

Audits Workbench 11



Audits: Workbench 11

Workbench Compliance and Standards Management Solutions

Workbench Professional and Quality Workbench are the flagship products of Ideagen Software Limited, who have been leading the way in software solutions aimed at Document, Compliance and Standards management since 1993.

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1 Introducing Workbench

Workbench is a collection of software modules designed to assist in the implementation and smooth operation of day to day management control. The overall system consists of the following modules:-

- Audits
- Customer Care
- Document Control
- Nonconformities
- ReportQuest **
- Test and Calibration
- Training

** ReportQuest is different in concept to the other modules; it is a 'plug-in' rather than a 'stand-alone' module. It integrates with any or all other modules and utilises the information stored in them.

Each module (apart from ReportQuest) has been carefully designed to be a powerful individual management aid and for many organisations it may be entirely appropriate to run any on a 'stand-alone' basis. There is, however, considerable integration between the different modules and this could offer many benefits to organisations running a comprehensive quality or other compliance management system. Any company that wishes to adopt a 'phased' implementation can add modules to the system as and when required.

The System Manager and Personnel modules are installed as an integral part of all other modules. The [System Manager module](#) handles most of the system's security and it is envisaged that access to this module will be restricted to the system administrator and/or personnel with the highest security clearance. The [Personnel module](#) maintains a centralised database of personnel that can be accessed by every installed module; again it is suggested that access to this module be restricted.

Each module has its own electronic reference manual and on-screen Help system that is context-sensitive; these guides should not, however, be seen as a substitute for professional advice and training. Workbench is designed to be extremely easy to use in its daily operation but the preliminary setting up of a module can be relatively complex. We urge taking appropriate advice in these circumstances wherever possible, particularly where some doubt exists as to the best method of achieving specific business aims with the software.

The Help files assume that you have either Workbench Professional or Quality Workbench with all optional areas licensed. Any areas not licensed, will not be available.

1.1 Overview of the Audits module



The flexibility of the Audits module means that even the most unusual or previously complicated audit can be set up logically and quickly. The drudgery can be taken out of the most repetitive tasks by storing information in [templates](#); these are then called up and used as a base for many different audits. Apart from saving time, building on a template ensures that all items and/or areas for audit are reviewed and cross-checked and that results are comparable.

Individual audits may be [checked out](#) of Workbench so they may be worked on away from the

network, typically on a laptop. The audit will be marked as checked out and will not be editable or able to be run until it is checked back in or the check-out is cancelled. On checking back into Workbench, the updated audit information is transferred (see [Running an audit on a laptop](#)).

Checklist items for audit can be recorded individually or can be grouped into categories allowing the delegation of different areas to separate auditors - or to have different auditees assigned to different areas of audit (see [Compiling a checklist](#)).

Checklist items can be stored in the module [Library](#) so that future audits already have the foundation for a built-in checklist. In this way there is little danger that items or areas may be overlooked, especially if new auditors or assessors are appointed.

Provision is also made to compile specific [user defined analysis](#) categories.

Once built, audits can be [scheduled](#) to run at any time. Planned start dates may be altered and the audit duration extended, if necessary, to suit the auditor/assessor or client.

The flexibility of the system extends to the recording of results, including reporting nonconformities (if you have the Nonconformities module installed), and the production of [reports](#) that can take virtually any form the auditor wishes.

All completed audits are 'frozen' and stored in their original format in [View Audit](#) (along with planned, running audits and audits that are currently checked out). They are available for viewing and reporting purposes at any time.

1.1.1 Checklists

A powerful feature of the Audits module is the way in which items for checking are set out. The program allows a checklist to be itemised in exactly the same way as an auditor might compile a list on a clipboard. It is quite possible that many of the items fall into the same category so these can be grouped together.

For example, part of an audit on pastry processing may wish to check how frequently fresh produce is delivered; how long the produce may be stored before use; where dry products are stored; whether there is a strict rotation of stored dry products etc. These checklist items along with others, might all be grouped together in a category named 'Produce'.

The program echoes further the way in which audits are conducted manually by allowing each category or checklist item to be audited by a different auditor or to have different auditees assigned to them. Our 'Produce' category could therefore be assigned to a different auditor than the rest of the audit.

Checklists can be printed out so that results may be recorded against them when access to the software is not possible.

Users also have the flexibility to add checklist items to the module library at any time during an audit or to work with a pre-defined checklist. The library stores the items for future retrieval and offers a keyword search.

The easiest way of [compiling a checklist](#) is to start by simply recording all the items that you wish to be checked in the audit; similar items may then be grouped together under category headings.

1.1.2 Audit results

An important feature of the module is its flexibility in recording results, in one of three ways:-

- in purely descriptive terms compiled by the auditor or assessor and appropriate to the type of audit, see [Result descriptions](#)
- a numerical 'score' that can be any system that suits the auditor

- or a simple pass/fail rating.

The module allows direct access to auditors, auditees, departments and related documents when recording results so that you may edit them, if appropriate, whilst the audit is running.

If the Nonconformities module is licensed and installed a **Nonconformity** button will be present when entering results; using this you may record nonconformities arising from the audit directly, either against the audit as a whole or against individual checklist items.

1.1.3 Access and security

The module allows different individuals or groups to access and edit the audit and to view results.

This means that unauthorised personnel can be prevented from viewing audit schedules where this is contrary to company policy, or where an audit is to be carried out on an 'unseen' basis. It also means that the lead auditor can place restrictions on who can view the audit results.

If no specific personnel are nominated either to view or edit the module, then access is automatically granted to all listed personnel.

Access is controlled by the administrator using the System Manager module.

1.1.4 Messaging and the Audits module

The Audits module fully supports the mail and messaging mechanisms found throughout Workbench. These allow the processing of messages through external e-mail systems in addition to the internal messages (Tasks and Notifications) that are automatically generated by the program and may be for either action or information only purposes. See [Audits messages](#).

The Tasks and Notifications buttons on the main toolbar give direct access to messages that inform relevant users of tasks they are required to perform and/or of the progress of a routine, for information purposes. Figures alongside these buttons are constantly up-dated and a yellow light bulb indicates when there are unread messages.

As all these messaging mechanisms are highly configurable, a close fit to your preferred way of working and communicating can always be achieved.

1.2 Updates for Workbench 11

Workbench 11 includes several updates that have been introduced at the request of current users and are intended to enhance the product and give greater ease of working. None of the existing functionality of Workbench has been removed. Access settings for each area of configuration have been retained; visibility and access to changes will still depend on access rights.

NB. Wherever reference is made (in Help topics) to the 'system administrator' this includes any user who also has access to the relevant options in the System Manager module. Because the configuration options are so many, we strongly advise that access to the System Manager is very strictly controlled.

Each relevant Help topic covers any changes in detail, but the main new system-wide updates are listed here along with updates in the Audits module.

System wide - general updates

The following general system updates have been added to Workbench 11.

- A new workflow setting *Automatically delete completed tasks* is switched off by default; if

checked, then all completed tasks will automatically be deleted.

- A warning appears if the Caps Lock is on whilst typing a Password. This applies to the Workbench Login dialog and all other dialogs where a password is required.
- User Defined Analysis labels have been increased to accept up to 255 characters.

Audits module updates

The following features have been added to the Audits module for Workbench 11. For full details, please see the relevant Help topics.

- The main audit's Search Code, User Reference (if any) and Planning Notes/Scope are now carried over and shown on the same page when editing a checklist or entering results of an audit.
- When viewing, editing or running an audit there is an *Expand all* check box on the **Audit Checklist** page. When checked, all categories and checklist items can be seen.
- It is now possible to add attachments to audit templates. The **Create** and **Edit Audit Template** dialogs now show an Attachments button. If attachments are added to a template, they will be carried across when an audit is based on that template.
- When reporting an NCR from an audit, the **NCR Summary** field now allows up to 255 characters.

1.3 Audits menus



After logging in, the main Workbench window will appear, allowing access to all licensed modules. A right-click menu enables you to show or hide independently the Calendar, Notifications and Tasks buttons, Menus, Modules, Speedbar (Speed buttons) and/or Web Page. **NB.** The option to display a Web Page as a back-drop to Workbench is controlled by workflow settings.

You may configure the main Workbench screen by moving different menu bars - to do this, grab the small vertical bar to the left of any individual menu bar and drag the whole thing to its new position. Any re-arrangement is saved locally so that an individual user's set-up will be retained.

Click on the Audits module button to view its main window.

The main menu has only six headings - three of which (File, Module and Help) are common to all modules. The other three headings and their menu items control the audit and are described briefly below.

Audit menu

The items in this menu are specific to the Audits module and are used in creating, editing and running audits.

An [audit template](#) must be built before the first audit can be run, but the template can be set up so that future audits based on it can accept a template's attributes in total or be edited to accommodate new or differing attributes.

[Scheduling](#) of an audit can be done with the minimum amount of information available, if required. All that is needed initially is the identification of the audit area concerned and a planned start date. More detail can be added later as necessary.

The module allows editing at any time, even when running the audit, so that approved personnel can make additions or alterations to items or areas to be checked as the audit progresses.

Workbench allows the checking out/in of audits so that an audit may be carried out 'off-site'. The options controlling this are found here.

Finally the Audit menu allows the viewing of all audits including those that have been signed off.

Settings menu

Most of the information required to create an audit template is input in the Settings menu - the type of audit, audit result descriptions and records of external assessors, customers and suppliers; the Personnel and System Manager modules, however, maintain personnel and department details. Search buttons in appropriate Audits dialogs allow you to enter relevant information from records set up in either the Settings menu or the Personnel and System Manager modules.

All items to be checked in the audit and possibly used in future audits can be set up in a 'Library'. Checklist items maintained by the library can then be placed on a checklist for any future audit.

Finally in this menu you may set up user-defined analysis that may be appropriate globally to all company audits, such as Health & Safety, ISO 9001 etc. and/or analysis categories for suppliers.

Reports menu

The Reports menu makes provision for different types of report to be viewed, saved to file and/or printed. The flexibility of the reporting system allows for virtually any audit information (whether from planned, running or completed audits) to be searched/sorted/presented in a variety of ways.

The reports can also simplify the comparison of results and can very easily be set up to supply only information that meets certain precise criteria - freeing auditors and assessors to proceed with more constructive work.

For users with appropriate access rights, reports generated by Workbench's ReportQuest module can be accessed (read-only) from this menu.

1.4 System menus

Several menu options in the Audits module are common to more than one Workbench module:-

- The File, Module and Help menus are always present on the main menu structure, irrespective of the particular modules you have purchased and installed.
- The [Suppliers](#) option (**Settings** menu) is used by the Audits, Customer Care, Nonconformities, Test and Calibration, and Training modules.
- The [User Defined Analysis](#) (UDA) option is also found in the **Settings** menu of individual modules and can be set up for different areas ie. Personnel UDA in the Personnel module, Supplier and/or Course UDA in the Training module. The only modules that do not use User Defined Analysis are ReportQuest and the System Manager module.
- [User Defined Reports](#) are accessed from all modules except Personnel and System Manager.

1.5 Personnel module



This module is installed as an integral part of all other modules. It is dedicated to maintaining a centralised database of all personnel, accessible to every other installed module. It is responsible for setting up and maintaining the history of all personnel including Workbench users.

It is highly recommended that you establish your personnel records before beginning to use other modules in the system as the records are referred to and used throughout Workbench.

1.6 System Manager module



This module is installed as an integral part of all other modules. It is a vital area of Workbench as it handles much of the system's security by granting or revoking access to menu items for individual users or groups of users (Access Templates). After granting access at menu level you may have a further option to determine what rights the user has in a given dialog (eg. read-only, ability to add new records etc.). Overall this gives you extremely tight control over which users can access which part(s) of the system. The dialog used to control access is designed to make this administration task as easy as possible.

An additional benefit of such tight control is the sheer convenience it offers. Presenting users with precisely the menu options they need to do their work is much clearer and less confusing for them than being faced with a whole list of irrelevant (for them) menu options.

The **Workbench Configuration Centre** is also housed within the System Manager module and presents all Workbench globally configurable options in a single dialog. This means that the administrator can locate the required function quickly and will soon become aware of all elements that are configurable.

The Configuration menu also controls the maintenance of user passwords, the organisation of departments and personnel groups, the prioritising of tasks and the menu option allowing the reassigning of responsibilities, especially useful when a user is leaving the company. Locked out users are also restored here.

NB. Wherever reference is made (in Help topics) to the 'system administrator' this includes any user who also has access to the relevant options in the System Manager module.

2 Common features and routines

Workbench uses certain common routines and techniques throughout the system; a familiarity with these will greatly assist your initial explorations of the software.

2.1 Altering the width or order of columns

On certain dialogs in Workbench, mainly **Select** dialogs, you may grab the lines separating columns **in order to make the columns wider or narrower...**

- 1 Using the mouse, point the arrow at the chosen line within the title bar.
- 2 When the head of the arrow changes to a small double vertical line with black arrows pointing outwards, click on the line.
- 3 Drag the thickened line to its new position and the chosen column width.

It is also possible in some dialogs to arrange the columns in a different order...

- 1 Click and hold down on the heading of the column you wish to move. A black vertical line will appear at the left hand side of the column.
- 2 Drag to the right or left until the column jumps to its new position.

2.2 Attachments



The Attachments button appears throughout Workbench and will usually be situated at the top right of a dialog and shows a paper-clip symbol with a number in brackets alongside. When no attached files exist, the 'paper-clip' will be black and the figure will be (0). When attachments exist, the paper-clip is yellow and the figure alongside shows how many attachments there are.

Files may be attached to a number of records in Workbench; these files are stored within the normal Workbench database and are accessible via the record to which they belong. Examples of the usage of attachments might be scanned evidence for NCRs, customer letters in the Customer Care module, external certificates in the Test and Calibration module, feedback forms and certificates in the Training module etc.

Access to attachments relates entirely to the access rights to the parent record. **New**, **View**, **Edit** and **Delete** buttons will be visible and active dependent upon the logged-in user, the status of the parent record and whether attachments already exist. You may only add, edit or delete attachments if you have edit rights to the parent record. Users with **View** rights may view attached files but cannot edit or delete them.

Regardless of the module and routine you are accessing the Attachments Form from, the dialog works the same. The header changes according to the appropriate module / routine - **Complaint Attachment Form**, **Change Request Attachment Form**, **Review Attachment Form** etc.

[Adding a new attachment](#)

[Modifying an existing attachment](#)

2.2.1 Adding a new attachment

Files may be attached to many records in Workbench; these files are stored within the normal Workbench database and are accessible via the record to which they belong.

- 1 Click on the Attachments button in any relevant dialog. The **Attachment Form** will open. The top part of the dialog gives details of the complaint / change request / review etc. that the Attachment relates to.
- 2 The middle part of the form, Attachments, shows a list of files (if any) already attached to the Complaint / CRQ / Nonconformity etc. To add an Attachment, click on the **New** button. An Attachment Number will be generated by the system and will appear in the bottom part of the form, Attachment Details. The **File Name**, **Attachment Title** and **Extension** fields will then all become mandatory.

Every area where Attachments apply will start from '1' and further Attachments will be numbered sequentially. If an Attachment is deleted there will be a gap in the run of numbers, ie. each Attachment keeps its original number for its 'life-time'.

(The Attachment Number and Attachment Title in the middle part of the form will be entered automatically once the bottom part of the form has been completed and the Attachment saved.)

- 3 You may also import a Workbench document (subject to required access rights) as an Attachment. These may then be used and edited to highlight changes (when raising a change request) or reasons for rejection (when rejecting a document).

Click on the **Workbench Documents** button to invoke the **Select Document as Attachment** dialog from where you may select the relevant document to attach.

All the fields on the bottom part of the **Attachment Form** will be filled in automatically if a Workbench Document is selected as an Attachment, but all may be amended apart from the *Attachment Number* and the *File Name*. Copy in red will also be added, stating that the Attachment is a copy of a Workbench Document and giving the date and time when the copy was taken. Be aware that the Attachment is a COPY and any subsequent amendments to the actual document still stored within Workbench will not be updated to the Attachment.

IT IS VERY IMPORTANT TO NOTE THAT BY ATTACHING WORKBENCH DOCUMENTS IN THIS WAY, USERS WHO MAY NOT NORMALLY HAVE ACCESS RIGHTS TO THE ATTACHED DOCUMENT MAY NOW BE ABLE TO SEE IT. 'Normal' document access rights will be surrendered once a Workbench document becomes an Attachment - the access rights governing whatever it is attached to, take over control of who may view the copy.

- 4 If you are not attaching a Workbench document, go to the bottom part of the form, Attachment Details, and enter a mandatory **File Name** and **Extension**. (If you use the ... button to browse and select the file name, the extension will be entered automatically.) Editing and Viewing Options (if applicable - see Document Control | **Master templates**) will also be entered automatically once an extension has been entered.
- 5 Give the attachment a mandatory **Attachment Title**; this can mimic the File Name or be something much simpler. The Attachment will be referred to by this title throughout its life.
- 6 Add any **Notes** and **Save**. The Attachment Number and Attachment Title will be copied up to the middle part of the dialog.

