IntraVista Professional 11

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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.

Ideagen is an ISO 9001-2008 and TickIT registered company based in the heart of Derbyshire, England. Company Registration Number: 3505254

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1 IntraVista Professional 11

IntraVista Professional 11 (usually referred to as IVPro 11) is a very scaleable product and runs on application server WebObjects; this allows for a wide range of functionality and, using this technology, IVPro supports posting information back to the database as well as retrieving it.

Some of the common reactive and proactive features currently in Workbench are made available via IVPro. These include:-

- Viewing a document - users can view any document and its attributes to which they have access rights
- Approving (or rejecting) a document
- Acknowledging the receipt of a document - if configured to do so, this may include answering a questionnaire before acknowledgement can be sent.
- Raising a change request - users can raise request for changes against one or many documents providing they normally have access to them.
- Reporting a customer complaint
- Reporting a nonconformity - the reporting of both customer care complaints and NCRs replicate almost exactly the functionality available via Workbench, including the automatic generation of business rules.
- Changing your own password - obeys the password settings as defined in Workbench. When a user attempts to change their password, existing constraints (if any) will be displayed.
- Document ‘blob’ searching - where a user can search in the contents of documents for key words or phrases.

NB. Depending on how your access has been configured, the functionality of any of the above routines may be restricted.

IVPro 11 generates and sends mail messages in complete accordance with your Workbench set-up. All security settings as defined in Workbench are always obeyed, so if you can’t see a document in Workbench, you won’t be allowed to see it in IVPro. The impact of using IVPro for any action is exactly the same as if it were done via Workbench. Any actions completed via IVPro will be logged on the document's History page as performed via IVPro 11, so its use can easily be monitored.

User-acceptance and training is assisted by the provision of on-line help for both IVPro and Workbench - and the use of common search functions and other features already present in Workbench.

The Help files here assume that you have IntraVista Professional with all optional areas licensed.

Licences

IVPro has its own licence and is licensed in the same way that Workbench modules are licensed.

Some elements of IVPro listed are licensed separately (as they are in Workbench); if unlicensed, they will not appear in your version of IVPro. They are:-

- Change password
- Response bands and escalation
- Business rules
- Document ‘blob’ searching (within document searching)

1.1 New additions

IntraVista Professional 11 includes several new features and updates from IVPro 10 SP1. These have been introduced mainly at the request of current users and in line with updates for Workbench 11 - they are intended to enhance the product and give greater ease of working. None of the existing functionality of Workbench has been removed and access to all individual areas still depends on the necessary access rights and permissions.

The three main additions are outlined below but full details of all updates are given in each relevant Help topic.

- A new, separately licensed, feature in Workbench 11 has three new workflow settings that control whether questions will be asked about a document when acknowledging its receipt. The system administrator may specify whether the **Workbench Questionnaires** feature is to be used on a per document basis; if used, admin. then specifies how many random questions will be asked and the minimum number of correct answers required to be returned before receipt of the document will be acknowledged.
- The **Report Nonconformity** dialog now includes **Customer** and **Contact** fields (as in the Customer Care module) and these can be made mandatory via a workflow setting. The same customer and contact records will be referenced by both the Nonconformities and Customer Care modules. (The Audits module also uses the same records.)
- The **Report Nonconformity** dialog now allows a newly reported nonconformity to reference one or more previously reported NCRs.

  In Workbench 11, **NCR References** appears as a new page tab on the Report Nonconformity dialog; in IVPro 11, a new **NCR References** group box is shown on the main Report Nonconformity dialog.

2 Getting started

When you call up IntraVista Professional via its URL (supplied by your system administrator) the **Introduction** page gives brief information regarding product specification and then prompts you to click on the arrow in order to select a database and log in (see Logging in to IVPro via its URL or a shortcut).

Selecting a database

After clicking on the arrow on the **Introduction** page, choose a database from the drop-down menu in the **Database Select** box (DB Select) and click **OK**. The choice of databases will be exactly as those available to you in Workbench.

Anonymous logins

There may be instances where your organisation requires certain users simply to view read-only documents without the need to log in; these users would have no access to any of the other IVPro options. To meet this requirement the system can be configured so that two different database names (aliases) point at the same database; one of these aliases can be made 'View Only' and accessed without a login or password. Documents displayed in this instance will be governed not only by access rights (ie. to modules, menus and dialogs) but may be further restricted within specific databases. These further restrictions are controlled by the system administrator (using the Configuration Manager) who may allow viewing of, for example, only issued documents or only documents with no nominated View list.

The system checks for all access rights and restrictions per user, per database and only displays appropriate documents.

Users with View Only access to a database use the same procedure as above when accessing IVPro but should choose the relevant (view only) database from the drop-down menu and click **OK**. For further information see View Only access.

2.1 Logging in to IVPro

For users with full access to the chosen database, logging in will take one of three paths depending on how the individual user's authentication has been set up by the administrator:-

- using Workbench Authentication, which requires the Workbench login and, optionally, a password
- using NT Authentication, requiring a login. If the database is configured, the user will automatically be presented with their Windows login and must provide their Windows password
- or, if configured to do so, a user may now use automatic NT Logon Authentication which means that neither a logon nor a password will be required at any time (even at times when password verification might normally be required in Workbench - eg. when approving a document).

Logging in to the database using Workbench Authentication

1 In the **Database Login** box (DB Login) enter a **Login** (mandatory field) and a **Password** if applicable. **NB**. Mandatory fields are highlighted with a coloured background (the default is yellow).

Logins are the same as those used in Workbench; they are set up and maintained in the Personnel module (**Record | Personnel**). Passwords (if used) are also the same as those used in Workbench; they too are set up in the Personnel module (**Record | Personnel**) but, with necessary access rights and permissions, may be modified in the System Manager module (

Configuration | User Logins | **Change Users Password**).

If a user is locked out for any reason, a notification will be sent to the system administrator asking them to restore access (System Manager module, Configuration | User Logins | **Restore Locked Out User**).

The defaults for **Login** and **Password** fields, as shipped, are as the Workbench defaults - ie. admin, admin.

The **Reset** button clears any entries.

The buttons along the top of the page allow simple navigation within IVPro (see Common Features | Navigation buttons for further information).

2 Click **OK** and the **Available Options** (Main Menu) will then appear - see Main Menu options.

Logging in to the database using NT Logon Authentication requiring a login

1 Providing that the chosen database is configured, the **Login** field in the **Database Login** box (DB Login) will automatically be populated with your Windows login and the *Use current Windows login* check box will be checked. In the **Password** field, enter your Windows password.

2 To log in as a different user, uncheck the *Use current Windows login* check box to enable the **Login** field. You will then be able to enter a different user Login and relevant Password.

NB. If you enter 'admin' as the Login, you will automatically be switched to Workbench Authentication and should then enter your Workbench password in the **Password** field (if required).

3 Click **OK** and the **Available Options** (Main Menu) will then appear (see Main menu options). The **Change Password** option will not be present when using NT Authentication.

