Document Control
Workbench 11

Document Control: 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 Document Control


Workbench Document Control is well suited to management systems which need to cope with documentation that changes dynamically over time in response to all manner of internal and external, possibly statutory, demands. These include not only Quality Management Systems (such as ISO 9001) but also Health & Safety and Environmental systems and virtually any project that requires carefully monitored design or requirements specifications.

The essence of a Document Control system lies in its ability to control document content and its availability to personnel within an organisation. This contrasts with Document Management Systems which typically allow documents to be stored electronically and to be suitably indexed and organised. This facilitates straightforward retrieval of any given document but does not normally impose any controlling mechanism on the document's content. In many systems of this type documents will remain largely static entities as far as their content is concerned.

On the other hand, the Document Control module from Workbench is designed specifically to handle documents that are subject to change. These are dynamic rather than static entities.

The objective of the module is to manage this process of change in a controlled and manageable fashion. While doing so, the module still allows access to the analysis schemes and categories typical of a Document Management System which permit easy searching for and location of key documents. It also offers a solid and auditable record of the whole history of change to which any given document has been subjected.

Finally, the Document Control module is also designed with security and ease of use features very much in mind. This ensures that documents can only be changed in a controlled manner and that the distribution of these documents is only to relevant and authorised personnel.

1.1.1 Document control within a quality management system

A Quality Management System (QMS) is a prime example of the need for strictly controlled documentation. It is a fundamental requirement of all Quality Standards that the requirements for quality be defined and documented. Usually this involves the preparation of a Quality Manual which will either include or make reference to the detailed procedures which ensure that quality standards are met and maintained.

Moreover, it is a further requirement of any QMS that proposed changes to documentation be reviewed, authorised and introduced in a controlled manner by duly authorised personnel.

The Workbench Document Control module was designed to meet the requirements of a QMS. It ensures that all documentation is securely stored and not subject to unauthorised change. Personnel can always be sure that they are using the most up to date issued copy of any document.

The 'paper trail' often associated with a manual QMS can be radically curtailed or even eliminated. Personnel can, if authorised, review documents and propose changes for management review in due course. Communication is enhanced through the module's powerful internal messaging system (see Tasks and Notifications) and optional links to external e-mail systems.

While Workbench Document Control was designed with the workings of a QMS in mind, it can also be used in any environment where controlling document change and availability is a key issue. Examples include Health and Safety systems, Environmental systems and virtually any project that requires carefully monitored design or requirements specifications.

1.1.2 Security considerations

By its very nature, Document Control implies a need for carefully implemented security. Fundamentally this has two aspects:-

- the need to control the introduction of new documents and the editing or changing of existing ones
- the need to restrict, where necessary, the availability of documents to authorised personnel only.

Workbench Document Control achieves these aims by two core mechanisms. The first is the use of a special storage type known in computer jargon as a 'Binary Large Object' (BLOB). This allows any document created by virtually any program (see Open architecture) to be stored internally within the Workbench database. Crucially this means that the document is not then left in the computer's file system where it might be accidentally or maliciously damaged, deleted or copied.

Storage within the Workbench database means that access to the document is strictly controlled by Workbench as set up for your organisation. Personnel who are not Workbench users will simply not be able to access documents within the system; users will only be able to access those documents for which they are authorised.

Workbench can also be set to encrypt documents during transmission and this option should be used where security is of the utmost importance, especially if using Workbench over an insecure connection. (Workbench uses RSA encryption in a manner similar to that used by SSL.) See Document attributes | Workflow settings.

Secondly, the nature of the document access given to members of personnel can also be defined within Workbench. For each document held within the system you can determine exactly which members of personnel are allowed to view it, edit it, review it, approve changes to it and approve new versions of the document itself.

All these personnel access lists are configurable on an individual document basis. For highly regulated or sensitive material, very sophisticated control and approval mechanisms can be introduced. More generally available material can be introduced quickly into the system with widespread access and the minimum of fuss.

1.1.3 Open architecture

Workbench Document Control works with your existing applications used to create and edit documents. This is ‘open architecture’ designed to make the system as flexible as possible and also to preserve the investment you will probably have already made in software and personnel training.

In this context the word ‘document’ is possibly slightly misleading. It suggests a file produced by a word processor or similar editor whereas it should be interpreted much more widely as an entity produced by virtually any type of software application.

Thus a ‘document’ might be a traditional text-based document, a spreadsheet, a drawing, a flowchart, a project plan, program source code or even a multimedia file of some kind. It does not matter to Workbench, as they are all stored in the same binary format. At that time they are associated with the application used to create them and it is this application which is subsequently used to retrieve the information.

1.1.4 Document control and messaging

The Document Control 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.

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 document (see Document Control messages). Figures alongside these buttons are constantly up-dated and a yellow light bulb indicates that you have 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.

1.1.5 The processing cycle

A brief overview of the Document Control processing cycle is given here, ie. the series of changes a document must go through before it can be issued and distributed as a controlled revision.

Also discussed briefly here is the concept of a Change Request (CRQ) - the mechanism by which an already issued document can be changed in a controlled manner. Please refer to Change requests for a more detailed explanation.

All 'documents' are associated throughout the system with the application used to create them - Open architecture. When new documents are created they are based on a template (see Master templates) or an existing document; alternatively, an existing document held in a file can be imported into the Workbench database. Either way such documents, when first introduced, are considered to be of draft status only, ie. they have not yet been reviewed or approved.

At this stage various document attributes can be set. Examples include the author and 'owner' of the document (ie. who has ultimate responsibility for it), the user-definable analysis categories to which it belongs and any keywords you may wish to associate with it. Also set at this stage (manually or automatically) are the personnel access lists mentioned in Security considerations. Here, who may view the document, who can implement future editing changes, who has to approve the document prior to issue, and so on, is determined.

Ultimately the draft is submitted for approval to the personnel on the approval list. They may reject it but have to give reasons. When finally approved by all personnel on the list, the document may be issued and is then distributed to all personnel on its distribution list. In effect it then becomes a working document that enters into your organisation's Document Control system and may be relied upon by all personnel authorised to consult it. At this point the document becomes available for viewing via your intranet using IntraVista Professional, Workbench's web viewer.

The Document Control module has been designed to cope with change - changes made to a document's content, access lists, attributes or other linked information. The prime mechanism for this is the Change Request (CRQ). Any authorised member of staff can suggest a change request for whatever aspect of the document he or she sees as needing amendment. This change request then undergoes a broadly similar approval process as the document itself. If approved, a change request will result in a new draft of the document embodying the suggested changes. Users consulting the document during this period are warned that a new draft exists as well as the currently issued version.

Once a change request has been approved and actioned, and the document modified, the document itself then undergoes a new approval process. At the end of this it will then be re-issued in its new form and the old form optionally archived.

Throughout this process the system maintains a detailed document history. This shows at a glance when the document was first introduced, when approved, when change requests have been raised and approved and so on. The document **History** page serves as a full audit trail for that document. The module also supports a comprehensive Review mechanism that allows the setting up and carrying out of periodic scheduled reviews along with provision for requesting unscheduled reviews at any time - including following a document edit.

The **Workbench Configuration Centre** has been designed specifically for the database administrator to define and maintain all global system settings from one dialog. Many of these settings apply to the Document Control module and affect the workflow processing.

Workflow aspects of the Document Control processing cycle are facilitated by the use of Task and Notification messages and/or your e-mail system. These messages are sent to Workbench users either to prompt them to take whatever steps are necessary to move documents along through the cycle (Tasks) or for information purposes only to keep them informed of new approvals and issues (Notifications).

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. However, 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 Document Control 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.

Document Control module updates

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

- A new item in the **Control** menu - **Reissue Document** - allows documents to be reissued.
- The *Notify user of new issue* Distribution Options workflow setting will be amended to *Notify user of new issue/reissue* to take account of the above new menu item.
- The *Retain previous issued versions* Distribution Options workflow setting will be removed when using the **Reissue Document** routine.
- Three new workflow settings headed **Workbench Questionnaires** control whether questions will be asked when acknowledging receipt of a document. This is a separately licensed feature and unless this is installed, none of the settings and elements associated with it will appear. If installed, you may specify whether a questionnaire is to be used or not; if used you may then specify how many random questions will be asked and the minimum number of correct answers required to be returned.
- There is now the ability to define what increments are to be used for Document Revision numbers. This will be controlled by a new workflow setting *Auto-increment document revision* that is off by default. If checked, then three further workflow settings will be enabled allowing you to select a *Major revision increment*, a *Minor revision increment* or *Default edit severity* from a drop-down menu.
- There is a new workflow setting *Do not prompt users to delete source document* that defaults to unchecked. If checked, the **Confirmation** dialog offering the user the option to delete the source file will not be displayed when the document has been imported.
- A new workflow setting *Automatically delete source document* may be set if the *Do not prompt users to delete source document* setting (above it) is checked. If both settings are checked the imported file will be deleted automatically. If unchecked, the file will remain.
- A new workflow setting *Include document synopsis in external mails,* defaults to off.

- There is now an **Attributes** button on the **Issue Document** dialog.
- The **Document Attributes | Changes** page now has 'Date Raised' column.
- There is now the ability to check out a document in one format and check it back in in another.
- Additional non alpha-numeric searches may now be configured by the system administrator.

1.3 Saving documents in the event of network failure

If a network failure occurs you will normally receive the message ‘You have been disconnected from the network’. However, if a document is having its content edited when the network disconnection occurs then Workbench stays silent until you finish the edit. Then the **Save document to file** dialog will appear stating that you have been disconnected from the network and asking if you want to save the document to an external file. Read the instructions carefully and either:-

- type in a file location in the **Save document to** field or use the Browse button (**…**) to look up the location. Hit the **Save** button (this will become enabled once text has been entered) and the document will be saved to the file specified in the **Save document to** field. The program will then close and you will need to log in again to restore the document into the database.
- or click on the **Close Workbench** button to close Workbench but beware that if you do this, all changes that you have made to the document will be irretrievably lost.

Logging in again

If there is a temporary document, the system will check to see if it is still editable and if it has been edited at all since it was saved to the temporary file.

- If the document is still editable and has not been edited then the **Restore externally saved document** dialog will appear offering various options as to how to proceed:-
  - Hit the **Now** button to invoke the **Edit complete** dialog (exactly as if you had just finished an edit). The temporary file will be saved to the database and on completing the **Edit complete** dialog, it will close.
  - If you choose to hit the **Later** button, then the **Restore externally saved document** dialog will close but the document information will remain and the system will check on the document status and produce the appropriate dialog the next time you log in.
  - If you select **Delete copy**, then the system will ask for confirmation that this is what you really want to do. If ‘Yes’, then the temporary file and all related entries will be deleted and the dialog will close.
  - If you select **View copy**, then the system will display the temporary copy of the document in its default viewer. The dialog will stay open.
- If the document is still editable but has been edited, the **Restore externally saved document** dialog offers different ways to proceed:-
  - If you hit the **Now** button in this instance, the system will warn you that you will be overwriting another user’s changes and ask for confirmation. If confirmation is given, the **Edit complete** dialog will appear (as if you had just finished an edit) and the temporary file will be saved to the database. After the **Edit complete** dialog has been completed, the dialog will close.
  - The other three buttons (**Later**, **Delete copy** and **View copy**) behave exactly as given for the case where the document has not been edited **-** see above.
  - The **View Curr. Draft** button will display the most recent Draft version of the document that is

held in the system.

- If the document is no longer editable, the **Cannot restore externally saved document** dialog will appear offering the following options:-
  - If you select **Yes** then the temporary copy of the document and all references to it will be deleted.
  - If you select **No** then all references to the document will be deleted but the document itself will not be deleted. The dialog will then close.
  - If you select **View copy** then the program will display the temporary copy of the document in its default viewer. The dialog will stay open.

1.4 System menus

Several menu options 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 User Defined Analysis (UDA) option is 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 can be accessed from all modules apart from Personnel and System Manager.

1.5 Using DocLists for document classification & filtering

The use of DocLists is optional and they work exactly as in IVPro; they are available per database, per user. Providing that you have access to the **Personal Workflow Settings** page of the **User Preferences** menu option, the decision to use/not to use DocLists can be toggled on and off as you wish using the *Use DocLists for document classification and filtering* setting.

DocLists are very helpful for filtering purposes, a tool for you to classify, group and retrieve documents; as such, no History entries are recorded for changes made to actual DocList entries.

There are three 'portals':-

- Document
- Document Change Request
- Document Review

All work in the same way but each offer different search routines appropriate to the task in hand. The relevant portal is displayed automatically on opening a standard Select dialog (providing that you have the workflow setting checked). See the section on Using DocLists for full details.

If you have elected to use DocLists within Workbench, then the **Create or Import Document** dialog will also include a panel on the left side that displays the DocLists.

1.6 Document Control 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 the Calendar button, Menus, Modules, Notifications button, Speedbar (Speed buttons) and/or Tasks button independently. **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 will be saved locally so that an individual users set-up will be retained.

Click on the Document Control module button to view its main window.

The main menu has nine headings - three of which (File, Module and Help) are common to all modules. The other menus and menu items run the module and are described briefly below.

Documents menu

Creating or importing, editing and viewing documents are all options accessed using the Documents menu.

Here you may also check documents out to file, check them back in again and undo any unwanted changes made since the last issue.

Changes menu

The Changes menu deals with all options covering change requests; these include the tracking of change request approval progress and the option to approve a CRQ on behalf of another user.

Control menu

This menu controls the processing cycle of documents from marking them ready for approval through to archiving. Each menu item offers a list of documents available for processing; documents that are not at the appropriate processing stage or not accessible by the logged-in user will not be made available for selection.

From this menu you may also follow the approval progress of documents, acknowledge receipt of documents and edit document attributes.

Reviews menu

The Reviews menu controls all options covering reviews from first requesting a review through maintaining to withdrawing and ultimately purging.

Settings menu

Before using the Document Control module in earnest there are some basic settings and parameters that you need to establish. This menu facilitates the setting up of master templates, grouping users into document approval groups, and establishing your own analysis fields and categories for documents.

Although the use of Document Business Rules is controlled by the system administrator from the **Workbench Configuration Centre**, setting them up is done here (see Document Business Rules for detailed information).

Settings for review subjects, topics and reasons are also set here.

Finally, basic document category and type classifications originate from this menu. These are used mainly for searching and ordering your document database; their terminology is user-definable.

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 document and/or document related information to be searched for, sorted and presented in many different ways.

Reports supply only information that meets certain precise selected criteria - freeing managers to proceed with more constructive work.

1.7 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.

1.8 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.

1.9 Solus

Solus is a separately licensed application that helps with the distribution of documents to off-site Workbench users who may not have a connection to the Workbench system and therefore cannot see the latest issued version of documents.

The Solus system consists of a web service communicating between the off-site users' laptops and the Workbench system, plus a synchronisation service that will connect to the Workbench server and periodically check for any changes to issued documents, related attributes and document settings. Any new or updated information will be stored in a specific file storage area, encrypted and compressed, ready to be synchronised. Documents will only be decrypted and uncompressed when required to be viewed by the off-site user.

Solus notifies users when their cached copies of documents are out of date, prompting the user to 'synchronise' whenever their laptops are connected to the internet. Solus can also be configured to run on Windows start-up so that documents can be downloaded in the background whenever a connection to the web service is available.

Three workflow settings under the heading **Solus Offline Synchronisation** control how and when the web service should synchronise with each individual document (the default is off) but if the Solus application is not licensed then none of the workflow settings in the **Workbench Configuration Centre** will be visible.

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

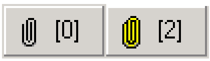
On certain dialogs in Workbench, mainly those that offer selection lists, you may grab the lines separating columns in order to **make the columns wider or narrower**...

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 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.

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**.

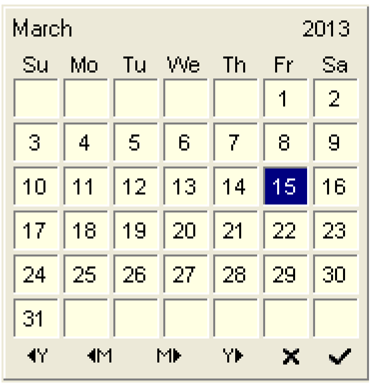
   NB. Any edits to the actual attached document will not be saved until the **Attachment Form** itself is saved.

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.

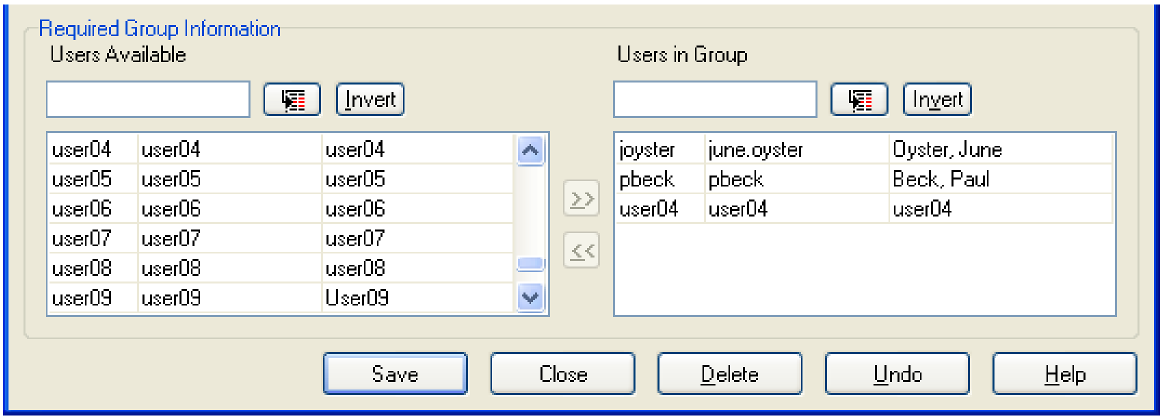
2.6 Grey type and closed fields

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.



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.

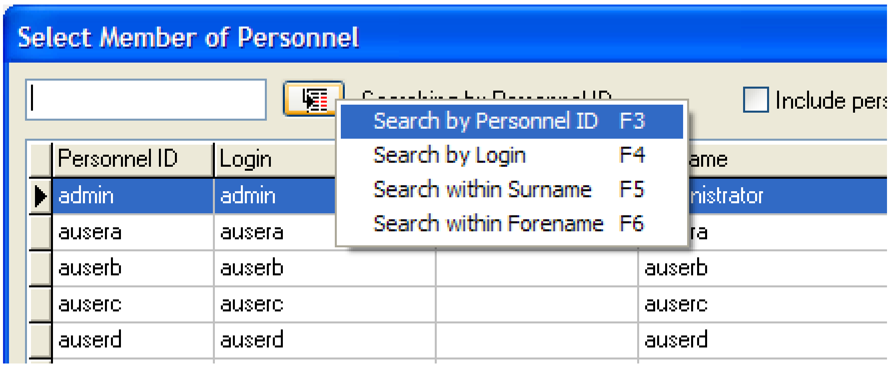
Such fields are shown in blue and are underlined, giving you an immediate visual indication that they are compulsory eg. **Login to which database?** and **Login** in the **Log on to Workbench** dialog.

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 to this effect.

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 the other search types, a search within a field is not case sensitive. The above example therefore 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 specific record in any Select dialog (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 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 Screen display & keyboard shortcuts

- 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 useage and display of web pages see Personal workflow settings (System Manager & Personnel Administration Help).

2.13 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

2.14 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 button.

Speed buttons used in the Document Control module are shown below.

View Document	Create/Import Document	Edit Document
Raise CRQ	Open CRQ	Approve Document
Issue Document	Acknowledge Receipt	Edit Document Attributes

2.15 User defined action button

The Customer Care, Document Control and Nonconformities modules each support a specific user-definable action (with a direct link to an editor) against appropriate complaints, documents and NCRs. For example, in the Customer Care module the action button could be used to automatically produce a letter of acknowledgement and apology; in the Nonconformities module it could be used to produce an incident form.

The user-defined action is set up by the system administrator on the **Module Settings** page of the **Workbench Configuration Centre**; the button that 'triggers' the action will then appear on relevant dialogs in the respective modules. When the button is triggered from any of these dialogs, the program writes all the requisite customer / complaint, document or nonconformity information to an easily accessible file and can optionally launch any application. A **History** entry is also recorded whenever the button is clicked.

3 Document settings

Before using the Document Control module, there are some basic settings to establish.

System Wide and New Document workflow settings for Document Control are sited in the **Workbench Configuration Centre** where they are configured by the system administrator (or any other user with access). In addition to these, menu items in the Document Control **Settings** menu allow you to set up master templates and document approval groups, establish 'rules' governing access to specific types of documents, and to establish your own analysis fields, categories and types for documents.

3.1 System Wide workflow settings

Default System Wide settings for the Document Control module are configured in the **Workbench Configuration Centre** (System Manager module). Most use a simple on/off toggle so that if the check box is checked the setting applies, if unchecked, the setting will not apply.

There are several sub-headings within the list of **Document Control settings**. Expand the list fully by checking the *Expand all workflow settings* check box at the top of the dialog. Alternatively click on a plus sign alongside an unexpanded entry. A minus sign alongside an entry denotes that the list is fully expanded.

The way these settings (listed below) are configured will affect your working in the Document Control module but only the system administrator (or users with access) can amend them.

When a document is set, any Business rule(s) in force will be used. If no rules apply, then the system will use these default document system settings. Changes made to any of these settings will apply only to documents created or imported AFTER the settings were changed. Rules and settings in force at the start of any individual document cycle will remain with the document throughout - ie. later changes will not affect documents already in existence.

NB. Other options covering actual document workflow may be configurable by individual users providing they have appropriate access rights - see New Document settings.

System Wide | Module Settings | Document Control settings

- *Allow document retention period to be changed*. The number of years that a document must be retained is set by the system administrator in the Document Attributes section of the Workbench Configuration Centre dialog. However, if the *Allow document retention period to be changed* check box is checked, this period may be over-ridden on an individual basis.

  New Document change requests - there are further options here when expanded:-

- *Approval required for new document change requests*. When raising a New Document change request, if this option is checked (the default) then a *Please approve change request* task will be sent to the new document approver (specified in the option below). If the workflow setting is not checked, then the change request will automatically be approved and a *Please create document* task will be sent to the New Document actionee.

- *Approver of new document change requests*. This option will only be enabled if the above setting is checked. To set, highlight the entry and enter the name of the required approver in the **Setting value** field below (using the Search button if required). If set, all New Document change requests must then be approved by this person. If an approver is not nominated (ie. the workflow setting is blank) then 'admin' will be asked to approve the New Document CRQ.

- *Default new document change request actionee*. This option allows you to nominate a default actionee to carry out New Document change requests. Highlight the option and the **Setting value** field at the bottom of the dialog will open. Use the Search button alongside to invoke the **Select New Document Change Request Actionee** dialog and select the required actionee.

Once nominated, the only way this default user can be changed is via the workflow settings. However, the workflow setting below allows you to nominate a default actionee who may be changed when raising a specific change request.

- *Can change actionee when raising a new document change request*. Select this option if you are happy to allow the nominated default actionee (see the setting above), to be changed when raising a change request. If not selected, the Actionee field will display the default actionee who will not be editable.

- *Can only raise CRQs against issued documents*. This is an option to disallow the raising of change requests against documents that have never been issued. If checked, the **Raise Change Request** dialog will recognise the setting and only display documents that have been issued - see Raising a change request. If unchecked, the system will allow CRQs to be raised against draft versions of the document.

- *Document title must be unique*. If this setting is checked, the system will force the mandatory **Title** field in the Document Control module, to be unique. If unchecked, any title will be allowed in the module, regardless of whether or not it is already in use.

- *Include document title in temporary document filename when viewing documents* - this setting will be unchecked by default. If checked, then upon viewing a Workbench document, the temporary document filename will include the document title.

  The system automatically checks that the length of the filename does not exceed the Windows limit and that all 'out of range' characters (including spaces) are removed. The temporary number at the start of the filename will still be used to make the document filename unique.

  Users who have a number of documents open at one time can now see what the documents are at a glance.

- *Document user reference must be unique*. If this setting is checked, the system will force any **User Reference** (if used) in the Document Control module to be unique. If unchecked, any User Reference will be allowed in the module, regardless of whether or not it is already in use.

- *Include document synopsis in external emails*. If this setting is checked, a document's **Synopsis** will be included when sending Document Control emails. The setting defaults to off.

- *Include IVPro link for all document external mails*. If this setting is checked, external e-mails relating to documents will include a web link to enable the user to view the document in IVPro. This is a configurable on /off option per database and is only available if IVPro is licensed.

- *Use document control business rules*. If checked, document control business rules will automatically be used; if unchecked, lists may be populated manually at appropriate stages of the document's life-cycle. (Business Rules control lists of personnel who will automatically be informed via task or notification messages when a document meeting specified conditions is created or imported; other users may be added to the lists - see Document Control Rules).

- *Track document viewing statistics*. This setting defaults to off. If checked, it gives users the ability to create reports in the ReportQuest module that will show the number of times a document has been viewed in Workbench, IntraVista and/or IVPro.

- *Do not prompt users to delete source document* defaults to unchecked. If checked, the **Confirmation** dialog offering the user the option to delete the source file will not be displayed when the document has been imported.

- *Automatically delete source document* may be set if the *Do not prompt users to delete source document* setting (above) is checked. If both settings are checked the imported file will be deleted automatically. If unchecked, the file will remain.

  Document creation. Expand for the following options:-

- *Import documents*, if checked, allows users to import documents. If this option is unchecked, the **Import from File** field at the top of the **Create or Import Document** dialog (Documents | Create or Import Document) will be disabled.

- Likewise, if the *New document based on master template* option is unchecked, then the **Base on Template** field in the **Create or Import Document** dialog will be disabled.
- Finally, if *New document based on existing document* is unchecked then the **Base on document** field in the **Create or Import Document** dialog will be disabled so the option to base a new document on an existing document will not be allowed. However, if this option is highlighted and checked, a further six options will then be displayed:-
  - *Copy workflow settings from base document*
  - *Copy access lists from base document*
  - *Copy keywords from base document*
  - *Copy document references from base document*
  - *Copy user defined analysis from base document*
  - *Copy associated courses from base document*

  When you create a new document based on an existing one you have the option to copy any or all of the above (shown on each **Document attributes** dialog as separate pages - **Workflow Settings**, **Access**, **Keywords**, **References**, **Analysis**, **Courses**) directly through to the new document - see Creating or Importing a document.

  If creating a document based on another Workbench document in the same database, and the above setting *Copy workflow settings from base document* is checked, then all the workflow settings for **Workbench Office** (if licensed and checked for use) will also be copied across to the new document, including the access lists.
- *Allow importing of documents from different databases*. If this setting is checked, then the *Import from another DB option* on the **Create or Import Document** dialog will be enabled. If unchecked, then the *Import from another DB* option will be greyed out.
- *Log into selected database as admin (current user if unchecked)*. This option is dependent on the above setting being checked. If both are checked, then users will be logged into the second database (the one they want to Import from) as 'admin' regardless of their current login; otherwise the current user login will be used and the user must also exist on the second database.
- *Only show documents that all users can view*. This option is dependent on both the above settings being checked. If checked, will force the admin login (see above) to show only documents that can be viewed by all users. If unchecked, then all documents will be visible for selection on the second database.

3.1.1 Workbench Office passwords

The separately licensed **Workbench Office for Microsoft Office** provides much greater integration between Workbench with Microsoft Office, specifically Word, Excel, PowerPoint and ** Outlook. This is done by the production of an add-in that works with Office 2007 and above. As the add-in is a separately licensed area of Workbench, if unlicensed, none of the following workflow settings will be displayed.

The settings control whether Workbench Office is used or not and the security features are set up on a per user / per document basis in the Workbench Configuration Centre (**System Wide | Workbench Office**). **These settings will not be applied to documents imported into Workbench from Microsoft Outlook.

All settings will be unchecked by default and are dependent on the first setting *Password requirements for exporting documents out of Workbench* being checked - when this is done the following options will open up.

- *A minimum length password is required* - when checked, a password will be required when saving out of Workbench; the option, *Password minimum length*, will open and you should enter the minimum number of characters required in the *Setting value* box at the bottom of the dialog.
- *Password must contain mixed case characters* - when checked, the password should contain a mixture of uppercase and lowercase letters.
- *Password must contain letters and numbers* - when checked, the password should contain at least one letter and one number.

Passwords can be configured to meet any one, two or all three of the above constraints.

Further workflow settings, controlling the actual way in which Workbench Office is used, are on a per document basis and discussed in a separate Help topic Workbench Office for Microsoft Office.

3.2 New Document (Business Rule) settings

In addition to default System Wide settings for the Document Control module, there are further configurable options that control the actual document workflow. These are initially controlled from the System Manager module in the **Workbench Configuration Centre**.

For users with appropriate access, workflow settings are also shown on various dialogs in the Document Control module. The system administrator may deny access to these settings altogether (in which case the **Workflow Settings** page will not be visible), may grant Read-only access, or may give Update rights which allows individual users to amend the settings for a specific document (or for Business rules, if in use).

Any changes made to document workflow settings will be recorded on the **History** page of the Workbench Configuration Centre dialog.

Configuring New Document Settings from within the Document Control module

1. Select the **Workflow Settings** page in any relevant dialog.
2. Expand the list of entries by clicking on the **New Document Settings** heading (or **New Document Business Rule Settings** if Business rules are being used). There are four main sections controlling workflow, some with further sub-headings when expanded...
   - Document attributes
   - Document processing flow
   - Reviews
   - Annotations
3. When you have configured the settings as you wish, click on the **Apply** button. An information message stating that the preferences have been changed will follow and you may continue working on other aspects of the dialog. Alternatively, click **OK** to save and close the dialog.

NB. In order to amend these settings you must be granted Update rights by the system administrator.

3.2.1 Document attributes settings

The first group of configurable options controlling document workflow come under the heading **Document Attributes**.

Configuring document attributes (New Document settings)

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 **New Document Settings** heading (click on the actual entry or the + sign alongside).
NB. If Document Control business rules are in use this heading will read as **New Document Business Rule Settings**.

3 Select the **Document Attributes** entry and expand further if necessary.

- *Number of years that a document must be retained*. This option is self explanatory and sets the number of years that a document must be held in the system before it can be withdrawn. (If required, the administrator may allow this retention period to be changed by switching on the top option in the System Wide Document Control workflow settings.) To alter the number of years that a document must be retained, highlight the relevant entry and the **Setting value** field will open at the bottom of the dialog. Enter the required number of years and click on the **Apply** button to make the change.

Workbench Questionnaires. Click on this actual entry or the + sign alongside to expand.

- The *Use Workbench Questionnaires* option will appear - double-click on this or highlight and click the *Use this workflow setting?* to reveal further options.
- *Number of random questions to ask? (0=all questions will be asked)* Providing that the above setting is checked, this setting allows you to specify how many questions from the Questionnaire should be asked when acknowledging receipt of a document.
- Providing that the *Use Workbench Questionnaires* setting is checked, the *Number of correct answers required? (0=all questions must be answered correctly)* setting allows you to specify how many correct answers must be returned before receipt acknowledgement will be accepted.

Advanced document attributes. Click on this actual entry or the + sign alongside to expand the list. The first five options here are all switched on or off in the same way. Highlight the required entry and select or de-select using the *Use this workflow?* check box at the bottom of the dialog. Click the **Apply** button to update any change.

- *Encrypt document during transmission*. By ticking this check box, highly sensitive documents may be encrypted for security reasons (see Encrypting transmissions), but please be aware that this will increase the amount of time needed to fetch the document.
- *Enable macro file population in IntraVista and IVPro*. If checked, it will ensure that any documents fetched via IntraVista or IVPro will receive the correct and up-to-date Workbench information, which are populated via macros. When a document is requested, the QWCS.INI file is updated with the current document's details, either via a Java Applet or an Unsigned ActiveX Control (as specified in the Workbench Configuration Manager). The document can then be fetched automatically and displayed on the client. This then allows the selected document to read the updated details from the QWCS.INI file.
- *Parse document in IntraVista*. If checked, IntraVista will assume that the text is generated in native HTML; it will try to parse the document and generate the dynamic hypertext references to allow document jumping.
- *Convert document to PDF format*. The default for this setting is 'Never'. However if the setting is selected, a drop-down list will appear in the *Setting value* box at the bottom of the dialog, offering two further options.

- if the 'Never' option is selected then the issued version of the document will simply be a copy of the draft version and can never be modified.

- if either the 'When marking document ready for approval' or 'When issuing the document' option is selected, then the approved or issued document will automatically be converted to PDF format at the appropriate time. Workbench and IVPro will display the PDF version of the document in the **Approve Document** dialog only; all other views will show the original draft document. All views of the issued document in Workbench, IntraVista or IVPro will display the PDF version.

If either 'When marking document ready for approval' or 'When issuing the document' option is selected, then the *Retain previously issued versions in PDF format (if applicable)* setting, see below, will open.

- *Retain previously issued versions in PDF format (if applicable)* may be set if the *Convert document to PDF format* setting (above) has an option other then 'Never' selected. Configuring these two workflow settings together allows you to choose whether retained documents should be displayed in their 'native' application or in PDF format.

- *Make document read-only when viewing* is unchecked by default. If checked, documents opened in View mode will be differentiated by having the words 'Read only' displayed in the document header.

- ***Workbench Office for Microsoft Office***. See separate Help topic Workbench Office for Microsoft Office

- *Auto-increment document revision* - is unchecked by default. If checked then three further workflow settings will be enabled, *Major revision increment*, *Minor revision increment* and *Default edit severity*.

  If auto-incrementation is being used then values can be set to X.00, 0.X0 or 0.0X but a major increment MUST be of a higher or equal value than a minor increment (Major defaults to X.00, Minor defaults to 0.0X). The Default edit severity defaults to Minor but can be changed to Major or Not specified. If 'Not specified' is selected, checks will be made at the appropriate time to ensure that the revision number has been manually incremented.

- ***Solus Offline Synchronisation***. See separate Help topic Solus Offline Synchronisation

See also: Document processing flow settings Reviews Annotations

3.2.1.1 Encrypting transmissions

Workbench has grown from a product intended initially for use in small workgroups and then single sites. Due to the increased scalability provided by the use of InterBase Objects and the Atlas application server architecture, Workbench is now increasingly being used across multiple sites. This means that there could be a real danger of network traffic between the server and the clients being intercepted by a third party. This is especially important for documentation that may be of a highly sensitive nature.

We advise that the *Encrypt during transmission* option should be used wherever security is of the utmost importance, especially if using Workbench over an insecure connection.

Workbench uses RSA encryption in a manner similar to that used by SSL.

3.2.1.2 Workbench Office for Microsoft Office

Workbench Office for Microsoft Office integration is a separately licensed area and if not licensed, none of the workflow settings below will be displayed. See Using Workbench Office for full details on using the component.

Passwords for Workbench Office are set up on a per user / per document basis (**System Wide | Workbench Office**) and are discussed in the separate Help topic Workbench Office passwords.

The following workflow settings (**New Document** (**Business Rules**) **Settings | Document Attributes | Advanced Document Attributes | Workbench Office for Microsoft Office**) are configured on a per document basis and control whether Workbench Office is used or not and, if so, who may use it and in what capacity. Click on the actual **Workbench Office for Microsoft Office** entry to expand the options.

- *Use Workbench Office for Microsoft Office?* This workflow setting determines whether or not Workbench Office should be used at all for this document. If it is unchecked (the default) then all the other Workbench Office workflow settings will be disabled and count as inactive. If checked, all the other settings will be active unless dependent upon another workflow setting.
- *Protect document?* This workflow setting is a dependent sub-entry of the *Use Workbench Office for Microsoft Office?* workflow setting and is unchecked by default. All its sub-entries will be disabled unless it is checked. If it is checked, then when the Workbench Office document is viewed (but not when it is being edited) the Office application menus (Word, Excel and PowerPoint) and toolbars except those specified in the sub-settings will be disabled to prevent the user modifying the document.

  However, please **be aware** that this protection does not extend to emails imported into Workbench using Outlook; if a user can see the email/document then they will be able copy, paste, print etc. regardless of the how the following settings have been configured.

  NB. *'All users'* in the options listed below refers to all users who have access to the document in question.
- *Allow all users to copy & paste?* This workflow setting is dependent upon the *Protect document?* workflow setting and will be unchecked by default. When checked, the **Copy** menu and button will still be available to all users in the Office application when viewing a document.
- *Allow all users to print?* This workflow setting is dependent upon the *Protect document?* workflow setting and unchecked by default. When checked, the **Print** menu and button will still be available to all users in the Office application when viewing a document.
- *Allow all users to print preview?* This workflow setting is dependent upon the *Protect document?* workflow setting and unchecked by default. If it is checked, then the **Print preview** menu and button will still be available to all users in the Office application when viewing a document.
- *Allow all users to save and send?* This workflow setting is dependent upon the *Protect document?* workflow setting and unchecked by default. If it is checked, then the **Save & Send** menu and button will still be available to all users in the Office application when viewing a document.
- *Allow all users on the edit list to view this document unprotected?* This workflow setting is dependent upon the *Protect document?* workflow setting and is unchecked by default. If it is checked, then none of the menu items and toolbars will be disabled when a document is being viewed providing that the user viewing it has edit rights to the document.
- *Password protect save & send?* This workflow setting is dependent upon the *Protect document?* workflow setting and unchecked by default. If it is checked, then on selecting **Send – E-mail** on an Office application (Word or Excel) or attempting to **Save,** the user is required (by prompting) to add a password before either action is allowed.
- *Require add-in in order to view document?* This workflow setting is a dependent sub-entry of the *Use Workbench Office for Microsoft Office?* workflow setting and is unchecked by default. If it is checked, then the document can not be opened at all if the user does not have the necessary add-in installed.

3.2.1.3 Solus Offline Synchronisation

Solus is a separately licensed area that helps with the distribution of documents to off-site Workbench users who may not have a connection to the Workbench system and therefore cannot see the latest issued version of documents.

Three workflow settings under the heading **Solus Offline Synchronisation** (**New Document** (**Business Rules**) **Settings | Document Attributes | Advanced Document Attributes**) control how and when the web service should synchronise with each individual document (the default is off) but if the Solus application is not licensed then none of these workflow settings in the **Workbench Configuration Centre** will be visible.

If you expand the **Solus Offline Synchronisation** entry, three further entries appear.

- *Allow document to be synchronised*. The default for this option is off. Double click (or highlight and check the *Use this workflow setting?* check box at the bottom of the dialog) in order to allow synchronisation for this document. Unless this option is checked, the document cannot be updated when synchronisation takes place and will not appear in the Document Viewer grid when connecting off-site.
- *Document validity period*. This is the period that the document will continue to be 'valid' before being prompted to update (synchronise). If the difference between the current date and the last synchronised date is greater than this value, then although the document will still be displayed in the grid, it will not necessarily be up to date. A message will appear prompting you to synchronise and re-validate the document. You still have the option to view the document before updating.

  If the *Allow document to be synchronised* option is checked and the validity period is set at zero, then synchronisation of that document will be constant and the Offline Validity Period (shown in the document's attributes) will be referred to as 'Always Valid'.
- *Document validity period units*. Select whether the validity period should be in days, weeks, months or years.

3.2.2 Document processing flow settings

The second group of configurable options controlling document workflow comes under the heading **Document Processing Flow**. Options here, if used, will have an impact on the way a document is processed. However, it is important to remember that any settings made on the document itself will always take precedent over any of the defaults set here.

Configuring document processing flow options

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 **New Document Settings** (or **New Document Business Rule Settings**) heading (click on the actual entry or the + sign alongside). Alternatively check the *Expand all workflow settings* check box at the top of the dialog to see the complete list of entries.
3. Select the **Document Processing Flow** entry and expand further (unless already expanded). There are five sub-headings covering document approval, issue, distribution, changes (including withdrawals) and viewing options; select the required entry and expand the list further if necessary.

   All settings here are switched on or off in the same way. Those with a tick against them are in use. To toggle between on/off, simply highlight the required setting and select or de-select the *Use this workflow setting?* check box at the bottom of the dialog. Several options are interdependent and will be disabled unless their related option is switched on (checked).

4 When all the settings have been configured as required, click the **Apply** button to update and continue working in the dialog. Or click **OK** to save changes and close the dialog.

See also: Document attributes settings Reviews Annotations

3.2.2.1 Document approval settings

Document Approval workflow settings (System Manager module | Configuration menu | Workbench Configuration Centre | **Workflow Settings** page | **New Document Settings** (or **New Document Business Rule Settings** if Business rules are being used) are shown below.

- *Document approval process.* If checked, on completion of editing (if allowed), or after importing or creating a document, the user can elect to 'Mark the document ready for approval'. The document requires an approval list where the approvers must approve or reject the document.

  If unchecked, on completion of editing (if allowed), or after importing or creating a document, the user can elect to 'Mark the document ready for issue' (providing that the *Require formal issue process option is also checked* - see below) or issue the document (if the *Require formal issue process option* is unchecked - see below). No approval list is required.

- *Allow approval of document without viewing* - this option will be disabled unless the above option is checked. If checked, users will be required to view the document before being able to approve it. If unchecked, users may approve the document without viewing it.

- *Display warning if approving without viewing* - this option will be disabled unless the above option is checked. If checked, the **Document Approval** dialog will provide a warning to the user if they try to approve the document without first viewing. If unchecked, users may approve the document without viewing it and will not receive a warning.

- *Require a reason for approval*. You may now specify that a reason for document approval is required. A new menu option **Approval reasons** enables you to set up these reasons that will then appear on a drop-down menu on the **Approve Document** dialog when the *Require a reason for approval setting* has been checked. The approval reason will be recorded in the history as part of the approval and can be viewed by right-clicking on the relevant entry when viewing a document. Reasons for approval (and rejection) are also contained within the **Document Status Detail** and **Document Status and Change Detail** reports.

- *Use ordered approval lists* - this option will be disabled unless *Document approval process* is checked. If checked, the document will require approval by users in the order specified. If unchecked, approvers may approve the document in any order.

3.2.2.2 Document issuing settings

Document Issuing workflow settings (System Manager module | Configuration menu | Workbench Configuration Centre | **Workflow Settings** page | **New Document Settings** (or **New Document Business Rule Settings** if Business rules are being used) are shown below.

- *Require formal issue process.* If checked, the document must be marked for issue then formally issued. But it can only be marked for issue when it reaches the appropriate stage - this will be either when it is a draft or after it has been fully approved, depending on the *Document approval process* setting (see above).

  If unchecked, the document can be issued at the appropriate time without having to mark it ready for issue. It may be issued either when it is a draft, or after it has been fully approved (when it will be issued automatically) depending on the *Document approval process* setting.

- *Allow override of distribution options at issue* - this option is only available if the above option is checked. If checked, users may change the distribution option settings at the point of issuing the document. If unchecked, distribution options will be read-only on the **Issue** dialog.

3.2.2.3 Document distribution options settings

Distribution Options workflow settings (System Manager module **|** Configuration menu **|** Workbench Configuration Centre **| Workflow Settings** page **| New Document Settings** (or **New Document Business Rule Settings** if Business rules are being used) are shown below.

- *Notify users of new issue/reissue*. If checked, messages are sent to users when a document is issued/reissued and the distribution lists are changed. The messages sent depend upon whether *Acknowledgement required* (see below) is checked or not. If unchecked, no messages are sent.
- *Acknowledgement required* - this option can only be selected if the above option is checked. If checked, a *Please acknowledge document receipt* task will be sent to users on the distribution list when the document is issued or the distribution list is changed. If unchecked, a 'Document issued' notification is sent to users on the distribution list rather than a task.

  NB. If the **Questionnaires** element is being used, the *Acknowledgement required* setting should be checked.
- *Allow acknowledgement of receipt without viewing* - this option can only be selected if both the above options are checked. If checked, users may acknowledge receipt of a document without first viewing its contents. If unchecked, users must first view the contents of the document before being allowed to acknowledge its receipt.
- *Display warning if acknowledging receipt without viewing* - this option will be disabled unless the above option is checked. If checked, the **Acknowledge Receipt** dialog will provide a warning to the user if they try to acknowledge receipt of the document without first viewing. If unchecked, users may acknowledge receipt of the document without viewing it and will not receive a warning.
- *Allow change of document receipt on behalf of users with logins.* If checked, allows the user (usually the administrator) to tick or untick document acknowledgement on behalf of all users (**Document Receipt** dialog). If unchecked, allows the user (usually the administrator) to tick or untick document acknowledgement only for those users without a login.
- *Retain previous issued versions*. If checked, users will have the option to retain previously issued documents when issuing a document. If unchecked, the option for retaining previously issued document versions will not be available. **NB**. This setting is removed for documents that are being reissued.

