



QAD Adaptive Applications

User Guide QAD EQMS Applications: Auditing

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Auditing User Guide

Change Summary

The following table summarizes significant differences between this document and previous versions.

Date/Version	Description	Reference	Changed By
SEPT 2019/v2019	Initial version	--	RQT
JAN 2020/v2019	Updated linkage	--	RQT
OCT 2020/v2020.1	Updated versioning	--	RQT
MAR 2021/v2021	Updated linkage	--	RQT
APR 2021/v2021	Revised language regarding Audit Finding Type requirements; Revised language regarding Audits; Revised language regarding Audit Findings;	p. 27, p. 43, p. 48, p. 59	RQT
MAY 2021/v2021	Added a section for Commands.	p. 92	RQT
JULY 2021/v2021.1	Updated versioning; Updated Processes	p. 28	RQT
FEB 2022/v2022	Updated versioning; Updated Audit Questions	p. 22	RQT
SEPT 2022/v2022.1	Updated versioning	--	RQT
MAR 2023/v2023	Updated versioning; Updated Audit Finding Types; Updated Audit Types; Updated Audit Questions; Updated Audit Question Categories; Updated Audits; Updated Audit Results	p. 27, p. 16, p. 22, p. 18, p. 43, p. 53	RQT
MAR 2024/v2024	Updated versioning	--	RQT
SEPT 2024/v2024.1	Updated versioning	--	RQT

Date/Version	Description	Reference	Changed By
MAR 2025/v2025	Updated versioning	--	RQT
SEPT 2025/v2025.1	Updated versioning; Updated Processes; Updated Audit Findings	p. 28, p. 57	RQT
SEPT 2026/v2026	Updated versioning	--	F6J

Chapter 1

Introduction

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Overview

Auditing can yield tremendous benefits to an organization. It provides the essential input for management to be assured that well-defined business processes are being followed and are generating the expected results.

The Auditing module eliminates manual administration and distribution of audits by electronically automating the entire audit process, including schedules, notifications, links to historical information, audit finding follow-up processes with closed-loops, automated reporting processes, and escalation options.

About This Guide

This user guide focuses on:

- Setup required for the Auditing module
- Different forms of organization in the Auditing module
- Security and roles for the Auditing module
- Instructions for the various Auditing tasks

Note: This guide does not provide field descriptions for the Auditing module fields. Field help is provided in the software.

Auditing Module Setup Guide

This section describes the processes of the Auditing module. The list below is arranged by the order in which the processes should be completed, starting with the setup operations and continuing with the main functions.

Setting Up the Auditing Module

Global Choices

Use Global Choices to provide a convenient method of creating standardized answers to audit checklist questions. See "Global Choice" on page 15.

Audit Types

Use Audit Types to organize audits into common groups that define standardized default options for various audit configurations. See "Audit Types" on page 16.

Audit Question Categories

Use Audit Question Categories to categorize the questions asked during an audit and assist in the selection of audit questions for various checklists. See "Audit Question Categories" on page 18.

Management System Standards

Management System Standards allow organizations to define a list of standards they may be audited against. See "Management System Standards" on page 19.

Audit Questions

Use Audit Questions to create a standard list of questions for auditors to ask in various auditing scenarios. See "Audit Questions" on page 22.

Audit Checklist

Use Audit Checklist to group one or more audit questions in checklists that you can use on an audit or a layered process audit. See "Audit Checklist" on page 24.

Audit Finding Types

Use Audit Finding Types to organize the different findings for an audit. See "Audit Finding Types" on page 27.

Processes

Use Processes to document specific business or manufacturing processes that must be audited. See "Processes" on page 28.

LPA Group

Use LPA Group to define a category for Layered Process Audits (LPA) focused on a particular area of the business. See "LPA Group" on page 37.

Using The Auditing Module

Audits

Use Audits to plan and document all types of audits. See "Audits" on page 43.

Layered Process Audits

Use Layered Process Audits (LPA) to schedule and document audits related to an organization's adoption of LPAs. LPAs are a process-based approach to conducting internal audits. See "Layered Process Audits" on page 51.

Audit Results

Use Audit Results to document the result and any observations made for each question asked during the audit. See "Audit Results" on page 53.

Audit Findings

Use Audit Findings to document any observations, opportunities for improvement, or noteworthy efforts that are noticed during the audit. See "Audit Findings" on page 57.

Getting Started

Before you can begin using the Auditing module, it is important to understand the basics of how to navigate and use the QMS system. The system is intuitive, but some layouts, features, and

best practices require a more thorough understanding. See the [User Interface](#) user guide for additional information about the QMS software.

Chapter 2

Setting Up the Audit Management Module

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Introduction

The Auditing module is based on some standardized inputs. In order to use the module as efficiently as possible, these base processes must first be populated prior to conducting audits or Layered Process Audits.

Global Choice

Use Global Choice records to set up standard responses to audit assessment questions, such as True or False answers. You can create a set of choices for use on any question in the system.

Global choices provide a convenient method of providing standardized answers to audit questions. This approach allows for flexible question and answer processes with scoring and favorable/unfavorable configuration.

To build up global choices, determine what criteria is required for particular audit questions. A simple audit might require questions of a Pass/Fail or Pass/Fail/Not Applicable type. As global choice is used in other areas of the software, it is highly recommended that the name of the choice has "Audit" in the text and also indicates the type of choice (e.g. Pass/Fail).

Global choices are used in the following processes of the Auditing module and Training Management module:

- Audit Questions, where you can create specific choices for a question or use a global choice. See "Audit Questions" on page 22.
- Skill Training Questions, where you can create specific choices for a question or use a global choice. See "Skill Training Questions" in the [Training Management](#) user guide.

Fig. 1: Global Choice screen

The screenshot shows the 'Global Choice' configuration screen. It includes a 'Choice Info' section with a 'Choice Name' field containing 'Auditing - Pass/Fail' and a 'Notes' field with the placeholder 'Enter Notes'. Below this is the 'Choice Details' section, which has two radio buttons: 'Use Global Choice' (unselected) and 'Create Specific Choice List' (selected). A table is displayed below the radio buttons, showing the configuration for the 'Pass/Fail' choice.

Choice	Score	Acceptance	Req. Comment	Req. New Item	New Item Process
Fail	1.00	Unfavorable	☐	☐	
Pass	2.00	Favorable	☒	☐	

Global Choices States

This section defines each state available in the workflow for the Global Choices process.

There are no states available for this process.

Global Choices Tasks

Adding a New Global Choice

1. Select Global Choices from the left navigation panel. Then, click the Add Item  button in the toolbar.
2. Enter a choice name.
3. Enter notes, if applicable.
4. Click the Add New Record button in the Choice Details field to add a new choice to the list.
5. Enter the choice information.
6. Click the Add New Record button for each choice that you want to add to the list. To remove a choice, highlight the row and click Delete.
7. Click Save to save the new record.

Audit Types

Use Audit Type records to organize audits into common groups that define standardized default options for various audit configurations. Additionally, audit types create groupings of audits based on approval or skill requirements. Typical examples of audit types are:

- **Process.** Focuses on one or more processes and verifies the processes are working as documented.
- **Compliance.** Focuses on regulatory requirements, typically based on government regulated requirements.
- **Conformance.** Focuses on system audits typically completed by a third-party register.

Audit types are used by the Audits process. See "Audits" on page 43.

You can use the audit type to control whether audit findings associated with an audit must be completed before you can close the audit. You can also use the audit type to control whether an approval process is required for audits associated with a particular audit type. If you configure the approval option, the lead auditor must always approve the audit; however, you can assign additional auditors to the audit type's Approvers list. Every person on the list is then required to give their approval to close the audit.

In the Audit Type record, you define the skills required of lead auditors and additional auditors. An auditor and lead auditor skill must be predefined in the Training Management module. To be an auditor or lead auditor, the employee must be assigned the Auditor or Lead Auditor skill and their training must be up to date for that skill. Additionally, the lead auditor and auditors must have an Employee Skill record for the skills associated with the audit type to indicate that they are qualified to audit using this audit type.

See the [Training Management](#) user guide for more information on skills.

Fig. 2: Audit Types screen, General tab

General Options

Audit Type Code ⓘ
DOC

Audit Type Name ⓘ
Documentation

Audit Type Description ⓘ
This audit type is meant to check to ensure all documentation is accessible and where it is supposed to be.

Domain ⓘ
All - All Domains

Entity ⓘ
All - All Entities

Site(s) ⓘ

☐	Site Name	Site Code	Display Expression
☐	All Sites	All	All - All Sites

1 - 1 of 1 items

Display Expression ⓘ
DOC - Documentation

The General tab is used to define the basic details of an audit type.

Fig. 3: Audit Types screen, Options tab

General Options

Requires Findings to be Completed ⓘ
YES NO

Requires Approval ⓘ
YES NO

Hide Reference Coverage ⓘ
YES NO

Hide LPA Fields ⓘ
YES NO

Auditor Skills ⓘ

☐	Skill Type	Skill Code	Skill
☐	GEN - General	000099	Supplier/Internal Quality Auditor
☐	GEN - General	00009	Auditor

1 - 2 of 2 items

Lead Auditor Skills ⓘ

☐	Skill Type	Skill Code	Skill
☐	GEN - General	000099	Supplier/Internal Quality Auditor

1 - 1 of 1 items

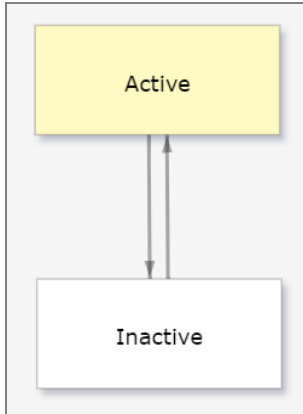
The Options tab allows you to set up how audits that use this audit type will be used, based on specified requirements.

Audit Types States

This section defines each state available in the workflow for the Audit Types process. See "State Change Security" on page 78 to learn more about how these states transition.

Active (Default). An audit type that is actively used.

Inactive. An audit type that is no longer in use.



Audit Types Tasks

Adding a New Audit Type

1. Select Audit Types from the left navigation panel. Then, click the Add Item  button in the toolbar.
2. Enter values for the audit type code and name. Notice how the Display Expression field combines the two values; this is how users will look up this audit type.
3. Enter a description in the Audit Type Description field.
4. Ensure the Domain, Entity, and Site(s) fields are populated.
5. Navigate to the Options tab. Set any toggle fields that apply to YES.
6. Select a skill for auditors and another for lead auditors:
 - a. Click the Link  button.
 - b. Select the check box beside each applicable skill.
 - c. Click OK.
7. If you set the "Requires Approval" toggle field to YES, then select one or more approvers for the audit type.
8. Click Save to save the new record. When selecting the next state, click Active.

Note: You can toggle between Active and Inactive as needed. When the state is Inactive, the audit type cannot be used for new records.

Audit Question Categories

Audit question categories allow users to organize audit questions and search through records based on this criteria. Each audit question can belong to only one category. See "Audit Questions" on page 22.

Fig. 4: Audit Question Categories screen

General

Category Code ⓘ

PRO

Category Name ⓘ

Process

Domain ⓘ

All - All Domains

Entity ⓘ

All - All Entities

Site(s) ⓘ

☐ Display Expression

☐ All - All Sites

1 - 1 of 1 items

Display Expression ⓘ

PRO - Process

Audit Question Categories States

This section defines each state available in the workflow for the Audit Question Categories process.

There are no states available for this process.

Audit Question Categories Tasks

Adding a New Audit Question Category

1. Select Audit Question Categories from the left navigation panel. Then, click the Add Item  button in the toolbar.
2. Enter values for the category code and name. Notice how the Display Expression field combines the two values; this is how users will look up this category.
3. Ensure the Domain, Entity, and Site(s) fields are populated.
4. Click Save to save the new record.

Management System Standards

Management System Standards (MSS) are a framework of processes and procedures used to ensure that an organization can fulfill all the tasks required to achieve its objectives. Examples include: ISO 9001, ISO 14001, OHSAS 18001, ISO 13485, IATF 16949, and GxP.

For each management system standard defined, one or more sections of the standard can also be defined. Audit questions can be associated with management system standards and sections to help when reviewing auditing coverage.

Management system standards are used in the following processes of the Auditing Management module:

- By Audit Questions to analyze audit coverage once audits have been completed. See "Audit Questions" on page 22.
- By Audit Results as a historical reference, populated by the related audit questions. See "Audit Results" on page 53.

Fig. 5: Management System Standards screen, General tab

The screenshot shows the 'General' tab of the 'Management System Standards' screen. It contains the following fields:

- Management System Standard Code:** ISO/TS 16949:2009
- Management System Standard Name:** Quality Management for Automotive
- Customer Specific:** YES (selected), NO
- Document:** ISO/TS 16949:2009 - Ver. No. 1

The General tab is used to define the basic details of a management system standard.

Fig. 6: Management System Standards screen, Sections/Requirements tab

The screenshot shows the 'Sections/Requirements' tab of the 'Management System Standards' screen. It displays a table of sections with checkboxes for selection. The sections listed are:

Section/Requirement Number	Section/Requirement Name
☐ 8.0	Measurement, Analysis and Improvement
☐ 7.0	Product Realization
☐ 6.0	Resource Management
☐ 5.0	Management Responsibility
☐ 4.0	Quality Management System

The first item (8.0) is selected. The bottom of the screen shows a pagination bar with '1' and '1 - 5 of 5 items'.

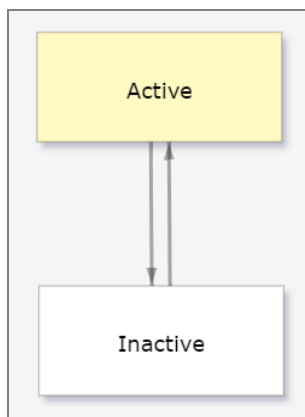
The Sections/Requirements tab lists the sections associated with the management system standard. Defining the sections allows a more granular view of the standard.

Management System Standards States

This section defines each state available in the workflow for the Management System Standards process. See "State Change Security" on page 78 to learn more about how these states transition.

Active (Default). A management system standard that is actively used.

Inactive. A management system standard that is no longer in use.



Management System Standards Tasks

Adding a New Management System Standard

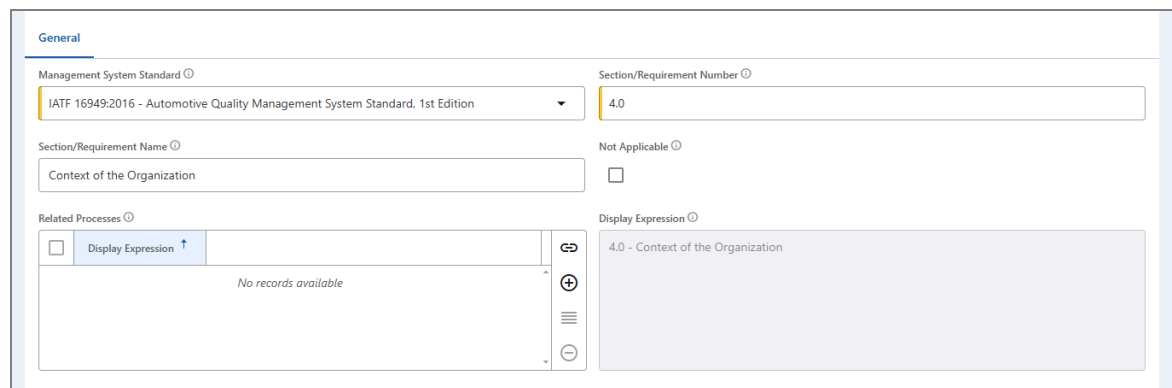
1. Select Management System Standards from the left navigation panel. Then, click the Add New  button in the toolbar.
2. Enter values for the standard code and name. Notice how the Display Expression field combines the two values; this is how users will look up this standard.
3. If the standard applies to a specific customer or customers:
 - a. Set the "Customer Specific" toggle field to YES. A new field appears titled Customers.
 - b. Click the Link  button. A window opens.
 - c. Select the check box beside all customers that apply.
 - d. Click OK.
4. Use the Document drop-down field to select a document that represents the standard.
5. Click Save to save the new record. When selecting the next state, click Active.

Note: You can toggle between Active and Inactive as needed. When the state is Inactive, the standard cannot be used for new records.

Adding a Section/Requirement to a Management System Standard

1. In the Management System Standard process screen, navigate to the Sections/Requirements tab.
2. Click the Add New Item  button in the Management System Standard Sections/Requirements field. A new screen opens.

Fig. 7: Management System Standard Sections screen



3. Enter the number identifier of the section or requirement.
4. Enter the name of the section or requirement.
5. If the section or requirement is not applicable to your organization, then select the "Not Applicable" check box. A new field appears titled Justification; use this field to explain why this section is not applicable.
6. Click the Link  button in the Related Processes field. A new window opens.
7. Select the check box beside any process that applies to the section or requirement, then

click OK.

8. Click Save to save the new record. When selecting the next state, click Active.

Note: You can toggle between Active and Inactive as needed. When the state is Inactive, the standard cannot be used for new records.

Audit Questions

Use Audit Question records to create a standard list of questions for auditors to ask in various auditing scenarios. You can group audit questions using several factors, including audit type, management system standard, and process.

Audit questions are used to build up a standard library of questions for audit checklists. You can also use your previously created global choices to build the question choices. See "Global Choice" on page 15. A question can belong to more than one checklist. See "Audit Checklist" on page 24.

Even in a process audit where the auditor is simply following the process flow provided by the auditee, you can use audit questions to guide the auditor in asking about each process flow step. You can also tailor audit questions to a particular management system standard, if that is what you are auditing against.