Logging in to the database using automatic NT Logon Authentication

If using NT Authentication, the system administrator may configure your system so that neither a logon nor a password will be required. If this is the case, once a database has been selected in the **Database Select** box (DB Select) the **Database Login** routine will be by-passed and selection will jump directly to the **Available Options** (Main Menu), see Main menu options. The **Change Password** option will not be present when using NT Authentication.

2.2 Session time-out

IVPro automatically ‘times out’ after the allocated session unless you are using the **Document Web Portal**. The only person who can alter the length of session time-out will be the system administrator - or whoever has access to the Web server.

Providing that you are using Workbench Authentication you may use the **Lock Session** button (see below) to prevent an IVPro session timing out and also to prevent other users accessing records you are working with.

The **Lock Session** button appears with the top Navigation buttons after you have entered a database (providing that you are using Workbench Authentication or NT Authentication requiring a password). It is sited between the **Logout** and **Help** buttons (on the **Document Web Portal** this button usually appears alongside the **Help** button)and allows you to lock your IVPro session. This means effectively that you may suspend an IVPro session without it timing out - ie. IVPro stays live.

You may click on the **Lock Session** button (if present) at any time during an IVPro session. After entering your password in the **Session is Suspended** pop-up, click **OK** and your work will be locked until you re-enter your password and click **OK** again on the **Session is Suspended** pop-up.

The record you are working with cannot be opened by any other user whilst the session is locked. Be aware however, that when a session is ‘locked’ it also ties up the licence.

Closing the window on the **Session is Suspended** pop-up will log you out.

For types of authentication other than Workbench, the **Lock Session** button will not be present.

3 Main menu options

After you have selected a database and logged in, IVPro's **Available Options** are listed (Main Menu page).

NB. For users with View Only access, the relevant **Document Web Portal** will be invoked directly after selecting a database.

The buttons along the top of the page allow simple navigation within IVPro and are self-explanatory (or see Common Features | Navigation buttons).

The four **Main Menu** options are briefly described below and more detailed information is available under separate topic headings.

Document Web Portal

This option provides you with a single-page access point to the following routines (with necessary access and permissions):-

- acknowledging receipt of a document - including answering a questionnaire, if configured to do so
- approving a document
- rejecting a document
- copying a document
- copying hyperlinks (for issued documents only)
- removing a document
- raising a change request
- viewing a draft document
- viewing an issued document
- viewing document attributes
- viewing the last reason(s) for a change.

A list of documents and their details (access rights taken into account) are shown; right-clicking on a specific document will show what menu options are available for that document. All document search routines available in Workbench can be used in IVPro.

Report Complaint

This option mimics the **Report Complaint** dialog in the Workbench Customer Care module. It enables you to report complaints and, optionally, to give a date and time when a solution to the complaint is due. If Business Rules are licensed and turned on, personnel who should be notified or need to process the reported complaint can be informed automatically via Notification and Task messages.

Also, if Business Rules are licensed and turned on and the Workbench server is running, Response bands may be allocated to the complaint; this means that response to complaints will be automatically timed (and escalated where necessary) and appropriate users notified for information or tasked for action.

Report Nonconformity

This option mimics the **Report Nonconformity** dialog in the Workbench Nonconformity module. It enables you to report alleged nonconformities and, optionally, to give a date and time when a solution is due. If Business Rules are licensed and turned on, personnel who should be notified or need to process the reported nonconformity can be informed automatically via Notification and Task messages.

Change Password

This option (if licensed) allows you to change your password, providing that you are logged in using Workbench Authentication and that you know your current password. Passwords should contain a maximum of 12 characters and comply with any configured password constraints. Password Constraints are set up in the System Manager module (Configuration | Workbench Configuration Centre | System Wide | Password Configuration) and are used to maintain password settings for all users on a per database basis. Changes to these constraints usually take effect when a user next logs in.

4 Changing your own password

The **Change Password** option (if licensed) is the final option on the **Main Menu** page. It allows you to change your own password providing that the database is configured to use Workbench Authentication and that you know your current password, or you are logged in as the administrator.

Password Constraints (if any) are set up in the System Manager module (Configuration **|** Workbench Configuration Centre **|** System Wide **|** Password Configuration) and are used to maintain password settings for all users on a per database basis. Changes to these constraints usually take effect when a user next logs in.

Changing the password of the logged-in user

1 Enter the **Current Password** in the top field.

2 Enter the **New Password** in the middle field complying with Password Constraints (if present). Passwords should contain no more than 12 characters.

3 Confirm the **New Password** by entering it again in the bottom field.

4 Click **OK**.

Changes to the password take effect immediately.

5 Common features and routines

IVPro uses certain common routines and techniques throughout the system; a familiarity with these will assist effective use of the software. Most are identical to those used in Workbench.

5.1 Advanced document search

Additional search criteria on the **Document web portal** are accessed using the **Adv. Search** button in standard Document Selection dialogs. The advanced search mechanism provides you with more 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 the Personnel department 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 *Advanced Search* check box.

Accessing the advanced document search criteria

1 In any **Search** dialog applicable to documents tick the *Use advanced search* check box and hit the **Adv. Search** button; a further **Document Search Criteria** dialog will be offered:-

   Author - documents returned by the search will be restricted to those that have the selected staff member as author.

   Owner - documents returned by the search will be restricted to those that have the selected staff member as owner.

   Reviewer - documents returned by the search will be restricted to those that have the selected staff member who has responsibility for reviews.

   Date Created - enter a date when documents you wish to find were created and specify whether you want to find documents Before or On or After this date.

   Date Last Issued - enter a date when documents you wish to find were last issued and specify whether you want to find documents Before or On or After this date.

   Check both or either of the check boxes to select only documents undergoing a review and/or training.

   Extensions - select from the drop-down list to search for documents by the selected application (extension).

2 Click on **OK** when you have completed all relevant Search criteria. IVPro will search your document database for the relevant documents according to the search criteria specified in this plus any other searches already specified.

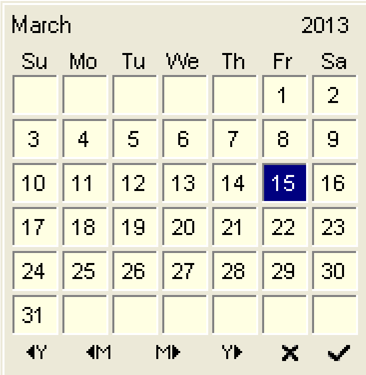
The **Reset** button clears all selected criteria on the Advanced Search.

5.2 Browse button

Clicking on the **Browse** button takes you to **Select** dialogs where you may search for and select required record(s) for inclusion on, say, the **Report Complaint** or **Report Nonconformity** dialogs.

5.3 Date button

This button offers a ‘calendar’ - a visual aid to plan dates. When first selected, the current date is always displayed (bold font).

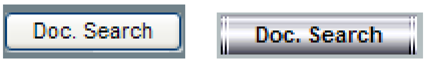


Go to previous years (<<) or months (<) with the left arrows.

Go to future years (>>) or months (>) with the right arrows.

To enter a date directly into the record, click on the relevant day in the main window; the calendar will close and the chosen date will be entered automatically in the field next to the Date button.