3.2.2.4 Document changes settings

Document Changes workflow settings (System Manager module **|** Configuration menu **|** Workbench Configuration Centre **| Workflow Settings** page **| New Document Settings** (or **New Document Business Rule Settings** if Business rules are being used) **|** Document Processing Flow are shown below.

- *Edit document content*. This setting will only be modifiable during document creation or when the status of the document is 'Issued'. This prevents problems with documents becoming uneditable during an edit or approval.

  If checked, the document content will be editable at appropriate times. If the *Change request approval process* is switched on (see below) then the document must have either 'New Draft' or 'Issued, New Draft' status in order to be edited. If the *Change request approval process* is not checked, then new draft and issued documents may be edited without change requests. Any issued document that is edited will immediately gain 'New Draft' status.

If unchecked, the document content cannot be edited and the document will never go into 'New Draft' status. It may start off requiring approval or issue (depending on other process flow settings), but once issued, its status will remain Issued. The raising of content CRQs against the document will be allowed, but users will be warned that the document will not be editable upon the CRQ being approved.

If a CRQ is fully approved against a document that has this setting unchecked, users will be informed that the CRQ has been fully approved but that the document cannot proceed due to the *Edit document content* setting. The document owner will be sent a notification - *Content CRQ approved, but document does not allow editing*.

If the setting is changed from unchecked to checked for an issued document, then the system will check if there are any approved content CRQs against the document. If there are, then the document status will automatically be changed to 'Issued, New Draft' and the appropriate users sent *Please edit document* tasks.

- *Can be edited by all users* - this option will be disabled unless the above option is checked. If checked, documents may be edited by all users with access to the document. If unchecked, documents may only be edited by the document owner and users on the Edit list.
- *Require content change requests*. If checked, documents will require change requests to allow their content to be changed after they have been issued. If unchecked, changes to the content of a document need not be preceded by the raising of a change request. **NB**. This only affects content changes, so even if it is unchecked, withdrawing a document will still require the raising and approval of a change request.
- *Warn user if they attempt to modify document content assigned to other actionees*. Defaults to off. If checked and a user with Edit rights to the document attempts to Assign, Un-assign or mark as 'Done' a change request that is not specifically assigned to them, a warning message will be displayed. This will also happen if the user attempts to edit a document that has CRQs but where they are not the actionee. If no actionee has been nominated, any user with access to the document may action the CRQ without the warning appearing. If unchecked, no warning will be given.
- *Require document attributes change requests*. If checked, a document must have an approved Document attributes change request raised against it before its attributes may be changed. If the *Change request approval process* setting (see below) is also checked, the change request should be approved by users on the Changes list (if one exists); if there is no Changes list then by users on the Approval list. The document attribute change(s) may then be actioned by the actionee (if one is assigned). If no actionee, then it is actioned by the final approver.

  If checked, and the *Change request approval process* setting (see below) is unchecked, document attribute change requests will be marked as 'Awaiting Action' straight away by anyone with access.

  If unchecked, no approval will be needed for changes to document attributes. Any user with appropriate access may edit document attributes (ie. the document owner, admin. and users on the Edit list).
- *Change request approval process*. If checked, new change requests must be approved by users on the Change list. If there is no Change list, then by users on the Approval list. If unchecked, new change requests will be marked as 'Approved' straight away.
- *Change request requires approval from all approvers* - this option will be disabled unless the above option is checked. If checked, all approvers need to approve the change request before it can be actioned. If unchecked, a single user from the Change list (or Approval list if a Change list does not exist) may approve the change request. **NB**. CRQs for withdrawal are governed by separate workflow settings - see Document withdrawal settings.

3.2.2.5 Document withdrawals settings

Document Withdrawals workflow settings are a sub-entry under the Document Changes workflow settings (System Manager module | Configuration menu | Workbench Configuration Centre | **Workflow Settings** page | **New Document Settings** (or **New Document Business Rule Settings** if Business rules are being used) | Document Processing Flow - and are shown below.

- *Withdraw document*. If checked, the document can be withdrawn. However, withdrawal will always require the raising (and approving if the *Change request approval process* setting is checked) of a withdrawal request. If unchecked, the document will not be available for withdrawal. The raising of withdrawal CRQs against the document will be allowed, but users will be warned that the document will not become ready for withdrawal upon the CRQ being approved.

  NB. It is not possible to change this setting for documents already awaiting withdrawal.

  If a CRQ is fully approved against a document that has this setting unchecked, users will be informed that the CRQ has been fully approved but that the document cannot proceed due to the *Withdraw document* setting. The document owner will be sent a notification *Withdraw CRQ approved, but document does not allow withdrawal*.

  If the setting is changed from unchecked to checked, then the system will check if there are any approved withdraw CRQs against the document. If there are, then the document status will automatically be changed to 'Awaiting Withdrawal'.

- *Withdrawals require approval from all approvers* - this option will be disabled unless the *Change request approval process* setting is checked. If checked, then change requests for withdrawing documents will require approval from all users on the Change list (if there is no Change list, then the Approval list) before the document can be withdrawn. If unchecked, change requests for withdrawing documents may be approved by a single user on the Change list (or Approval list if no Change list exists).

3.2.2.6 Document viewing options settings

Document Viewing Options workflow settings (System Manager module | Configuration menu | Workbench Configuration Centre | **Workflow Settings** page | **New Document Settings** (or **New Document Business Rule Settings** if Business rules are being used) | Document Processing Flow are shown below.

- *Allow all users to view the issued document* - this option is checked by default for all existing documents with a blank View list. If checked, the View list will be unmodifiable and the **Access** page will show the View List as 'All can view'. If unchecked, the View list may be defined in the usual way.
- *Allow viewing of draft document* - this option is checked by default for all existing documents with a blank View list and will be disabled unless the above option is checked. If checked, all users may see the draft version of a document. If unchecked, then only the issued document may be viewed.

NB. BOTH settings must be checked if you wish to specify a View List where users/groups will be allowed to view either issued or draft copies of the document.

3.2.3 Reviews

The final group of configurable options controlling document workflow come under the heading **Reviews**. It will certainly be worth the system administrator's time to read through the review workflow setting options so that the review package can be set up in the optimum way for your organisation.

Unless you have been given Update rights to the settings, they will be Read-only.

To configure document processing flow options for reviews

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 **New Document Settings** (or **New Document Business Rule Settings**) heading (click on the actual entry or the + sign alongside). Alternatively check the *Expand all workflow settings* check box at the top of the dialog to see the complete list of entries.

3 Select the **Reviews** entry and expand further (unless already expanded).

4 When all the settings have been configured as required, click the **Apply** button to update and continue working in the dialog. Or click **OK** to save changes and close the dialog.

- *Allow change of responsible person when maintaining reviews*. The person responsible for the review of a document is set when creating the document. If this setting is selected, then responsibility for the review may be changed in the **Maintain Review** dialog. Click the **Apply** button to update any change**.** **NB**. A new menu option, **Initiate Scheduled Reviews** has been created for use by Document Review Responsible persons who do not have full access rights to the required document.

- *Allow subset of review list when starting a review* - highlight the entry and the *Use this workflow setting?* check box will appear at the bottom of the dialog. If checked, when a review is started, you may use a subset of reviewers from the document Reviewers list (a pop-up dialog will list individual reviewers and personnel groups, if any, and you may select any or all from the list). If unchecked, all nominated users on the Reviewers list will be requested to review the document.

- *Combine the review close and complete functions* - highlight the entry and the *Use this workflow setting?* check box will appear at the bottom of the dialog. If checked, the Close and Complete phases for reviews will be combined and both can be processed in one single dialog. Appropriate messages will still be generated by the system and a final comment/ password required before the review can be completed. Reviews already 'In progress' will also have the Close and Complete stages combined, but reviews with 'Closed' status must be selected and completed manually.

- *View rights for review responses* - to set view rights, highlight the entry and the **Setting value** field will open at the bottom of the dialog. Select the required level from the drop-down menu.

  - **Blind** - users will not be able to view other reviews or responses. This includes the list of Reviewers, their review response summary and status.

  - **Reviewers** - only nominated users on the Reviewers list will be able to view all reviews and responses.

  - **Open** - all users with view rights to the document will be allowed to view all reviews and responses.

- *Require scheduled reviews* - if this option is selected, then the *Review period* and *Review period units* (below) are enabled and mandatory. Highlight the entry and the *Use this workflow setting?* check box will appear at the bottom of the dialog. If checked, the document will require scheduled reviews and the frequency must be set in the following two options. The **OK** and **Apply** buttons will not be enabled until the review period and units have been defined if the *Require scheduled reviews* option has been checked. If this setting remains unchecked then no reviews will be scheduled for the document.

- *Review period* - highlight the entry (the *Require scheduled reviews* option must be checked) and the **Setting value** field will open at the bottom of the dialog. Enter the required number of units (eg. in conjunction with the following entry you may select a review period of 10 days or 3 months etc).

- *Review period units* - highlight the entry (the *Require scheduled reviews* option must be checked) and the **Setting value** field will open at the bottom of the dialog. Enter the type of unit from the drop-down menu (eg. days, weeks etc.)
- *Recalculate start date of scheduled review waiting start when period or units change* - this option, if checked, will force the system to recalculate automatically the start date of a document's review if the review period and / or units is changed; if unchecked, the review start date will not automatically be updated. The option will only be enabled if the *Require scheduled reviews* setting is checked.
- *Recalculate start date of scheduled review when a new version of the document is issued* - this option, if checked, will force the system to automatically recalculate the start date of a scheduled review that is 'Waiting start' for this document (and re-set the 'alarm') when a new version is issued. The new scheduled review date will be based on the last issue date plus the review period. If unchecked, the review start date will not automatically be recalculated.

  The option will only be enabled if the *Require scheduled reviews* setting is checked - and cannot be selected if the setting below is also checked.
- *Calculate start date of scheduled review based on first issue date* gives tighter control over when scheduled reviews should be started. The setting is unchecked by default and can only be selected if the workflow setting above is de-selected (and vice-versa). If the setting is checked, then when a review is completed, the next scheduled review date will be calculated using the first issue date plus the review period. If this date has already passed, then a further review period will be added until a date in the future is reached.

  Any change to the review period units will automatically be applied to this setting.

  If re-issuing a document with a scheduled review date and this setting checked, the document's revision number must be increased on re-issue (as normal) and the document will keep the same scheduled review date against the updated revision number.

3.2.4 Annotations

Annotations is a separately licensed area allowing the annotation of documents in certain routines. As with all separately licensed elements in Workbench, if the element is not licensed then the associated workflow settings will not be present; neither will the various dialog buttons linked to annotation that otherwise will be seen in dialogs dealing with change requests, editing and reviews etc.

By configuring the workflow settings (**System module | Workbench Configuration Centre | New Document Settings | Annotations**) the system can be set up to allow annotation of documents when raising change requests or during a review. Annotations may only be written/ viewed/ applied by users with the necessary access rights and permissions.

By default, annotations will be applied to PDF versions of the document (where documents have been issued to PDF) but can be applied to the original draft document in its 'native' form where configured appropriately.

The wording 'Annotated document' appears in the title of all documents that have been annotated, so avoiding confusion with the original document.

History entries will be made when an annotation workflow setting is changed.

The Annotation element will not be available through IVPro although relevant documents that have been issued to PDF will be appear in that format where applicable.

Workflow settings controlling Annotations

- *Allow annotation of document when raising a change request*. The setting defaults to checked and allows users to annotate a copy of a document when raising a CRQ. The feature will not be available through IVPro. If more than one change request is assigned against an edit and both allow the copying of annotated documents to the draft document, then you will only be able to VIEW the annotated documents regardless of the configuration of any other workflow settings. To disallow annotation, uncheck the setting.

- *Annotate original format of document (eg. Word) if converted to PDF*. This setting is a 'child' of the above setting and is unchecked by default which means that if an annotated document has been converted to PDF then this will be the version that users will annotate when raising a CRQ. To allow users to annotate the document in its original format, the setting should be checked. The setting will be greyed out if the 'parent' setting *Allow annotation of document when raising a change request* is unchecked.

- *Allow annotation of document when reviewing*. The setting defaults to checked and allows users to annotate and/or view annotated documents when reviewing and/or viewing document reviews. An **Annotate Document** button, present on the **Responses** page of the **Review** dialog when responding to a review will allow you to annotate the document; the **View Annotated Document** button will be present when simply viewing a review rather than 'responding' (but only if the document has actually been annotated by a reviewer). All reviewers annotate the same document.

- *Annotate original format of document (eg. Word) if converted to PDF*. This setting is a 'child' of the above setting and is unchecked by default which means that if an annotated document has been converted to PDF then this will be the version that users will annotate when reviewing. To allow users to annotate the document in its original format, the setting should be checked. The setting will be greyed out if the 'parent' setting *Allow annotation of document when reviewing* is unchecked.

- *Allow annotated document to replace draft document when being edited*. The setting defaults to unchecked. If checked and the document has not been edited since the annotations were made, then users are given the option to replace a draft document with an annotated one. However, if the annotated document's extension is different from the working draft then the replacing of the draft will not be allowed and a warning message will be displayed.

  Likewise, if there is more than one annotated document assigned to an edit, this workflow setting will not be valid.

3.3 Master templates

A master template is a document imported into the Workbench database for use as a base document.

Creating a new master template

1. From the **Settings** menu choose **Master Templates**.
2. In the **Select Document Template** dialog, click the **New** button. All four fields are mandatory.
3. Enter a **Description** of the new template.
4. In the **Import from file** field, enter a file name or use the ... button to search for the required file. (**NB**. Once you have entered a file name, use the **View** button to check that you have selected the correct document.)
5. When first creating a document template, the **Editing Option** and **Viewing Option** will be set to the default action - ie. the action carried out when double-clicking on a file of that type. (This action is also the one that appears in bold when right-clicking on the file in Windows Explorer).

   Either of these commands may be changed by selecting from the respective drop-down menu. The drop-down menus echo the choice of commands given when right-clicking on the selected file in Windows Explorer.

   Entering your own **Editing** or **Viewing Option** is allowed, but if the system does not recognise this command at any time it will go back to the default action.

6 Click **Save**.

NB. Editing and Viewing options for any document may be changed via **Control | Edit Document Attributes**.

Editing an existing master template

1 From the **Settings** menu choose **Master Templates**.

2 In the Select **Document Template** dialog, select the template you wish to edit and click **OK**.

3 The **Edit Document Template** dialog allows you to amend the **Description** field or the **Editing** / **Viewing** options of the master template; the file on which the template is based can also be replaced. (The **Replace with file** field is not mandatory as you may simply wish to modify the description or command(s) of the existing template).

Use the **View Template** button to view the existing template before making any changes to its description or commands.

If you enter a replacement file name, use the **View** button to check that you have selected the correct document.

For more information on **Editing** and **Viewing Option** fields, see **Creating a new master template**, above.

4 Click **Save**.

Use the **Delete** button to delete unwanted master templates.

NB. Master templates are simply used as starting points for new documents - they are not tied in to the document in any way. Therefore, an existing master template may be deleted or changed at any time without affecting documents that have been based upon it.

3.4 Approval groups

Approval groups are in essence a different form of Personnel group (System Manager module). However, whereas Personnel groups are a general mechanism for grouping employees for some purpose, approval groups are designed specifically for the approval of documents and change requests within the Document Control module. They therefore allow the optional ordering of employees in the group so that any approval process can be executed in a pre-determined order.

Approval groups can be attached to Approval and Change lists on Document Business rules. If a group should become 'empty' a warning will be given and that group will be removed from all distribution lists.

Creating / editing an approval group

1 From the **Settings** menu, choose **Approval Groups**.

2 From the **Select Approval Group** dialog, click **New**.

3 In the **Create Approval Group** dialog enter a mandatory **Name** for this group.

4 Select the Approval Order. Choose from ‘Any Order’ (approval by nominated personnel in any order) or ‘Specified Order’ (approval by nominated personnel in the order in which they are selected). If 'Specified Order' is selected, highlight a user in the group to activate the ▼ and ▲ arrows (middle right of the dialog) so that the user may be moved in the order of the list. **NB**. The last person selected is the last to approve the document, so personnel with ultimate approval should be at the bottom of the list.

5 Enter any relevant **Notes**.

6 Add or remove appropriate names to the list of users currently in this approval group. Users who are available for access to the group are listed on the left hand side of the window; users currently in this approval group are listed on the right. To add an available user to the group, highlight the relevant name on the left hand side and either double-click on it or click on the central add button >>. To remove a name from the current list, highlight and double-click or click on the central remove button << (see Groups / Lists).

7 Click **OK** to save.

When editing approval groups, two further buttons will appear at the bottom of this dialog - **Delete** which deletes the currently selected approval group and **Undo** which undoes any changes made in the current session.

If a member of personnel appears in more than one approval group for any given document, Workbench ensures that they only have to approve that document once.

Right-clicking over an approval group anywhere in Workbench reveals a pop-up list of personnel in that group.

See also: Approval groups report

3.5 Document categories

A document category can be any set of criteria by which you wish to group your documents for reporting and analysis purposes. It is possible, with a straightforward screen enquiry (using the Document Control search facilities), to retrieve all documents belonging to a selected category very easily. It functions in exactly the same way as Document Types.

A check box on the Category dialogs allows you to 'hide' categories that are not needed (but cannot be deleted because they have been used in existing documents). Hidden categories can be shown and/or re-activated by de-selecting the appropriate check box - see **Hiding / showing categories**, below.

Creating / editing a document category

1 From the **Settings** menu choose **Document Categories**.

2 In the **Select Category** dialog, click the **New** button or select a category to edit. (If the category you wish to edit is hidden, tick the *Show hidden Category* check box.)

3 Enter a mandatory **Description** of the new category or edit the existing description.

4 Enter / Edit the free format **Notes** for this category and click **Save**.

5 Repeat from (3) for any other new categories; click **Close** to exit the dialog.

NB. Use the **Delete** button to delete unwanted categories but beware that you cannot delete a category that is in use in any document (even if the document is Withdrawn); however you will be given the option to 'hide' unwanted categories.

Hiding categories

1 From the **Settings** menu choose **Document Categories**.

2 In the **Select Category** dialog, select the category you wish to hide.

3 In the **Edit Category** dialog, check the *Hide Category* check box and make any further amendments to the category record if required.

4 Click **Save**.

The newly hidden category will no longer appear in the list of categories shown in **Select Category**

Showing hidden categories

1 From the **Settings** menu choose **Document Categories**. If the *Show hidden Category* check box is checked, then ALL categories will be displayed (ie. none are currently hidden); if unchecked, any categories marked as 'Hidden' will not be displayed. To show the full list, uncheck the check box.

2 To re-activate a hidden category, in the **Select Category** dialog, make sure the *Show hidden Category* check box is checked and then select the category you wish to re-activate (show).

3 In the **Edit Category** dialog, de-select the *Hide Category* check box and make any further amendments to the category record if required.

4 Click **Save**.

The 'unhidden' category will no longer be hidden in the **Select Category** dialog when the *Show hidden Category* check box is unchecked.

3.6 Document types

This routine sets up document types by which to search and order your document database. It functions in exactly the same way as **Document Categories**.

A check box on the **Type** dialogs allows you to 'hide' types that are not needed (but cannot be deleted because they have been used in existing documents). Hidden types can be shown and/or re-activated by de-selecting the appropriate check box - see **Hiding / showing types**, below.

Creating / editing a new document type

1 From the **Settings** menu choose **Document Types**.

2 In the **Select Type** dialog, click the **New** button or select a type to edit. (If the type you wish to edit is hidden, tick the *Show hidden Type* check box.)

3 Enter a mandatory **Description** of the new type or edit the existing description.

4 Enter / Edit the free format **Notes** for this type.

5 Click **Save**.

6 Repeat from (3) for any other new types; click **Close** to exit the dialog.

NB. Use the **Delete** button to delete unwanted types but beware that you cannot delete a type that is in use in any document (even if the document is Withdrawn); however you will be given the option to 'hide' unwanted types.

Hiding types

1 From the **Settings** menu choose **Document Types**.

2 In the **Select Type** dialog, select the type you wish to hide.

3 In the **Edit Type** dialog, check the *Hide Type* check box and make any further amendments to the type record if required.

4 Click **Save**.

The newly hidden type will no longer appear in the list of types shown in the **Select Type** dialog.

Showing hidden types

1 From the **Settings** menu choose **Document Types**. If the *Show hidden Type* check box is checked, then ALL types will be displayed (ie. none are currently hidden); if unchecked, any types marked as 'Hidden' will not be displayed. To show the full list, uncheck the check box.

2 To re-activate a hidden type, in the **Select Type** dialog, make sure the *Show hidden Type* check box is checked and then select the type you wish to re-activate (show).

3 In the **Edit Type** dialog, de-select the *Hide Type* check box and make any further amendments to the type record if required.

4 Click **Save**.

The 'unhidden' type will no longer be hidden in the **Select Type** dialog when the *Show hidden Type* check box is unchecked.

3.7 Approval reasons

This routine sets up approval reasons that become mandatory on the **Approve Document** dialog if the *Require a reason for approval* workflow setting is checked (**Document Processing Flow | Document Approval**). It functions in exactly the same way as **Document Categories** but without the option to show/hide any records.

Creating / editing an approval reason

1 From the **Settings** menu choose **Approval Reasons**.

2 In the **Select Approval Reason** dialog, click the **New** button or select an approval reason to edit.

3 Enter a mandatory **Description** of the new approval reason or edit the existing description.

4 Enter / Edit the free format **Notes** for this approval reason.

5 Click **Save**.

6 Repeat from (3) for any other new approval reasons; click **Close** to exit the dialog.

3.8 Document review settings

The **Document Review Settings** menu item offers three walk-right menu options.

It is envisaged that Review Subjects and Review Topics will be used largely for grouping reviews into common subject areas. Filters in the **Select Review** dialogs reflect these two options.

A mandatory Review Reasons field must be completed when requesting an unscheduled review. This is entered via a Search button on the Request Review dialog and as they cannot be entered 'on the fly', must be set up here first.

3.8.1 Review subjects

This menu item allows you to define subject areas for grouping document reviews together. When a review is requested it can be optionally allocated to any one (but only one) of the subjects defined. Typical **Select Review** dialogs have search filters for Review Subjects and Review Topics and these enable you to quickly isolate all records with the same subject (or topic) group.

The **Settings | Review Subjects** menu option initially displays a search grid containing any existing subjects - choose to either edit one of these or to create a new one.

Creating / editing a review subject

1. From the **Settings** menu, choose **Review Subjects**.
2. In **Select Review Subject**, click the **New** button or select an existing subject for editing.
3. Enter a mandatory **Description** of the new review subject or edit the existing description. The **Search Code** will automatically follow the first ten characters but can be changed manually.
4. Enter / Edit the free format **Notes** details for this subject.
5. Click **Save**.
6. Repeat from (3) for any other new subjects; click **Close** to exit the dialog.

NB. Use the **Delete** button to remove unwanted review subjects but beware that you cannot delete a subject that is in use in any review (even if the document is Withdrawn).

3.8.2 Review topics

This menu item allows you to define topic areas for grouping document reviews together. When a review is requested it can be optionally allocated to any one (but only one) of the topics defined. Typical **Select Review** dialogs have search filters for Review Topics and Review Subjects and these enable you to quickly isolate all records with the same topic (or subject) group.

The **Settings | Review Topics** menu option initially displays a search grid containing any existing topics - choose to either edit one of these or to create a new one.

Creating / editing a review topic

1. From the **Settings** menu, choose **Review Topics**.
2. In the **Select Review Topic** dialog, click the **New** button or select an existing topic for editing.
3. Enter a mandatory **Description** of the new review topic or edit the existing description. The **Search Code** will automatically follow the first ten characters of the description but can be changed manually.
4. Enter / Edit the free format **Notes** details for this topic.
5. Click **Save**.
6. Repeat from (3) for any other new topics; click **Close** to exit the dialog.

NB. Use the **Delete** button to remove unwanted review topics but beware that you cannot delete a topic that is in use in any review (even if the document is Withdrawn).

3.8.3 Review reasons

The **Reason for Review** is a mandatory field when requesting a review - see Requesting a review. At this time the reason is selected from a drop-down menu and cannot be entered 'on the fly' so the selection must be set up first in the **Review Reasons** dialog.

The **Settings | Review Reasons** menu option initially displays a search grid containing any existing reasons - choose to either edit one of these or to create a new one.

Creating / editing a review reason

1 From the **Settings** menu, choose **Review Reasons**.

2 In the **Select Review Reason** dialog, click the **New** button or select an existing reason for editing.

3 Enter a mandatory **Description** of the new review reason or edit the existing description. The **Search Code** will automatically follow the first ten characters of the description but can be changed manually.

4 Enter / Edit the free format **Notes** details for this reason.

5 Click **Save**.

6 Repeat from (3) for any other new reasons; click **Close** to exit the dialog.

NB. Use the **Delete** button to remove unwanted review reasons but beware that you cannot delete a reason that is in use in any review (even if the document is Withdrawn).

3.9 Rules (Business rules)

The Document Control module allows users to establish ‘business rules’ that will come into effect when documents fall into certain user-specified categories; at the same time a rule is created that will automatically inform nominated personnel if none of the conditions within the main Business rules are met. These rules, (which are turned on or off in the System Manager module), are configured (if used) from the Document Control Settings menu.

The system administrator controls accessibility to business rules via the **Workbench Configuration Centre** (Workflow Settings page **|** System Wide **|** Module Settings **|** Document Control Settings **|** *Use document control business rules*). If this setting is switched off, the **Rules** option in the Document Control **Settings** menu will not be visible.

With appropriate access you may create, edit and delete rules applicable to document control. Once set up and in use, personnel nominated by the rules will automatically be informed (via Tasks and Notifications) when a document is created or imported that meets any of the conditions specified in a rule. If none of the specified conditions is met, the system will refer to the Default Business rules - these must be populated to prevent documents with blank security lists.

The Business rules dialogs each consist of up to three pages (depending on access):-

- **Details** - this is where you set up / edit the conditions applicable to a rule
- **Workflow Settings** - if access to this page has been granted, it shows the default document workflow settings initially set up by the system administrator. Users may be given Update permissions to allow the editing of workflow settings individually for each rule.
- **Access** - this is where the personnel access lists for the rules are set. Select required individual personnel or groups for any / each of seven different access lists:-
  Approval, Changes, Distribution, Edit, Issue, Reviewer and View.

3.9.1 Default business rules

Providing that you have the necessary access rights, and the *Use document business rules* workflow setting is checked, the Document Control **Settings** menu will include the Rules option; this option will not appear unless both of these conditions apply.

Default business rules function in the same way as Business rules except that there are no 'Settings'; there is no order **Change** button (as there is only ever one default) and the rule can never be deleted.

With appropriate access, default **Workflow Settings** may be over-ridden here and personnel added to / removed from **Access** lists.

1 From the **Settings** menu, choose **Rules** and then select **Default Business Rules** from the ' walk-right' menu.

2 Enter a mandatory **Description**; the **Search Code** will automatically follow but can be changed.

The explanation on the dialog is self-explanatory and it will be helpful to read this. The pages are all as described in Business rules.

3 Amend **Workflow Settings** if required (and you have access).

4 Select personnel on the **Access** page to perform relevant tasks.

5 **Save** and **Close**.

3.9.2 Business rules

Providing that you have the necessary access rights, and the *Use document business rules* workflow setting is checked, the Document Control **Settings** menu will include the Rules option; this option will not appear unless both of these conditions apply.

Creating (or editing) document business rules

1 From the **Settings** menu, choose **Rules** and then **Business Rules** from the 'walk-right' menu.

2 In the **Select Document Business Rule** dialog click on the **New** button to set up a new rule (or select an existing rule for editing). The **Register New Document Business Rule** (or **Edit Document Business Rule**) will appear.

3 A brief **Description** of the rule is mandatory. The **Search Code** will follow but can be changed.

4 If two or more rules with 'ordered' approval lists (see Approval groups) are fired up when a new document is created, personnel on those approval lists will be notified in the order of the rule number shown in the **Order** field. If you wish to amend this order, the **Change** button will take you to the **Document Business Rules Order** dialog. The instructions on the dialog are self-explanatory - alter the order for approval by highlighting a rule and using the **Up** and **Down** buttons. Click on **OK** to return to the main Business rule and continue to complete the remaining fields.

5 Select at least one field in the Settings box (using the Search buttons) to define the rule. Document **Categories** and **Types** are set up in the Document Control module, **Departments** in the System Manager module and the list of **Author** and **Owner**'s names originate from Personnel records.

6 The **Workflow Settings** page (if enabled) shows the default document workflow settings as configured by the administrator in the **Workbench Configuration Centre**. This may be Read-only, but if you have the necessary Update permissions you may amend any of the settings to apply to this rule only.

7 Move to the **Access** page to select personnel for inclusion on the **Approval**, **Changes**, **Distribution**, **Edit**, **Issue**, **Reviewer** or **View** lists for this business rule - see Document attributes | Access for further information on setting up personnel Access lists. At least one list must be defined to set the rule.

8 Save when you have set up the rule as required.

When a document is created or imported, the system will automatically check to see if any of the completed fields match up with those selected on the **Details** page of a Business rule. If so, the nominated users on each of the Access lists will simply be informed (in which case they will receive a Notification) or they will receive a request asking them to perform the appropriate task, eg. approve, issue (in which case they will receive a Task message).

If none of the conditions as defined in the above Business rules are met, the system will refer to the Default business rules.

3.10 User defined analysis

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 same user-defined analysis records are referenced by all installed modules that use UDA.

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, for example, to attach a specific attribute to the document - not accounted for in the normal document classification; this is then chosen from a drop-down list of alternatives when the document is created.
- 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 document 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 a document on a one-off basis (eg. the name of an external reviewer).
- Date Only. Choose this category 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 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.

See also Setting up user defined analysis and Selecting user defined analysis

3.10.1 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.

See also Selecting user defined analysis

3.10.2 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 Workbench / Microsoft Office integration

The Workbench Office for Microsoft Office component provides much greater integration with Microsoft Office specifically with Word, Excel, PowerPoint and Outlook. This is done by the production of an add-in and works with Office 2007 and above. The Microsoft Office applications (apart from Outlook - see below) are controlled, on a per document basis, by workflow settings that enable/disable Copy & Paste, Print, Print Preview, Save & Send, Edit.

Microsoft documents can now be saved directly into Workbench - there is no need to save the document and load Workbench separately in order to import the document.

Outlook emails can also be saved straight into Workbench, including attachments. However, be aware that the settings governing Workbench Office regarding who can Copy & Paste, Print, Print Preview, Save & Send, Edit - will not apply to documents that have been imported into Workbench from Outlook; anyone who can view the document will be able to perform any of the functions.

Microsoft Word and Excel allow the assignment of a password to a document when saving externally, so that only personnel who know the password can access the document outside of the Workbench environment.

Document tags

Workbench and the Workbench Office add-in replace the need for document macros - with document tags. These tags are shown by the add-in toolbar that offers a drop-down list of all the fields that are currently written out to the QWCS structure. The list consists of meaningful English descriptions rather than the raw entry codes, and when an entry is selected, the add-in will add an Office 'DocVariable' field to the current insertion point in the document.

The same tags can also be invoked by right-clicking on the actual document.

4.1 Setting up Workbench Office

Workbench / Office Integration is licensed as a separate element and controlled via several workflow settings in the System Manager module (**Workbench Configuration Centre**). If the element is not licensed then none of the Workbench Office workflow settings will be present.

Providing that the system administrator has checked the relevant settings (in the Workbench Configuration Centre) making Workbench Office for Microsoft Office available to individual users on a per document basis, then the instructions below may be followed.

Documents are created / imported in the normal way and at the time of creation the relevant workflow settings are configured. The last page of the document's attributes, Workbench Office, allows you to set up individual users or groups to carry out the specific tasks regarding Office, eg. Copy & Paste, Print, Print Preview, Save & Send, Edit.

Using Workbench Office

1. Select **Create or Import Document** from the **Documents** menu.
2. Create or import the document (see Creating a new document for help with this if required).
3. On the **Workflow Settings** page, expand the Document Attributes settings; the **Workbench Office for Microsoft Office** settings are located at the bottom of the Advanced Document Attributes settings list.
4. Expand the **Workbench Office for Microsoft Office** settings by clicking on this actual entry or the + sign alongside the list. For full details on the settings see Workbench Office for Microsoft Office.
5. To use Workbench Office, highlight *Use Workbench Office for Microsoft Office?* and check the

Use this workflow setting? box at the bottom of the dialog (or simply double-click on the required entry to select/de-select). Then hit the + sign alongside *Use Workbench Office for Microsoft Office?* to expand further options.

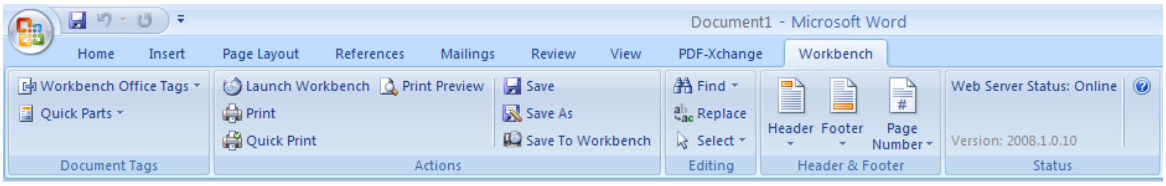
6 To 'protect' the document by restricting users who may carry out certain 'Office' tasks, select the *Protect document?* setting and then any/all of the further options that will then open for selection. All are selected/de-selected in the same way by highlighting and then ticking the *Use this workflow setting?* check box at the bottom of the dialog (or by double-clicking). **NB**. Restrictions configured here will not apply to documents imported from Outlook.

7 The fourth page of the document's attributes is headed Workbench Office (this will only be present if the Workbench Office element is licensed). Here you may set up the users who will be allowed to perform the various Office tasks - see Document attributes / Workbench Office.

8 Continue configuring the rest of the document's settings and attributes and **Save**.

9 The chosen template or base document will open, allowing you to create your new document. At this stage you may also enter document tags - or you may leave the selection of these until a later date in which case you will need to add the tags via the **Edit Document** dialog - see Using Workbench Office.

4.2 Using Workbench Office with Word



Workbench Office works with Microsoft Office 2007 and above. Providing that you have the Workbench Office add-in licensed, when you open a new Word document (or are creating a new document in the **Create or Import Document** dialog) you will see the Workbench page tab to the right of the other Microsoft page tabs (see above). To use Workbench Office, click on the Workbench page tab to display the options in the 'ribbon' shown above.

Most options are standard and self explanatory apart from the Workbench Office Tags option (to the left of the header), which is explained below.

The **Quick Print** option sends the document straight to the printer without bringing up the **Print** dialog first.

The **Quick Parts** drop-down menu is a Microsoft Word component and instructions on its use are given in the Microsoft Help.

The **Launch Workbench** and **Save to Workbench** options will be greyed out if you are already in Workbench.

Assigning document tags

1 View the drop-down list of available Workbench Office Tags and decide which you want to select. The tags are listed in four groups each with its own walk-right menu - General, Document Attributes, Document Approval Details, Document Review Details.

2 On the actual document, position the cursor where you want the first field/tag to appear; either:-

- type a field name (using either the same word(s) as the listed tag or your own preference). When a tag is selected, the add-in inserts an Office 'DocVariable' field at the current insertion point in the document, so perhaps type a colon and give some space between your description and where you want the tag entry to appear.

- or simply place the cursor at the point where you want the tag information to appear.

3 When you have the cursor in position, select the appropriate tag from the drop-down list.

If you are creating a document within Workbench and the required information already exists (eg. Document owner name, Document title etc.) the field will be populated immediately. If the information has not yet been generated (eg. Document issue date, Last but one document approval reason) the fields will display as <No Data> for now but will automatically be populated at a future date when the information becomes available. The wording 'No Data' may be changed if preferred.

If you are creating a new document outside of Workbench all the fields will show <No Data>; after importing and saving the document into Workbench, known fields such as Document owner name, Date created etc. will be populated.

4 Continue to select and add as many document tags as required. The font, font size, alignment, spacing etc. of the tags may all be specified from the right-click menu that also gives access to the Workbench Office tags. (Make sure the required tag is highlighted when making changes.)

5 **Save** the document when you have finished adding tags. The normal **Save /Save As** dialog will be displayed, allowing you to specify where the new document is to be saved. If you are already in Workbench, close the document after saving and the **Edit Complete** dialog will appear where you should tick appropriate check boxes and click **OK**.

6 If you are creating the document outside Workbench and use the **Save to Workbench** option, you may first decide what type of document you wish to save - select from the drop-down menu in the **Save to Workbench** dialog and click **OK**.

Workbench will then launch and, after logging in, the **Import Document** dialog will open allowing you to import the document and set up workflow settings, Workbench Office access lists, attach keywords etc. The Title field of the **Import Document** dialog will be populated with the current document title, but this may be changed. The document is then processed in exactly the same way as any other Workbench document - see Importing a document.

7 When you **Save** the settings, you will be given the opportunity to delete the source file and then the new document will appear again. Relevant <No Data> fields will have been populated eg. Current user, Document serial number, Date created etc. Other fields regarding document approval and/or review details (if used) are likely to still be showing <No Data>. When the information becomes available at a later date, the <No Data> fields will automatically be populated. You may still edit the document at this stage and add further tags if required.

8 The last part of importing the document is completing the **Edit Complete** dialog (see Edit complete). Once this has been done and the document has been given a serial number, Workbench will close again.

The document is always 'live'. Further tags may be added to the document at a later stage but the option to do this will be dependent on the workflow settings, access and permissions governing the 'normal' **Edit document** procedure.

4.2.1 Viewing / Editing Workbench Office documents

Documents that have been created in Workbench Office are stored in Workbench in exactly the same way as other documents. They may be viewed, copied, pasted, edited and saved providing that the necessary access rights and permissions are in place. By checking/unchecking relevant workflow settings and by setting up passwords/access lists, tight control can be maintained over these documents.

Where documents have been set up with permissions to only View, the header will display the wording 'Read-Only' and the various Workbench options in the ribbon will be disabled. However, in Word and Excel documents where certain configurations of workflow settings, passwords and access apply, users but will be required to enter a password before performing some tasks such as Save and Send.

The password may be required to contain any one, two or three of the constraints shown above; these constraints are set by the system administrator in the Workbench Configuration Centre. The password you enter should comply with the constraints but should not be the same as any of your other passwords; it will be encrypted into the document itself so cannot be retrieved by admin or anyone other than the original user SO PLEASE MAKE SURE YOU CAN REMEMBER THE PASSWORD OR WRITE IT DOWN SOMEWHERE. If the password does not comply with the constraints you will be given a warning.

If you have more than one document open and each has different permissions, the correct 'protections' will always be applied according to which document you are working with.

If the Web Server is turned off you may still view documents but this is all you may do. Information on the document will only have been updated up to and including the last Save; a message will warn you that data may be out of date. When the Web Server goes back on-line (the system checks every 10 minutes) then the updating will start again automatically.

If the Web Server goes off-line in the middle of an edit session you may continue editing. Changes will be saved but not actually updated until the server goes back on-line.

Updates are only made when the Workbench Office add-in is opened.

4.3 Using Workbench Office with Excel

The Workbench page tab in Microsoft Excel has no Workbench Office tags but it does allow you to launch Workbench and more importantly, to save spreadsheets etc. directly into Workbench. If you click on **Launch Workbench** the system will simply launch Workbench, opening at the Logon dialog.

The **Save to Workbench** option will allow you to save the imported spreadsheet in one of several file types. Workbench will then launch and, after logging in, the **Import Document** dialog will open where you can import the Excel document and set up workflow settings, Workbench Office access lists, attach keywords etc.

The Title field of the **Import Document** dialog will normally be populated with the current document title, but can be changed.

The document is then processed in exactly the same way as any other Workbench document - see Importing a document.

4.4 Using Workbench Office with PowerPoint

The Workbench page tab in Microsoft PowerPoint has no Workbench Office tags but it does allow you to launch Workbench and more importantly, to save PowerPoint presentations etc. directly into Workbench.

If you click on **Launch Workbench** the system will simply launch Workbench, opening at the Logon dialog.

The **Save to Workbench** option will allow you to save the imported presentation in one of several file types. Workbench will then launch and, after logging in, the **Import Document** dialog will open where you can import the PowerPoint presentation and set up workflow settings, Workbench Office access lists, attach keywords etc.

The Title field of the **Import Document** dialog will normally be populated with the current presentation title, but can be changed.

The document is then processed in exactly the same way as any other Workbench document - see Importing a document.

4.5 Using Workbench Office with Outlook

The Workbench page tab in Microsoft Outlook will only appear when writing New messages; there are no Workbench Office tags but you may launch Workbench and save new messages directly into Workbench.

If you click on **Launch Workbench** the system will simply launch Workbench, opening at the Logon dialog.

If you use the **Save to Workbench** option, Workbench will launch and, after logging in, the **Import Document** dialog will open allowing you to import the Outlook message as a document and to set up workflow settings, Workbench Office access lists, attach keywords etc. There are several choices of file type.

The cursor will appear in the Title field of the **Import Document** dialog, where you should enter an appropriate title and then process the 'message' in exactly the same way as any other Workbench document - see Importing a document.

You can also save existing emails directly into Workbench using the right-click menu. Highlight one or more emails in Outlook and select **Save to Workbench**, the bottom option on the right-click menu. After selecting the type of document you want to save the email(s) as, Workbench will launch.

When viewing documents in Workbench that have been imported from Outlook, the Workbench ribbon will not be present and the settings governing Copy & Paste, Print, Save & Send etc. will not be applicable. In other words if a user can view the imported document then they are able to carry out any of the functions available from the File, Edit or right-click menus.

5 Documents menu

The Document Control processing cycle begins with the creation of new documents under Workbench control or with the importing of existing documents into the database.

It is important to understand that all documents in Workbench are held internally within the database and not left as external files. This means that any document can only be accessed through Workbench and not altered or otherwise interfered with by another program; this guarantees a high degree of control and security. There is also the option to encrypt documents during transmission, offering extra security particularly if using Workbench over an insecure connection. This is usually set by the administrator using the System Manager module's **Workbench Configuration Centre** - (see New Document Settings - Advanced document attributes).

From Workbench 2008 onwards you have the option to use DocLists within Workbench. These mimic the DocLists in IVPro and are available per database, per user. Providing that you have access to the Personal **Workflow Settings** page of the **User Preferences** menu option, the decision to use/not to use DocLists can be toggled on and off as you wish.

The separately licensed Workbench / Office add-in provides much greater integration with Microsoft Office Word, Excel, PowerPoint and Outlook and is controlled via several workflow settings in the System Manager module. If the element is not licensed then none of its workflow settings will be present. For further information, see Workbench / Microsoft Office integration.

The **Documents** menu controls the creating, importing, editing and viewing of documents. It also covers the checking out and in of draft documents and allows you to undo changes made since a previous issue.

5.1 Creating a new document

The **Create or Import Document** dialog (**Documents** menu) allows users to create or import a document. After the new document's details have been entered, the dialog expands to display further pages where workflow settings may be adjusted (providing that you have necessary access rights) and where the document's security lists may be set (ie. who can edit, who can view etc., referred to as **Access** lists). If Document Business Rules are being used, the Access lists will be generated automatically, but changes to selected individuals or groups may be made (providing that you have appropriate permissions).

Also, if using business rules, it is important to note that the settings in these rules (on a per document basis) will over-ride any other default workflow settings.

Keywords and user-defined analysis may be assigned to the document - and further pages allow the attaching of other document(s) for reference and for associating courses for document training. If the separately licensed Workbench Questionnaires feature is being used, questions may be set up on the **Questionnaire** page tab; these questions have to be answered correctly before acknowledgement of receipt of a document is allowed.

The **Edit Complete** dialog appears after a new document has been created; this offers various options regarding saving, reviewing and approving the new document.

The same dialog is used for creating a new document or importing an existing document into the system.

If DocLists are being used they will be shown in a panel on the left hand side of the **Create or Import Document** dialog.

Creating a new document

1 From the **Documents** menu, choose **Create or Import Document** (or go direct to the dialog from your Tasks button in the main toolbar if appropriate). Full details of each field are given

below. See Using DocLists for further details if you have chosen this method for document classification and filtering.