Fig. 8: Audit Questions screen, General tab

Question Auto Number ⓘ 000063

Question Number ⓘ ISO - 0004

Question Category ⓘ Enter Question Category ⓘ ⓘ

Created By ⓘ Marie Portley ⓘ

General Links

Question ⓘ

Does the QMS documentation include required documented procedures?

Audit Type ⓘ REG - Regulatory Audit ⓘ

Weight ⓘ 10 ⓘ

Max Score ⓘ Enter Max Score ⓘ

Random Question Number ⓘ 4 ⓘ

Question Choices ⓘ

☒ Use Global Choice ☐ Create Specific Choice List

Global Choice ⓘ Auditing - Yes/No/NA

Notes ⓘ

Enter Notes

Domain ⓘ All - All Domains ⓘ

Entity ⓘ All - All Entities ⓘ

Site(s) ⓘ

Site Code	Site Name
All	All Sites

1 - 1 of 1 items

The General tab is used to define the basic details of an audit question.

Fig. 9: Audit Questions screen, Links tab

Question Auto Number ⓘ
000063

Question Number ⓘ
ISO - 0004

Question Category ⓘ
Enter Question Categc ▼ ⓘ −

Created By ⓘ
Marie Portley ▼

General

Links

MSS Sections Covered ⓘ

☐	Management System Standard Code	Section/Requirement Number	Section/Requirement Name	
No records available				

Processes Covered ⓘ

☐	Process Code	Process Name	Process Description	
No records available				

Related Document(s) ⓘ

☐	Document Type	Document Number	Document Title	Version Number	Version Date	Owner	
No records available							

Audit Checklist(s) ⓘ

Checklist Number	Checklist Name	
000037	ISO 9001:2008 Section 4 and 5	

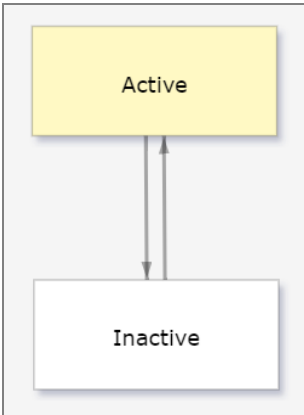
Use the Links tab to associate an audit question with specific processes, MSS sections, documents, and audit checklists. Any related documents or processes will be displayed in any Audit record that uses this question.

Audit Question States

This section defines each state available in the workflow for the Audit Questions process. See "State Change Security" on page 78 to learn more about how these states transition.

Active (Default). An audit question that is actively used.

Inactive. An audit question that is no longer in use.



Audit Question Tasks

Adding a New Audit Question

1. Select Audit Questions from the left navigation panel. Then, click the Add New  button in the toolbar.

Note: Alternatively, questions can be added through an audit checklist. See "Audit Checklist" below.

2. Select a question category and audit type.
3. Enter values for the question number and question description.
4. If this question is of special importance, consider entering a weight. This number will multiply the answer's score (e.g. if a response's score is worth 3 points and the question's weight is set to 2, then that response is now worth 6 points).
5. Select the "Use Global Choice" button on the Question Choices field and select any relevant global choices that you previously created. See "Global Choice" on page 15.
6. Navigate to the Links tab.
7. If you are auditing against a management system standard, then click the Link  button in the MSS Sections Covered field to link the applicable standards.
8. In the Processes Covered field, click the Link button to select the process to be audited.
9. In the Related Documents field, click the Link button to select any related documents to the audit question.
10. Click Save to save the new record. When selecting the next state, click Active.

Note: You can toggle between Active and Inactive as needed. When the state is Inactive, the audit question cannot be used for new records.

Audit Checklist

Audit checklists allow you to group one or more audit questions into a checklist that you can use on an audit or on a layered process audit.

The checklist consists of a series of audit questions that you can associate with specific audit types, functional groups, and ISO or other standard clauses. Even in the Process Auditing approach, checklists can be useful to help remind auditors of how to follow the trail of a process.

When an audit is configured to use a checklist, all questions associated with the checklist that match the audit parameters will display on the audit's execution details. These questions must be answered or skipped by the auditees before the audit can move forward.

This process contains commands. See "Commands" on page 92 to learn more.

Fig. 10: Audit Checklist screen, General tab

Checklist Number ⓘ 000139

Checklist Name ⓘ QAD-Transportation Sanitation Audit Checklist

Date Created ⓘ 6/3/2020

Checklist Owner ⓘ Joe Testerson

General Checklist Questions

Objective ⓘ
This audit checklist is meant as a guide to confirm the transportation system are sanitized properly and timely.

Notes ⓘ
Sources: Lear Safe Work Playbook

Domain ⓘ All - All Domains

Entity ⓘ All - All Entities

Site ⓘ All - All Sites

The General tab is used to define the basic details of an audit checklist. In the Checklist Name field, you can list the management system standard that you are covering in the checklist. See "Management System Standards" on page 19.

Fig. 11: Audit Checklist screen, Checklist Questions tab

Checklist Number ⓘ 000139

Checklist Name ⓘ QAD-Transportation Sanitation Audit Checklist

Date Created ⓘ 6/3/2020

Checklist Owner ⓘ Joe Testerson

General **Checklist Questions**

Checklist Questions ⓘ

☐	Display Expression	Question
☐	ALL - 000323	Have the transportation sanitation team been trained on proper sanitization procedures?
☐	ALL - 000325	Is there antibacterial gel available for passengers?
☐	ALL - 000293	Area cleaned was either the full site or a reduced footprint for deep-cleaning had sufficient rationale and was the consensus of re
☐	ALL - 000297	Before the first pick-up of the day/shift, where the Stairs cleaned and sanitized?
☐	ALL - 000295	Before the first pick-up of the day/shift, where all handrails cleaned and sanitized?
☐	ALL - 000296	Before the first pick-up of the day/shift, where all seats and armrests cleaned and sanitized?
☐	ALL - 000298	Between successive pick-ups/route runs, was the Aisle cleaned and sanitized?
☐	ALL - 000301	Between successive pick-ups/route runs, where the Stairs cleaned and sanitized?
☐	ALL - 000299	Between successive pick-ups/route runs, where all handrails cleaned and sanitized?
☐	ALL - 000300	Between successive pick-ups/route runs, where all seats and armrests cleaned and sanitized?

1 - 10 of 10 items

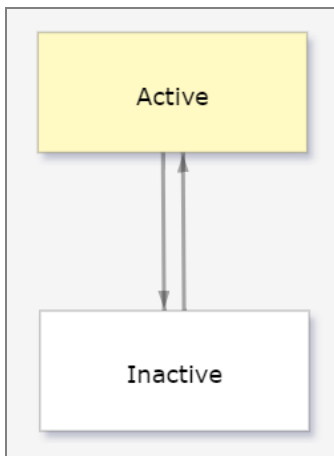
Use the Checklist Questions tab to create or link audit questions to the checklist.

Audit Checklist States

This section defines each state available in the workflow for the Audit Checklist process. See "State Change Security" on page 78 to learn more about how these states transition.

Active (Default). An audit checklist that is actively used.

Inactive. An audit checklist that is no longer in use.



Audit Checklist Tasks

Adding a New Audit Checklist

1. Select Audit Checklist from the left navigation panel. Then, click the Add Item  button in the toolbar.
2. Enter a value for the checklist name. The Checklist Owner field defaults to the current user.
3. Enter an objective and any notes for the checklist.
4. Navigate to the Checklist Owners tab.
5. In the Checklist Questions field, click the Add New Item  button. A new screen opens.

Fig. 12: Audit Checklist Question

General

Audit Checklist ⓘ
000014 - Purchasing Process Audit

Sequence ⓘ
60.0

Audit Question ⓘ
Vendor is selected from the Approved Vendor List

6. Select the audit question from the drop-down field or create a new question (see "Audit Questions" on page 22).
7. Select a sequence for the question. Then click Save.
8. Repeat Steps 5-7 as needed for each question.
9. Click Save to save the new record. When selecting the next state, click Active.

Note: You can toggle between Active and Inactive as needed. When the state is Inactive, the audit checklist cannot be used for new records.

Audit Finding Types

Use Audit Finding Types to organize the different findings for an audit.

The following are typical finding types:

- **Observation.** The auditor observes something that conforms with existing procedures or standards, but is very close to becoming a nonconformance.
- **Opportunity for Improvement.** The auditor observes something as a potential improvement for the organization.
- **Noteworthy Effort.** The auditor observes something done particularly well, worthy of praise.

A fourth type of audit finding is also very common – the nonconformance – but these are logged as nonconformances in the NCR & CAPA module, rather than as audit findings. See the [NCR & CAPA](#) user guide for more information.

Fig. 13: Audit Finding Types screen

The screenshot shows the 'General' tab of the 'Audit Finding Types' screen. It contains the following elements:

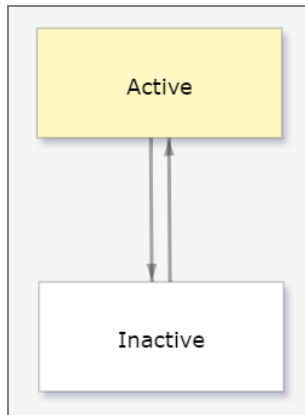
- Audit Finding Type Code:** A text input field containing 'NE'.
- Audit Finding Type Name:** A text input field containing 'Noteworthy Effort'.
- Audit Finding Type Description:** A text area containing the description: 'A finding type that the auditor observes during the audit as excellent examples of the implementation of a process or requirements. This finding type does not typically require any action, but is simply a note of a job well done.'
- Domain:** A dropdown menu set to 'All - All Domains'.
- Entity:** A dropdown menu set to 'All - All Entities'.
- Site(s):** A table with columns 'Site Code' and 'Site Name'. It shows one row with 'All' and 'All Sites'. Below the table is a pagination bar showing '1 - 1 of 1 items'.
- Display Expression:** A text input field containing 'NE - Noteworthy Effort'.
- Require Corrective Action:** Two radio buttons, 'YES' and 'NO', with 'NO' selected.
- Require Nonconformance:** Two radio buttons, 'YES' and 'NO', with 'NO' selected.

Audit Finding Types States

This section defines each state available in the workflow for the Audit Finding Types process. See "State Change Security" on page 78 to learn more about how these states transition.

Active (Default). An audit finding type that is actively used.

Inactive. An audit finding type that is no longer in use.



Audit Finding Type Tasks

Adding a New Audit Finding Type

1. Select Audit Finding Types from the left navigation panel. Then, click the Add New  button in the toolbar.
2. Enter values for the finding type code and name. Note that the Display Expression field combines the two values; this is how users will look up this finding type.
3. Enter a finding type description.
4. Ensure the Domain, Entity, and Site(s) fields are populated.
5. Select whether an audit finding of this type requires that a corrective action or nonconformance to be created.
6. Click Save to save the new record. When selecting the next state, click Active.

Note: You can toggle between Active and Inactive as needed. When the state is Inactive, the audit finding type cannot be used for new records.

Processes

Use Process records to document specific business or manufacturing processes that must be audited. Documenting a process provides benefits in several areas including auditing, product design, product development, product corrective action, and nonconformance.

Process records are the main repository for information on your organization's business and manufacturing processes, and are used by both the Auditing and the APQP modules. In the Auditing module, processes are used to identify which processes have been audited and when, which is important to track given the Process-Based Auditing approach. In the APQP module, the list of processes serves as a way to standardize the name of processes used on manufacturing-related documentation. The information from a process that has been documented in the APQP module can be reused in the Auditing module, as the database record is the same.

Generally, processes fall into three categories:

- **Customer-oriented processes.** Core processes to the business such as design and development, order management, production, and specific manufacturing processes (e.g. casting, milling, welding, heat treating, etc.).

- **Management-oriented processes.** Processes that define areas of management responsibility and, typically, have an indirect impact on the customer such as quality policy and objectives, resource management, and planning.
- **Support-oriented processes.** Processes that enable other processes such as purchasing, finance, and information technology.

Processes may be linked to a responsible site with an ITAR (International Traffic in Arms Regulation) requirement. If this is true, then a new field appears on the General tab titled ITAR Restricted. Setting this toggle to YES means that only employees who are ITAR compliant can view, access, and interact with the process.

This process contains commands. See "Commands" on page 92 to learn more.

Fig. 14: Processes screen, General tab

The screenshot displays the 'General' tab of the 'Processes screen'. At the top, there are four input fields: 'Process Code' (STMP), 'Process Name' (Stamping), 'Process Owner' (demo superuser), and 'Process Category' (COP - Customer Oriented Pr). Below these is a horizontal menu with tabs: 'General', 'Version Specific', 'Manufacturing Information', 'Work Elements', 'Auditing Information', 'Requires Review', 'Skill and Training', 'Risks', and 'Links'. The 'General' tab is active, showing a 'Process Description' field with the text 'Place flat sheet metal into stamping press'. Below this are several more fields: 'Effective Date' (10/30/2025), 'Process Symbol' (Operation), 'Parent Process' (Enter Parent Process), 'Department' (Enter Department), 'Top Management Reviewer' (Enter Top Management), 'Domain' (10USA - USA Domain), 'Entity' (10USACO - USA DIVISIC), and 'Site' (10-200 - Auto Industrial Mfg). At the bottom, there are two tables: 'Responsibilities' and 'Authorities'. The 'Responsibilities' table has three rows: 'Training Role Code' (FB-OP1), 'Training Role' (Fabrication Operator Level 1), and 'Description' (Fabrication). The 'Authorities' table is empty, showing 'No records available'.

Process Code	Process Name	Process Owner	Process Category
STMP	Stamping	demo superuser	COP - Customer Oriented Pr

General | Version Specific | Manufacturing Information | Work Elements | Auditing Information | Requires Review | Skill and Training | Risks | Links

Process Description

Place flat sheet metal into stamping press

Effective Date	Process Symbol	Parent Process	Department
10/30/2025	Operation	Enter Parent Process	Enter Department

Top Management Reviewer	Domain	Entity	Site
Enter Top Management	10USA - USA Domain	10USACO - USA DIVISIC	10-200 - Auto Industrial Mfg

Responsibilities	Authorities															
<table border="1"> <thead> <tr> <th>Training Role Code</th> <th>Training Role</th> <th>Description</th> </tr> </thead> <tbody> <tr> <td>FB-OP1</td> <td>Fabrication Operator Level 1</td> <td>Fabrication</td> </tr> <tr> <td>TS-10</td> <td>Tooling Setup</td> <td>Install, setu</td> </tr> </tbody> </table>	Training Role Code	Training Role	Description	FB-OP1	Fabrication Operator Level 1	Fabrication	TS-10	Tooling Setup	Install, setu	<table border="1"> <thead> <tr> <th>Training Role Code</th> <th>Training Role</th> <th>Description</th> </tr> </thead> <tbody> <tr> <td colspan="3">No records available</td> </tr> </tbody> </table>	Training Role Code	Training Role	Description	No records available		
Training Role Code	Training Role	Description														
FB-OP1	Fabrication Operator Level 1	Fabrication														
TS-10	Tooling Setup	Install, setu														
Training Role Code	Training Role	Description														
No records available																

The General tab is used to define the basic details of a process.

Fig. 15: Processes screen, Version Specific tab

The screenshot shows the 'Version Specific' tab of the 'Processes' screen. At the top, there are four input fields: 'Process Code' (STMP), 'Process Name' (Stamping), 'Process Owner' (demo superuser), and 'Process Category' (COP - Customer Oriented Pr). Below these are several tabs: General, Version Specific (active), Manufacturing Information, Work Elements, Auditing Information, Requires Review, Skill and Training, Risks, and Links. The 'Version Specific' tab contains several sections: 'Change Owner' (demo superuser), 'Change Due Date' (Enter Change Due Date), 'Reason for Change' (Enter Reason for Change), 'Change Description' (Enter Change Description), 'Change Request' (Enter Change Request), and 'Change Order' (Enter Change Order). At the bottom, there is a 'Version Approval' section with a progress bar showing 0% and a close button (X).

Use the Version Specific tab to give details about a particular version of a process, such as why the process changed.

Fig. 16: Processes screen, Manufacturing Information tab

The screenshot shows the 'Manufacturing Information' tab of the 'Processes' screen. At the top, there are four input fields: 'Process Code' (STMP), 'Process Name' (Stamping), 'Process Owner' (demo superuser), and 'Process Category' (COP - Customer Oriented Pr). Below these are several tabs: General, Version Specific, Manufacturing Information (active), Work Elements, Auditing Information, Requires Review, Skill and Training, Risks, and Links. The 'Manufacturing Information' tab contains several sections: 'Inspection Requires Approval' (YES, NO), 'List Process in APQP' (YES, NO), 'Sources of Variation' (Part-to-part variation, batch-to-batch variation, within batch variation), 'Process Failure Mode(s)' (Spout diameter out of spec, improper lip radius, funnel rim ID out of spec, funnel length out of spec, funnel angle out of spec, excessive press heat), 'Process Control(s)' (Enter Process Control(s)), and 'Process Specification(s)'. The 'Process Specification(s)' section is a table with columns: Specification Id, Specification Name, Specification, Current State, and a checkbox. The table has one row: 05, Plate Thickness, Plate Thickness, Locked. At the bottom, there is a 'Process FMEA Library (AIAG & VDA)' section.

Specification Id	Specification Name	Specification	Current State
05	Plate Thickness	Plate Thickness	Locked

The Manufacturing Information tab supplies further detail about the process, including sources of variation, potential failures and how to control them, process specifications, and more.

Note that this tab is used more in the APQP module than it is in the Audit Management module. See the [APQP Libraries](#) user guide for information on how to use this tab.