5.4 Document search



The **Doc. Search** button takes a slightly different form according to whether it appears in **Report Nonconformity** or **Complaint** routines or whether it appears on the Document web portal. Its function is identical in each case, enabling you to restrict the documents returned by any Document Selection dialog to those where the Issued or Draft version, Title or User reference contain or do not contain certain words or phrases. None of the searches are case sensitive.

It is important to note that as soon as you use the **Document Search** facility, it will clear any other searches that you may have set up in the Search field on the main dialog (eg. Search by or Search within). If you intend to use the extra Document Search facility, it is therefore advisable to set this up BEFORE setting any other ‘by’ or ‘within’ search on the main dialog.

NB. The **Document Search Criteria** dialog relies on the document word indexes stored in the database; for it to work, documents in the database must have been successfully indexed. These indexes are created automatically by the system upgrade files and maintained in the Server Configuration program.

Accessing the document search criteria

1 In any Search dialog applicable to documents tick the *Use document search* check box and hit the **Doc. Search** button; a further **Document Search Criteria** dialog will be offered. The text at the top of the dialog is self-explanatory; entries in the fields work as follows:-

Contain all of these words - means that records returned by the search 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 by the search 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 by the search 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 by the search must contain one or more of the words specified, ie. the first word OR the second word OR the third word etc.

2 The check boxes at the bottom of the dialog allow you to specify which fields should be searched for matching entries. Check any or all of the boxes as required. Only documents that meet all of the above edit controls (if any have been selected) will be returned, ie. containing or not containing specified words or phrases in at least one of the areas specified, - eg. if you enter a phrase that should contain 'Health & Safety' and also check the *Draft document* and *Title* boxes, the search will only return records containing ‘Health & Safety’ in their Draft version or their Title.

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

3 Click on **OK** when you have completed all the required search criteria and the system will search your document database for qualifying documents.

Only documents that meet the specified search criteria will be left in the grid for selection; you may now narrow the search further using other searches and /or filters.

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.

5.5 Four figure year dates

IVPro system year dates are always shown as four figure numbers, ie. 2013, not just 13.

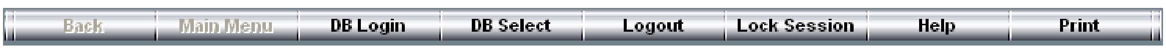
NB. If your Windows settings are set to two digit year dates, the system will force you to use four digits when a date is entered.

5.6 Mandatory fields

Certain fields in IVPro are essential or mandatory; such fields have coloured backgrounds (the default is yellow), giving you an immediate visual indication that they are compulsory. You will not be able to proceed until all mandatory fields on a dialog are complete. A warning message will show the incomplete fields where applicable.

5.7 Navigation buttons

These buttons allow simple navigation within IVPro but do not appear in a 'bar' when working in the Document Web Portal. Click on the appropriate button to go directly to the selected page. An option is disabled when it cannot be selected (for instance, because you are already working on that page).



- **Back** takes you back to the previous page.
- **Main Menu** takes you to the IVPro **Available Options** menu.

- **DB Login** takes you to **Database Login** where you may log in as a different user (with appropriate access rights).
- **DB Select** invokes **Database Select** where you may select a different database to log in to.
- **Logout** logs you out of the current IVPro session - but offers an option to log directly back in again.
- **Lock Session** appears with the Navigation buttons after you have entered a database (providing that you are using Workbench Authentication or NT Authentication requiring a password). It allows you to lock your IVPro session which means effectively that you may suspend an IVPro session without it timing out - ie. IVPro stays live.

  You may click on the **Lock Session** button (if present) at any time during an IVPro session. After entering your password in the **Session is Suspended** pop-up, click **OK** and your work will be locked until you re-enter your password and click **OK** again on the **Session is Suspended** pop-up.

  Whilst the session is locked the record you are working with cannot be opened by any other user. Be aware however, that when a session is 'locked' it also ties up the licence.

  Closing the window on the **Session is Suspended** pop-up will log you out.

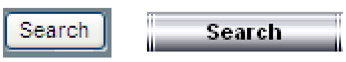
  For types of authentication other than Workbench, the **Lock Session** button will not be present; on the **Document Web Portal** this button usually appears alongside the **Help** button.
- **Help** gives access to context-sensitive Help.
- **Print** prints out the current page.

5.8 Select dialogs

Browse buttons invoke **Select** dialogs - eg. **Select Member of Personnel**, **Select Product** etc. These dialogs all function in the same way and use standard Search buttons. Records are displayed in pages of 10 and the Page drop-down allows you to select a specific page number. The total number of records is shown and **<< First**, **< Previous**, **Next >** and **Last >>** buttons allow you to browse through the pages of records.

Some **Select** dialogs offer further searches and filters and these are described in the Help topics for the respective routines eg. the **Select Document** dialog offers a Doc. Search and also allows you to view a selected document and/or its attributes.

5.9 Search button



The **Search** button takes a slightly different form according to whether it appears in **Report Nonconformity** or **Complaint** routines or whether it appears on the **Document web portal**. Its function is identical in each case and allows you to search through records and locate the one you are seeking by whatever methods are appropriate to that information. These options will differ depending on the kind of information you are searching through. For example, you may search for personnel by Personnel ID, by Login or within a Name; simply use whichever is most convenient.

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 button marked **Search**. Then choose the search method required from the radio buttons below. For instance, typing in 'Hard' on a personnel search and choosing 'Search within Name' will return all users with the characters 'Hard' within their surname, eg Hardy, Harding etc.

To re-set the search grid, clear the search field and click on the **Search** button.

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' (eg. in **Report Complaint**). Here the system looks for what you have keyed in 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.

After using the **Search** button for any kind of search, the box must be cleared before the whole list of records will re-appear. To do this, highlight any text there, delete it and then click the **Search** button again.

The number of records shown in one batch is dependent on the server configuration but the total number of records available to search will be displayed.

This shows that there are 35 document records in total, spread over 4 pages. Click on the arrow to display the drop-down menu and select a specific page number or use the buttons alongside to move between batches of records.

Use the **Next >** button to move on to the next batch and the **< Prev** button to move back to the previous set. The **<< First** button allows you to move directly back to the first set and the **Last >>** button to the final set. Any or all of these buttons will be disabled where inappropriate - eg. the **Last >>** button will be disabled when you are viewing the last page.

5.10 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. Searches for Authors and Owners of documents (for example) in IVPro reference these records.

5.11 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.

The **Workbench Configuration Centre** (designed specifically for use by the database administrator) is also housed within the System Manager module and presents all Workbench globally-configurable options in a single dialog.

The System Manager module also controls the maintenance of user passwords, the organisation of departments (used in the **Report Complaint** and **Report Nonconformity** options in IVPro) and personnel groups, the prioritising of tasks and the menu item that allows reassigning of responsibilities for any member of staff, 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.

6 Workbench Office for Microsoft Office

Workbench Office for Microsoft Office is a separately licensed area in Workbench. Integration with Office is carried out by the production of an add-in that integrates specifically with Word, Excel, Outlook and PowerPoint and works with Office 2007 and above. The add-in co-operates with Workbench by means of a Web Service to provide two distinct sets of features - a set of document tags (in Word only) and a set of document security features.