2 Complete the mandatory fields and give any other relevant information.

Document Content - select one of the first four options using the relevant radio button. Permission to carry out any of these is controlled in the System Manager module using the **Workbench Configuration Centre** dialog (see System Wide workflow settings). If any of the Document Content options are greyed out this means that you do not have the necessary permissions to carry out this action.

- To import an existing file, choose the top option and type in the file name or use the **...** button to search for a file. The **View** button allows you to view a chosen file (see Importing a document for further information).

- To base a new document on an existing template, choose the second option. Use the Search button to select a master template. **Editing** and **Viewing** options for the document (shown at the bottom of the dialog) will be copied over from the template, see Master templates. If you wish to set up a new template you will need to do this in **Settings | Master Templates**.

- To base a new document on an existing document, choose the third option and use the Search button to find the relevant document. **Editing** and **Viewing** options will be copied over from the existing document. The workflow settings, access lists, keywords, document references, user defined analysis and associated courses may also be copied over, depending on how these settings are configured in the **Workbench Configuration Centre** (System Wide document settings).

  If creating a document based on another Workbench document in the same database, and the workflow setting *Copy workflow settings from base document* is checked, then all the workflow settings for Workbench Office (if licensed and checked for use) will also be copied across to the new document, including the access lists.

- To import a document from another database choose the bottom option, select the required database from the drop down list (if more than one is available) and then use the Search button to find the relevant document to import.

  Documents will be displayed according to the combination of workflow settings ie. depending on the user's log-in, they may see all documents - or only those that can be viewed by all users (see the last group of options in Workbench Configuration Centre | System Wide workflow settings | Module Settings | Document Control settings | Document Creation). Highlight the document you want to import and hit the **Select** button. The second database will close and the selected document's title will automatically be inserted into the Title field of the **Create or Import Document** dialog.

Key Information…

Serial No - At this stage the serial number will be 'New'. When the document has been created or imported it will be given a system-generated number that will then appear here.

User reference - Although the module assigns its own serial number to a document, you may add any other reference of your own here. Depending on how your system is configured, user references may have to be unique; if this is the case, a warning will be issued if you try to allocate a user reference that has already been used - see **System wide document settings** for further information.

Title - Give the document a name. This is a mandatory field and may be up to 100 characters long (including spaces). Depending on how your system is configured, document titles may have to be unique; if this is the case, a warning will be issued if you try to duplicate a document title - see **System wide document settings** for further information.

Author - The member of personnel who has originally created the document (mandatory field). The system defaults to the current user but this can be over-ridden using the Search button to select a new Author.

Owner - This is the user who will have responsibility for the document. Again the system defaults to the current user but can be over-ridden.

Reviews - The user who will have responsibility for reviews - defaults to the current user but can be changed. Once the document has been created, a workflow setting *Allow change of responsible person when maintaining reviews* can be set (**New Document Business Rule Settings | Reviews**). If set, the review-responsible person may be changed on the **Review Details** page of the **Maintain Scheduled / Unscheduled Review** dialog.

Synopsis - Add any notes and/or a synopsis of the document. If basing the new document on an existing document, the existing document's synopsis will be copied over; this may be deleted or amended. From Workbench 11 onwards the document's synopsis will also be included in Document Control emails.

Status - The document's status changes throughout its life-cycle; this is done automatically by the system and cannot be changed. The status of newly created or imported documents will always be 'New Draft'. See Document status for a full list and at what stage this status changes.

Current Revision - Defaults to 1.00 but can be manually over-ridden.

Document Classification - Choose relevant options from the **Category**, **Department** or **Type** drop-down menus. If you are basing the new document on an existing one, the original document classifications will be copied over but they may be changed.

Advanced Options - **Extension** (mandatory field), **Editing** and **Viewing** options are carried over from an existing document or template when the document is created or imported. The **MIME type** will be entered automatically when the Extension field is completed. It shows what kind of application should be used to view the document.

3 When you are happy with the way the **New Document** details have been set up, click the **Create** button.

4 Depending on how settings and business rules (if used) are configured, one of the following will happen:-

- if a conflict has arisen as a result of the way in which the business rules have been set up, the Resolution of Rule Conflicts dialog will appear listing the exact area(s) of conflict. These must be resolved before proceeding any further with creating the document.

- if there are no conflicts (or after you have resolved conflicts if applicable) the **Create or Import Document** dialog will expand, allowing you to set the document's attributes. Depending on your access rights, some or all of the following pages will now be shown - **Workflow Settings**, **Access**, **Workbench Office, Keywords**, **References**, **Analysis**, **Courses, Questionnaire**. Configure each page as required (see the section on Document Attributes) and click on **Save**.

NB. Remember to configure the Workbench Office for Microsoft Office settings (password and useage) on the **Workflow Settings** page if this component is required and you have the necessary access rights.

5 If the *Encrypt transmission* workflow setting has been checked you will receive messages that the document is being encrypted and then the chosen template or document will open, allowing you to create your new document. Produce and save your document. Please see the separate Help topic for Using Workbench Office if required when creating your document.

6 When you exit, the Edit Complete dialog will appear. After selecting an option, an information message will show the serial number that the system has allocated to the new document. This is sequential and cannot be changed.

See also: Importing a document and for further information on business rules see Rules.

5.2 Importing a document

With appropriate access, you may import existing documentation into the Workbench database.

There are two ways to import documents into Workbench:-

- Invoke the **Documents | Create or Import Document** dialog and find the relevant file.
- From the **Windows File Manager** or **Windows Explorer**, drag and drop one or more files into Workbench.

Importing a document via the menu

1 From the **Documents** menu, choose **Create or Import Document** (or go direct to the dialog from your Tasks button in the main toolbar if appropriate).

2 Select the top radio button in the mandatory **Document Content** box and either:-

- enter the file name
- use the **...** button to search for a file
- use the **View** button to view a chosen file.

NB. Permission to carry out any of the four Document Content options is controlled in the **Workbench Configuration Centre** (see System wide document settings). If the **Import from File** field in the **Create or Import Document** dialog is greyed out this means that you do not have the necessary permissions to carry out this action.

3 The title of the imported document will be automatically entered into the mandatory Title field of the new document, but may be changed.

4 Complete the other mandatory fields and any others required (see Creating a new document for details on fields).

5 When you are happy with the way the **New Document** details have been set up, click the **Create** button.

6 Depending on how system and business rules (if used) are configured, one of the following will happen:-

- if a conflict has arisen as a result of the way in which the Business rules have been set up, the Resolution of Rule Conflicts dialog will appear listing the exact areas of conflict. These must be resolved before proceeding any further with the import.
- if there are no conflicts (or after you have resolved conflicts if applicable) the **Create or Import Document** dialog will expand, allowing you to set the document's attributes. Depending on your access rights, some or all of the following pages will now be shown - **Workflow Settings**, **Access**, **Workbench Office, Keywords**, **References**, **Analysis**, **Courses**. Configure each page as required (see the section on **Document attributes**) and click on **Save**.

NB. Remember to configure the Workbench Office for Microsoft Office settings (password and useage) on the **Workflow Settings** page if this component is required and you have the necessary access rights.

If the *Encrypt transmission* workflow setting has been checked you will receive messages that the document is being encrypted.

Depending on how the workflow settings are configured you may then see a **Confirmation** dialog confirming that the import has been successful and asking if you want to delete the source file (see Deleting source files).

7 When the chosen document opens, make any changes required (if any) and save. Please see

the separate Help topic for Using Workbench Office if required when creating your document.

8 When you exit, the **Edit Complete** dialog will appear.

9 After selecting an option in the **Edit Complete** dialog an information message will show the serial number that the system has allocated to the new document. This is sequential and cannot be changed. It will be attached to the document throughout the processing system and may also be used for referencing and searching.

Dragging and dropping documents

1 Highlight the file(s) to be imported in **File Manager/ Explorer**.

2 Drag the highlighted file(s) onto the Workbench window.

3 Release the mouse button to drop the documents into Workbench.

4 Complete the **Create or Import Document** dialog that appears (as above) - the location of the file will be entered automatically.

5.2.1 Deleting source files

- For Workbench 11 there is a new workflow setting *Do not prompt users to delete source document* that defaults to unchecked. In this case, the **Confirmation** dialog will still be shown and the option to delete the source file given. If checked, the **Confirmation** dialog offering the user the option to delete the source file will not be displayed when the document has been imported.
- A second new workflow setting *Automatically delete source document* may be set if the *Do not prompt users to delete source document* setting (above it) is checked. If both settings are checked the imported file will be deleted automatically. If unchecked, the file will remain.

A history entry will be made if the workflow settings are selected or de-selected.

5.3 Edit complete

The **Edit Complete** dialog appears after the creation of a new document and displays several different options depending on how the document's workflow settings have been configured in the **Workbench Configuration Centre**. Only one option (in addition to the top option) can be chosen.

The same dialog but with different options appears after editing a document - see Edit Complete after actioning change requests.

- *Save the updated document to the database?* The system defaults to this check box being checked. If you uncheck it, any edits made to the document you have just created will be ignored. A warning is given.

  Depending on how the workflow settings are configured you may be able choose whether to save the updated document as a draft or issued document; if you elect to issue it, you will not be able to request a document review. However, if workflow settings are configured to automatically review a document after a stipulated length of time, a message will inform you when the next scheduled review will take place.

  The document will then proceed through its life-cycle according to the rules and workflow settings in place (if any). Appropriate personnel will be informed where and if relevant.
- *Request Document Review?* If selected, **Request an Unscheduled Review** will open (see Requesting a review). After completing the dialog, the system will send a task message to the document owner requesting that they review the document in its current draft form.

- *Mark document ready for approval?* If this option is selected, the owner will receive a notification that the document has been marked ready for approval. All users on the Approval list (if one exists) will receive a task message asking them to approve the document.

  If the *Convert document to PDF format* | *When marking document ready for approval* workflow setting has been checked, a message will appear informing you that the draft document is about to be converted to PDF format. When you hit the **OK** button the conversion will begin and a message box at the bottom right of the screen will show progress of the PDF conversion.

  When the document is then viewed in **Approve Document** it will appear in PDF format. In all other views (eg. View Document) it will appear in the original draft document format.

- *Mark document ready for issue?* If this option is selected and formal issuing process has been switched on in the **Workbench Configuration Centre**, all users on the Issue list (if one exists) will receive a message asking them to issue the document. If no list exists, the owner will be asked to issue the document.

After selecting one of the above options, your document will be given a unique serial number and the only available copy of the document is the one now in your Workbench database.

5.4 Resolution of rule conflicts

There are a number of areas where conflicts may occur if different settings and rules are applied to the same document. If a conflict occurs, the **Resolution of Rule Conflicts** dialog, listing the rules that have been found to apply to that document, will automatically kick in. Beneath each listed rule, the exact area(s) of conflict will be shown; highlight any rule to view its workflow settings and access rights on the relevant pages.

The resolution options are shown at the bottom of the dialog. To resolve the conflict, select one radio button:-

- **Use this rule together with non-conflicting document business rules (if any)**. If you choose this option you are electing to use the rule that is highlighted and this rule, together with any other matching rule, will be applied to the document. This means that the document will inherit the highlighted rule's workflow settings and a merged set of Access lists.
- **Use this document business rule only**. If you choose this option you elect to use the highlighted rule only - the document will inherit this rule's workflow settings and Access lists.
- **Use system defaults (empty access lists)**. If you choose this option you elect to use the system defaults as set up in the **Workbench Configuration Centre**. This will result in empty Access lists for this document. (**NB**. With the necessary access rights you will be given the opportunity to populate these lists at appropriate times during the document's processing cycle.)
- **Use the default document business rule**. This option is only available if a default document business rule exists. If selected, the default rule’s workflow settings and Access lists will be applied to the document.

EITHER... click the **OK** button when you have chosen the preferred option...

OR... hit the **Cancel** button to return to the **New Document** page where you can change the document attributes in order to manually resolve rule conflicts or, optionally, abort the creation of the document.

5.5 Searching for documents

Searching for and locating documents is fundamental to many routines and options within Document Control. The basic and more advanced searching methods are consistent throughout the system and are always available whenever there is a need to locate a document. If you have other Workbench modules installed alongside Document Control, whenever any of those other modules needs to find a document, it invokes these same search methods.

With appropriate access rights you may also opt to use the DocList search format, as in IVPro. For full details on this type of Select Document dialog, see Using DocLists | Selecting a document.

5.5.1 Basic document searches

The basic search methods offered by Document Control are extensive and very flexible; however for additional ways of locating documents, use the Document search facility and/or Advanced document searches.

For users who have the *Use DocLists for document classification and filtering* setting checked (**File | User Preferences | Personal Workflow Settings** page), **Select Document** dialogs will take the form of DocLists, see Selecting a document using DocLists.

Select Document dialogs appear after your initial menu selection (eg. **Edit Document**, **View Document**, **Mark Document Ready for Approval** and so on).

The **View Issued Document** option in the **File** menu also opens a typical Select Document (in this case, **Select Issued Document to View**).

A typical Select Document dialog

The title of the dialog shown in the top blue band will reflect the action you are currently taking (eg. **Select Document to View**). Otherwise the dialog contents are exactly the same whatever option has been selected except that only documents relevant to the current selection (in this case those available for viewing) will be listed. This is an important control feature of Workbench as it prevents the accidental selection of a document for processing when it is not available for that particular operation.

In addition, the list will only include documents to which the user has the required access rights.

In choosing selection criteria remember that any criteria set are inclusive, ie. the search will list only documents that meet all the search conditions specified, not just any one of them. For example, a search specifying all documents in the Sales department and of type ‘Contract Review’ will return documents which are allocated to the Sales department and of type Contract Review, not in Sales or of type Contract Review.

The headings used in the search grid are dependent on the **Display Settings** set up on the **Module Settings** page of the **Workbench Configuration Centre** (or, if you have access, on the **Preferences** page of **File | User Preferences**); a horizontal scroll bar will appear when columns are wide and numerous.

Search Criteria - At any time the Search button allows you to search for records listed in different ways.

The Advanced Search facility offers further ways of locating specific documents; this works in conjunction with the ‘standard’ searches on the main dialog. To use, tick the check box marked

Use Advanced Search and click on the **Advanced** button.

The Document Search facility allows a user to restrict the documents returned by any **Select Document** dialog to those whose draft or issued version, title or user reference contain or do not contain certain words or phrases. To use this facility, tick the *Use Document Search* check box and click on the **Doc. Search** button.

Filter by - click on any or all of the four drop-down menus (**Document Category**, **Type**, **Department** or **Status**) to reveal the categories currently available. Documents not in the selected categories will be filtered out of the remaining list. The **Status** headings (see Document Status) are defined by the system and those available for selection will change depending on the **Select Document** dialog chosen.

Opening a document for processing

1 Select and highlight the document for processing using any of the search methods/ filters described above.

2 Click **OK** (or double-click over the document to highlight and open).

Workbench will then open the document's editor and display the selected document.

To view document attributes of a highlighted document, click on the **Attributes** button. Use the **Clear** button to clear all fields.

5.5.2 Advanced document searches

The advanced search criteria are accessed by clicking the **Advanced** button in the standard Document Selection dialog.

The advanced search mechanism provides you with further ways of locating a set of documents. Please note that the advanced criteria work in conjunction with the standard criteria if any are set. For example, if you have already specified that you wish to view only documents in the Personnel department, and then go on to specify advanced criteria, the latter will apply to documents in Personnel only. You are effectively requesting 'Return all those documents which relate to Personnel and meet this set of advanced search conditions'. This can be changed by de-selecting the *Use Advanced Search* check box.

NB. A particularly useful search here is via the check boxes near the bottom of the dialog that allow you to filter on documents undergoing review and/or training.

Using Advanced Document Search Criteria

1 In a **Select Document** dialog (see Basic document searches), check the *Use Advanced Search* box and click the **Advanced** button; a further **Document Search Criteria** dialog will be offered:-

Select, by double-clicking, any **Keywords** that you wish the selected documents to contain. (See Document Attributes | Keywords for information on keywords. See Groups / Lists for help with selecting keywords).

Select documents relating to a specified **Author**, **Owner** and/or **Review Responsibility** using the Search button(s).

Enter a **Date** when documents you wish to find were either created or last modified and specify whether you want to find documents before, on or after this date.

Tick the relevant check boxes if you want to select only documents that are undergoing a review and/or training.

From Workbench 2008 SP1 onwards all document search screens include an Extension field.

At the bottom left of the advanced Document Search Criteria dialog there is a list of **Extensions Available** to search on **-** select any of these and move to the **Extensions Selected** side of the screen in order to actively search on the selected extension fields.

The **Clear** button allows you to reset the dialog.

2 Click on **OK** when you have selected all relevant Search criteria. Workbench will search your document database for documents meeting search criteria specified in this <u>and</u> the main **Select Document** dialog.

5.5.3 Document search

The **Document Search** facility allows a user to restrict the documents returned by any **Select Document** dialog to those whose draft or issued version, title or user reference contain or do not contain certain words or phrases. None of the searches are case sensitive.

Please note that these search criteria work in conjunction with the standard criteria if any are set. For example, if you have already specified that you wish to view only documents in the Personnel department, and then go on to specify certain words that should also be present in the document title, the latter will apply to documents in Personnel only. You are effectively requesting 'Return all those documents which relate to Personnel and have only these words in their title'. This can be changed by de-selecting the *Use Document Search* check box.

NB. The **Document Search Criteria** dialog relies on the document word indexes stored in the database; for it to work, these documents must have been successfully indexed. These indexes are created automatically by the system upgrade files and maintained (via the Index button) in the Server Configuration program. The date and time when the database was last indexed is shown above the first search field.

Using the Document Search Criteria

1 In any **Select Document** dialog (see Basic document searches), tick the *Use Document Search* check box and click the **Doc. Search** button; a further **Document Search Criteria** dialog will be offered. The text at the top of the dialog is self-explanatory. Immediately under this text is a field that shows when the database was last indexed. Entries in the fields work as follows:-

Contain all of these words - means that records returned in the list on the **Select Document** dialog must contain all the words specified in this field, ie. the first word AND the second word AND the third word etc.

Do not contain any of these words - records returned in the list on the **Select Document** dialog must not contain any of the words specified in this field, ie. NOT the first word AND NOT the second word AND NOT the third word etc.

Contain the phrase - records returned in the list on the **Select Document** dialog must contain the exact string specified. There must not be any other words between those specified - eg. if 'large vats' was specified then ' there are large vats' would be returned, but 'the vats are large' would not.

Contain any of these words - records returned in the list on the **Select Document** dialog must contain one or more of the words specified in this field, ie. the first word OR the second word OR the third word etc.

2 Then decide whether you wish to search through issued documents, draft documents or both. If *Issued documents* is checked, then documents where the issued version meets all criteria specified in the above edit controls will be returned. If *Draft documents* is checked, then documents where the draft version meets all criteria specified in the above edit controls will be returned.

If Search in *Document title* is checked, then any documents where the title meets all criteria specified will be returned; if *User reference* is checked, documents whose reference meets all criteria specified will be returned.

3 Click on **OK** when you have completed all the required search criteria.

Workbench will search your document database for the relevant documents according to the criteria specified in this and the main **Select Document** dialog.

NB. Please note that if you are searching for words that have been amended since the database was last indexed, your search may not pick up the correct documents. Please refer to your system administrator.

Additionally, further non alpha-numeric searches can be configured by your system administrator if required.

5.5.4 No documents available

If there are no documents with the appropriate status available for processing under any menu item, a message will inform you of this. If you feel that there should be a document available, it is likely that it is either awaiting processing by another user on the appropriate list or in another status (see Document status).

Try checking approval progress in **Control | Approval Progress** or find out which other users are on its personnel templates. Alternatively, you should be able to track down the document by viewing its History log in **Documents | View Document**.

5.6 Document status

Stage	**Status** (after Stage complete)	**Document editable?**
Create / Import Document	New Draft	Yes - by all users on document Edit list plus owner and admin.
Mark ready for approval	Awaiting Approval	No
Approval underway	Undergoing Approval	No
Document approved	Awaiting Issue	No
Document issued	Issued	No
Document Content CRQ raised and approved	Issued, New Draft Exists	Yes, by all users on Edit list plus CRQ actionee via their task bar (if the actionee is not on the Edit list). Owner and admin.
Document Content CRQ assigned, document edited and marked ready for approval	Issued, New Draft Awaiting Approval	No
Document approval starts (after an edit of a previously issued document)	Issued, New Draft Undergoing Approval	No
Document fully approved (after an edit of a previously issued document)	Issued, New Draft Awaiting Issue	No
CRQ for Withdrawal approved	Awaiting Withdrawal	No
Document withdrawn	Withdrawn	No
Undergoing review	All	No

5.7 Editing a document

The **Edit Document** option allows the editing of an existing document's content and/or attributes at appropriate times and with access rights. There are several workflow settings affecting this (see Document Changes in the New Document Settings).

For further information on raising and approving change requests, see Change requests.

Providing that the Changes workflow setting - *Require document attributes change request* - is not checked, Document attributes may also be edited via **Control | Edit Document Attributes** if you are on the Edit list for the relevant document; this is regardless of the status of the document.

New for Workbench 11 is the option to apply auto-incrementation to document revision numbers. A workflow setting in Advanced Document Attributes - *Auto increment document revision* - is unchecked by default. If checked then three further workflow settings will be enabled, *Major revision increment*, *Minor revision increment* and *Default edit severity*. Between them, these settings allow you to tailor your document revision increments to precisely fit your company's way of working.

If no documents are available for editing, Workbench will display a message to that effect. You will also be informed if a chosen document is currently ‘checked out’.

Editing the content of a document

1 From the **Documents** menu, choose **Edit Document** (or go direct from the Tasks button, main toolbar).

2 Select the document to be edited in the **Select Document to Edit** dialog (see Searching for documents).

3 In the **Next Revision Level** (if this is the first edit) or the **Edit Document** dialog, type in a New Revision number if required and click **OK**. If configured to use auto-increment document revision, the revision numbers will be pre-populated - please see Auto-increment document revision.

   Check the *View document attributes whilst editing* check box if required; this will invoke the **Document Attributes** dialog, initially appearing on top of the document for editing. All pages are read-only. You may also invoke the **Document Attributes** dialog by clicking on the **Attributes** button if you prefer not to have the dialog open whilst editing. Again, all pages will be read-only.

4 If the document requires editing following a rejection, the Next Revision Level dialog will include a box stating that the document has been rejected and giving the mandatory reason(s) for rejection.

   Where CRQs have been raised against a document you wish to edit, a longer version of the Next Revision Level dialog will appear. This allows you to specify the revision number of the document you are about to edit, to indicate which CRQ(s) you will be addressing during the edit, and also offers the option to view (whilst editing) the document's full list of CRQs.

   The red warning message - There are one or more annotated documents associated with this document - will be shown where this is applicable. Please see Annotated documents if relevant.

5 Edit the document. When you have finished and saved, Workbench displays the **Edit Complete** dialog, which again has several different versions.

6 Providing that the highlighted document is in an editable state you may also change any of the document's attributes. Click on the **Attributes** button at the bottom of the **Select Document to Edit** dialog and then make changes to any of the pages. With appropriate access rights a CRQ may be raised on the **Changes** page. New keywords may be inserted and existing keywords added or removed on the **Keywords** page; however, to edit an existing keyword, go to **Control | Maintain Master Keywords** (see Maintaining master keywords). Courses may be added for document training on the **Courses** page.

Changes made on any of the **Attributes** pages will be logged on the document's **History** page.

Editing document attributes

Under certain conditions document attributes may be edited from the **Edit Document** dialog but the simplest way is to use the **Control** menu…

1 From the **Control** menu, choose **Edit Document Attributes**.

2 Select the document you wish to edit the attributes of.

3 In **Document Attributes**, choose the appropriate page(s) and make the required change(s).

However, if the *Require document attributes change request* setting is checked (see Document processing flow | Changes) then document attribute changes can only be made from within the **Open Change Request** dialog by user(s) with the necessary access rights and following approval (if the *Change request approval process* setting is also checked) of an appropriate change request - see Raising a CRQ for document attributes.

5.7.1 Revision levels

Careful control of revision levels is crucial in any Document Control system as essentially it gives a form of ‘version control’ for documents. The **Next Revision Level** dialog has a different format depending on whether other change requests have been raised and also whether the document requires editing following a rejection. Regardless of the format of this dialog, a *View document attributes whilst editing* check box, if checked, allows you to view the **Document attributes** dialog whilst editing the actual document.

Workbench does not enforce a change of revision level when editing a document in draft status. It does enforce a change when editing a document for the first time after it has been issued and subsequently had a CRQ raised against it.

New for Workbench 11 is the ability to define what increments are to be used for document revisions. The *Auto-increment document revision* workflow setting (Workbench Configuration Centre | New Document Settings | Document Attributes | Advanced Document Attributes) defaults to off. Once activated, three other settings are enabled - see Using auto incrementation for document revisions.

If the document is being edited following rejection, the **Next Revision Level** dialog will include a box stating that the document has been rejected and giving the mandatory reason(s) for rejection.

If change request(s) have been raised against a document that you wish to edit or check out to file, the **Next Revision Level** dialog offers options to **Assign** (and **Un-Assign**) the CRQ action(s), see Next revision level dialog (change requests have been raised).

5.7.2 Next revision level (CRQs have been raised)

When content change requests have been raised against a document that you wish to edit, the **Next Revision Level** dialog changes to take account of this. The top of the dialog is the same as the shortened form; the bottom part of the dialog lists all change requests currently raised against the document including those marked as ‘Done’.

Once a content change request has been approved it is 'assigned' before being edited. This indicates that work on the change request has begun. Where work has already begun on any of the change requests or the document is not being edited for the first time, the Next Revision Level dialog will be headed **Edit Document**.

A workflow setting *Warn user if they attempt to modify document content assigned to other actionees*, if checked, will display a warning message if users with **Edit** rights on a document attempt to:-

- assign / un-assign / mark as done, change requests not specifically assigned to them
- edit the document having change requests where they are not the actionee.

If you wish to continue with the action, click **Yes**. If the setting has not been checked, then any change request on the list may be assigned without a warning.

NB. The system administrator will be able to work with all change requests.

New for Workbench 11 is the ability to define what increments are to be used for document revisions. The *Auto-increment document revision* workflow setting (Workbench Configuration Centre | New Document Settings | Document Attributes | Advanced Document Attributes) defaults to off. Once activated, three other settings are enabled - see Using auto incrementation for document revisions.

If the document is being edited for the first time, a new revision number will be mandatory (higher than the previous one).

1 Enter a **New Revision** number if required (or where mandatory).

2 Then select the Change Request(s) you wish to action (assign) in this edit. When more than one change request for the same document is listed, those CRQs with associated annotated documents will be highlighted with a pale red background. Click the **Assign** button if you are going to action the change request(s). Click the **Un-Assign** button if you wish to abandon the selected change request as the basis for edit this session.

Further buttons (depending on the number of change requests listed) are displayed:-

- **Filter** - where there is more than one change request listed, this button will allow you to filter out any change requests that you may not action (because the *Warn user if they attempt to modify document content assigned to other actionees* setting is checked). It toggles between **Filter** and **Show All**. Click on the **Show All** button to view the full list of change requests again. This button is also on the small **Select CRQ** dialog that appears whilst editing the document if the *View CRQs whilst editing* check box is ticked.

  If the list is not filtered and the above setting is checked, then if a user attempts to edit the document (by clicking **OK**), **Assign** or **Un-Assign** a CRQ, or mark a CRQ as **Done**, a warning message will be displayed. To continue with the action despite the warning, click **Yes**.

- **Details** - click on this button to bring up the **Change Request Detail** dialog (read-only) for a highlighted CRQ. This button is also on the small **Select CRQ** dialog that appears whilst editing the document if the *View CRQs whilst editing* check box is ticked.

- **Done** - you may mark a change request as 'Done'. The 'Content change request <xx> approved. Please edit document <xx>' task will be marked as complete and any alarms for this change request will be cancelled. You may still re-open the change request by clicking on the **Assign** button if required. If this happens a notification 'Change request <xx> re-opened' will be sent to the Owner and original CRQ requester.

- **View Annotated** - if you have the Annotation element licensed and switched on, depending on how the workflow settings are configured and whether the document has been annotated, you may see this button. For further information, see the section on **Annotation** at the bottom of this Help topic.

  If you leave the *View CRQs whilst editing* check box ticked, a **Select CRQ** dialog will be visible whilst you make the necessary edits to the document. This allows you to access CRQ details (click on the **Details** button) and notes for reference and/or copying purposes. You may also view annotated documents from here using the **View Annotated** button; change requests with associated annotated documents are highlighted in pale red.

  If the *Stay on Top* check box is also ticked, the **Select CRQ** dialog will remain on top of the document so you can see it at all times; if you untick it, you will still be able to access the **Select CRQ** dialog but you may have to minimise your editor.

  A *View document attributes whilst editing* check box, if checked, will allow you to view the **Document attributes** dialog (read-only) whilst editing the actual document, but because of the size of the dialog this cannot remain permanently on top of the document whilst editing.

  You may only view EITHER the CRQs OR the document attributes whilst editing, not both. A warning will be given if you de-select the *View CRQs whilst editing* check box.

  If the document is being edited following rejection, the **Next Revision Level** (or **Edit Document**) dialog will include a box stating that the document has been rejected and giving the mandatory reason(s) for rejection.

3 Click **OK** to invoke the document in question.

NB. If an annotated document exists and the workflow setting *Allow annotated document to replace draft document when being edited* is checked, a message will appear - for further information, see the section on **Annotation** at the bottom of this Help topic.

4 Once you click on the **Assign** button and **OK** your decision, you are undertaking to action the selected change request.

5 Edit the document. When you save the edits, Workbench displays an **Edit Complete** dialog.

6 Complete this dialog - see Edit Complete after actioning change requests where you may still **Assign**, **Un-Assign** or mark change requests as **Done**.

7 Click **OK** to return to the **Select Document to Edit** dialog.

Appropriate **History** entries will be logged and notifications sent.

Annotation

If the Annotation element is licensed and being used, an additional button along with various messages and options are present when editing a document that has at least one annotated version. A message in red will alert users if annotated documents exist and CRQs with associated annotated documents will be highlighted with a pale red background.

The **View Annotated** button allows you to view the annotated version of a document attached to a highlighted CRQ. If the button is present but greyed out then either the document has not been annotated or the workflow settings have not been configured to use annotation for this document. **NB**. If the Annotation element is not licensed at all then neither the buttons nor related workflow settings will be present.

Various Warning, Information and/or Confirmation messages may appear when you hit the **OK** button on the **Next Revision Level** (or **Edit Document**) dialogs:-

- 'There is more than one annotated document assigned to this edit. To view the different annotations you must first select the specific change request' - if this is the case, even if the document has its *Allow annotated document to replace draft document when being edited* workflow setting checked, you will only be able to VIEW the annotated documents. Before hitting the **OK** button (for editing) you will be able to view the annotations by highlighting a specific CRQ and clicking on the **View Annotated Document** button. Once you are in the editing session this can be done either:-
  - via the **Changes** page on **Document Attributes** - hit the **View Annotated Document** button on the **Description** page of each individual change request OR
  - providing that the *View CRQs whilst editing* check box (**Edit Document** or **Next Revision Level** dialog) remains checked, the pop-up **Select CRQ** dialog offers a **View Annotated** button that allows you to view the annotated document of a highlighted change request whilst editing. Where more than one change request exists for the document being edited, those CRQs with associated annotated documents will be highlighted with a pale red background.
- 'The annotated document cannot be used as the draft document as the document has been edited since the annotations were made' - in this case, as above, even if the document has its *Allow annotated document to replace draft document when being edited* workflow setting checked, the replacement will not be possible.
- If the *Allow annotated document to replace draft document when being edited* workflow setting is checked, there is only one annotated document and it has not been edited since the annotations were made, you will be asked what you would like to do with the annotated version of the document and be offered the following options:-
  - 'Replace the draft document with the annotated document' - if selected, you must view the annotated document first and then that document will open as the document for further editing if required. If you choose not to view the annotated document you will not be able to use it to replace the draft document.
  - 'Ignore annotated document and continue editing' - if this option is chosen, only the draft version of the document will open for editing.

5.7.3 Annotated documents

If the Annotation element is licensed and being used, an additional button along with various messages and options are present when editing a document that has at least one annotated version. A message in red will alert users if annotated documents exist and CRQs with associated annotated documents will be highlighted with a pale red background.

The **View Annotated** button allows you to view the annotated version of a document attached to a highlighted CRQ. If the button is present but greyed out, check first that you've highlighted the document (easy to miss if it has a pale red background). If the **View Annotated** button is still greyed out then either the document has not been annotated or the workflow settings have not been configured to use annotation for this document. **NB**. If the Annotation element is not licensed at all then neither the buttons nor related workflow settings will be present.

Various Warning, Information and/or Confirmation messages may appear when you hit the **OK** button on the **Next Revision Level** (or **Edit Document**) dialogs:-

- 'There is more than one annotated document assigned to this edit. To view the different annotations you must first select the specific change request' - if this is the case, even if the document has its *Allow annotated document to replace draft document when being edited* workflow setting checked, you will only be able to VIEW the annotated documents. Before hitting the **OK** button (for editing) you will be able to view the annotations by highlighting a specific CRQ and clicking on the **View Annotated Document** button. Once you are in the editing session this can be done either:-
  - via the **Changes** page on **Document Attributes** - hit the **View Annotated Document** button on the **Description** page of each individual change request OR
  - providing that the *View CRQs whilst editing* check box (**Edit Document** or **Next Revision Level** dialog) remains checked, the pop-up **Select CRQ** dialog offers a **View Annotated** button that allows you to view the annotated document of a highlighted change request whilst editing. Where more than one change request exists for the document being edited, those CRQs with associated annotated documents will be highlighted with a pale red background.
- 'The annotated document cannot be used as the draft document as the document has been edited since the annotations were made' - in this case, as above, even if the document has its *Allow annotated document to replace draft document when being edited* workflow setting checked, the replacement will not be possible.
- If the *Allow annotated document to replace draft document when being edited* workflow setting is checked, there is only one annotated document and it has not been edited since the annotations were made, you will be asked what you would like to do with the annotated version of the document and be offered the following options:-
  - 'Replace the draft document with the annotated document' - if selected, you must view the annotated document first and then that document will open as the document for further editing if required. If you choose not to view the annotated document you will not be able to use it to replace the draft document.
  - 'Ignore annotated document and continue editing' - if this option is chosen, only the draft version of the document will open for editing.

5.7.4 Auto-increment document revision

New for Workbench 11 is the ability to define automatically, increments for document revisions.

Setting up auto-increment document revision

The *Auto-increment document revision* workflow setting (Workbench Configuration Centre **|** New Document Settings **|** Document Attributes **|** Advanced Document Attributes) defaults to Off. Once activated, three other settings are enabled... Major revision increment, Minor revision increment and Default edit severity.

If auto-incrementation is to be used, highlight the setting and tick the *Use this workflow setting?* check box. Then highlight each of the three settings in turn and select the required setting value from the drop-down list. Values can be set to X.00, 0.X0 or 0.0X but a major increment MUST be of a higher or equal value than a minor increment (Major defaults to X.00, Minor defaults to 0.0X). The Default edit severity defaults to Minor but can be changed to Major or Not specified. If 'Not specified' is selected, checks will be made at the appropriate time to ensure that the revision number has been manually incremented.

Using auto-increment document revision

If using auto-increment document revision, the **Next Revision** and **Edit Document** dialogs will include an **Edit Severity** drop-down list, pre-populated in accordance with the configuration of the workflow setting (described above). The value of the drop-down defaults to the current default increment setting but can be modified providing that it's the first edit of the document. The **Current Revision** and **New Revision** fields will also be pre-populated in line with the workflow settings and will automatically be updated if the **Edit Severity** field is modified.

On clicking to progress an edit, the current status of the document is checked to see if a revision increase is required. If it is, then the revision number is automatically incremented as per the current default increment drop-down. If the default increment is set to 'Not specified', then checks are made to ensure that the revision number has been manually incremented. Checks are also made to ensure that the revision number has not been decremented.

On subsequent edits there is a check box *Preserve previous edit's revision number*, that is checked by default and if it remains checked, the document's previous revision number will be preserved. This means that you may continue using the auto-incrementation in principle but for this edit you can modify the document without increasing the revision. Under these circumstances the **Edit Severity** field will be greyed out but will show the default workflow setting. If the check box is unchecked, then the document revision will be the increment as per the drop-down list.

NB. If the *Auto-increment document revision* workflow setting remains unchecked then the drop-down menu will not appear in the **Next Revision** and **Edit Document** dialogs and you will need to change the revision number manually.

5.8 Edit complete after actioning a CRQ

After editing a document, the **Edit Complete** dialog will appear.

If the edit was done as a result of approved and assigned CRQ(s), then the dialog will include a box listing the appropriate change request(s) and showing their current status.

If the *Warn user if they attempt to modify document content assigned to other actionees* workflow setting is checked, then if a user attempts to **Assign** or **Un-Assign** a CRQ, or mark a CRQ as **Done**, a warning message will be displayed. If you wish to continue with the action, click **Yes.**

If the workflow setting is unchecked, any of the change requests can be updated without a warning being displayed.

Use the **Done** button to mark a highlighted change request as ‘Done’ if you have just actioned this in the preceding edit. You may also **Un-assign** a change request, indicating that a change request is still outstanding and not being worked on at present. If a change request has been marked as ‘ Done’ but not actually addressed in the preceding edit, you may re-open it using the **Assign** button, indicating that it is not yet finished but the change is in progress. **NB**. You must mark at least one change request as 'Done' or 'Assigned' in order to save document changes.

A button, toggling between **Filter/Show All**, is present where there is more than one CRQ listed; a **Details** button (invoking the **Change Request Detail** dialog for a highlighted CRQ) is also present.

Save the updated document to the database? and *Request Document Review?* check boxes are the same as in the **Edit Complete** dialog that appears after creating a new document (see Edit complete).

The *Mark document ready for approval* or *Mark document ready for issue?* check boxes will only be enabled if there are no change requests with 'Assigned' status. The document is not eligible for approval or issue if a change request approved against the document still has 'Assigned' status. This ensures that partial document content changes are not possible.

5.9 Viewing a document

The **View Document** option displays a list of all documents available to you for viewing and/or printing. It is not possible to edit either the document content or the document attributes when viewing. However, you may still raise a change request from the **Changes** page and request an unscheduled review on the **Review** page. Where an annotated document associated with a change request exists, users with appropriate access will be able to view this via the **View Annotated Document** button on the **Description** page of the **Change Request Detail** dialog.

There are two Document Viewing Option workflow settings. The first, *Allow all users to view the issued document*, restricts the viewing of documents to issued documents only where there is no View list. This is checked by default for all existing documents with a blank View list. If checked for new documents, then the View list becomes unmodifiable and View lists will state that 'All can view'.

The second option, *Allow viewing of draft document*, is a sub-option of the first option and is also checked by default for existing documents with a blank View list. If checked for new documents, then all users can see the draft copy; if unchecked, then users can only see the issued one (see below).

Both options must be checked to allow users on the View List to view issued and draft documents.

The workflow setting *Make document read-only when viewing,* if checked, will ensure that documents opened in View mode will display the words 'Read Only' in the document header. This setting is unchecked by default.

Selecting a document for viewing

1 From the **Documents** menu, choose **View Document** (or click on a **View** button in a relevant dialog).

2 If viewing from the **View Document** menu option, choose the document to be viewed in the **Select Document to View** dialog (see Searching for documents or Selecting a document using DocLists if the list is long).

   Where a document has been previously issued and there is also a new, unauthorised version of the document in existence, you may be given the option to view either the issued or draft version. This is dependent on whether you have the required access rights and also on the configuration of the Document Viewing Option workflow settings, see above.

3 Select the required version if given a choice.

NB. If viewing a document via a dialog **View** button, where an Issued and Draft version of the chosen document both exist (and you may view both) but both are actually still the same, the warning will not appear.

NB. A workflow setting in **Advanced Document Attributes** allows documents optionally to be converted to PDF files when marking the document ready for approval or at the point of issue. Depending on how this setting is configured and the status of a given document, documents may appear either in their original format or in PDF form.

Depending on the editor or viewer in use, it may appear that changes can be made whilst in View mode. However these changes will be spurious as they will not be saved back to the Workbench database. Any work done like this will therefore be wasted. TO EDIT A DOCUMENT YOU MUST USE the **Document | Edit Document** routine (see Editing a document).

When you have finished viewing a document, exit the application used to view it and return to Workbench.

5.10 Checking out to file

There may be times when you wish to export a document out of the Workbench Document Control database to an external file. This may be to allow someone to work off-line on that document (perhaps on a laptop computer), to allow another application to have access to it or simply to use this facility to free up a licence.

It is vital to realise that while a document is booked out, Workbench is no longer able to control that document. However, the system makes it very clear at all times that a document has been checked out to file. This serves as a warning that the system has temporarily surrendered control of it.

While a document remains checked out, Workbench freezes the last version of it within the database until the document is checked back in again. This avoids the ‘internal’ copy being edited while editing changes may also be in progress on the external file copy.

Only the person who checked out the document or the owner of the document can check it back in.

To be checked out, a document must have ‘New Draft’, 'Issued' or ‘Issued, New Draft Exists’ status.

When using **Check Out to File** to edit a Workbench document and there is an annotated version, you will be offered various options depending on the configuration of the workflow settings and the number of annotated documents assigned to the edit etc. See the section on **Annotation** at the bottom of this Help topic.

Checking out to file (No CRQs)

1 From the **Documents** menu, choose **Check Out to File**.

2 Select the document to be checked out, using any of the methods described in Searching for documents. A **Next Revision Level** (or **Edit Document**) dialog will appear allowing you to give the document a new revision level if you wish (it must be a higher number). You may also view the document’s attributes via the **Attributes** button.

3 Increase the **Revision** level number if required.

4 Click **OK**. (If there is an annotated version of the document assigned to the edit, please see the **Annotation** section at the bottom of this Help topic for further information.) The **Check Document Out to File** dialog will appear. New revision levels (if any) will be shown in the **Current Revision** field.

5 Click the **Check Out** button to check the document out to file. The **Select File to Which Document Will Be Checked Out** dialog will appear.

6 Enter a **File name** and appropriate extension.

7 Select the proposed drive and directory to which you wish to check out the document. The dialog defaults to the last directory opened.

8 Click **OK**.

Checking out to file (CRQs have been raised)

1 From the **Documents** menu, choose **Check Out to File**.

2 Select the document to be checked out, using any of the methods described in Searching for documents. A longer version of the **Next Revision Level** (or **Edit Document**) dialog will now appear listing all change requests currently raised against the selected document. The dialog allows you to specify the revision number of the document you are about to edit/check out and also to indicate which CRQ(s), if any, you will be addressing during the editing. Where a document is being edited for the first time, a **New Revision** number will be mandatory. You may view the document's attributes via the **Attributes** button.

3 Increase the **Revision** number if required.

4 Under certain circumstances a **Filter** button will be present; use this to filter the list of change requests to show only those that you may action (either because you are authorised to action or where the change request's **Actionee** field is 'blank').

5 Highlight a CRQ and click the **Assign** button if you are going to action the chosen CRQ. Click **Un-Assign** to abandon the current CRQ action.

6 Click **OK**. (If there is an annotated version of the document assigned to the edit, please see the **Annotation** section at the bottom of this Help topic for further information.) The **Check Document Out to File** dialog will appear. New revision levels (if any) will be shown in the **Current Revision** field.

7 Click the **Check Out** button to check the document out to file. The **Select File to Which Document Will Be Checked Out** dialog will appear.

8 Enter a **File name** and appropriate extension.

9 Select the proposed drive and directory to which you wish to check out the document. The dialog defaults to the last directory opened.

10 Click **OK**.

Annotation

An additional button along with various messages and options will appear when checking out a document that has at least one annotated version.

The **View Annotated** button allows you to view the annotated version of a document attached to a highlighted CRQ. If the button is present but greyed out then either the document has not been annotated or the workflow settings have not been configured to use annotation for this document. **NB**. If the Annotation element is not licensed at all then neither the buttons nor related workflow settings will be present.