Fig. 17: Processes screen, Work Elements tab

Process Code ⓘ STMP

Process Name ⓘ Stamping

Process Owner ⓘ demo superuser

Process Category ⓘ COP - Customer Oriented Pri

General Version Specific Manufacturing Information **Work Elements** Auditing Information Requires Review Skill and Training Risks Links

Process Work Elements ⓘ

☐	Element	
☐	Material	
☐	Man	
☐	Machine	

1 - 3 of 3 items

The Work Elements tab allows you to link work elements to the process that should be considered when contemplating potential failures and controls. These elements include Man, Machine, Material, Environment, Method, and Measurement.

Fig. 18: Processes screen, Auditing Information tab

Process Code ⓘ STMP

Process Name ⓘ Stamping

Process Owner ⓘ demo superuser

Process Category ⓘ COP - Customer Oriented Pri

General Version Specific Manufacturing Information Work Elements **Auditing Information** Requires Review Skill and Training Risks Links

Related Management System Standard Sections/Requirements ⓘ

Management System Standard	Section/Requirement Number	Section/Requirement Name	Related Processes
No records available			

Process Input(s) ⓘ

☐	Display Expression	Process Interaction Description
☐	LS-REC - Receiving	Receive materials for stamping and manufacture

1 - 1 of 1 items

Process Output(s) ⓘ

☐	Display Expression	Process Interaction Description
☐	INS - Inspection	Inspect parts for quality

1 - 1 of 1 items

What (Equipment & Materials) ⓘ

Enter What (Equipment & Materials)

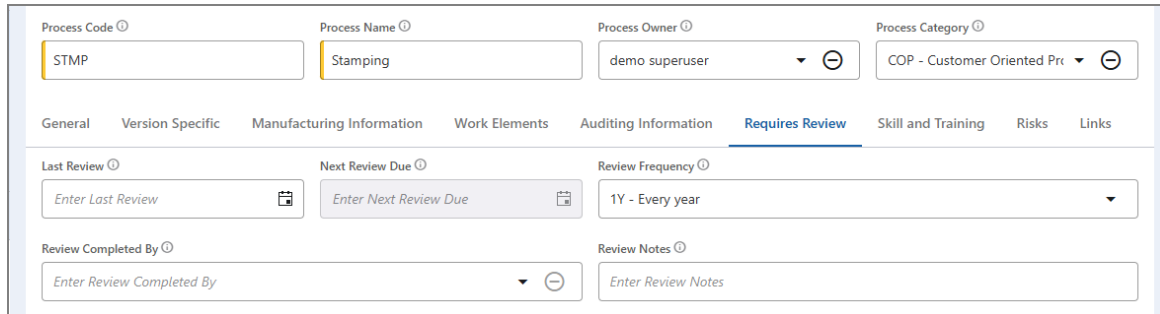
Whom (Personnel & Competencies) ⓘ

Use the Auditing Information tab to record auditing information for the process, such as:

- **Process Inputs.** These are the processes that the manufactured item goes through before it reaches the process you are currently defining.
- **Process Outputs.** The next processes that the item moves on to after the process you are currently defining.
- **Equipment.** The equipment used in the process.

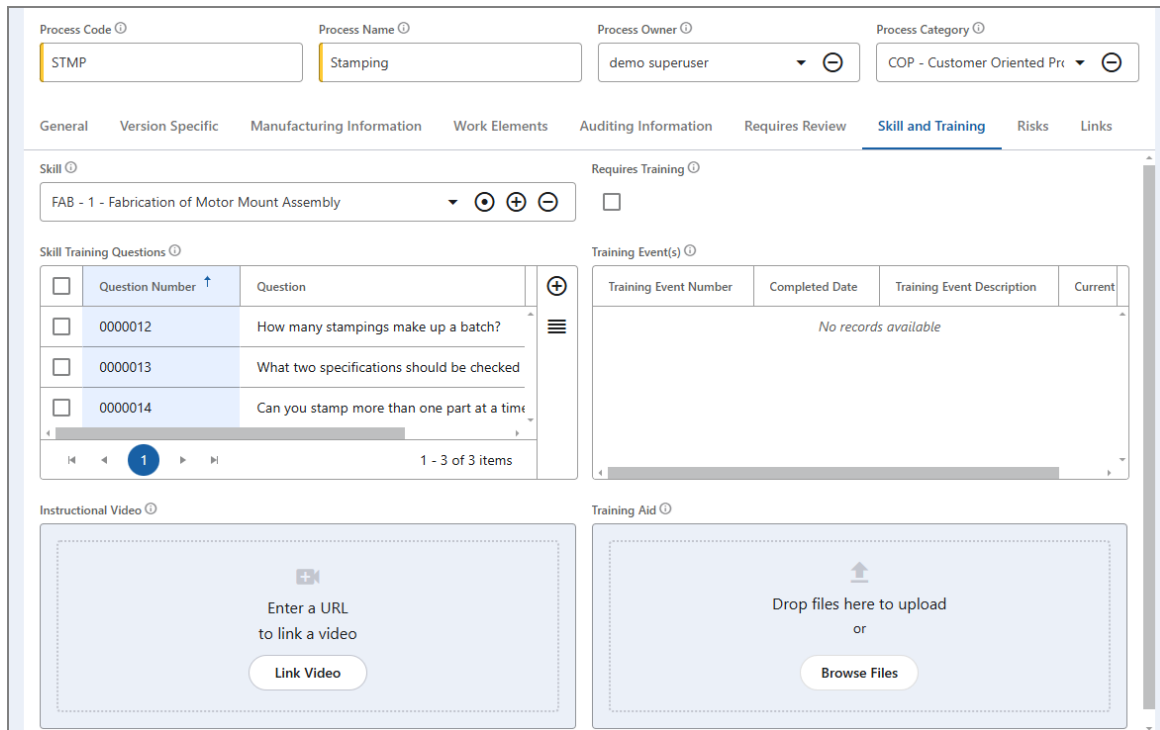
Note: The intent of the Auditing Information tab is to provide process information for someone not familiar with the process key information so they know what it should look like when it is properly functioning. This is often called a "turtle diagram", and there is a turtle diagram report that can be run from this screen.

Fig. 19: Processes screen, Requires Review tab



If a process requires review, then the Requires Review tab allows you to supply details regarding the process' last review, review frequency, review notes, and more.

Fig. 20: Processes screen, Skill and Training tab



Question Number	Question
0000012	How many stampings make up a batch?
0000013	What two specifications should be checked
0000014	Can you stamp more than one part at a time

Training Event Number	Completed Date	Training Event Description	Current
No records available			

Use the Skill and Training tab to enhance training management for the process. Select or create a skill, create questions to evaluate a person's knowledge of changes to the process, and optionally upload a video and file to be used as training aids.

Fig. 21: Processes screen, Risks tab

☐	Risk Number	Title	Owner	Risk Level	Risk Evaluation
☐	0000142	The impact of changes have not been identified and addressed	demo superuser	0	
☐	0000141	Failure modes are not identified for the process	demo superuser	0	
☐	0000140	Controls are not established for the identified failure modes	demo superuser	0	

Use the Risks tab to create a list of risks associated with the process. See the [Risk Management](#) user guide to learn more about creating risks.

Fig. 22: Processes screen, Links tab

☐	Document Number	Document Title	Version Number	Current State	Document Type
☐	0000001	Quality Manual Template	2	Official - Draft Pending	GEN-WI - General Work Instructions
☐	0000007	Internal Audit Guidelines / Standard	15	Official	QUAL - Quality System documents
☐	0000012	Work Instruction 001	2	Official - Awaiting Review	GEN-WI - General Work Instructions
☐	0000015	System Work Instructions	2	Official - Draft Pending	GEN - General Documents
☐	PPAP - 000013	52299 - Process Flow	1	Official - Awaiting Review	PPAP - PPAP documents

Use the Links tab to link documents that are related to the process.

Processes States

This section defines each state available in the workflow for the Processes process. See "State Change Security" on page 78 to learn more about how these states transition.

Draft (Default). The process is still being drafted and not yet ready for approval.

Ready for Approval. The process is waiting to be approved.

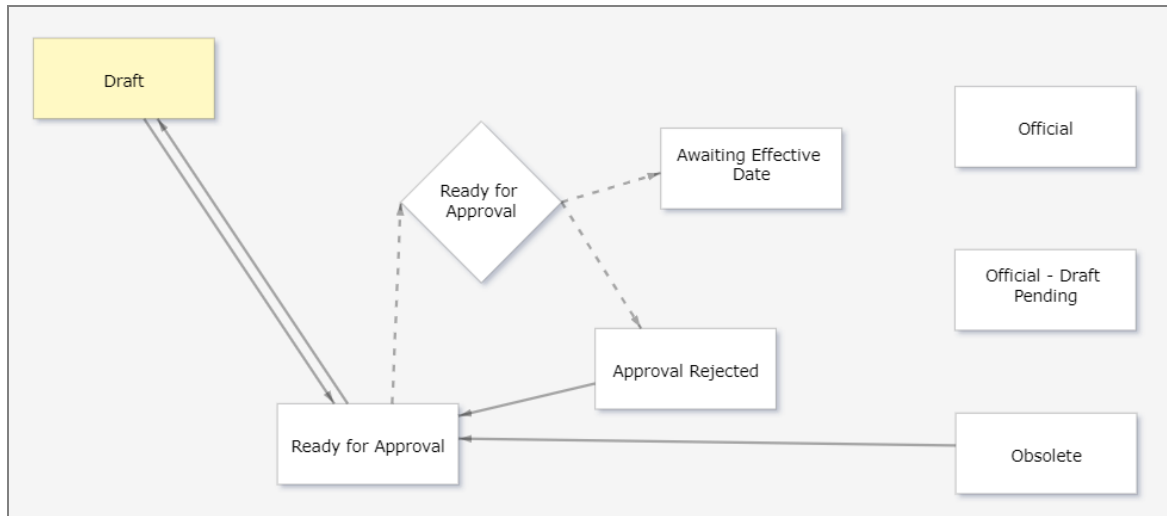
Awaiting Effective Date. The process has been approved but is waiting until the effective date to be marked as official.

Approval Rejected. The approval of the process was rejected.

Official. The official version of the process.

Official – Draft Pending. The official version of a process, which also has a new version being drafted.

Obsolete. This version of the process is obsolete and should no longer be used.



Processes Tasks

Adding a New Process

1. Select Processes from the left navigation panel. Then, click the Add Item  button in the toolbar.
2. Enter values for the following fields:
 - Process Code
 - Process Name
 - Process Category
 - Process Description
3. Select a process symbol and parent process, if needed.
4. Select a process owner (if the owner is not the initiator) and top management reviewer.

Note: The Top Management Reviewer field is filtered based on employee titles where Top Management is checked. For example, if the Vice President of Quality is selected, then the review of this process is assigned to all active employees who have this title assigned to them.

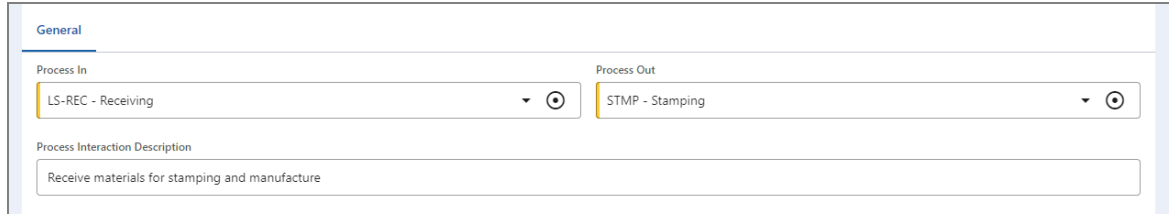
5. In the Responsibilities field, select one or more training roles who are responsible for this process.
 - a. Click the Link  button. A new window appears.
 - b. Select the check box beside any training roles that apply.
 - c. Click OK.
6. Navigate to the Requires Review tab. Click the calendar icon in the Last Review field to select the date when this process was last reviewed.
7. Use the Review Frequency drop-down field to determine how often the process should be reviewed, and the Review Completed By drop-down field to declare who completed the last review.

- Click Save to save the new record. When selecting the next state, click Draft or Ready for Approval as needed.

Adding Process Auditing Information

- In the Processes detail screen, navigate to the Auditing Information tab.
- Click the Add New Item  button in the Process Inputs field. A new screen opens.

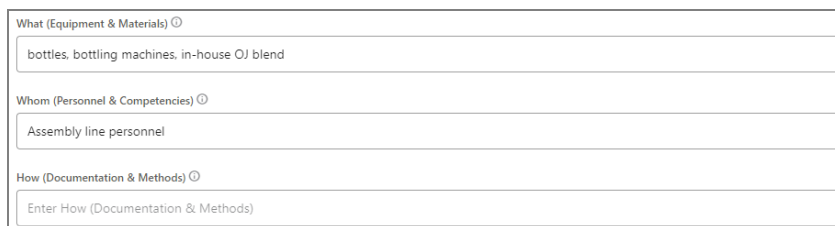
Fig. 23: Process Interaction screen



The screenshot shows a web form titled 'General'. It has two dropdown menus: 'Process In' with the value 'LS-REC - Receiving' and 'Process Out' with the value 'STMP - Stamping'. Below these is a text area labeled 'Process Interaction Description' containing the text 'Receive materials for stamping and manufacture'.

- In the new screen, use the Process In drop-down field to select a process that inputs to the main process (e.g. "Move bottles to line" is a process input for the process "Bottle filling").
- In the Process Interaction Description field, describe the specific details of the process interaction.
- Click Save to save the record. The site returns to the main detail screen.
- In the Process Outputs field, repeat Steps 2-5. This time, identify processes that are outputs to the main process (e.g. "Pack in boxes" is a process output for the process "Bottle filling").
- In the fields that follow, describe the equipment and materials; personnel and competencies; and documentation and methods that are required to effectively execute this process.

Fig. 24: Materials Needed



The screenshot shows a form with three sections, each with a title and a text input field:

- What (Equipment & Materials)**: The input field contains 'bottles, bottling machines, in-house OJ blend'.
- Whom (Personnel & Competencies)**: The input field contains 'Assembly line personnel'.
- How (Documentation & Methods)**: The input field contains the placeholder text 'Enter How (Documentation & Methods)'.

- If you have a detailed process flow file or image, you can attach them to the appropriate fields at the bottom of the detail screen.
- Click Save to save the record. When selecting the next state, click Draft or Ready for Approval as needed.

Approving a Process

- The person responsible for approving a process is automatically notified when it is time for approval through the Inbox or optionally from an e-mail notification (clicking the link in that message takes you to the process for approval).

2. Open the Inbox, either through the Home Page dashboard or by clicking the Inbox icon in the toolbar.
3. Upon opening the Inbox, click the approval item under the Auditing group to show the inbox action icons. Then click the Open icon. The screen navigates to the process' detail screen.
4. In the detail screen, scroll down to the Version Approval field and click the Approve/Reject button. A small window appears.
5. In the Sign Off window, enter password and either approve or reject the change. Use the comments field to document any information about your decision. Comments are required for rejection.

Note: Once all members of the approval process have finished, the process becomes official and ready for use.

Starting a New Version of a Process

The Start New Version command in the Processes process should be used for small-impact changes that do not affect other departments or people, such as fixing a typo or changing a symbol. If the process requires a bigger change, then a change request should be considered. See "Change Requests" in the [Document Control](#) user guide for more information.

Note: Revisions can only be made if the process is in the Official state.

1. Open the detail screen of the process you wish to change. If the process does not already have a change initiated, then click the Actions  button and select "Start New Version".

Note: If a process already has a change initiated, then contact the Process Owner to see if the changes you want to make can be included in the current change.

2. In the Version Specific tab, use the Change Description field to summarize what has changed and set the effective date.
3. Click Save to save the record. Select Ready for Approval if you are finished with the changes or select Draft to save the process as a draft and continue working.

When this version is approved, it becomes official and all previous versions become obsolete. It can be helpful to see a historical version of the process. You can quickly access historical versions from any version of the process by clicking More in the toolbar and selecting Versions to expand the Versioning panel. Click one of these versions to switch your detail screen view to the selected version.

Fig. 25: List of Versions

Versions	
Number: B	Date: 4/12/2023, 5:08 PM
Number: A	Date: 6/28/2022, 10:52 AM

LPA Group

A Layered Process Audit (LPA) is a process-based approach to conducting internal audits that are completed by different layers, or levels, of the organization. Therefore, LPA Group defines a category for LPAs focused on a particular area of the business. Each LPA group can have one or more LPA layers, which define "who" and "how many".

LPA groups and layers are assigned to layered process audits, which are used in the Audits process. The best way to initiate a layered process audit is to use the "Create Audits" command, which creates a separate audit for each layer and defaults to an annual frequency. See "Layered Process Audits" on page 51.

This process contains commands. See "Commands" on page 92 to learn more.