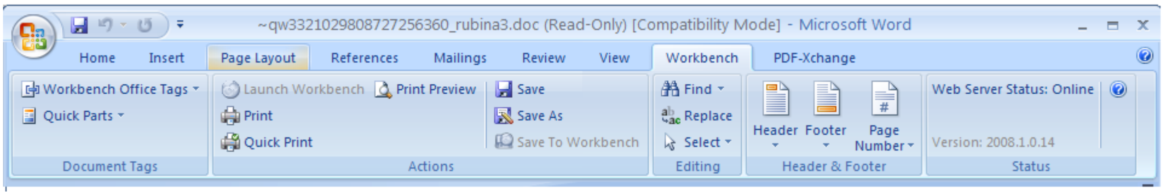
The Microsoft Office applications are controlled, on a per document basis, by workflow settings that enable/disable Save, Save As, Copy/Cut/Paste, Print, Quick Print, Print Preview. These workflow settings control whether Workbench Office is used or not and, if so, who may use it and in what capacity (for example, whether individual users may copy, paste, save, send etc.). However, emails imported from Outlook will not be controlled by these settings; any user who can see the imported document will be able to Save As, Copy/Cut/Paste, Print etc.

The security features are also configured by a number of different workflow settings in the Workbench Configuration Centre, none of which will be available if Workbench Office is not licensed.

If Workbench Office is licensed, then it will function in exactly the same way in IVPro as it does in Workbench.

For full details see the relevant Workbench Office Help topics in the Document Control module.

6.1 Using Workbench Office



Workbench Office works with Microsoft Office 2007 and above. Providing that the Workbench Office add-in is licensed, when you open a Word document in IVPro 11 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 Parts** drop-down menu is a Microsoft Word component and instructions on its use are given in the Microsoft Help.

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

The **Launch Workbench** and **Save to Workbench** options will be greyed out.

Depending on your permissions and access you may be able to edit the document and **Save As** out of Workbench. Any amendments you make to the document will not affect the Workbench document as it will always be Read-Only.

Workbench Office 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.

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 and 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.

Depending on the tags you choose, information will automatically be inserted. <No Data> will appear where there is no current information available for the chosen tag.

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 Use the **Save As** dialog to specify where and in what format the new document is to be saved.

Workbench Office with Excel and PowerPoint

In addition to the documents imported using Microsoft Word, other documents that you are working with in IVPro 11 may have been imported using the Workbench Office add-in. Excel and PowerPoint documents will display the Workbench ribbon as above and can be used in the same way (providing you have the necessary access and permissions).

Workbench Office with Outlook

Documents imported into Workbench from Outlook will not display the Workbench 'ribbon' at the top; nor will they be governed by the security features regarding who can copy, paste, print, save as, etc. If a user can see the document then they can perform all functions displayed on their main or right-click menus.

7 Document web portal

The Document web portal is opened after clicking the first of the **Available Options** (Main Menu). Details of the chosen database and current user are displayed in the title bar.

The portal consists of two main parts; to the left are 'Document Lists' (see DocLists) and on the right hand side is an HTML table showing all documents that the logged-in user has access to. To re-size the two parts of the portal, grab and drag the vertical grey line between the two.

From the portal you may:-

- view draft and issued versions of documents – and their attributes
- View the last reason(s) for change on an issued document
- approve or reject documents
- acknowledge receipt of documents - after answering a mandatory questionnaire, if configured to do so
- raise change requests
- remove documents
- copy a document from one DocList to another
- copy hyperlinks (of issued documents)

Documents and their details will be displayed under the following columns in this order by default: ID, Title, Issue revision no., User reference, Status, Author, Owner, Revision, Last issued, Category, Department, Type and Extension. You may configure the order of these columns and which of them is visible, by right-clicking on a column header and selecting from the menu offered. The program remembers the settings on a per user basis.

Move left - moves the selected column one position to the left but is not available for the left-most column.

Move right - moves the selected column one position to the right but not available for the right-most column.

Move to first - moves the selected column to the left-most position.

Move to last - moves the selected column to the right-most position.

Hide - stops the selected column from being visible in the list.

Show hidden - makes all previously hidden columns visible; ie. all columns will be visible.

Reset - makes all previously hidden columns visible & changes the order of the columns back to the default.

Sorting

Sorting defaults to the ID column. The column header of the current sort field is shown with a coloured back-ground (default is pale blue) and contains an arrow indicating the sort direction. Click on a column to toggle the direction of sorting (from ascending to descending or vice versa) and move the sort to the selected column.

Visible documents

Documents are fetched and shown in batches (the size of which may be set in the Configuration Manager by the system administrator). Only the number of displayed documents are fetched from the database, greatly reducing the network traffic and increasing the speed of the page.

To navigate through batches of documents where more than one batch meets the search criteria, use the **<<**, **<**, **>** and **>>** buttons (at the top of the dialog, below the Search button). These function as follows:-

<< refreshes the table to show the first batch of documents matching the search criteria - eg. the first 30 documents (if that is the configured batch size).

< refreshes the table to show the batch of documents prior to the current one - eg. documents 1 to 30 if
31 to 60 are currently showing.

> refreshes the table to show the next batch of documents that meet the search criteria - eg. documents 31 to 60 if 1 to 30 are currently showing.

>> refreshes the table to show the last batch of documents that match the search criteria. This will often be an incomplete batch - eg. the last 3 documents.

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** button to select other non-consecutive documents. To select multiple consecutive documents use the keyboard **Alt** button. To unselect a selected document, click on it with the keyboard **Ctrl** button depressed; to unselect all selected documents, single click on an unselected one. Note that this second method will select the document that was originally unselected.

Various Search and Filter routines are available to help narrow your search for a specific document where the list extends to more than one page (see Document searching).

Viewing a document

The simplest way to view a document is by double-clicking. However, if configured to do so and you have either the **Acknowledge receipt** or **Approve document** routine selected (at the top right of the portal), double-clicking on a record will invoke the routine selected. For example, if you have the **Approve document** routine selected, the documents displayed in the HTML table will be those that are waiting for approval by you. Double-clicking on any of these will not then return the document for viewing but will automatically bring up the relevant **Approve Document** dialog. But this will only happen if your system administrator has checked the appropriate option in the Configuration Manager.

For a list of the document right-click options available, see Document right-click options.

7.1 Document right-click options

Right-clicking on a document will display menu options that 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.

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

Copy document(s) - when this option is selected, the program memorises the IDs of the selected documents so that you can paste them into a 'DocList' later using the **Paste document(s)** option - see DocLists.

Copy hyperlink (issued only) - this option will only be available if a single document is selected and only available for issued documents; the program will write the hyperlink necessary to allow viewing of this document to the Windows clipboard. (Used mainly for creating customised links within IVPro).

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 within Workbench. 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 IVPro Help topic, Raising a change request). This button is not present for View Only database access.

View draft document - this option will only be available if a single document is selected and that document has a draft version. When selected, the program will fetch the draft document and return it to your desktop for viewing.