Various Warning, Information and/or Confirmation messages may appear when you hit the **OK** button on the **Next Revision Level** (or **Edit Document**) dialogs:-

- 'There is more than one annotated document assigned to this edit. To view the different annotations you must first select the specific CRQ' - if this is the case, even if the document has its *Allow annotated document to replace draft document when being edited* workflow setting checked, you will only be able to VIEW the annotated documents. Highlight each CRQ in turn to view its associated annotated document.

- 'The annotated document cannot be used as the draft document as the document has been edited since the annotations were made' - in this case, as above, even if the document has its *Allow annotated document to replace draft document when being edited* workflow setting checked, the replacement will not be possible.

- If the *Allow annotated document to replace draft document when being edited* workflow setting is checked and there is only one annotated document, you will be asked what you would like to do with the annotated version of the document and be offered the following options:-

- 'Replace the draft document with the annotated document and check out' - if selected, you must view the annotated document first; then it will be the document to be checked out.
- 'Ignore annotated document and check out document to edit' - if this option is chosen, only the draft version will be checked out.

5.11 Checking in from file

Checking in a document from a file brings that document back under full Workbench control. The most recent copy of the document is updated with any changes made to its content whilst checked out and the document history is updated accordingly (see Document Attributes | History).

Only the owner of a document or the person who checked it out can check a document back in.

If you wish to abort all changes on a checked out document you can elect to **Uncheckout** the file; this instructs Workbench to return to the frozen copy within the database and ignore the checking out operation. The document then becomes available in the normal way and can be checked out again if desired.

If, whilst checked out, the document acquires a different file extension (eg. it is checked out as a Word document and checked back in as an Excel file) from WB11 onwards the system can accommodate this. When viewing a document that has been checked back in with a different extension and where both Issued and Draft documents exist, the Issued document will be viewed using the 'old' extension, the Draft document will be edited/viewed using the 'new' extension.

Checking a document in from file

1. From the **Documents** menu, choose **Check In from File**.
2. Select the file to be checked in from the **Select Document to Check In** dialog. See Searching for documents if the list is long.
3. The **Check Document In From File** dialog gives details of the document to be checked back in; the **External file** location at the bottom of the dialog defaults to where the file was originally checked out to. If the checked out file is no longer in this location, use the Browse button (**...**) to search for its new location.
4. Click the **Check In** button when the appropriate location appears in the **Check in from** field.

   The **Attributes** button allows you to view the document's attributes; the **Uncheckout** button allows you to abort all changes on a checked out document (see below).
5. After hitting the **Check-in** button the **Edit Complete** dialog will appear. The options offered here will differ but you will be able to mark CRQs as done, mark the document as ready for approval, request document reviews etc. as appropriate.

   NB. If the file extension has changed whilst the document has been checked out, the **Document Attributes** dialog will appear before the **Edit Complete** dialog. The **General** page tab will allow you to amend **Editing** and/or **Viewing options** (Advanced Options at the bottom of the dialog). The **History** page tab will display an entry showing that the document extension has been changed and by whom.
6. After completing the **Edit Complete** dialog you will be given the option to delete the source file. If you click **Yes** to confirm, the file will be removed from the source directory.

To uncheckout a document

1. From the **Documents** menu, choose **Check In From File**.

2 Select the relevant file from the **Select Document to Check In** dialog. The relevant document appears in the **Check Document In From File** dialog.

3 Click the **Uncheckout** button and in the warning/confirmation dialog, click **Yes** to confirm.

The Workbench copy of the document is now unlocked and the checked out copy deleted.

5.12 Undoing changes since last issue

If a document has been incorrectly edited, use **Document | Undo Changes Since Last Issue** to restore it to its last issued state.

To undo changes made since the last issue

1 From the **Documents** menu, choose **Undo Changes Since Last Issue**.

2 Select the document you wish to undo. See Searching for documents for help with this if required.

3 To **View Draft** or **View Issued** version of the document, click on the relevant button.

4 To undo changes since the last issue, click **OK**.

Workbench will reset the document contents and revision number to that last issued.

This dialog will undo all the changes since the last issue of this document. It is not possible to undo changes on a selective basis.

6 Using DocLists

The option to use DocLists is available per database, per user. Providing that you have access to the Personal **Workflow Settings** page of the **User Preferences** menu option, the decision to use/not to use DocLists can be toggled on and off as you wish using the *Use DocLists for document classification and filtering* setting.

DocLists are very helpful for filtering purposes, a tool for you to classify, group and retrieve documents; as such, no History entries are recorded for changes made to actual DocList entries.

There are three 'portals':-

- Document
- Document Change Request
- Document Review

All work in the same way but each offer different search routines appropriate to the task in hand. The relevant portal is displayed automatically on opening a standard **Select** dialog (providing that you have the workflow setting checked).

If you are invoking a **Select Document** dialog from another module, for example, adding a document for reference or attaching a document when reporting a nonconformity in the Nonconformities module, then the **Document Portal** will also be displayed here (if have the workflow setting checked).

If you have chosen to use DocLists, the **Document Display Settings** option will be disabled (**File | User preferences | Preferences** page). A red text message at the bottom of the page will remind you of this.

See also: Selecting a document using DocLists

6.1 Document portal

The Document portal consists of two main parts; to the left are 'Document Lists' (see DocLists) and on the right hand side is a list of all documents that the logged-in user has access to.

To re-size either part of the portal, grab and drag the vertical grey line between the two.

From the portal you may perform any Workbench routine as normal. The option to use DocLists is purely for classification and filtering purposes; they allow a hierarchical, personal and/or company-wide, 'filing' system. The benefit for users who also use IVPro means that DocLists that you set up there will also be shown in Workbench; when you open up **Select** dialogs in Workbench, the DocLists are identical.

Documents and their details will be displayed under the following columns in this order by default: Serial No, Title, User reference, Status, Author, Owner, Review Responsibility, Current Revision, Date Issued, Issue Revision, Category, Department, Type, Extension. You may hide or show columns by right-clicking on a column header and selecting from the menu offered. The program remembers the settings on a per user basis. If you have re-ordered the columns, the right-click menu here will also re-set the order back to the default.

Sorting

Sorting defaults to the Serial No. column. Symbols shown on the column headers are used on all the portals and 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.

To move the sort to a different column, click on the required column header and click again to toggle between ascending and descending order.

Altering the sequence of columns

You may alter the order of the columns by clicking and holding in the header of the column you wish to move. When a solid black line appears to the right of the selected column, drag the column to its new position and drop. The column's new position will be between the two columns that are now divided by the black line.

Document selection

You may select one or more documents from the table by clicking on a document to select it and then using the keyboard **Ctrl** key to select other non-consecutive documents. To select multiple consecutive documents use the keyboard **Shift** key. To unselect a selected document, click on it with the keyboard **Ctrl** depressed.

NB. Multi-selection is not allowed on the **Change Request** and **Reviews Portals**.

Various Search and Filter routines are available to help narrow the search for a specific document where the list extends to more than one page - see Selecting a document using DocLists.

Viewing document attributes

The **Attributes** button at the bottom right of the **Document Portal** allows you to view the attributes of any highlighted document.

See also: Document right-click options

6.1.1 Document right-click options

Right-clicking on a document will display menu options that will vary depending on the user's access rights and the document selected. For certain routines you may work with a group of documents and apply the same routine to all of them together (eg. **Copy documents** and **Raise Change Request**); in this case, right-clicking on any of the selected documents will bring up the menu.

By double-clicking on a document entry or selecting an appropriate action from a highlighted document's right-click menu, you may gain direct access to, and process, the required task.

Options from right-click menus will always be from the following:-

- **Copy document**(s) - when this option is selected, the program memorises the Serial number of the selected documents so that you can paste them into a 'DocList' later using the **Paste document**(s) option - see DocLists.
- **Remove document**(s) - this option will only be available if the user has Remove permissions for the DocList to which these documents belong. The option is not available in the Library DocList. When selected, the program removes the highlighted document(s) from the current DocList and updates the document details to reflect this.
- **Raise change request** - this option will only be available if the user has **Raise CRQ** access. When selected, the program checks if Workbench is configured to only allow the raising of CRQs against the issued version of a document and if so, whether or not any of the selected documents have yet to be issued. If any of the selected documents have not yet been issued, you will be warned that these will be removed from the list and asked if you want to continue.

If you opt to continue, then the program will invoke the **Raise CRQ** dialog, passing it the serial numbers of all the documents that meet the allowed raising criteria determined above and automatically displaying them.

The system will also check whether any other Document Control Workflow Settings that may affect the raising of change requests, are in operation (see **Workbench Configuration Centre** and other relevant Workbench Help topics for further information).

There is also a **Raise CRQ** button at the top of the **Document Web Portal** that takes you to the same **Raise Change Request** dialog (see the separate Help topic, Raising a change request if you need help with this).

- **Acknowledge receipt -** this option will only be available if a single document is selected, if that document has been issued and if the user is on the document's Distribution list but has yet to acknowledge receipt. When the option is selected, the Acknowledge Receipt dialog will be displayed for that document. When the page is closed the document list will refresh to reflect any changes to the document's status or details. (See Acknowledging receipt of a document.)

- **Issue document** - this option will only be available if a single document is selected and if that document is awaiting issue by the current user (ie. you are on the Issue list and the document has not yet been issued). When the option is selected, the **Issue Document** dialog will be displayed for that document. When the page is closed the document list will be refreshed to reflect any changes to the document's status or details. (See Issuing a document.)

- **Approve document** - this option will only be available if a single document is selected, if that document is currently undergoing approval and if it is waiting approval by the current user (ie. you are on the Approval list and have not yet approved it). When the option is selected, the **Approve Document** dialog will be displayed for that document. When the page is closed the document list will refresh to reflect any changes to the document's status or details. (See Approving or rejecting a document.)

- **View document** - this option will only be available if a single document is selected. If a Draft and Issued version of the document exists and depending on how the workflow settings have been configured, you may be given the option to view either version.

- **Print document -** this option prints a single selected document. The document will not be shown and no **Print Setup** dialog will appear – the document will simply go direct to the default Printer.

6.2 DocLists

The main feature of the Document Portal is the ability to categorise documents using DocLists for organising and grouping together documents of similar content / type. All DocLists available to the logged-in user will be displayed on the portal's left hand side. The Library DocList will always be the top item for all users and displays every document in the database that the logged-in user can see.

The width of the Document Lists display area may be re-sized by grabbing and dragging the grey vertical band to the right of the panel.

The currently selected DocList will be highlighted with a coloured band (the default is grey). A document may appear in more than one list.

NB. When the cursor is moved over a DocList, a pop-up tool tip will appear stating which type of DocList it is.

When a DocList is first created it is Personal. The owner of the Personal DocList may assign documents to it or they may give a range of staff permissions to add documents to it, in which case it then becomes Shared.

If a DocList is deemed applicable to all members of staff, then it can be promoted to a Global DocList in which case all other users will be forced to see it in their Document Portal view. Access rights for creating a Global DocList must be granted in **Access | Set User** by the system administrator.

A single document may appear in more than one list. Nothing actually happens to the document – a 'pointer' is created for a DocList pointing to the appropriate document in the database. It follows therefore that if a document is withdrawn from the system, then it will disappear from everybody's DocLists, not just from the person's who withdrew it.

Library DocList

This is always the top item for all users. It displays every document in the database that the logged-in user can see. It is the only DocList that does not have an 'owner' and cannot be renamed, deleted or altered in any way.

In addition to the Library DocList there are four other types of DocList (described briefly below). For further details, see Library DocList.

Global DocList

This is a DocList that, if created, all users have to have in their list. They are normally used to organise documents for company-wide viewing such as 'Health & Safety' or 'Quality'.

A Global DocList may not have documents added / removed and no user can hide the list from their Document Lists view. The owner (and only the owner) of a Global DocList can rename and delete it. Access rights to create (and demote) a Global DocList are granted in the System Manager module (**Access | Set User**). Global DocLists can be demoted to their original Shared or Personal type (see Global DocList right-click options).

A tool tip on Global (and Shared) DocLists will display the owner.

Shared DocList

Users must be given access rights in order to create Shared DocLists (System Manager | **Access | Set User**); they may then set up a new Shared DocList and assign certain members access to it. In this way the DocList can be used for separate departments, or different projects that may not be applicable to everyone within an organisation. As soon as access permissions have been given to a Personal DocList, it automatically becomes a Shared DocList.

Only the owner or admin. may delete a Shared DocList on a permanent basis. Users with appropriate permissions may add or remove documents to or from the list, and can also hide the list from their Document Lists view (see **Showing and hiding DocLists**, below). If further access rights are granted in Workbench then a user may also promote a Shared DocList to a Global DocList. For further details, see Shared DocList.

A tool tip on Shared and (Global) DocLists will display the owner.

Personal DocList

This is a DocList that only its owner can see and is therefore usually used to organise documents that are applicable to that user only. Granting other users any permission to view or modify a Personal DocList automatically turns it into a Shared DocList.

If the necessary access rights are granted in Workbench then a user may promote a Personal DocList to a Global DocList. The owner of a Personal DocList is defined as either the person who created it or the person who last demoted it, if it was previously a Global DocList. For further details, see Personal DocList.

'Child' DocLists

These are lists attached to other DocLists and they inherit their permissions from the parent list (and adopt the same icon). They can be created for Shared or Personal lists and, with access rights, be moved to different lists (where they pick up revised permissions from the new parent).

A parent DocList may have many Child DocLists and a Child DocList may also have many Child DocLists. If a parent DocList is promoted to Global status then all of the children will also be promoted to the same. For further details, see Child DocList.

Creating and populating a new DocList

DocList Permissions

Permissions for a DocList are set up via the **DocList Permissions** right-click menu option. This option is only available for Personal DocLists and Shared DocLists where the user is either the owner or admin. Further information is given in the section entitled DocList permissions.

Showing and hiding DocLists

You may temporarily hide from normal view Shared DocLists for which you have *Hide* permission, by selecting the **Hide** right-click option. To unhide any hidden DocLists use the **Unhide** right-click option.

To show any hidden Document Lists, use the appropriate check box at the bottom of the Document Lists panel. If the *Show hidden Document Lists* check box is unchecked (the default), then hidden DocLists will not be shown in the Document Lists panel; if the check box is checked, then hidden DocLists will be shown.

Changing the documents in a DocList

You may add documents to a DocList if you are the owner or have *Add* permission for that list, and the list is not Global. Documents may be added to a DocList in two ways:-

- by selecting the documents in another list, dragging them over the DocList image in the Document Lists panel and releasing them. If adding documents to that particular DocList is not possible (because it is Global or the user has insufficient permissions) then the No-entry cursor will be displayed
- by selecting the documents in another list, picking the **Copy document**(**s**) right-click option, then highlighting the appropriate DocList in the Document Lists panel and selecting the **Paste documents** right-click option.

The program will add the documents to the DocList and immediately refresh the document details table.

You may remove documents from a DocList if you are the owner or have **Remove** permission for that list, and the list is not Global. Single or multiple documents may be removed by selecting them and then choosing the **Remove documents** right-click option. The program will remove the documents from the DocList and immediately refresh the document details table to reflect this.

6.2.1 Library DocList

 This is always the top item for all users and displays every document in the database that the logged-in user can see. It is the only DocList that does not have an 'owner' and cannot be renamed, deleted or altered in any way.

Library DocList right-click options

New DocList - this option is available to all users and enables them to create a new DocList. When selected it presents the user with a pop-up dialog asking for a name for the new DocList. On clicking **OK** the program creates a new Personal DocList with that name and displays it at the bottom of the Document Lists panel. You may create two or more DocLists with the same name.

New DocList Special - this option is available to all users if they have previously copied one or more documents from a DocList using the **Copy document**(s) right-click option. When it is selected it presents the user with the same dialog as the **New DocList** option. The dialog behaves in the same manner as New DocList, except that once the DocList has been created it is automatically populated with the documents that were copied from the other DocList.

6.2.2 Global DocList

 A Global DocList may not have documents added / removed and no user can hide the list from their Document Lists view. The owner (and only the owner) of a Global DocList can rename and delete it. The owner's name will be displayed on a tool tip.

Access rights to create (and demote) a Global DocList are granted in the System Manager module (**Access | Set User**). Global DocLists can be demoted to their original Shared or Personal type (see DocList right-click options, below).

Global DocList right-click options

If you right-click on a Global DocList you will be presented with a menu giving the options available to you for that DocList. These options will vary depending upon the DocList type, what routine you are carrying out, your permissions and access rights, but will be from the following:-

Copy DocList - this option (when available) allows the moving of lists to different levels and different ‘parents’.

Demote (and take ownership) - this option will only be available if you have the necessary access rights set within Workbench (System Manager | Set User Access Levels | Create Shared DocLists). It will demote the DocList to the type it was before it became a Global DocList (this will have been stored in the database when the DocList was promoted) and restore all access rights where appropriate. The Document Lists panel will be updated to reflect the demote, removing the DocList if the user can no longer see it.

Rename - this option will only be available to admin and the DocList owner. It presents a dialog, similar to that for creating a new DocList, that allows you to rename the DocList. After providing a new name and clicking **OK**, the system will update the DocList’s name and refresh the Document Lists panel to reflect this.

Delete - this option will only be available to admin and the DocList owner. After confirmation of intention to delete, the system deletes the DocList and refreshes the Document Lists panel to reflect this.

6.2.3 Shared DocList

 Users must be given access rights in order to create Shared DocLists (**System Manager | Access | Set User**); they may then set up a new Shared DocList and assign certain members access to it. In this way the DocList can be used for separate departments, or different projects that may not be applicable to everyone within an organisation. As soon as access permissions have been given to a Personal DocList, it automatically becomes a Shared DocList.

Only the owner or admin. may delete a Shared DocList on a permanent basis. Users with appropriate permissions may add or remove documents to or from the list, and can also hide the list from their Document Lists view. If further access rights are granted in Workbench then a user may also promote a Shared DocList to a Global DocList. The owner's name will be displayed on a tool tip.

Shared DocList right-click options

If you right-click on a Shared DocList you will be presented with a menu giving the options available to you for that DocList. These options will vary depending upon the DocList type, what routine you are carrying out, your permissions and access rights, but will be from the following:-

Cut DocList, **Copy DocList** and **Paste DocList** options will be available where applicable. This allows the moving of lists to different levels and different 'parents'.

New Child DocList and **New Child DocList Special** (see Library | New DocList Special for details) options allow new lists to be created where permissions etc. are inherited from the parent.

Promote - this option will only be available if you have the necessary access rights set within Workbench (System Manager | Set User Access Levels | Create Global DocList). It will promote the shared item to a Global DocList, remembering that it was originally shared (in case it is demoted again). The Document Lists panel will then be refreshed to reflect this change.

Rename - this option will only be available to admin and the DocList owner. It presents a dialog, similar to that for creating a new DocList, that allows you to rename the DocList. After providing a new name and clicking **OK**, the system will update the DocList's name and refresh the Document Lists panel to reflect this.

Delete - this option will only be available to admin and the DocList owner and initially presents a dialog checking that the user wishes to delete the DocList. If they confirm that they do, then the system deletes the DocList and refreshes the Document Lists panel to reflect this.

Permissions - this option will only be available to admin and the DocList owner. It invokes the **Access** permissions dialog (see DocList Permissions) where you may set up other users to view or modify the DocList. If the user is the owner and denies all permissions to everyone else, then the DocList becomes Personal. The Document Lists panel will be refreshed to reflect this.

Hide - this option will only be available if the user has permission to **Hide** the DocList and the DocList isn't currently hidden. It will mark the DocList as hidden for the user and then refresh the Document Lists panel to reflect this (so removing the DocList from view unless the *Show hidden Document lists* box is checked).

Unhide - this option will only be available if the DocList is marked as hidden (but being shown because the *Show hidden Document lists* check box is currently checked) and the user has permission to hide the DocList. It will make the DocList visible (unhidden) for the user.

Paste document(s) - this option will only be displayed if you are the owner of the DocList or have **Add** permissions, and have previously copied documents from a DocList using the right-click option **Copy document**(s). It will copy the documents memorised when the right-click option was used, into this DocList, ignoring any duplicates, and refresh the document details table.

6.2.4 Personal DocList

This is a DocList that only its owner can see and is therefore usually used to organise documents that are applicable to that user only. Granting other users any permission to view or modify a Personal DocList automatically turns it into a Shared DocList.

If the necessary access rights are granted in Workbench then a user may promote a Personal DocList to a Global DocList (see DocList right-click options, below). The owner of a Personal DocList is defined as either the person who created it or the person who last demoted it, if it was previously a Global DocList.

Personal DocList right-click options

If you right-click on a Personal DocList you will be presented with a menu giving the options available to you for that DocList. These options will vary depending upon the DocList type, what routine you are carrying out, your permissions and access rights, but will be from the following:-

Cut DocList, **Copy DocList** and **Paste DocList** options will be available where applicable. This allows the moving of lists to different levels and different 'parents'.

New Child DocList and **New Child DocList Special** (see Library | New DocList Special for details) options allow new lists to be created where permissions etc. are inherited from the parent.

Promote - this option will only be available if you have the necessary access rights set within Workbench (System Manager | Set User Access Levels | Create Global DocList). It will promote the Personal DocList to a Global DocList, remembering that it was originally personal (in case it is demoted again). The Document Lists panel will then be refreshed to reflect this change.

Rename - this option presents a dialog, similar to that for creating a new DocList, that allows the renaming of the DocList. After providing a new name and clicking **OK**, the program will update the DocList's name and refresh the Document Lists panel to reflect this.

Delete - this option will check that you really do want to delete the selected DocList before the program deletes it and refreshes the Document Lists panel to reflect this.

Permissions - this invokes the Access permissions dialog (see DocList permissions) to allow you to set who else can view or modify the selected DocList. If you grant any kind of permission to any other user then the DocList becomes a shared DocList and the program will automatically change its type to that. The Document Lists panel will refresh to reflect this.

Paste document(s) - this option will only be displayed if you have previously copied documents from a DocList using the right-click **Copy document**(s) option. It will copy the selected documents into this DocList, ignoring any duplicates, and refresh the document details table to reflect this.

6.2.5 Child DocList

These are lists attached to other DocLists and they inherit their permissions from the parent list (and adopt the same icon). They can be created for Shared or Personal lists and, with necessary access rights, be moved to different lists (where they pick up revised permissions from the new parent).

A parent DocList may have many Child DocLists and a Child DocList may also have many Child DocLists.

If a parent DocList is promoted to Global status then all of the children will also be promoted to the same.

Child DocList right-click options

These options are as described for the relevant parent DocList and where applicable.

6.2.6 Creating and populating a DocList

There are two ways to create a new DocList. The quickest way to do this is…

1 Ensure that the **Library DocList** is highlighted.

2 Highlight the documents you wish to copy to the new DocList (select single documents using the **Ctrl** key, multiple documents using the **Shift** key) and select **Copy documents** from the right-click menu..

3 Right-click on the highlighted **Library DocList** and select **New DocList Special**.

4 In the pop-up menu, enter a mandatory DocList Name for the new DocList and click **OK**.

5 The new DocList will appear in the Document Lists as a Personal DocList and will be populated with the selected documents.

Alternatively….

1 Right-click on the **Library DocList** and select **New DocList**.

2 In the pop-up menu, enter a mandatory DocList Name for the new DocList and click **OK**.

3 The new DocList will appear in the Document Lists as a Personal DocList.

4 Select the documents to copy to the new DocList, right-click and select **Copy documents**.

5 Right-click on the DocList that you want to copy the documents to and select **Paste documents**. The selected document(s) will be copied to this DocList.

You can also drag and drop documents from one DocList to another (with *Add* access rights).

Having created a new DocList you then need to set **Permissions** for access to it (if required).

6.3 DocList permissions

To set up user access to a DocList, select **Permissions** from the right-click menu of the relevant DocList in the Document Portal; this is only available for Personal or Shared DocLists where you are either the owner or admin.

The **Access permissions for DocList <xxx>** dialog will open; permissions available are **View**, **Add**, **Remove** and **Hide**. These grant the following to selected individuals or groups:-

View - selected users can view the DocList. If a user does not have this permission then the DocList should not be shown in their Document Lists.

Add - selected users can add documents to the DocList.

Remove - selected users can remove documents from the DocList.

Hide - selected users can hide the DocList from their personal Document Lists view. This option is not available for Groups.

The selecting of individuals or groups is performed in exactly the same way as selecting users for **Access** lists (see Selecting personnel for access lists). If a user is granted permissions for a DocList both as a user and as part of a group, then their effective permissions will be a combination of both; eg. if they have **View** and **Add** granted individually and **View** and **Remove** as part of a group then they will be treated as if they have **View**, **Add** and **Remove** permissions.

When permissions have been set up as required, click on **OK**. This commits the permissions, closes the dialog and returns you to the Document Portal.

7 Document attributes

In addition to actual document content there will always be important ancillary information associated with a document. Workbench refers to this as the document's 'Attributes' and groups the information into General, Workflow Settings, Access, Keywords, References, Analysis, Changes, Review, Courses & History categories.

If Workbench Office is licensed, then there will also be a page in the document's attributes where you may set access rights to it. This page will fall after the main Access page and is captioned Workbench Office, but it will not appear unless Workbench Office is licensed.

If the Questionnaires element (new for WB11) is licensed this will also have a page in the Document Attributes dialog. It will be the penultimate tab, before the History page.

A document's attributes are displayed by clicking the **Attributes** button found on most dialogs in the **Control** menu and other relevant dialogs throughout the Document Control module.

Control | Edit Document Attributes allows you to edit most attributes regardless of the status of the document. However, if the *Require document attributes change request* workflow setting is checked in the **Workbench Configuration Centre** (see Document processing flow | Changes) then document attribute changes can only be made from within the **Open Change Request** dialog by user(s) with the necessary access rights and following approval (if the *Change request approval process* setting is also checked) of an appropriate change request - see Raising a CRQ for document attributes.

NB. If the *Require document attributes change request* workflow setting is checked, the **Edit Document Attributes** menu item becomes read-only.

For ease of access, all document attributes are presented in the same multi-paged dialog. This makes it easy to navigate from one attribute group to another by simply switching pages.

7.1 General

Whilst creating or importing a new document, the first page tab on the document is labelled **New Document**. Once the document has passed into the system this first page tab then becomes **General**; the page assembles key document information and document classification categories.

Most fields are self-explanatory but see the additional notes below. Depending on which dialog you are viewing the document attributes from, some information may be edited by users with appropriate edit rights to the document. Most editable fields trigger a relevant History entry if changes are made.

- **Serial No** - is the document Serial Number, automatically assigned by the system. It cannot be altered in any way. The Print button alongside this field gives access to the **Document Attributes Report** dialog allowing you to print general document details and/or document keywords.
- If in editable state, you may add a **User reference** if you have not already done so. If the *Document user reference must be unique* workflow setting has been checked, the system will force you to make this reference unique.
- The user nominated for **Reviews** for this document will remain constant. However, if the *Allow change of responsible person when maintaining reviews* workflow setting has been checked (Workbench Configuration Centre | Document Workflow | Document Attributes) then the review-responsible user may change this user. If this happens, all reviews for this document that are 'Waiting Start' will automatically have the responsibility changed to the new responsible user. Appropriate mail messages (tasks and notifications) will be cancelled for the old responsible user and re-sent to the new one. A History entry is also logged.
- The **Synopsis** shows a summary of the document contents (if one has been given).

- If the *Checked out to external file* box is checked, the document is currently checked out to an external file.
- Changing the Windows File Type is not recommended unless necessary as this will change the application that is used to view and edit the file and may result in it becoming unusable. However, if the initial extension was wrong and you need to change it, then you may enter the correct extension in the mandatory **Extension** field at the bottom of the page under Advanced Options (if the document is in an editable state).
- The **MIME type** will normally be calculated by the system and, in this case, cannot be changed. If the revised extension is not recognised, the MIME type becomes editable.
- Normally, documents within Workbench are viewed and edited using the default command associated with the extension. If you need to change the command, use the **Editing option** or **Viewing option** fields. These allow commands to be changed in exactly the same way as in Master Templates.
- Click the **View...** button at any time to view the actual document.
- Where a UDA (User defined action) button has been specified, this will appear at the bottom of the main Attributes dialog, between the **View** and **Help** buttons and can be used from any of the Attributes pages. Its 'label' is user-defined and it is generated on the **Module Settings** page of the **Workbench Configuration Centre** in the System Manager module. The purpose of the button is to support a specific user-definable action (with a direct link to an editor) against appropriate documents.

7.2 Workflow settings

Access to **Workflow Settings** is controlled from the System Manager module in the **Workbench Configuration Centre** and, if granted, may be Read-only. If you have been given Update rights you may configure the settings on a per document basis.

Whether or not the Workbench Office page is visible will depend on whether the Workflow Settings page is visible (ie. whether you have been given access rights) - and will be read-only when the 'Workflow Settings' tab is read-only.

The settings that affect the actual workflow of document processing (and are listed on **Attributes** dialogs) are found under Document Workflow. For detailed information on all settings see New Document settings.

7.3 Access

Access lists show personnel nominated to oversee or perform various tasks in the document's life-cycle. Personnel on each list are selected (and de-selected) in the same way. The lists usually appear as a separate **Access** page on Document Attributes dialogs and in **Business** and **Default Business rules**. In other relevant dialogs, where only one of the lists is applicable, the page will have the title of the specific list (eg. **Issue Document | Distribution List**).

Where the necessary permissions have been given, an **Access** page is also present when creating or importing a document. With Read-only access the lists will be greyed out; with Update rights you may amend selected personnel for any of the lists that you have Update rights for. (Access is controlled by the system administrator and you may be given Update rights to some lists but Read-only rights to others).

If Business rules are being used, the Access lists will already be populated but may be edited.

Selecting personnel for access lists

1 Select the **Access** page on any relevant dialog in the Document Control dialog. Expand the complete list using the check box at the top of the page or click on the actual entry or the + sign alongside any list that you want to work with.

2 Under each named list (eg. Approval List, Changes List) you have the choice of selecting Individuals and/or Groups. Go through the lists selecting (or de-selecting) personnel to go on each - the method of selection is exactly the same.

3 To select individual personnel, highlight 'Individuals' and the bottom part of the page will open. On one side is a list of all available personnel; on the other side is a list of personnel selected for the list. To move personnel from one list to the other, double-click on the name or highlight and click the central >> or << button. Personnel on the right hand side of the dialog are those selected for that List.

4 To select a group, highlight Approval Groups (or Groups) and the bottom half of the page will show a list of groups available for selection. Select (or de-select) by double-clicking or highlighting the required group and clicking on the central >> or << button. Groups shown on the right hand side are those that have been selected for the chosen list. **NB**. Right-click on a group to invoke a pop-up showing a list of its users.

Separate lists may be configured for each of the following functions. History entries are made whenever a document's access lists are changed; right-clicking on this entry will show names of staff added or removed.

Approval Changes Distribution Edit Issue Reviewer View

7.3.1 Approval list

This list controls the approval process for documents and specifies:-

- individual users to be assigned to approve a document
- approval groups to be assigned to approve a document
- the order in which the above users approve a document (if the *Use ordered approval lists* option is checked on the workflow settings). **NB**. If this option has been checked, the words 'Ordered List ' will appear alongside the Approval List heading. It is recommended that the person with the highest clearance level should be last on the list.

Approval lists can be set up and maintained either for **Document business rules** or when a document is first created or imported (whether using Business rules or not).

Amendments to selected personnel on **Approval** lists will come into effect the next time the document is marked ready for approval.

For further information on creating and specifying user order, see Approval groups.

7.3.2 Changes list

This list controls the approval process for change requests; if change request approval is required and this list is blank, then the system will automatically use the **Approval** list. Selection may be made on an Individual basis and/or using Approval Groups.

Various options affecting the way change requests work (eg. forcing approval from all approvers) may be configured by the administrator in the **New Document Settings** section of the **Workbench Configuration Centre**.

Changes lists can be set up and maintained either for **Document business rules** or when a document is first created or imported (whether using Business rules or not).

Amendments to **Changes** list personnel come into effect when the next CRQ is raised against the document.

7.3.3 Distribution list

This allows user-selection for **Distribution** lists. Personnel for inclusion on the distribution list may be made on an Individual basis or using Personnel Groups.

The **Document distribution history** report displays a list of personnel to whom the document was distributed.

Various options that affect document distribution (eg. notifying users when there is a new issue) may be configured by the administrator in the **New Document Settings** section of the **Workbench Configuration Centre**.

Distribution lists can be set up and maintained either for **Document business rules** or when a document is first created or imported (whether using Business rules or not).

Amendments to selected personnel on **Distribution** lists will come into effect immediately where the document has been issued; if not, then when it is issued.

7.3.4 Edit list

This allows user-selection for **Edit** lists. Personnel for inclusion on the edit list may be made on an Individual or using Personnel Groups.

Various options that affect who may or may not edit documents (eg. can be edited by all users) may be configured by the administrator in the **New Document Settings** section of the **Workbench Configuration Centre**.

Edit lists can be set up and maintained either for **Document business rules** or when a document is first created or imported.

Amendments to selected personnel on **Edit** lists will come into effect immediately.

7.3.5 Issue list

This allows user-selection for **Issue** lists. Personnel for inclusion on the lists may be made on an individual basis (Personnel List) or using personnel groups (Groups List).

Formal issuing process is not always required, depending on how this has been set up by the administrator in the **New Document Settings** section of the **Workbench Configuration Centre**.

Issue lists can be set up and maintained either for **Document business rules** or when a document is first created or imported (whether using Business rules or not).

Amendments to selected personnel on **Issue** lists will come into effect immediately.

7.3.6 Reviewer list

This allows selection of users who may review a document. Selection may be made on an Individual basis or using Personnel Groups.

Reviewer lists can be set up and maintained either for **Document business rules** or when a document is first created or imported (whether using Business rules or not).

Amendments to selected personnel on **Reviewer** lists will come into effect the next time a review is started.

Distribution and view rights to the reviews can be finely tuned by the system administrator using the check boxes in the **New Document Settings** section of the **Workbench Configuration Centre**.

If the *Allow subset of review list when starting a review* option is checked in the **Workbench Configuration Centre**, when a review is started, you may use a subset of reviewers from the document **Reviewer** list (a pop-up dialog will list the reviewers for you to select any or all). If this workflow setting is unchecked all reviewers on the list will be requested to review the document.

Changes to reviewers or review rights will be recorded on the document's **History** page.

7.3.7 View list

This allows selection of users who may view a document. Selection may be made on an Individual basis or using Personnel Groups. Two workflow settings *Allow all users to view the issued document* and *Allow viewing of draft document* also affect which users may view what type of document.

View lists can be set up and maintained either for **Document business rules** or when a document is first created or imported (whether using Business rules or not).

Amendments to selected personnel on **View** lists will come into effect immediately.

NB. If this list is blank and both workflow settings are checked, then all users with access to the module will be able to view the document (draft and issued). The **View** list on **Access** pages will be appended with **All can view**.

7.4 Workbench Office

The Workbench Office page will only be visible if the Workbench Office add-in is licensed and the 'Workflow Settings' tab is visible; it will also be read-only when the 'Workflow Settings' tab is read-only. In other words, providing that the Workbench Office add-in is licensed, then access and permissions to this page will follow the access and permissions to the Workflow Settings page.

The access lists here allow you to assign specific users or groups to each Workbench Office setting on a per document basis. In order for these lists to be activated, the *Protect Document?* workflow setting must be checked.

The following lists are selected/de-selected in the same way as lists on the main Access page:-

Allow Copy List - allows specified users / groups to copy /paste a document.

Allow Print List - allows specified users / groups to print a document.

Allow Print Preview List - allows specified users / groups to print preview a document.

Allow Save and Send List - allows specified users / groups to save and send a document.

Access to **Workflow Settings** is controlled from the System Manager module in the **Workbench Configuration Centre** and, if granted, may be Read-only. If you have been given Update rights you may amend the settings on a per document basis.

7.5 Keywords

To enhance swift and simple document location, the module allows you to assign your own keywords to documents. Keywords can be assigned to new documents using the **Keywords** page in **Documents | Create or Import Document**; they may also be assigned and edited on the **Keywords** page in **Documents | Edit Document** and in **Control | Edit Document Attributes**.

In **View** mode, this dialog is read-only; keywords cannot be assigned.

Assigning / removing a keyword to a document

- **To assign an existing keyword to a document**, select the **Keywords** page when creating or importing a document or in the **Edit Document Attributes** dialog. Highlight the relevant keyword in the Keywords Available list and click the >> button to move to the Keywords Assigned to Document list.
- **To define a new keyword**, enter the new keyword in the top **Keyword** field and click the **Insert** button. The new word will appear in the Keywords Available list where it may then be assigned to the document as above.
- **To remove a keyword from a document**, on the Document Attributes **Keywords** page, highlight the relevant keyword in the Keywords Assigned to Document list and click the << button.

Use the Search and/or Invert buttons to select relevant keywords if required. See Groups / Lists for further help with moving keywords from Available to Selected.

To edit keywords you must use **Control | Maintain Master Keywords**, see Maintaining master keywords.

Click on the **View** button if you wish to view the document.

When you are happy that all the keywords have been set up as required, click **OK** to attach the chosen words to the current document.

7.6 References

The **References** page allows you to assign / view related documents.

The buttons at the bottom of the dialog perform the following functions:-

- the **Add** button is used to add valid documents to which you have access. Select the relevant document(s) using standard document selection dialogs (see Searching for documents). Use the **Shift** and **Ctrl** keys to multi-select documents references
- the **Remove** button allows you to 'de-select' any document that is no longer applicable
- the **View** button enables you to view any currently selected document
- the **Attributes** button displays the document attributes for the currently selected Reference document.

7.7 Analysis

Within the Document Control module you can create your own analysis for documents using the **Settings | User Defined Analysis** option. The **Control | Edit Document Attributes** dialog allows you to select user-defined analysis options to record values for individual documents you have either created or imported into Workbench.

Analysis pages other than in **Edit** mode, are read-only. There are eight different types:-

- a 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 attach, say, a security rating to a document, which is chosen from a drop-down list of alternatives when the document is set up on the system.
- a 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 document 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 'on the fly' becomes 'global' and is added to the list for future use.
- a Free Text box allows you to add specific text (up to 255 characters - user definable) that may apply to a document on a one-off basis (eg. the name of an external reviewer)
- 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 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.

You may view the actual document by clicking on the **View...** button.

For further information, see Selecting user defined analysis.

7.8 Changes

This page lists all the change requests (CRQ) that have been raised against the document regardless of the status of the change request.

For a full discussion of change requests, see the section on Changes; this explores in detail the nature of change requests, how they are initially raised and what approval processes they must undergo before they can be incorporated in a new revision of an issued document.

The listing of change requests given here for an individual document, together with the document history, combine to give an extremely strong audit trail for the document concerned.

In order, from left to right, the columns on this page show:-

- the number of the Change Request
- the current Status of the CRQ
- the type of Change Request (see Raising a change request)

- the user assigned to action this CRQ
- the date the CRQ was raised
- the revision of the document against which this CRQ was raised.

The **View...** button on the **Changes** page allows you to view the **Change Request Detail** dialog of a highlighted CRQ. This is read-only. On its **Description** page, with appropriate access rights, you may view an annotated document if one exists.

The **Raise** button (if present) displays the **Raise Change Request** dialog, enabling a further change request to be raised against this document.

You may view the actual document by clicking on the very bottom **View...** button.

7.9 Review

The review mechanism for documents allows you to comment on a document at specified intervals or on a more 'ad hoc' basis, without invoking the more formal procedures involved with Change requests. The **Review** page of the **Document Attributes** dialog lists all reviews entered against the document and gives their status.

A document review workflow setting *Require scheduled reviews* is optionally set by the administrator in the **Workbench Configuration Centre**. If set, the *review period* and *review period units* must also be set.

When a document is created or imported, a review-responsible person must be nominated. This person may be different to the owner and may not have access to all aspects of a document. If this is the case, the **Initiate Scheduled Reviews** dialog gives document review-responsible users, limited access to the **Edit Document Attributes** where they may amend Review details, Review workflow settings and the Reviewer list.

Another workflow setting *Recalculate start date of scheduled review waiting start when period or units change* may also be configured. If set, the system will recalculate automatically the start date of a document's review if the review period and/or units is changed.

For full details of all workflow settings affecting reviews, see Reviews settings.

When the document is issued, the first scheduled review date will automatically be calculated and at the appropriate time the doc. owner will receive a task message asking them to start the review.

In addition to scheduled reviews, users with document view rights may submit a request to the document owner for an unscheduled review.

Scheduled and unscheduled reviews are processed in the same way. Unscheduled reviews will not have an impact on a document's review schedule. Reviews 'freeze' the document by marking it as 'Undergoing Review'; this stops change requests from being assigned and the document edited, and also prevents new change requests from being approved.

Once a review has been closed, the document's status is set back to its original 'pre-review' status.

NB. Documents with Undergoing Review status are available in their 'pre-review' status for reports.

The Scheduled Review Details show the revision number of the document for review, its review period, the previous scheduled review date (if any) and the start date of the next review. If the document is currently undergoing a review, a message (in red type) will also be displayed.

NB. For issued documents that pre-date the Reviews routine launched in Workbench Version 4.7, please see Reviews for previously issued documents.

Buttons at the bottom of the dialog allow you to:-

- **View** a highlighted review - links to **Review Document** (read-only). Where reviews are marked as Complete, the **Final Comment** page on the **Review Document** dialog will show the mandatory final comment.

- **Review** a highlighted review where you are required to make a response - see Reviewing a document.

- **Request** an unscheduled review - see Requesting a review. Under certain circumstances, this button may not be present.

NB. Where the Annotation element is licensed and switched on, relevant information regarding annotation will be given in the Help topics on relevant dialogs.

7.10 Courses

This page shows all courses with which this document is associated along with any scheduled courses for the document (these could be those that have already been run, those in progress and those that have been scheduled for a future date). If Read access has been denied to both the **Course** and **Scheduled Course** dialogs, the page will not be visible.

The Associated Courses box in the top half of the page lists all base courses (originating in **Settings | Course** in the Training module) that are associated with this document. Subject to the necessary access rights, you may **View** base course details, **Remove** existing associations or **Add** a base course to the document, using the appropriate buttons.

Use the **Add** button to link Course(s) when creating a new document; Courses with ‘Scheduled’ status that have been based on this Course, will automatically be updated with the new document.

Again, subject to access rights, the bottom part of the dialog lists all Scheduled Courses associated with the document; these could be 'Scheduled', courses 'In Progress' or 'Completed' courses.

If you select the check box *Filter courses showing where the document has been locked for training*, then the list will be filtered to show only those courses on which this document is locked for training.

Subject to access rights, click on the **View** button to view the Scheduled Course and its details.

7.11 Questionnaire

New for Workbench 11 is a **Questionnaire** feature that is licensed separately - workflow settings control whether questions will be asked when acknowledging receipt of a document. The workflow setting *Acknowledgement required* should also be checked in order for the Questionnaire to function.

The decision whether to use a questionnaire or not is made on a per document basis when creating or importing a document; if used, you may then specify how many random questions will be asked and the minimum number of correct answers required before receipt of the document will be acknowledged. This way you can assure that recipients of the document have fully read and understood the document in question.

If you don't want questions to be asked, simply ensure that the main **Workbench Questionnaires** workflow setting remains unchecked (the default setting) - see New Document Settings | Document Attributes | Workbench Questionnaires.

If the **Questionnaires** element has not been licensed, none of the references to the questionnaire will appear.

Anyone who can Edit the document may also edit/set further questions in the **Edit Document Attributes** dialog, (not via the **Edit Document** routine). For all other users, the **Questionnaire** page tab will not be visible.

Reports on the detailed results of the Questionnaire can be produced in the ReportQuest module (if installed).

A History entry is made when receipt is acknowledged with a questionnaire; right-clicking on the entry will show how many questions were answered correctly.

Workflow Settings

There are three workflow settings under the heading **Workbench Questionnaires** (Workbench Configuration Centre | New Document Settings | Document Attributes). Click on the actual entry or the + sign alongside to expand.

- The *Use Workbench Questionnaires* option will appear - double-click on this or highlight and click the *Use this workflow setting?* to reveal further options.
- *Number of random questions to ask? (0=all questions will be asked)* Providing that the above setting is checked, this setting allows you to specify how many questions from the Questionnaire should be asked when acknowledging receipt of a document. Highlight the setting and enter a value in the check box at the bottom of the dialog. When setting up the actual Questionnaire (see below) you may define as many questions as you want, but this setting controls how many of those questions will randomly be asked. If the value is left at 0, then all defined questions will be asked in order.
- Providing that the *Use Workbench Questionnaires* setting is checked, the *Number of correct answers required? (0=all questions must be answered correctly)* setting allows you to specify how many correct answers must be returned before receipt acknowledgement will be accepted. If not all of the defined questions are asked (see above setting) and the required number of correct answers is not given, a different set of random questions may then be presented to the user acknowledging receipt.