Fig. 26: LPA Group screen

General

Title ⓘ
LPA - Ultrasound General Assembly Process

Layer(s) ⓘ

☐	Layer Name	Title	Default Audit Type	Default Lead Auditor	
☐	Plant Management	LPA - Ultrasound General Assembly Process	LPA - Layered Process Audit	Gregory Leopold	⊕ ⋮ ⊖
☐	Department Management	LPA - Ultrasound General Assembly Process	LPA - Layered Process Audit	Lee Bryant	
☐	Supervisor	LPA - Ultrasound General Assembly Process	LPA - Layered Process Audit	Mia James	

1 - 3 of 3 items

Audits ⓘ

☐	Audit Title	Scheduled Start Date	Current State	
☐	LPA - Ultrasound General Assembly Process - Supervisor	2/6/2026, 10:40 AM	Closed	⋮
☐	LPA - Ultrasound General Assembly Process - Department Management	2/10/2026, 10:40 AM	Closed	
☐	LPA - Ultrasound General Assembly Process - Plant Management	1/27/2026, 10:40 AM	Closed	

1 - 3 of 3 items

Domain ⓘ
10USA - USA Domain

Entity ⓘ
10USACO - USA DIVISIO

Site(s) ⓘ

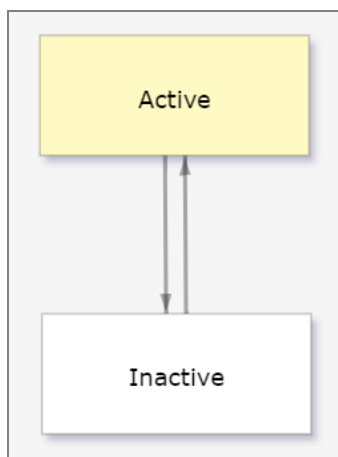
☐	Site Code	Site Name	
☐	10-100	Ultrasound Mfg Site	⊞

LPA Group States

This section defines each state available in the workflow for the LPA Group process. See "State Change Security" on page 78 to learn more about how these states transition.

Active (Default). An LPA group that is actively used.

Inactive. An LPA group that is no longer in use.



LPA Group Tasks

Adding a New LPA Group

1. Select LPA Group from the left navigation panel. Then, click the Add New  button in the toolbar.
2. Enter a value for the Title field.
3. Select on or more Sites that the audit covers. Then click Save to save the record. When selecting the next state, click Active.
4. In the Layers field, click the Add New Item  button to add audit layers that are associated with this group. See "Adding an LPA Layer" below for instructions on how to add a new layer.

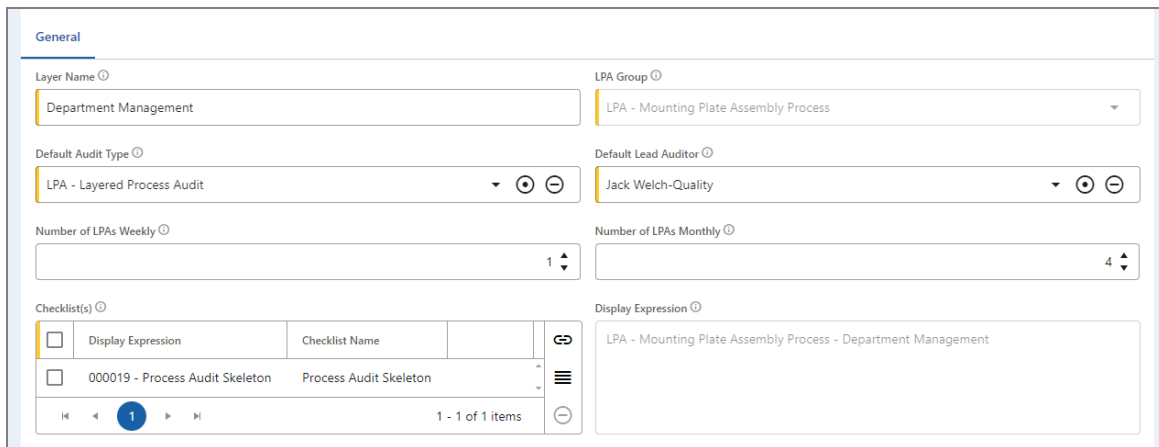
Note: A layer should be created for each auditor associated with the layered process audit.

5. Click Save to save the new record. When selecting the next state, click Active.

Note: You can toggle between Active and Inactive as needed. When the state is Inactive, the LPA group cannot be used for new records.

Adding an LPA Layer

Fig. 27: LPA Layer screen



The screenshot shows the 'General' tab of the LPA Layer screen. It contains the following fields and sections:

- Layer Name:** A text input field containing 'Department Management'.
- LPA Group:** A dropdown menu showing 'LPA - Mounting Plate Assembly Process'.
- Default Audit Type:** A dropdown menu showing 'LPA - Layered Process Audit'.
- Default Lead Auditor:** A dropdown menu showing 'Jack Welch-Quality'.
- Number of LPAs Weekly:** A numeric input field with a value of '1'.
- Number of LPAs Monthly:** A numeric input field with a value of '4'.
- Checklist(s):** A table with columns for 'Checklist Name' and 'Process Audit Skeleton'. It contains one item: '000019 - Process Audit Skeleton'.
- Display Expression:** A text area containing 'LPA - Mounting Plate Assembly Process - Department Management'.

1. In the LPA Group process screen, click the Add New Item  button in the Layers field. A new detail screen opens.
2. Enter a value for the Layer Name field.
3. Select a Default Audit Type and Default Lead Auditor.

Note: The Default Lead Auditor list is limited to employees who have at least one of the skills identified in the Lead Auditor Skills for the selected Default Audit Type.

5. Determine the number of weekly or monthly audits that are expected to be completed by this layer.

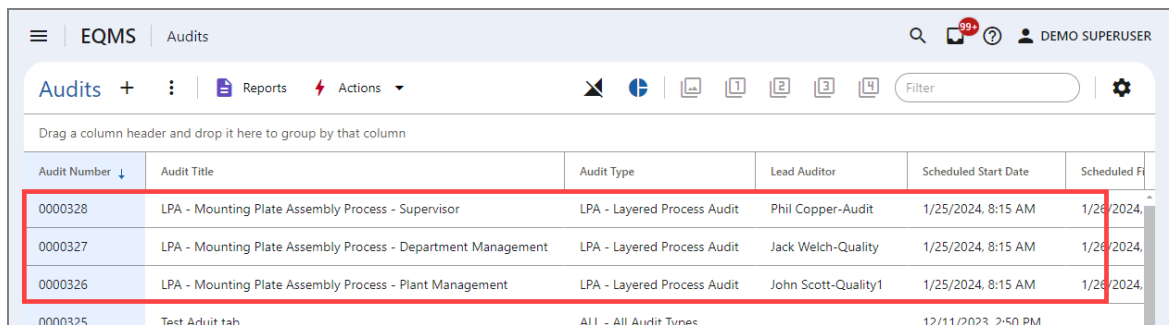
6. Select which checklists will be used with this layer's subsequent audits.
7. Click Save to save the record. When selecting the next state, click Active.

Note: You can toggle between Active and Inactive as needed. When the state is Inactive, the LPA layer cannot be used for new records.

Creating Initial Audits from an LPA Group

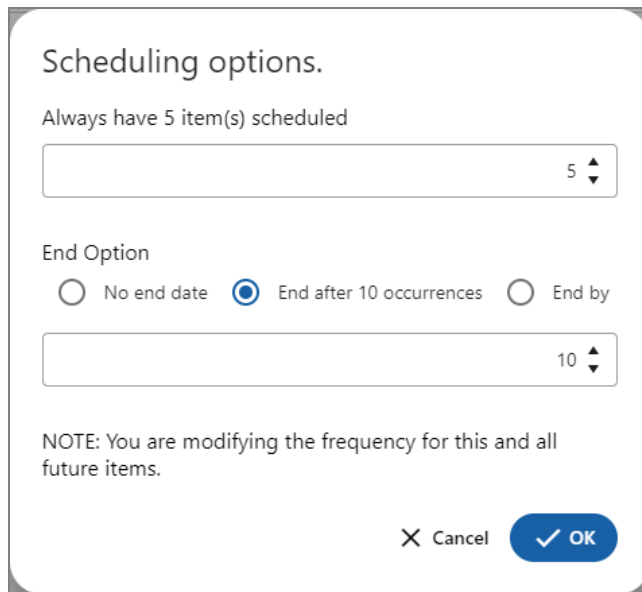
1. In the LPA Group process screen, click the Actions  button in the toolbar. Select the command "Create Audits".
2. Select Audits from the left navigation panel. Then, click the arrow in the Audit Number column to sort the Audits records in descending order. This ensures the most recently created records are shown at the top of the search screen.

Fig. 28: Audits search screen, Audit Number descending order



Audit Number ↓	Audit Title	Audit Type	Lead Auditor	Scheduled Start Date	Scheduled End Date
0000328	LPA - Mounting Plate Assembly Process - Supervisor	LPA - Layered Process Audit	Phil Copper-Audit	1/25/2024, 8:15 AM	1/26/2024, 8:15 AM
0000327	LPA - Mounting Plate Assembly Process - Department Management	LPA - Layered Process Audit	Jack Welch-Quality	1/25/2024, 8:15 AM	1/26/2024, 8:15 AM
0000326	LPA - Mounting Plate Assembly Process - Plant Management	LPA - Layered Process Audit	John Scott-Quality1	1/25/2024, 8:15 AM	1/26/2024, 8:15 AM
0000325	Test Audit tab	ALL - All Audit Types		12/11/2023, 2:50 PM	

3. Double-click one of the Audit records to open it. The detail screen appears. Note that the fields in the General tab are automatically populated.
4. Click the Actions button in the toolbar and select the command "Adjust Scheduled Dates".
5. In the new dialog, change the "Always have X Items Scheduled" value to the number that you require.
6. Set the "End After X Occurrences" number. Then click OK.

Fig. 29: Scheduling Options Dialog

The dialog box is titled "Scheduling options." and contains the following elements:

- A label "Always have 5 item(s) scheduled" above a numeric input field showing the value "5".
- An "End Option" section with three radio buttons: "No end date", "End after 10 occurrences" (which is selected), and "End by".
- A numeric input field below the radio buttons showing the value "10".
- A note: "NOTE: You are modifying the frequency for this and all future items."
- At the bottom right, there are two buttons: "Cancel" with an 'X' icon and "OK" with a checkmark icon.

7. Click the Actions button again and select Change Frequency.
8. In the new dialog, change the Frequency field to another frequency (e.g. Monthly or Bi-weekly) and click OK.
9. Click Save to save the record. When selecting the next state, click Scheduled.
10. Repeat Steps 3-9 for each layer.

Chapter 3

Using the Audit Management Module

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Audits

Auditing the processes and procedures that make up the quality management system is a vital part in ensuring that the system is functioning as designed. The Audits process is one of the main processes of the Auditing module, and is used to schedule and document many types of audits within an organization. You can document and summarize the full audit results, as well as any audit findings, using the Audits process. Audits can also contain a layered process audit. See "Layered Process Audits" on page 51.

The Audits process supports the planning and documenting of all types of audits, including but not limited to:

- First party (internal) compliance and process audits.
- Safety and Environment audits.
- Third party (independent auditor) conformance audits.

Note: Supplier audits are documented using the Supplier Audits process in the Supplier Quality module. See the [Supplier Quality](#) user guide for more information.

The Audit module is designed to facilitate live interaction during the audit execution phase. This means that audit team members can electronically follow the checklist (if applicable), capture evidence, and complete the audit documentation as they conduct the audit.

This process contains commands. See "Commands" on page 92 to learn more.

Fig. 30: Audit screen, General tab

The screenshot displays the 'General' tab of the Audit screen. At the top, there are four input fields: 'Audit Number' (0000860), 'Organizer' (demo superuser), 'Scheduled Start Date' (8/6/2019 12:00 AM), and 'Scheduled Finish Date' (8/8/2019 12:00 AM). Below these is a horizontal tab bar with 'General' selected. The main content area is divided into several sections: 'Audit Title' (Workplace Safety Audit), 'Audit Type' (SAFE - Safety), 'Lead Auditor' (Rachel T), 'Audit Checklist' (a table with one row: Safety Audit Checklist (PPE), 000130), 'Current Scheduling Frequency' (Yearly), 'LPA Group' (LPA - Mounting), and 'LPA Layer' (LPA - Mounting). The 'Audit Checklist' table has columns for 'Checklist Name' and 'Checklist Number'. The 'LPA Group' and 'LPA Layer' sections include dropdown menus and circular icons for selection.

The General tab is used to define the basic details of an audit.

Fig. 31: Audit screen, Audit Team tab

Audit Number ①: 0000860

Organizer ①: demo superuser

Scheduled Start Date ①: 8/6/2019 12:00 AM

Scheduled Finish Date ①: 8/8/2019 12:00 AM

General **Audit Team** Organization Coverage Reference Coverage Audit Results Audit Findings Summary Reviewed Materials

Audit Team Members ①

☐	First Name	Last Name	Auditor	Auditee
☐	Richard	Planer	☐	☒
☐	Floyd	Trainingadministratorson	☐	☒
☐	Edith	Anderson	☐	☒
☐	Dan	Shine	☐	☒
☐	Anand	Venkatachari	☐	☒
☐	Rachel	T	☒	☐

1 - 6 of 6 items

Additional Team Members ①

Enter Additional Team Members

The Audit Team tab lists all of the audit and additional team members that are involved in the audit.

Fig. 32: Audit screen, Organization Coverage tab

Audit Number ①: 0000860

Organizer ①: demo superuser

Scheduled Start Date ①: 8/6/2019 12:00 AM

Scheduled Finish Date ①: 8/8/2019 12:00 AM

General Audit Team **Organization Coverage** Reference Coverage Audit Results Audit Findings Summary Reviewed Materials

Domain ①: 100 - USA

Entity ①: 100 - USA

Site(s) ①

☐	Site Code	Site Name
☐	HQ	Farmington Hills

1 - 1 of 1 items

Department(s) ①

☐	Department Code	Department Name	Site
☐	HS	Health & Safety	HQ - Farmington Hills

1 - 1 of 1 items

Work Center(s) ①

No records available

Shift(s) ①

☐	Shift Code	Shift Name
☐	1ST	First Shift

1 - 1 of 1 items

The Organization Coverage tab specifies exactly where the audit is being held – site, department, work center, and shift.

Fig. 33: Audit screen, Reference Coverage tab

Audit Number ⓘ

0000860

Organizer ⓘ

demo superuser

Scheduled Start Date ⓘ

8/6/2019 12:00 AM

Scheduled Finish Date ⓘ

8/8/2019 12:00 AM

General

Audit Team

Organization Coverage

Reference Coverage

Audit Results

Audit Findings

Summary

Reviewed Materials

Standard(s) ⓘ

☐	Management System Standard Code	Management System Standard	
☐	ISO/TS 16949:2009	Quality Management for Au	
☐	ISO 9001:2008	Quality Management	

1 - 2 of 2 items

Standard Section(s) ⓘ

☐	Section/Requirement Number	Section/Requirement Name	
☐	6.0	Resource Management	
☐	5.0	Managment Responsibility	
☐	6.0	Resource Management	
☐	5.0	Management Responsibility	

1 - 4 of 4 items

Processes ⓘ

☐	Process Code	Process Name	Current State	Version Number	Site	
☐	WEAR GL	PPE Wear Gloves	Obsolete	A	HQ - Farmington Hills	
☐	STOR GL	PPE Storage Gloves	Obsolete	A	HQ - Farmington Hills	
☐	INS GL	PPE Inspection Gloves	Obsolete	A	HQ - Farmington Hills	

1 - 3 of 3 items

Additional Scope and Objectives ⓘ

Use the Reference Coverage tab to list the management system standards and their sections, as well as processes, that are to be audited. This tab also allows you to enter additional items or objectives within the scope of the audit and link a manufacturing document.

Fig. 34: Audit screen, Audit Results tab

Audit Number 0000860 Organizer demo superuser Scheduled Start Date 8/6/2019 12:00 AM Scheduled Finish Date 8/8/2019 12:00 AM

General Audit Team Organization Coverage Reference Coverage **Audit Results** Audit Findings Summary Reviewed Materials

Audit Complete Date Enter Audit Complete Date Maximum Possible Score 24 Total Score 4 Percentage Score 16.7 %

Audit Results

- 000285
- 000286
- 000287
- 000288
- 000289**
- 000290

Results

Question Are the dust masks in safe and acceptable condition? Skipped YES NO

Result Yes

Observations All dust masks being worn are in acceptable condition.
All dust masks available in bin are in acceptable condition.

Audit Finding(s)

☐	Audit Finding Number	Audit Finding Title	Date of Finding	Current State	
☐	000316	All mask equipment in acceptable condition	7/31/2019, 12:00 AM	Draft	

1 - 1 of 1 items

The Audit Results tab allows you to view the questions that should be asked as part of the audit, as well as document the result and any observations made regarding the question. The list of questions is pulled from the Audit Checklist field in the General tab. Each question must be answered or marked as skipped in order for the audit to be completed.

Ad hoc questions can be added to this tab, but they will not be added to the checklist; likewise, if the checklist is modified after being linked to the audit, the changes will not be reflected in this tab. If you want the checklist modifications to be included in the audit, then you must either add them as ad hoc questions or remove all the questions from the Audit Results field and save the record to refresh the checklist.

Fig. 35: Audit screen, Audit Findings tab

Audit Number ⓘ

0000860

Organizer ⓘ

demo superuser

Scheduled Start Date ⓘ

8/6/2019 12:00 AM

Scheduled Finish Date ⓘ

8/8/2019 12:00 AM

General

Audit Team

Organization Coverage

Reference Coverage

Audit Results

Audit Findings

Summary

Reviewed Materials

Audit Finding(s) ⓘ

☐	Audit Finding Number	Audit Finding Type Name	Audit Finding Title	Current State
☐	000316	Observation	All mask equipment in acceptable condition	Draft
☐	000315	Noteworthy Effort	Meticulous and detailed meeting records	Submit for Review
☐	000314	Opportunity for Improvement	Proper PPE storage in shop floor entryway bins	Review Complete - No Action Required

1 - 3 of 3 items

Nonconformance(s) ⓘ

☐	Nonconformance Number	Initiated Date	Initiated By	Current State	Category
☐	0011534	8/2/2019, 1:25 AM	Rachel T	New	

1 - 1 of 1 items

Use the Audit Findings tab to document any findings based on the audit, such as observations, opportunities for improvement, or noteworthy efforts. Any nonconformances that are identified can also be created in this tab.