NB. If, for any reason the **Save** button is not enabled, use the **Close** button to come out of the dialog(s) and you will then be asked if you want to save the attachment(s).

To cancel the new attachment before saving, use the **Cancel New** button.

When a new attachment is added, an appropriate entry will be made to the document's History log.

2.2.2 Modifying an existing attachment

You may only edit or delete attachments if you have edit rights to the parent record.

- 1 Click on the Attachments button in any relevant dialog. The **Attachment Form** will open. The top part of the dialog gives details of the complaint / change request / nonconformity etc. that the Attachment relates to.
- 2 The middle part of the form, Attachments, lists existing attached files. Highlight the required Attachment to edit (if more than one) and click on the **Edit** button. Remember to save the changes to the actual Word document after you have edited it and then save again for the Attachments change in Workbench.

If the list of attachments is long, use the Search button to search either Attachment Number (F3) or Attachment Title (F4).

- 3 To edit Attachment Details, simply highlight the required Attachment (in the middle part of the form) to bring up its details in the bottom part of the form. Modify the selected attachment details as required and / or add further notes and **Save**.

NB. Any edits to the actual attached document will not be saved until the **Attachment Form** itself is saved.

The **View** button allows you to view the attached document. The **Delete** button (if present) allows users with edit rights to the parent record to remove an attached document.

Modifying or removing an attachment will write an appropriate entry to the History log of the relevant document.

2.3 Date button



This button gives you a visual aid to plan dates; it displays the current date when first opened.



To alter the date, click on the relevant new day in the main window.

Browse previous months(M) or years(Y) with the bottom left arrows.

Browse future months(M) or years(Y) with the bottom right arrows.

Click the tick to enter the selected date in the box next to the Date button (in the correct format).
Click the cross to close without entering a date.

Alternatively you can simply select the correct month and year and then double-click on the required day. The calendar will close and the chosen date will be entered automatically in the box next to the Date button.

2.4 Double-clicking & right-clicking

When first getting to know the module it is worth checking to see if double-clicking will save time in any of the operations. Most Workbench programs support double-clicking in a variety of ways; it is left to the user to decide which of these may benefit their way of working.

Right-clicking on the window of a record sometimes displays a pop-up menu offering an option to print, or direct access to other parts of the module or to other modules.

2.5 Four figure year dates

The Workbench system year dates are always shown as four figure numbers, ie. 2013, not just 13. It will be easier if your version of Windows is configured in the same way; if you are not sure how to do this, please refer to your Windows manual.

NB. If your Windows settings are set to two digit year dates, the system will force you to use four digits when a date is entered.

2.6 Grey type and closed fields

When type appears grey rather than black, it signifies that it cannot be edited. Similarly, fields that appear solid or 'closed' cannot be entered.

Both these cases occur when their use would not be appropriate, eg. grey type because a record cannot be altered; closed boxes when the field is not applicable in certain circumstances.

2.7 Groups / Lists

Workbench uses a common routine to add / remove names to / from lists. This routine is used for setting up groups, templates, departments, suppliers etc.

Required Group Information

Users Available

user04	user04	user04
user05	user05	user05
user06	user06	user06
user07	user07	user07
user08	user08	user08
user09	user09	User09

Users in Group

joyster	june.oyster	Oyster, June
pbeck	pbeck	Beck, Paul
user04	user04	user04

Buttons: Save, Close, Delete, Undo, Help

- 1 In the left hand list (eg. Users Available), highlight the name(s) you wish to add to the selected right hand list (eg. Users in Group). More than one consecutive name can be highlighted at the same time using the keyboard **Shift** key; highlight more than one name not listed consecutively, using the **Ctrl** key.
- 2 Click on the central add >> button and the name(s) will transfer to the right hand side.

Alternatively, simply double-click on the required name(s) to move them from one side to the other.

Where the list of names is long, you may use the [Search button](#) to search for known personnel. If you wish to select the majority of names from a list, use the [Invert button](#).

To remove selected names, highlight in the right hand list and click on the central remove << button (or double-click).

2.8 Invert button



There are many situations in Workbench where you may wish to select one or more records from a list of available ones. For instance, you may be asked to select all users in a specific group from a list of all available users. Selecting such a group is simply a matter of highlighting the names you require.

The Invert button reverses the selection you have made, ie. it 'de-selects' the highlighted records and highlights the rest. This is very useful when you wish to include the majority of a list - you can select a few records on an exclusion basis and then quickly invert the list.

Where appropriate, you may select a consecutive group of names by depressing the keyboard **Shift** key whilst making the selection; names which do not fall consecutively can be selected at the same time using the keyboard **Ctrl** button.

2.9 Mandatory fields

Certain fields throughout Workbench are essential or mandatory; ie. until they are completed you will not be able to save the record you are working on.

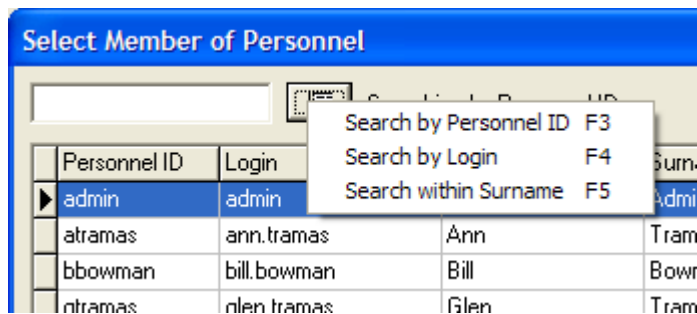
Such fields are shown in blue and are underlined, giving you an immediate visual indication that they are compulsory eg. Login to which database? and Login in the **Log on to Workbench** dialog.

Until all mandatory fields are completed, **Save** or **OK** buttons will be disabled.

2.10 Search button



The search button is probably the single most widely-used feature throughout Workbench. Its purpose is to allow you to browse easily through records and locate the one you are seeking by whatever methods are appropriate to that information. These search options will differ depending on the kind of information you are searching through. For example, searching for personnel offers searches by Personnel ID, Login or within Surname; simply use whichever is most convenient.



Right clicking on a Search button displays the search options available in a 'pop up' menu.

Each option on the menu has a keyboard shortcut; this may be quicker to use as you become more familiar with the system and its search options.

Simply left clicking a Search button defaults to the search method last employed.

To locate a specific record or set of records you must first key in the characters you wish to search on in the selection box to the left of the Search button. Then use the search method required from the menu (or the function key equivalent). For instance, typing in 'Hard' on a personnel search and choosing F5 (Search within Surname) will return all users with the characters 'Hard' within their surname, eg Hardy, Harding etc. If no matching records are found, a message is displayed.

Most search types look for exact matches to their respective fields. However some, as the example above, look for the string anywhere within the field. A good example of this is the search for a document 'within Title'. Here the system looks for whatever you have keyed in anywhere within the document's title. Thus a search for 'procedure' will find any document with that word in its title. This can be extremely useful when you are unsure of the exact wording of a document title.

Unlike other search types, a search within a field is not case sensitive; so the above example will pick up documents with 'Procedure' or 'PROCEDURE' embedded somewhere within the title.

NB. To ensure that the whole list of records appear in any search dialog, the search field alongside the search button must be cleared before starting a new search. To do this, highlight any text there, delete it and then click on the Search button or activate one of the keyboard shortcut keys.

2.11 Search routines

The method for locating personnel records is a good example of the generic search routines found throughout Workbench. The **Select User**, **Select Complaint Type**, **Select Tester** dialogs etc. use the same routine. On certain Select dialogs there is an additional check box:-

- in **Select Member of Personnel** the extra check box determines whether the records returned by the search should include Leavers or be limited to just current employees. The system defaults to include only current employees, but Workbench does not delete leaving personnel; they are marked as having left and their records retained for historical purposes. The records are therefore available for this type of search should you need them (see example below).
- in **Select Departments**, **Select Document Categories** and **Select Document Types** (when accessed from the Settings menu) there is a check box at the top of the dialog that allows records that have been hidden to be shown. By default, hidden records will not be shown in search grids. To reveal all records, including those that have been hidden, click on the check box marked *Show hidden Department* (or Category etc.)

Searching for a record in Select dialogs (using Select Member of Personnel as an example)

- 1 From the **Record** menu in the **Personnel** module, choose **Personnel**. The **Select Member of Personnel** dialog will appear.

- 2 Anyone who has a leaving date entered in their records will not, by default, be included in the search. If you wish to include Leavers, please check the box - *Include personnel who have left*.
- 3 Select the required member of personnel (or Complaint Type, Category etc. if appropriate) using one of the following three methods:-
 - use the Search button to search for a known member of staff (or Complaint Type, Personnel ID etc.)
 - highlight the required name (scroll if necessary) and click **OK**
 - double-click on the required name.

The chosen record will then open.

There is normally a **New** button on **Select** dialogs, allowing you to set up new records. This is not possible for personnel records; these must be set up in the **Record | Personnel** option in the Personnel module.

2.12 Sorting and ordering

The symbols shown on the column headers below show which column is controlling the sort - and whether this is in ascending or descending order. The column that has an arrow and one short horizontal line alongside (as opposed to two short horizontal lines) is the one controlling the sort and the arrow indicates whether the order is ascending or descending. In the example shown below, the grid would be sorted by the Search Code, alphabetically from A to Z.

	ID	Search Code	Name	Course	Type	Start Date
▶	5	allnewstaf	All new staff	First steps		12/05/2008
	1	firstaidat	First Aid at Work	First Aid at Work	F_AID	24/07/2008

To move the sort to a different column, click on the required column header and click again to toggle between ascending and descending order. In the example shown below, the grid would be sorted by the Name column, alphabetically Z to A.

	ID	Search Code	Name	Course	Type	Start Date
▶	8	qualitywor	Quality Workbench	Quality Workbench	Management	15/05/2008
	7	producttes	Product Tester	Product Tester	IT	07/04/2008

2.13 Screen display & keyboard shortcuts

There are several ways to 'personalise' your screen and navigate your way around the system.

- You may configure the main Workbench screen by moving different menu bars - to do this grab the vertical line on the left of any individual menu bar and drag the bar to its new position. Moves are saved locally so that an individual user's set-up will be retained.
- On every menu title in each module there is an underlined letter; this is the keyboard letter to press in order to invoke that menu. For example, the letter **F** in all **File** menus is underlined. Press the keyboard **F** (or **f** - it is not case sensitive) to open the **File** menu. In the Document Control module, the **D** is underlined in the **Documents** menu signifying that this is the key to press to open the **Documents** menu.

You may then use the keyboard 'up' and 'down' arrows to select the menu option you require and then hit the **Enter** key to open the dialog. In this way you may move around the modules, menus and menu options without having to use the mouse.

- A right-click menu on the screen enables you to show or hide the Calendar button, Menus, Modules, Notifications button, Speedbar (Speed buttons), Tasks button and/or Web Page independently. **NB.** There are several workflow settings covering the usage and display of web pages, see Personal workflow settings (System Manager & Personnel Administration User Guide).

2.14 Speed buttons

The most commonly used menu items in each module, apart from ReportQuest, have speed buttons (Speedbar). If required, these are shown on the main toolbar for each module and repeated alongside the relevant menu item. To show/hide, left-click on the required module and then right-click on the main screen.

If a user does not have access to a menu item that has a speed button, they will not be able to see the speed button.

Speed buttons used in the Audits module are shown below.



Audit Template



Schedule Audit



Edit Audit



Run Audit

3 Setting up an audit

In order to schedule an audit, an audit template must first be created; audits are always based on existing templates.

The **Create Audit Template** dialog prompts you to input specific information required to set up a template. Most of this information originates in the Personnel and/or System Manager modules or is set up in the **Settings** menu before proceeding. The required information is then searched for and entered in the dialog using Search buttons; it cannot therefore be entered 'on the fly'.

3.1 Audit workflow settings

The three settings for the Audits module are configured in the **Workbench Configuration Centre** by the system administrator or anyone with access to this menu option in the System Manager module.

Configuring settings applicable to the Audits module

- 1 From the **Configuration** menu in the System Manager module choose **Workbench Configuration Centre**.
 - 2 On the **Workflow Settings** page expand the list of entries under the **System Wide** heading (double-click or click on the + sign alongside).
 - 3 Select **Module Settings** and then **Audit Settings** and expand if necessary.
- To force unique audit **User References** the *Audit user reference must be unique* check box should be checked. Highlight the entry and check or uncheck the *Use this workflow setting?* check box as required.

If checked, it does not mean that entering a user reference is mandatory; it does mean, however, that if you choose to enter a user reference, it must be unique. You will not be able to enter a user reference when creating an audit template. Instead, a message 'User reference is required to be unique and must be defined once scheduled' will be displayed in place of the **User Reference** field. Any existing user references will remain in the database.

NB. It is recommended that you think seriously about whether this setting should be used BEFORE you start to work with the module. If any duplications of User Reference already exist, a warning message 'Unable to implement Audit user reference uniqueness due to duplications' will be shown. In this case, try editing the duplicated user references in the **Edit Audit** or **Run Audit** dialogs and then attempt to check the setting *Audit user reference must be unique* once more.

If the *Audit user reference must be unique* check box is unchecked, any user reference may be used.

- *Pre-populate NCR with audit details.* When an NCR is raised from an audit and this workflow setting is checked, then the Category name and Result Description will be copied automatically into the Summary field of the **Report Nonconformity** dialog. The Planning Notes and Result Notes will be copied automatically onto the **Description** page. If an Actual audit Start Date has been entered on the **Run Audit** dialog, then this date will also be copied through automatically to the Date of Incident field on the **Report Nonconformity** dialog.

If the setting remains unchecked (the default) details will not be copied over.

- *Duplicate initial NCR UDA details to subsequent NCRs for the same audit.* If this setting is checked, any information on the **Analysis** page of a reported NCR will be transferred automatically to subsequent NCRs for the same audit.

If the setting remains unchecked (the default) Analysis details will not be copied over.

3.2 Audit types

Provision is made in this dialog to set up the type of audit that your template will cover eg. Quality.

- 1 Click on **Settings** and choose **Audit Types**.
- 2 Click on **New** in the **Select Audit Type** dialog.
- 3 Type in the **Description** (mandatory field) - the **Search Code** will be inserted automatically as the first 10 characters of the Description. You can change it manually if you wish.
- 4 Enter any **Notes** specific to this audit type.
- 5 When you have finished inputting all possible types, click on **Close** and confirm Yes to save or just click **Save**.

When you close the **Create Audit Type** dialog, the **Select Audit Type** dialog will reappear. The audit type(s) you have just created should now appear in this dialog in alphabetical order and will be available for selection when creating the template.

Editing an audit type

- 1 Click on **Settings** and choose **Audit Types**.
- 2 In the **Select Audit Type** dialog select the required record using any method described in [Search routines](#).
- 3 Edit any part of the record, add (further) notes if required and **Save**.
- 4 Use the **Delete** button to delete records but be aware that once an audit type has been used in any audit or template it cannot be deleted.

3.3 Assessors

Records of assessors are set up in the Settings menu. Provision is made to record and edit full details of assessors, as shown below, but you can proceed with the template without recording any further details other than the Name of the organisation.

Setting up a record of an external assessor

- 1 Select the **Settings** menu and choose **Assessors**.
- 2 Click on **New**.
- 3 **Name** is the only mandatory field.
- 4 You may enter as many other details as you wish.
- 5 The **Notes** field will scroll if you need more room.

The **Search Code** will automatically be inserted as the first 10 characters of the named assessor. However it may be more useful for you to have a Search code for a specific assessor that reflects the type of audit that this assessor is usually responsible for. If you want to change the Search code, simply highlight it and change manually.

NB. As with most Workbench records, the quickest way of moving around them is via the tab key.

- 6 When you have finished, click on **Save**. The assessor's record you have just set up should now appear in the **Select Assessor** dialog.

Editing an assessor's details

- 1 Click on **Settings** and choose **Assessors**.
- 2 In the **Select Assessors** dialog select the required record using any method described in [Search routines](#).
- 3 Edit any part of the record, add (further) notes if required and **Save**.
- 4 Use the **Delete** button to delete records but be aware that once an assessor has been used in any audit or template it cannot be deleted.

3.4 Clients and customers

This menu item allows users with access, to record and activate all client and customer information relevant for audits.

Clients and customers can be recorded as either Companies or Individuals. Within the client record for companies it is also possible to save information on individual contacts - their position and role within the company etc.

The same customer and contact records are also referenced by both the Customer Care and Nonconformities modules. As you cannot set up **Regions** and **User Defined Analysis** in the Audits module, these fields will be populated from records in the Customer Care and Nonconformities modules so unless you have either module installed, they will be blank. You cannot set up Regions or Analysis 'on the fly'.

You may print client and customer records by right-clicking on the relevant window. Records in clients and customers can be edited at any time.

Setting up records for clients and/or customers

- 1 Select **Settings** from the main menu and choose **Clients and Customers**.
- 2 Use the Search button to search for existing clients by Name or Search Code or simply scroll through the list to find the customer you are looking for. The system defaults to all companies and individuals being included but you may filter the list by checking either the box marked *Company* or *Individual* (top right hand corner); only the checked customer type will then be listed.
- 3 To create a record for a new company click on the **New Company** button; to create a record for a new individual click on the **New Individual** button.