NB. The workflow setting *Acknowledgement required* must be checked in order for the Questionnaire to function (**Document Attributes | Document Processing Flow | Distribution Options**). Clearly, if acknowledgement of a document is not required then there will be no opportunity to ask the questions, regardless of how they have been configured.

Setting up the Questionnaire

Providing that you have the necessary access rights, questions are set up on the **Questionnaire** page tab of the **Document Attributes** dialog either...

- when creating the document. Make sure that the appropriate workflow settings have been configured (see above) and then move to the **Questionnaire** page tab (the last page tab at this stage); you may have to use the arrows to scroll across the top of the dialog to 'uncover' it.
- if you are on a document's Edit list (and the Questionnaires option is being used) you may also set up/edit questions for the Questionnaire in the **Edit Document Attributes** dialog. Select the required document and go to the **Questionnaire** page tab of the document (the penultimate page tab at this stage).

1 Click on the **New Question** button (towards the bottom of the dialog at the left hand side) and type in your first question.

2 Making sure that the question is highlighted, move to the right hand side of the dialog and hit **New Answer**. Type in an answer and then hit the button a second time to enter another possible answer. Repeat this as many times as required so that you have a list of possible answers to the highlighted question. Don't forget to tick the *Correct Answer?* check box when listing the correct answer. If you do forget, highlight the correct answer and then check the box.

3 Repeat this sequence for each question you want to list.

Alternatively you can list all your questions and then go back and input all the possible answers. If you do it this way, don't forget to highlight the specific question on the left hand side before typing in the respective answers on the right.

To edit existing questions or answers, make sure that the entry you want to edit is highlighted and then proceed as above.

The *Question Enabled* check box allows you to select which of the listed questions will be asked. This means that you can build up a 'library' of questions for the document but define very precisely which questions you want to ask at a given time.

- The **Delete Question** and **Delete Answer** buttons will delete a highlighted question or answer. The **Previous** button takes you back to earlier page tabs. If editing the Questionnaire in **Edit Document Attributes**, the **View** button enables you to view the document.

Issuing and Reissuing documents

If the Questionnaires element is licensed and turned on there will be a check box - *Requires questionnaire completion when acknowledging receipt* - on the **Issue Document** and **Reissue Document** dialogs. This is checked by default if Questionnaires are being used but can be turned off on a per document basis at the time of issue or reissue.

Answering questions

The document's defined questions will be asked when a user acknowledges receipt of the document. On clicking the **Yes** button to acknowledge receipt, a **Questionnaire** dialog will open automatically. The number of questions shown there will be controlled by the configuration of the Questionnaire's workflow settings - as will the number of correct answers required.

1 Questions are multiple choice. For each question simply select the radio button next to the answer that you think is correct. When all questions have been answered, click on the **Accept Answers** button.

2 If you have not given enough correct answers (as defined by the workflow settings) you will be warned. If new questions are to be asked you will first be taken back to the **Acknowledge Receipt** dialog. Depending on how the Questionnaires workflow settings have been configured, clicking the **Yes** button again in the **Acknowledge Receipt** dialog may take you to a completely different set of questions.

3 When the required number of questions has been answered correctly you will be informed; the **Questionnaire** dialog will close and receipt of the document will be acknowledged to the owner.

The History entry - *Receipt of revision <xx> acknowledged with questionnaire by <xxx>* will be made; right clicking on this entry will show how many questions were answered correctly.

7.12 History

The **History** attribute effectively displays an ‘audit trail’ for the document; it records all changes to it, along with who took the action and the date / time of occurrence. This allows you to follow any changes to the document as it proceeds through the processing cycle.

This page is strictly read-only as it is maintained by many routines within the Document Control module that write entries to the document history file as appropriate. 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 document content (eg. editing, checking draft out) will affect the 'Last Updated' date.

Right-clicking on many entries will reveal further useful information - notes made on decisions, personnel to whom documents have been distributed, details of staff added to/removed from distribution lists etc.

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 documents until changed.

If the History has been filtered, red text at the bottom of the main **History** page will state this. A **Clear** button will also appear next to the **Filter** button at the top of the page, allowing you to clear all filters easily.

Click on the **View...** button to view the actual document.

7.13 Editing document attributes

Unlike **Documents | Edit Document**, where the document has to be in an editable state to edit document attributes, providing that you are on the **Edit** list for the relevant document you may edit document attributes using **Control | Edit Document Attributes** regardless of the status of the document. However, this can only be done here providing that the Changes workflow setting - *Require document attributes change request* - is not checked (see Document processing flow settings | Document Changes).

New keywords may be inserted and existing keywords added or removed on the **Keywords** page; however, to edit an existing keyword you must go to **Control | Maintain Master Keywords**. With the necessary access rights, questions may be added/amended on the **Questionnaire** page. The **History** page cannot be edited under any circumstances but appropriate entries will be made automatically if any other changes are made to document attributes.

Editing document attributes

1 From the **Control** menu, choose **Edit Document Attributes**.

2 Select the document you wish to edit the attributes of, using any of the methods described in Searching for documents or Using DocLists.

3 In **Document Attributes**, choose the appropriate page and make the required changes - see the section on **Document Attributes** if you need further information on any of the attributes). If the dialog is read-only it may be that you do not have access rights; it may also mean that the Changes workflow setting - *Require document attributes change request* - is checked and therefore a change request must be raised before document attributes may be edited (see Raising a CRQ for document attributes).

4 Click **OK** to save any changes.

You may also use the **Document | Edit Document** routine to edit most document attributes providing that the document is in editable state and you have the required access and permissions. However, this does not apply to the **Questionnaire** page tab that can only be edited in the **Edit Document Attributes** dialog by the owner and those on the Edit list.

Appropriate **History** page entries will be made automatically.

8 Change requests

The concept of a change request (CRQ) is central to the Document Control module. Once a document has been approved and issued, the system may be set so that raising a change request against the document is the only way that its content (or attributes) can be altered. This mechanism ensures the integrity of your documents and guarantees that they cannot be altered in an uncontrolled manner. Change requests may also have to be raised to amend **Distribution** and **Edit** lists or to **Withdraw** a document.

However, although raising a change request is the usual starting point for change request processing, the Document workflow settings now offer various options that may be selected independently and affect this processing flow.

Any authorised member of staff can suggest a change request for whatever aspect of the document he or she feels needs amending (providing they can see the document). This change request then undergoes a broadly similar approval process as the document itself before it can be implemented (again, if set up to do so); the list of personnel to approve a change request for any given document is entirely under your control.

If approved, the status of the document will alter so that the change request may be implemented. Users consulting the document during this period are warned that a new draft exists as well as the currently issued version.

When a change request is raised, it is given a unique, sequential, system-generated number; this number cannot be changed and is permanently attached to the CRQ.

The system maintains a full log of all CRQs against documents, ensuring full traceability of all changes made.

NB. We strongly advise system administrators to familiarise themselves with the workflow settings that affect the way in which the change request routines function, and also to monitor access to these settings (see Document processing flow settings | Document changes).

8.1 Raising a change request

The **Raise Change Request** dialog enables you to record a requested change against a document of any status (providing you have the necessary access rights), unless the workflow setting is set to *Can only raise CRQs against issued documents* in the **Workbench Configuration Centre** (see System Wide workflow settings). You must also register your reason(s) for the suggested change. Users with appropriate access may attach relevant files to the change request via the Attachments button. Existing attachments may be viewed, edited or deleted according to access rights.

The **Raise Change Request** dialog can also be accessed by:-

- using the **Raise** button on the **Changes** page of the **Document Attributes** dialog (via the **Attributes** button on any **Select Document** dialog)
- using the **Raise CRQ** button on the **Maintain Scheduled / Unscheduled Review** dialog (providing that the status of the review is 'In Progress' and up until its status is 'Complete').

Workflow settings (see Document processing flow | Document changes) offer various options that may be selected independently and affect the processing flow of change requests:-

- whether to allow or disallow the editing of document content; if allowed, whether the document may be edited by all users
- whether document content (of issued documents) may be changed without the need for a change request; if allowed, whether the assignment of content change requests should, preferably, be restricted to the Actionee

- whether document annotation will be allowed when raising a change request and whether the annotated document will be allowed to replace the draft document when being edited - see Annotations.
- whether a change request will be required before document attributes may be edited
- whether the whole change request approval process is required or not; if required, whether change request approval will be required from all approvers
- whether documents may be withdrawn; if so, whether withdrawal approval is required from all approvers.

Raising a change request

1 From the **Changes** menu, choose **Raise Change Request**. The **Raise Change Request** dialog will appear.

2 In the **Raise Change Request** dialog click the **Add** button. This takes you to the **Select Document** dialog where you may select document(s) you wish to raise a CRQ against (see Searching for documents if you need help with selection). You can multi-select documents for the same change request (using the **Shift** and **Ctrl** keys). Details of the selected document(s) will be entered automatically. **NB**. If the system is set up to only allow the raising of change requests against issued documents (System Wide workflow settings) this will automatically be recognised and the **Raise Change Request** dialog will only display relevant documents - see Raising change requests against issued documents only.

The **Remove** button allows you to remove a highlighted document from the change request list.

Click on the **View** button to view the document to be changed; this serves as a useful check that you are selecting the correct document(s) to apply the change request to.

For information regarding the **Annotate** button (if present) please see the last section of this Help topic.

Click the **Attributes** button to examine the attributes of any selected document.

3 In the Change Request Information box, select the **Nature of Change** from the drop-down list:-

– Document Content - request to change the content of an existing document.

– Document Attributes - request to change the attributes of an existing document (see Raising a CRQ for document attributes).

– New Document - request to add a doc. to the system (see Raising a CRQ for a new document).

– Withdraw Document - request to withdraw document.

– Distribution List - request to add or remove users from the distribution list.

– Edit List - request to change the edit list of the document.

4 Enter a date by which the CRQ should be actioned in the **Target Date** field. If the target date is reached without the CRQ being actioned, a notification is sent to the owner and the person who raised the CRQ.

5 To attach a file to the change request, click on the Attachments button to open the **Change Request Attachment Form**.

6 In the **Actionee** field, enter the user to implement the CRQ if it is subsequently approved. Normally the actionee should be on the edit list for the relevant document – but see notes below regarding nominating actionees for each type of change request.

- For ***Document Content change requests***, the system will check to see if the proposed actionee is on the **Edit** list for one or more of the documents that have been selected for change; if not, a warning will be given allowing you to proceed or to change the actionee. If you decide to proceed, the actionee will receive an appropriate task request when the CRQ has been fully approved (providing that the CRQ approval process is being used). If the CRQ approval process is not in force, no message will be sent. For all CRQs (apart from a Document attributes CRQ), actionees not on the document's **Edit** list will only be able to action the CRQ through the task bar and not through **Open Change Request**.

Up until a Document Content change request has been assigned (the point at which editing can begin) the document owner may change the nominated actionee. The CRQ must have the status of either 'Undergoing Approval' or 'Approved'. The actionee can also be changed by anyone who can approve the document as long as the change request status remains ' Unauthorised' (ie. it has not been approved).

NB. If the *Edit document content* workflow setting is unchecked, the document content cannot be edited. You may still raise a CRQ against the document, but will be warned that it will not be editable upon the CRQ being approved.

Other workflow settings may affect Document Content change requests - see Document processing flow | Document changes.

- For ***Document Attributes change requests***, nominated actionees will have their access rights to the **Document attributes** dialog checked. If they do not have access to:-

  – the Document attributes dialog OR

  – the Workflow Settings Access lists OR

  – the Workflow Settings Advanced Document Attributes group

  a warning will appear. If the raiser continues to raise the change request with this actionee, the actionee will be granted 'temporary' access for the actioning of the change request. See Raising a change request for document attributes.

- For ***New Document change requests***, workflow settings allow you to set up default approvers and actionees for new document change requests, see Raising a change request for a new document.

- For ***Withdraw Document change requests***, the Search button alongside the **Actionee** field is disabled. The only person who may withdraw a document is the Owner.

7 Enter mandatory **Details of Change** and **Reason for Change**. **NB**. If raising a change request from the **Maintain Scheduled / Unscheduled Review** dialog, any **Notes** (bottom of dialog) will be carried over and appear in the **Details of Change** field on the **Raise Change Request** dialog. The review number and type (ie. scheduled or unscheduled) will also be shown on the **Change Request Detail** dialog.

8 If the *Require password when raising a change request* workflow setting is checked and depending on your login authentication, you may now be asked to enter your password. Leave this field blank if you do not have one. Click **OK**.

9 **Save**.

If multiple documents are selected to raise a CRQ against, the same change request will be applied to all.

Annotation

If the separately licensed element that allows documents to be annotated is switched on, the *Allow annotation of document when raising a change request* is checked and you have the required access rights and permissions, then the **Annotate** button will be present and enabled on the **Raise Change Request** dialog, providing the Nature of Change is Document Content. For all change requests other than Document Content, the button will be greyed out. **NB**. If the Annotation element is not licensed at all then neither the buttons nor related workflow settings will be present.

1 If you wish to annotate the document, perhaps to suggest the nature of the document change to user(s) who will be asked to approve the change request and the user who will ultimately edit the document, then click on the **Annotate** button.

2 The selected document will appear either in its original format (eg. Word) or as a PDF file (depending on the configuration of workflow settings).

3 Make the required annotations to the document, tracking them if required (and you have the option), and **Save** before closing. Annotation methods will vary according to the format of the document; if in doubt, check the relevant Help topics of the editor you're using.

4 You will then be asked if you wish to save the annotated document to the database. **NB**. This may happen twice, eg. the first time in Word or Acrobat and then again in the Workbench **Annotation complete** box. Make sure you hit **Yes** in the **Workbench** message or your annotations will not be saved. If you click **No**, the changes that you've just made will not be saved and you will be asked to confirm your decision.

5 The raising of the change request then proceeds as normal. However, when the change request is viewed, a **View Annotated Document** button on the **Description** page of the **Change Request Detail** dialog will allow appropriate users to view the annotated document. The original (un-annotated) document may still be viewed via the **View** button on the main **Change Request Detail** page where a message in red - 'There is an annotated document associated with this document' alerts the actionee to an annotated document's existence.

8.1.1 Raising CRQs against issued documents only

The setting *Can only raise CRQs against issued documents*, if set, disallows the raising of change requests against documents that have never been issued (see Workbench Configuration Centre | System Wide | Module Settings | Document Control settings to switch this option on/off).

If checked, the **Raise Change Request** dialog will recognise the setting and only display documents that have been issued, ie. documents with status 'Issued' or 'Issued,.............' etc., see Raising a change request. The change request will automatically be raised against the last issued version of the document.

If the relevant workflow setting is unchecked, the system will allow CRQs to be raised against draft versions of the document.

8.1.2 Raising a CRQ for document attributes

Raising change requests for document attributes is controlled by various workflow settings. This type of change request, if required, is raised in the **Raise Change Request** dialog by selecting 'Document Attributes' from the Nature of Change drop-down menu.

- The *Require document attributes change request* setting (Document Processing Flow | Document Changes) is unchecked by default. If the setting remains unchecked, after upgrading, the system will continue to work as previous versions of Workbench - ie. no change will be apparent.
- Although the default will be set in the **Workbench Configuration Centre**, the setting will filter to the **Document Business rules** on creation of a new rule and can be set at individual document level.
- If the *Require document attributes change request* setting is checked, **Edit Document Attributes** becomes read-only and a CRQ must be raised in order for a document's attributes to be changed.
- Any person who can view the document may raise a change request to change that document's attributes.

- In order to action an approved Document attribute CRQ the actionee requires full access to the **Document Attributes** dialog regardless of the set access rights. If an actionee is nominated who, under normal circumstances, does not have the required access rights, a warning will be issued (at the time of nomination and also when being approved).
- If the *Change request approval process* setting is checked, the Document attribute CRQ must be approved by any one person on the **Changes** list (or the document's **Approval** list if the **Changes** list is empty). If the *Change request requires approval from all approvers* setting is also checked, then all approvers must approve before the change request may be actioned.
- On approval of the CRQ, a notification *Change request <number> approved completely* is sent to the actionee (or admin. if no actionee), the person who raised the change request and the owner. The status of the CRQ becomes 'Awaiting Action' until the actionee (or anyone else with access if no actionee) edits the document's attributes. If an actionee has been nominated, they will receive a task message *Please action approved change request <number>*.
- The actionee (if nominated), may then make the necessary changes to the document's attributes using the **Open Change Request** dialog or via the Tasks bar. If there is no actionee and the *Change request approval process* setting is checked, the last approver can action the change request.

Once the initial editing session of the attributes has been saved, the attributes become read-only once more and another CRQ must be raised before further edits can be made.

8.1.3 Raising a CRQ for a new document

Change requests for a new document work differently to other change requests:-

- any one person may raise a change request for a new document; this type of change request will not require approval from all approvers (even if this workflow setting is checked).
- change requests for a new document may be raised and approved during a review. If there is an annotated document associated with the review the approver will be given the option to use the annotated document as the basis for the new document.
- by default, New Document CRQs must be approved by admin. Four workflow settings (Workbench Configuration Centre | Workflow Settings page | System Wide | Module Settings | Document Control Settings) now allow you to configure an approver and actionee:-
  - *Approval required for new document change requests* - when raising a New Document change request, if this option is checked (the default) then a *Please approve change request* task will be sent to the New Document CRQ approver (specified in the option below). If the workflow setting is not checked, then the change request will automatically be approved and a *Please create document* task will be sent to the New Document actionee.
  - *Approver of new document change requests* - this option will only be enabled if the above setting is checked. To set, highlight the entry and enter the name of the required approver in the **Setting value** field below (using the Search button if required). If set, all New Document change requests must then be approved by this person. If an approver is not nominated (ie. the workflow setting is blank) then 'admin' will be asked to approve the New Document CRQ. A task request *Please approve change request* will be sent.
  - *Default new document change request actionee* - if an actionee is nominated in this workflow setting the **Actionee** field in the **Raise Change Request** dialog will default to this person. If no actionee is selected, the field will be blank and you may select anyone you wish when raising the change request.
  - *Can change actionee when raising a new document change request* - if checked the **Actionee** field can be changed when raising a New Document CRQ. If unchecked, the **Actionee** field will display the nominated person (if one exists) who will not be editable.

NB. If no default actionee is specified in the third setting and this fourth setting remains unchecked, then the change request is forced to have no actionee and therefore can only be actioned by admin.

- if the *Change request approval process* workflow in New Document Settings | Document Processing Flow | Document Changes is unchecked, the person nominated as a New Document change request approver will not be asked to approve the change request and no task message will be sent. The change request will be marked as approved immediately. If a default actionee has been nominated (third setting, above) they will then become the approved actionee of the new document change request.
- on approval of the CRQ, the *Please approve change request* task is marked as complete and a new task *Change request <number> approved - please create New Document* is sent to the actionee (or admin if no actionee). The status of the change request becomes 'Awaiting Action' and the new task remains open and active until the new document is marked for approval by the actionee or admin.
- Viewing restrictions are not applied to the CRQ until the document's **Access** lists are defined.

NB. If there are any change requests for a New Document that have not been approved when a **CRQ Detail** or **Summary** report is requested, these will be displayed in the report with a Document Serial Number of '0'.

8.2 Change request searches

After a change request has been raised it will appear in menu items in the **Changes** menu. The **Select Change Request** dialog will be used each time a specific change request is to be selected.

If you have chosen to *Use DocLists for document classification and filtering* (**File | User Preferences | Workflow Settings** page) each **Select Change Request** dialog will be displayed in the typical DocLists format – see Using DocLists and the Change Request Portal.

To demonstrate a typical Select Change Request dialog

1. From the **Changes** menu, choose **Open Change Request**.
2. If the list of change requests is long, use any or all of the methods described below to help in the search. Alternatively, click on the CRQ to highlight it and then click **OK** or just double-click on the chosen change request. The selected **Change Request** dialog will then open.

   Search for, order and filter the change requests displayed, according to the following options:-

   Search Criteria - at any time the Search button allows you to search through records listed in different ways. In this dialog it allows you to search for a document by Document Serial Number (keyboard shortcut F3), User Reference (F4), Document Title (F5) or by Change Request Number (F6). If you select one of these, only change requests that match the chosen criteria will be left in the lists.

   Order By - click on the drop-down menu to order the list by Change Request Number, Document Serial Number, User Reference or Document Title.

   Filter By - click on any or all of the four drop-down menus - Status, Approval Status, Change Request Type, Originating Module - to reveal the categories available.

   NB. The drop-down menu for Originating Module also contains a filter for Reviews - ie. change requests that have been initiated from a review (see Raising a change request).

Change requests that do not fall into the selected categories (if any) will be filtered out of the list.

8.3 Approval status for change requests

After a CRQ has been raised, depending on the nature of the change and nominated approvers, its status can be, at any time, any of the following:-

- **Unauthorised** - when a CRQ has been raised but neither approved nor rejected.
- **Undergoing approval** - when approval has been started, and approval is required by more than one user.
- **Approved** - when a CRQ has been approved but has not yet been assigned to the document.
- **Assigned** - when a CRQ has been assigned to an edit session of the document. (Different users, with appropriate access rights, may action different CRQs raised against the same document.)
- **Awaiting action** - when a CRQ (apart from Document Content) has been completely approved but not actioned.
- **Marked as done** - when a document has more than one CRQ raised against it with different assignees, a CRQ may be marked as 'Done' when there are still other outstanding CRQs (it is therefore not Complete).
- **Complete** - when a CRQ has been completed.
- **Rejected** - if a CRQ is rejected by any approver or the administrator.

8.4 Using DocLists and the CRQ portal

The option to use DocLists is available per database, per user. Providing that you have access to the **Personal Workflow Settings** page of the **User Preferences** menu option, the decision to use/not to use DocLists can be toggled on and off as you wish using the *Use DocLists for document classification and filtering* setting.

No History entries are recorded for changes made to actual DocList entries.

If you have chosen to use DocLists, the Change Request portal will appear for all **Select Change Request** dialogs. It works in exactly the same way as the Document portal but offers slightly different search routines - and multi-selection of records is not allowed.

Change Request searching

You may restrict the list of document change requests displayed using any or all of the following methods. If you restrict using one routine and then restrict with another, the CRQs shown will only be those that match all sets of criteria, ie. all searches work together; they are AND (not OR) unless otherwise stated.

Search button (top)

The simplest form of search is achieved using the Search buttons at the top left of the dialog; there are two Search button searches on the Change Request portal. The top search refers to Documents and restricts the documents shown to those that match the value in the search field. Search options are Document Serial No, User Ref and Title.

Search button (bottom)

The lower Search button searches within change requests. Search options are CRQ ID, Approval status and Originating module.

All Document Statuses (drop-down menu)

At the top right-hand side of the dialog there are four drop-down lists; the first choice displays a list of all possible document statuses. Selecting the top entry <*All Document Statuses*> cancels any previous restriction produced by a selection in this control. Selecting any other entry restricts the list of documents to only those that match the selected status.

All CRQ Statuses (drop-down menu)

Underneath the Document Statuses drop-down menu is the CRQ Statuses drop-down menu that offers a search in <*All CRQ Statuses*> (the default) or allows you to select CRQs with a specific status. Selecting the top entry <*All CRQ Statuses*> cancels any previous restriction produced by a selection in this control. Selecting any other entry restricts the list of CRQs to only those that match the selected status.

All CRQ Routines (drop-down menu)

Alongside the Document Statuses drop-down menu is the CRQ Routines drop-down menu that offers a search in <*All CRQ Routines*> (the default) or allows you to select any one Workbench CRQ routine. Selecting a specific option restricts the list of CRQs to those ready for that process for the current user (eg. a change request may be waiting for approval, but not for the current logged-in user). Selecting the top entry <*All CRQ Routines*> cancels any previous restriction produced by a selection in this control.

All CRQ Types (drop-down menu)

Underneath the CRQ Routines drop-down menu is the CRQ Types selection. From here you may elect to only show, for example, Document Content CRQs. Selecting the top entry <*All CRQ Types*> cancels any previous restriction produced by a selection in this control. Selecting any other entry restricts the list of CRQs to only those that match the selected type.

Apart from the searches above (and the disallowing of multi-selecting), everything else on the **Change Request Portal** functions exactly as the **Document Portal**. Please see Using DocLists with the Document Portal for full details.

8.5 Viewing a change request

The **Change Request Detail** dialog allows a user to view the details of any change request associated with a document to which they have view rights. It is not possible to edit any part of the change request from this dialog but a new change request can be raised from here.

The **Change Request Detail** dialog can be accessed from several dialogs - usually via the **View** button on the **Changes** page of the **Document Attributes** dialog.

Viewing a change request

1 In the **Document Attributes** dialog (reached via the **Attributes** button on any **Select Document** dialog or directly via the **Edit Document Attributes** dialog), select the **Changes** page. (If you need to raise a change request, and have the appropriate permissions to do this, click on the **Raise** button.)

2 Highlight the change request that you wish to view details of (if more than one is listed) and then click on the **View** button. The **View Change Request** or **Change Request Detail** (depending on the current status) dialog will appear.

   The unique **CRQ Number** allocated by the system is shown at the top of the dialog. Alongside this is a print button to print the CRQ details in report format (including attachments, if any).

Target Date shows the date by which the CRQ should be completed (if originally specified).

The **Raised By** field shows the user raising the CRQ and below this, the date it was raised.

The **Actionee** field shows the user responsible for implementing this change, if approved.

CRQ Type shows the type of CRQ (if entered when the CRQ was raised).

CRQ Status is entered automatically by the system and shows the CRQ's current status.

The Attachments button opens the **Change Request Attachment Form**, where you may view files (if any exist) that are attached to the change request.

The **Completed** field shows the date of completion if the CRQ has already been completed.

Click on the **Notes** button to view any notes.

Details of the document to which the CRQ refers are shown at the bottom of the page. To view the document, click the **View** button. If both Issued and Draft versions exist you should select one (provided that the workflow setting does not restrict viewing to issued documents only).

3 The **Description** page displays the given mandatory details of and reason(s) for the CRQ. If a document relating to the change request has been annotated you may also view that document here using the **View Annotated Document** button.

8.6 Opening a change request

The **Open Change Request** dialog allows a user to view the details of any CRQ associated with a document to which they have view rights. Depending on the status of the document and the user's additional rights, the user may then update, approve or reject the change request.

If the logged-in user has checked the *Use DocLists for document classification and filtering setting* (**File | User Preferences | Workflow Settings**) then the **Select Change Request** dialog will appear as a 'portal', see Using DocLists and the Change Request Portal.

This dialog also allows the document owner to change the actionee on any content change request against a document that they own, providing that it is of 'Undergoing approval' or 'Approved' (but not assigned) status – and providing that a default actionee has not been specified in the workflow setting (see Raising a change request for a new document). Again, providing that a default actionee has not been specified, the actionee can also be changed by anyone who can approve the document, as long as the change request status remains Unauthorised (ie. it has not been approved) - see Changing the CRQ actionee.

Anyone (with view rights) can view the change request details. The pattern of approval or rejection of the change request is largely dependent on whether the *Change request requires approval from all approvers* workflow setting is in force.

Opening a change request

1 From the **Changes** menu choose **Open Change Request**.

2 In the **Select Change Request** dialog select the chosen change request using any of the methods described in Change request searches; the **Change Request Detail** dialog will appear. The top of the dialog shows the Change Request Details. Details of the document to which the change request is attached are shown at the bottom of the dialog.

The unique **CRQ Number** allocated by the system is shown at the top of the dialog and cannot be changed. Alongside this is a button to print the CRQ details in report format (including attachments, if any).

CRQ Type (if entered when the CRQ was raised), and **CRQ Status** are read-only.

Target Date shows the date by which the CRQ should be completed (if a date was originally specified). You may add a date or alter an existing one providing that the CRQ status is still ' Unauthorised'.

The **Raised by** field shows the user raising the CRQ and below this, the date it was raised.

The **Actionee** field shows the user responsible for implementing this change, if approved. Up until a Content change request has been assigned (the point at which editing can begin) the document owner (and only the document owner) may change the nominated actionee. The CRQ must have the status of either 'Undergoing approval' or 'Approved'. The actionee must be on the relevant document **Edit** list; if not, a warning is given. You may elect to retain this actionee or, at this point, the document owner may choose an alternative from the document **Edit** list. However, if workflow settings have been configured in such a way that a default actionee has been nominated and no change to this is allowed, then even the document owner cannot override this actionee.

If the CRQ has already been approved and the actionee is changed, on saving, a mandatory **Reason for Actionee Change** notes box will appear. The system supersedes the task sent to the old actionee and automatically sends the new actionee a task message. The change is also logged on the document's **History** page where the reason(s) for change will be made available via a right-click on the mouse.

If the CRQ has been raised as the result of a review, there will be a **Reviews** field (under the **Actionee** field) showing the review number and type. If the review is purged, there will be a 'Raised from Review' message in red type, indicating the origin of the change request.

If there is an annotated document associated with the change request, a message in red will inform you of this and the annotated document can be viewed via the **View Annotated Document** button on the **Description** page.

The Attachments button opens the **Change Request Attachment Form**, listing any files already attached to the change request - and allowing you to attach a new file if required.

The **Completed** field shows the date of completion (if the change request is complete).

Click on the **Notes** button to view or add any notes (if you have the necessary access rights and providing that the CRQ Status is still 'Unauthorised').

The **Serial number**, **User reference** and **Title** of the parent document are shown at the bottom of the dialog; also the **Last Issue** and **Revision** number of the document the CRQ is raised against. For New Document CRQs, these fields are not applicable. Use the **Attributes** button to view the document's attributes. Use the **View** button to view the actual document.

The **Description** page displays the given mandatory details of and reason(s) for changes; these can be appended providing that you have relevant access rights and that the CRQ Status is still 'Unauthorised'. From here you may also view any annotated document associated with the CRQ.

8.7 Changing the CRQ actionee

Up until a Content change request has been assigned (the point at which editing can begin) the document owner may change the nominated actionee. The CRQ must have the status of either ' Unauthorised', 'Undergoing Approval' or 'Approved'.

The actionee can also be changed by anyone who can approve the document as long as the change request status remains 'Unauthorised' (ie. it has not been approved).

However some Document workflow settings now affect New Document change requests and if configured to do so, will not allow the changing of a default actionee if one is nominated – see Raising a change request for a new document.

Changing the CRQ actionee

1. From the **Changes** menu choose **Open Change Request**.
2. In the **Select Change Request** dialog select the chosen change request using any of the methods described in Change request searches; the **Change Request Detail** dialog will appear. (Remember that the change request must have either 'Unauthorised', 'Undergoing Approval' or 'Approved' status if you are the document owner - or 'Unauthorised' for anyone else who may approve the document.)

   The dialog is read-only apart from the **Actionee** field that will have a Search button alongside it, allowing you to select a new actionee. If the field is greyed out, you either do not have the necessary permissions, the status is such that changing the actionee is no longer possible, or the workflow settings are configured so that the actionee may not be changed.
3. Select the new actionee if possible and **Save**.

If the new actionee does not normally have edit rights to the document you will receive a warning.

8.8 Approving a change request

The bottom buttons on the **Change Request Detail** dialog, allowing you to **Approve** or **Reject** a change request, will differ according to the status of the CRQ and whether or not other approvers (if any) have already approved or rejected it. You may also be presented with change requests in the **Select Change Request** dialog where you may view but are not actually required or allowed to approve or reject the change request.

If the *Change request requires approval from all approvers* setting is set in the **Workbench Configuration Centre** and any one approver rejects the CRQ, the document reverts to the status it had before the CRQ was raised and a notification is sent to all users who have already approved the change request.

A warning will be given if you attempt to approve a document undergoing review. In order to proceed with the change request the document owner (or admin) should close or stop the review. You may, however, reject a change request whilst a document is under review.

Admin. (and only admin) may over-ride another user's decision to Approve a change request - ie. admin. may decide to Reject it.

Approving and implementing a change request

1. From the **Changes** menu choose **Open Change Request** (or go direct to the dialog from your Tasks button in the main toolbar if appropriate).
2. In the **Select Change Request** dialog select the chosen change request using any of the methods described in Change request searches.
3. The **Change Request Detail** dialog will open giving full details of the change request. If the document is undergoing a review, the **Details** page of the dialog will show this in red type. If there is an annotated document associated with the change request the **Details** page will also show this in red type; with appropriate access you may view the annotated document from the **Description** page of the dialog via the **View Annotated Document** button.
4. If you are happy to approve the change request click on the **Approve** button at the bottom of the **Change Request Detail** dialog. A warning message, along with further instructions, will be given if there is any reason why approval is not possible. See also, Rejecting a change request
   .
5. Enter your password.

6 Click **OK**. If the CRQ is for a new document, raised from a review, a Confirmation message will then appear - please see New document change request.

Once a change request has been fully approved, the implementation of the change will vary according to the nature of the request - see below.

Change request requires approval from all approvers

Document content change request

Document attributes change request

New document change request

Withdraw change request

Distribution list change request

Edit list change request

8.8.1 Change request requires approval from all approvers

When a CRQ is raised against a document (apart from for a New Document), approval of that change request will initially be governed by whether the *Change request requires approval from all approvers* setting is checked or not on the Document Changes workflow settings:-

- if the setting is checked, then every person on the Change request approval list (**Changes** list) will be required to approve the CRQ before the document is set to **Edit** status.
- if the setting is checked but the Change request list is blank, then the document's **Approval** list will be used, and all users on that list will be required to approve the document change.
- if the setting is checked and there is neither a **Changes** list nor document **Approval** list, then any one person who can see the document may approve the CRQ.

If the *Change request requires approval from all approvers* setting is not checked on the document workflow settings, then one of the following will happen:-

- if the setting is not checked and there is a Change request list then the user will be appropriately warned and if they choose to continue, any one person from the **Changes** list may approve the document.
- if the setting is not checked and there is not a **Changes** list then any one person from the document's **Approval** list may approve the CRQ.
- if the setting is not checked and there is neither a **Changes** list nor document **Approval** list, then any one person who can see the document may approve the CRQ.

8.8.2 Document content change request

If the *Require content change requests* workflow setting is checked, the content of a document cannot be edited without an approved Document Content change request. When this change request is fully approved, the document becomes available for the requested edit changes.

Document content CRQs are 'assigned' before editing commences; this indicates that work on the change request has begun. Open the document for editing in **Documents | Edit Document**, select the relevant document and the **Next Revision Level** dialog box will appear. The revision level of the document must be increased before the document content can be edited. If there are multiple CRQs against the document, it is only necessary to alter the revision number once.

The **Next Revision Level** dialog displays all approved change requests against the document about to be edited, but depending on how workflow settings have been configured, only those change requests that are specifically assigned to the logged on user or have a blank **Actionee** field will be available for assignment - see Next revision level (when change requests have been raised).

Where the Annotation element is licensed and being used, documents that have been configured to allow annotation will display either an **Annotate Document** or **View Annotated Document** button on relevant dialogs.

See Document Changes settings for other settings that will affect the processing of Document Content change requests.

8.8.3 Document attributes change request

If the *Require document attributes change requests* workflow setting is checked, document attributes cannot be edited without an approved document attributes change request. When this change request is approved, the document then becomes available for the requested document attribute changes. Under these conditions attribute changes can only be actioned from within the **Open Change Request** dialog by the nominated actionee or from the actionee's Tasks bar by opening the *Please action approved change request* task.

If there is no actionee, then the last approver may action the request (if approval is required); if the change request approval process is not in force, then by anyone with access.

In **Changes | Open Change Request**, select the required change request (the status should be 'Awaiting Action') and the **Change Request Detail** dialog will open. Click on the **Action** button to open the **Document attributes** dialog and make the required changes. You may make as many changes as you wish in one editing session but after hitting the **OK** button any further changes to the document's attributes will require another change request to be raised.

See also: Raising a change request for document attributes

8.8.4 New document change request

Whereas new documents can be readily created using the **Document | Create or Import Document** option, the advantage of creating a new document by raising a change request is that it forces a reason to be given for why the document is required. Once approved, a New Document change request will open the **Create or Import Document** dialog in the normal way.

By restricting access to the **Documents | Create or Import Document** menu option but allowing access to the **Changes | Raise Change Request** you can effectively force users to provide reasons for creating documents.

If there is an **annotated** document associated with the New Document change request, on approval of the change request a message will appear asking if you wish to use this annotated document as the base for the new document. If **Yes** then the **Import Document** dialog will open with all details and document attributes from the annotated document copied over; these can be changed as normal. If **No**, then the **Create or Import Document** dialog will open allowing you to create the new document from scratch.

See also: Raising a change request for a new document

8.8.5 Withdraw change request

Approving a Withdraw Document change request will allow the relevant document to be withdrawn from the Workbench database. Documents are normally withdrawn if they are obsolete or have been superseded. When a Withdraw Document CRQ has been fully approved, the owner of the document will receive a request to withdraw it - only the owner of a document can withdraw it.

However, a workflow setting in the **Workbench Configuration Centre**, if checked, prevents documents from being withdrawn. You may still raise a change request for withdrawal but will be warned that even if the withdrawal CRQ is fully approved, the document may not be withdrawn.

Another setting governs whether approval will be required from all approvers before a withdrawal CRQ may be implemented. For information on both settings, see Document processing flow | Document withdrawals.

Once a Withdraw Document change request has been approved, further Withdraw change requests against the same document cannot progress any further. After the document has been withdrawn, other Withdraw change requests against it will be marked as 'Rejected'.

8.8.6 Distribution list change request

If an **Actionee** has been nominated, a task message *Please action approved change request <number>* will be sent to them. Once a **Distribution** list change request has been approved, the **Access** page of the **Document Attributes** dialog will be displayed in Edit mode; only the **Distribution** list will be shown.

Double-click on the Individuals and/or Groups heading to expand the bottom of the dialog where the actionee (or users with access) may then select or de-select individual users or personnel groups to be on the document's distribution list.

8.8.7 Edit list change request

If an **Actionee** has been nominated, a task message *Please action approved change request* will be sent to the actionee. After an **Edit** list change request has been approved the **Access** page of the **Document Attributes** dialog will be displayed in Edit mode; only the **Edit** list will be shown.

Double-click on the Individuals and/or Groups heading to expand the bottom of the dialog, where the actionee or users with access rights may amend the list.

8.9 Rejecting a change request

1 Click the **Reject** button (if available) in the **Approve Change Request** dialog (see Opening a change request).

2 Enter the reason for rejection (this is mandatory).

3 Enter your password.

4 Click **OK**.

The change request is rejected and an appropriate message is sent to the owner (unless New Document CRQ), the person who raised the CRQ, the proposed actionee and all approvers; the rejection reason is included on the external mail and also recorded on the document's history log (right-click on the relevant entry on the **History** page).

A **View Rejection Reason** button will also appear along the bottom of the **View Change Request** dialog if a CRQ is rejected. Click on this button to view details of the rejection.

If you are not using **Approval** lists, a notification is sent to the document owner, the person who raised the CRQ and admin.

8.10 Approving a change request for another user

There may be times when a user who is required to approve a change request is unable or unavailable to do so. Such situations can arise, for example, if a person who needs to approve a CRQ is not a Workbench user. Alternatively, a critical approval process may be held up by a member of personnel being absent because of sickness or on holiday. To deal with this, Workbench allows users on the same approval list to approve a CRQ on behalf of another user.

However, there is an additional option that allows approvers to select delegates to approve change requests (or documents) on their behalf. If this option is in force (see Delegates) the logged-in user will require access not only to the **Approve for** menu item but they must also have been assigned as a delegate. This gives greater control over approval on behalf of others. With appropriate access rights you may assign delegates (Individuals or Approval groups) on the **Delegates** page of the **File | User Preferences** menu option.

There are two levels of delegation - assigning delegates for yourself and assigning them for other users. Access is controlled in separate options by the system administrator in **Access | Set User**. This means that users can be given access to set up their own delegates but may be denied access to assign delegates for other users. However, if you are granted access to assign delegates for others you will automatically be able to set up delegates for yourself.

The administrator is allowed to approve change requests (and documents) on behalf of any user without the need for delegation to be set up.

An entry will be written to the document **History** page to the effect that this CRQ has been approved by a different (named) user on behalf of the nominated user.

Approving (or rejecting) a change request for another user

1. From the **Changes** menu choose **Approve Change Request For**.
2. From the **Select Member of Personnel** dialog, select the user for whom you wish to approve the CRQ. Only users who have been sent a task request to approve the CRQ or who have been nominated as a delegate for another user will be available for selection. By default, users who have left will not be shown but if you wish to include them in the list, tick the check box at the top right of the dialog.
3. In **Select Change Request**, select the CRQ to be approved. Only change requests with 'Unauthorised' or 'Undergoing Approval' status will be shown.
4. Complete / amend details on the **Approve Change Request** dialog and **Approve** or **Reject** using the buttons at the bottom of the dialog (you may not have the option of both, see Approving a change request or Rejecting a change request).
5. When you click **Save**, the selected CRQ will be approved (or rejected, in which case you will need to give a rejection reason and verify with your password); you will automatically be returned to the **Select Change Request** dialog. Select another CRQ to approve or **Close**.

A notification will be sent to the original approver, telling them that the CRQ has been approved or rejected on their behalf and by whom. A similar **History** entry is also logged.

8.11 Change request approval progress

If you wish to check the progress of change request approvals (where an **Approval** list exists) you may do so in **Changes | Change Request Approval Progress**. This dialog is designed to show the progress of change request approval by showing a list of all personnel on the CRQ approval list (**Changes** list) and whether or not they have approved it.

Viewing the progress of change request approvals

1 From the **Changes** menu choose **Change Request Approval Progress**. The **Select Change Request** dialog will appear; this will show only change requests to which you have access and which are awaiting approval.

2 Select the change request you wish to view. (See Change request searches for help if required). The **Users in Approval List** dialog will appear, listing all personnel on the approval list for the chosen change request.

The system-generated CRQ number is shown in the top header band.

You may use the Search button to search for a specific user by Personnel ID (F3) or within their Surname (F5).if the list is long.

A 'Y' (Yes) showing in the column headed Approved? (to the right of the dialog) marks users who have approved the change request. An 'N' (No) in this column means they have not yet approved the document (but doesn't mean they have rejected it).

9 Control menu

The Document Control module's **Control** menu contains the options that probably will be the most strictly managed in your system. This is primarily because the approval and issue of documents is carried out here, together with a number of associated options. Access to this menu is therefore likely to be a fairly dominant security issue and worth taking some time to plan.

If you have chosen to *Use DocLists for document classification and filtering* (**File | User Preferences | Workflow Settings** page) each **Select Document** dialog that precedes all routines in the Control menu will be displayed in the typical DocLists format – see Using DocLists.

9.1 Marking a document ready for approval

When a document is entered into the system (either by creating a new document or importing an existing one), depending on how the processing flow has been configured the document may or may not require marking for approval. The formal approval process is switched on or off in the Workbench Configuration Centre | Workflow Settings page | New Document Settings | Document processing flow | Document approval:-

- regardless of whether the *Document approval process* is checked or not, on completion of editing (if allowed), or after importing or creating a document, the owner may simply save the document to the database, in which case it will move to the **Mark Ready for Approval** menu item where it may be viewed (and actioned) by users with appropriate access rights.
- if *Document approval process* is checked, on completion of editing (if allowed), or after importing or creating a document, the user may also elect to mark the document ready for approval. The document requires an **Approval** list where the approvers must approve or reject the document. The document will move straight to the **Approve Document** (or **Approve Unassigned Document**) menu item depending on the rules etc. in force.
- if *Document approval process* is unchecked, on completion of editing (if allowed), or after importing or creating a document, the user can elect to mark the document ready for issue (if the *Require formal issue process* option is also checked) in which case the document will move straight to **Mark Ready for Issue** menu item - or issue the document (if the *Require formal issue process* option is unchecked). No **Approval** list is required.

For further information on switching on/off approval and issuing process - see Document processing flow | Document approval.

Marking a document ready for approval

1. From the **Control** menu, choose **Mark Ready for Approval**.
2. Select the document you wish to mark, using any method (see Searching for documents or Using DocLists). **View** the document and / or its **Attributes** by clicking the relevant button.
3. Click **OK**.