Fig. 36: Audit screen, Summary tab

Audit Number ⓘ

0000860

Organizer ⓘ

demo superuser

Scheduled Start Date ⓘ

8/6/2019 12:00 AM

Scheduled Finish Date ⓘ

8/8/2019 12:00 AM

General

Audit Team

Organization Coverage

Reference Coverage

Audit Results

Audit Findings

Summary

Reviewed Materials

Executive Summary ⓘ

Paragraph

Select font size

A

B

I

U

1.0 Review of Audit

An annual review of our Base Site warehouse's workplace health and safety management systems was conducted during the week of August 6, 2025 to determine the warehouse's level of health and safety performance measured against the criteria detailed in OSHA.

For the purposes of these audits, an overall rating has been calculated by applying a numerical score to each rating. The results of the audit found that the criteria assessed averaged a score of 4.21, roughly equivalent to a B rating, which alludes to 'Meets and exceeds all essential criteria, however, implementation and/or communication requires improvement.' It should be noted that this is an averaged score and a number of the criteria were assessed as meeting some of the key best practice criteria.

Senior management expressed a commitment to workplace health and safety and were aware of their responsibilities for managing issues and fostering a safe and healthy workforce. A systematic and integrated approach to defining objectives and targets has been developed, which identifies and manages risks and develops...

Audit Approval ⓘ

0

X

Use the Summary tab to document an executive summary of the audit, including a summary of any audit findings. This tab also contains the Audit Approval field.

Fig. 37: Audit screen, Reviewed Materials tab

Audit Number 0000860 Organizer demo superuser Scheduled Start Date 8/6/2019 12:00 AM Scheduled Finish Date 8/8/2019 12:00 AM

General Audit Team Organization Coverage Reference Coverage Audit Results Audit Findings Summary **Reviewed Materials**

Reviewed Documents

☐	Document Number	Document Title	Version Number	Version Date	Current State	Document Type
☐	IdT1 - IdT-0000009	LDDoc10	1	4/25/2019, 1:08 AM	Official - Awaiting Review	Story/QMSSUP-11
☐	SV01 - 000005	SVRT40-2	1	4/20/2019, 5:48 PM	Official - Awaiting Review	SV01 - RegT40
☐	QMSSUP-1394 - QMSSUP-1394	QMSSUP-1394	1	4/17/2019, 5:11 PM	Official	QMSSUP-1394 - Q

1 - 3 of 3 items

Manufacturing Documents

☐	Manufacturing Document Number	Item	Version Number	Version Date	Current State
☐	0000136	998897 - 9	1	7/16/2016, 2:59 PM	Draft

1 - 1 of 1 items

Any documents or manufacturing documents that were planned to be reviewed or were reviewed during the audit can be listed in the Reviewed Materials tab.

Audits States

This section defines each state available in the workflow for the Audits process. See "State Change Security" on page 78 to learn more about how these states transition.

Initial. A newly created audit. The state will move to Draft upon the first save.

Draft (Default). The audit is still being drafted and not yet ready for scheduling.

Scheduled. The lead auditor and auditees have agreed on a specific date to conduct the audit interviews. You cannot enter audit results and findings into the system yet. Auditors and auditees must be notified of the upcoming audit.

In Process. The audit is in process and not yet ready to be marked as Audit Complete. Audit activities, such as interviews and document reviews, have started. You can enter audit results and findings into the system.

Audit Complete. The auditing is completed. All audit results either have a response or are marked as skipped.

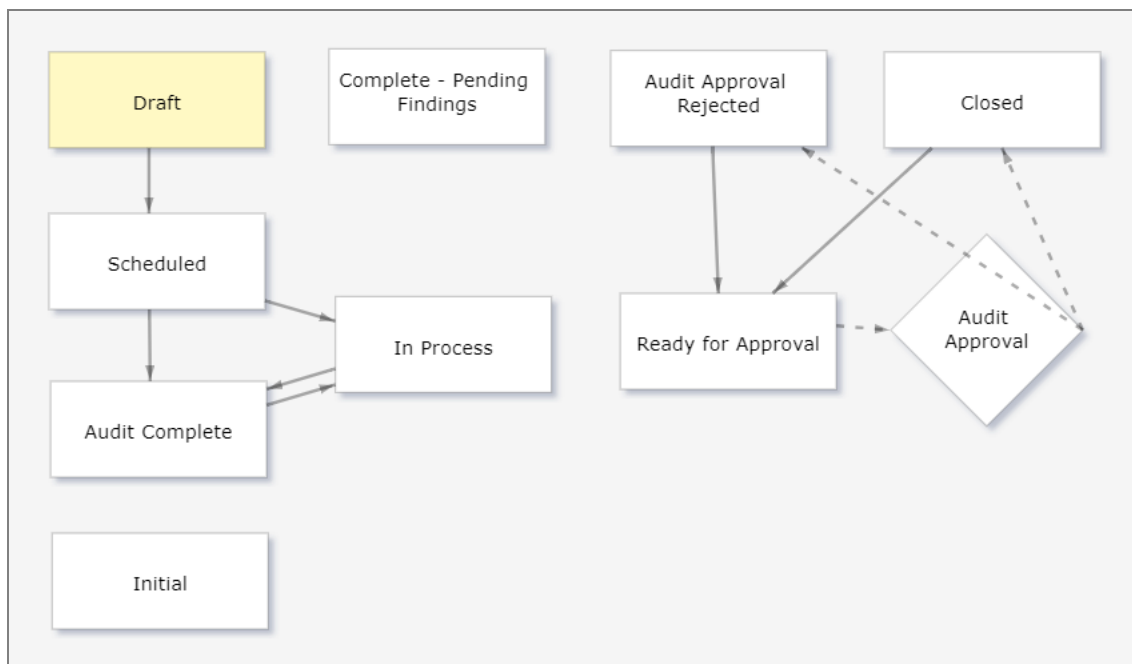
Complete – Pending Findings. The audit is complete, but remains open until all audit findings are complete. This state is automatically set based on the audit type options.

Ready for Approval. The audit execution is finished and the audit is considered to be complete and ready for issuance after a final review. The lead auditor must approve the audit to advance to the next state. This state is automatically set if the audit type requires approval.

Audit Approval Rejected. The approval for the audit was rejected. Audit rejection notes should be reviewed, then the audit must be updated to address the reason for rejection. Finally, the audit must be re-routed for approval.

Audit Approval Rejected is a transitional state indicating that, on review, the lead auditor preferred not to proceed forward with the report issuance. The audit is automatically moved back to In Progress.

Closed. The audit activities are complete and the audit record is closed. Only administrators can modify the audit record. Findings that require tracking or some response are tracked using their own independent statuses.



Audits Tasks

Adding a New Single Audit

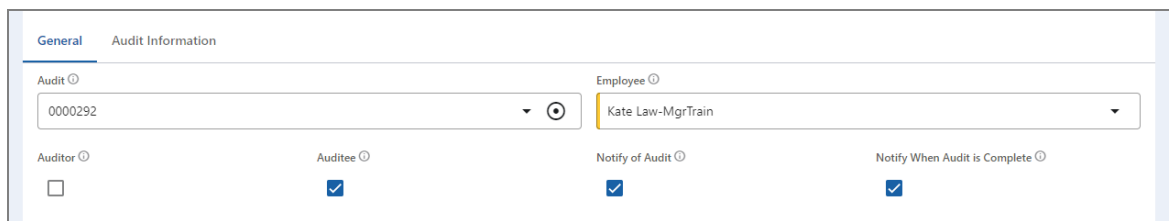
1. Select Audits from the left navigation panel. Then, click the Add New  button in the toolbar.
2. Enter a value for the Audit Title field.
3. Enter the start and finish dates for this audit by clicking the Calendar button in the Scheduled Start Date and Scheduled Finish Date fields and selecting the appropriate dates.
4. Select an audit type and the lead auditor role.
5. In the Audit Checklist field, click the Link  button. A new window opens.

6. Select the check box beside any checklists you want to use on the audit, then click OK.
7. Click Save to save the new record. When selecting the next state, click Draft.

Scheduling a Single Audit

1. In the General tab of the Audit process screen, you can adjust the scheduling options and frequency.
 - **Adjust Schedule Dates.** Modify the number of audit items scheduled at one given time, and determine when scheduling will conclude.
 - **Change Frequency.** Modify the frequency at which new audit items are scheduled.
2. Navigate to the Audit Team tab.
 - a. Click the Add New Item  button on the Audit Team Members field.
 - b. Select an employee to assign as an audit participant from the drop-down list.
 - c. Select the "Auditee" check box.
 - d. Select the "Notify When Audit is Complete" check box.
 - e. Save the record.

Fig. 38: Audit Team Members screen



The screenshot shows the 'General' tab of the 'Audit Information' screen. It features two dropdown menus: 'Audit' with the value '0000292' and 'Employee' with the value 'Kate Law-MgrTrain'. Below these are four checkboxes: 'Auditor' (unchecked), 'Auditee' (checked), 'Notify of Audit' (checked), and 'Notify When Audit is Complete' (checked).

Note: If you selected an LPA Group, then the auditor automatically appears in the Audit Team Members list after the first save. Otherwise, perform Steps 1.a – 1.e, but select the "Auditor" and "Notify of Audit" check boxes instead.

3. Navigate to the Organization Coverage tab. In each field, select any departments, work centers, and shifts that this audit covers.
 - a. Click the Link  button. A new window appears.
 - b. Select each relevant item.
 - c. Click OK.
4. Navigate to the Reference Coverage tab, if it available. Then select the relevant management system standards, standard sections, and processes to be audited. You may choose to add an additional scope and objectives.
5. Navigate to the Audit Results tab.
 - a. If there are no questions in the Audit Results field, click the Add Item button.
 - b. Enter a question and the weight, or relative importance, of the question answer.
6. Navigate to the Reviewed Materials tab. Select any documents or manufacturing documents that should be reviewed as part of this audit.
7. Click Save to save the new record. When selecting the next state, click Scheduled.

Completing a Scheduled Audit with Findings

Note: As you complete the audit, save the record to the In Process state.

1. In the Audit process screen, navigate to the Audit Results tab.
2. Enter the audit results and your observations regarding the result for each item. See "Audit Results" on page 53 for more information.
3. Navigate to the Audit Findings tab.
4. In the Audit Findings field, document any findings based on the audit, such as observations, opportunities for improvement, or noteworthy efforts. See "Audit Findings" on page 57 for more information.
5. If a nonconformance was identified, then add a new nonconformance. See "Nonconformances" in the [NCR & CAPA](#) user guide.
6. Navigate to the Summary tab. In the Executive Summary field, document a detailed summary of the audit, including any findings.
7. Click Save to save the new record. When selecting the next state, click Audit Complete.

Approving an Audit

1. The person responsible for approving an audit is automatically notified when it is time for approval through the Inbox or optionally from an e-mail notification (clicking the link in that message takes you to the process for approval).
2. Open the Inbox, either through the Home Page dashboard or by clicking the Inbox icon in the toolbar.
3. Upon opening the Inbox, click the approval item under the Auditing group to show the inbox action icons. Then click the Open icon. The screen navigates to the audit's detail screen.
4. Navigate to the Summary tab. Scroll down to the Audit Approval field and click the Approve/Reject button. A small window appears.
5. In the Sign Off window, enter password and either approve or reject the change. Use the comments field to document any information about your decision. Comments are required for rejection.

Note: Once all members of the approval process have finished, the audit is closed.

Layered Process Audits

Layered Process Audits (LPAs) often include additional front office personnel on higher levels of the organization structure – that is, over various organization layers. Therefore, an LPA is a process-based approach to conducting audits that are completed by different layers (levels) of the organization.

Note: Audits are created from an LPA for each layer of the LPA; this is performed in the Audits detail screen, so the interface is consistent for all audits.

LPAs are not confined to the Quality Department, but involve all employees in the auditing process. Supervisors conduct frequent process audits in their own area, while higher-level managers conduct the same audits less frequently and over a broader range of areas. These audits also typically include integrated corrective and preventive actions taken either during or immediately after the audit.

Including higher organizational layers in the audit enables the company to gain a better understanding of their manufacturing processes and to generate ideas to improve those processes. For example, if a shop supervisor audits a process and sees that the process is not being followed, the supervisor can use extensive supervisor and hands-on experience to better formulate ideas on how to improve the process to ensure it is followed in the future.

LPAs involve management in the daily or weekly events of the production environment, and do not differ significantly from the Audits process, except that LPAs use the system's scheduling features to constantly generate layered audits based on the defined frequency for each auditor.

The other primary difference between the Audits process and LPAs is that an LPA enforces compliance to a schedule. Therefore, if a particular layer is supposed to complete five audits per week, the LPA reviews how often that layer is in compliance.

For LPAs, the audit organizer creates one audit for each member of the layered process audit team, and, from that point, the auditor adjusts the audit frequency to maintain the audit schedule. The number of audits that must be completed is documented in the layer record. The audit organizer can also remove audit findings and questions.

Fig. 39: Audit screen, LPA fields (circled)

The screenshot displays the 'General' tab of the Audit screen. At the top, there are four input fields: 'Audit Number' (0000860), 'Organizer' (demo superuser), 'Scheduled Start Date' (8/6/2019 12:00 AM), and 'Scheduled Finish Date' (8/8/2019 12:00 AM). Below these are tabs for 'General', 'Audit Team', 'Organization Coverage', 'Reference Coverage', 'Audit Results', 'Audit Findings', 'Summary', and 'Reviewed Materials'. The 'General' tab is active, showing 'Audit Title' (Workplace Safety Audit), 'Audit Type' (SAFE - Safety), and 'Lead Auditor' (Rachel T). The 'Audit Checklist' section contains a table with columns for 'Checklist Name' and 'Checklist Number'. The first row is 'Safety Audit Checklist (PPE)' with number '000130'. To the right of the checklist, there are two circled red boxes. The first box contains 'Current Scheduling Frequency' (Yearly) and 'LPA Group' (LPA - Mounting). The second box contains 'LPA Layer' (LPA - Mounting). Both boxes have '+' and '-' buttons for adjustment. At the bottom, there is a pagination bar showing '1 - 1 of 1 items'.

The Audit Type field determines the LPA group field selection. The LPA Layer field is determined by the LPA Group field. See "LPA Group" on page 37 to learn more about setting up these fields.

Layered Process Audits States

See the state map for the Audits process on page 49.

Layered Process Audits Tasks

Scheduling a New Layered Process Audit

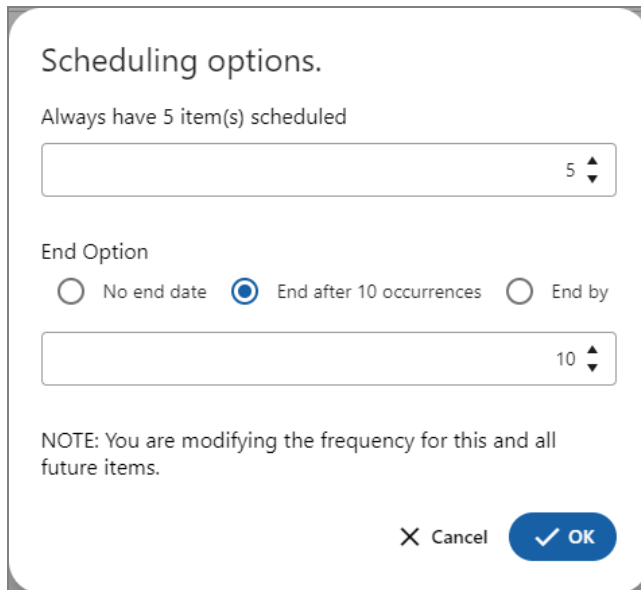
A layered process audit is created the same way as a single audit with a few added steps. Complete "Adding a New Single Audit" on page 49 to learn how to create an audit. The

instructions below take place while completing the General tab.

Note: If you want to create audits directly from an LPA Group, see "Creating Initial Audits from an LPA Group" on page 40 for instructions.

1. Click the Actions  icon in the toolbar and select the command "Adjust Scheduled Dates".
2. In the new dialog, change the "Always have X Items Scheduled" value to the number that you require.
3. Set the "End After X Occurrences" number. Then click OK.

Fig. 40: Scheduling Options Dialog



The dialog box is titled "Scheduling options." It contains a text input field with the value "5" and a label "Always have 5 item(s) scheduled". Below this is a section titled "End Option" with three radio buttons: "No end date", "End after 10 occurrences" (which is selected), and "End by". Below the radio buttons is another text input field with the value "10". At the bottom, there is a note: "NOTE: You are modifying the frequency for this and all future items." and two buttons: "Cancel" and "OK".

4. Click the Actions icon again and select Change Frequency.
5. In the new dialog, change the Frequency field to Monthly and click OK.
6. Specify the LPA group and LPA layer.
7. Once the rest of the audit details are specified, click Save to save the record. When selecting the next state, click Scheduled.

Audit Results

Audit Results records allow auditors to document the results and any observations made for each question asked during the audit. Audit results are then typically totaled or averaged to be used as a comparison to other areas within the organization.

Note: An audit result does not exist on its own and must be associated with an audit or LPA.

Audit results are typically recorded in the Audit Results tab of the audits screen. See "Audits" on page 43.

This process contains commands. See "Commands" on page 92 to learn more.

Fig. 41: Audit Results screen, General tab

Question Auto Number ①: 000289

Question Number ①: 5

Audit Type ①: SAFE - Safety

Auditor ①: Rachel T

General Results Links

Max Score ①: 4

Audit ①: 0000860

Domain ①: 100 - USA

Entity ①: 100 - USA

Site ①: HQ - Farmington Hills

The General tab is used to define the basic details of an audit results record.