See also:

[Creating a new company record](#)

[Recording details of a new contact within the company](#)

[Creating a record for a new individual customer](#)

3.4.1 Creating a record for a new company

- 1 Click on the **New Company** button in **Select Customer** (Settings | Clients and Customers).
- 2 Give the company a **Name** (mandatory field).
- 3 Record as many other details as you wish.

- 4 If the customer has an account, tick the *Customer Account* check box and type in the **Account Number**. Then select the **Account Manager** using the Search button that takes you to the full personnel list originating in the Personnel module.

NB. Selections in the **Region** field and on the **Analysis** page will only be available if you have either the Customer Care or Nonconformities modules installed; if this is the case please see below.

After you have completed the company details, you may add any notes about the company on the **Notes** page. These may prove useful for continuity if different personnel may be dealing with the same customer. Click on the page to open the dialog.

- 5 Click on the **Contacts** page to record specific details about Contact(s).

Existing contacts can be searched for using the Search button. Alternatively you can scroll through the list, highlight and then click on **Select** or double-click on the chosen company to display full details.

- 6 Click the **New** button to record details of a new contact and then see [Recording details of a new contact within a company](#).

You may delete a company using the **Delete** button providing that the records have not been used anywhere in the system.

If you have either the Customer Care or Nonconformities module licensed and installed

Regions are selected using the [Search button](#) so must first be set up in **Customer | Region** in the Customer Care or Nonconformities module; they cannot be added on the fly.

The **Analysis** page allows user-definable analysis (from the Customer Care and Nonconformities modules) to be selected where appropriate. Click on the page to open the dialog. Further analysis categories, if needed, must be set up in the Customer Care or Nonconformities modules, **Settings | UDA | Customer** and/or **Contact**.

3.4.2 Recording details of a new contact within a company

- 1 Click on the **New** button of the **Contacts** page in the **Create Company** dialog (**Settings | Clients and Customers | New Company** button).
- 2 Tick the *Primary Contact* check box if appropriate. The primary contact will be marked on the main Contacts window.
- 3 Give the contact a **Surname** (mandatory field).
- 4 Enter as many other details about the contact as you wish.
- 5 Click on the **Notes** button to add any Notes about the contact.
- 6 Click on the **Save** button to save and continue inputting.

The **Analysis** button and page will show settings from the Customer Care or Nonconformities module, if installed; if this is the case the **Analysis** page allows user-definable analysis (from Customer Care and/or Nonconformities) to be selected where appropriate. Further analysis categories, if needed, must be set up in the Customer Care or Nonconformities module, **Settings | UDA | Contacts**.

When you have finished inputting all company contacts, **Close** and **Save** on the Contacts window. Check that the contacts that you have just set up are now listed in the Current Contacts list.

3.4.3 Creating a record for a new individual customer

Creating a record for an Individual is very similar to creating a record for a Company but no provision is made to record details of company contacts.

The **Notes** page is divided into two sections so that you can make different kinds of notes about the customer (business or personal) as appropriate.

The **Analysis** page, also divided into two sections, shares settings with the Customer Care and/or Nonconformities modules and will be blank unless you have either of these other modules installed (and with fields already set up).

Creating a record for a new Individual

- 1 Click on the **New Individual** button in the **Select Customer** dialog.
- 2 Type in the customer's **Title** or choose from the drop-down menu.
- 3 Enter a **Surname**; this is the only mandatory field.
- 4 Record telephone, fax and e-mail numbers where required.
- 5 Enter an address.
- 6 Add **Account Details** if appropriate.

NB. If, in the Customer Care or Nonconformities module, you move an individual customer to a company (see **Customer Care** or **Nonconformities module, Customer | Move Contact**) the **Date Left** field in the above dialog will automatically be completed on the day the move is entered. Details of the individual customer with all their Contact Notes and attached Contact User-definable analysis categories will automatically be transferred and stored in the records of the company the individual is moving to.

Selections for the **Region** field come from the Customer Care and/or Nonconformities module and will be blank unless you have either of the other modules installed and have Regions already set up there (they cannot be set up 'on the fly').

- 7 Add any notes about the individual on the **Notes** page.
- 8 Select appropriate analysis categories on the **Analysis** page (if you have UDA already set up in the Customer Care and/or Nonconformities modules).
- 9 **Save** and **Close**.

3.5 Suppliers

External suppliers may be involved in issues relating to audits; provision is therefore made to record full details of suppliers - name, address, phone etc. and information on specific contacts.

NB. The **Suppliers** dialog is used by other Workbench modules (Customer Care, Nonconformities, Test & Calibration and Training) and information on suppliers recorded in these modules will also be available from the Audits module. However, if you are denied access to Suppliers from within any other module, you will automatically be denied access here.

Details of suppliers are recorded in the **Settings** menu. Suppliers records may be set up 'on the fly' in the Test and Calibration module only.

[Setting up new suppliers](#)

[Recording new contacts](#)

[Selecting suppliers](#)

[Editing details of suppliers and/or their contacts](#)

3.5.1 Setting up new supplier records

The same supplier records are used by the Audits, Customer Care, Nonconformities, Training and Test & Calibration modules. If you are denied access to this menu option in any module, you will automatically be denied access in all other modules.

Setting up a new supplier record

- 1 Select **Settings** from the main menu and choose **Suppliers** from its pull-down menu. (**NB.** In the Test and Calibration module only, Suppliers may be set up 'on the fly' from the **Equipment Register** dialog.)
- 2 In the **Select Supplier** dialog click on **New**.
- 3 The **Supplier ID** and **Name** are mandatory fields. The **Search Code** will automatically follow the Name but can be changed. The Supplier ID cannot be edited in any way, once saved.
- 4 Enter as many or as few other details as are relevant for the supplier - on all pages.
- 5 Enter any **Notes** and **Save**.

All suppliers information (apart from Supplier ID) may be edited at any time in the future using the Suppliers menu option in the Settings menu only.

Analysis page

User-definable analysis displayed on the **Analysis** page is initially set up in the **Settings** menu (**User Defined Analysis | Suppliers**). [Analysis categories](#) displayed here can be attached to the currently selected supplier in the following ways:-

- select (or de-select) check box categories by clicking in them
- select predefined values from the drop-down list in combo boxes
- add values 'on the fly' using additive combo boxes (or select from a predefined value in the drop-down list). Any new value set up here will be added to the drop-down list and available for future selection.
- enter a 'one-off' value using a free text box.
- enter a date or date and time (using the Date button if preferred).
- enter currency and/or numeric fields (up to the specified number of characters).

You can select only one value per field (in drop-down lists or combo boxes); boxes should be left blank if neither the field nor any of its values apply.

When you have completed the page, click on **Save**. If no UDA is applicable go to the next page.

Contacts page

Specific contacts within firms of suppliers can be recorded on the **Contacts** page. See [Recording new contacts](#).

3.5.2 Recording new contacts

- 1 Select the **Contacts** page in the **Create Supplier** dialog (after specifying a **Supplier ID** and **Name** on the **Supplier** page); details of contacts already recorded will be listed here.
- 2 To enter details of a new contact, click on **New**.
- 3 **Surname** is the only mandatory field. You may enter as many or as few other details as you wish.
- 4 Enter any **Contact Notes** if appropriate.
- 5 Click on the **Save** button to save the contact and continue adding further new contacts or **Save** and **Close**.

The Contact(s) you have just recorded will now appear in the list on the first **Contacts** page window in the **Create Supplier** dialog.

- 6 Click on **Save** and close all dialogs.

3.5.3 Selecting suppliers

Supplier records may be set up in several modules; lists of Suppliers will include suppliers recorded in any other module that contains this menu item.

Selection of suppliers uses a routine common throughout Workbench (see [Groups / Lists](#) for help with this if required).

- 1 Click on any **Suppliers** page.
- 2 Select suppliers by moving them from the left hand side of the window to the right.
- 3 When you have selected all the appropriate suppliers, **Save** and **Close** or continue to input other products and select suppliers.

If you need to set up new suppliers, close the Suppliers page to return to the main menu. Then see [Setting up new supplier records](#).

If selecting suppliers via the **Search** button and the **Select Supplier** dialog, see [Search routines](#) for help if required.

3.5.4 Editing details of suppliers and/or their contacts

- 1 Choose **Supplier** from the **Settings** menu; the **Select Supplier** window will appear.
- 2 Select the appropriate supplier, edit any details on the **Supplier** and/or **Analysis** pages (apart from the **Supplier ID**) and click on **Save**.
- 3 Click on the **Contacts** page to edit details of contacts.
- 4 Highlight the appropriate contact and click **Select** (or double-click on the required contact).
- 5 Edit the contact's details, click on **Save**.

A contact's records may only be deleted (using the **Delete** button) if they are not used in any supplier records in any installed module.

- 6 Save in the **Edit Supplier** dialog and **Close** the **Select Supplier** dialog.

3.6 Result descriptions

Audits may be created, scheduled and even run without entering any result descriptions. However, provision is made under the Settings menu for compiling result descriptions if required. You may also create result descriptions whilst an audit is running, in the **Edit Audit Checklist / Enter Results** dialog.

Results of audits can be recorded as simple pass/fail options, numeric scores and/or result descriptions such as excellent, satisfactory, fair, below standard etc.

Audit result descriptions can be added, edited or simply viewed whilst entering results of an audit. This is a useful feature as it means that the audit can continue but new descriptions can be added as they become necessary.

Setting up result descriptions in the Settings menu

- 1 Select **Settings** from the main menu and **Result Descriptions** from its pull-down menu.
- 2 The **Select Audit Result Description** dialog will be displayed. Click on **New** and the **Create Audit Result Description** dialog will appear.
- 3 Enter a mandatory **Description** and add any notes. The **Search Code** will follow automatically but you can edit it.

Adding/creating result descriptions 'on the fly'

- 1 In the **Edit Audit Checklist / Enter Results** dialog click on the Search button next to the **Results Description** field.
- 2 The **Select Result Description** dialog will be displayed; click on the **New** button to create a new result description.
- 3 Enter a **Description** and add any notes. The **Search Code** will follow automatically but you can edit it.

Editing audit result descriptions

You can only add or create a new result description 'on the fly' in the **Edit Audit Checklist / Enter Results** dialog; you cannot edit from here. To edit an audit result description:-

- 1 Select **Settings** from the main menu and **Result Descriptions** from its pull-down menu.
- 2 In the **Select Audit Result Description** dialog select the result description you wish to edit (see [Search routines](#) if you need help with this).
- 3 Edit any element of the record and **Save**.

3.7 Categories and checklist items

The module supports a 'Library' where category and checklist items may be stored. This may act as an 'aide-memoire' for future audits and/or for new auditors, ensuring that similar items are checked in each audit.

Checklists and their categories set up in the **Settings** menu will automatically be entered into the Library; alternatively they can be entered when an audit template is being created/edited or an actual audit is running.

Initially, it may be easier to understand how checklists and categories work by adding them when the actual template is being created (see [Creating an audit template](#)).

Adding categories and checklist items to the Library via the Settings menu

- 1 Select **Settings** and choose **Category Library** or **Checklist Library**.
- 2 Click on the **New** button.
- 3 Enter a **Name** (or **Summary** if this is a Checklist). The **Search Code** will automatically be entered (using the first ten characters of the Name/Summary) but you can change it manually.
- 4 Add any **Notes**.
- 5 With appropriate access, you may click on the **Edit** menu (top left corner) to attach Auditees, Departments, Documents and/or Suppliers specifically to this category or checklist item. Right-click on the dialog to print the window.
- 6 Click on **Save** and continue inputting further categories or...
- 7 **Close** and **Save**.

The categories and/or checklist items should now appear in the main **Select Category** or **Select Checklist Item** dialogs.

Editing a category or checklist item

- 1 Click on **Settings** and choose **Category Library** or **Checklist Library**.
- 2 In **Select Category Library** or **Select Checklist Library** choose the required record using any method described in [Search routines](#).
- 3 Edit any part of the record including the **Search Code**, add (further) notes if required and **Save**. With appropriate access, the **Edit** menu (top left corner) allows you to edit attached Auditees, Departments, Documents and/or Suppliers. Right-click on the dialog to print the window.
- 4 Use the **Delete** button to delete records but be aware that once a category or checklist item has been used in any audit or template it cannot be deleted.

3.8 User definable analysis categories

The ability for you to determine your own analysis categories and their associated values is present throughout Workbench and is a very powerful customisation feature. The User definable analysis element is licensed separately and, if purchased and installed, UDA will always be set up in the **Settings** menu of each individual module. Wherever a module offers more than one type of analysis category, this is offered from a walk-right menu.

Different categories must each be set up separately, but this is done in exactly the same way; the various categories then become available for selection in appropriate **Analysis** dialogs.

The Audits module enables you to define separate analysis categories for Audits and Suppliers.

Analysis can be categorised in eight different ways:-

- the Drop Down List gives a set of predefined values for a given attribute. This list is used whenever you wish to associate a set of predefined values with a category. These might be used to attribute, say, a specific reason for an audit, chosen from a drop-down list of alternatives when the template is set up or the audit is actually run.
- the Check Box offers a straightforward on/off toggle for attributes that either apply or do not apply. An example might be 'Inform Health and Safety?'. You then simply check or uncheck this box as appropriate when entering records.
- an Additive Combo box lists certain predefined values that may be added to 'on the fly'. These

values are produced as a drop-down list and any value added in this way becomes 'global' and is added to the list for future use.

- the Free Text box. This allows you to add specific text (up to 255 characters - user definable) that may apply to the audit on a one-off basis.
- Date Only. Choose this category if you wish to add an analysis field that will allow you to attach a specific date to the record. The field will automatically incorporate a date button.
- Date and Time. Choose this category if you wish to add analysis fields that will allow you to attach a specific date and time to the record. The field will automatically incorporate a date button.
- Currency. Choose this category to add a currency analysis field (eg. price in sterling, dollars, lire etc.). The field can be sized to allow for up to 20 characters; you may also stipulate the number of digits after the decimal point.
- Numeric. Choose this category to add a numeric analysis field. The field can be sized to allow for up to 20 characters; you may also stipulate the number of digits after the decimal point.

3.8.1 Setting up user defined analysis

User-definable analysis can only be set up in the **Settings** menu; the required analysis categories must then be selected on **Analysis** dialogs whenever appropriate. The process of setting up analysis categories is identical for all modules.

Creating user defined analysis fields and values

- 1 From the **Settings** menu, choose **User Defined Analysis**.
- 2 In modules where there is a choice of user defined analysis, choose one from the walk-right menu. The **Analysis Maintenance** dialog will open.
- 3 To enter a new **Analysis Field** (of any type) click on the **New Field** button (in the left side of the window).
- 4 Type in a new **Analysis Field** where the cursor is blinking - field labels may contain up to 255 characters.
- 5 Press the return key to enter another analysis field or continue to define the type and values (if appropriate) for the current field.
- 6 With the required analysis field highlighted, select the Field Type 'radio' button. For all analysis fields except Drop Down List or Additive Combo this completes the input required.
- 7 To define field values for Drop Down Lists or Additive Combos, click the **New Value** button (on the right hand side of the window).
- 8 Enter the initial **Field Value** for the selected analysis field.
- 9 Press the return key to save the new **Field Value** and prepare to enter another. Repeat this process until all the relevant entries have been made in the *Values* field.
- 10 Highlight another **Analysis Field** in the left hand side of the window to add values to if required; click on **Save** when all fields/values have been entered.

The **Maximum Field Length** for analysis fields defaults to 255 characters; currency and numeric fields default to 20 characters maximum; date/time fields are pre-defined and automatically incorporate a date button; check boxes offer a simple on/off choice. To alter a maximum field length, simply delete the shown number and type in the preferred length. The **Number of Digits after a Decimal** point may also be specified (where appropriate).

You may enter as many different fields and values as you wish and relevant fields may have as many values attributed to them as required. If the number of defined categories fills up the screen, a scroll bar will appear allowing you to scroll down and continue inputting information.

Fields and/or values may only be edited or deleted if they have not been 'attached' to a record. However, a check box near the bottom of the left hand side of the dialog, *Hide Field?*, allows you to 'hide' any highlighted analysis field. As hidden fields can't be seen they can no longer be selected on **Analysis** pages, but previously stored information may still be used for reporting purposes.

The ▲ Up and ▼ Down buttons are used to navigate the lists of fields and values and to determine their order.

NB. Please avoid using ampersands (&) in this dialog; spell out the word in full where necessary or use a back-slash - eg. Health and Safety or Health\Safety.

3.8.2 Selecting user defined analysis

User defined analysis categories originally set up in the **Settings** menu are available for selection on **Analysis** pages.

NB. In the Document Control module, user defined analysis is classed as a Document Attribute (Document attributes / Analysis page).

Selecting user defined analysis

- 1 Click the **Analysis** page on the main dialog.
- 2 Select appropriate predefined values from drop-down lists.
- 3 Relevant check boxes should be checked or un-checked.
- 4 In additive combo boxes you may select from a predefined value in the drop-down list or add a new value. Any new value set up like this will be added to the drop-down list and available for future selection.
- 5 In free text boxes you may enter a one-off value that will apply to the currently selected record only.
- 6 Enter a date or date and time (using the [Date button](#) if preferred).
- 7 Enter currency and/or numeric fields (up to the specified number of characters).