   If the workflow setting *Convert document to PDF format* has been configured to be activated 'When marking document ready for approval', then an Information message will appear informing you that the draft document is about to be converted to PDF. Read the rest of the message and click the **OK** button. The draft document will be converted to PDF. When the document is then viewed by approvers in the **Approve Document** dialog (and ONLY in **Approve Document**) it will appear in PDF format.

   If PDF-XChange is not installed on your computer, a message will appear informing you that it will need to be installed before the document can be marked ready for approval; the document's status will remain at New Draft.

Alternatively a document can be marked ready for approval following an edit by the editor - see the Help topic for the Edit Complete dialog.

9.2 Marking a document ready for issue

Where documents are required to go through the formal issuing process they must first be marked as ready for issue, before issuing. A *Please issue document* task message is sent to those on the **Issue** list (if one exists, otherwise the owner).

The *Require formal issue process* is switched on or off in the **Workbench Configuration Centre** (Document processing flow | Document issuing):-

- If checked, the document must be marked ready for issue then formally issued. But it can only be marked for issue when it reaches the appropriate stage - this will be either when it is a draft or after it has been fully approved, depending on whether the *Document approval process* setting is switched on or off.
- If unchecked, the document can be issued at the appropriate time without having to mark it ready for issue (ie. the **Mark Ready for Issue** dialog will not be required). The document may be issued either when it is a draft, or after it has been fully approved (when it will be issued automatically) depending on whether the *Document approval process* setting is switched on/off.

Marking a document ready for issue

1. From the **Control** menu, choose **Mark Ready for Issue** (or go direct to the dialog from your Tasks button in the main toolbar if appropriate).
2. Select the document you wish to mark, using any method (see Searching for documents or Using DocLists). **View** the document and / or its **Attributes** by clicking the relevant button.
3. Click **OK**.

Alternatively, if configured to do so, a document can be marked ready for issue immediately following creation / importing / editing - see the Help topic for the Edit Complete dialog.

9.3 Approving or rejecting a document

The **Approve Document** dialog enables you to approve or reject a document that has been marked as ready for approval and that has an **Approval** list that you are on. The routine initially displays a search grid listing only those documents awaiting approval by you. Where no **Approval** list exists, users with appropriate access rights may approve documents via the **Approve Unassigned Document** option.

However, various document approval process settings may be switched on (checked) or off (unchecked) by the system administrator in the **Workbench Configuration Centre**. The configuration of these settings will affect how the approval process flows:-

- *Document approval process* - if checked, on completion of editing (if allowed), or after importing or creating a document, the user can elect to mark the document ready for approval. The document requires an approval list where the approvers must approve or reject the document.

  If unchecked, on completion of editing (if allowed), or after importing or creating a document, the user can elect to mark the document ready for issue (if the *Require formal issue process* option is checked) or issue the document (if the *Require formal issue process* option is unchecked). No **Approval** list is required.

- *Allow approval of document without viewing* - this will be disabled unless the above option is checked. If checked, users will be required to view the document before being able to approve it. If unchecked, users may approve the document without viewing it.
- *Display warning if approving without viewing* - this will be disabled unless the above option is checked. If checked, the **Document Approval** dialog will provide a warning to the user if they try to approve the document without first viewing. If unchecked, users may approve the document without viewing it and will not receive a warning.
- *Require a reason for approval* - this option will be disabled unless *Document approval process* (above) is checked. If checked, the document will require a mandatory reason for approval. If unchecked, approvers may approve the document without giving a reason.
- *Use ordered approval lists* - this option will be disabled unless *Document approval process* (above) is checked. If checked, the document will require approval by users in the order specified.

  If unchecked, approvers may approve the document in any order. This option enables you to approve or reject a document which has been marked as ready for approval (see Marking a document ready for approval) and which has an **Approval** list that you are on.

What happens next?

An appropriate entry is made on the document's **History** page whether the document is approved or rejected. Right-clicking on this entry will reveal the approval or rejection reasons.

The **Approval Progress** dialog will show who has (Y) and who has not (N) approved the document. Any notes made regarding the approval can be viewed by right-clicking on the appropriate record.

When all the approvers (if others exist) have approved the document, it is ready to be issued.

If a document is rejected by any user it will disappear from the **Approval Progress** dialog. It appears again in **Control | Mark Ready for Approval** or **Documents | Edit Document** where it must eventually be re-marked as 'Ready for approval'. A notification *Document rejected* is sent to relevant users and a task message *Document rejected. Please edit document* to the last user who edited the document. If there is no last editor, then the message will be sent to the person who created or imported the document.

9.3.1 Approving a document

1. From the **Control** menu, choose **Approve Document** (or go direct to the dialog from your Tasks button in the main toolbar if appropriate).
2. After selecting a document for approval, the selected **Approve Document** dialog will appear. All Document Details at the top of the dialog are read-only.
3. Enter any notes in the **Synopsis** box.
4. You may **View** the document and / or the document's **Attributes** by clicking on the relevant button(s) at the bottom of the dialog. If viewing a document that had its *Convert document to PDF format | When marking document ready for approval* workflow setting selected, then the document will appear as a PDF.
5. In the Decision box, select the **Approve Document** radio button. Enter your password to verify the decision and click **OK.**

   NB. If the *Require a reason for approval* workflow setting is checked, an **Approval reason** will become mandatory. Go to the **Approve** page and select a reason from the drop-down menu; these reasons are set up in **Settings | Approval reasons** and cannot be added 'on the fly'. You may add further notes, if required, in the box below. Then click **OK**.

9.3.2 Rejecting a document

1 From the **Control** menu, choose **Approve Document** (or go direct to the dialog from your Tasks button in the main toolbar if appropriate).

2 After selecting the required document, the **Approve Document** dialog will appear. All Document Details at the top of the dialog are read-only.

3 Enter any notes in the **Synopsis** box.

4 You may **View** the document and / or the document's **Attributes** by clicking on the relevant button(s) at the bottom of the dialog. If viewing a document that had its *Convert to PDF format | When marking document ready for approval* workflow setting checked, then the document will appear in PDF format.

5 In the Decision box, click the **Reject Document** radio button.

A **Rejection reason** is mandatory and the Approve page is re-labelled **Reject** once you select the **Reject Document** radio button. Enter your reason in the Notes box on the Reject page. This may be as short or as detailed as you wish and will be displayed on the **Next Revision Level** dialog when editing a document after rejection.

The **Reject** page also offers an Attachment button so that you can add a rejection Attachment if required.

If there are change requests against the document you are about to reject, the Reject page will be split in two and further buttons will appear:-

Raise - you may raise an entirely new change request at this point using the **Raise** button. This may be necessary for instance, if all current change requests have been completed satisfactorily but there is still a problem with the document that needs correcting.

Details - use this button to invoke the **Change Request Detail** dialog of a highlighted CRQ.

Re-Open - this button is a toggle between **Re-Open** and **Reset** and can be used to re-open a completed change request. As you toggle between the **Re-Open** and **Reset** buttons, the Re-open column also toggles between No (Re-open) and Yes (Reset). Change requests that are re-opened will have their status reverted to 'Assigned', and the actionee will be sent a task message *Document <xx> rejected. Please edit document <xx>*; if there is no actionee, the person who marks the CRQ as done will get the task to edit the document. If the change request has a Due Date, an alarm will also be set.

Once clicked, the **Re-Open** button becomes the **Reset** button, which will then be used to reset the original setting if you inadvertently mark a change request for re-opening.

6 When the dialog has been completed as you wish, enter your password to confirm your decision.

7 Click **OK**.

9.4 Approving unassigned documents

This option enables users with appropriate rights to approve a document which has been marked as ready for approval but for which there is no approval list (ie. Unassigned). It is likely that you will want to restrict access here to the administrator only, but the system allows you to configure any access rights exactly as you wish.

Without the correct approval rights, an attempt to approve an unassigned document will result in a warning.

Approving an unassigned document

1. From the **Control** menu, choose **Approve Unassigned Document** (or go straight from the Tasks bar).
2. In the **Select Document to Approve** dialog, choose the unassigned document to be approved using any of the methods described in Searching for documents or Using DocLists. The dialog lists only those documents available for approval and for which there is no **Approval** list.
3. When the selected **Approve Document** dialog appears, continue exactly as for Approving or rejecting a document.

NB. When an unassigned document is marked for approval, the only person who will receive an external mail message - *Please approve unassigned document* - is the document owner.

9.5 Approving a document for another user

There may be times when a user who is required to approve a document is unable or unavailable to do so. Such situations can arise, for example, if a person who needs to approve a document is not a Workbench user. Alternatively, a critical document approval process may be held up by a member of personnel being absent because of sickness or on holiday. To deal with this, Workbench allows a user to approve a document on behalf of another user.

A user needs no specific access rights to approve a document with higher authority clearance so it is likely that the administrator will want to keep tight control over access to the **Approve Document For** menu item. However, there is an additional option that allows approvers to select delegates to approve documents (or change requests) on their behalf. If this option is in force (see **Delegates** in the System Manager module) the logged-in user will require access not only to the Approve for menu item but they must also have been assigned as a delegate. With appropriate access rights you may assign delegates (Individuals or Approval groups) on the **Delegates** page of the **File | User Preferences** menu option.

There are two levels of delegation - assigning delegates for yourself and assigning them for other users. Access is controlled in separate options by admin in **Access | Set User**. This means that users can be given access to set up their own delegates but may be denied access to assign delegates for other users. However, if you are granted access to assign delegates for others you will automatically be able to set up delegates for yourself.

Admin may approve documents and CRQs on behalf of any user without the need for delegation.

The document's **History** page is updated when a document is approved by a user on behalf of the nominated user on the Approval list.

Approving a document for another user

1. From the **Control** menu choose **Approve Document For**.
2. From the **Select Member of Personnel** dialog, select the user for whom you wish to approve the document. See Search routines if you need help. **NB**. If you want to approve a document for a user who has left, tick the *Include personnel who have left* check box.
3. In the **Select Document** dialog, select the document to be approved, using any of the methods described in Searching for documents or Using DocLists.
4. Complete the **Approve Document for <user name>** dialog; this is exactly the same as the **Approve Document** dialog, see Approving or rejecting a document.
5. When you click **OK** the selected document will be approved and you will automatically be returned to **Select Document**.

6 Select another document to approve or **Close**.

A notification will be sent to the original approver, telling them that the document has been approved on their behalf and by whom.

9.6 Document approval progress

This routine lists all the documents currently undergoing approval and enables you to track a document's approval progress in terms of who has / has not approved a document so far.

Monitoring the approval progress of a document

1 From the **Control** menu, choose **Approval Progress**.

2 From **Select Document to View Approval**, select the required document (see Searching for documents or Using DocLists). A list of users in the approval list of this document will appear.

If the list of names is long you may wish to use the Search button to search for a specific user.

The two radio buttons at the top of the dialog allow you to order the list in approval order or by those who have / have not approved. Those who have approved will have a Y (Yes) in the 'Approved?' column; an N (No) will be shown for those who have not yet approved. Any notes made on the approval can be viewed by right-clicking on the relevant record.

If any user rejects the document, it will disappear from the **Approval Progress** dialog.

9.7 Issuing documents

When a document has been approved, a task request is sent to all users on the Issue list - *Please issue document* - and any user on the list may issue the document. If no **Issue** list exists, the task request goes to the owner of the document, who is then the only person who may issue it.

Issuing a document closes off any assigned change requests against it. If a document has an approved but not assigned change request against it, the document will be put straight into the status of 'Issued, New draft exists' when it is issued.

Two workflow settings will affect how the issuing process flows. These settings can be switched on or off by the system administrator in the **Workbench Configuration Centre**:-

- *Require formal issue process* - if checked, the document must be marked for issue then formally issued. But it can only be marked for issue when it reaches the appropriate stage - this will be either when it is a draft or after it has been fully approved, depending on whether the *Document approval process* setting is set or not.

  If unchecked, the document can be issued at the appropriate time without having to mark it ready for issue. It may be issued either when it is a draft, or after it has been fully approved (when it will be issued automatically) depending on whether the *Document approval process* setting is set or not.

  If unchecked, the option to schedule training (if applicable) cannot be offered (see below).

- *Allow override of distribution options at issue* - this option is only available if the *Require formal issue process* option is checked. If checked, users may change the distribution option settings at the point of issuing the document. If unchecked, distribution options will be read-only on the **Issue Document** dialog.

There are two further settings that may come into effect when you actually hit the **Issue** button:-

- *Convert document to PDF format* - if set to either *When marking document ready for approval* or *When issuing the document* is selected, when a document is issued, the system will automatically put it into PDF format. All views of the issued document in Workbench, IntraVista or IVPro will display the PDF version. The actual issuing process is not affected in any way.
- *Retain previously issued versions in PDF format (if applicable)* may also be set if the *Convert document to PDF format setting* (above) is set to either *When marking document ready for approval* or *When issuing the document*. This allows you to choose whether retained documents should be displayed in their 'native' application or in PDF format.

Associated documents may be attached to a course using the licensed area, Document Training; both the Document Control and Training modules must also be licensed. When any document attached to a course is about to be issued, the relevant course may be scheduled, at which point the document will be marked as ‘Undergoing Training’ and cannot then be issued until all required attendees have completed the course. It is possible to lock the document on more than one scheduled course.

When issuing a document that has associated training courses, a **Courses** page will be displayed in the **Issue Document** dialog. This will be similar to the **Document Attributes | Courses** page with a few extra features.

If the document's issue process has been turned off, ie. the *Require formal issue process* workflow setting is unchecked, the Document Training 'add-on' will be by-passed. The document will proceed to Issue state without offering the option of scheduling training.

9.7.1 Issuing a document

1 From the **Control** menu, choose **Issue Document** (or go straight from the Tasks bar).

2 Select the document to issue, using any of the methods described in Searching for documents or Using DocLists; the **Issue Document** dialog will appear.

3 The dialog consists of up to four pages (depending on access rights and whether there are document training courses associated with the document you are about to issue):-

The **Issue** page shows basic, read-only details of the document you are about to issue, but at the bottom of the page you may select any or all of the Reports / Document Access options:-

- an issue note may be printed that can then be distributed to all relevant personnel
- a printed distribution list may be used as a checklist to ensure that all personnel receive their copies
- a printed history of the document
- the document may be exported to an external file (see also Checking out to File). If you choose the **Publish to external file** option (see below), on issue you will be asked to determine that file’s location and name.
- if the new **Workbench Questionnaires** element is licensed, a check box - *Requires questionnaire completion when acknowledging receipt* - will also be present near the bottom of the dialog. On issuing the document you can decide whether to activate the questionnaire, but beware that this box is checked by default. If the Workbench Questionnaires element is not licensed, the check box will not be present.

Providing that there are courses associated with the selected document (and you have the necessary access rights) a **Courses** page will appear; access to this is set by the system administrator.

Courses cannot actually be amended from the **Issue** dialog but with the appropriate access rights you may **Add** existing courses to be associated with the document and also **Remove** courses from association with the document, using the relevant buttons. If you have only

Read-only rights, you may only **View** the associated courses. If you have access rights to the **Schedule Course** option in the Training module, you may also **Schedule** a new course based on an existing course that is already associated with the document, see Scheduling Courses when issuing a document.

Access to the **Workflow Settings** page is set by the administrator. If you do not have access to this page, it will not appear. If it does appear and you only have Read-only rights, you may only view the settings for this document; if you have Update rights you may amend the default settings - for this document only. Only those settings that are relevant to the ongoing life-cycle of the document will be shown. If you have Update rights and want to amend the settings, see **Document processing flow settings** / Distribution Options and/or Reviews settings for further information if required.

Access to the **Distribution List** page is also set by admin. If you do not have access to this page, it will not appear. If it does appear you may have Read-only rights, in which case you will be able to see which users (if any) are on the Distribution List for this document. With Update rights you may amend the Distribution List for this document only providing that the *Allow override of distribution options at issue* setting is also switched on.

The **View** button allows you to view the document. The **Attributes** button allows you to view all the document's attributes including CRQs (if any) and History.

4 Click the **Issue** button to issue. If the document is linked to one or more courses and you choose to issue it rather than submit it for training (or do not have the necessary access rights to submit it for training), you will be warned - see Scheduling courses when issuing a document.

If the *Require password when issuing a document* workflow setting is checked and depending on your login authentication, you may now be asked to enter your password. Leave this field blank if you do not have one. Click **OK**.

If the workflow setting *Convert document to PDF format* has a setting value of either 'When marking document ready for approval' or 'When issuing the document', then an Information message will appear informing you that the draft document is about to be converted to PDF. Read the rest of the message and click the **OK** button. The draft document will be converted to PDF but the actual issuing process is not affected in any way. All views of the issued document in Workbench, IntraVista or IVPro will appear as PDF files.

If PDF-XChange is not installed on your computer, a message will appear informing you that it will need to be installed before the document can be issued; the document status will remain at Awaiting Issue.

5 If any Approval notes exist for this document, a message will now appear asking if you want to view these notes before issuing. If you click **No**, then the issuing of the document will carry on as normal.

If **Yes** is clicked, then the **Document Attributes** dialog for the document will appear, open at the **History** page (all other pages are read only). At the bottom of the page is the message 'In order to view the approval notes you need to right-click on the highlighted document approval history entries'; right-click on these entries (highlighted a solid pale blue) to read the Approval notes. **NB**. The only history entries that will be highlighted are those that were entered between the time the document was last marked ready for approval and the time the document was marked ready for issue. Any History filtering will be temporarily cleared.

6 Click **Close** in the **Select Document to Issue** dialog or select another document to be issued.

When the document is issued, the system will automatically check for any scheduled reviews. Where reviews have been specified for this document or have been recalculated because of workflow settings, you will be informed of the start date of the first review. (See Reviews settings for full details of the Reviews options on the workflow settings.)

If there are any change requests associated with the issued document that are 'Marked as done', the status of the CRQs will change to Completed.

A document can only have EITHER the workflow setting *Recalculate start date of scheduled review when a new version of the document is issued* OR *Calculate start date of scheduled review* *based on first issue date checked,* not both. Therefore if the latter workflow setting is checked, the scheduled review will keep the same date but the document will have an updated revision number.

Where documents have been issued before and providing that the *Retain previous issued versions* workflow setting is switched on (Document processing flow | Distribution options) previous versions of the document will be saved and available for viewing via the **View Retained Document** dialog.

If the *Retain previously issued versions in PDF format (if applicable)* is checked then any documents that are to be retained will also be in PDF format. To retain documents in their 'native' application, make sure this workflow setting is unchecked.

An entry will be made on the document's **History** page when the document is issued; right-clicking on this entry will display a pop-up showing personnel to whom the document was distributed.

See also: Document distribution history report

9.7.2 Publishing a document to an external file

If, in the **Issue Document** dialog, you select the **Publish to external file** option (radio button), the **Publish Document to External File** dialog will appear. The Document details appear at the top of the dialog for reference.

1. In the Drives field, select the proposed file location from the drop-down menu.
2. In the mandatory **File name** field, enter a file name and appropriate extension or select an existing file to overwrite from the box below.
3. Click the **Publish** button and the document will then be issued direct to the chosen external file.

9.8 Reissuing documents

This new **Control** menu item has been introduced for Workbench 11. **Reissue Document** allows the reissuing of any document that has been issued and can be useful if, for instance, you would like to remind staff of documentation that has not been seen for some time. Combined with the new Questionnaires feature (see below), you can ensure that recipients of the reissued document have read and understood it - when acknowledging receipt, they will be required to answer questions on the document's content.

Reissued documents will not reset scheduled reviews and the **Courses** page will not be present on the dialog so training cannot be set up at the point of reissue (as it can when issuing a document).

Any document that has as an issued copy may be reissued; any user on the Issue list may reissue a document.

Reissue Document mimics the Issue Document dialog apart from:-

- the **Current Revision** field is now labelled **Issued Revision** as the current revision may not be the version that is being reissued
- the absence of the **Courses** page tab
- the **Workflow Settings** page tab will not show any Reviews information
- the *Retain previous issued versions* Distribution Options workflow settings will be removed.

The remaining document's attributes, workflow settings and distribution list will be available as read-only and on reissuing, the document will be sent out to the original distribution list. A message may be attached at the point of reissue.

All fields on the **Reissue** dialog are read-only except the check boxes at the bottom of the dialog. The **Reports/Document Access** may be configured as required, exactly as when first issuing a document.

If the new **Workbench Questionnaires** element is licensed, a check box - *Requires questionnaire completion when acknowledging receipt* - will be present near the bottom of the dialog. On reissuing the document you may decide whether to activate the questionnaire, but beware that this box is checked by default. If the Workbench Questionnaires element is not licensed, the check box will not be present.

There are a number of workflow settings that govern acknowledgement receipt so it is important that these also are configured correctly to achieve the exact results you want - see Acknowledging receipt of a document.

9.9 Scheduling courses when issuing a document

When issuing a document that has associated courses, a **Courses** page will be included in the **Issue Document** dialog. This will be similar to the page in the **Document Attributes** dialog with a few additional features.

- The top part of the dialog will show the list of Associated Courses. If the document already has scheduled courses associated with it, they will be listed in the bottom part of the dialog under ' List of Document's Scheduled Courses'. If the document is already included in a scheduled course, a 'Yes' will appear in the **Locked** column and the **Issue** button's caption will change to **Submit for Training**.
- You may include the document in more than one scheduled course as long as its status is ' Scheduled' (not 'Complete' or 'In Progress'). To include it on more than one course, highlight the course on which the document is to be locked and click the *Include document in this scheduled course* check box. The **Locked** column now shows 'Yes' for this scheduled course.
- In the same way, the document can be 'unlocked' from a scheduled course by de-selecting the *Include document in scheduled course* check box.
- To create a new scheduled course for this document, click the **Schedule** button. The **Create Scheduled Course** dialog will be invoked, allowing you to enter the necessary details for a new scheduled course using the associated base course. Creating a scheduled course from this dialog will cause the document to be marked automatically as 'Locked for training'. **NB**. The document must be locked on at least one scheduled course before the document may be ' submitted for training'.
- The additional check box *Filter courses showing where document has been locked for training* allows the scheduled course grid to be filtered, showing only courses on which this document has been locked. If the check box is not checked, all scheduled courses associated with the document will be displayed.
- If you do not have Read access to the **Schedule Course** dialog in the Training module, but you do have Create rights, you will be able to schedule a course and submit it for training but you will not be able to see details of the scheduled course(s) once this is done.
- If the document has associated courses, and you attempt to issue it without either scheduling a course or including the document on an existing scheduled course, you will be warned.
- If a course has been scheduled or the document has been included in an existing scheduled course, the **Issue** button caption will change from **Issue** to **Submit for Training**. Either option will result in the document being marked as 'Undergoing training'. This will lock the document and prevent it from being issued and distributed until the scheduled course(s) has been completed. The **General** page of the **Document Attributes** dialog will display *This document is undergoing training* in red type beneath the document's status.

Once the course has been completed, the document is then issued and distributed to the relevant personnel along with all the appropriate tasks and/or notifications. **NB**. The document will only be automatically issued on completion of the training if the document has been fully approved and is awaiting issue at the time of course completion. If this is not the case, the 'Undergoing training' flag is removed without actually issuing the document.

If the document is locked on more than one course, all courses must be complete before the document can be unlocked and submitted for issue.

NB. Courses cannot be scheduled when reissuing documents.

9.10 Acknowledging receipt of a document

This dialog allows a user to acknowledge receipt of a document that has been issued to them. It can be accessed via the **Control** menu but the **Acknowledge Receipt** dialog is also displayed if acknowledging the receipt of a document via a request from your tasks bar (see Tasks button).

Various Document processing flow settings governing the distribution of documents. They are switched on (checked) or off (unchecked) by the system administrator in the **Workbench Configuration Centre** and will affect how and when the **Document receipt** dialog is used:-

- *Use Workbench Questionnaires* - this is a separately licensed element, new for Workbench 11. If licensed and checked, (the default is unchecked) you may be forced to answer a questionnaire correctly before receipt of the document can be acknowledged - see Questionnaire.
- *Notify users of new issue/reissue* - if checked, messages are sent to users when a document is issued/reissued and the distribution lists are changed - providing that the *Acknowledgement required* setting below is also checked. If *Notify users of new issue/reissue* is unchecked, no messages are sent.
- *Acknowledgement required* - this option can only be selected if the above option is checked. If checked, a *Please acknowledge document receipt* task will be sent to users on the distribution list when the document is issued or the distribution list is changed. If unchecked, a *Document issued* notification is sent to users on the distribution list rather than a task.
- *Allow acknowledgement of receipt without viewing* - this option can only be selected if both the above options are checked. If checked, users may acknowledge receipt of a document without first viewing its contents. If unchecked, users must first view document contents before being allowed to acknowledge its receipt.
- *Display warning if acknowledging receipt without viewing* - this option will be disabled unless the above option is checked. If checked, the **Acknowledge Receipt** dialog will provide a warning to the user if they try to acknowledge receipt of the document without first viewing. If unchecked, users may acknowledge receipt without viewing the document and will not receive a warning.

Acknowledging receipt of a document

1 From the **Control** menu choose **Acknowledge Receipt** (or direct from your Tasks button).

2 Select the document you wish to acknowledge receipt of, using any of the methods described in Searching for documents or Using DocLists. Remember you may always view the document itself and/or its attributes by clicking on the appropriate button at the bottom of a **Select Document** dialog.

3 When the **Acknowledge Receipt** dialog appears, the document title, user reference (if any) and current revision number will be shown.

4 Click the **Yes** button to acknowledge receipt. Depending on the way the Distribution workflow settings (see above) are configured, you may be forced to view a document before acknowledging its receipt.

5 If the **Workbench Questionnaires** element is licensed and depending on its configuration you may see a **Questionnaire** dialog after clicking the **Yes** button on the **Acknowledge Receipt** dialog. If so, please see below.

You may remind yourself of the document and/or its attributes by clicking on the **View** or **Attributes** buttons. Use the **Close** button to close the dialog without acknowledging receipt.

Questionnaire dialog

New for Workbench 11 is a **Questionnaires** feature that is licensed separately. If licensed, and depending on its configuration (there are several workflow settings controlling whether questions will be asked and if so, how many) you may see a **Questionnaire** dialog after clicking the **Yes** button on the **Acknowledge Receipt** dialog.

1 Questions are multiple choice. For each question simply select the radio button next to the answer that you think is correct. When all questions have been answered, click on the **Accept Answers** button.

2 If you have not given enough correct answers you will be warned and automatically taken back to the **Acknowledge Receipt** dialog. Depending on how the Questionnaires workflow settings have been configured, clicking the **Yes** button again in the **Acknowledge Receipt** dialog may take you to a different set of questions.

3 When the required number of questions has been answered correctly you'll be informed; the **Questionnaire** dialog will close and receipt of the document will be acknowledged to the owner.

The History entry - *Receipt of revision <xx> acknowledged with questionnaire by <xxx>* will be made; right clicking on this entry will show how many questions were answered correctly.

All answers, correct and incorrect, will be stored by the system and can be used to generate a detailed report in the ReportQuest module, if licensed.

9.10.1 Answering a questionnaire

New for Workbench 11 is a **Questionnaires** feature that is licensed separately. If licensed, and depending on its configuration (there are several workflow settings controlling whether questions will be asked and if so, how many) you may see a **Questionnaire** dialog after clicking the **Yes** button on the **Acknowledge Receipt** dialog.

1 Questions are multiple choice. For each question simply select the radio button next to the answer that you think is correct. When all questions have been answered, click on the **Accept Answers** button.

2 A workflow setting governs the number of questions that must be answered correctly before receipt of the document can be acknowledged. If you have not given enough correct answers, you will be warned and automatically taken back to the **Acknowledge Receipt** dialog. Depending on how the Questionnaires workflow settings have been configured, clicking the **Yes** button again in **Acknowledge Receipt** may take you to a different set of questions.

3 When the required number of questions has been answered correctly, the **Questionnaire** dialog will close and receipt of the document will be acknowledged to the owner.

The History entry - *Receipt of revision <xx> acknowledged with questionnaire by <xxx>* will be made; right clicking on this entry will show how many questions were answered correctly.

All answers, correct and incorrect, will be stored by the system and can be used to generate a detailed report in the ReportQuest module, if licensed.

9.11 Document receipt

Depending on how the document workflow settings are configured, personnel may be required to acknowledge receipt of issued documents. System users may acknowledge receipt of an issued document using Tasks and Notifications and/or via the messaging system in use. Otherwise, personnel can manually acknowledge receipt of an issued document by returning the issue note, if printed (see Issuing documents).

For any issued document, the **Control | Document Receipt** option enables you to monitor who has acknowledged the issue.

The **Document Receipt** dialog is maintained by the system where users use the **Acknowledge Receipt** menu item to acknowledge the receipt of documents. If receipt is being acknowledged manually, the **Tick** button allows you to set the 'Acknowledged?' column to 'Yes' for personnel who return printed issue notes. However, this facility depends on how the *Allow change of document receipt on behalf of users with logins* setting has been configured. If this option (set in the **Workbench Configuration Centre**) is checked then you will be able to tick or untick document acknowledgement on behalf of all users; if the option is unchecked, you will only be able to tick or untick document acknowledgement for personnel without a login.

Checking for document receipt acknowledgement

1 From the **Control** menu, choose **Document Receipt** (or go straight from the Tasks bar).

2 Select the document you wish to check receipt acknowledgement (see Searching for documents or Using DocLists). The **Acknowledge Receipt** dialog will appear.

3 Check the Document Details (top of the dialog) to make sure you have the correct document.

4 Use the Search button to locate specific user(s) if relevant.

Users who have acknowledged receipt of the document will show 'Yes' in the 'Acknowledged?' column; those who have not done so will show 'No'.

If you wish to alter the Acknowledged status from No to Yes (and the workflow setting *Allow change of document receipt on behalf of users with logins* is checked), click on the **Tick** button,

If a user has been checked as having acknowledged a document (ie.'Yes') when this is not actually correct, the **Clear** button will reset their status to 'No'.

Click the **Save** button to save the current **Acknowledge Receipt** listing.

9.12 Editing document attributes

Unlike **Documents | Edit Document**, where the document has to be in an editable state to edit document attributes, providing that you are on the **Edit** list for the relevant document you may edit document attributes using **Control | Edit Document Attributes** regardless of the status of the document. However, this can only be done here providing that the Changes workflow setting **-** *Require document attributes change request* **-** is not checked (see Document processing flow settings | Document Changes).

New keywords may be inserted and existing keywords added or removed on the **Keywords** page; however, to edit an existing keyword you must go to **Control | Maintain Master Keywords**. With the necessary access rights, questions may be added/amended on the **Questionnaire** page. The **History** page cannot be edited under any circumstances but appropriate entries will be made automatically if any other changes are made to document attributes.

Editing document attributes

1. From the **Control** menu, choose **Edit Document Attributes**.
2. Select the document you wish to edit the attributes of, using any of the methods described in Searching for documents or Using DocLists.
3. In **Document Attributes**, choose the appropriate page and make the required changes - see the section on **Document Attributes** if you need further information on any of the attributes). If the dialog is read-only it may be that you do not have access rights; it may also mean that the Changes workflow setting - *Require document attributes change request* - is checked and therefore a change request must be raised before document attributes may be edited (see Raising a CRQ for document attributes).
4. Click **OK** to save any changes.

You may also use the **Document | Edit Document** routine to edit most document attributes providing that the document is in editable state and you have the required access and permissions. However, this does not apply to the **Questionnaire** page tab that can only be edited in the **Edit Document Attributes** dialog by the owner and those on the Edit list.

Appropriate **History** page entries will be made automatically.

9.13 Maintaining master keywords

You may attach as many keywords as desired to a document. **Maintain Master Keywords** allows you to modify these keywords in the master list on a global basis, ie. any changes made here will be reflected in all documents that have the affected keyword attached to them.

To attach or remove keywords from documents see Document attributes | Keywords.

Maintaining master keywords

1. From the **Control** menu, choose **Maintain Master Keywords**.
2. Select the keyword you wish to change (using the Search button or by scrolling and highlighting). The highlighted word will appear in the bottom field.
3. Amend the word(s) in the bottom field and click **Apply**.
4. Select a second keyword if required.
5. Repeat these steps until you have completed your editing.
6. Click **OK** to commit all your changes to Workbench. The edits are now applied to keywords attached to documents throughout the database.

Maintenance of master keywords is specific to the database in which you are currently working.

NB. The **Close** button closes the dialog without saving any of the changes you may have made.

9.14 Withdrawing a document

To withdraw a document, an appropriate change request must first have been raised and approved so that the withdrawal can take place. Documents are typically withdrawn when they are obsolete or superseded.

The **Withdraw Document** dialog allows a user to withdraw any document that is awaiting withdrawal and to which they have access. However, there is a document workflow setting *Withdraw document* that must be checked if withdrawing of a document is to be allowed (Document processing flow | Document Changes | Document Withdrawals). A warning will be given when you hit the **Save** button when raising a CRQ against a document that has its *Withdraw document* workflow setting switched off.

In addition there is a further setting *Withdrawals require approval from all approvers* (disabled unless the *Change request approval process* setting is checked) which, if checked, will require approval from all users on the **Changes** list (if there is no Changes list, then the **Approval** list) before the document can be withdrawn. If unchecked, change requests for withdrawing documents may be approved by a single user on the Changes list (or Approval list if no Changes list exists).

The selection dialog lists only those documents for which a withdrawal change request has been raised and fully approved.

Withdrawing a document

1 From the **Control** menu, choose **Withdraw Document** (or open the **Withdraw Document** dialog straight from the Tasks bar if appropriate).

2 In the **Select Document to Withdraw** dialog, choose the relevant document using any search method.

3 The only elements shown in the **Withdraw Document** dialog are the document title, user reference (if any) and current revision number.

4 You may view the document's attributes if required, by clicking on the **Attributes** button. If you are sure this is the document you wish to withdraw, enter your password and click on the **Withdraw** button.

If there are any unfulfilled change requests against this document you will receive a message and will be asked if you are sure you want to withdraw the document. If you click 'No' you will be taken back to the **Withdraw Document** dialog; if you confirm 'Yes' then the document will be withdrawn.

If the document you are withdrawing is referenced by other documents, a warning dialog will display a list of these documents giving the relevant serial numbers and titles.

Relevant History entries will be made.

See also: Viewing a withdrawn document

9.15 Archiving a document

If a document has been withdrawn you may wish to archive it; this will remove it from the Workbench database and move it to a file at the location you specify. Clearly this means it is no longer under Workbench control.

It is only the document content that is removed and archived; the associated document attributes and history are retained within the database and may be used in Reports for analysis and reference purposes. The status of archived documents, when used for reporting purposes, is still classed as ‘Withdrawn’.

Archiving a document

1 From the **Control** menu, choose **Archive Document**.

2 In the **Archive Documents** dialog click the **Add** button. This takes you to the **Select Document** dialog that lists all documents that have been withdrawn.

3 Select the document(s) you wish to archive. Multiple document selection is allowed (using the **Shift** and **Ctrl** keys). Details of the selected document(s) will be entered automatically. (For help with document selection if required, see Searching for documents or Using DocLists.)

In the **Archive Document** dialog the **Remove** button allows you to remove a highlighted document from the list (but only during the current session).

Click on the **View** button to view the document to be archived; this serves as a useful check that you are selecting the correct document(s).

Click the **Attributes** button to examine the attributes of any selected document.

4 The Output filename options section allows you to specify the name(s) of the archive file(s). Both boxes are checked by default. The system will generate file names automatically, if the top box remains checked; the file(s) will be saved under the Document Serial Number/ Document Revision/ Extension. If you want the system to include the document title when generating the file name(s), leave the bottom box checked aswell.

5 Then click on the Browse button (**…**) alongside the mandatory **Save files to field** and in the **Select Directory** dialog choose where you want the archived document saving to. Click **OK**.

6 Now click the **Archive** button (check that the required document(s) are still highlighted); the document(s) are removed from Workbench control and stored in the specified file location.

Alternatively...

If the *Generate filenames automatically* check box is unchecked, the bottom check box will be disabled, along with the **Save files to field**. In this case, as each document is selected and the **Archive** button clicked, you will be prompted to enter a file name. The document(s) will be archived but the attributes / history log can still be used for reporting purposes.

9.16 Deleting a draft document

This option allows documents with ‘New draft’ status to be deleted. To remove a previously issued document use **Control | Withdraw Document** (see Withdrawing a document).

Documents undergoing review will not be available for deletion.

Deleting a draft document

1 From the **Control** menu, choose **Delete Draft Document**.

2 Choose the appropriate document using any method(s) described in Searching for documents. Note that the search grid within this dialog will only display documents with 'New Draft' status. When you have chosen the required document, the **Delete Draft Document** dialog will appear.

3 Check that the document is the correct one and click the **Delete** button if you wish to go ahead and delete this draft document. If the document to be deleted has any reviews with 'Waiting Start' or 'Closed' status, a warning confirmation will be given.

4 If you select 'Yes' in the Confirmation box, the document and any associated change requests will be physically deleted.

The deleted change request numbers will not be re-used; gaps will therefore appear in the change request numbering system.

9.17 Viewing a withdrawn document

Provided that a document has not been archived, the **Control | View Withdrawn Document** allows read-only access to documents withdrawn from the current document list.

Viewing a withdrawn document

1. From the **Control** menu, choose **View Withdrawn Document**. Documents in this dialog will all have 'Withdrawn' status and must not have been archived.
2. Choose the required document using any search method(s) described in Searching for documents or Using DocLists.
3. Double-click on the document or highlight and click **OK** to view it or click on the **Attributes** button if you simply wish to view the document's attributes.

The whole of the document and its attributes are read-only.

9.18 Viewing a retained document

When a document is re-issued following an approved change request (if required) and providing that the *Retain previous issued versions* workflow setting is switched on (Document processing flow | Distribution options), previous versions of the document will be saved and available for viewing via the **View Retained Document** dialog.

Any retained previous issue can be viewed using this menu option.

Viewing a retained document

1. From the **Control** menu, choose **View Retained Document**.
2. In **Select Retained Document to View** select the document you wish to view using any of the methods described in Searching for documents or Using DocLists.
3. In the **Select Revision to View** dialog, choose the revision level you wish to view by highlighting the required revision level and clicking **OK** (or double-click over the required revision). **NB**. The current revision of the document is not available to view through this option.
4. Close the document when you have finished viewing it. You will be returned to the **Select Revision to View** dialog.
5. Choose another revision to view or close.

9.19 Archiving a retained document

This menu option allows you to archive selected retained versions of a document after the retention time has elapsed (see **Document retention period**, below).

Archiving can consist of moving the content to an external file and removing the record from the database, or can simply consist of removing the record without creating an external copy. It has nothing to do with the 'Withdraw' function but rather is intended to deal with old versions of current documents.

NB. Only documents with revisions past the specified retention period, and for which the user has edit rights, will be listed. The retention period is originally set by the system administrator but may, with permissions, be over-ridden.

Archiving a retained document

1 From the **Control** menu, choose **Archive Retained Document**.

2 From the subsequent dialog select the document to archive, (if available) and click **OK**.

3 The **Archive Retained Document** dialog is self-explanatory - read the instructions. The top of the dialog gives read-only details of the document. The middle part 'Retained revisions' lists all revisions of the selected document - make your choice by highlighting the revision(s) you want to archive or tick the top check box for the system to automatically select all revisions that are older than the retention period.

If you don't want a copy of the selected revision(s) saving to file, uncheck the lower check box but beware that this will mean that the revision will be totally removed from the system. You then have two options...

4a With the required revision(s) highlighted or the *Archive all revisions older than retention period* check box ticked, click the **Archive** button. The **Save** dialog will then appear where you may choose the destination and name of the file(s) to be saved.

4b If you want the system to generate file names automatically, tick the top check box in the bottom Output filename option section; the file(s) will be saved under the Serial and Revision numbers only. If you want the system to generate the file name(s) and include the document title, tick the bottom check box as well (this will become enabled if you check the *Generate filenames automatically* check box). Then click on the Browse button (**...**) alongside the **Save files to field** - and in the **Select Directory** dialog choose where you want the revision(s) saving to. Click **OK**. Now click the **Archive** button (making sure that the required revision(s) are still highlighted or the *Archive all revisions older than retention period* check box is ticked).

The revision(s) will now be archived. An entry will be made to the document's history log - *Retained Document revisions archived by <user performing the action>*.

Document attributes and history logs can still be used for reporting purposes even where all revisions have been archived. Archived documents are available for viewing in **View Document**.

Document retention period

The number of years that a document must be retained is set by admin. in the Workbench Configuration Centre, see Document attributes settings. However, if the *Allow document retention period to be changed* check box is checked in the System Wide workflow settings, the administrator may allow this retention period to be over-ridden on an individual basis.

A second setting, *Retain previous issued versions*, found under the Distribution options in the Document processing flow, if checked, automatically saves all previous issued versions of documents when issuing a new one. These previous versions may optionally be archived after the designated retention period has passed.

10 Reviews

The Reviews process covers two main types of reviews - scheduled and unscheduled. Provision for scheduled reviews is set up when a document is first created or imported; these reviews will then be carried out automatically by the system at the scheduled times after the document has been issued. Unscheduled reviews can be requested at any time but only one review may be in progress at any one time.

A user responsible for Reviews is also set up at the document's creation (or import). The review-responsible person may be changed on the **Maintain Reviews** dialogs providing that the *Allow change of responsible person when maintaining reviews* workflow setting is set (see Document review settings).

Scheduled and unscheduled reviews are processed in the same way but unscheduled reviews will not have an impact on a document's scheduled reviews.

Reviews will freeze the document by marking it as 'Undergoing Review'. This prevents change requests from being assigned and the document edited while under review; new CRQs cannot be approved during this time either. Once a review has been Closed, the document's status goes back to its original 'pre-review' status. **NB**. Documents with 'Undergoing Review' status are still available in their 'pre-review' status for report purposes.

All reviews raised against a document will be listed on the document attributes **Review** page (see Document attributes | Review) and accessible to users with appropriate access rights.

All review dialogs include an Attachments button that invokes the **Attachment Form** dialog (see Attachments). The dialog is editable (subject to required access rights) up until the review has been completed. Details of attachments may be included in all Review reports by checking the *Print Attachment information?* check box (Document Control Report Options).

A new feature for Workbench 10 SP1 is that reviews may now be annotated (subject to necessary access rights and permissions) providing that the required new workflow settings are configured for this to happen. If viewing, rather than responding to, a review then users with access rights may also view the annotated document(s). The annotation element is a separately licensed area, so unless licensed and switched on, then none of the new workflow settings and associated dialog buttons will be present.

If you have chosen to use DocLists, the Reviews Portal will appear for all **Select Document Review** dialogs. It works in exactly the same way as the Document Portal but offers slightly different search routines - and multi-selection of records is not allowed. See Using DocLists and the Reviews Portal for full details.

A brief overview of the review process is given in Scheduled reviews and Unscheduled reviews. More detailed information is given under each individual topic.

10.1 Scheduled reviews

These are periodic reviews initially configured by the system administrator on the **Workflow Settings** page of the **Workbench Configuration Centre** (see Reviews settings) and applied to a document when it is first created or imported. If the *Require scheduled reviews* setting is left unchecked then no reviews will be scheduled for the document (although unscheduled reviews may still be requested).

When the document is issued, the start date for the first review is automatically calculated using the date of issue plus the specified review period. The review start date is automatically entered on the calendar. If the workflow setting *Recalculate start date of scheduled review when a new version of the document is issued* has been checked then when a document is edited and the new version of the document is issued, the system will re-calculate the start date of a scheduled review based on the latest issue date plus the review period.

However, another workflow setting - *Calculate start date of scheduled review based on first issue date* - can only be set if the above setting is de-selected. If this setting is checked, then when a review is completed, the next scheduled review date will be calculated using the FIRST issue date plus the review period. If a new version of the document is issued, then the scheduled review will keep this same date but against the updated revision number.

As soon as a document with scheduled reviews is issued, it appears in the review-responsible user's **Reviews | Maintain Reviews** menu item where both scheduled and unscheduled reviews are maintained. From here the review-responsible person may view the document, view all reviews against the document and/or start a review. Once the review has been started the review-responsible may also view the progress of reviews (and reviewers' responses), raise a change request or stop the review.

