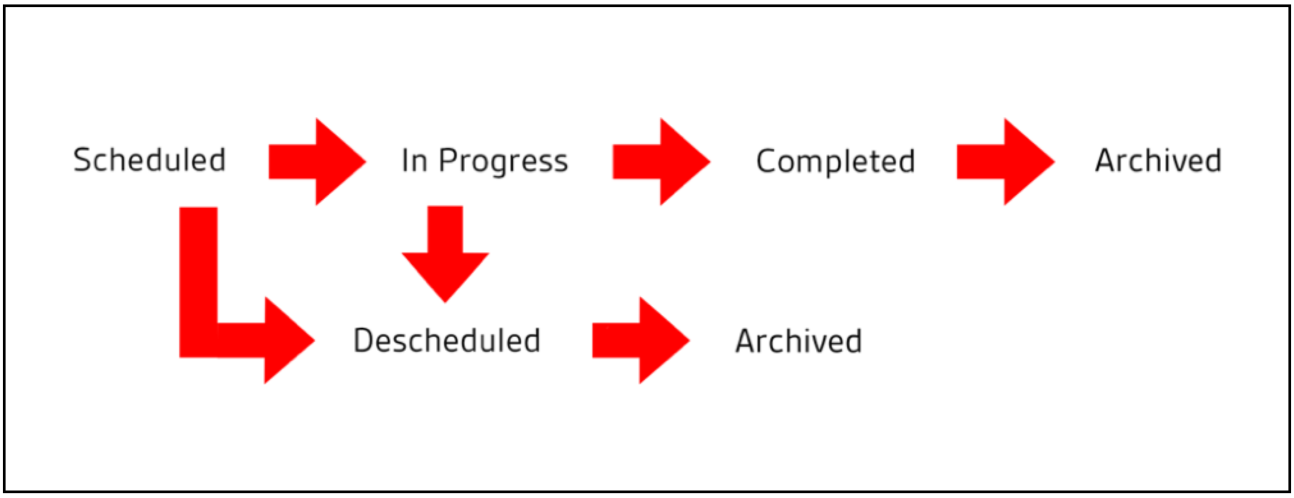

Scheduled
In Progress
Completed
Archived
Descheduled
Archived

Fig. 67