However, the system administrator may use the Configuration Manager to restrict the documents you can view, to issued documents only. In this case the right-click menu will not offer the View draft document option. If you are required to approve a document in draft format but do not have permission to ‘view draft documents’ you may still view the document via the **View** button on the relevant **Approve document** dialog.

View issued document - this option will only be available if a single document is selected and that document has been issued. When selected, the program will fetch the issued document and return it to your desktop for viewing.

View document attributes - this option will only be available if a single document is selected; the **Document Attributes** page will be displayed for that document giving the full attribute details for it.

View last reason(s) for change - this option will only be available if a single document is selected and will display the last reason(s) for a change providing that the document has been issued. This dialog will display ALL change request reasons that have been 'marked as done' that lead up to the current document being issued (ie. since the document was created, or since the document was issued previous to the current issued version). A message will inform you if an issued document has no applicable change requests raised against it.

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 be refreshed to reflect any changes to the document’s status or details (see Approving or rejecting a document).

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.

New for Workbench 11 is a separately licensed Questionnaire feature. 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.

When the page closes, the document list will be refreshed to reflect any changes to the document's status or details (see Acknowledging receipt of a document).

7.2 Document searching

Searching for documents is as simple or as comprehensive as you need. You may restrict the list of documents displayed using any or all of the following methods. If you restrict using one routine and then restrict with another, the documents 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

The simplest form of search uses the Search button at the top left of the Webpage dialog.

By default, the search will be on All records (and this will be showing) but you may change the type of search by clicking on the binoculars' icon. The drop-down menu attached to the binoculars allows you to search specifically within a given area. Once a new search area has been selected, the Search field clears (if applicable) allowing you to enter, for example, an author's name or user ref. The next time Search is clicked on, it searches within the selected area for all records that match the entry. The chosen area that is being searched appears in brackets alongside the binoculars. For example, to search for documents that are owned by a specific staff member, select Owner from the drop-down menu attached to the 'binoculars', enter the Owner's Login in the Search field and click on the Search button. Only documents owned by the specified user will remain in the list. These type of searches are not case sensitive.

When you have selected a search and entered information in the Search box, either press Enter (with the cursor in the search box) or click on the Search button. Only entries matching the search criteria will then be listed.

The bottom option on the 'binoculars" list allows you to Clear the Search fields at any point.

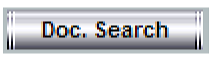
All Statuses (drop-down menu)

At the top right-hand side of the dialog there are two drop-down lists. When clicked, the first choice displays a list of all possible document statuses. Selecting the top entry <All 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 Routines (drop-down menu) - not available for View Only database access

Next to the Statuses drop-down menu is the Routines drop-down menu that offers <All Routines>, Acknowledge receipt and Approve document. Selecting one of the latter two options restricts the list of documents to those ready for that process for the current user (eg. a document may be in approval required status, but not for the current logged-in user). Selecting the top entry <All Routines> cancels any previous restriction produced by a selection in this control.

Doc. Search button



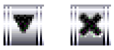
Tick the check box marked *Use document search* (and/or click on the **Doc. Search** button) at the bottom of the dialog to invoke the Document search page. This functions in exactly the same way as it does in Workbench and in the rest of IVPro - ie. it restricts the list to only those documents that contain phrases or words matching those specified in the search fields. See the previous section on Common features | Document search for further information if required.

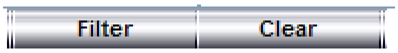
Adv. Search button

Tick the check box marked *Use advanced search* (and/or click on the **Adv. Search** button) at the bottom of the dialog to invoke the Advanced document search page. This functions in exactly the same way as it does in Workbench and in the rest of IVPro - ie. it allows you to select any or all of: Author, Owner, Reviewer, Date Created, Date Last Issued, documents undergoing a review and/or training - and application (Extension). When **OK** is clicked the system restricts the document list to only those that match all the selected conditions.

Click **Reset** to clear all the search fields on the Advanced Search page; click **Close** to close the page without producing any restrictions. See the previous section on Common features | Advanced document search for further information if required.

Filters


If you want to search for documents within a range of categories, departments or types or that contain certain keywords, use the Filter table. If it is not visible, click on the arrow pointing downwards, next to the **Refresh** button at the top right of the dialog. The portal will expand to show four columns listing all Workbench Categories, Departments, Types and Keywords.



Use the **Ctrl** key to select any number of entries from any or all lists and then click on the **Filter** button; only relevant documents will remain in the list.

If the top 'rows' are selected - ie. <All categories>, <All departments> and / or <All types> there will be no restriction on that search. If more than one category, department and / or type are highlighted, then documents that match ANY of the selected entries will remain in the list - ie. Category 1 OR Category 2, Department 1 OR Department 2 etc.

Where Keywords are chosen, documents must contain ALL the selected keywords to remain in the list - ie. Keyword 1 AND Keyword 2.

Finally, the overall restriction is that ALL of the selected conditions must be met - for example (Category 1 OR Category 2) AND (Department 1 OR Department 2) AND (Type 1 OR Type 2) AND (Keyword 1 AND 2).

Selecting <All xxx> de-selects all other entries in that list. Use the **Clear** button to clear all selections and revert to the default.

You may hide Category, Department, Type and Keywords by clicking the button with the cross on it at the right of the dialog. This reverts the appearance of the page to its initial form and refreshes the table so it no longer uses any of the Category, Department, Type or Keyword restrictions.

NB. If the **Document Web Portal** is closed with the Filter lists open, the next time you open the portal the Filter lists will still be shown. The actual filter selections, however, are not retained. Likewise, if the Filter lists are not showing when the portal is closed, they will not be showing when the same page is opened up again.

Refresh button

Click on the **Refresh** button at the top right of the dialog to clear all selections.

7.3 DocList permissions

Permissions to a DocList are set up via the DocList **Permissions** right-click menu option of the relevant DocList in the Document Web Portal; this is only available for Personal DocLists or Shared DocLists where you are either the owner or admin.

The **Permissions** dialog will open; permissions available are Read, Add, Remove and Hide. Each of these grants the following:

Read - users can see the DocList. If the user does not have this permission then the DocList should not be shown in their Document Lists

Add - users can add documents to the DocList

Remove - users can remove documents from the DocList

Hide - users can hide the DocList from their personal Document Lists view.

It is possible to grant users permissions both individually and as part of a group. 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 Read and Add granted individually and Read and Remove as part of a group then they will be treated as if they have Read, Add and Remove permissions.

The **Permissions** dialog works in a similar way to the main **Document Web Portal** page, but with lists of personnel and groups rather than documents. For information on using the Search and **<<**, **<**, **>>**, **>** buttons, see the section on Document web portal.

Groups panel

The panel to the left of the dialog contains two entries with associated check boxes - *All Staff* and *Groups*. For a new DocList (ie. one that has never had its permissions set before) both check boxes are initially unchecked.

Highlighting either of these entries shows all the records that belong to that entry in the details table on the right hand side of the dialog, filtered by the **Search** setting if applicable. When *All Staff* is selected, the table will show all personnel in the database who have not left and who have a valid login (excluding the DocList owner and admin. as they both have full access at all times). When Groups is selected it will show all groups in the database. Move the cursor over a Group Name to reveal a popup giving the names of personnel in that group, ordered by name.