The review-responsible person and reviewers are automatically sent task messages whenever the review needs to be progressed and/or responses are required; notifications are also sent at appropriate times so that all personnel involved with the review process are kept up to date.

The **Reviews | Review Document** option lists all documents for which you are on the review list. From here users may view the document, view all other reviews against the document and make their response. They may also view the progress of the review and read other responses providing that they have appropriate access and permissions.

A task message will be sent to the review-responsible user when all responses have been made (providing that they do not stop the review earlier); the review can then be closed and completed (there is also a workflow setting to combine the close and complete functions if preferred). When all reviews against a document have been completed, the document will automatically be removed from the **Maintain Reviews** search dialog.

If a review close date has been specified, appropriate task messages will appear on the calendar of reviewers and the review-responsible user on the relevant date.

The review-responsible user or administrator may, at any time, withdraw completed reviews using **Reviews | Withdraw Review**. Following this, **Reviews | Purge Review** allows the purging of withdrawn reviews.

10.2 Unscheduled reviews

These can be requested at any time (by users with view rights to the document) using the **Reviews | Request Review** option. A mandatory reason for review will be required. Alternatively, after editing a document, the editor may submit a request for an unscheduled review. The request will be sent to the review-responsible user who must either start or reject the review. The document owner may also request an unscheduled review immediately after creating a document.

Reviewers and the review-responsible user are automatically sent task messages whenever the review needs to be progressed and/or responses are required; notifications are also sent at appropriate times so that all personnel involved with the review are kept up to date.

As soon as an unscheduled review is requested, it appears in the review-responsible user's **Reviews | Maintain Reviews** dialog where both scheduled and unscheduled reviews are maintained. From here the review-responsible user may view the document, view any other reviews against the document and either start (providing that the document has been issued) or reject the review. Once the review has started the review-responsible user may also view the progress of reviews (and reviewers' responses), raise a change request or stop the review.

The **Reviews | Review Document** option lists all documents for which you are on the review list and where there is a review in progress. From here users may view the document, view all other reviews against the document and make their response. They may also view the progress of the review and read other responses providing that they have appropriate access and permissions.

A task message will be sent to the review-responsible user when all responses have been made (providing that they do not stop the review earlier); the review can then be closed and completed (there is also a workflow setting to combine the close and complete functions if preferred). When all reviews against a document have been completed, the document will automatically be removed from **Maintain Reviews**.

The review-responsible user (or admin) may withdraw completed reviews using **Reviews | Withdraw Review**. Following this, **Reviews | Purge Review** allows the purging of withdrawn or rejected reviews.

See also: Scheduled reviews

10.3 Using DocLists and the Reviews portal

The option to use DocLists is available per database, per user. Providing that you have access to the **Personal Workflow Settings** page of the **User Preferences** menu option, the decision to use/not to use DocLists can be toggled on and off as you wish using the *Use DocLists for document classification and filtering* setting.

DocLists are very helpful for filtering purposes, a tool for you to classify, group and retrieve documents; as such, no History entries are recorded for changes made to actual DocList entries.

If you have chosen to use DocLists, the Reviews portal will appear for all **Select Document Review** dialogs and works in exactly the same way as the Document portal but offers slightly different search routines.

Searching for a review

You may restrict the list of document reviews displayed using any or all of the following methods. If you restrict using one routine and then restrict with another, the reviews shown will only be those that match all sets of criteria, ie. all searches work together; they are AND (not OR) unless otherwise stated.

Search button (top)

The simplest form of search is achieved using the Search buttons at the top left of the dialog; there are two Search button searches on the Reviews portal. The top search refers to Documents and restricts the documents shown to those that match the value in the search field. Search options are Document Serial Number, within Owner and within Title.

Search button (bottom)

The lower Search button searches within change requests. Search options are by Review ID, Start Date, Close Date, Completion Date, Review Subject and Review Topic.

All Document Statuses (drop-down menu)

At the top right-hand side of the dialog there are four drop-down lists; the first choice displays a list of all possible document statuses. Selecting the top entry <*All Document Statuses*> cancels any previous restriction produced by a selection in this control. Selecting any other entry restricts the list of documents to only those that match the selected status.

All Review Statuses (drop-down menu)

Underneath the Document Statuses drop-down menu is the Review Statuses drop-down menu that offers a search in <*All Review Statuses*> (the default) or allows you to select reviews with a specific status. Selecting the top entry <*All Review Statuses*> cancels any previous restriction produced by a selection in this control. Selecting any other entry restricts the list of reviews to only those that match the selected status.

All Review Routines (drop-down menu)

Alongside the Document Statuses drop-down menu is the Review Routines drop-down menu that offers a search in <*All Review Routines*> (the default) or allows you to select any one Review routine. Selecting a specific option restricts the list of reviews to those ready for that process for the current user (eg. a review may be waiting to be closed, but not for the current logged-in user). Selecting the top entry <*All Review Routines*> cancels any previous restriction produced by a selection in this control.

All Review Types (drop-down menu)

Underneath the Review Routines drop-down menu is the Review Types selection. From here you may elect to show only Scheduled or Unscheduled reviews. Selecting the top entry <*All Review Types*> cancels any previous restriction produced by a selection in this control. Selecting any other entry restricts the list of reviews to only those that match the selected type.

Apart from the searches above, everything else on the Reviews portal functions exactly as the Document portal. Please see the section on Using DocLists for full details.

10.4 Requesting a review

Users with document view rights may submit a request to the review-responsible user for an 'unscheduled review'. These requests will either be started (and eventually stopped / closed / completed) in the same way as scheduled reviews in the **Maintain Reviews** dialog - or rejected. Unscheduled reviews may be requested for a document in any state but a review can only be carried out against the version of the document that the request was originally made. Only one review can take place at any one time and whilst a document is undergoing review it is effectively 'frozen'- ie. the status of the document cannot be changed. **Document attributes** can, however, still be edited whilst a document is undergoing review.

Unscheduled reviews can be initiated in three ways:-

- using the **Reviews | Request Review** menu item
- using the **Request** button on the **Document Attributes Review** page (proceed from point 3 below)
- by checking the *Request Document Review* check box on the **Edit Complete** dialog after creating, importing or editing a document (proceed from point 3 below). **NB**. This will request a review on a document's draft version.

Requesting a review

1. From the **Reviews** menu, choose **Request Review**. The list of documents shown in the **Select Document** dialog will be those to which you have view rights.
2. Select the document you wish to request an unscheduled review for (see Searching for documents or the Reviews portal).
3. The **Request an Unscheduled Review** dialog will appear. The top of the dialog shows details of the selected document. The **Attributes** and **View** buttons allow users with access rights to view the selected document and/or its attributes.
4. Where an Issued and Draft version of the document exist, choose which version you wish to request a review against by selecting the relevant radio button in the **Document Version to Review** field. (The Viewing Options workflow settings may restrict whether you can see both versions.) The review, if accepted, can then only be carried out against the version of the document that the request was originally made.

The **Review Type** will be ‘Unscheduled’. The **Responsibility** is the review-responsible user and **Requested By** is the current user.

The Attachments button takes you to the Review Attachment Form where the middle part of the form (Attachments) shows existing attachments, if any. **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. See Attachments for full details.

With access rights, **View Reviews** allows the viewing of other reviews against this document.

5 Select a mandatory **Reason for Review** from the drop-down menu. These are set up in the **Settings** menu (see Review reasons) and cannot be entered 'on the fly'.

6 The selection of a **Subject** and/or **Topic** is optional but should be entered using the drop-down menus if required. Choices here are originally set up in the **Settings** menu.

7 Add any **Review Notes** if required.

8 When all the information has been entered, click on **Submit**.

NB. You may choose to review a draft document (and only a draft document) in either its original format or as a PDF providing that the document's workflow setting *Convert document to PDF format* has a value other than 'Never'. Make sure that the **Latest Draft Version** radio button is selected and when you hit the **Submit** button, a message will appear informing you that the document is configured to be issued to PDF and asking which version of the draft document you wish to view:-

- Keep draft document in its original format (eg. Word)
- Convert draft document to PDF

Select the option you require and hit **Continue**. If you chose the bottom option, the draft document will be converted to PDF in the **Maintain Reviews** dialog when the **Start Review** button is selected.

The review-responsible user receives a task message asking them to respond to the request for an unscheduled review and an entry is made on the **History** page of the selected document.

The review will be given a sequential number and the doc. will appear in the review-responsible user’s **Maintain Reviews** option where, initially, the review may be started or rejected.

If the review requester is the review-responsible user, they will be taken directly to the **Maintain Reviews** dialog in order to process the review request.

10.5 Selecting a review

Select Review dialogs will normally appear after initial document selection when using options in the **Reviews** menu selection (eg. **Maintain Reviews**, **Review Document** etc.). They are similar to **Select Document** dialogs but display additional criteria, specifically for document reviews. These enable you to refine your search when record lists are long.

To demonstrate a typical Select Review dialog

1 From the **Reviews** menu choose **Maintain Reviews**. The **Select Document Review for Maintenance** dialog will appear showing a list of all document reviews that you have the necessary access rights and permissions to view (including those where you are either the owner or the review-responsible user).

2 Select the appropriate review using document and/or review filters if necessary. See Searching

for documents or the Reviews portal for full information on Document Filter Options.

In choosing selection criteria remember that they are inclusive, ie. the search will list only documents / reviews that meet all the search conditions specified, not just any one of them. For example, a search specifying all scheduled reviews with 'In Progress' status and with the review type ‘Policy’ will return reviews that are in progress AND of the type 'Policy', not in progress OR with the review type of 'Policy'.

3 Highlight the review you wish to view or process and click **OK** (or double-click on the review). The chosen record will then open.

Use the **Attributes** button to view the document attributes of a highlighted document/review. Use the **Clear** button to reset the dialog.

10.6 Maintaining reviews

The **Maintain Scheduled / Unscheduled Review** dialog allows the review-responsible user (or administrator) to control the processing of both scheduled and unscheduled reviews. Various workflow settings for reviews are set up by the system administrator and will affect how the review process flows, which reviewers will be asked to review a document and who may view review responses - see Document review settings for full details of all the workflow settings that may be applied to reviews.

The review-responsible user and reviewers are automatically sent task messages whenever the review needs to be progressed and/or responses are required; notifications are also sent at appropriate times so that all personnel involved with the review process are kept up to date.

Although the dialog is basically the same for both scheduled and unscheduled reviews, some of the fields on the dialog will change.

See also: Maintaining scheduled reviews and Maintaining unscheduled reviews

10.6.1 Maintaining scheduled reviews

Scheduled reviews are configured initially by the system administrator on the **Workflow Settings** page of the **Workbench Configuration Centre** and applied to a document when it is first created or imported. If the *Require scheduled reviews setting* is selected, then the *Review period* and *Review period units* options are enabled and mandatory. This means that the review details are set at the initiation of the document. With appropriate access and permissions however, these details may be edited on the **Workflow Settings** page in the **Edit Document Attributes** dialog.

Maintaining scheduled reviews

1 From the **Reviews** menu choose **Maintain Reviews**. The **Select Document Review for Maintenance** dialog will appear showing a list of document reviews where you are either the document owner or the review-responsible user (or admin).

2 Select the review you wish to maintain (see Selecting a review or the Reviews portal for information on search filters if required). The **Maintain Scheduled / Unscheduled Review** dialog will appear consisting of up to three pages, depending on whether you have access rights to the **Workflow Settings** and/or **Reviewer List** pages.

3 The top of the **Review Details** page shows details of the selected document; the **Attributes** and **View** buttons allow you to view the document and/or its attributes.

4 The Scheduled Review part of the dialog shows details of the review...

The **Review ID** is the serial number of the review against this document; its status, shown alongside, will be either Waiting Start, In Progress or Closed. Completed reviews are automatically removed from the **Maintain Review** dialog (but can be seen in **Document Attributes | Review** page).

The Attachments button takes you to the **Review Attachment Form** where the middle part of the form (Attachments) shows existing attachments, if any. **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. See Attachments for full details.

The **View Reviews** button will take you to the **Review** page of **Document Attributes**.

The **View Progress** button will be visible when the review has been started (ie. review status of In Progress and document status, Undergoing Review). When the review's status changes to Closed, the button will be labelled **Responses**. At all times, the button will take you to the **Responses** page of the **Review Document** dialog (read-only).

Responsibility - the user nominated with responsibility for the review. If the *Allow change of responsible person when maintaining reviews* workflow setting is checked (Document review settings), then the current user in this field may re-allocate the responsibility for this review only; any outstanding tasks pertaining to the review will be re-assigned to the new responsible person. Appropriate task and notification messages will automatically be sent to the 'old' and the 'new' responsible persons. The Search button alongside the **Responsibility** field (enabled if the user is admin. or the currently assigned responsible user, the review has not yet been completed and the workflow setting is checked) allows you to search by Personnel ID (F3), by Login (F4), within the Surname (F5) or By Forename (F6).

When a scheduled review is initiated for the first time, the responsible person is the one nominated in the document attributes. If the responsibility is changed, it is changed on the document's **Review Details** page for that review only; the **General** page of the document's attributes continues to show the original review-responsible user. Whenever a scheduled review is completed, the next review will be scheduled against the original review-responsible user as specified in the document's attributes.

Document Issue Date - the date the document was issued

Review Period - taken from the workflow settings.

Previous Completion - the date when the same review was last completed.

Next Review Start - if the review's status is 'Waiting Start' this date may be edited. **NB**. The default **Next Review Start** is calculated from the date of the first issue plus the review period, for the first review. Subsequent review dates will be calculated from the previous scheduled review start date plus the review period.

The **Close Date** is optional. If a close date is not supplied the review will either continue indefinitely until such time as the review-responsible user decides to stop the review... or, if all reviewers finish their review, a task message will be sent to the review-responsible user to close the review; the close date will default to that day. If a **Close Date** is supplied it cannot be changed once the review has been started, although it can be stopped before this date.

The **Subject** and **Topic** fields are optional and are selected from the drop-down menus if required (see Review subjects and Review topics for setting these up).

If there is an annotated document associated with the review there will be a message in red, stating this, underneath the Topic box. For further information regarding Annotation please see the Help topic, Annotations. With appropriate access rights, the annotated document may be viewed from the **Responses** page (**View Reviews** button **| Document Attributes View** button **| Review Document** OR **View Progress** button **| Review Document**). If you are on the Review list you may also annotate the document on the Responses page.

Any notes made when the review request was made will be shown in the **Review Notes** box.

More notes can be added at any time until the review is complete.

5 Buttons on the dialog will vary according to the status of the review, whether it is scheduled or unscheduled and if the review has been started...

The Start Review button will be visible if the review status is 'Waiting Start' and the start date of a scheduled review has been reached.

Once the review has started, if you decide that it warrants a change request, use the **Raise CRQ** button to go directly to the **Raise Change Request** dialog. Any **Review Notes** (bottom of the **Maintain Scheduled / Unscheduled Review** dialog) will be carried over and appear in the **Details of Change** field on the **Raise Change Request** dialog.

If a New Document CRQ is raised during the review and an annotated document exists, the approver of the change request will be given the option to base the new document on the annotated document at CRQ approval stage.

NB. Change requests may be raised on all documents (even those undergoing review); however, apart from a New Document CRQ other change requests cannot be approved until the review is closed or stopped. Change requests CAN be rejected whilst the document is still under review.

The Stop Review button will be visible after the review has been started if a **Close Date** has not been supplied. If a **Close Date** has been supplied, the current date must be before that date.

The Close Review button will only be visible when a specified review **Close Date** is reached.

The Complete button will be visible when the review has been closed (status 'Closed'). **NB**. If the *Combine the review close and complete functions* setting has been selected (see Document review settings) this stage of the review will be superseded.

The **Save** button allows changes to dates, subject, topic and notes to be saved at any time.

6 With appropriate access rights you may view the document's Reviews **Workflow Settings** and/or the **Reviewer List** pages; with Update rights you may also edit these pages. If you do not have access rights to these pages within the **Maintain Reviews** dialog, try selecting the **Initiate Scheduled Reviews** option. For users set up with the necessary permissions this gives Read-only or Update rights to the **Edit Document Attributes** dialog where, if you have Update rights you may amend the Reviews **Workflow Settings** and/or the **Reviewers List** on the respective pages.

10.6.2 Maintaining unscheduled reviews

The **Maintain Scheduled / Unscheduled Review** dialog allows the review-responsible user to control the processing of both scheduled and unscheduled reviews.

Various workflow settings for reviews are set up by the system administrator and will affect how the review process flows, which reviewers will be asked to review a document and who may view review responses - see Document reviews settings for full details.

Unscheduled reviews can be initiated in three ways:-

- using the **Reviews | Request Review** menu item
- using the **Request** button on the **Document Attributes Review** page
- by checking the *Request Document Review* check box after creating, importing or editing a document (proceed from point 3 below).

The dialog is basically the same for both scheduled and unscheduled reviews, but some of the fields will change.

1 From the **Reviews** menu choose **Maintain Reviews**. The **Select Document Review for Maintenance** dialog will appear showing a list of document reviews where you are either the document owner or the review-responsible user (or admin).

2 Select the review you wish to maintain (see Selecting a review or the Reviews portal for information on search filters if required). The **Maintain Scheduled / Unscheduled Review** dialog will appear consisting of up to three pages, depending on whether you have access rights to the **Workflow Settings** and/or **Reviewer List** pages.

3 The top of the **Review Details** page shows details of the selected document. The **Attributes** and **View** buttons allow you to view the document and/or its attributes. The Document Version to Review will have been selected (if appropriate) when the review request was made - see Requesting a review. If configured to do so, documents may be in PDF format.

4 The Unscheduled Review part of the dialog shows details of the review...

The **Review ID** is the serial number of the review against this document; its status, shown alongside, will be either Waiting start, In Progress or Closed. Completed reviews are automatically removed from the **Maintain Review** dialog (but can be seen in **Document Attributes | Review** page).

The Attachments button takes you to the **Review Attachment Form** where the middle part of the form (Attachments) shows existing attachment, if any. **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. See Attachments for full details.

The **View Progress** button will be visible when the review has been started (ie. review status of In Progress and document status, Undergoing Review). When the review's status changes to Closed the button will be labelled **Responses**. At all times, the button will take you to the **Responses** page of the **Review Document** dialog (read-only) where any annotated documents (if applicable) may also be read.

The **View Reviews** button will take you to the **Review** page of **Document Attributes**.

Responsibility - the user nominated with responsibility for the review. If the *Allow change of responsible person when maintaining reviews* workflow setting is checked (Document review settings), then the current user in this field may re-allocate the responsibility for this review only; any outstanding tasks pertaining to the review will be re-assigned to the new responsible person. Appropriate task and notification messages will automatically be sent to the 'old' and the 'new' responsible persons.

The Search button alongside the **Responsibility** field (enabled if the user is admin or the currently assigned responsible user, and the review has not yet been completed) allows you to search by Personnel ID (F3), by Login (F4), within the Surname (F5) or by Forename (F6).

When a scheduled review is initiated for the first time, the responsible person is the one nominated in the document attributes. If the responsibility is changed, it is changed on the document's **Review Details** page for that review only; the **General** page of the document's attributes continues to show the original review-responsible user. Whenever a scheduled review is completed, the next review will be scheduled against the original review-responsible user as specified in the document's attributes.

Requested by - the user requesting the review.

Against issued version - this cannot be changed. This shows the document version that the request for a review was originally made against. A review cannot take place on a document where the current version has now moved on.

A mandatory **Reason for Review** will have been entered when the review request was made.

If the status of the unscheduled review is 'Waiting Start' the **Review Start Date** will default to the date that the review was requested, but this may be edited. Where the review is 'In Progress' or 'Closed' the **Review Start Date** will be the date that the review actually started.

The **Review Close Date** is optional for reviews with 'Waiting Start' or 'In Progress' status. If a **Close Date** is not supplied the review will either continue indefinitely until such time as the review-responsible user decides to stop the review... or, if all reviewers finish their review, a task message will be sent to the review-responsible user to close the review; the close date will default to that day. Where the status is 'Closed' the **Close Date** will be the date the review was actually closed.

The **Subject** and **Topic** fields are optional and selected/edited, if required, from the drop-down menu. They cannot be created 'on the fly' but must be set up in the **Settings** menu.

If there is an annotated document associated with the review there will be a message in red, stating this, underneath the Topic box. For further information regarding Annotation please see the Help topic, Annotations. With appropriate access rights, the annotated document may be viewed from the **Responses** page (**View Reviews** button **| Document Attributes View** button **| Review Document** OR **View Progress** button **| Review Document**). If you are on the Review list you may also annotate the document on the Responses page.

Any notes made when the review request was made will be shown on the **Review Notes** box. More notes can be added at any time until the review is complete.

5 Buttons at the bottom of the dialog will vary according to the status of the review, whether it is scheduled or unscheduled and if the review has been started...

The Reject button will only be visible for an Unscheduled Review that has not yet been started.

The Start Review button starts the review process. However if a review is already in progress, you cannot start another one. If the user requesting the unscheduled review has opted for the draft document to be reviewed in PDF format (if configured to do this) then the draft document will be converted to PDF when you hit the **Start Review** button.

Once the review has started, if you decide that it warrants a change request, use the **Raise CRQ** button to go directly to the **Raise Change Request** dialog. Any **Review Notes** (bottom of the **Maintain Scheduled / Unscheduled Review** dialog) will be carried over and appear in the **Details of Change** field on the **Raise Change Request** dialog - see Raising a change request.

If a New Document CRQ is raised during the review and an annotated document exists, the approver of the change request will be given the option to base the new document on the annotated document at CRQ approval stage.

NB. Change requests may be raised on all documents (even those undergoing review); however, apart from a New Document CRQ other change requests cannot be approved until the review is closed or stopped. Change requests can be rejected whilst the document is still under review.

The Stop Review button will be visible after the review has started if a **Close Date** has not been supplied. If a **Close Date** has been specified then the current date must be before that date.

The Close Review button will only be visible when a specified review **Close Date** is reached.

The Complete button will be visible when the review has been closed (status 'Closed'). **NB**. If the *Combine the review close and complete functions* setting has been selected (see Document review settings) this stage of the review will be superseded.

The **Save** button allows changes to dates, subject, topic and notes to be saved at any time.

6 With appropriate access rights you may view the document's Reviews **Workflow Settings** page and/or the **Reviewer List**; with Update rights you may also edit these pages. If you do not have access rights to these pages within the **Maintain Reviews** dialog, try selecting the **Initiate Scheduled Reviews** option. For users set up with the necessary permissions this gives Read-only or Update rights to the **Edit Document Attributes** dialog where, if you have Update rights you may amend the Reviews **Workflow Settings** and/or the **Reviewers List**.

10.6.3 Rejecting an unscheduled review

The review-responsible user may reject a request for an unscheduled review using the **Reject** button on the **Maintain Scheduled / Unscheduled Review** dialog; a reason for the rejection must be given.

An appropriate entry will be made to the document's **History** page (right-click to see the mandatory reason for rejection) and a notification sent to the requester that the request for a review has been rejected.

The review-responsible user's task message to respond to the review request will be marked as Superseded.

10.6.4 Starting a review

The Review process can be started when either:-

- the scheduled review date for an issued document has been reached
- the review-responsible user is sent a task message to respond to an unscheduled review request.

NB. If you wish to start a review of a document before its scheduled start date, change the **Start Date** to today's date and a task to start the review will be sent automatically to the review-responsible user as soon as the document is issued (or immediately if the document has already been issued).

Starting the review process

1. The review-responsible user (or admin) should click on the **Start Review** button in the **Maintain Scheduled / Unscheduled Review** dialog. A confirmation message will appear.
2. Click **No** to cancel the review at this time. Click **Yes** to continue with the review.
3. What happens now depends whether the document review workflow setting *Allow subset of review list when starting a review* has been checked:-
   - if this setting is unchecked, all nominated users on the **Reviewer** list must be used
   - if this setting is checked, a pop-up dialog (**Document Reviewers**) will appear showing who is responsible for reviewing the document and giving you the chance to make a final individual selection from these lists. You may opt to **Use All** or **Use Subset** of reviewers from the **Reviewer** list. If you decide to use the subset you may select individual users from those listed including picking out individuals from nominated personnel groups (if used) - see Document reviewer subset.
   - if the document does not have a **Reviewer** list you will be given the opportunity to set one up
   - if the **Reviewer** list remains empty (ie. you do not have access rights to populate the lists or you decline to supply a list) you will be given the option to use the document owner as Reviewer.

A review cannot be started until reviewer(s) have been nominated.

Whichever route is taken, the review will now start (unless you declined to nominate a reviewer). The review-responsible user will be sent a task message to process the review and selected reviewers will be sent a task to respond to the review.

The review will be marked as ‘In Progress’ and the document status will be set to ‘Undergoing Review’. There can only be one review in progress per document.

10.6.4.1 Document reviewer subset

The document review workflow setting *Allow subset of review list when starting a review* (Workbench Configuration Centre) gives the review-responsible user greater flexibility over who should review a document at the time of review. If this box is checked, when a review is started the user may elect to use 'all' or a 'subset' of reviewers from the document **Reviewer** list.

Using the Review List as set

1 The **Document Reviewers** dialog (appears when the review is started) lists current review personnel and/or personnel groups. Right-click on a highlighted Review List Group to reveal members of the group.

2 If you are happy to use all the nominated reviewers - individuals and group(s) - click the **Use All** button.

The review will now start. The review-responsible user will be sent a task message to process the review and selected reviewers will be sent a task to respond to the review.

Selecting individual personnel from either or both lists

1 Click on the **Use Subset** button. The **Reviewer Subset Grid** will then show the current reviewers and allow you to highlight each individual and each member of the personnel group(s). The number alongside each listing shows how many users there are in the group.

2 Double-click on Individuals (if more than one) and/or the required group to expand the list(s).

3 The *Select Group for Reviewing the Document* check box is checked by default and if you decide to use all the listed reviewers after all, simply hit **OK**.

4 To select specific members of staff, de-select the *Select Group for Reviewing the Document* check box. Then highlight the individual(s) and/or members of groups, one at a time, and double-click on them to select or de-select. Alternatively, highlight each reviewer in turn and tick the check box at the bottom *Select staff member as Document Reviewer?* for those members of staff that you want to retain as reviewers. All selected reviewers should have a tick against their name at the right hand side of the grid.

5 Continue selecting/de-selecting reviewers until you have the **Reviewer** list set up exactly as you want it.

6 Click **OK**.

The review will now start. The review-responsible user will be sent a task message to process the review and selected reviewers will be sent a task to respond to the review.

10.6.5 Stopping a review

The review-responsible user may stop a review at any time using the **Stop Review** button in the **Maintain Scheduled / Unscheduled Review** dialog. If not all responses from reviewers are in, a warning will be issued. If a review is stopped before its **Close Date** (or if there is no close date), the review-responsible user must provide a reason and a password in the **Stop Review before Close Date** box before this will be allowed.

Stopping a review will mark all outstanding tasks as superseded, a notification will be sent to all reviewers and the review will be marked as ‘Closed’. Closing a review will ‘release’ the document, by reverting the document status to its ‘pre-review’ status.

An appropriate document History entry is made and the review-responsible user is sent a further task to complete the review.

NB. If the *Combine the review close and complete functions* setting has been selected (see Document review settings) you will be asked to provide a mandatory **Final Review Comment** and to confirm your password before the review can be stopped. Its status will then move directly to 'Complete' without going through the 'Closed' stage.

10.6.6 Closing a review

The **Close Review** button in the **Maintain Scheduled / Unscheduled Review** dialog will only be present when a review has reached or passed its specified **Close Date**; if used, the review will be closed and its status marked as 'Closed'.

If not all responses from reviewers are in, a warning will be issued. Closing a review will mark all outstanding tasks as Superseded, a notification will be sent to all reviewers and the review will be marked as ‘Closed’.

Closing a review will ‘release’ the document, by reverting the document status to its ‘pre-review’ status.

An appropriate document history entry is made and the review-responsible user is sent a further task to complete the review.

NB. If the *Combine the review close and complete functions* setting has been selected (see Document review settings) you will be asked to provide a mandatory **Final Review Comment** and to confirm your password before the review can be stopped. Its status will then move directly to 'Complete' without going through the 'Closed' stage.

10.6.7 Completing a review

Reviews with 'Closed' status are completed in the **Maintain Scheduled / Unscheduled Review** dialog. From here you may **View** the document, its **Attributes**, **View Reviews** and **Responses** using the appropriate buttons. You may also use the **View Annotated Document** button on the Responses page to view the document if any reviewer(s) have annotated it during review.

If after assessing the reviews and responses you feel that any type of change request needs raising against the document, the **Raise CRQ** button takes you to the **Raise Change Request** dialog where details of the current document will automatically have been entered. You may still complete the review after having raised a change request.

A **Final Comment** page is present for reviews with 'Closed' status where the review-responsible user (or admin) may add 'final' notes. Regardless of whether this page is completed, when you hit the **Complete** button a **Final Review Comment** box appears where final comment and a password are mandatory. Comments (if any) on the **Final Comment** page of the **Maintain Scheduled / Unscheduled Review** dialog will be carried over to this box but you may amend comments as required.

The review will then be marked as ‘Complete’ and review details will be updated. If it is a scheduled review and the *Calculate start date of scheduled review based on first issue date* workflow setting is checked, the start date of the next review will be calculated from the first issue date plus the review period. If the first scheduled review was carried out late, then the calculated date for the next review may already have passed; in this case a further review period will be added onto the first Issue date until a date which is in the future is reached.

A notification will be sent to all reviewers that the review is complete and the review-responsible user's task to complete will be marked as Completed.

The **Final Comment** of a completed review can be viewed via the **Review** page of the document's attributes. Highlight the relevant review and hit the **View** button. All details of the review will be shown including **Final Comment** and **Responses** (if you have rights to view these).

An appropriate document History entry is also made.

Completed reviews move to the **Withdraw Review** option where all details will be available for viewing.

Documents where all reviews have been completed will be removed from the **Maintain Reviews** dialog but they may be viewed under the document's **Document Attributes | Review** page. Further Unscheduled reviews may still be requested.

NB. If the *Combine the review close and complete functions* setting has been selected (see Document review settings) the 'Complete' stage of the review will be superseded. Instead, a mandatory **Final Review Comment** and verification of password will be required when the review is stopped or closed and the review will then automatically jump to 'Complete' status.

10.7 Reviewing a document

The **Review Document** dialog allows you to make an initial response to a review or to update and finish a response. If the Annotation element is licensed, turned on and configured to do so, you may also annotate a document during review. Initially a document selection dialog will appear showing a list of documents for which you are on the review list. Once a review is selected, the **Review Document** dialog gives full details of the selected review.

The dialog consists of up to three pages. The **Overview** page gives details of the document under review and also of the review itself; review details change according to whether it is scheduled or unscheduled, but all are read-only. The **Responses** page presents a list of reviewers requested to review the document and, subject to permissions (see below), you will be able to view details of responses by other reviewers.

For completed reviews, the **Final Comment** page shows the mandatory final comment.

View rights for review responses are configured in the **Workbench Configuration Centre** (see Document review settings).

Reviewing a document

1. From the **Reviews** menu, select **Review Document**. The list of documents shown in the **Select Document to Review** dialog will be those requiring a review by you.
2. Select the document requiring a review (see Selecting a review or the Reviews portal for information on the search filters if required); the **Review Document** dialog will appear with full details.
3. The top of the dialog shows details of the selected document. Use the **Attributes** and **View** buttons to view the document and/or its attributes. If configured to do so, documents may be in PDF format.
4. Review details (for scheduled or unscheduled reviews) are read-only and are exactly as shown on the **Maintain Scheduled / Unscheduled Review** dialog.

   Providing that you have the necessary access rights, the **View Reviews** button will take you to the **Review** page of the **Document Attributes** dialog. From here use the **View** or **Review** button to go to the **Review Document** dialog where you may also view the annotated document where one exists (**View Annotated Document** button), and/or also annotate the same document during review (**Annotate Document** button).
5. To view or make a response to the review select the Responses page on the **Review Document** dialog.

10.8 Responding to a review

The **Responses** page of the **Review Document** dialog gives a list of all reviewers requested to review a selected document. It shows the current Response status (ie. No response, Updated or Completed) and the Review summary (if any). The page will not be displayed if the document's review viewing rights are set to 'Blind' - see point 5, below.

Providing that you can see the page you may respond to a review and/or, subject to access rights, view responses by other reviewers.

If you are required to respond to a review but don't have access to the **Review Document** option, you can only respond via the Tasks bar message.

NB. When viewing from the **Maintain Scheduled / Unscheduled Review** dialog, the **Responses** page is read-only - see from point 4 onwards.

Viewing responses to a review

1 From the **Reviews** menu, select **Review Document**. The list of documents shown in the **Select Document** dialog will be those for which you are on the review list.

2 Select the required document where there is a review you wish to view / respond to.

3 The **Overview** page of the **Review Document** dialog gives read-only details of the review.

4 Select the **Responses** page and, if the document review view rights have not been set to 'Blind', a list of reviewers requested to review the selected document will be shown (with review summary if any). The current response status will also be given. If the list of reviewers is long you may wish to use the Search button to filter details.

5 With appropriate view rights (see below) you will be able to view full details of other reviewers' responses (double-click or highlight and hit the **Select** button). Where a **View Annotated Document** button is present immediately underneath the **Notes** box, please see the section on **Annotation** at the end of this Help topic.

6 View rights are set up in the **Workbench Configuration Centre** (Document review settings):-

- **Open** - all users with view rights to the document will be allowed to view all reviews and responses.

- **Blind** - you will not be able to view other reviews or responses. This includes the list of Reviewers, their review response summary and status.

- **Reviewers** - only nominated users on the Reviewers list may view all reviews and responses.

7 When you select a response, the full read-only **Response Details** will be shown. You will not be able to open a response with the status 'No response'.

Responding to a review

1 See points 1 to 5 above.

2 Providing that you are on the **Reviewer** list and your response is not marked as 'Completed', you may respond to a review on the **Responses** page of the **Review Document** dialog. Depending on access rights and the number of reviewers etc., the **Responses** page may first display a list of users; if so, hit the **Respond** button in order to make your response. Alternatively the **Responses** page may simply open, allowing you to enter your response.

The review number, reviewer's staff ID and full name will be displayed at the top of the page. The Attachments button takes you to the **Review Attachment Form** where the middle part of the form (Attachments) shows existing attachments (if any). A reviewer may only view existing attachments (**View** button) or create new ones (**New** button); they cannot edit or delete existing attachment details. See Attachments for full details.

3 If this is your initial response, the **Response Details** box will be blank. Enter a mandatory **Summary** and make your full response in the **Notes** box. Once you have entered a Summary, the **Annotate Document** button, if present, will be enabled (if configured to do so). If applicable, please see the section on **Annotation** below.

If you have already made a response but have not hit the **Finish** button, the **Summary** and **Notes** fields may be updated.

4 When you have entered or updated a response you have the choice of saving your response (hit the **Update** button) or marking the response as 'Complete' (hit the **Finish** button). If the *Require password when responding to a review* workflow setting is checked and depending on your login authentication, you may now be asked to enter your password. Leave this field blank if you do not have one. Click **OK**.

NB. Be aware that hitting the **Finish** button means that no further updates will be accepted so be sure that you have completed your review response.

When a response is marked as Complete, the system will check to see if all other reviewers have responded to the review (and marked their response as Complete). If so, then a task will be sent to the document owner *All reviewers have completed review - please stop/close review*.

Annotation

Providing that the Annotation element is licensed, switched on and configured appropriately, users with the necessary access rights and permissions may view the annotated document where one exists (**View Annotated Document** button), and/or also annotate the same document during review (**Annotate Document** button). Where there are multiple reviewers there will only be one annotated document ie. all reviewers annotate the same document so that, for example, the third reviewer will be reading the document that has already been annotated twice by previous reviewers (if they chose to annotate the document). The original document may still be viewed via the **View** button on the **Overview** page of the **Review Document** dialog.

To annotate the document, hit the **Annotate Document** button, make the required annotations and save. (Annotation methods will vary according to the format of the document; if in doubt, check the relevant Help topics of the editor you're using.) You may be asked to save once when you close down the document, whether in Word (for eg.) or PDF, and then again by Workbench. Be sure to choose **Yes** on the Workbench **Annotate Complete** confirmation dialog 'Do you wish to save the annotated document to the database?' in order to ensure that your annotation has been saved.

NB. As there is only one annotated document that is being cumulatively reviewed by all reviewers it would be possible, in principle, for later reviewers to remove annotations made by earlier reviewers. It is therefore wise to outline your proposed amendments in the **Notes** box on the **Responses** page of the **Review Document** dialog. If you have a tracking device on your editor its use would also help show annotations more clearly.

10.9 Initiating scheduled reviews

When creating/importing a document it is mandatory to nominate a user who will be responsible for reviews.

However, users nominated to be responsible for reviews may be different from the document owner and may not have the necessary access rights to the **Edit Document Attributes** dialog in order to set off reviews. The **Initiate Scheduled Reviews** menu option enables document review-responsible users to initiate the scheduled review cycle of issued documents that previously did not require scheduled reviews - or were imported and saved in an Issued state.

Providing that the **Reviews** element is licensed, the **Initiate Scheduled Reviews** menu item appears in the **Reviews** menu. Access is set by the administrator in the **Set Access** dialog (System Manager module).

The ability to override the person responsible for an individual review is a configurable workflow setting found in the **Workbench Configuration Centre** (see Document review settings); if checked, then the nominated review-responsible person may be changed from within the **Maintain Review** dialog. Effectively this means that a different person may be responsible for individual reviews.

Initiating scheduled reviews

1 From the **Reviews** menu, choose **Initiate Scheduled Reviews**.

2 The **Select Document for Initiating Scheduled Review Cycle** dialog will show only those documents that have document reviews where you have responsibility. Select the appropriate document (using any method described in Searching for documents or Using DocLists).

3 **Document attributes** opens at the **Review** page and allows change to certain other pages.

  The **Workflow Settings** page will contain only those workflow settings that relate to Reviews.

  The **Access** page will contain the **Reviewers** list only.

  Providing that you have the required access to these settings / lists, then updates will be allowed on the **Review**, **Workflow Settings** and **Access** pages.

  The **General**, **Keywords**, **References**, **Analysis**, **Changes**, **Courses** and **History** pages will all be read-only.

NB. If the Require scheduled review, review period and units are not defined in the Reviews workflow settings, then reviews will not automatically be scheduled for this document - see Reviews for previously issued documents.

10.10 Withdrawing a review

The review-responsible user or admin. may, at any time, withdraw reviews with Complete status.

The status of the review becomes Withdrawn and the review is no longer listed on the **Review** page of the **Document Attributes** dialog; it will not appear when using the **View Reviews** button in relevant dialogs.

Withdrawing a review

1 From the **Reviews** menu select **Withdraw Review**. The **Select Document Review for Withdrawal** dialog lists all documents that have reviews with 'Complete' status and for which you have responsibility.

2 Select the review you wish to withdraw (for help with this, see Selecting a review or the Reviews portal if required). The **Withdraw Review** dialog will appear showing full read-only details of the selected review. The **Notes** and **Final Comment** pages show further details (if any).

  The top of the dialog shows details of the selected document; use the **View** button to view the document, the **Attributes** button to view its attributes.

  The Attachments button takes you to the **Review Attachment Form** where users with appropriate access rights may view attached files.

  The **Responses** button links to the **Responses** page of **Review Document** (read-only) where, with appropriate access rights, annotated documents may also be viewed if applicable.

  The **View Reviews** button will take you to the **Review** page of **Document Attributes** where you may still request a further unscheduled review on the document, see Requesting a review.

3 If you are sure you want to withdraw the review, click on the **Withdraw** button.

The status of the review then becomes 'Withdrawn' and a notification is sent to all reviewers. An entry is also made to the document's History log.

10.11 Purging a review

This dialog allows the review-responsible user or administrator to purge reviews that have been withdrawn or rejected. Purging removes reviews from the database. However, an entry on the document's **History** page will show where withdrawn or rejected reviews have been purged.

1 From the **Reviews** menu select **Purge Review**. The **Select Document Review for Purging** dialog lists all withdrawn or rejected reviews where you have responsibility.

2 Select the review you wish to purge (for help with this, see Selecting a review or the Reviews portal if required). Double-click on a highlighted review to view the document it relates to; right-click a highlighted review to view other options including View Review which takes you directly to the **Review Document** dialog. From here, with appropriate access, you may also view any responses including annotated documents if applicable.

   The **Attributes** button allows you to view the document's attributes.

3 If you are sure you want to purge the highlighted review, hit the **Purge** button. A warning will appear and you must enter a password as the purge will remove the review entirely from the database.

If you hit **Yes**, the review will disappear from the system. A History entry will be made that a scheduled or unscheduled (as appropriate) review has been purged and a notification will be sent to all reviewers.

NB. If a change request has been raised as a result of the review, a 'Raised from Review' message in red type will be shown on the **Details** page of the **Change Request Detail** dialog.

10.12 Reviews for previously issued documents

The concept of scheduled and unscheduled reviews is a fairly recent addition to Workbench. If upgrading, there may be documents in the system that have already been issued and do not need to be re-issued in the foreseeable future.

The review-responsible user or administrator can start off the scheduled reviews cycle providing that both the following conditions are met:-

- the document is issued
- there are no scheduled reviews for this document.

Starting the review cycle for earlier documents

1 From the **Control** menu choose **Edit Document Attributes** or click on the **Attributes** button of a selected document. Select the relevant document (see Searching for documents or Using DocLists if you need help).

2 At the top of the **Review** page of the **Document Attributes** dialog there will be instructions in red if scheduled reviews may be started for this document.

3 Go to the **Workbench Configuration Centre** | Workflow Settings page | New Document Settings (or New Document Business Rule Settings if rules are in use), expand the **Reviews** section and enter a *Review period* and *Review period units* (see Document review settings if you need help with this). The system will calculate the next review date by taking the **Date of Last Issue** (shown on the document's **General** page) and adding the review period on to this,

repeatedly, until it reaches a date that passes today's date.

4 Go back to the **Review** page and this date will then be displayed in the **Next scheduled review** field - where you will be able to edit it, if required.

5 Hit the **Initiate Scheduled Review Cycle** button; the first review will be scheduled.

The review will now appear on the **Review** page and will be available for processing in the usual manner through the **Maintain Scheduled / Unscheduled Review** dialog.

10.13 Reviews and the calendar

Scheduled start dates for reviews are automatically entered on the Calendar in black type and with the icon shown below. When a review is completed the type is grey and has a different icon.

 Review start date  Review (or phase of review) completed

The following review message also appears on the calendar:-

- Review scheduled for document (responsible person)

If a review has a close date these review messages will also appear:-

- Review of document scheduled (responsible person) - appears on review start date on calendar. When the start date is reached this entry is replaced by:
- Please start review of document (responsible person) - appears on review start date on calendar, when start date is reached. When the review is started this is replaced by:
- Please process review of document (responsible person) - appears on review close date on calendar - or, if unscheduled review:
- Unscheduled review of document started. Please process (responsible person) - appears on review close date on calendar. Also:
- Please respond to review/unscheduled review of document (reviewers) - appears on review close date on calendar.
- Review of document waiting start and close date reached - appears on the close date of a review if it is reached and the review has not been started.
- Review of document close date reached. Please close (responsible person) - appears when close date is reached.
- Review of document closed. Please complete (responsible person) - appears when the review is stopped or closed.
- All reviewers have completed review of document. Please close review (responsible person) - generated when all reviewers have finished their review.
- All reviewers have completed review of document. Please stop review (responsible person) - generated when all reviewers have finished their review before a close date.

Reviews can be accessed directly by user(s) with access rights and permissions; double-click to call up the day’s events and double-click again on the required review to access details.

Unlike audits, reviews cannot be rescheduled from the calendar.

10.14 Review subjects

This menu item allows you to define subject areas for grouping document reviews together. When a review is requested it can be optionally allocated to any one (but only one) of the subjects defined. Typical **Select Review** dialogs have search filters for Review Subjects and Review Topics and these enable you to quickly isolate all records with the same subject (or topic) group.

The **Settings | Review Subjects** menu option initially displays a search grid containing any existing subjects - choose to either edit one of these or to create a new one.

Creating / editing a review subject

1. From the **Settings** menu, choose **Review Subjects**.
2. In **Select Review Subject**, click the **New** button or select an existing subject for editing.
3. Enter a mandatory **Description** of the new review subject or edit the existing description. The **Search Code** will automatically follow the first ten characters but can be changed manually.
4. Enter / Edit the free format **Notes** details for this subject.
5. Click **Save**.
6. Repeat from (3) for any other new subjects; click **Close** to exit the dialog.