You can select only one value per field (in drop-down lists or combo boxes); boxes should be left blank if neither the field nor any of its values apply.

- 8 When you have completed the page, click on **Save**.

See also [Setting up user defined analysis](#)

4 Creating an audit template

An audit template is essentially a template or pattern upon which to base actual audit runs. The template's prime function is to save a great deal of time in scheduling and running audits as many of the features of an audit and/or checklist elements are re-useable. Although an audit template can be specified in detail, it is important to realise that this information can be overridden for any individual run. If the template is changed, these changes will be reflected in all future runs of audits based on that template. There is also a check box option to update audits already scheduled on an amended template, with any changes.

A template must be created in order to schedule and run the first audit. A template requires only two mandatory fields; it must have a Name and you must also specify how long the audit is likely to take (Duration). It is possible to create a template without giving any further information but it is likely that many of the other fields will be used. You also have the option to base a new template on an existing one.

A workflow setting - *Audit user reference must be unique* - if switched on in the **Workbench Configuration Centre** (System Manager module), will force any user reference (if used) to be unique. In this case you will not be able to enter a **User Reference** (a red warning notice will be displayed) but must define this once an audit has been scheduled.

Creating an audit template

- 1 Select **Audit** from the main menu and choose **Audit Template**.
- 2 Click on **New**.
- 3 If you wish to base the new template on an existing one, select the radio button marked *Base on Existing Template* at the bottom of the dialog. All information from the existing template apart from the Name and Search Code (but including Access lists and Checklists, Attachments (if any) and all information on the Analysis, Departments and Scope pages) will be entered into the new template automatically; any of these fields may be edited.

If you wish to set up a new template 'from scratch' follow the instructions below.

- 4 Give the template a **Name**; this is a mandatory field.
- 5 Attach relevant file(s) if required via the [Attachments](#) button. With appropriate access rights, Attachments are editable until the audit is completed.
- 6 The **Search Code** will automatically mimic the Name (up to ten characters, without spaces). It may be altered manually if preferred.
- 7 A **User Reference** (which is not mandatory) can be given with any user-definable reference that will help you identify the template. However, if the *Audit user reference must be unique* workflow setting check box has been selected you will not be able to enter a user reference when creating an audit template. Instead, a message 'User reference is required to be unique and must be defined once scheduled' will be displayed in place of the **User Reference** field. (See [Audit workflow settings](#) for full details.)
- 8 **Audit Type**, **Client**, **Lead Auditor** and/or **Assessor** (if specified) are all entered using the Search button; information used in these fields must be set up in the Settings menu prior to creating an audit template (see [Setting up an audit](#)).
- 9 If the auditor is external, tick the box marked *Is External* and the **Lead Auditor** field will change to **Assessor**.
- 10 Search for the **Lead Auditor** or **Assessor** using the [Search button](#). The choice of Lead Auditor is made from a list of personnel recorded in the Personnel module. Assessors details are set up in the Settings menu (see [Assessors](#)).
- 11 The **Duration** of the audit is a mandatory field. Type in an appropriate number in the first field and then select either Days, Weeks or Months from the drop-down menu in the adjacent field.

Search options available via the Search button differ according to the type of information you are searching through. When you enter information using the Search button, as in Type, Client, Lead Auditor or Assessor, the system will enter the relevant Search Code for each field. A full description or name will be shown in red alongside the field.

Details set up in the **Create Audit Template** dialog will be carried over to all audits based on this template, unless they are edited at a later date. Right-clicking on any part of the template allows you to print it out.

When the main **Template** page has been completed, move on to other pages - **Analysis** (select any relevant UDA), **Departments** (see [Groups/ Lists](#) for help with selecting Departments if required) and **Scope** (add any relevant notes that may be appended at any time).

Once the two mandatory fields have been completed the **Access** and **Checklist** buttons will be enabled allowing you to select personnel who will have access to the template and to create a checklist for it.

4.1 Checklists

A powerful feature of the Audits module is the way in which items for checking are set out. The program allows a checklist to be itemised in exactly the same way as an auditor might compile a list on a clipboard. It is quite possible that many of the items fall into the same category so these can be grouped together.

For example, part of an audit on pastry processing may wish to check how frequently fresh produce is delivered; how long the produce may be stored before use; where dry products are stored; whether there is a strict rotation of stored dry products etc. These checklist items along with others, might all be grouped together in a category named 'Produce'.

The program echoes further the way in which audits are conducted manually by allowing each category or checklist item to be audited by a different auditor or to have different auditees assigned to them. Our 'Produce' category could therefore be assigned to a different auditor than the rest of the audit.

Checklists can be printed out so that results may be recorded against them when access to the software is not possible.

Users also have the flexibility to add checklist items to the module library at any time during an audit or to work with a pre-defined checklist. The library stores the items for future retrieval and offers a keyword search.

The easiest way of [compiling a checklist](#) is to start by simply recording all the items that you wish to be checked in the audit; similar items may then be grouped together under category headings.

4.1.1 Compiling a checklist

Checklists are compiled in the **Create Audit Template Checklist** dialog; this is accessed by clicking on the **Checklist** button on the main **Create Audit Template** dialog after mandatory fields have been completed. The Print icon at the bottom of the dialog allows you to print the checklist when complete.

Checklists can also be created and edited via the **Checklist** button on the **Edit Audit** and **Run Audit** dialogs.

- 1 Click the **Checklist** button on the main **Audit Template** dialog.
- 2 The name of your audit will appear at the top of the dialog; right-click on this or use the **Edit** menu (at the top of the dialog) to [add a category or checklist item](#).

- 3 Categories and checklist items can be organised in any way that suits the compiler. A category can have as many checklist items as required attached to it. Each checklist item in a category can have the same Lead auditor (or Assessor), auditees and departments etc. attached to it but each can be different if specified - see point 5 below. A Checklist item can stand on its own and does not need to be attached to a category - it can exist in its own right at level one.
- 4 Continue adding as many categories and checklist items as you wish; the main field will scroll if more depth is required.

Categories and checklist items may be dragged and dropped in new positions within the **Edit** field. Their levels may be altered and checklist items may be attached to different categories. It is not compulsory to attach checklist item(s) to a category; however a category will take any attached checklist item(s) with it when moving to a new position.

- 5 See [Changing the name of a category or checklist item](#) if you wish to use the **Change Name** right-click option. Use the **Delete** right-click option to delete a category or checklist item.
- 6 To attach a Lead Auditor (or Assessor), Auditees, Departments, Documents or Suppliers, highlight the required category or checklist item and use the right-click menu:-

Lead Auditor - this option brings up the **Select Lead Auditor** dialog - select an auditor (see [Search routines](#) if you need help with this) and you will notice that the square yellow icon will now have a + on it indicating that a Lead Auditor has been attached. Double-click to reveal the named Lead Auditor. Right-click to alter the Lead Auditor. **NB.** If an external assessor has been nominated to carry out the audit this will automatically be shown. You will need to go back to the main page if you wish to edit an assessor or change to a lead auditor.

Auditees - this option brings up the **Category / Checklist Item Auditees** dialog from where you may select appropriate personnel to be audited regarding the selected audit category or checklist item (see [Groups / Lists](#) for help if required).

Departments - this option brings up the **Category / Checklist Item Departments** dialog from where you may select relevant departments to be audited in connection with the selected category or checklist item. Only departments included on this Audit template will be available for selection; to add departments not included, you will need to go back to the Departments page and edit from there.

Documents - this option brings up the **Assign Documents** dialog. Only issued documents that the user has access to will be available for selection. The **Add** button will take you to the **Select Document** dialog where you may select relevant document(s) associated with the selected audit category or checklist item (see [Assigning documents](#) for further information). Only issued documents that the user has access to will be available for selection and if the document's workflow setting has been configured to convert to PDF, then when viewing the document assigned to the audit, it will appear in PDF format.

Suppliers - this option brings up the **Category / Checklist Item Suppliers** dialog from where you may select relevant suppliers to be audited in connection with the selected category or checklist item. **NB.** Suppliers listed may originate from other modules using the same dialog (providing that you have appropriate access to these other modules).

- 7 The **Search Code** shown in the bottom part of the dialog will appear automatically if a category or checklist is chosen from the Library. The **Reference** field allows you to enter any text that will be useful to your company's way of working (for cross-referencing purposes, for example). Search Codes and References used in checklists will be shown on the **Audit Template, Planned Audits Detail, Running Audit Details** and **Audit Result Details** reports.

The **Category Library** (and **Checklist Item Library**) button gives direct access to the **Category** or **Checklist** libraries and allows you to select an existing record.

- 8 Add any **Planning Notes** that will be attached exclusively to the selected category or checklist item; notes recorded here will appear in relevant reports, if specified.

Click on the **Up** and **Dn** buttons at the bottom of the page to tab up and down the categories and checklist items once entered. Use the Print button to print the page.

NB. Categories and checklist items can only be edited permanently in the **Settings** menu. Edits to any part of a category or checklist item (name, search code, reference or notes) made for a specific audit will only be saved for that audit.

4.1.2 Category and checklist item icons



This icon denotes a folder with no checklist items attached.

When used on the left hand side of the window in conjunction with a category, clicking on it will show relevant details (if any) in the bottom half of the window. Right-click to add a checklist item, change the Name or delete the category. The right-click menu also gives direct access to the Lead Auditor, Auditees, Departments, Documents or Suppliers attached to the category.

When used on the right hand side of the window in conjunction with Lead Auditor, Auditees, Departments, Documents or Suppliers attached to the category, right-clicking on the folder icon will open up dialogs where you may select personnel, departments, documents and suppliers to assign to the category where relevant.



This icon denotes a folder with items attached but not displayed.

When used on the left hand side of the window in conjunction with a category, clicking on it will show relevant details (if any) in the bottom half of the window. Right-click to add a checklist item, change the Name or delete the category. The right-click menu also gives you direct access to dialogs that allow you to add/edit the Lead Auditor, Auditees, Departments, Documents or Suppliers attached to the category. Double-click to reveal attached checklist items.

If you right-click on a 'plus icon' **on the right hand side of the window** an appropriate Select dialog will appear allowing you to attach a Lead Auditor, Auditees, Departments, Documents or Suppliers. Double-click to reveal items already attached or assigned.



This icon denotes a folder with all attached items displayed.

When used on the left hand side of the window in conjunction with a category, clicking on it will show relevant details (if any) in the bottom half of the window. Right-click to add a checklist item, change the Name or delete the category. The right-click menu also gives you direct access to dialogs that allow you to add/edit the Lead Auditor, Auditees, Departments, Documents or Suppliers attached to the category. Double-click to hide attached checklist items.

If you right-click on a 'minus icon' **on the right hand side of the window** an appropriate Select dialog will appear allowing you to edit a Lead Auditor, Auditees, Departments, Documents or Suppliers. Double-click to hide items already attached or assigned.



When used on the left hand side of the window this icon represents checklist items.

These can stand alone at level one or be attached to categories at level two. Click on these icons to reveal relevant details (if any) shown in the bottom half of the window. Right-click to change the Name, delete the checklist item or gain direct access to Auditees, Departments, Documents or Suppliers attached to the item.

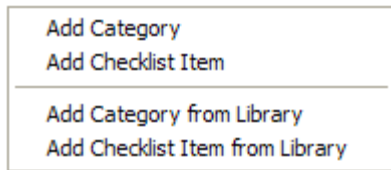
When used on the right hand side of the window you may right-click on the icon to edit or add further lead auditors, auditees, departments, documents or suppliers.

4.1.3 Adding a category or checklist item

Categories and/or checklist items may be added...

- when an audit template is created (or edited)
- when editing a scheduled audit or
- when an audit is running.

They will normally be added via a right-click menu giving you the option to create a new category or checklist 'on the fly' (top options) or to add an existing one from the Library.



If you select one of the top options to add a category or checklist item, the **Add Category** or **Add Checklist Item** dialog will open where all that is required is a description. Enter this, click **OK** and the new category or checklist item will be entered on the audit checklist. Categories or checklist items added in this way will not need a **Search Code** as they will not form part of the Library.

If you select one of the bottom options the **Select Category** or **Select Checklist Item** dialog will open. Here you may select an existing category or checklist item to add to the audit checklist (see [Search routines](#) if you need help with this) or you may add a new category or checklist item to the Library by clicking on the **New** button. The **Add Category** or **Add Checklist Item** dialog will then open; these dialogs are exactly the same as [Settings | Category](#) (or Checklist Item). Enter as many details as required and **Save**. The new record will appear on the list in the Select dialog and can then be selected for inclusion on the audit checklist.

Adding categories or checklist items to the Library

- Either set up the items in the **Settings** menu or...
- use the **Checklist** button on **Create Audit Template**, **Edit Audit** or **Run Audit**.

4.1.4 Deleting a category or checklist item

To delete a category or checklist item from a compiled checklist, highlight the relevant category or item and use the right-click menu. Alternatively highlight the category or item and choose **Delete** from the **Edit** menu.

Obviously this only deletes the highlighted category or checklist item from the selected audit template (if the deletion is in **Edit Audit Template Checklist**).

In **Edit Audit** or **Run Audit**, where a specific audit has been scheduled, the deletion is made for the selected audit only in the **Edit Audit Checklist** or **Edit Audit Checklist/Enter Results** dialog.

4.1.5 Changing the name of a category or checklist item

Once a checklist has been compiled, it is possible to change the name of a category or checklist item. Obviously this change will only apply to a specified audit template (in **Edit Audit Template**) or to a selected audit in **Edit Audit** or **Run Audit** after an audit has been scheduled.

Where a category or checklist item has been taken from the Library, the change of name will over-ride the existing name for the selected audit or template only; any notes or search code attached to a category or checklist item will remain unchanged and in the Library, the name will also remain unchanged.

The name of a category or checklist item can be changed in a compiled checklist in the following dialogs:-

Audit Template | Create Audit Template Checklist

Audit Template | Edit Audit Template Checklist

Edit Audit | Edit Audit Checklist or

Run Audit | Edit Audit Checklist / Enter Results

by selecting **Change Name** from the right-click menu of a selected category or checklist item, or by high-lighting a category or checklist item and selecting **Change Name** from the **Edit** menu.

4.1.6 Assigning documents

You may assign documents to audit categories or checklist items in **Audit Template | Create Audit Template Checklist**, **Edit Audit | Edit Audit Checklist** or **Run Audit | Edit Audit Checklist / Enter Results** using any of the following ways:-

- by selecting **Documents** from the right-click menu of a selected category or checklist item
- by highlighting a category or checklist item and selecting **Documents** from the **Edit** menu
- by highlighting a category or checklist item and then right-clicking on **Document(s)** at the bottom of the list in the right hand box.

When the **Assign Documents** dialog appears, any previously assigned documents will be shown in the list. Use the appropriate buttons to **Remove** or **View** a highlighted document.

To assign a document click on the **Add** button to bring up the **Select Document** dialog where you may select relevant document(s) to attach to the selected audit category or checklist item (see Searching for documents if you need help with this).

Only issued documents that the user has access to will be available for selection and if the document's workflow setting has been configured to convert to PDF, then when viewing the document assigned to the audit, it will appear in PDF format.

4.2 Personnel access to an audit

Differing Personnel and Personnel Groups may be given access to view or edit any audit template or scheduled audit and may monitor progress and/or results of an audit. The Lead auditor (or Assessor) of any template or audit automatically has full edit rights to that template or audit. If no specific personnel are nominated to have editing or viewing rights then the whole of the personnel list will have access to view and/or edit at any time.

Click on the **Access** button in **Audit Template | Create Audit Template Checklist**, **Edit Audit | Edit Audit Checklist** or **Run Audit | Edit Audit Checklist / Enter Results** in order to select or edit personnel access.

Personnel who may edit the audit (or audit template)

Personnel available for selection in the **Audit Access** dialog originate from the Personnel module

and are shown at top left of the dialog. Personnel who have editing rights on a template at the time of creation of an audit based on that template, will continue to have full rights throughout the audit.

Personnel Groups are shown in the bottom half of the dialog. Right-click on a selected group to reveal the names of group members.

For help with selection of Personnel or Groups see [Groups / Lists](#).

Personnel who may view the audit (or audit template)

Personnel and Groups who may view the audit template or audit (and may be different from those who can edit the template / audit) are selected in exactly the same way as personnel who may edit the template / audit.

All persons with edit rights automatically have view rights.

Personnel who have rights to view a template can also view an audit based on the template before it is running.

Personnel who may view progress and results of the audit

Personnel and Groups who may view progress and/or results of audits (and may be different from each other and those who can view or edit) are selected in exactly the same way as personnel who may edit.

'Viewing progress' of an audit is defined as viewing a running audit and personnel with access to view the progress of an audit will only be able to do so when the audit is running.

Personnel with 'Viewing results' access can only view completed audits and their results.

5 Scheduling audits

All you need to schedule an audit is a template on which to base the audit and a planned starting date. At this point an audit based on a template becomes a specific, named Audit and appears in the Calendar that is utilised by all installed Workbench modules.