Granting or denying DocList permissions

The table on the right of the dialog shows the details of all the records that belong to the entry selected in the Groups panel, filtered by the **Search** setting if applicable.

The Permission fields are displayed as check boxes, with the *Read* permission shown as a check box within the **Personnel ID** or **Group Name** column. The *Add*, *Remove* and *Hide* permission fields have a check box in their header that will grant that permission to all the records when checked. Note that granting Add, Remove or Hide permission via these header check boxes automatically grants Read permission to all the records (ie. all the *Read* check boxes will automatically be checked as well).

De-selecting via a header will remove the selected permission but will still leave all Read access (although all permissions may be selected and de-selected individually - see below). **NB**. To de-select all Read access, the best way is to check the *All Staff* check box in the Groups panel and then uncheck it.

Clicking on a permission check box for an individual record will toggle the state of that check box and grant or deny the permission as appropriate. If multiple records (see below) have been selected, then the permissions of all selected records will be affected.

Where you wish to grant the same permissions to multiple users, use the keyboard **Ctrl** key to select more than one non-consecutive record; use the **Alt** key to select multiple consecutive records. To unselect a selected record, hold down the **Ctrl** key whilst clicking on the selected record; to unselect all selected records, single click on an unselected one. Note that this second method will select the record that was originally unselected. Whichever permission(s) you then grant to one of the selected users will automatically be granted to all.

Hide permission is not available when setting Group access. This is because granting Hide permission would allow any user in that group to hide the DocList for all users within that list, which is obviously undesirable.

Check the check box next to the *All Staff* or *Groups* in the Groups panel to grant Read access to all entries on the right; uncheck these boxes to deny every kind of access to each entity in that entry.

Closing the page

When permissions have been set up as required, click on **OK**. This commits the changes to the database so that they become visible and then closes the page.

NB. If the page is closed using the ventilator (ie. the small, standard Windows ‘cross’ in the top right corner) or by clicking on **Cancel**, changes will not be saved.

7.4 Acknowledging receipt of a document

The **Acknowledge Receipt** option allows an IVPro user to acknowledge receipt of a document that has been issued to them.

Acknowledging receipt of a document

1 From the **Main Menu**, click on **Document Web Portal**. The portal will open showing a list of all documents that you have access to.

2 At the top right-hand side of the dialog are two drop-down menus. The second one of these allows you to search specifically for documents where acknowledgement is required by you; select **Acknowledge receipt** from this drop-down list. Only documents requiring acknowledgement by you will remain in the list below.

3 If the list of documents is still long, use other searches and/or filters as described in the separate IVPro Help topic, Document web portal.

   NB. The Configuration Manager supports an option that allows the administrator to set up your system so that the **Acknowledge receipt** (and **Approve document**) routine will automatically be invoked when you double-click on a document if the document list has been filtered as described in point (2) above.

   If your system has not been configured this way, highlight the document you wish to acknowledge receipt of and select **Acknowledge receipt** from its right-click menu.

4 The top part of the **Acknowledge Receipt** dialog gives document details. The bottom part of the dialog offers document options; use the **View** and **Attributes** buttons here to view the document or its attributes.

5 Click the **Yes** button to acknowledge receipt of the document. Depending on the way workflow settings are configured, you may be forced to view a document before acknowledging its receipt.

   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.

After clicking **Yes** and, if required, answering the questionnaire correctly, the document will be removed automatically from the list of documents awaiting acknowledgement by you. The acknowledgement will show in the Workbench **Document Receipt** dialog - see that Help topic for further information.

If you click the **No** button the document will remain on your list of documents awaiting acknowledgement.

NB. Where a hard copy of a document is required, the **No** button used in conjunction with the **Document Issue Notes** report can be a useful tool - see Workbench Help for further details.

6 **Close** to return to the **Document Web Portal**.

An appropriate entry is made in the document's history log in Workbench when the document is acknowledged. The entry will state that the routine was carried out via IVPro.

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, select the answer you think is correct from its drop-down list. 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 detailed reports in the ReportQuest module, if licensed.

7.5 Approving or rejecting a document

When a Workbench document (requiring approval before being issued) is ready to be issued, it is marked as ready for approval and personnel on its approval list are made aware it awaits their attention. Appropriate messages are sent to relevant personnel via the notification and task messaging system (see Workbench Help topics for more information on **Approval Lists** and **Tasks & Notifications**).

The **Approve document** option in IVPro enables you to approve or reject a document that has been marked as ready for approval and has an approval list that you are on.

NB. You will not be able to open a document (for approval or rejection) in IVPro if another user has the same document open for approval in Workbench - and vice-versa.

Approving or rejecting a document

1 From the **Main Menu**, click on **Document Web Portal**. The portal will open showing a list of all documents that you have access to.

2 At the top right-hand side of the dialog are two drop-down menus. The second of these allows

you to search specifically for documents that are ready for approval and have an approval list that you are on. Select **Approve document** from this drop-down list.

3 If the list of documents is still long, use other searches and/or filters as described in the separate IVPro Help topic, Document web portal.

NB. The Configuration Manager supports an option that allows the administrator to set up your system so that the **Approve document** (and **Acknowledge receipt**) routine will automatically be invoked when you double-click on a document if the document list has been filtered as described in point (2) above.

If your system has not been configured this way, highlight the document you wish to acknowledge receipt of and select **Approve document** from its right-click menu.

4 The top part of the **Approve Document** dialog gives document details. The bottom part of the dialog offers document options; use the **View** and **Attributes** buttons here to view the document or its attributes.

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 To approve the document, highlight the **Approve Document** radio button in the Document Options area and verify your **Password** in the mandatory field below (leave blank if you have no password). Add notes in the **Approval Notes/Rejection Reason** field if required.

NB. If using Windows NT Logon Authentication the Password field may not be present and therefore no password will be required.

To reject the document, highlight the **Reject Document** radio button in the Document Options area and verify your **Password** in the mandatory field below (if present). Leave the field blank if you have no password. Although adding notes in the **Approval Notes/Rejection Reason** field is optional when approving a document, this field automatically becomes mandatory when rejecting. Notes on the reason for rejection may be as brief or as long as you wish.

6 Click **OK**.

7 If you have approved the document and you are the only person required to approve it, or if there is an approval list and you are the last person on the list required to approve the document, a task message will now be sent to appropriate personnel asking them to issue the document. If your system is configured to do so, you may at this point add additional notes to the task message. Click the **OK** button again and you will receive confirmation that the document has been approved.

If you have rejected the document, a notification message will be sent to appropriate personnel informing them that the document has been rejected. This is followed by a task message to either the last person who edited the document or the author (if no last editor), asking them to edit the document again. If your system is configured to do so, you may at this point add additional notes to the task message. Click **OK** again and you will receive confirmation that the document has been rejected.

Users set up to receive only internal messaging will simply receive confirmation that the document has been approved or rejected as appropriate.

If Forward Messaging has been activated in Workbench, external messages sent via IVPro will also go to the same nominated user. For further information refer to relevant Help topics in Workbench.