NB. Use the **Delete** button to remove unwanted review subjects but beware that you cannot delete a subject that is in use in any review (even if the document is Withdrawn).

10.15 Review topics

This menu item allows you to define topic areas for grouping document reviews together. When a review is requested it can be optionally allocated to any one (but only one) of the topics defined. Typical **Select Review** dialogs have search filters for Review Topics and Review Subjects and these enable you to quickly isolate all records with the same topic (or subject) group.

The **Settings | Review Topics** menu option initially displays a search grid containing any existing topics - choose to either edit one of these or to create a new one.

Creating / editing a review topic

1. From the **Settings** menu, choose **Review Topics**.
2. In the **Select Review Topic** dialog, click the **New** button or select an existing topic for editing.
3. Enter a mandatory **Description** of the new review topic or edit the existing description. The **Search Code** will automatically follow the first ten characters of the description but can be changed manually.
4. Enter / Edit the free format **Notes** details for this topic.
5. Click **Save**.
6. Repeat from (3) for any other new topics; click **Close** to exit the dialog.

NB. Use the **Delete** button to remove unwanted review topics but beware that you cannot delete a topic that is in use in any review (even if the document is Withdrawn).

10.16 Review reasons

The **Reason for Review** is a mandatory field when requesting a review - see Requesting a review. At this time the reason is selected from a drop-down menu and cannot be entered 'on the fly' so the selection must be set up first in the **Review Reasons** dialog.

The **Settings | Review Reasons** menu option initially displays a search grid containing any existing reasons - choose to either edit one of these or to create a new one.

Creating / editing a review reason

1. From the **Settings** menu, choose **Review Reasons**.
2. In the **Select Review Reason** dialog, click the **New** button or select an existing reason for editing.
3. Enter a mandatory **Description** of the new review reason or edit the existing description. The **Search Code** will automatically follow the first ten characters of the description but can be changed manually.
4. Enter / Edit the free format **Notes** details for this reason.
5. Click **Save**.
6. Repeat from (3) for any other new reasons; click **Close** to exit the dialog.

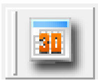
NB. Use the **Delete** button to remove unwanted review reasons but beware that you cannot delete a reason that is in use in any review (even if the document is Withdrawn).

11 Tasks, Notifications and the Calendar

The main toolbar shows three buttons in addition to those displaying Workbench module icons.

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 for all installed modules.

11.1 Messages generated by the Document Control module

A full list of messages generated by the Document Control module is 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**
1	Please approve document (T)	If the approval list is unordered, then when the document is marked for approval. If the list is ordered the task is sent to the first person on the list at this point and others in turn when the previous person has approved	Approval list
2	Please approve unassigned document (T)	When an unassigned document (ie. no approval list) is marked for approval	Owner
3	Please issue document (T)	When a document has been completely approved	Issue list. If no issue list, then owner
4	Document rejected (N)	When a document is rejected	All users if unordered list. All users who have approved if ordered list. Admin and owner if no list. Owner always
5	Document rejected on your behalf by <name> (N)	When the 'Approve Document For' dialog is used	Document approver(s)

6	Please approve change request (T)	When a CRQ is raised	For all except new document CRQ: if CRQ list, all users on list; else if doc. approval list, all users on that list; else owner.
	Please approve change request (T)	When a New Document CRQ is raised	If new document CRQ, nominated approver else admin
7	** Content CRQ approved. Please edit document (T)	When the content CRQ the user raised is fully approved	CRQ actionee if any, else owner
8	Change request rejected (N)	When a CRQ is rejected	Owner unless new document CRQ. Person who raised CRQ. Assignee. All approvers.
9	Change request rejected on your behalf by <name> (N)	When the 'Approve Change Request For' dialog is used	CRQ approver(s)
10	Change request approved completely (N)	When a CRQ has been completely approved	CRQ requester, owner and assignee
11	Change request approved on your behalf by <name> (N)	When a CRQ is approved by a delegate	Original CRQ approver
12	Content CRQ approved, but document does not allow editing (N)	When a content CRQ is fully approved but the Document workflow setting 'Edit document content' is switched off	Assignee. Owner
13	Change request approved. Please create new document (T)	When a new document CRQ has been completely approved	CRQ actionee if any, else admin
14	Withdraw CRQ approved, but document does not allow withdrawal (N)	When a withdraw CRQ is fully approved but the Document workflow setting ' Withdraw document' is switched off	Owner
15	Please action approved change request (T)	When an Edit List, Distribution List or Document Attribute CRQ is fully approved	Actionee of an Edit List, Distribution List or Document Attribute CRQ
16	Change request actioned (N)	When a new document, distribution list or edit list change request is actioned	Owner and CRQ requester
17	Change request assigned by <name> (N)	When an approved but not assigned content CRQ is assigned (Next Revision Level dialog) by the Actionee	Owner
18	Change request un-assigned by <name> (N)	When an assigned content CRQ is un-assigned (Next Revision Level dialog) by the Actionee	Owner
19	Change request re-opened by <name> (N)	When a CRQ is re-opened by the Actionee	Owner
20	Change request marked as done by <name> (N)	When a CRQ is marked as done by the Actionee	Owner

21	Change request assigned for <name> by <name> (N)	When a CRQ is assigned by a user on behalf of the Actionee	Owner
22	Change request un-assigned for <name> by <name> (N)	When a CRQ is un-assigned by a user on behalf of the Actionee	Owner
23	Change request re-opened for <name> by <name> (N)	When a CRQ is re-opened by a user on behalf of the Actionee	Owner
24	CRQ marked as done for <name> by <name> (N)	When a CRQ is marked as done by a user on behalf of the Actionee	Owner
25	Change request assigned on your behalf by <name> (N)	When a CRQ is assigned by a user on behalf of the Actionee	Original CRQ Actionee
26	CRQ un-assigned on your behalf by <name> (N)	When a CRQ is un-assigned by a user on behalf of the Actionee	Original CRQ Actionee
27	Change request re-opened on your behalf by <name> (N)	When a CRQ is re-opened by a user on behalf of the Actionee	Original CRQ actionee
28	Change request marked as done on your behalf by <name> (N)	When a CRQ is marked as done by a user on behalf of the Actionee	Original CRQ actionee
29	Description of change request modified (N)	When an unauthorised change request has its details or reason fields altered	Person who raised the request
30	Change request overdue (N)	When a CRQ target date (for re-issue of document) is reached	Owner and person who raised the request
31	Document issued. Please acknowledge receipt (T)	When a document is issued with acknowledgement required	Distribution list
32	Document reissued. Please acknowledge receipt (T)	When a document is reissued with acknowledgement required	Distribution list
33	Added to distribution list for document. Please acknowledge receipt (T)	When a user is added to the distribution list for a document that has been issued/reissued and required acknowledgement	Personnel added to the distribution list (including replacement personnel for a user who is marked as left)
34	Added to distribution list for document (N)	When a user is added to the distribution list for a document that has been issued and where no acknowledgement is required	Personnel added to the distribution list (including replacement personnel for a user who is marked as left)
35	Removed from distribution list for document (N)	When a user is removed from the distribution list for a document that has been issued and not withdrawn	Personnel removed from distribution list unless user is being marked as left
36	Document marked ready for approval (N)	When a document is marked ready for approval	Owner
37	Document approved on your behalf by <name> (N)	When a document is approved by a delegate	Original document approver

38	Document issued (N)	When a document is issued without acknowledgement required	Distribution list
39	Document reissued (N)	When a document is reissued without acknowledgement required	Distribution list
40	Please withdraw document (T)	When a change request to withdraw a document has been fully approved	Owner
41	Document withdrawn (N)	When a document is withdrawn	Owner, requester and all users on distribution list
42	Changes to document since last issue undone (N)	When the ‘Undo changes since last issue’ command is used	Owner
43	Draft document deleted (N)	When a draft document is deleted	Owner
44	** Document rejected. Please edit document (T)	When an edited document is rejected	Last user who edited the doc. If no last editor, then the person who created/imported the doc
45	You are now responsible for document review (N)	When a responsible review person is selected	User nominated with responsibility
46	You are no longer responsible for document review (N)	When a new responsible review person is selected	‘Old’ user nominated with responsibility
47	Please start review of document (T)	When the review start date is reached	User nominated with responsibility
48	** Scheduled review of document started. Please process (T)	When the review is started	User nominated with responsibility
49	** Unscheduled review of document started. Please process (T)	When the review is started	User nominated with responsibility
50	Please respond to review for document (T)	When the review is started	Reviewer(s)
51	** All reviewers have completed review of document. Please stop review (T)	If all reviews are finished before the close date	User nominated with responsibility
52	** All reviewers have completed review of document. Please close review (T)	When all reviews are finished	User nominated with responsibility
53	** Review of document close date reached. Please close (T)	Sent from the Maintain Scheduled / Unscheduled dialog when review date is reached.	User nominated with responsibility
54	Review of document closed. Please complete (T)	When the review is stopped or closed	User nominated with responsibility

55	Please respond to unscheduled review request of document (T)	When an unscheduled review is submitted	User nominated with responsibility
56	Request for unscheduled review of document rejected (N)	If the review is rejected	Person requesting the review
57	Review of document closed (N)	When the review is closed	Reviewer(s)
58	Review of document complete (N)	When the review is completed	User nominated with responsibility
59	Scheduled review due to start - document currently undergoing change (N)	When the review start date is reached	Document owner and user nominated with responsibility
60	Review of document withdrawn (N)	When the review is withdrawn	Reviewer(s)
61	Review of document purged (N)	When a review is purged	Reviewer(s)
62	Document has been submitted for training (N)	When a document is submitted for training	Document owner
63	Document training has been completed (N)	When the document is unlocked after all scheduled courses on which the document has been locked, are completed	Document owner

Some tasks have different text but essentially the same action is required; these messages have asterisks against them. If you highlight any of these, a message will be displayed at the bottom of the dialog - Text may vary depending on the context in which this is used.

For example, the task message *Please close/stop review** as listed on the **Tasks** page covers several different circumstances:-

- Review of document close date reached. Please close
- All reviewers have completed review of document. Please close review
- All reviewers have completed review of document. Please stop review

11.2 Document Control and the calendar

The following task messages, generated by the Document Control module, appear on the calendar on relevant dates.

- Document change request approved. Please edit document <number>
- Change request <number> approved. Please create new document
- Please withdraw document <number>
- Review <number> scheduled for document <number>

- Please action approved change request <number>. This last calendar entry applies only to tasks generated via Edit List, Distribution List and Document Attributes change requests.

See also: Reviews and the calendar.

11.3 Reviews and the calendar

Scheduled start dates for reviews are automatically entered on the Calendar in black type and with the icon shown below. When a review is completed the type is grey and has a different icon.

 Review start date  Review (or phase of review) completed

The following review message also appears on the calendar:-

- Review scheduled for document (responsible person)

If a review has a close date these review messages will also appear:-

- Review of document scheduled (responsible person) - appears on review start date on calendar. When the start date is reached this entry is replaced by:
- Please start review of document (responsible person) - appears on review start date on calendar, when start date is reached. When the review is started this is replaced by:
- Please process review of document (responsible person) - appears on review close date on calendar - or, if unscheduled review:
- Unscheduled review of document started. Please process (responsible person) - appears on review close date on calendar. Also:
- Please respond to review/unscheduled review of document (reviewers) - appears on review close date on calendar.
- Review of document waiting start and close date reached - appears on the close date of a review if it is reached and the review has not been started.
- Review of document close date reached. Please close (responsible person) - appears when close date is reached.
- Review of document closed. Please complete (responsible person) - appears when the review is stopped or closed.
- All reviewers have completed review of document. Please close review (responsible person) - generated when all reviewers have finished their review.
- All reviewers have completed review of document. Please stop review (responsible person) - generated when all reviewers have finished their review before a close date.

Reviews can be accessed directly by user(s) with access rights and permissions; double-click to call up the day’s events and double-click again on the required review to access details.

Unlike audits, reviews cannot be rescheduled from the calendar.

12 Reports

The Document Control module is supplied with a number of standard reports covering documents and their associated attributes and change requests. Within the system there is a great deal of flexibility in determining which set of records goes into a report and the order in which that set is reported.

Most dialogs offer different selection criteria and you may choose how many of these you wish to include. Obviously the more specific you are in the areas you include in the search, the fewer number of records are likely to match up.

Reports will only be issued when information matches all the criteria selected; all reports can be directed to a window on screen, to a printer or to file.

12.1 Document Register

This report gives a register of all documents, including issue date(s). Records can be sorted either by Serial number, by User reference or by Title. Documents' details, Attributes and Status can be searched for and filtered in a variety of ways.

Setting up a document register report

1. From the Reports menu choose Document Register; the Document Register Report Selection Criteria dialog will appear.
2. None of the selection criteria is mandatory. If you simply click OK the report will use its default settings and produce a report showing a list of all documents ordered by serial number and showing their title, user reference (if any), current revision number and current status.

   For a more specific search use any of the searches and filters shown:-

   Use the Search buttons to select a range of **Serial numbers**.

   User ref. contains - type in any word(s) that may be contained within the document's user reference.

   Title contains - type in any word(s) that may be contained within the document title.

   Use Search buttons to select only documents that have a specific **Author** and / or **Owner**.

   Select a specific Date range (using the Date button(s) if required).
3. Highlight the status(es) you want to search on in the **Document Status** filter. To select consecutive items use the keyboard **Shift** key; to select non-consecutive items use the **Ctrl** key. Highlighted items will be included in the search.
4. The **Document Attributes** filters show document Categories, Departments and Types. Scroll through these and highlight (as above) the required attributes to search on. To show hidden records, check the relevant check box above the required attribute(s).
5. Select appropriate **Report Options** - see Document Control report options.

   Use the **Clear** button to clear the dialog of currently selected document information and start again.
6. When relevant criteria have been selected and the Report Options set up, click **OK** to run the report.

See also: Viewing, printing or saving reports

12.2 Document Control report options

The **Report Options** shown at the bottom of most report dialogs allow you to organise records in a variety of ways so that the information given can be as focused and as useful as possible. Report options vary according to the report you are using.

Group 1 is used to group information under one heading - select from options in the drop-down menu. Once a group heading has been selected, then the drop-down menu for Group 2 becomes available (where there is more than one Group option). The same headings are offered here apart from the one that has been chosen for Group 1.

Group 2 is used to sub-divide Group 1 even further, ie. if the list of documents shown in the subsequent report in Group 1 is very long then this list may also be sub-grouped within the larger group according to the heading chosen for Group 2.

The drop-down menu in **Group 3** will become available once the other two groups are chosen and again offers the same group headings apart from those previously selected. Group 3 provides an opportunity to group Group 2 lists even further.

Order by allows you to order information shown in the report. Select from the drop-down menu.

Destination allows you to choose where you wish the subsequent report to be directed to - screen (for viewing and also giving the option to print), printer or saved to file. Select one from the drop-down menu. The three options are discussed in detail in Viewing, printing or saving reports.

Print attachment information? - used in conjunction with change request reports and review reports. Tick this option to print details of any file attachments to change requests or reviews.

New Page on Group Break? - if you tick this option, a new page will be started for each different group shown in the report.

New Page per Change Request? - if you tick this option, a new page will be started for each different change request shown in the report.

New page on change of document? - if you tick this option, a new page will be started for each different document listed in the report.

Print Date/Time Produced? - if ticked, the date/time of the report will show on the report itself.

12.3 Keyword Document Register

This report shows a register of all documents containing a selected keyword. The system defaults to a keyword search that covers all documents. Use Search buttons and filters (exactly as in use for the **Document register report**).

Setting up a keyword document register report

1 From the **Reports** menu choose **Keyword Document Register**. The **Keyword Document Register Selection Criteria** dialog will appear.

2 Search for the required Keyword using the Search button.

3 Use any of the other filters as described in the Document register report to focus your search.

4 Select the required Report Options.

5 Click **OK** to generate the report.

Use the **Clear** button to reset the dialog at any stage.

See also: Maintaining master keywords and Document attributes | Keywords

12.4 Change Request Detail

This report allows you to produce detailed reports on specified CRQs. There are two pages (**CRQ Details** and **Document Details**) offering a wide range of selection criteria that allow you to make very specific searches. The report will only return records that satisfy all criteria from both pages.

NB. If there are any Unauthorised change requests for a New Document, this report will display them with a Document Serial No. of '0'.

Setting up a change request detail report

1 From the **Reports** menu choose **Change Request Detail**.

2 Select required details on CRQ Details and/or Document Details pages (using Search buttons and drop-down menus for filtering). The fields on the Document Details page are exactly as described in the Document register report.

3 Select as many **CRQ Status** and **CRQ Nature** categories as you wish (by high-lighting). Use the keyboard **Ctrl** button to select multiple non-consecutive categories.

4 Set up appropriate Report Options. The check box marked *New Page on Group Break?* will become available if an option is selected from the 'Group by' drop-down menu. You also have the extra option to start a new page of the report for each Change Request by ticking the relevant check box.

5 Click **OK** to generate the report.

Use the **Clear** button to reset the dialog at any stage but beware that this will clear both pages not just the current one.

12.5 Change Request Summary

This report looks and functions in exactly the same way as the **Change request detail** report but gives only a summary of specified CRQs. A wide range of selection criteria is offered on **CRQ Details** and **Document Details** allowing very specific searches.

NB. If there are any Unauthorised change requests for a New Document, this report will display them with a Document Serial No. of '0'.

Setting up a change request summary report

1 From the **Reports** menu choose **Change Request Detail**.

2 Select required details on **CRQ Details** and/or **Document Details** pages (using Search buttons and drop-down menus for filtering). The fields on the **Document Details** page are exactly as described in the Document register report.

3 Select as many **CRQ Status** and **CRQ Nature** categories as you wish (by high-lighting). Use the keyboard **Ctrl** button to select multiple non-consecutive categories.

4 Set up appropriate Report Options. The check box marked *New Page on Group Break?* will become available if an option is selected from the 'Group by' drop-down menu.

5 Click **OK** to generate the report.

Use the **Clear** button to reset the dialog at any stage but be aware that this will clear both pages not just the current one.

12.6 Document Receipt Acknowledgement

This report is intended to show which personnel in the distribution list of a document have acknowledged receipt. The dialog is virtually the same as the Document Register report but the Report Options vary.

You may elect to show only documents that have not been acknowledged by all personnel on the distribution list.

Setting up a document receipt acknowledgement report

1. From the **Reports** menu choose **Document Receipt Acknowledgement**. The **Document Receipt Acknowledgement Selection Criteria** dialog will appear.
2. Click the top check box to filter documents (as described).
3. Apart from this top check box, the rest of the search criteria are exactly as described in Document register report.
4. Select appropriate Report Options. You may only choose one heading to group the report by and, if chosen, the check box marked *New Page on Group Break?* will become available; tick if you wish to utilise this option.
5. Click **OK** to generate the report.

Use the **Clear** button to reset the dialog at any stage.

12.7 Documents Held by Personnel

This report shows which document **Distribution** lists members of personnel are on. The dialog offers lists of all personnel and personnel groups from which you may make your selection. You may also filter on specific documents using the **Document Details** page.

Setting up a documents held by personnel report

1. From the **Reports** menu choose **Documents Held by Personnel**. The **Documents Held by Personnel Selection Criteria** dialog will appear.
2. If you wish to filter on certain documents, make your selection on the **Document Details** page. Filters here work exactly as on the Document register report.
3. To find out which distribution lists personnel are on, go to the **Personnel** page and select the relevant personnel from the 'Available personnel list' (left) and add to the 'Personnel selected list' on the right using the central **>>** button or by double-clicking on the relevant name(s). See Groups / Lists for further help with selection if required

   Individual personnel may be selected on the Personnel filter; groups should be selected from the Personnel Groups filter underneath.

   Report Options are described in detail in Document Control report options; however, this report can only be grouped (if required) by Personnel Name.
4. When you are ready to generate the report, click **OK**.

Use the **Clear** button to reset the dialog but be aware that this will clear both pages not just the current one.

12.8 Document Status Detail

This report shows all details of a particular document including the History entries. You have the option to filter the History entries so that only those falling within a given date range will show.

Setting up a document status detail report

1. From the **Reports** menu choose **Document Status Detail**. The **Document Status Detail Selection Criteria** dialog will appear.
2. Using the Search button select the **Document** whose status (and other details) you wish to check, or enter the Document Serial No. if known. This is a mandatory field.
3. Filter the list of the chosen document's History entries by entering a date range if required; use the Date button to do this.

   Report Options are very minimal in this dialog; you may choose only the destination of the report and whether you wish to have the date and time printed on the actual report.
4. Click **OK** to generate the report.

12.9 Document Status and Change Detail

This report shows all details of a particular document including the history entries and change request details. You have the option to filter the history entries and change request details so that only those falling within a given date range will show on the report.

Setting up a document status and change detail report

1. From the **Reports** menu choose **Document Status and Change Detail**. The **Document Status and Change Detail Selection Criteria** dialog will appear.
2. Using the Search button select the **Document** whose status and CRQ details you wish to check or enter the Document Serial No. if known. This is a mandatory field.
3. Filter the list of the chosen document's History entries and change request details by entering a specific date range; use the Date button to do this.

   Report Options are very minimal in this dialog but you may elect to print information on any files that are attached to the change request.
4. Click **OK** to generate the report.

12.10 Document Approval

This report shows which personnel in the approval list of a document have approved it. The dialog appears and functions in exactly the same way as the Document receipt acknowledgement report.

You may elect to show only documents that have not been acknowledged by all personnel on the distribution list.

Setting up a document approval report

1. From the **Reports** menu choose **Document Approval**.
2. In the **Document Approval Selection Criteria** dialog, check the top box to select only documents that have not been approved by all personnel on the approval list.

3 Apart from this top check box the rest of the search criteria are exactly as described in Document register report.

4 Select from the Document Status and Document Attributes filters if required. Show hidden categories, departments and/or types by checking the relevant box(es).

Report Options are described fully in Document control report options. You may only choose one heading to group the report by (from the 'Group by' drop-down menu) and, if chosen, the check box marked *New Page on Group Break?* will become available; tick if required.

5 Click **OK** to generate the report.

Use the **Clear** button to reset the dialog at any stage.

12.11 Document Approval Notes

This dialog is used to produce approval notes for members of personnel on the approval list who have not yet approved or rejected a specified document. Each note is printed on a separate page.

Setting up document approval notes

1 From the **Reports** menu choose **Document Approval Notes**. The **Approval Note Selection Criteria** will appear.

2 Select the mandatory **Document** (using the Search button) for which you wish to create personnel approval notes. Only documents with the following statuses will be displayed - Awaiting Approval; Undergoing Approval; Issued, Awaiting Approval; Issued, Undergoing Approval.

3 If you tick the check box marked *Select Personnel from Approval List,* the dialog will expand (where relevant) and you will be given the option to select specific personnel from either the **Personnel** or **Approval Groups** page. Select the specific personnel that you wish to send a **Document Approval Note** to.

4 Select the required Report Options. You may choose to order the notes by Personnel Name or by Department. There is no option to save the note(s) to file.

5 Click on **OK** to generate the approval note(s).

12.12 Document Issue Notes

This dialog is used to produce a separate issue note for each personnel member on the distribution list who has not yet acknowledged receipt of a specified document.

Setting up document issue notes

1 From the **Reports** menu choose **Document Issue Notes**. The **Document Issue Note Selection Criteria** dialog will appear.

2 Select the mandatory **Document** (using the Search button) for which you wish to create issue notes. Only documents with the following statuses will be displayed - Issued; Issued, New Draft Exists; Issued, New Draft Awaiting Approval; Issued, New Draft Undergoing Approval; Issued, New Draft Awaiting Issue.

3 If you tick the check box marked *Select Personnel from Distribution List,* the dialog will expand (where relevant) and you will be given the option to select specific personnel from either the **Personnel** or **Groups** page. Select the specific personnel that you wish to send a **Document Issue Note** to.

4 Tick the check box marked *Only print users with no login* if required. Issue notes will then only be printed for personnel who do not have a login, ie. are not Workbench users.

5 Select the required Report Options. You may choose to order the notes by Personnel Name or by Department. There is no option to save the note(s) to file.

6 Click on **OK** to generate the issue note(s).

12.13 Document Distribution History

This report produces a history of all changes made to the distribution list of a document. It shows revision level(s), to whom the document was issued, and the names and IDs of persons added and removed from the list.

Setting up a document distribution report

1 From the **Reports** menu choose **Document Distribution History**.

2 Select the **Document** (mandatory field) using the Search button. This takes you to the **Select Document** dialog - see Searching for documents for help if required.

3 Enter the **Revision** levels you want to report on (if known). Otherwise the report will include all revision levels of the selected document.

4 Select relevant Report Options, ie. where you want the report sending to (see Viewing, printing or saving reports) and whether or not you want the date / time that the report was generated to be printed on the report itself.

5 Click **OK** to generate the report.

12.14 Approval Groups

This report allows you to select specific personnel to find out which approval groups (if any) they are on; it also gives information about which personnel are on which approval groups.

Setting up an approval templates report

1 From the **Reports** menu choose **Approval Groups**.

2 In the **Approval Groups Report** dialog, select the Personnel whose approval groups listings you wish to view. Selected personnel should be moved from the 'available' list (left hand box) to the right hand box. (See Groups / Lists for help with moving names if required).

3 If required, select Approval Group Information from the bottom filter. Highlight the required group(s); use the keyboard **Shift** key to highlight consecutive groups, the **Ctrl** key to highlight non-consecutive items. The report will list personnel attached to the selected approval groups. You also have the option to select only ordered groups by ticking the relevant check box. The *Display group notes* check box will be enabled if you choose to group the report by Group (in Report Options).

4 Select relevant Report Options described.

5 Click **OK** to generate the report.

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

12.15 Document Categories

This report gives a list of document categories as set up in **Settings | Document Categories** and can be grouped by categories that are in use or are hidden. You may opt to display any notes attached to categories.

Setting up a document categories report

1. From the **Reports** menu choose **Document Categories Report**.
2. Click the *Display Notes* check box if you wish to display notes that are attached to category descriptions; click the *Show hidden Categories* check box if you want the report to include categories that are hidden (see Document categories).
3. In Report Options, you may opt to group by only categories that are actually in use or, if the *Show hidden categories* check box is selected, by those that are hidden (choose from the drop-down menu).
4. Click **OK** to compile.

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

12.16 Document Types

This report gives a list of document types as set up in **Settings | Document Types** and can be grouped by types that are in use or are hidden. You may opt to display any notes attached to types.

Setting up a document types report

1. From the **Reports** menu choose Document Types Report.
2. Click the *Display Notes* check box if you wish to display notes that are attached to type descriptions; click the *Show hidden Types* check box if you want the report to include types that are hidden (see Document types).
3. In Report Options, you may opt to group by only types that are actually in use or, if the *Show hidden Types* check box is selected, by those that are hidden (use the drop-down menu).
4. Click **OK** to compile.

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

12.17 Document Attributes

This report can be accessed from the **General** page of any **Document Attributes** dialog, including the **Edit Document Attributes** dialog and also **Reports | Document Attributes**. It reports on general document details, access and distribution details and/or document keywords for a selected document.

Setting up a document attributes report

1. From the **Reports** menu choose **Document Attributes**. The **Select Document for Document Attributes Report** dialog will appear.
2. Select the document whose attributes you wish to report on, see Searching for documents for help.

3 The **Document Attributes Report** dialog will open. The three check boxes at the top are self-explanatory and are all selected by default (only two check boxes will appear here if accessing from the **Document Attributes** dialog - see below). Select or de-select any of these as required.

4 Then select the **Report Destination** (see Viewing, printing or saving reports).

5 Click **OK** to generate the report.

NB. If you access this report using the Print button (alongside the Serial No. field) on the **General** page of the **Document Attributes** dialog, the *Print Access Lists* check box will not be present. If required, Access lists may be viewed from the **Document Attributes** dialog via the **Access** page.

12.18 Review Detail

This report shows documents that have reviews registered against them. Full details of the reviews and responses will be given. Records can be sorted either by serial number, by user reference or by title. Review details can be searched for and filtered in a variety of ways.

Setting up a review detail report

1 From the **Reports** menu choose **Review Detail**; the **Review Detail Selection Criteria** dialog will appear.

2 None of the selection criteria is mandatory. If you simply click **OK** the report will use its default settings and produce a report showing a list of all documents with reviews registered against them. Document title, current status, user reference (if any) and review responsible person will be shown, along with full details of all reviews and responses - and workflow settings controlling reviews.

   For a more specific search use any of the searches and filters shown on the **Review Details** page:-

   - use the drop-down menus to select reviews that have a specific **Review Subject** and/or **Review Topic**
   - use the Search button to enter a named review **Responsible Person**
   - select specific date ranges (using the Date button(s) if required)
   - use the filters to highlight reviews with a specific **Review Status** and/or of a specific **Review Type**. (To select consecutive items use the keyboard **Shift** key; use the **Ctrl** key to highlight non-consecutive items).

3 To narrow the search to only certain documents, go to the **Document Details** page. Fields and filters here are exactly as for the Document register report.

4 Select appropriate Report Options.

   Use the **Clear** button if you wish to clear the dialog of currently selected document information and start again. Beware that this will clear both pages, not just the current one.

5 When relevant selection criteria have been selected on all pages and the Report Options set up, click **OK** to run the report.

12.19 Review Summary

This report shows documents that have reviews registered against them and the selection criteria are exactly as those for the **Review Detail** report. However only a summary of the reviews (and no responses) will be shown. Records can be sorted either by serial number, by user reference or by title. Reviews can be searched for and filtered in a variety of ways.

Setting up a review summary report

1 From the **Reports** menu choose **Review Summary** to access **Review Summary Selection Criteria**.

2 None of the selection criteria is mandatory. If you simply click **OK** the report will use its default settings and produce a report showing a list of all documents with reviews registered against them. Document title, current status, user reference (if any) and review responsible person details appear, along with a summary of reviews (but no responses will be shown). Workflow settings however, will be shown.

For a more specific search use any of the searches and filters shown:-

- use the drop-down menus to select reviews that have a specific **Review Subject** and/or **Review Topic**
- use the Search button to enter a named review **Responsible Person**
- select specific date ranges (using the Date button(s) if required)
- use the filters to highlight reviews with a specific **Review Status** and/or of a specific **Review Type**. (To select consecutive items use the keyboard **Shift** key; use the **Ctrl** key to highlight non-consecutive items).

3 To narrow the search to only certain documents, go to the **Document Details** page. Fields and filters here are exactly as for the Document register report.

4 Select appropriate Report Options.

Use the **Clear** button if you wish to clear the dialog of currently selected document information and start again. Beware that this will clear both pages, not just the current one.

5 When relevant selection criteria have been selected on all pages and the Report Options set up, click **OK** to run the report.

12.20 Review and Change Detail

This report shows documents that have reviews and/or change requests registered against them. Full details of the reviews, responses and change requests will be given, including attachments (if any) and workflow settings controlling reviews. Records can be sorted either by serial number, by user reference or by title. Reviews can be searched for and filtered in a variety of ways.

Setting up a review and change detail report

1 From the **Reports** menu choose **Review and Change Detail**.

2 In the **Review and Change Detail Selection Criteria** dialog none of the selection criteria is mandatory. If you simply click **OK** the report will use its default settings to produce a report showing a list of all documents with reviews and/or change requests registered against them. Document title, current status and user reference (if any) will be shown, along with full details of all reviews, responses and CRQs.

For a more specific search use any of the searches and filters on the **Review Details** page:-

- use the drop-down menus to select reviews that have a specific **Review Subject** and/or **Review Topic**
- use the Search button to enter a named review **Responsible Person**
- select specific date ranges (using the Date button(s) if required)
- use the filters to highlight reviews with a specific **Review Status** and/or of a specific **Review Type**. (To select consecutive items use the keyboard **Shift** key; use the **Ctrl** key to highlight non-consecutive items).

3 To narrow the search to only certain documents, go to the **Document Details** page. Fields and filters here are exactly as for the Document register report.

4 Select appropriate Report Options.

Use the **Clear** button if you wish to clear the dialog of currently selected document information and start again. Beware that this will clear both pages, not just the current one.

5 When relevant selection criteria have been selected on all pages and the Report Options set up, click **OK** to run the report.

12.21 Review and Change Summary

This report shows documents that have reviews and/or change requests registered against them and the selection criteria are exactly as those for the **Review and Change Detail** report. However, no review response details will be shown. Records can be sorted either by serial number, by user reference or by title. Reviews can be searched for and filtered in a variety of ways.

Setting up a review and change summary report

1 From the **Reports** menu choose **Review and Change Summary**.

2 In the **Review and Change Summary Selection Criteria** dialog none of the selection criteria is mandatory. If you simply click **OK** the report will use its default settings and produce a report showing a list of all documents with reviews and /or change requests registered against them. Document title, current status and user reference (if any) will be shown, along with a summary of all reviews and change requests.

For a more specific search use any of the searches and filters:-

- use the drop-down menus to select reviews that have a specific **Review Subject** and/or **Review Topic**
- use the Search button to enter a named review **Responsible Person**
- select specific date ranges (using the Date button(s) if required)
- use the filters to highlight reviews with a specific **Review Status** and/or of a specific **Review Type**. (To select consecutive items use the keyboard **Shift** key; use the **Ctrl** key to highlight non-consecutive items).

3 To narrow the search to only certain documents, go to the **Document Details** page. Fields and filters here are exactly as for the Document register report.

4 Select appropriate Report Options.

Use the **Clear** button if you wish to clear the dialog of currently selected document information and start again. Beware that this will clear both pages, not just the current one.

5 When relevant selection criteria have been selected on all pages and the Report Options set up, click **OK**.

12.22 Document Training Report

This report is accessible from both the **Document Control** and **Training** modules. It is a two-page dialog. The first page, **Document Details**, allows you to filter the report by specifying document search criteria (following the format of most Document Control report selection criteria dialogs). The second page, **Course Details**, allows you to specify course selection criteria.

The report will be printed out as a **Summary** (the default) but if the relevant check box in **Report Options** is de-selected, full details will be shown including course attendees and course results (for completed courses).

Setting up a Document Training report

1 From the **Reports** menu choose **Document Training Report**; the **Document Training Report** dialog will appear.

2 None of the selection criteria is mandatory. If you simply click **OK** the report will use its default settings and produce a summary report showing a list of all documents associated with a training course, ordered by serial number.

For a more specific search use any of the searches and filters shown:-

- on the **Document Details** page use the Search buttons to select a range of Serial Nos. from/to
- **User ref contains** and **Title contains** - type in any word(s) that may be contained within the document **User reference** or **Title**
- use Search buttons to select only documents that have a specific **Author** and/or **Owner**
- select a specific Date range (using the Date button(s) when the document was created.

3 Highlight the status(es) you want to search on in the Document Status filter. To select consecutive items use the keyboard **Shift** key; to select non-consecutive items use the **Ctrl** key. Highlighted items will be included in the search.

4 The Document Attributes filters show document categories, departments and types. Scroll through these and highlight (as above) the required attributes to search on. To show hidden records, check the relevant check box above the required attribute(s).

5 Move on to the **Course Details** page to select further search criteria. Use Search buttons to select any specific element you wish to search on. If you can't remember a specific **Course ID**, enter any text that may be associated with the course title in the **Name Contains** field.

6 The search will focus only on courses with the highlighted status (more than one if required) in the Course Status box.

7 Select appropriate **Report Options**. Remember to uncheck the *Print summary report?* check box if you want a full detailed report showing course attendees and results.

Use the **Clear** button to clear the dialog (both pages) of currently selected document information.

8 When relevant criteria have been selected and the **Report Options** set up, click **OK** to run the report.

See Viewing, printing or saving reports

12.23 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.

12.24 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)

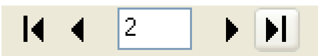
The **Print Preview** dialog will appear when you select the Screen (print preview) destination option for a report (or in any other dialog). If you hold the pointer tool at the bottom of the toolbar, yellow pop-up bars will appear, explaining the feature of each button.

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.

13 Menus at a glance

This section explains, very briefly, the purpose and scope of each menu item in the Document Control module.

File

Where Am I? Allows you to verify 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 rights are 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 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 for Workbench to automatically select 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 confirmation message is displayed first.

Documents

Setting up new documents, importing, editing and viewing documents are all options accessed using the Documents menu. Here you may also check draft documents out to file, check them back in again and undo any unwanted changes made since the last issue.

Create or Import Document… Allows the creation of new documents, and the importing of documents from external files into a Workbench database either via the menu or by dragging and dropping the file from File Manager or Explorer.

Edit Document… This dialog allows the editing of an existing document; only documents that are in draft form or have been issued and have an approved change request against them, can be edited.

View Document… All Documents, their full details including attributes, keywords (if any) and History log, may be viewed here.

Check Out to File… Allows a user to check out to file, any document to which they have edit rights, so that it may be worked on away from the database. The program ensures that whilst the file is checked out, any user attempting to edit the document is informed that it has been checked out and they are not allowed to edit it.

Check In from File… Allows a user to check back into the database any file which they have currently checked out. Here they may also cancel any checkouts that they have.

Undo Changes Since Last Issue… Allows a user to cancel the changes that have been made to a document since it was last issued.

Changes

The Changes menu deals with all options covering change requests (including the tracking of approval progress).

Raise Change Request… Allows a user to raise one or more change requests in one go. In the case of 'New Document' change requests, only one request may be raised. All other change request types may be raised against one or more documents.

Open Change Request… Allows a user to view the details of change requests associated with a document to which they have view rights. Depending on the status of the document and the user's additional rights, the user may then update, approve, action or reject the change request.

Change Request Approval Progress… This shows the progress of a change request approval by showing a list of all personnel on the approval list of the change request and whether or not they have approved it.

Approve Change Request For… Allows a user who has been sent a task request to approve a change request, to also approve this change request on behalf of another user.

Control

This menu controls the processing cycle of documents - from marking them ready for approval through to archiving and/or deleting.

Mark Ready for Approval… Allows a user to mark any currently editable document as ready for approval.

Mark Ready for Issue… Allows a user to mark a document as ready for issue.

Approve Document… Allows a user to approve or reject any document undergoing approval that has an approval list that they are on and have not yet approved.

Approve Unassigned Document… Allows a user to approve any document that does not have an approval list. It is suggested that this menu item should only be accessible to the administrator.

Approve Document For… Allows a user to approve a document on behalf of someone else.

Approval Progress… Shows the progress of a document towards being approved, by giving a list of all personnel on the approval list and whether or not they have approved it.

Issue Document… Allows a user to issue any documents that are currently awaiting issue.

Reissue Document… Allows the reissue of any document that has as an issued copy.

Acknowledge Receipt… Allows a user to acknowledge receipt of a document that has been issued to them. If the Workbench Questionnaires feature is installed and being used, a questionnaire must be answered correctly before receipt of the document can be acknowledged.

Document Receipt… Allows a user to acknowledge receipt of a document both for themselves and on behalf of other users.

Edit Document Attributes… Allows a user to modify selected document attributes.

Maintain Master Keywords… Allows a user to modify existing keywords in the master list; this has the effect of changing the description of the modified keyword in all documents.

Withdraw Document… Allows a user to withdraw any document awaiting withdrawal to which they have view access.

Archive Document… Allows a user to archive any withdrawn document (to which they have access rights) to an external file.

Delete Draft Document… Allows a user to delete any draft document that has never been issued and to which they have edit rights.

View Withdrawn Document… Allows the user to view any document which has been withdrawn but not archived and to which the user has view rights.

View Retained Document… Allows a user to view the previously issued versions of any document that has been issued more than once and has had its old issues retained in the archive table. The user must have view rights to a document to be able to see its previous revisions.

Archive Retained Document… Allows a user to archive old versions of current documents. It is likely to be used before 'Withdraw' to keep old versions of documents that would be lost when the document is withdrawn.

Reviews

Maintain Reviews… Allows the review-responsible user to control the processing of both scheduled and unscheduled reviews.

Review Document… Allows a user to make an initial response to a review or to update and finish their response.

Request Review… Allows users with document view rights to submit a 'request for an unscheduled review' to the document review-responsible user.

Initiate Scheduled Reviews… Users nominated with responsibility for reviews but without full access to the necessary document(s), may use this menu option to gain restricted access to the Edit Document Attributes in order to set off reviews (providing that the Reviews element is licensed).

Withdraw Review… Allows the review-responsible user or administrator to withdraw reviews with Completed status.

Purge Review… Allows the review-responsible user or administrator to purge withdrawn or rejected reviews; this physically removes them from the database.

Settings

Information likely to be used in the creation of documents and their attributes are set up in the Settings menu. The **Rules** menu options will only be visible if the *Use document control business rules* setting is switched on in the **Workbench Configuration Centre**.

Master Templates... Here you may define documents that are imported into the Workbench database for use as base documents.

Approval Groups… Allows a user to create, edit and delete document approval groups.

Document Categories… Here you may set up named categories by which you wish to group documents for reporting and analysis purposes.

Document Types… Set up document types by which to search and order your document database.

Approval Reasons… Set up approval reasons for use when a reason is mandatory if approving a document.

Document Review Settings | Review Subjects… Here you may define optional subject areas for grouping reviews together.

Document Review Settings | Review Topics… Here you may define optional topic headings for grouping reviews together.

Document Review Settings | Review Reasons… Define mandatory reasons for requesting reviews.

Rules | Default Business Rules... Allows a user to maintain groups of personnel to be included in document **Access** lists by default, ie. if the system fails to find a match on any other rules that you have set up. It functions in the same way as the Business Rules except that it does not allow the setting of conditions and it can never be deleted.

Rules | Business Rules... Allows a user to create, edit or delete business rules applicable to document control; the user sets up the conditions that must be met for the rules to be used - and then selects Workflow Settings and defines the users who will be added to the **Access** lists if the given conditions are met.

User-Defined Analysis… Allows a user to set up user-definable categories for analysis purposes.

Reports

Document Register... Gives a register for all documents which can be searched for and sorted in a variety of ways.

Keyword Document Register… Shows a register of all documents containing a selected keyword.

Change Request Detail… Shows all details of specified change requests.

Change Request Summary… Shows a summary of specified change requests.

Document Receipt Acknowledgement… Shows which personnel in the distribution list of a document have acknowledged receipt.

Documents Held by Personnel… Shows which document distribution lists members of personnel are on.

Document Status Detail... Shows all details of a particular document including the history entries; these entries may be filtered to show only those within a given date range.

Document Status and Change Detail... Shows all details of a particular document including the history entries and change request details; history entries and change request details may be filtered to show only those within a given date range.

Document Approval... Shows which personnel in the approval list of a document have approved.

Document Approval Notes... Used to produce approval notes for members of personnel on the approval list who have not yet approved or rejected a specified document. Each note is printed on a separate page.

Document Issue Notes... Used to produce issue notes for members of personnel on a distribution list who have not yet acknowledged receipt of a specified document. Each note is printed on a separate page.

Document Distribution History... Used to produce a history of all changes made to the distribution list of a document.

Approval Groups... Allows a user to select specific personnel to find out which approval groups (if any) they are on; it also gives information about which personnel are on which approval groups.

Document Categories Report... Shows a list of categories and can be grouped by categories that are simply listed or those that are in use.

Document Types Report... Shows a list of types and can be grouped by types that are simply listed or those that are in use.

Document Attributes... Shows a list of general document details, access and distribution list details and document keywords. Can also be accessed via the Document Attributes dialog.

Review Detail... Allows users to generate a report on a document that has reviews registered against it. Full details of the reviews and responses are shown in the report.

Review Summary... Allows users to generate a report on a document that has reviews registered against it. Only a summary of the reviews will be shown in the report.

Review and Change Detail... Allows users to generate a report on a document that has reviews and change requests registered against it. Full details of the reviews (and responses) and change requests will be shown in the report.

Review and Change Summary... Allows users to generate a report on a document that has reviews and change requests registered against it. Only a summary of the reviews and change requests will be shown in the report.

Document Training Report... This report is accessible from either the Document Control module or the Training module. It can be printed in Summary or Detail format and reports on all aspects of documents associated with training courses.

User Defined Reports... Gives read-only access to reports generated by ReportQuest.

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 on-line Help.

Topic Search Gives alphabetical index of all Help entries; allows searching for specific topics.

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

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

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