Fig. 42: Audit Results screen, Results tab

Question Auto Number ①: 000289

Question Number ①: 5

Audit Type ①: SAFE - Safety

Auditor ①: Rachel T

General Results Links

Question ①: Are the dust masks in safe and acceptable condition?

Skipped ①: YES NO

Result ①: Yes

Result Score ①: 4

Observations ①: All dust masks being worn are in acceptable condition.
All dust masks available in bin are in acceptable condition.

Audit Finding(s) ①:

☐	Audit Finding Number	Audit Finding Title	Date of Finding	Current State	
☐	000316	All mask equipment in acceptable condition	7/31/2019	Draft	

1 - 1 of 1 items

Sequence ①: 5.0

Notes ①: Check for holes in the filter, deterioration to the metal nose clip, and the elasticity of the face straps.

Weight ①: 1

Use the Results tab to document any pertinent observations and findings of the audit result.

Fig. 43: Audit Results screen, Links tab

Question Auto Number ①: 000289 Question Number ①: 5 Audit Type ①: SAFE - Safety Auditor ①: Rachel T

General Results **Links**

MSS Sections Covered ①

☐	Management System Standard Code	Section/Requirement Number	Section/Requirement Name	
☐	ISO 22000:2005	7.0	Planning and Realization of Safe Products	
☐	ISO 9001:2008	5.0	Management Responsibility	

1 - 2 of 2 items

Processes Covered ①

☐	Process Code	Process Name	Process Description	
☐	WEAR GL	PPE Wear Gloves	Ensure that the cut-resistant gloves fit snugly without being too tight. Replace if the grip/material is com	
☐	INS GL	PPE Inspection Gloves	Determine that the clothing material is acceptable for the specified task	
☐	STOR GL	PPE Storage Gloves	Properly store cut-resistant gloves	

1 - 3 of 3 items

Document(s) Reviewed ①

☐	Document Type	Document Number	Document Title	Version Number	Version Date	Owner	
No records available							

Use the Links tab to associate an audit result with specific processes, MSS sections, and documents.

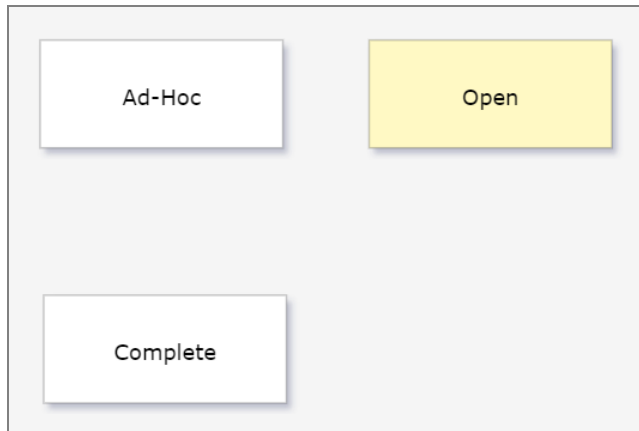
Audit Results States

This section defines each state available in the workflow for the Audit Results process. See "State Change Security" on page 78 to learn more about how these states transition.

Ad-Hoc. The audit result was created manually.

Open (Default). The audit result is still open and has not yet been marked as complete by the auditor.

Complete. The audit result is complete.



Audit Results Tasks

Completing Audit Results in an Audit

1. Select Audits from the left navigation panel. Then, double-click the record that you want to edit.
2. On the Audit Results tab, select each question in turn. The list of questions that must be answered are available on the left hand side of the screen. Click each question ID to activate that question.

Fig. 44: Audit Results List

3. Select an appropriate response from the Result drop-down.

Note: You may skip a question by setting the "Skipped" toggle field to YES. A new field titled Comments will appear; comments are required if the question is skipped.

4. Enter any necessary observations.

Note: You can configure some response choices to require the Observations field to be populated. This is configured in the Global Choices process. In this case, the check mark in the question list changes to a red exclamation mark and the entire audit is blocked from saving because of validation errors.

Fig. 45: Audit Results Errors



5. Once all audit results have been filled out, click Save to save the record. When selecting the next state, click In Process or Audit Complete.

Adding Ad Hoc Questions

If you want to document a question that was not initially part of the checklist, click the Add Item button. When you add a new ad hoc question, you must supply the question, reference, and question choice yourself before supplying a response.

1. Navigate to the Audit Results tab of the Audits detail screen.
2. In the Audit Results field, click the Add Item button.
3. Enter the question. Note that this is a required field.
4. Supply notes, weight, and sequence as needed.
5. In the Question Choices field, decide whether to use a predefined global choice or create your own list.

Note: If you create your own list, you must save the audit record first before you can select a response.

6. Enter the response using the steps laid out in "Completing Audit Results in an Audit" on the previous page.
7. Once all audit results have been filled out, click Save to save the record. When selecting the next state, click In Process or Audit Complete.

Audit Findings

Audit Findings allow an auditor to document any observations, opportunities for improvement, or noteworthy efforts that are noticed during the audit. This is not to be confused with the Audit Results process, which is used to document the result of each question asked on an audit or LPA audit.

Findings are audit outcomes not considered to be non-conformities, either because they represent a favorable outcome or their severity, frequency, or depth of analysis did not warrant a non-conformity. Observations and findings require, at minimum, some form of acknowledgment from the auditee or designated responsible person. The system facilitates this process using notifications and a simple workflow.

Note: An audit finding does not exist on its own and must be associated with an audit or LPA audit.

Fig. 46: Audit Findings screen, General tab

Audit Finding Number ⓘ 000314	Date of Finding ⓘ 7/31/2019	Audit Finding Type ⓘ OI - Opportunity for Improve	Auditor ⓘ Rachel T
<div>General Audit Finding Review Task Assignment/Escalation</div>			
Audit Finding Title ⓘ Proper PPE storage in shop floor entryway bins			
Audit Finding Details ⓘ While conducting the audit, auditor found that gloves, helmets, and safety goggles were mixed together in the SE entryway PPE bins.			
Audit Result ⓘ Enter Audit Result	Audit ⓘ 0000860	Site ⓘ HQ - Farmington Hills	Finding Complete ⓘ 1

The General tab is used to define the basic details of an audit finding record.

Fig. 47: Audit Findings screen, Audit Finding Review tab

Audit Finding Number ⓘ 000314	Date of Finding ⓘ 7/31/2019	Audit Finding Type ⓘ OI - Opportunity for Improve	Auditor ⓘ Rachel T
<div>General Audit Finding Review Task Assignment/Escalation</div>			
Escalate to NCR ⓘ YES NO		Escalate to Corrective Action ⓘ YES NO	
Audit Finding Review Notes ⓘ PPE must be stored properly (separated into designated sections) after each shift. Recommended that shift leaders remind their teams about proper PPE protocol during their next team meeting.			

During the review of the audit finding, make any notes in this tab regarding the review.

Fig. 48: Audit Findings screen, Task Assignment/Escalation tab

Audit Finding Number ⓘ 000314	Date of Finding ⓘ 7/31/2019	Audit Finding Type ⓘ OI - Opportunity for Improve	Auditor ⓘ Rachel T
<div>General Audit Finding Review Task Assignment/Escalation</div>			
Responsibility ⓘ Nicolas Cianciolo	Target Completion Date ⓘ 8/16/2019	Actual Completion Date ⓘ 8/12/2019	
Task Description ⓘ In next team lead meeting, inform shift leaders they must remind their teams about proper PPE protocol during their next team meeting.			
Progress/Completion Notes ⓘ All shift leaders have been informed, and a reminder has been posted on the information wall in the break room.			

Use the Task Assignment/Escalation tab to designate the user who is responsible for completing the audit assignment. You can also specify the target and actual completion dates, task description, and progress/completion notes.

Audit Findings States

This section defines each state available in the workflow for the Audit Findings process. See "State Change Security" on page 78 to learn more about how these states transition.

Draft (Default). The audit finding is being completed by the auditor, and is not yet ready to be reviewed.

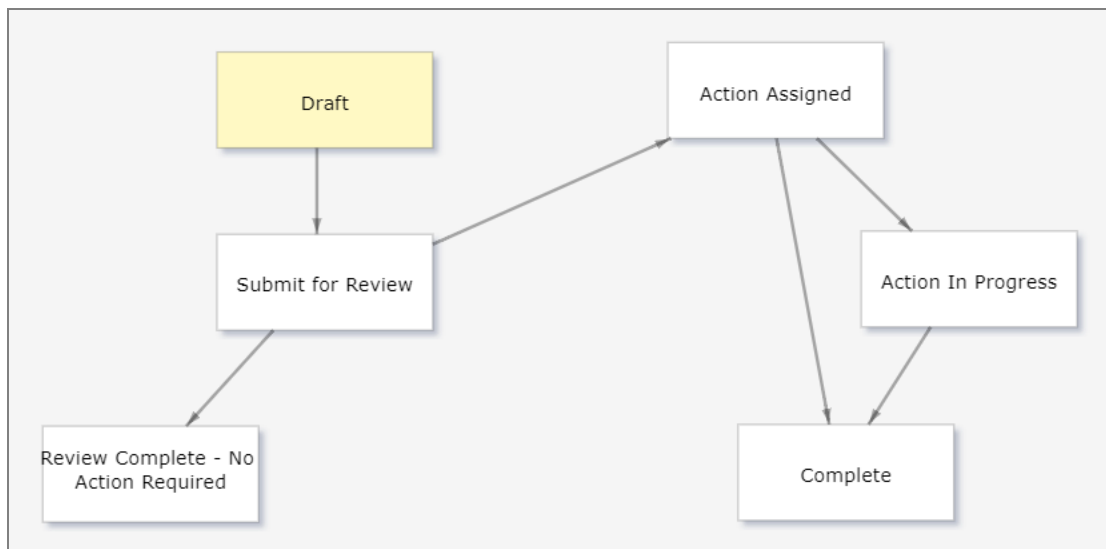
Submit for Review. The audit finding is ready for review by the audit team. Each audit finding must be reviewed to determine if action is required.

Review Complete – No Action Required. The audit finding was reviewed and no action was required.

Action Assigned. The audit finding action is ready for the person responsible to be notified.

Action In Progress. Select this action to denote that the audit finding action is being worked on.

Complete. The audit finding is complete.



Audit Findings Tasks

Adding Findings to an Audit

1. Open an Audit process with a state of Audit Complete.
2. Navigate to the Audit Findings tab. Click the Add New Item  button in the Audit Findings field. A new screen appears.

3. The Audit and Date of Finding fields are automatically populated.
4. Select an Audit Finding Type, which drives whether the finding requires acknowledgment.
5. Enter values in the following fields:
 - Audit Finding Title
 - Audit Finding Details
 - Auditor

Note: If the finding type requires acknowledgment and the audit is issued, the persons responsible receive a notification prompting them to acknowledge the finding.

6. Click Save to save the record. When selecting the next state, click Submit for Review.

Note: The lead auditor or the audit team member who created a finding can double-click the audit finding in the Findings grid to open and edit existing findings. The ability to edit is revoked when the audit is completed.

Reviewing and Assigning an Audit Finding

1. The auditor is automatically notified when the audit finding is Submit for Review.
2. Open the Inbox, either through the Home Page dashboard or by clicking the Inbox icon in the toolbar.
3. Upon opening the Inbox, click the assignment item under the Auditing group to show the inbox action icons. Then click the Open icon. The screen navigates to the audit finding's detail screen.
4. Review the information in the General tab.
5. Navigate to the Audit Finding Review tab. Record any notes in the Audit Finding Review Notes field.

Note: If the audit finding requires no further action, then click Save to save the record. When selecting the next state, click Review Complete – No Action Required.

6. If you want to escalate the audit finding to a nonconformance or a corrective action, then select Yes in the appropriate toggle field.
7. Navigate to the Task Assignment/Escalation tab. If the audit finding requires follow-up action, then assign a responsibility, target completion date, and task description.
8. Click Save to save the record. When selecting the next state, click Action Assigned.

Completing an Audit Finding

1. The person responsible for completing the audit finding is automatically notified when the audit finding is assigned to them.
2. Open the Inbox, either through the Home Page dashboard or by clicking the Inbox icon in the toolbar.
3. Upon opening the Inbox, click the assignment item under the Auditing group to show the inbox action icons. Then click the Open icon. The screen navigates to the audit finding's detail screen.
4. Navigate to the Task Assignment/Escalation tab. Note the task description and target completion date.

5. As you complete the task, enter your progress and completion notes in the Progress/Completion Notes field. If you need to save the record, select the state Action In Progress.
6. When finished, enter the actual date of completion.
7. Click Save to save the record. When selecting the next state, click Complete.

Chapter 4

Inbox Messages

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Inbox Messages...63

Introduction to Inbox Messages

Most processes in the system require multiple people, departments, or groups to coordinate on completing a process. The inbox automates notifications sent to the appropriate users at specific times in the process.

An individual inbox action item represents a single task, approval, or notification that has been sent to you. This task will remain in your inbox until the necessary steps have been taken for completion.

Inbox messages can be separated into three different action types:

- **Assignment.** You are required to take some action in the system to move it beyond your workflow.
- **Approval.** Your approval is requested. You must approve or reject the process item.
- **Acknowledgment.** This is only for your information. You can acknowledge the notification to remove it from your inbox.

See the [User Interface](#) user guide to learn how to access inbox messages.

Inbox Messages

The table below describes each inbox action item involved in the Audit Management module. In addition to title and description, the table indicates which process each item comes from, who receives the message, and when it is sent. See the [User Interface](#) user guide to learn more about inbox messages.

Process	Title	Message	Action Type	Sent To / Sent When
Processes	Owner – Approval Approved	The following process approval has been approved. This is just a notification of the approval. Process: {ProcessCode_f}	Assignment	Sent to the Process Owner when the process has been approved.
Processes	Owner – Requires Review	The following process requires review. Please review the process and start a new change if changes are required or move the state back to official if no changes are required. Process: {ProcessCode_f}	Assignment	Sent to the Process Owner when the current state changes to Requires Review.
Processes	Owner – Approval Rejected	The following process approval has been rejected. This is just a notification of the rejection. Process: {ProcessCode_f}	Assignment	Sent to the Process Owner when the current state changes to Approval Rejected.

Process	Title	Message	Action Type	Sent To / Sent When
Processes	Change Owner – Affected Process Ready for Change	Process {ProcessCode_f} is ready for change Reason: {ReasonforChange_f} Due date: {ChangeDueDate_f}	Assignment	Sent to the Change Owner when a new user becomes the Change Owner. The state must be Draft and the process must not be linked to a change request.
Processes	Change Owner – Change Overdue	Process {ProcessCode_f} is past due for change Reason: {ReasonforChange_f} Due date: {ChangeDueDate_f}	Assignment	Sent to the Change Owner when the current state is NOT Complete and the current date is 1 day past the change due date.
Processes	Change Owner > Reports to – Change Overdue – Escalation	Process {ProcessCode_f} is past due for change - Escalation Please address this with {ChangeOwner_f} Reason: {ReasonforChange_f} Due date: {ChangeDueDate_f}	Assignment	Sent to the Change Owner's Supervisor when the current state is NOT Complete and the current date is 7 days past the change due date.
Processes	Past Effective Date and Not Approved	Process {ProcessCode_f} is past effective date and has not been approved Reason: {ReasonforChange_f} Due date: {ChangeDueDate_f}	Assignment	Sent to the Process Owner when the current date is 1 day past the effective date and the process is not approved.
Processes	Past Effective Date and Not Approved – Escalation	Process {ProcessCode_f} is past effective date and has not been approved - Please address with {ProcessOwner_f} Reason: {ReasonforChange_f} Due date: {ChangeDueDate_f}	Assignment	Sent to the Process Owner's Supervisor when the current date is 7 days past the effective date and the process is not approved.
Processes	Approvers - Awaiting Approval	The following process is ready for approval, please approve or reject the change. Process: {ProcessCode_f} - {ProcessName_f} Change Description: {ChangeDescription_f}	Approval	Sent to approvers when the process is ready for approval.

Process	Title	Message	Action Type	Sent To / Sent When
Audits	Lead Auditor – Scheduled	<p>This message is a notification that an audit has been assigned to you to be the lead auditor, please see the details below.</p> <p>Scheduled Date: {ScheduledStartDate_f}</p> <p>Audit Title: {AuditTitle_f}</p>	Assignment	Sent to the Lead Auditor when the current state is Scheduled or In Process.
Audits	Audit Organizer – Closed	<p>The following audit was closed. This is simply a notification that the audit, which was completed on {AuditCompleteDate_f}, has been closed.</p> <p>Audit Type: {AuditType_f}</p> <p>Audit Title: {AuditTitle_f}</p> <p>Lead Auditor: {LeadAuditor_f}</p>	Assignment	Sent to the Audit Organizer when the current state is Closed.
Audits	Audit Organizer – Past Due	<p>The following audit is past due. This is just a notification that the audit is past due its scheduled finish date of {ScheduledFinishDate_f}.</p> <p>Audit Type: {AuditType_f}</p> <p>Audit Title: {AuditTitle_f}</p> <p>Lead Auditor: {LeadAuditor_f}</p>	Assignment	Sent to any member of the Audit Organizer security role when a scheduled audit is past due.
Audits	Audit Organizer – Complete	<p>The following audit was completed. This is just a notification that the audit was completed on {AuditCompleteDate_f}.</p> <p>Audit Type: {AuditType_f}</p> <p>Audit Title: {AuditTitle_f}</p> <p>Lead Auditor: {LeadAuditor_f}</p>	Assignment	Sent to any member of the Audit Organizer role when a scheduled audit is completed.