Scheduling an audit

The actual dates and frequency of audits are initially set up within the **Audit** menu under **Schedule Audit**. Any element can be changed at any time until the audit is actually running.

- 1 Select **Audit** from the main menu and choose **Schedule Audit**.
- 2 Select an **Audit Template** on which to base the audit. When there are numerous templates available, selection may be quicker via the [Search button](#) - search options are displayed by right-clicking.
- 3 When you have selected an audit template the **Schedule Audit** dialog will appear.
- 4 Re-naming is recommended. By default, the audit retains the name of its template, shown in grey. If you want audits of the same type to carry the same name, then this should not present a problem. However if you do not want all completed audits from the same template to retain the same name, you must change the name of the new audit. To do this, de-select the *Using template name* check box and type in the new name in the mandatory **Name** field. Any **Search Code** or **User Reference** attached to the original template will be retained, unless you alter it manually in **Edit Audit** (see [Editing an audit](#)).
- 5 If the audit is to be a 'one-off', just enter the date in the mandatory **Audit Date** field and **Save**.
- 6 If the audit is to be repeated, tick the check box marked *Recurring*.
- 7 The **Frequency** fields will open if the *Recurring* box is checked. Type in the frequency in figures and select a unit of time from the drop-down menu (Day(s), Week(s), Month(s) or Year(s)).
- 8 Type in dates of the **First Audit** (mandatory field) and **Last Audit** or use the [Date button](#). The advantage of using the Date button is that any date entered will always be in the correct format. Dates formatted incorrectly will not be accepted and a warning message will appear.

It is worth mentioning here that the Workbench system uses four figure year dates ie. 2013, not 13. It is important that your version of Windows is configured in the same way - check your Windows manual if you are unsure how to do this.
- 9 If the frequency of an audit cannot be reconciled with the given dates you will be asked to accept an earlier date. If this is not acceptable, alter either the First Audit or Last Audit date or the Frequency of the audit.
- 10 If a lead auditor has been nominated, a notification will automatically be sent informing them that audits have been scheduled and on the appropriate date(s) they will also be asked to run the audit.

Once an audit has been given a Name, it exists in its own right and appears on the Calendar on its planned start date. It is also now available for editing or for [running](#).

5.1 Re-scheduling audits

There is a very easy way to re-schedule an audit that is still in the 'planned' stage...

- 1 Call up the Calendar and highlight the chosen audit.
- 2 Drag it to the new date.

Audits that are running or have been completed cannot be moved.

If the re-scheduled date is in a different month, the 'dock' (situated next to the **Close** button) must be used...

- 1** Click on the audit to be moved and drag it to the dock.
- 2** The audit name and original date will be displayed in the dock.
- 3** Go to the required Month and/or Year and drag the audit in the dock to the re-scheduled date.

NB. The re-scheduled date will also be automatically updated in its main **Audit Details** dialog.

6 Running and completing an audit

Audits are run and completed in the **Audit | Run Audit** dialog. However, the Remote Workbench Audits application allows users to check audits out/in so that they may be run on a laptop - see [Running an audit on a laptop](#).

When an audit has been given a name (either its own or that of its template) and a start date has been planned, it can be run. Results are recorded against any element of the audit (see [Entering the results of an audit](#)) and made available for differing kinds of reports.

Whilst the audit is running it is still possible to make additions and/or alterations to any element including its finish date, but once the audit has been completed and signed off no further changes are possible.

A completed audit can only be signed off by authorised personnel. When this has been done the audit is 'frozen' and is available for viewing (in **View Audit**) or reporting purposes only. Every element of a completed audit remains intact and it is stored in exactly the same format as current audits so that comparisons can take place easily.

6.1 Selecting an audit

The comprehensive **Select Audit** dialogs ensure that checked-out audits are excluded from selections where appropriate. The dialogs also allow you to refine your search when record lists are long.

To demonstrate a typical Select Audit dialog

- 1 From the **Audit** menu choose **View Audit**. The **Select Audit to View** dialog will appear showing a list of audits that you have the relevant permissions and access rights to view.
- 2 The search field at the top left allows you to search by ID (F3), by User Reference (F4), within the Audit Name (F5) or by Search Code (F7) or using the [Search button](#).

The Search Criteria fields below allow you to select a specific Audit **Type**, **Client**, **Lead Auditor** and/or **Assessor** to search on. Use the Search button alongside the relevant field(s) to select.

The Filter drop-down menus allow you to:-

i) return either Internal or External Audit records only (ie. only search on the selected one).
NB. The relevant Lead Auditor or Assessor field above will be disabled if you choose either the Internal or External Audit filter.

ii) return only audit records with either Planned, Running or Completed status

iii) return only audit records that have been Checked out to File or All checked-out audits; alternatively you may exclude all checked-out audits. See NOTE below.

At the top right hand side of the dialog there are various date options. To search on only Planned or Actual Audit Dates, choose the relevant section, highlight either the 'Before' or 'On or after' radio button for either the Start and/or Finish Dates and enter the relevant date(s).

NB. In choosing selection criteria remember that they are inclusive, ie. the search will list only audits that meet all the search conditions specified, not just any one of them. For example, a search specifying only 'Health & Safety' audits with 'Running' status will return only audits that are currently running AND of Type 'Health & Safety', not running audits OR those with the Type of 'Health & Safety'.

- 3 When you have set up the Search criteria and filters as necessary, highlight the audit you wish to view or process and click **OK** (or double-click the audit). The chosen record will then open.

Use the **Clear** button to reset the dialog.

NOTE:

- When selecting audits for editing (**Select Audit to Edit** dialog), the **Status** drop-down box will default to 'Planned' and the **Checked out Audits** box will default to 'Exclude Checked-out'.
- When selecting audits to run (**Select Audit to Run** dialog), the **Status** drop-down box will have 3 options (blank, Planned audits or Running audits) and the **Checked out Audits** box will default to 'Exclude Checked-out'.
- When selecting audits to Check out (**Select Audit to Check Out** dialog), the **Status** drop-down box will default to 'Planned' and the **Checked out Audits** box will default to 'Exclude Checked-out'.
- When selecting audits to Check in (**Select Audit to Check In** dialog), the **Status** drop-down box will default to 'Planned' and the **Checked out Audits** box will default to 'All Checked-out'.

6.2 Running an audit

Audits can be run at any time once a start date has been scheduled. When you are ready to actually run the audit...

- 1 Select the **Audit** menu and choose **Run Audit**. The **Select Audit to Run** dialog shows all audits that are available to run - their status will be either Planned or Running (currently running).
- 2 Select the audit to run (using any method described in [Selecting an audit](#)) to display the **Run Audit** dialog for the audit you wish to run. Most audit information can still be edited if required. Remember that if the *Audit user reference must be unique* setting has been switched on (see [Audits workflow settings](#)) any user reference you wish to use must be unique.
- 3 Type in the **Actual Start Date** (or use the [Date button](#)). The **Actual Finish Date** will be calculated by the system and entered automatically, but can be deleted. (Actual dates only become mandatory when giving the audit Completed status.)
- 4 Click the middle radio button to change the status of the audit to 'Running' (the system should automatically have done this).
- 5 The **Analysis**, **Departments**, **Scope** and **Report** pages may all be edited if required. The [History](#) page is read-only.
- 6 Click on the **Access** button to view / edit personnel who may view the progress and/or results of the audit.
- 7 Click on the **Checklist** button to view / edit the audit checklist and to enter results. To expand all the category and checklist items in an audit, check the box at the top of the **Edit Audit Checklist / Enter Results** dialog. For full information see [Entering the results of an audit](#).

Use the **Undo** button to undo any changes made in this session.

6.3 History page

History pages effectively display an 'audit trail' for the audit; they record all changes to the audit, along with who took the action and the date / time of occurrence. This allows you to follow any changes to the audit as it proceeds through the processing cycle.

Audit templates do not have **History** pages; they are only created after an audit has been scheduled and therefore exists in its own right. The full history of a completed audit will be shown on the History page in **Audit | View Audit**.

The page is strictly read-only as it is maintained by other routines within the module that write entries to the audit history file as appropriate. Whenever an action has been carried out as a result of forward messaging, (see Forwarding external mail) its corresponding history entry is suffixed with an asterisk (*). To view details of the user who undertook the action, right-click on the relevant entry.

Note that the most recent history is displayed first and only changes that actually modify the audit (eg. editing, changing an audit date or auditor) will be shown against 'Last Updated'.

The **Filter** button allows you to determine which of the history entries are displayed. This is explained in detail if you click on the button. The system defaults to all the entries being selected and shown. If the History is filtered, the same filter will apply to all history records until changed; an indication that the History has been filtered, will be made at the bottom of the dialog.

6.4 Checking an audit out to file

Workbench allows the checking out/in of an audit to a file (eg. for use on a laptop). All audits with Planned or Running status and to which you have appropriate access may be checked out. Whilst checked out, the audit remains uneditable by any other user.

When the audit is complete (or before, if required) it is checked back into Workbench. Information is transferred and at this point NCRs may also be raised. For full information on checking an audit out to a File see the Help topic [Running an audit on a laptop](#).

Only the person who checked out the document, the system administrator or the owner of the document can check it back in. Whilst checked out, the audit may be tracked using the [View Audit](#) option.

Checking an audit out

- 1 From the **Audit** menu, choose **Check Audit Out**.
- 2 The **Select Audit to Check Out** dialog lists all audits that you may check out. Select the required entry. (See [Selecting an audit](#) if you need help with this.)
- 3 Basic read-only details of the audit to be checked out will appear in the **Check audit out** dialog.
- 4 Click the **To File** button to check the audit out.
- 5 If you are checking out to a file, the **Browse for Folder** dialog will appear requiring you to select a location for the checked-out audit.

The audit will then be marked as 'checked out to file' and will be unavailable for editing/running from within Workbench until it is either checked back in again, or [unchecked out](#).

NB. If required, the checked-out audit may be e-mailed to a laptop or any other machine providing that the remote machine has the required software, ie. is running Windows 2000 or above with the .NET Framework 2.0 installed.

- 6 Click **OK** and an Information message will appear confirming that the selected audit has been checked out to file.
- 7 Click **OK** to return to the Select dialog.
- 8 Select another audit to check out or **Close**.

A History entry will be made that the audit has been checked out to File and by whom. Right-clicking on this entry will display the location and file name of an audit checked out to file.

6.5 Checking an audit in from file

Checking audits in [from a file](#) in the **Check Audit In** dialog brings them back into Workbench. The audit information is transferred from the laptop to Workbench and at this point any NCR(s) (resulting from problems found whilst the audit was checked out) may be raised.

Only the person who checked out the document, the system administrator or the owner of the document can check an audit back in.

If you wish to abort all changes on a checked-out audit you can elect to Uncheckout the file; this instructs Workbench to return to the original audit and all its details - and to ignore the checking out operation. The audit then becomes available for running in the normal way and can, for instance, be checked out again if desired.

Checking an audit in

- 1 From the **Audit** menu, choose **Check Audit In**.
- 2 Select the audit to be checked in from the **Select Audit to Check In** dialog. This dialog lists all audits that are currently checked out.
- 3 When you have selected the audit you wish to check back in, the **Check audit in** dialog gives its details. If the audit is checked out to file, the **External file location** field at the bottom of the dialog defaults to where the audit was originally checked out to. If the checked-out audit is no longer in this location, use the browse button (...) to search for its new folder. When you're sure you have selected the correct audit to check in, hit the **Check in** button.
- 4 The system will inform you when the audit has been successfully checked back in.

If the *Raise NCR* check box was ticked against the audit as a whole (or category or checklist item) whilst checked out, the system will prompt you to raise NCRs now. Hit 'Yes' and the **Run Audit** dialog will open allowing you to raise the NCRs. Hit 'No' and the audit will simply be checked back in, but a warning in red type will appear at the top of the **Edit Audit Checklist/Enter Results** dialog against the audit element that requires the raising of an NCR.

The **Uncheckout** button allows you to abort all changes on a checked out audit.

An appropriate History entry will be made that the audit has been checked in from file and by whom. If the check-out is 'cancelled' by using the **Uncheckout** button, a History entry will also be made.

6.6 Entering the results of an audit

The module allows direct access (by right-clicking on the relevant checklist item or category) to personnel, departments, related documents and suppliers when recording results so that you may edit them, if appropriate, whilst the audit is running.

If you have the Nonconformities module installed, the **Nonconformity** button allows you to record nonconformities arising from the audit directly, either against the audit as a whole or against individual category and checklist items (see [Raising a nonconformity](#)).

Apart from entering results, the opportunity exists to expand the audit as it is running and to add new categories or checklist items as they become necessary - this is a very valuable feature of the Audits module. Use the **Edit** menu or right-click on a category or checklist item to do this.

- 1 Select the **Audit** menu and choose **Run Audit**.
- 2 Open the appropriate audit in the **Select Audit to Run** dialog.
- 3 In the **Run Audit** dialog click on the **Checklist** button.

Results of an audit are recorded at the bottom of the **Edit Audit Checklist / Enter Results** dialog. The results entered will apply either to the audit as a whole, to a specific category or to a checklist item whichever is highlighted when the results are entered.

- 4 The *Expand all checklist items* check box at the top of the dialog, if checked, will enable you to see all category and checklist items. Highlight the audit as a whole (default) or any element of the audit and enter appropriate results in the bottom part of the dialog (see **Recording the results**, below). **NB.** As you highlight a different element of the audit you will notice that the middle section of the dialog (Details) will alter to show details of the highlighted element. Information from the **Audit** page will be carried through to show in this section - Search Code and Reference - plus Planning Scope from the **Scope** page.
- 5 Click on the **Nonconformity** button (only present if the Nonconformities module is installed) if you wish to raise a nonconformity against the audit as a whole, or against any category or checklist item (see [Raising a nonconformity](#)).

Recording the results

Results of an audit can be recorded in up to three ways:-

- by Result Descriptions. Use the [Search button](#) to bring up the Select Result Description dialog that allows you to select an existing description or add a new one (see [Result descriptions](#)).
- numerically. Type in any number (using any score system of your choice) in the Score field.
- by simple Pass, Fail or Reserve Judgement classification (highlight the relevant radio button).

There is also space to add any **Result Notes**.

Providing that you have the Nonconformities module installed, nonconformities may be recorded against the audit as a whole or against any category or checklist item. When NCRs have been recorded a yellow 'light-bulb' will appear in the top right hand corner of the **Edit Audit Checklist / Enter Results** dialog and the number of nonconformities will be shown against it.

NB. The light-bulb and number of nonconformities will only appear on the dialog when the Audit itself is highlighted, not when a category or checklist item is selected.

To record the results on paper, use the Print button at the bottom of the **Edit Audit Checklist / Enter Results** dialog to print out a checklist report.

6.7 Result descriptions

Audits may be created, scheduled and even run without entering any result descriptions. However, provision is made under the Settings menu for compiling result descriptions if required. You may also create result descriptions whilst an audit is running, in the **Edit Audit Checklist / Enter Results** dialog.

Results of audits can be recorded as simple pass/fail options, numeric scores and/or result descriptions such as excellent, satisfactory, fair, below standard etc.

Audit result descriptions can be added, edited or simply viewed whilst entering results of an audit. This is a useful feature as it means that the audit can continue but new descriptions can be added as they become necessary.

Setting up result descriptions in the Settings menu

- 1 Select **Settings** from the main menu and **Result Descriptions** from its pull-down menu.
- 2 The **Select Audit Result Description** dialog will be displayed. Click on **New** and the **Create Audit Result Description** dialog will appear.

- 3 Enter a mandatory **Description** and add any notes. The **Search Code** will follow automatically but you can edit it.

Adding/creating result descriptions 'on the fly'

- 1 In the **Edit Audit Checklist / Enter Results** dialog click on the Search button next to the **Results Description** field.
- 2 The **Select Result Description** dialog will be displayed; click on the **New** button to create a new result description.
- 3 Enter a **Description** and add any notes. The **Search Code** will follow automatically but you can edit it.

Editing audit result descriptions

You can only add or create a new result description 'on the fly' in the **Edit Audit Checklist / Enter Results** dialog; you cannot edit from here. To edit an audit result description:-

- 1 Select **Settings** from the main menu and **Result Descriptions** from its pull-down menu.
- 2 In the **Select Audit Result Description** dialog select the result description you wish to edit (see [Search routines](#) if you need help with this).
- 3 Edit any element of the record and **Save**.

6.8 Raising / viewing a nonconformity

Providing that you have the necessary access rights and you have the Nonconformities module installed you can raise a nonconformity as you are entering audit results. Nonconformities may be raised against the audit as a whole, or against a category or checklist item.

Nonconformities cannot be raised whilst an audit is checked out, but they may be 'flagged'. On checking in, you will be prompted to raise the NCR and at that time (or at any time later) the NCR may be raised exactly as described here. If the NCR is not raised at the time of checking the audit back in, a 'reminder' in red type will be displayed at the top of the **Edit Audit Checklist / Enter Results** page and will remain there until the NCR is raised.