8 Click the **Close** button in the **Action results** dialog to go back to the **Document Web Portal**.

An entry is made in the document's history log in Workbench that the document has been approved (or rejected) via IVPro. Right-clicking on this entry will reveal the approval notes (if any) - or the rejection reason where the document has been rejected.

8 DocLists

One main feature of the **Document Web Portal** is the ability to categorise documents using DocLists, for organising and grouping together with other documents of similar content / type. All DocLists available to the logged-in user will be displayed on the portal's left hand side. The width of the DocList display area may be re-sized by grabbing and dragging the grey vertical band (next to the blue scroll bar).

The currently selected DocList will be highlighted with a coloured band (the default is blue). 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 and, for Global and Shared DocLists, the name of the owner.

Library DocList

This will always be 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. Documents may only be added to or deleted from the Library DocList via Workbench.

In addition to the Library DocList there are four other types of DocList (described briefly below).

Global DocList

This is a DocList that 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. If the necessary rights are granted in Workbench then a Global DocList can be demoted to its original Shared or Personal type (see DocList right-click options).

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

Global DocLists (along with the Library DocList) are the only lists viewable in a View Only database.

Shared DocList

This is a DocList that more than one user can view (providing that they have at least Read access rights). A user may set up a new Shared DocList and assign only 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.

Only the owner or admin. may delete the list 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 the necessary access rights are granted in Workbench then a user may promote a Shared DocList to a Global DocList (see DocList right-click options).

When the cursor is moved over a Shared DocList, a pop-up tool tip will appear stating which type of DocList it is and the name of 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 (see DocList right-click options). 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.

'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 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.

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 Web Portal view.

A single document may appear in more than one list. Nothing actually happens to the document – a 'pointer' is created for a DocList that points 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.

8.1 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 top DocList, <Library>, 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 **Alt** key).
3. Right-click on the highlighted <Library> DocList and select **New DocList Special**.
4. In the pop-up menu, enter a 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 top DocList, <Library>, and select **New DocList**.
2. In the pop-up menu, enter a 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 you wish 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 may also drag and drop documents from one DocList to any other DocList (providing that you have the appropriate access rights).

Having created a new DocList you then need to set permissions for access to it (see DocList permissions).

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 documents** 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.

8.2 Showing and hiding DocLists

You may temporarily hide from normal view those DocLists for which you have Hide permission, by selecting the **Hide** right-click option (see DocList right-click options). 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.

8.3 DocLists right-click options

If you right-click on a 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, plus your permissions and access rights, but they will be from the following:-

Library

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. Creating two or more DocLists with the same name is allowed.

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.

Global

Copy - this option (if 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 program 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 program deletes the DocList and refreshes the Document Lists panel to reflect this.

Shared

Cut, **Copy** and **Paste** 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** 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 is only available to admin and the DocList owner. It presents a dialog, similar to that for creating a new DocList, allowing you to rename the DocList. After providing a new name and clicking **OK**, the program updates the DocList name and refreshes the Document Lists panel.

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 program 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 **DocList Permissions** dialog (see DocList Permissions) where you may set up other users to read 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 selected documents into this DocList, ignoring any duplicates, and refresh the document details table to reflect this.

Personal

Cut, **Copy** and **Paste** 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** 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 **DocList Permissions** dialog to allow you to set who else can read or modify the DocList. If you grant any permissions to another 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.

Child

The right-click options here will be as described for other DocLists above where applicable.

9 Viewing a document

IVPro allows you to view any draft or issued document (and their attributes) that you have permissions and access rights to - see the Workbench Help topic, **Access and Administration |** System Manager module, for detailed information on access rights. The system administrator may also use the Configuration Manager to deny access to draft documents.

If you have View Only access rights to a database then the only documents you can view will be those in the Library DocList and any Global DocLists - see View Only access. Documents are normally viewed via the **Document Web Portal**.

Selecting a document for viewing via the Document Web Portal

1 From the **Main Menu**, click on **Document Web Portal**. The portal will open showing a list of all documents that you have access to. If the list of documents is long, use searches and/or filters as described in the IVPro Help topic, Document web portal. Otherwise, double-click on the document you wish to view or right-click to select from View draft document, View issued document or View document attributes - as applicable.

2 If you have selected a document that has both an Issued and a Draft version, depending on how your system has been configured you may be given the choice of which version you wish to view; you will then be given the option to either open the document or save it to file.

A 'View Document' message will then appear informing you that IVPro is downloading the requested document (which can take some time depending on the size of the document). This window should not be closed until you have finished viewing the document.

If you have opted to view document attributes, a dialog will open showing all the selected document's attributes and the opportunity to print these out.

NB. If you have filtered the list of documents to show only those that require either acknowledgement or approval by you, double-clicking on one of these document records may invoke the **Acknowledge Receipt** or **Approve Document** routine if configured to do this. You can still view the document and/or its attributes via these routines.

Workbench Office

Workbench Office for Microsoft Office is a new licensed area in Workbench. Workbench integration with Office is carried out by the production of an add-in that integrates specifically with Word, Excel, Outlook and PowerPoint and works with Office 2007 and above. **NB**. The last column in the Document Web Portal, by default, is Extension - here it will be easier to spot documents/presentations/spreadsheets etc. that have been imported from Microsoft Office (providing that they have been saved with the appropriate extension).

9.1 View Only access

In **View Only** databases, the **Document Web Portal** opens directly from the **Database Select** dialog; a list of all documents that you have access to will be shown. If the list of documents is long, use searches and/or filters as described in the IVPro Help topic, Document Web Portal. Otherwise, right-click on the document you wish to view and select View draft document, View issued document or View document attributes - as applicable.

The **Document Web Portal** will look slightly different if you have View Only rights. There will be no **Raise CRQ** button and the All Routines drop-down menu is not present. Only the Library DocList and Global DocLists will appear in the Portal, none of which may be hidden or changed in any way by users with View Only access (ie. the DocLists do not support a right-click menu).

The header of a view only document will display the words Read-Only alongside the title.

10 Raising a change request

Once a document has been approved and issued, Workbench may be set so that raising a change request (CRQ) against a 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.

However, although raising a change request is the usual starting point for all change request processing, Document workflow settings offer various options that may be selected independently and affect this processing flow (see **Workbench document workflow settings**, below). 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).

If the *Change request approval process setting* is checked in the **Workbench Configuration Centre** change requests undergo a broadly similar approval process to that of document approval before a change can be implemented. No changes can take place to the document itself until the change request has been fully approved. 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.

The **Raise Change Request** option in IVPro enables you to record a requested change against a document of any status (providing you have the necessary access rights) and to register your reasons for the suggested change; you may also make a request for a new document if required.

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 history log of all change requests against documents, whether made in Workbench or via IVPro, ensuring full traceability of all changes.

Workbench document workflow settings

As mentioned above, please be aware that although raising a change request is the usual starting point for all change request processing, Document workflow settings, configured in the **Workbench Configuration Centre**, offer various options that can be selected independently (by users with access) and will affect the processing flow of CRQs in Workbench and in IVPro.