Process	Title	Message	Action Type	Sent To / Sent When
Audits	Lead Auditor – Complete	The following audit was completed. This is just a notification that the audit was completed on {AuditCompleteDate_f}. Audit Type: {AuditType_f} Audit Title: {AuditTitle_f} Lead Auditor: {LeadAuditor_f}	Assignment	Sent to the Lead Auditor when the scheduled audit's current state changes to Complete – Pending Findings.
Audits	Lead Auditor – Approval Rejected	The following audit's approval has been rejected. Please review the comments from the approvers, make the necessary changes and then re-submit the audit for approval.	Assignment	Sent to the Lead Auditor when the current state changes to Approval Rejected.
Audits	Lead Auditor – Past Due	The following audit is past due. This is just a notification that the audit is past due it's scheduled finish date of {ScheduledFinishDate_f}. Audit Type: {AuditType_f} Audit Title: {AuditTitle_f} Lead Auditor: {LeadAuditor_f}	Assignment	Sent to the Lead Auditor when the scheduled audit is 1 day past the due date.
Audits	Past Due – Escalation	The following audit is past due. Please address this with the lead auditor. Audit Type: {AuditType_f} Audit Title: {AuditTitle_f} Lead Auditor: {LeadAuditor_f}	Assignment	Sent to the Lead Auditor's Supervisor when the scheduled audit is 7 days past the due date.
Audits	Audit Team – Scheduled Notification	This message is a notification that you will be a participant in an upcoming audit, please see the details below. Schedule Date: {ScheduledStartDate_f} Audit Title: {AuditTitle_f}	Assignment	Sent to the members of the audit team within an audit when the current state changes to Scheduled.

Process	Title	Message	Action Type	Sent To / Sent When
Audits	Audit Complete Notification	This message is a notification that this audit has been completed and is available in read-only view to review, please see the details below. Audit Title: {AuditTitle_f}	Assignment	Sent to the members of the audit team within an audit when the current state changes to Audit Complete.
Audits	Approvers – Ready for Approval	The following audit is ready for approval, please approve or reject the change by {ScheduledFinishDate_f} Lead Auditor: {LeadAuditor_f} Executive Summary: {ExecutiveSummary_f}	Approval	Sent to the approvers when an audit is ready for approval.
Audit Findings	Responsibility – Action Assigned	This message is a notification that an audit finding has been assigned to you for completion, please see the details below. Task Description: {TaskDescription_f} Target Completion Date: {TargetCompletionDate_f} Please contact the lead auditor, {Auditor_f}, for additional information.	Assignment	Sent to the assigned Responsibility when the current state changes to Action Assigned.
Audit Findings	Auditor – Completed	The following audit finding has been completed, this is just a notification of the audit finding being completed. Task Description: {TaskDescription_f} Audit: {Audit_f}	Assignment	Sent to the Auditor when the current state changes to Complete.
Audit Findings	Auditor – Not Assigned	This following audit finding is waiting for a review of the finding to happen, or for it to be moved to Action Assigned: Task Description: {TaskDescription_f} Audit: {Audit_f}	Assignment	Sent to the Auditor when the current state changes to Draft or Submit for Review.

Process	Title	Message	Action Type	Sent To / Sent When
Audit Findings	Lead Auditor – Finding Not Assigned	<p>This following audit finding is waiting for a review of the finding to happen, or for it to be moved to Action Assigned:</p> <p>Task Description: {TaskDescription_f}</p> <p>Audit: {Audit_f}</p> <p>Auditor for the Finding: {Auditor_f}</p>	Assignment	Sent to the Lead Auditor the current state is Draft and no auditor is assigned.

Chapter 5

Metrics and Reports

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Introduction to Metrics and Reports

The QMS system includes reporting and metric features that let you analyze the data in each process, measuring efficiency and effectiveness. The metrics and reports available differ between each process.

Report are generated within each process, either from the search screen or the detail screen. Metrics and key process indicators (KPIs) are gadgets that can be placed on one of your dashboards.

See the [User Interface](#) user guide to learn how to generate reports, metrics, and KPIs.

Reports

Pre-set reports have been set up to be pulled on a process by process basis, though not every process has a pre-set report. Certain reports require additional parameters in order to be previewed. The parameters are listed on the right side of the preview window. If a report requires parameters, then this pane will automatically appear. Once you have selected the desired parameters, click the Preview button to see the report preview.

Below is a table that describes each report available in the Audit Management module. In addition to title and description, the table indicates which process each report comes from and whether it is pulled from the search screen or detail screen. Lastly, if the report requires specific parameters in order to be generated properly, a description of those parameters is included below that report. See the [User Interface](#) user guide to learn how to access reports.

Process	Pulls From	Title	Description
Audit Types	Detail screen	Audit Trail – Audit Types	Provides a path of how the record has progressed over time with changes (who, what, and when).
Audit Question Categories	Detail Screen	Audit Trail – Audit Question Categories	Provides a path of how the record has progressed over time with changes (who, what, and when).
Management System Standards	Detail Screen	Audit Trail – Management System Standards	Provides a path of how the record has progressed over time with changes (who, what, and when).
Audit Questions	Detail screen	Audit Trail – Audit Questions	Provides a path of how the record has progressed over time with changes (who, what, and when).
Audit Checklist	Detail screen	Audit Trail – Audit Checklist	Provides a path of how the record has progressed over time with changes (who, what, and when).
Audit Finding Types	Detail screen	Audit Trail – Audit Finding Types	Provides a path of how the record has progressed over time with changes (who, what, and when).
Processes	Detail screen	Audit Trail – Processes	Provides a path of how the record has progressed over time with changes (who, what, and when).

Process	Pulls From	Title	Description
Processes	Search & Detail Screen	Management System Standard Coverage	Matrix of processes versus section/requirements of a selected management system standard to show which processes cover which section/requirement. A section/requirement with no processes would indicate a missing process.
Processes	Search & Detail Screen	Process Audit Coverage	Displays each process for a selected site and whether or not the process has been audited in the last 12 months from the current date.
Processes	Detail Screen	Process Card	Displays the details of a process in a convenient card format.
Processes	Detail Screen	Process Turtle Diagram	Displays the details of a progress in a turtle diagram format. Typically the turtle diagram is the starting point for conducting a process based audit.
LPA Group	Detail Screen	Audit Trail – LPA Group	Provides a path of how the record has progressed over time with changes (who, what, and when).
LPA Group	Detail Screen	LPA Assignment Matrix	Provides a list of who is assigned to the LPA group by layer.
LPA Group	Search & Detail Screen	LPA Summary by Year	Shows a summary of LPA compliance by sites and year plus a list of related nonconformances.
Audits	Detail Screen	Audit Detail Report	Displays the full details of the audit, including the audit results, audit findings, and any nonconformances for the audit.
Audits	Search Screen	Audit Findings for Specified Organizer by Month	Displays the audit findings of an audit for a specified organizer, organized by month.
Audits	Search Screen	Audit Monthly Score Analysis	Provides an analysis of how many audits were completed on time and their score percentage for selected Audit Types over a selected period of time for a selected site.
Audits	Search & Detail Screen	Audit Monthly Standards Analysis	Provides an analysis of standards and standards sections covered by the selected Audit Types over a selected period of time for a selected site.
Audits	Detail Screen	Audit Summary	Gives a summary of the audit, including the executive summary entered by the auditor as well as audit scores and number of audit findings.
Audits	Detail Screen	Audit Trail – Audits	Provides a path of how the record has progressed over time with changes (who, what, and when).

Process	Pulls From	Title	Description
Audits	Detail Screen	Blank Audit	Displays the header information of the audit and then provides blank spaces to fill out the audit results, findings, and any nonconformances. The report can be used to print out and then fill out as you are conducting the audit.
Audits	Search Screen	LPA Compliance Chart	Graphs the LPA Layers, employees responsible for those layers, and the number of completed audits compared to the number of required audits for that layer, grouped by week and month.
Audits	Search Screen	LPA Compliance Report	Details the LPA Layers, employees responsible for those layers, and the number of completed audits compared to the number of required audits for that layer, grouped by week and month.
Audits	Search & Detail Screen	LPA Summary by Year	Shows a summary of LPA compliance by sites and year, as well as a list of related nonconformances.
Audits	Search & Detail Screen	Process Audit Coverage	Lists processes for a selected site and provides a month and year when audits were completed for those processes.
Audits	Detail Screen	Product Audit	Provides audit details for audits that covered a manufacturing document product
Audits	Detail Screen	VDA Assessment Overview Potential Analysis	Shows a supplier's potential to meet the requirements to supply a part or service. The report is in compliance to VDA 6.3.
Audits	Detail Screen	VDA Improvements Potential Analysis	Summarizes the findings associated with an audit and indicate the list of potential improvements. The report is in compliance to VDA 6.3.
Audits	Detail Screen	VDA NonConformances	Shows nonconformances related to an audit in a format. The report is in compliance to VDA 6.3.
Audits	Detail Screen	VDA Question Summary	Summarizes the number of questions related to each category and subsection. The report is in compliance to VDA 6.3.
Audits	Detail Screen	VDA Results Summary	Shows the degree to which the organization audited conforms to each individual category covered in the audit. The report is in compliance to VDA 6.3.
Audit Results	Detail screen	Audit Trail – Audit Results	Provides a path of how the record has progressed over time with changes (who, what, and when).
Audit Findings	Detail screen	Audit Trail – Audit Findings	Provides a path of how the record has progressed over time with changes (who, what, and when).

Metrics

Below is a table that describes each metric available in the Audit Management module. In addition to title and description, the table indicates which process each metric comes from. Lastly, if the metric requires specific parameters in order to be generated properly, a description of those parameters is included below that metric. See the [User Interface](#) user guide to learn how to access reports.

Process	Pulls From	Title	Description
Audits	Gadgets	Audit Average Score by Type	The average score of an audit by Audit Type and Site.
Audits	Gadgets	Audit On-Time Completion	A percent that identifies how often audits are completed on time.
Audits	Gadgets	Number of Past Due Audits Grouped by Site	Shows the number of audits that are not complete and are past their due date grouped by site.
Audits	Gadgets	Complete Audits by Site in the Past 365 Days	Shows a count of complete or closed audits in the past year, grouped by site.
Audits	Gadgets	Complete Audits with NCRs by Site for the Past 365 Days	Shows a count of complete or closed audits in the past year that contain a nonconformance, grouped by site.
Audits	Gadgets	Total Audits vs Closed Audits	Shows a count of all audits, compared to a count of audits that are completed or closed within the past year.
Audit Findings	Gadgets	Number of Findings by Audit and Finding Type	Displays the total number of findings for each audit finding type of each audit.
Audit Findings	Gadgets	Past Due Audit Findings by Site	Shows the number of findings that are not complete and are past their due date, grouped by site.

KPIs

See the [User Interface](#) user guide to learn more about KPIs.

There are no KPIs available for this module.

Chapter 6

Security Settings

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Security Roles

Security roles define how various users access and control different types of processes and data. These roles are then assigned to each user. Some roles are used by many users, while others may only be applied to one or two individuals.

The following security roles apply in the Auditing module.

All Roles

Any security applied to this special system role applies to all users of the system.

Auditing Administrator

Allows users to add, edit, and remove records in any process in the Auditing module.

Auditing Champion

Allows users to add records in any process in the Auditing module.

Auditing Maintenance

Allows users to add, edit, and remove audit types, audit finding types, processes, and global choice options.

Audit Module Maintenance

Allows users to add, edit, and remove audit types and audit finding types.

Auditing Navigation

Allows users to navigate the Auditing module.

Audit Organizer

Allows users to create and remove audits and to remove audit findings and audit questions.

The audit organizer is responsible for adding audits to the system. Most organizations create a yearly audit plan and then conduct the audits planned throughout the year as scheduled. In this scenario, the audit organizer creates the audits in the system at the scheduled dates.

Auditee

The Auditee role applies to anyone in the organization who may be audited by the audit program. During the audit, the auditee is required to respond to the questions asked by the auditor and to possibly provide evidence that the process being audited is actually followed.

After the audit is complete and the auditor has finished documenting the audit, including any findings found during the audit, the auditee may be responsible for reviewing and completing follow-up actions. Auditees, typically, do not have direct interaction with the Auditing module for data entry.

Auditor

Allows users to edit audits; to add and edit audit findings; to add, edit, and remove audit team members; and to add and edit audit checklists and audit questions.

Process Add

Allows users to add new processes and to edit processes.

System Administrator

Allows users to add and remove security roles, domains, entities, sites, locations, generalized code types and generalized codes, product lines, item groups, item types, review frequencies, company types, cost accounts, and units of measure.

In addition to the ability to add and remove items, users can also view and edit all fields for the processes listed. Typically, the System Administrator role is assigned to one or two individuals who are responsible for setting up data for others to use.

System View

System View is a generic role that most users and modules use. This role allows users to view (but, in most cases, not to edit) much of the non-sensitive data in the system. The ability to view data is subject to their access to navigate to and open a process.

Process Security Roles

Each list below displays the security roles that provide you with permissions to add items for the indicated individual process.

Global Choice

- Auditing Administrator
- Auditing Champion
- Auditing Maintenance
- Training Administrator
- Training Champion
- Training Maintenance

Audit Types

- Auditing Administrator
- Auditing Champion
- Auditing Maintenance

Audit Question Categories

- Auditing Administrator
- Auditing Champion
- Auditing Maintenance

Management System Standards

- Auditing Administrator
- System Administrator

Audit Questions

- Auditing Administrator
- Auditing Champion
- Auditing Maintenance

Audit Checklist

- Auditing Administrator
- Auditing Champion
- Auditing Maintenance
- Auditor

Audit Finding Type

- Auditing Administrator
- Auditing Champion
- Auditing Maintenance

Processes

- APQP Administrator
- APQP Champion
- APQP Maintenance
- Auditing Administrator
- Auditing Champion
- Auditing Maintenance

LPA Group

- Audit Organizer
- Auditing Administrator
- Auditing Champion
- Auditing Maintenance
- Auditor

Audits

- Audit Organizer
- Auditing Administrator
- Auditing Champion
- Auditor

Layered Process Audits

- Audit Organizer
- Auditing Administrator
- Auditing Champion

Audit Results

- Audit Organizer
- Auditing Administrator
- Auditing Champion
- Auditor

Audit Findings

- Auditing Administrator
- Auditing Champion
- Auditor

State Change Security

As you complete tasks in the system, changes occur based on your activities (such as changing a record's state) and when other events occur (such as a specific amount of time passing). The changes based on your activities are called **actions**, while the event-based changes are called **transactions**. The main difference between the two is the initiator: actions are performed by users, and transactions are managed by the system.

Each system change may depend on a number of factors, including where you are in the system, who is involved, which fields are populated, and more. It is important to know the actions and transactions for each process because these affect your ability to complete a task.

The state change security for each process is separated into two sections:

1. **Security.** Which users (by security role or field role) can change the state of a record. Field roles are indicated with an asterisk*.
2. **Transactions.** The conditions that must be met to initiate a transactions.

Security

Audit Types

Transitions	Auditing Administrator	Auditing Maintenance
Active >> Inactive	✓	✓
Inactive >> Active	✓	✓

Management System Standards

Transitions	System Administrator
Active >> Inactive	✓
Inactive >> Active	✓

Audit Questions

Transitions	Audit Organizer	Auditing Administrator
Active >> Inactive	✓	✓
Inactive >> Active	✓	✓

Audit Checklist

Transitions	Auditing Administrator	Auditing Champion	Auditing Maintenance	Auditor
Active >> Inactive	✓	✓	✓	✓
Inactive >> Active	✓	✓	✓	✓

Audit Finding Types

Transitions	Auditing Administrator	Auditing Champion	Auditing Maintenance
Active >> Inactive	✓	✓	✓
Inactive >> Active	✓	✓	✓

Processes

Transitions	Change Coordinator*	Change Owner*	APQP Administrator	APQP Champion	APQP Maintenance	Auditing Administrator	Auditing Champion	Auditing Maintenance
Approval Rejected >> Ready for Approval	✓	✓	✓	X	✓	✓	X	✓

Transitions	Change Coordinator*	Change Owner*	APQP Administrator	APQP Champion	APQP Maintenance	Auditing Administrator	Auditing Champion	Auditing Maintenance
Draft >> Ready for Approval	✓	✓	✓	✓	✓	✓	✓	✓
Obsolete >> Ready for Approval	✓	X	✓	X	X	✓	X	X
Ready for Approval >> Draft	✓	✓	✓	X	✓	✓	X	✓

LPA Group

Transitions	Audit Organizer	Auditing Administrator	Auditing Champion	Auditing Maintenance	Auditor
Active >> Inactive	✓	✓	✓	✓	✓
Inactive >> Active	✓	✓	✓	✓	✓

Audits

Transition	Audit Organizer	Auditing Administrator	Auditing Champion	Auditor
Audit Approval Rejected >> Ready for Approval	✓	✓	✓	✓
Audit Complete >> In Process	X	✓	✓	X
Closed >> Ready for Approval	X	✓	✓	X
Draft >> Scheduled	✓	✓	✓	X
In Process >> Audit Complete	✓	✓	✓	✓
Scheduled >> Audit Complete	✓	✓	✓	✓
Scheduled >> In Process	✓	✓	✓	✓

Layered Process Audits

Transitions	Auditor
In Process >> Complete	✓
Scheduled >> In Process	✓

Audit Findings

Transitions	Auditee	Auditing Administrator	Auditor	Responsibility
Action Assigned >> Action in Progress	X	X	X	✓
Action Assigned >> Complete	X	X	X	✓
Action In Progress >> Complete	X	✓	✓	✓
Draft >> Submit for Review	X	✓	✓	X
Submit for Review >> Action Assigned	✓	✓	✓	X
Submit for Review >> Review Complete – No Action Required	✓	✓	✓	X

Transactions

Audit Types

Requires Approval = False

When the "Requires Approval" toggle field is set to NO, the Approvers field is hidden.