When you click on the **Nonconformity** button in the **Edit Audit Checklist / Enter Results** dialog you will be presented with one of two dialogs:-

- if no nonconformities have been reported against the audit, the **Report Nonconformity** dialog will appear. To report a nonconformity, see below.
- if nonconformities have already been reported against this audit, the **View / Report Nonconformity** dialog will appear. From here, the **Report** button allows you to report a nonconformity (see below); the **View** button allows you to [view previously reported nonconformities](#).

If the number of NCRs listed on the **View / Report Nonconformity** dialog does not tally with the number shown against the light-bulb (top right on the **Edit Audit Checklist / Enter Results** dialog), this is because one or more of the reported nonconformities will have been purged.

Raising a nonconformity

- 1 In the **Edit Audit Checklist / Enter Results** dialog (see [Entering results](#)), click on the **Nonconformity** button to gain access to the **Report Nonconformity** dialog. Nonconformities may be raised against the audit as a whole, or against a category or checklist item.
- 2 Complete all the mandatory fields on the **Details** page of the **Report Nonconformity** dialog

and also a mandatory description (however brief) on the **Description** page. Beware that it is possible to make certain NCR **Analysis** fields mandatory so these too will need to be completed before being allowed to **Save**.

See Reporting a nonconformity (NCR module) for help with completing this dialog if required.

Two workflow settings allow certain audit details to be copied over automatically into NCR fields.

- *Pre-populate NCR with checklist items*, when checked, will automatically copy the Category name and Result Description into the Summary field of the **Report Nonconformity** dialog for any subsequent NCRs being reported for that audit, category or checklist item. The Planning Notes and Result Notes (where applicable) will also be copied automatically onto the **Description** page. If an Actual audit Start Date has been entered on the **Run Audit** dialog, then this date will also be copied through automatically to the Date of Incident field on the **Report Nonconformity** dialog.
- *Duplicate initial NCR UDA details to subsequent NCRs for the same audit* when checked, will automatically transfer any information on the **Analysis** page of a reported NCR to subsequent NCRs for the same audit.

You may add as many nonconformities as necessary, and the fact that the nonconformity originated from an audit will be shown on the **References** page (in the Nonconformities module) along with the name and date of the audit and name of the category or checklist as appropriate.

Raising a Nonconformity from anywhere within an audit will 'turn on' the light bulb (it will appear yellow) on the **Edit Audit Checklist / Enter Results** dialog; this means you can tell instantly whether the Audit resulted in any Nonconformities. The number of NCRs raised will also be displayed. **NB.** The light bulb and number of NCRs will only appear on the dialog when the Audit name itself is highlighted, not when a category or checklist item is selected.

After an audit has been signed off, its nonconformities can be viewed in **Audit | View Audit**; in the **View Audit Checklist** dialog, the **Nonconformity** button will take you to the **View Nonconformity** dialog where all nonconformity information (including current status) will be displayed.

Running Audits | Details and **Audit Results | Details** reports will display the NCR Number and Summary for any nonconformities raised against an audit chosen for reporting on.

6.9 Viewing reported nonconformities

Nonconformities raised against an audit, category or checklist item may be viewed at any time. The **View Nonconformity** dialog will show exactly what part of the audit the NCR was recorded against - see below.

After an audit has been signed off, its Nonconformities can be viewed in exactly the same way as described below but using **Audit | View Audit**.

Viewing a previously reported NCR

- 1 Select **Audit** from the main **Audits** menu and choose **Run Audit** from its pull-down menu.
- 2 In the **Select Audit to Run** dialog select the appropriate audit (see [Search routines](#) if you need help with this).
- 3 Click the **Checklist** button (bottom of the main **Run Audit** dialog).
- 4 A yellow light bulb appears (top right) on the **Edit Audit Checklist / Enter Results** dialog when NCRs have been recorded against any part of an audit. The number of nonconformities is also shown. The light bulb is white and the text reads 'No Nonconformities' if none have been reported against this audit.
- 5 Click on the **Nonconformity** button to reveal the **View / Report Nonconformity** dialog

showing a list of all recorded nonconformities against the audit. Highlight the NCR you wish to view and click on the **View** button.

NB. If the number of nonconformities listed does not tally with the number shown against the light-bulb, this is because one or more of the raised nonconformities will have been purged.

- 6 The **View Nonconformity** dialog will then appear showing all details in read-only format. At the bottom of the **References** page you will see details of the Nonconformity Origin; this shows clearly whether the NCR was recorded against the audit as a whole or against a named category or checklist item.

To report a new nonconformity, if required, click the **Report** button in the **View / Report Nonconformity** dialog to bring up the **Report Nonconformity** dialog.

NB. The **Running Audits | Details** and **Audit Results | Details** reports will display the NCR Number and Summary for nonconformities (if any) raised against an audit chosen for reporting on.

6.10 Completing an audit

Audits are completed in the **Run Audit** option and may be completed immediately after the audit has been run or at any time after. If you attempt to mark an audit as Complete when it doesn't have any results recorded against it you will be given a warning. If you choose to continue, the audit will be signed off and no results can be entered at a future date.

Completing (signing off) an audit

- 1 Select the **Audit** menu and choose **Run Audit**. The **Select Audit to Run** dialog shows all Planned or Running audits that you have access to.
- 2 Click the right-hand radio button at the bottom of the **Run Audit** dialog to change the status to 'Completed'.
- 3 The **Actual** Start and **Actual** Finish Dates then become mandatory and both dates must be entered before an audit can be signed off.

The **Actual Duration** will be shown automatically; it cannot be edited.

After you enter the Actual Start and Finish dates and the status has been changed to Completed, the audit is ready for signing off. Only personnel with edit rights can do this, by entering their password. Once an audit is signed off it is stored in **Audit | View Audit** and will no longer be available for edit.

- 4 When you are sure that the audit is complete, click on **Save** or **Close**. You will be asked to enter your password to sign off the audit. Please note that once you have done this (and clicked the **OK** button) you will no longer be able to modify the audit in any way.
- 5 Enter your password and click **OK** to complete the audit.

The audit is now transferred and stored with Completed status in **View Audit**.

6.11 Viewing an audit

The **Audit | View Audit** option displays a list of all audits available to you (whether planned or completed) for viewing and/or printing and ensures that all checked-out audits can be tracked. Audits that have been signed off are stored here as Completed; their information may still be used when compiling reports (see [Reports](#)).

Viewing an audit

- 1 Select **Audit** from the main menu and choose **View Audit**. All audits that you have the necessary permissions and access rights to will be listed.
- 2 Select the required record using any method described in [Selecting an audit](#).

The **View Planned Audit**, **View Running Audit** or **View Completed Audit** dialogs display the full audit record that can be browsed through by selecting each page and button in turn, but editing is not allowed.

Audits that are currently checked out are marked clearly with a message in red type 'This audit has been checked out' against the **Audit ID** field on the main **Audit Details** page.

Where audits have been completed, dates of the audit (planned and actual), information on personnel with access to the audit (via the **Access** button), departments audited, items checked etc. can all be recalled at any time and reports can contain any or all elements of a completed audit. For full details on any element of an audit, see the relevant Help topic - eg. [Personnel access to an audit](#), [Checklists](#) etc.

On the **View Audit Checklist** dialog (accessed via the **Checklist** button) you may right-click or double-click on individual categories and/or checklist items so that their details and results are displayed, but no modification of these or any other part of the audit information is possible. An *Expand all checklist items* check box at the top of the dialog, if checked, will enable you to see all category and checklist items. The right-click menu options show auditees, departments, documents and/or suppliers (if any) attached to the selected category or checklist item.

The **Up** and **Dn** buttons at the bottom of the **View Audit Checklist** dialog allow you to display and move to each category and checklist item separately and to automatically open up individual details attached to each item on the right hand side of the dialog.

Use the Print button to print a Checklist report.

Recorded nonconformities (if any exist) may also be viewed by clicking on the **Nonconformity** button in the **View Audit Checklist** dialog.

7 Running an audit on a laptop

Workbench 2008 and above allows the checking out/in of audits from within Workbench so that they can be exported and processed on a laptop.

[Remote Workbench Audits](#) will run on any machine running Windows 2000 or above and must also have the .NET Framework 2.0 installed.

The design of the application matches the Workbench [Run Audit](#) routine as closely as possible. The menu option **Audit | Check Audit Out** allows the user to select from a list of exportable audits - these will be audits with Planned or Running status to which the user has appropriate access.

When checking out to a file for use on a laptop (or when any other form of remote access is required) choose the **To File** button in the **Check Audit Out** dialog.

Once checked out, the audit will be marked as such and will not be editable or able to be run until it is checked back in or the checkout is cancelled. The **View Audit** routine allows you to keep a track of checked out audits and whether they have been checked out to a file.

When the audit is finished it is saved and checked back into Workbench via the **Audit | Check Audit In** menu option. This option also allows you to 'Uncheckout' a selected audit which means that it will be checked back in unchanged, ie. all changes made whilst checked out (if any) will be aborted, see [Checking in an audit](#).

7.1 Remote Workbench Audits

The **Remote Workbench Audits** application allows you to check audits out of Workbench so that they may be worked on remotely. This is achieved using [Audit | Check Audit Out](#). Once checked out, the audit may be run in exactly the same way as it would be from within Workbench but there is no need to be connected to the Workbench network.

There are two ways to invoke the required audit after it has been successfully checked out from Workbench. Either...

- 1 In the **Start** menu select **All Programs | Ideagen Software | Remote Workbench Audits**.
- 2 A blank audit dialog appears. This mimics the main **Run Audit** dialog within Workbench.
- 3 Click on the **Load** button at the bottom of the dialog. A Browser opens allowing you to search for the checked-out audit you wish to load.
- 4 When selected, the audit will load into the blank dialog with all details, page information etc. exactly as displayed in Workbench except that there is no **Access** button and most of the fields are read-only.

Alternatively...

- 1 Go to the **Folder / File** where you chose to store the checked-out audit(s) and select the required audit - or double-click on an audit if it has been e-mailed to you.
- 2 The audit will open with all details, page information etc. exactly as displayed in Workbench except that there is no **Access** button and most of the fields are read-only.

The only changes / updates that can be made to an audit using this application are:-

- updating the **Actual Start Date**
- updating the **Actual Finish Date**
- entering the results of the audit as a whole or of any category or checklist item.

Audit page

This shows all **Audit Details**, **Lead Auditor** or **Assessor**, **Date Schedules** etc. as entered in Workbench. The only fields which are editable are the **Actual Start** and **Finish Dates**; if these weren't configured before being checked out, they will default to today's date. Dates may be changed manually or via the drop-down arrows at the end of the **Actual Start** and **Finish Date** fields which invoke a calendar.

Dates may not be amended to any date after today's date (highlighted on the calendar with a red outline rectangle). If you update the **Actual Finish Date** then the **Actual Duration** will automatically be updated to show the revised duration. **NB.** If you are bringing both the **Actual Start Date** and the **Actual Finish Date** forward you will need to update the **Actual Finish Date** first as the system will not allow you to enter a **Start Date** that is later than the **Finish Date** (no messages are shown, the calendar will just not allow it). If updating the **Actual Finish Date** to before the **Actual Start Date**, the system will automatically change the **Actual Start Date** to the same date.

When checking the audit back into Workbench, the system will automatically update any **Actual Start** or **Finish Dates** that have been revised whilst checked out.

The **Status** field is read-only and will always be shown as 'Running' in this application.

Remember to **Save** any changes made to the date(s).

Analysis / Departments / Scope / Report / History pages

These show the information exactly as displayed in the main Workbench Audits module. All are read-only.

Finishing the audit

The **Undo** button can be used to cancel any results entered since the last **Save** but it will not undo any changes made to the **Actual Start** or **Finish Dates**.

When all the results have been entered, click on the **Save** button to return to the front page of the dialog. Check that the **Actual Start** and **Finish Dates** are correct and **Save** again. The audit can now be checked back in to the main database (**Audit | Check Audit In**) and any amendments made and/or results entered whilst it was checked out will be transferred.

If required, the audit may be checked back in using the **Uncheckout** button on the **Check Audit In** dialog. This means that any changes to the audit will be aborted and it will be checked back in in exactly the same format as it was originally checked out.

7.1.1 Checklist button

The **Checklist** button takes you to the **Audit Checklist Results** dialog where you may view details of the audit as a whole plus all attached categories and checklist items and enter audit results for each. Icons used for an audit, a category or checklist item are slightly different from those used in Workbench but the dialog functions in exactly the same way as the Workbench **Enter Audit Checklist / Enter Results** dialog, see [Entering the results of an audit](#).

- 1 If applicable and required, expand the audit shown in the top left corner (by clicking on the + sign alongside the audit name) to view all categories. Repeat to expand a category to show its checklist items.
- 2 Results of an audit are recorded at the bottom of the **Audit Checklist Results** dialog; they will apply either to the audit as a whole, to a specific category or to a checklist item whichever is highlighted when the results are entered.

- 3 Raising an NCR is not possible directly from the Remote application. However, you may physically flag the need to raise a nonconformity by checking the *Raise NCR* check box. This reminder will stay with the flagged audit or audit element when the audit is returned to the database and, on check-in, you will be prompted that there is one or more NCRs to raise. If you choose not to raise the NCR whilst you are checking the audit back in, a reminder in red type will remain at the top of the **Audit Checklist** page until the nonconformity has been raised.

NB. You may still raise NCRs even if the check box is not checked, but no prompt will be given. Photographs or Documents may be attached to the NCR (and entered in the **NCR Attachment Location** field) via the Browse button. If used, they will automatically appear as an attachment to the NCR when it is raised.

- 4 Highlight any element of the audit and enter appropriate results in the bottom part of the dialog.
NB. As you highlight a different element of the audit, the middle section of the **Audit Checklist Results** dialog will alter to show **Details** of the selected element. These details are read-only.

7.1.2 Entering results

- 1 Select a **Result Description** from the drop-down menu (originally set up in **Settings | Result Descriptions** in the Audits module). Use the scroll bar if the list is long.
- 2 Enter any **Result Notes**.
- 3 Type in a **Score** (user-defined) or use the up/down arrows at the end of the field to enter the required number; this must be between 0 and 99,999. Minus numbers are not allowed.
- 4 Select **Pass**, **Fail** or **Reserve Judgement** by highlighting the appropriate radio button. The default is 'Reserve Judgement'.

NB. All these fields are optional and editable and are exactly as on the main **Run Audit** dialog in the Audits module.

8 Editing

Because you cannot run an audit template, its information remains constant even after an actual audit has been based on it and run. The template therefore acts as a parent to its audit children and it can be used again and again in setting up different audits.

This is most useful where there are common or overlapping elements to be audited. For example, an audit for Environmental issues might easily be based on a Health and Safety template, where only few changes may need to be made in order to create a totally new audit.

To do this, the template must be called up, re-named, scheduled to run and edited where necessary.

8.1 Editing an audit template

All elements of an audit template may be edited at any time. Simply use the **Audit | Audit Template** menu option and select the required template from the **Select Audit Template** dialog (see [Selecting an audit](#) for help with selection if needed).

The only addition to the **Edit Audit Template** dialog is the check box at the bottom of the dialog; this allows you to choose whether all audits based on the template should be updated to take account of any amendments. Leave this check box blank if you do not want audits based on the template to be updated, ie. if you leave the check box unchecked then editing the template will only modify the template itself; it will have no effect on any scheduled audits based upon that template.

Details for scheduled audits are edited in **Audit | Edit Audit**.

See also: [Creating an audit template](#)

8.2 Editing an audit

After you have scheduled a new audit based on an existing template it still needs customising at some point. At present it still has all the attributes of its parent template.

The **Edit Audit** dialog with all its pages and buttons will currently be the same as the template on which it was based, apart from the Planned Start and Finish dates - these will be unique to the new audit. The audit may have a new name (if you chose to re-name it).

Two new pages, **Report** and **History**, are now available. The **Report** page offers room for further (user-defined) notes whilst the **History** page automatically records all main events in the life of an audit once scheduled. Whenever an action has been carried out as a result of forward messaging, its corresponding history entry is suffixed with an asterisk (*). To view details of the user who undertook the action, right-click on the relevant entry. Note that the most recent history is displayed first.

Only changes that actually modify the audit (eg. editing, changing an audit date or auditor, entering results) will be shown against 'Last Updated'.

The **Filter** button allows you to determine which of the history entries are displayed. This is explained in detail if you click on the button. The system defaults to all the entries being selected and shown. If the History is filtered, the same filter will apply to all audit records until changed; an indication that the History has been filtered will be made at the bottom of the dialog.

Customising the new audit

- 1 Choose **Audit** from the main menu and select **Edit Audit**; the **Select Audit to Edit** dialog will

appear. Take care that you select the correct audit to edit, particularly if there are several with the same or similar details - see [Selecting an audit](#).

After selection, the **Edit Audit** dialog will appear. Go through each item and check that it is still applicable to the new audit. The **Search Code** and **User Reference** will stay the same unless changed manually. (If using a **User Reference** and the *Audit user reference must be unique* setting is switched on in the **Workbench Configuration Centre**, this reference must be unique. The system will warn you if you attempt to duplicate a user reference.)

- 2 For users with appropriate access rights, the [Attachments](#) button will invoke the **Audit Attachment Form** that allows the addition, modification and/or deletion of audit attachments.
- 3 Use Search buttons to look for alternative **Types**, **Clients**, **Lead Auditors** or **Assessors**. Create new ones in the **Settings** menu if necessary.
- 4 You will not be able to enter **Actual Start** and **Finish** dates, or the **Actual Duration**.
- 5 The date box marked **Inform Auditees on** sends an automatic e-mail to auditees on the named date when they are about to be audited. If you do not want auditees to be pre-warned, leave this date box blank.
- 6 When a template is first created its duration is a mandatory part of that template and every audit based on that template will therefore have the same duration. To alter this you must unlock it first by de-selecting the *Lock Duration* check box. **Planned Duration** is however still a mandatory field.

When you have made all the alterations to the **Audit Details** page, move on to check each of the other pages and the **Access** and **Checklist** buttons. See [Editing an audit whilst running](#).

8.3 Editing an audit whilst running

If you are ready to run a new audit immediately after it has been scheduled, you can edit it whilst running in **Audit | Run Audit**.

In the **Select Audit to Run** dialog, select the audit you wish to run, using any method described in [Selecting an audit](#).

- 1 Check that all details in the **Run Audit** dialog are still applicable to the new audit.
- 2 If you add a **User Reference** that is already in use, the system will warn you if the *Audit user reference must be unique* setting is in force in the **Workbench Configuration Centre** (see [Audits system settings](#)).
- 3 Alter **Type**, **Client** or **Lead Auditor** using the [Search button](#), if appropriate.
- 4 Enter the **Actual Start** date whether the same or different from the **Planned** one, and the **Actual Finish** date will be entered automatically, based on its previously stated duration. You may alter or delete the **Actual Finish** date if required; the **Actual Duration** will disappear if you delete the **Actual Start** and/or **Finish** date. You will not be able to edit its **Planned Start** and **Finish** dates but you can edit the duration in **Audit | Edit Audit** if necessary.

The status of the audit, displayed at the bottom of the dialog, should automatically have changed from 'Editing' to 'Running'. If this is not so, change it manually by clicking in the central radio button.

The audit's pages and buttons are as they were in its template, apart from two additions:-

- a **Report** page where you may make further notes
- the [History](#) page that begins an 'audit trail' for the audit.

- 5 When you have made all the alterations to the main page, move on to the **Analysis** page. Are the chosen categories applicable to the new audit? See [User-definable analysis categories](#) for information on editing analysis. If any field does not apply at all to the new audit it should be left blank.
- 6 Now check the **Departments** page. Include new departments by highlighting them on the left hand side of the dialog and clicking on the central add button (>>). Remove departments by highlighting in the right hand side of the dialog and clicking on the remove button (<<).
- 7 Now click on the **Access** button and check that all relevant Personnel and Groups are included in the new audit. Have personnel with access to different parts of the audit process changed? Alter these listings, where necessary, by highlighting and using the buttons to move them from one side of the dialog to the other.
- 8 Finally click on the **Checklist** button. Are there any more categories or checklist items that should be added to this new audit? If so, use the **Edit** menu or right-click on the audit name to create a new category or checklist item. Right-click on a specific category if you wish to attach more checklist items to it.
- 9 Enter the results of checklists and categories whilst updating them. See [Entering the results of an audit](#).

The *Expand all checklist items* check box allows you to see all category and checklist items. You can move checklist items out of a category to stand on their own at level one if you wish. Don't forget that the auditor, auditees, departments, documents and suppliers already assigned to a selected category or checklist item can be viewed on the right hand side of the dialog - just click on the relevant folder. To edit a highlighted category or checklist item, use the right-click menu.

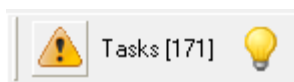
Should any categories or checklist items be deleted for the new audit? If so, right-click and delete.

Don't forget that if you alter any details of a library category or checklist item and you want them saving permanently (rather than just for this audit) you must re-name and save again. Refer to [Compiling a checklist for an audit template](#) if you have difficulty.

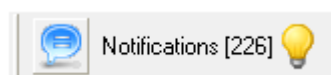
- 10 When all the editing has been done and the results have been entered, sign off the completed audit (see [Completing an audit](#)).

9 Tasks, Notifications and the Calendar

On the main toolbar there are three buttons in addition to the buttons showing other installed Workbench modules.



The Tasks button advises personnel that they are being asked to perform a task.



The Notifications button is used to inform personnel that certain events have taken place.



The Calendar button gives direct access to a calendar that records important events and deadlines from all installed modules.

9.1 Messages generated by the Audits module

Most modules, once installed, will generate task and/or notification messages that may also be sent externally if configured to do so (see Configuring external task messages and Configuring notifications). Messages used by the Audits module are shown below; a brief description is given of which users the message is sent to and when the message is sent.

	Message & Type	When Sent	Sent to	Supersedes
1	Audit scheduled (N)	When the audit is first scheduled	Lead auditor	
2	Audit scheduled (N)	When the lead auditor is changed	New Lead auditor	
3	Please run audit (T)	When the audit is first scheduled	Lead auditor	
4	Please run audit (T)	If the Lead auditor or Actual Start date is changed after the Planned Start date has passed	Lead auditor	3
5	You are no longer responsible for audit (N)	When the lead auditor is changed	Old Lead auditor	3, 4
6	You have been assigned as an auditee on audit due (N)	When the 'inform auditees on' date is reached	All auditees	
7	You have been assigned as an auditee on audit due (N)	Sent to any new auditees added after the 'inform auditees' date has passed. NB. Not sent if auditee(s) added at run time	All new auditees	
8	Audit is now scheduled for (N)	If the planned start date for an audit is changed after notification 6	All auditees who were originally sent notification 6	

9.2 Audits and the calendar

All scheduled audits whether planned, running or completed are shown on the Calendar (that is also used by all other installed modules). If an audit date is amended from within the dialog, the calendar will be updated automatically.

Planned audits are shown in black, running audits in red, and completed audits are greyed out. Icons are also used to show the differing status of the audits...



Planned



Running



Completed

Chosen audits (regardless of status) can be accessed directly by double-clicking on them to call up the day's events and double-clicking on them again to access the audit details.

10 Reports

The Audits module supports a range of reports that can be used, for example, to view different types of templates, to compare results of audits or to check which audits are planned to run between given dates.

The **Reports** menu also offers the facility to compile an **Audit Schedule** that shows any or all audits whether planned, running or completed, within defined dates.

It is impossible to discuss every purpose that you may wish to use the wide number of reports for. All that is given here is an overview of each report and an explanation of its selection criteria. As you become more familiar with the scope of the module you will hopefully find many varying uses for the reports and the different ways in which they can present vital information.

All reports can be simply viewed, sent to file or printed out.

All reports are set up in the Reports menu; simply choose the type of report you wish to compile from its pull-down menu. (Checklist reports can also be printed out from the Checklist dialog.)

Each report dialog offers different selection criteria and you may choose how many of these you wish to include. Obviously the more fields you complete to include in the search, the fewer number of records are likely to meet the criteria. For example, if you wish to see all audit templates in the range (alphabetically) from Health & Safety through to Quality, that are of a Financial type and carried out in the Marketing department by a named assessor, it is most probable that few will match these very specific criteria. However, if you wish to see audit templates in the same range of the same type, but covering all departments and carried out by any auditor or assessor, the chances are that more templates will fall in this range.

With such tight control it is also possible to use the system, in **Planned Audits** for example, to check very quickly whether specific audits have been planned within a given time span.

Most reports offer the option to have the information sorted by different means - by template name, search code, user reference etc. These options are offered at Primary and Secondary level, so that for example, if you chose to have audit templates sorted by their template name at Primary level and more than one had the same name, you could choose to have them sorted by a different method at Secondary level.

Reports will only be issued when information matches all the criteria selected.

10.1 Audit template

There are two reports available for Audit templates. The Audit Template report may be used for example, to examine the different types of audit you have set up in your system, the departments that are most frequently audited and the items that are actually checked. Alternatively they could show the workload of lead auditors or assessors for a given period. The Audit Template Checklist report allows you to print out a specified template's checklist (with or without planning notes); it is identical to the report that can be printed directly from the Edit Audit Checklist / Enter Results dialogs.

Producing an Audit Template report

- 1 Select **Reports** from the main menu and choose **Audit Template**; from the walk-right menu select **Template**.
- 2 In the **Audit Template Report Selection Criteria** dialog look at each field in turn and select (using Search buttons and/or radio buttons) relevant criteria. None of the fields is mandatory and if you choose not to select any specific criteria the report will simply show all known templates.

Template range: If you change the method by which the template range is to be searched after

you have made a selection, the box(es) will be cleared. Re-search for your chosen template range and they will be inserted in the box(es) in the new format.

Use the relevant Search buttons to narrow the search down to include only records that are of a specified **Type**, **Department** and/or **Category**.

Auditor: If you select 'Both', you will not be able to use the Search button to search for a specific name.

Sort by: You may choose to have the information sorted in different ways. It will be sorted at Secondary level where two or more at Primary level are the same. If either a Lead auditor or an External assessor has been included in the search, the Primary and Secondary sorting levels will include these options; if 'Both' have been included in the search, neither Lead auditor nor Assessor will be included as an option in sorting levels.

- 3 When you have selected all the necessary criteria for your search, click **OK**. If no records can be found which meet all the criteria, a message to this effect will appear.
- 4 If there are records that meet your search criteria, a small dialog will appear where you may select the **Report Destination**, ie. simply view the report (Send Report to Window), print it (Send Report to Printer) or save it to file (Send Report to File) - see [Viewing, printing or saving reports](#).

Here you will also see **Report Options**; tick the relevant check box(es) if you wish to start the report on a new page for each grouping and/or print the date and time of the compilation of the report on the report itself.

- 5 Click **OK** when you have the selection criteria set up as you wish. The report will be generated.

Producing an Audit Template (Checklist) report

This report can also be printed directly from the **Edit Audit Checklist / Enter Results** dialogs when editing or running an audit; the Print button is at the bottom of the dialog, next to the **Up** and **Dn** buttons.

- 1 Select **Reports** from the main menu and choose **Audit Template**; from the walk-right menu select **Checklist**.
- 2 Select the required template in the **Select Checklist for Audit Template** dialog (using the Search button if needed). The **Checklist Report** dialog will appear.
- 3 Select the required options and click **OK** to generate the report.

See also: [Viewing, printing or saving reports](#)

10.2 Planned audits

Reports on planned audits give information on all audits that have been planned in a selected range between two given starting dates. They do not include running, completed or signed off audits. You may choose to exclude audits that are checked out or to report on only audits that are checked out.

The selection criteria allow searches for different types, departments and categories and give the option to include either lead auditors or assessors or both. There are three walk-right options for **Planned Audits - Details**, **Summary** and **Checklist**. The **Details** and **Summary** reports have identical selection criteria, but the **Summary** reports do not show details of category and checklist items.

NB. As well as being able to see quickly what audits have been planned it is equally as useful to be able to see at a glance which areas have not been included in the audit.

Setting up a Details or Summary report for Planned Audits

- 1 Select **Reports | Planned Audits** and choose **Details** or **Summary** from the walk-right menu.
- 2 Examine each field and select the relevant selection criteria (see notes below). There are no mandatory fields. You may select as many or as few fields as appropriate.

Search for Audit: select the mode of search (using radio buttons) before using the Search buttons to select the range (**Audit from ... Audit to ...**).

Audit Status Selection: by default, all planned audits will be included in the report. To exclude those that are currently checked out or to report on only those that are checked out, select the relevant radio button. You may also isolate and report on only audits that are checked out to file.

Starting date range: dates must be starting dates. Type in the date(s) or use the Date button.

Auditor: when the radio button marked 'Both' is selected (ie. when internal auditors and external assessors are both selected) neither will be included as an option in sorting levels; nor will you be able to use the Search button to search for specific names.

Use the relevant Search buttons to narrow the search down to include only records that contain a specified **Type**, **Department** and/or **Category**.

Sort by: selected information will be sorted at Secondary level where two or more fields at Primary level are the same.

- 3 When all the required criteria have been selected, click **OK**. If no records can be found to meet the search criteria, a message to this effect will appear.
- 4 If there are records that meet your search criteria, a small dialog will appear where you may select the **Report Destination**, ie. simply view the report (Send Report to Window), print it (Send Report to Printer) or save it to file (Send Report to File) - see [Viewing, printing or saving reports](#). Here you will also see **Report Options**; tick the relevant check box(es) if you wish to start the report on a new page for each grouping, print information on file(s) attached to the audit and/or print the date and time of the compilation of the report on the report itself.

Setting up a Planned Audits Checklist report

- 1 Select **Reports | Planned Audits** from the main menu and choose **Checklist** from the walk-right menu.
- 2 In the **Select Checklist for Planned Audits** dialog, select the audit whose checklist you wish to report on.
- 3 Using the radio buttons, select appropriate options. De-select the bottom check box if you do not wish the date and time of the report to be printed on the report itself.
- 4 Click **OK**.

The same report can be printed out via the Print button at the bottom of the actual **Edit Audit Checklist** dialog.

10.3 Audit results

Reports based on audit results can be used for example, to compare results of the same audit taken at two different times. It is important to note that only audits that have been completed and signed off (but still available for viewing via the **View Audit** option) can be used for producing **Audit Results** reports. If you wish to view results of audits that have not yet been signed off, use one of the [Running audits reports](#).

There are two kinds of **Audit Results** reports available:-

- **Details** reports give all the results for each checklist item and category
- **Summary** reports simply summarise the results of chosen audits rather than give them in detail.

Although the selection criteria for both **Result Details** and **Result Summary** reports are the same, the actual reports are considerably different - the result of every category and checklist item in selected audits is listed in the **Details** report (often running to many pages) whereas the **Summary** report simply indicates the overall result of the audit.

(It may be useful to select exactly the same criteria and print out both a Details and a Summary report so that you can examine the difference.)

[Setting up a report for Audit results \(Details\)](#)

[Setting up a report for Audit results \(Summary\)](#)

10.3.1 Audit results reports (Details)

There are no mandatory fields for this type of report - any criteria will allow the search to proceed. The selection criteria are identical to those for **Audit Results Summary** reports but the information returned by the report will give full details.

- 1 Select **Reports** from the main menu and choose **Audit Results**, then **Details** from its walk-right menu.
- 2 Examine each field and select the relevant selection criteria (see notes below).

Audit range: select the mode of search (radio buttons) before using the Search buttons to select the range.

Audit Status Selection: all completed audits will be included in the report.

Starting date range: this can be a mixture of planned and actual dates. Type in the date(s) or use the Date button.

Auditor: If you select the radio button marked Both (ie. choose to include internal auditors and external assessors in the search) you will not be able to use the Search button to search for specific names.

Result: choose any or all of the three ways of recording results. Numerical scores can be set up to search for exactly the given score, greater than (>) or equal to the given score or less than (<) or equal to the score. In the check boxes, check any or all three fields you wish the result to be applied to.

Use the relevant Search buttons to narrow the search down to include only records of a selected **Audit type**, **Department** and/or **Category** (from the Category Library).

Sort by: You may choose to have the information sorted in various ways. It will be sorted at Secondary level where two or more fields at Primary level are the same. If either a Lead auditor or an External assessor has been included in the search, the Primary and Secondary sorting levels will include these options; if 'Both' have been included in the search, neither Lead auditor nor Assessor will be included as an option in sorting levels.

- 3 When you have selected all the required criteria for your search, click **OK**. If no records can be found which meet all the criteria, a message to this effect will appear and you may consider widening the search.
- 4 If there are records that meet your search criteria, a small dialog will appear where you may select the **Report Destination**, ie. simply view the report (Send Report to Window), print it (Send Report to Printer) or save it to file (Send Report to File) - see [Viewing, printing or saving](#)

[reports](#). Here you will also see **Report Options**; tick the relevant check box(es) if you wish to start the report on a new page for each grouping, print information on file(s) attached to the audit and/or print the date and time of the compilation of the report on the report itself.

NB. If any nonconformities were raised against the audits in this report, the NCR number, Summary and Description will be shown on the report.

10.3.2 Audit results reports (Summary)

There are no mandatory fields for this type of report - any criteria will allow the search to proceed. The selection criteria are identical to those for Audit Details reports but the information returned by the report will be in summary form only.

- 1 Select **Reports** from the main menu and choose **Audit Results**, then **Summary** from its walk-right menu.
- 2 Examine each field and select the relevant selection criteria (see [Audit results reports \(Details\)](#) if you need help with this).
- 3 When you have selected all the required criteria for your search, click **OK**. If no records can be found which meet all the criteria, a message to this effect will appear and you may consider widening the search.
- 4 If there are records that meet your search criteria, a small dialog will appear where you may select the **Report Destination**, ie. simply view the report (Send Report to Window), print it (Send Report to Printer) or save it to file (Send Report to File) - see [Viewing, printing or saving reports](#). Here you will also see **Report Options**; tick the relevant check box(es) if you wish to start the report on a new page for each grouping and/or print the date and time of the compilation of the report on the report itself.