Management System Standards

Customer Specific is False

When the "Customer Specific" toggle field is set to NO, the Customers field is hidden.

Audit Questions

Set Max Score

Each time the audit question is saved, the system updates the Max Score field based on the answer choices.

Audit Checklist

Is New and Has Parent Checklist

When the checklist has a parent and is saved for the first time, the system inserts new questions based on the parent checklist.

Processes

Approval Rejected

When the current state changes to Approval Rejected, a notification is sent to the Process Owner to notify them that a review of the process is rejected.

Awaiting Effective Date

When the current state is changed to Awaiting Effective Date, the following changes occur:

- A notification is sent to the Process Owner to notify them that the approval for the process has been approved.
- The linked Change Order is saved and its state is updated to Ready for Release.
- The current Process record is saved.
- The linked Change Item's state is updated to Complete.

Awaiting Obsolescence Approval Rejected

When the current state changes from Awaiting Obsolescing Approval to Official, a notification is sent to the Process Owner to notify them that the obsolescence approval for the process has been rejected.

Change Due Date Changed

When the Change Due Date field is modified, the change due date is updated on the linked change items.

Change Order is NULL

When the process is not linked to a change order, the Update from Change Order Effective Date field is hidden.

Change Owner Changed

When the Change Owner is changed and the current state is Draft, the Change Owner is updated on the linked change items.

Additionally, a notification is sent to the new Change Owner informing them that the process is ready for change.

Change Request is NULL

When no change requests are linked to the process, the Change Coordinator field is hidden.

Created from Process Request

When the current record is created from a new process request, the process request is updated.

Current Date 7 Days Greater or Equal to Effective Date and Not Approved

When the current state is Ready for Approval and the current date is seven days past or equal to the effective date, a notification is sent to the user that the Process Owner reports to, notifying them that the process is late and requires approval.

Current Date Greater Than Effective Date and Not Approved

When the current state is Ready for Approval and the current date is one day past or equal to the effective date, a notification is sent to the Process Owner, notifying them that the process is late and requires approval.

Current Date Greater Than or Equal to Effective Date

When the Effective Date field is before or equal to the current date, the current state transitions from Awaiting Effective Date to Official.

If the Effective Date field is blank, then the current state will directly transition from Awaiting Effective Date to Official.

Current Date Greater Than or Equal to Next Review Due

When the current state is Official and the Next Review Due field is before or equal to the current date, the "Requires Review" check box is activated.

Current User Isn't ITAR Compliant

When the current user is not ITAR compliant, the ITAR Restricted field is hidden.

Draft

When the current state changes to Draft, the system updates the state of the current official version to Official – Draft Pending.

Draft Created from New Process Request

When a new Process record is created from a new process request and is in the Draft state, a notification is sent to the Process Owner to notify them that a draft process was created as a result of a new process request.

Draft, No Change Request

When the record is in the Draft state and is not linked to a change request, a notification is sent to the Change Owner to inform them that the process is ready for a change.

First Save

When the audit is saved for the first time, the system creates a Risk record associated with the process for each record in the Risk Library linked to a Risk Driver that is ultimately linked to the System Driver "Processes".

Note that the system should insert a record if it is not found based on the key match of Title.

List Process FMEA in APQP is False then Library Process FMEA is Not Null

When the "List Process in APQP" toggle field is set to YES and the Library Process FMEA field is empty, the FMEA label is shown.

Not Completed, No Change Request, 1 Day Past the Change Due Date

The Change Owner receives a notification that the process is past due for a change when the following rules are true:

- The record is not in the Complete state.
- The current date is one day past the change due date.
- The record is not linked to a change request.

Not Completed, No Change Request, 7 Day Past the Change Due Date

The person who the Change Owner reports to receives a notification that the process is past due for a change when the following rules are true:

- The record is not in the Complete state.
- The current date is seven days past the change due date.
- The record is not linked to a change request.

Obsolescence Fields

When the current state is NOT Obsolete, the following fields are hidden:

- Reason for Obsoleting
- Obsolescence Approval

Official

When the current state changes to Official, the following changes occur:

- The linked change order is saved and can create action notifications.
- The linked change item is updated to the Complete state.
- The Library Specification Process field is updated to the new Official version of the process.

Official – Create Training Event Check Box is Checked

When the "Create Training Event" toggle field is set to YES and the state changes to Official, the system creates a new training event based on the process information.

Process Owner Changed

When the Process Owner field changes and the current state is Draft or Approval Rejected, the system updates the Risk Owner field based on the Process Owner.

Processes FMEA Field is Not Null then Processes Control Field is Hidden

When the Library Process FMEA field is populated, the Process Controls field is hidden.

Ready for Approval

When the current state is Ready for Approval, employees that are listed in the Authorities field are updated; those without training roles are unlinked, and those with training roles are linked.

In addition, the process approvers receive a notification when the process is ready for approval.

Requires Review

When the "Flag for Requires Review" check box is selected and review was not previously required, the process owner receives a notification that a review of the process is required.

Responsible Site Changed to non-ITAR Compliant and ITAR Restricted is True

When the site is changed to a non-ITAR compliant site and the ITAR Restricted field is True, the ITAR Site Warning field is hidden.

Responsible Site Isn't ITAR Restricted

When the linked site is not ITAR restricted, the ITAR Restricted field is set to False and hidden.

Review Frequency = None

When there is no review frequency, the following fields are hidden:

- Last Review
- Next Review
- Review Completed By

State is Obsolete

When the current state is Obsolete, the Process Specifications field is hidden.

Sys: Create Change Order is True

When the current Sys: Create Change Order is changed to True, the system creates a change order for the current process. This only takes place if the process is in the Draft state and already has a change request with no linked change order.

Once the new change order is saved, it can create inbox notifications.

Training is Not Required

When the "Requires Training Event" toggle field is set to NO, the Create Training Event field is hidden.

Update from CO is True and Effective Date Doesn't Match CO

When the "Update Effective Date from Change Order" check box is selected and the effective date does not match the change order effective date, the two effective dates update to match.

Audits

Always

Every time the audit record is saved, the system unlinks items related to removed parent fields. For example, if a domain is removed, then the system unlinks all sites related to that domain.

Complete – Pending Findings

When the current state changes to Complete - Pending Findings, a notification is sent to the Lead Auditor to inform them that a scheduled audit was completed.

Complete – Pending Findings and Findings are Complete

When the current state is Complete – Pending Findings and all findings are complete, the system changes the state to Closed or Ready for Approval, depending on whether the audit type requires approval.

Current State Changed to Audit Complete

When the current state changes to Audit Complete, the system updates all audit results associated with the audit to the Complete state. Additionally, the system updates the state of any Audit Team Members for this audit to Notify of Results.

Finally, the system sends the following inbox action items:

- Lead Auditor – Complete
- Audit Organizer – Complete

Current State Changed to Scheduled

When the current state changes to Scheduled, the system updates the state of any Audit Team Members for this audit to Notify of Audit.

Current State Complete or Closed

When the current state of an audit is set to Complete or Closed, the system closes the audit. Additionally, a new audit is created and that new audit's state is updated from Draft to Scheduled.

Current State is Approval Rejected

When the current state is Approval Rejected, a notification is sent to the lead auditor to inform them that the approval for the audit has been rejected.

This action will remain on your list until you move the audit state to another state besides Approval Rejected.

Current State is Audit Complete and Requires Findings False and Approval False

The system updates the state to Closed when the following requirements are met:

- The current state is changed to Audit Complete.
- The Audit Type does not require findings to be completed.
- The Audit Type does not require approval.

Current State is Audit Complete and Requires Findings False and Approval True

The system updates the state to Ready for Approval when the following requirements are met:

- The current state is changed to Audit Complete.
- The Audit Type does not require findings to be completed.
- The Audit Type requires approval.

Current State is Audit Complete and Requires Findings True

The system updates the state to Complete – Pending Findings when the following requirements are met:

- The current state is changed to Audit Complete.
- The Audit Type requires findings to be completed.

Current State is Audit Complete and Requires Findings True and More Than 0 Findings

The system updates the state to Closed or Ready for Approval when the following requirements are met:

- The current state is changed to Audit Complete.
- The Audit Type requires findings to be completed.
- The Audit Type requires approval.
- There are one or more findings and all of them are completed.

Current State is Closed

When the current state is Closed, a notification is sent to the Organizer to inform them that a scheduled audit was closed.

Current State is Draft or Closed or Audit Complete

When the current state is Draft, Closed, or Audit Complete, the next audit's state is changed to Scheduled.

Current State is in (Audit Complete, Complete – Pending Findings, Audit Approval Rejected, Ready for Approval, Closed)

The Audit Results field is hidden when the current state is one of the following:

- Audit Complete
- Complete – Pending Findings
- Audit Approval Rejected
- Ready for Approval
- Closed

Current State is in (Initial, Draft, Scheduled, In Process)

The Audit Results field is hidden when the current state is one of the following:

- Initial
- Draft
- Scheduled
- In Process

Additionally, the system updates and saves the audit results. This is required because Audit Results is a separate process.

Current State is Initial

When the current state is Initial, the system changes the state to Draft and populates the Audit Checklist field.

Current State is not Audit Complete and Past Due

When the current state is not Audit Complete and the current date is past the scheduled finish date, a notification is sent to the Audit Organizer and Lead Auditor, informing them that the audit is past due.

Current State is not Audit Complete and Past Due by 7 days

When the current state is not Audit Complete and the current date is seven days past the scheduled finish date, a notification is sent to the user that the Lead Auditor reports to, informing them that the audit is past due.

Current State is Ready for Approval or Closed

When the current state is changed to Closed or Ready for Approval, the state of the audit results is set to Complete.

Current State is Scheduled

When the current state changes to Scheduled, a notification is sent to the Lead Auditor to notify them that an audit has been scheduled.

Draft or Schedule State and Audit Checklist Changes

When the current state is either Draft or Schedule and the audit checklist is changed, the system removes the audit results and an additional save is required to properly recreate the audit results.

Entity has Changed

When the entity value has changed, the system unlinks sites that are not related to the new entity.

Hide All of the Fields on the Reference Coverage Tab

When the "Hide Reference Coverage" toggle field is set to YES in the linked Audit Type, the following fields are hidden:

- Additional Scope and Objectives
- Manufacturing Document
- Manufacturing Document Process Control Plan Links to Audits
- Previous Audits
- Processes
- Standard Sections
- Standards

Hide LPA Fields is True

When the "Hide LPA Fields" toggle field is set to YES in the linked Audit Type, the following fields are hidden:

- LPA Group
- LPA Layer

Hide When Not Draft or Not First in Series

When the current state is **not** Draft and the audit is not the first in its series, the following fields are hidden:

- Click to Adjust Scheduling Options
- Click to Adjust Scheduling Frequency

Lead Auditor has Changed

When the Lead Auditor is changed while the audit is in either the Draft or Scheduled state, the previous Lead Auditor is removed from the Audit Team Members field. Additionally, the new Lead Auditor's record in the Audit Team Members field is updated to reflect their title change.

Lead Auditor is not in the Audit Team

When the Lead Auditor is not included in the Audit Team and the audit is in either the Draft or Scheduled state, the system adds the Lead Auditor to the Audit Team Members field with the following specifications:

- "Auditor" check box is selected
- "Auditee" check box is **not** selected
- "Notify of Audit" check box is selected
- "Notify When Audit is Complete" check box is **not** selected.

Update to "Audit Checklist" in Draft or Scheduled

When the current state equals Draft or Scheduled and the audit checklist changes, the following transactions occur:

- Reviewed documents and processes are linked and unlinked based on matches in audit questions from the checklists
- Audit results are removed as necessary
- The process is re-saved to properly create audit results

Audit Results

Audit is Empty

When the Audit field is empty, the system updates the Audit field for ADHOC questions.

Create Investigation is True and Investigation is Null

When the Create Incident Investigation field is true and the Incident Investigation field is empty, the system creates an incident investigation and hides the Create Nonconformance field.

Create Non-conformance is True

When the Create Nonconformance field is set to True and the Observations field is not blank, a Nonconformance record is created and linked to the current audit result.

First Save for not ADHOC

When the audit result is saved for the first time, the system updates the Choice field. Additionally, the system updates the MCR fields based on the Question.

Incident Investigation is Not Null

When the Incident Investigation field contains a value, the following fields are hidden:

- Create Incident Investigation
- Create Nonconformance

Incident Investigation is Null

The Incident Investigation field is hidden when empty.

Is ADHOC

When the result is an ADHOC Question, the system sets the Max Score value for the question.

Is Not an ADHOC Result

When the result is **not** an ADHOC result, the Question Choices field is hidden.

Nonconformance is Not Null

When the Nonconformance field is populated, the Create Nonconformance field is hidden.

Nonconformance is Null

The Nonconformance(s) field is hidden when empty.

Not Lead Auditor

When the person viewing the record is **not** the Lead Auditor, the Create Nonconformance field is hidden.

Not Skipped

When the "Skipped" toggle field is set to NO, the Comments field is hidden.

Observations is Null

When the Observations field is empty, the following fields are hidden:

- Create Incident Investigation
- Create Nonconformance

Skipped

When the "Skipped" toggle field is set to YES, the Result field is hidden and cleared.

Audit Findings***Audit is Changed***

When a different audit is selected, the system updates the Link Audit field.

Complete and Link to Audit

When the current state changes to Complete and the Audit field is populated, the system updates the linked Audit record; the Last Count Check field is updated to the current date and time.

Current State is Action Assigned

When the current state changes to Action Assigned, a notification is sent to the Responsibility role to inform them that the audit finding has been assigned to them for completion.

Current State is Action Assigned or Action In Progress

When the current state changes to Action Assigned or Action In Progress, a notification is sent to the Responsibility role to inform them that the audit finding has been assigned to them for completion.

Current State is Draft or Submit for Review

When the current state changes to Draft or Submit for Review, a notification is sent to the Auditor to inform them that the audit finding has not yet been reviewed or assigned.

Draft and No Auditor Assigned

When the current state is Draft and no Auditor is assigned to the audit finding, a notification is sent to the Lead Auditor to inform them that the audit finding has not yet been reviewed or assigned.

Empty Previous Status Field

When the Previous Status field is empty, it is hidden.

State Changes to Complete

When the current state changes to Complete, a notification is sent to the Auditor to inform them that the audit finding has been completed.

Commands

Some processes utilize command buttons to perform pre-defined actions. Commands can be found under the Actions icon in the top toolbar of the appropriate process.

Below is a table that describes each command available in the Auditing module. In addition to title and description, the table indicates which process each command comes from, the roles that can execute the command, and the states when the command can be executed.

Process	Title	Description	Used By	State When Used
Audit Checklist	Copy Checklist	Copies the audit checklist, which includes creating a copy of each associated question.	Auditing Administrator; Auditing Champion; Auditor	All States
Audit Checklist	Randomize Questions	Updates the question number for each checklist question with a random number between 0 and the number of questions.	Auditing Administrator; Auditing Champion; Auditor	All States
Processes	Update Risks from Library	Adds a Risk record associated with the process for each record in the risk library linked to a risk driver with the system driver Processes.	All Roles	Draft
Processes	Start New Version	Initiates a new draft version of the record. The state of the previous version moves to Official – Draft Pending.	APQP Administrator; APQP Champion; APQP Maintenance; Auditing Administrator; Auditing Champion; Auditing Maintenance	Official
LPA Groups	Create Audits	Generates audits for each layer of the LPA group.	Audit Organizer; Auditing Administrator; Auditing Champion	All States

Process	Title	Description	Used By	State When Used
Audits	Adjust Schedule Dates	Opens the Scheduling Options dialog window, allowing you to modify the scheduling frequency for the current and future audits.	Audit Organizer; Auditing Administrator; Auditing Champion; Auditing Maintenance; Auditor	All States
Audits	Change Frequency	Opens the Frequency Options dialog, allowing you to change the frequency of the audit.	Audit Organizer; Auditing Administrator; Auditing Champion	Draft
Audit Results	Create Nonconformance	Creates a Nonconformance record and links it to the current audit.	Audit Organizer; Auditing Administrator; Auditing Champion; Auditor	All States

Chapter 7

Module Frequently Asked Questions

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Frequently Asked Questions

Why shouldn't I delete items?

Records should only be deleted when you are sure that they are no longer needed. Even though records use a soft delete mechanism, there is still work that must be done to restore an item once it has been deleted.

The best thing to do with an item that is no longer needed is to set it to Inactive, Retired, or Obsolete, whichever state is applicable. This way, the item historically remains in the system but cannot be used.

If you do need to delete an item for good, then use the Trash button in the toolbar. Typically, only the system administrator can delete items.

I just changed the state of a process. What happens now?

When a process' state makes a transition, the system typically takes some automated steps. Details about these steps are listed in the State Transitions section of each process in this user guide.

Typically, state transition steps perform one of three functions:

1. **Notifications.** Notifications are sent to the users that are responsible for the next state of a process.
2. **Field Update.** Fields that depend on a state, date, or action are updated.
3. **Another State Transition.** A process' state may be transitioned automatically by the system, depending on a state, date, or action update.

Some processes may not have any automatic state transitions. In that case, it is useful to check the States section to view the process' state map and read the definitions of each state.

You can also review the Task list for that process. Each list typically describes which state to select when saving a process record.