10.4 Running audits reports

In addition to [Audit Results](#) reports compiled for audits that have been completed and signed off, you may also report on audits that are still running (ie. those reports that may have some results but have not yet been signed off as complete). These reports can be compiled using one of the **Running Audits** reports.

There are three kinds of Running Audits reports available:-

- **Details** reports give all the results for each checklist item and category.
- **Summary** reports simply summarise the results of chosen audits rather than give them in detail.
- **Checklist** reports list all the checklist items and categories that will be audited for a selected audit (and can also be printed out on the **Edit Audit Checklist / Enter Results** dialog).

Although the selection criteria for both **Running Audits Details** and **Running Audits Summary** reports are the same, the actual reports are considerably different - the result of every category and checklist item in selected audits is listed in the **Details** report (often running to many pages) whereas the **Summary** report simply indicates the overall result of the audit.

It may be useful for you to select exactly the same criteria and print out both a Details and a Summary report so that you can examine the difference.

[Setting up a report for Running Audits \(Details\)](#)

[Setting up a report for Running Audits \(Summary\)](#)

10.4.1 Running audits reports (Details)

There are no mandatory fields for this type of report - any criteria will allow the search to proceed.

- 1 Select **Reports** from the main menu and choose **Running Audits**, then **Details** from its walk-right menu.

Examine each field and select the relevant selection criteria (see notes below).

Audit range: select the mode of search (radio buttons) before using the Search buttons to select the range.

Audit Status Selection: by default, all running audits will be included in the report. To exclude those that are currently checked out or to report on only those that are checked out, select the relevant radio button. You may also isolate and report on only audits that are checked out to file.

Starting date range: this can be a mixture of planned and actual dates. Type in the date(s) or use the Date button.

Auditor: if you select the radio button marked Both (ie. choose to include internal auditors and external assessors in the search) you will not be able to use the Search button to search for specific names.

Result: choose any or all of the three ways of recording results. Numerical scores can be set up to search for exactly the given score, greater than (>) or equal to the given score or less than (<) or equal to the score. In the check boxes, check any or all three fields you wish the result to be applied to.

Use the relevant Search buttons to narrow the search down to include only records of a selected **Audit type**, **Department** and/or **Category** (from the Category Library).

Sort by: You may choose to have the information sorted in various ways. It will be sorted at Secondary level where two or more fields at Primary level are the same. If either a Lead auditor or an External assessor has been included in the search, the Primary and Secondary sorting levels will include these options; if 'Both' have been included in the search, neither Lead auditor nor Assessor will be included as an option in sorting levels.

- 2 When you have selected all the required criteria for your search, click **OK**. If no records can be found which meet all the criteria, a message to this effect will appear and you may consider widening the search.
- 3 If there are records that meet your search criteria, a small dialog will appear where you may select the **Report Destination**, ie. simply view the report (Send Report to Window), print it (Send Report to Printer) or save it to file (Send Report to File) - see [Viewing, printing or saving reports](#). Here you will also see **Report Options**; tick the relevant check box(es) if you wish to start the report on a new page for each grouping, print information on file(s) attached to the audit and/or print the date and time of the compilation of the report on the report itself.

NB. If any nonconformities were raised against the audits in this report, the NCR number, Summary and Description will be shown on the report.

10.4.2 Running audits reports (Summary)

There are no mandatory fields for this type of report - any criteria will allow the search to proceed. The selection criteria are identical to those for **Running Audits | Details** reports but the information returned by the report will be in summary form only.

- 1 Select **Reports** from the main menu and choose **Running Audits**, then **Summary** from its walk-right menu.

- 2 Examine each field and select the relevant selection criteria (see [Running audits reports \(Details\)](#) for help with this if you need it).
- 3 When you have selected all the required criteria for your search, click **OK**. If no records can be found which meet all the criteria, a message to this effect will appear and you may consider widening the search.
- 4 If there are records that meet your search criteria, a small dialog will appear where you may select the Report Destination, ie. simply view the report (Send Report to Window), print it (Send Report to Printer) or save it to file (Send Report to File) - see [Viewing, printing or saving reports](#) . Here you will also see **Report Options**; tick the relevant check box(es) if you wish to start the report on a new page for each grouping and/or print the date and time of the compilation of the report on the report itself.

10.5 Checklist reports

Checklist reports can be compiled for [Audit Templates](#), [Planned Audits](#) or [Running Audits](#). They can be printed either using the print icon at the bottom of appropriate dialogs (**Edit Audit Template Checklist**, **Edit Audit Checklist** or **Edit Audit Checklist / Enter Results**); alternatively they can be printed from walk-right menus of corresponding options in the **Reports** menu.

You have the option whether to include planning notes or not and each report will give a complete list of categories and checklist items to be audited.

Producing a Checklist report

- 1 Select **Reports** from the main menu and choose either **Audit Template**, **Planned Audits** or **Running Audits**; from the walk-right menu select **Checklist**.
- 2 Select the required record in the **Select** dialog (using the Search button if needed). The **Checklist Report** dialog will appear.
- 3 Select the required options and click **OK** to generate the report.

10.6 Not audited

Not Audited reports can be compiled for two areas - Departments and Library Categories. They show, very simply, departments or library categories that have not been audited during a given time span and can include all or any audits - planned, running or completed (signed off).

Setting up a report for Departments not audited or Library Categories not audited

- 1 Select **Reports** from the main menu and choose **Not Audited**; then choose **Departments** or **Categories** from the walk-right menu. Both dialogs work in exactly the same way.
- 2 Enter the date range you wish to search through. (It is possible to choose one planned and one actual date.)
- 3 Tick the **status** of the audits to search through - you may choose any or all.
- 4 Click **OK** to start the search.
- 5 If there are records that meet your search criteria, a small dialog will appear where you may select the Report Destination, ie. simply view the report (Send Report to Window), print it (Send Report to Printer) or save it to file (Send Report to File) - see [Viewing, printing or saving reports](#) .

Here you will also see **Report Options**; tick the relevant check box(es) if you wish to start the report on a new page for each grouping and/or print the date and time of the compilation of the report on the report itself.

10.7 Audit schedule

The **Audit Schedule** is different to the other reports in that it is shown on screen immediately and is interactive. The schedule may help you to plan the timing of audits more effectively and to avoid clashes between personnel and departments. This report does not take into account whether an audit has been checked out or not, ie. Information to compile the report is taken purely from the audit's status as shown in the current Workbench database.

Planning and viewing the audit schedule report

- 1 Select **Reports** from the main menu and choose **Audit Schedule**.
- 2 Enter the **Date range** for the required schedule. (For running audits, unless there is both an actual start and finish date, the schedule will use the planned dates.)
- 3 Select the **Audit status** of audits to be included on the schedule by ticking in any or all relevant check boxes.
- 4 Decide where to send the schedule - to the Printer or to File. Click on the relevant radio button.
- 5 Click on the **More Criteria** button if you wish to filter the schedule by auditor and/or Audit type.

The schedule will be drawn up as soon as sufficient information is given - for example, a Date range From . . . To . . . By checking or unchecking **Audit status** boxes or by altering one or both of the date whilst viewing the schedule, you can update the schedule 'on the fly'.
- 6 When you have obtained the information you are looking for, click on the Send button to send the schedule to print or to file (see [Viewing, printing or saving reports](#) if further help is required).

10.8 User defined reports

For users with appropriate access, this dialog gives read-only access to the **ReportQuest** module (if you have it installed).

Please refer to the ReportQuest Help system for full details on this module.

10.9 Viewing, printing or saving reports

An Information message will appear when no records can be found which meet the search criteria that you have set up. If you still wish to find records that may match your criteria closely, go back to the selection criteria window and broaden your original selection.

When there are records that match your search and depending on which report destination you chose, ie. Screen (print preview), Printer or File, either the **Print Preview** or the **Print** dialog will appear.

Screen (print preview)

The **Print Preview** dialog will appear when you select the Screen (print preview) destination option

for a report (or in any other dialog). If you hold the pointer tool at the bottom of the toolbar, yellow pop-up bars will appear, explaining the feature of each button.



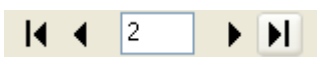
The Print icon allows you to print any material shown in the print preview.



By clicking on the middle of the three magnification buttons, the page will be shown full width.

By clicking on the right of the three magnification buttons, the page will be shown at actual size.

The left magnification button shows the whole page.



The outside arrows take you back to the first page or on to the last.

The single arrows allow you to turn the pages of a report backward or forward.

The number of the current page is shown in the centre.

If, in Report Options, you ticked *Print Date/time produced?* this information will appear on the report itself.

After previewing, use the **Close** button to close the record or print it by clicking on the small printer icon in the top left hand corner. If you elect to print, the **Print** dialog will appear.

Printer

If you selected the **Printer** destination on Report Options or clicked on the print icon in Print Preview, the **Print** dialog will appear. It may differ according to the type of printer you have installed and in some cases you will not have the option to *Print to File*.

- 1 Configure the printer if necessary.
- 2 Select the number of copies required and the Page Range.
- 3 Click **OK** to print the report.

In most instances you may still print to file from this dialog; to do this, click in the *Print to file* check box and then select the type and destination of the file (see **File**, below).

Each report will differ slightly according to the type and information shown but all will follow a similar format. All printed reports are A4 and have a wide left hand edge margin for binding.

File

If you chose the **File** destination option in Report Options the **Print** dialog will appear with the *Print to file* check box in the bottom part of the dialog already checked.

- 1 Tick the *Print to file* check box if it is not ticked.
- 2 Select the **Type** of file required from the drop-down list; this list may differ depending on the computer / network system you have installed.
- 3 Enter **Where** to save the file or select its destination using the ... button.
- 4 Click **OK** to save to file in the selected destination (from where it may be e-mailed in the selected format if required).

11 Menus at a glance

The purpose and scope of each menu item in the Audits module is described very briefly here.

File

Where Am I? Allows you to check the currently selected database. This is also displayed at the lower right side of the Workbench main window.

Who Am I? Shows your current Login ID and whether access is granted individually or via templates.

Login to Database... Here you may switch to another database without having to exit the system and re-enter. You will, however, still have to log in to the new database as users may have different access rights between databases. If you are already logged in to the system and wish to change who you are logged in as, while remaining connected to the same database, you may do so here.

User Preferences... If viewed in its entirety, this is a four-page dialog allowing you to set up various preferences covering the look and workings of your own machine. Here you may also change your own password and decide which other user(s) should be allowed to process tasks on your behalf, in case of absence. However, access to this menu item and to each individual page is controlled by the system administrator so the whole menu item or aspects of it may not be present.

View Issued Document... Allows you to view issued documents to which you have access. (Appears only when the Document Control module is also installed.)

Quick document links Providing that the Document Control module is installed, the *Use document quick launch facility* setting is set in the **Workbench Configuration Centre** | Workflow Settings (New User/Personal) and the *Number of links to most recently viewed documents* setting is set between 1 and 10, then the last viewed documents (up to a maximum of 10 and dependent on the *Number of links...* setting) will also be available for viewing here. They will be listed most recent first.

Workstation Settings... Allows the setting up of a default database and login that are automatically selected on future start-up. The default dictionary is also set here. Finally you may select which Workbench server to connect to and, optionally, whether the list of servers displayed should be restricted to only those that are running.

Exit Exit the program. A message asking you to confirm your wish to exit is displayed.

Audit

All items in the Audit menu are associated with the creating, scheduling, editing and running of audits.

Audit Template... Creates new audit templates, optionally based on an existing template, and allows you to edit existing ones.

Schedule Audit... Allows you to select an audit template and schedule audits based on it.

Edit Audit... Allows you to edit any scheduled audit, whether planned or running.

Run Audit... Here, you change planned audits to 'Running' status. Call up the relevant planned audit and run it by auditing all its checklist items, entering their results and raising nonconformities (where appropriate and when the Nonconformities module is also installed).

Check Audit Out... Allows a user to check an audit out to a file, so that it may be worked on away from the database. The updated audit information is transferred to Workbench when the audit is checked back in.

Check Audit In... Allows a user to check back into the database any audit which they have currently checked out. They also have the option of cancelling any checkouts.

View Audit... All planned, running and completed audits are stored here for viewing by users with appropriate access rights. Checked-out audits may also be tracked. Information contained in all the audits (including completed) is available for compiling reports.

Settings

Information likely to be used in the creation of audit templates and the running of audits is set up in the Settings menu.

Audit Types... Allows you to create, edit and print records of different types of audit, for example, environmental, safety, financial.

Assessors... Allows you to create, edit and print records of external assessors - their address, contacts and contact numbers (telephone, fax, e-mail etc.), and to make any relevant notes.

Client and Customers... Allows you to create, edit and print records of clients and customers - their address, contacts and contact numbers (telephone, fax, e-mail etc.), and to make any relevant notes. This menu item is shared with the Workbench Customer Care and Nonconformities modules; there are certain elements within it (ie. Regions and Analysis) that will not be populated unless you also have either the Customer Care or Nonconformities modules installed (and can therefore share the Regions and Analysis records).

Suppliers... Create and edit new records and maintain existing records of external suppliers and contacts. This item is also used by several other modules (if installed).

Result Descriptions... Allows you to create, edit and print user-defined descriptions of results used in audits. These result descriptions may be used to support simple pass/fail or numeric results or can be used instead of these.

Category Library... Creates and maintains a Library of all checklist categories used in your audits. These categories of items for checking in audits can be used in any or all types of audit. Categories can be sent to the library for storage at different stages of the audit.

Checklist Library... Creates and maintains a library of all checklist items that may be used in any type of audit. Checklist items can also be sent to the library for storage at different stages of the audit.

User Defined Analysis - Audits UDA... Creates user defined analysis categories for audits. These are usually global analysis categories, for example, Health and Safety, ISO 9001 etc. and, unlike checklist items that can be created during an audit and sent to the library, these can only be created here.

User Defined Analysis - Suppliers UDA... Allows the creation of user-definable analysis categories for suppliers.

Reports

Audit Template - Template... Displays a comprehensive dialog that allows the selection of different criteria to produce reports on audit templates.

Audit Template - Checklist... Offers a print-out, with or without planning notes, of a selected audit template checklist.

Planned Audits - Details... Gives detailed information, including categories and checklist items, on all planned audits (including or excluding those that are checked out) between selected starting dates. Can isolate information on different types, departments and checklist categories.

Planned Audits - Summary... Gives a summary of planned audits (including or excluding those that are checked out) between selected starting dates. Can isolate information on different types, departments and checklist categories. The selection criteria are identical to those in Planned Audits Details reports.

Planned Audits - Checklist... Offers a print-out, with or without planning notes, of a selected planned audit checklist.

Running Audits - Details... Gives full details, including categories and checklist items, on all running audits between selected starting dates. Can isolate information on different types, departments and checklist categories.

Running Audits - Summary... Gives a summary of running audits between selected starting dates. Can isolate information on different types, departments and checklist categories. The selection criteria are identical to those in Running Audits Details reports.

Running Audits - Checklist... Offers a print-out, with or without planning notes, of a selected running audit checklist.

Audit Results - Details... Offers a wide range of selection criteria so that reports on completed audit results, including the results of individual categories and checklist items, can be examined and compared.

Audit Results - Summary... Offers summaries of completed audit results. The selection criteria are identical to those in Audit Results Details reports.

Not Audited - Departments... Shows Departments that have not been audited within a given time span for all or any audits whether planned, running or completed.

Not Audited - Categories... Shows Library categories that have not been audited within a given time span for all or any audits whether planned, running or completed.

Audit Schedule... Produces a report in graphic form showing all or any scheduled audits (planned, running or completed) within a given time span.

User Defined Reports... Shows queries and reports generated by the Workbench ReportQuest module (if installed).

Module

In this menu you may gain quick access to any other installed Workbench modules.

Audits You will only be able to use this menu item if you have the Audits module installed. If so, please refer to the Audits Help system for full details on its purpose and function.

Customer Care You will only be able to use this menu item if you have the Customer Care module installed. If so, please refer to the Customer Care Help system for full details on its purpose and function.

Document Control You will only be able to use this menu item if you have the Document Control module installed. If so, please refer to the Document Control Help system for full details on its purpose and function.

Nonconformities You will only be able to use this menu item if you have the Nonconformities module installed. If so, please refer to the Nonconformities Help system for full details on its purpose and function.

Personnel This module is installed as an integral part of all modules and facilitates all aspects of personnel administration on the system.

ReportQuest You will only be able to use this menu item if you have ReportQuest installed. If so, please refer to the ReportQuest Help system for full details on its purpose and function.

System Manager This module is installed as an integral part of all modules. It allows the system administrator to define and maintain all global system settings, manage individual user access to Workbench and to arrange user logins and passwords.

Test and Calibration You will only be able to use this menu item if you have the Test & Calibration module installed. If so, please refer to the Test and Calibration Help system for full details on its purpose and function.

Training You will only be able to use this menu item if you have the Training module installed. If so, please refer to the Training Help system for full details on its purpose and function.

Help

Contents Gives access to the Table of Contents for the on-line Help system.

Topic Search Gives an alphabetical index of all Help entries and allows you to type in and search for specific topics.

How to use Help Explains how to get the best use out of your Help system.

About Workbench Gives information on the version of Workbench and the number / usage of licences.

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