The main options are listed briefly here but see Workflow settings for full details:-

- 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 CRQ
- 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 will be required from all approvers.

Raising a change request

1 From the **Main Menu**, click on **Document Web Portal**. The portal will open showing a list of all documents that you have access to.

2 There are then two ways to raise a change request from this dialog:-

- click on the **Raise CRQ** button (top right-hand side of the dialog)
- right-click on the document you wish to raise a change request against and select **Raise Change Request** from its right-click menu.

NB. If the list of documents is long, use searches and/or filters (as described in the previous section, Document web portal) to find the document you wish to raise a CRQ against.

3 The **Raise Change Request** dialog will open.

If you have clicked on the **Raise CRQ** button to open the **Raise Change Request** dialog, without selecting a specific document, the **Nature of Change** field will default to New Document and the buttons at the top of the dialog will be disabled. To raise a change request for a new document simply follow the instructions below. To raise any other type of change request, select the required type from the **Nature of Change** drop-down menu; the relevant button(s) at the top of the dialog will be enabled, allowing you to add the document(s) you wish to raise the change against.

If you selected the document(s) you wish to raise a change request against before the **Raise Change Request** dialog opened, the selected document(s) will be entered automatically into the top field. Any selected documents that do not have an issued version will automatically be screened out of the selected list. The **Nature of Change** field will default to Document Content but you may select any other type of change from the drop-down list. To enable all the buttons at the top of the dialog, highlight one (or more) document(s) in the list.

4 Use the **Add** button to add documents to raise a CRQ against. If the system is set up to only allow the raising of change requests against issued documents this will automatically be recognised and the **Select Document** dialog will only display relevant documents; double-click on the required document or highlight and click **OK**.

NB. To select more than one consecutive document, use the **Alt** keyboard key; to select multiple, non-consecutive documents, use the **Ctrl** keyboard key. In either case, all must have the same type of CRQ raised against them.

When using multiple-select, all selected documents will be highlighted. To view / view attributes of one of the highlighted documents, click on it again (taking your finger off the **Ctrl** or **Alt** key); this document will then be highlighted in a darker tone. Then **View** the document or its **Attributes** using the appropriate button. The **Remove** button allows you to remove all highlighted documents from the change request list.

To de-select a highlighted record, click on it whilst keeping the **Ctrl** key depressed.

The selected document(s) will be added to the Raise Against Document(s) grid.

5 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 edit attribute(s) of a selected document.
- **Distribution List** - request to add or remove users from the distribution list.
- **Edit List** - request to change the edit list of the document.
- **New Document** - request to add a document to the system.
- **Withdraw Document** - request to withdraw the document.

If multiple documents are selected to raise a CRQ against, the same CRQ will be applied to them all. A separate CRQ must be made if you wish to initiate a different type of change, actionee or target date.

6 Enter a date by which the change request should be actioned in the **Target Date** field. If this date is reached without the CRQ being actioned, a notification (in Workbench) is sent to the owner and the person who raised the CRQ.

7 In the **Actionee** field, enter the user to implement the CRQ if it is subsequently approved. Use the Browse (**...**) button to access the **Select Actionee** dialog if required. Normally the actionee should be on the Edit list for the relevant document.

- 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.

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.

- For Document Attributes change requests, nominated actionees will have their access rights to the Document attributes dialog checked. If they do not have appropriate access rights, 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.
- 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. **NB**. If New Document CRQ is selected in the Nature of Change field after a document has already been selected, the document(s) will remain in the Raise Against Document(s) grid but all the buttons above are disabled so that nothing can actually be done with the document(s) unless a different type of CRQ is again selected.
- 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.

8 Enter **Details of change** and a **Reason for change**, both mandatory fields.

9 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.

10 Click **OK**.

11 A task message will now be sent to appropriate personnel asking them to approve the change request. If your system is configured to do so, you may at this point add additional notes to the message. Click the **OK** button again to receive confirmation that the CRQ has been saved.

Users set up to receive only internal messaging will simply receive confirmation that the change request has been saved.

If Forward Messaging has been activated in Workbench, external messages sent via IVPro will also go to the same nominated user. For further information, refer to relevant Help topics in Workbench.

12 **Close** to go back to the **Document Web Portal**.

An entry is made in the document's history log in Workbench that a change request has been raised against the document via IVPro.

For further information on raising change requests, see the relevant Workbench Help topics.

10.1 Document Control workflow settings

Various workflow settings affecting document change requests are configured by the system administrator in the Workbench Configuration Centre (System Manager module).

Workflow Settings page | New Document Settings (or New Document Business Rules Settings | Document Processing Flow | Document Changes

- *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, if a user with Edit rights to the document attempt to 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 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. For more information see Approving a change request. **NB**. CRQs for withdrawal are governed by separate workflow settings - see below.

Workflow Settings page | New Document Settings (or New Document Business Rules Settings | Document Processing Flow | Document Withdrawals

- *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).

Workflow Settings page | System Wide | Module Settings | Document Control Settings | New Document change requests

- *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.

10.2 Raising a change request 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).
- by default, New Document CRQs must be approved by admin. 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 this setting is checked the **Actionee** field can be changed when raising a New Document change request. 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.

11 Reporting a customer complaint

The **Report Complaint** option allows any user to report a complaint that will remain 'Unauthorised' until assessed. The main idea behind this is that it encourages personnel to be vigilant and to give them a platform to flag up areas of dissatisfaction without them being 'set in stone'. When the reported complaint is saved, it is given a system-generated, sequential number and then passes to the Workbench Customer Care module (**Control | Assess Complaint**) for assessment.

Until an independent assessor confirms the report as a genuine customer care issue or complaint, nothing more will be done. If rejected at assessment stage the complaint will go no further and it is moved to the Workbench **Purge** menu option, ready to be purged from the system.

Customer Care workflow settings

Please be aware that the Customer Care workflow settings in the **Workbench Configuration Centre** offer various options that can be selected independently (by users with access) and, depending on how they are set up, may affect the reporting of complaints in IVPro. See Customer Care workflow settings for full details.

Reporting a customer complaint

1 From the **Main Menu**, click on **Report Complaint**.

2 The **Report Complaint** option will open requiring you to complete several mandatory fields. Other fields may be completed if required, giving you a fuller picture of the nature of the complaint.

The **Reference** field is not mandatory but may be useful for sorting purposes. Depending on how the Customer Care workflow settings have been configured, it may have to be unique.

The **Search Code** automatically mimics **Reference**, if used, but can be changed manually.

Summary is a mandatory field. Briefly summarise the nature of the complaint (up to 40 characters) enough to identify it through its life cycle.

Customer & **Contact** are also mandatory fields. Select the customer and contact relating to this complaint using the Browse (**...**) button alongside the fields to take you to the relevant Select dialog. Once a customer has been selected, the only contacts available for selection will be those recorded (in Workbench) for the selected customer. If there are no recorded contacts for the selected customer or you want to add a new contact, the **New Contact** button allows you to add contacts 'on the fly'. You may also set up a **New Company** or **New Individual** 'on the fly' - see below.

If you know the customer is an *Individual*, de-select the *Company* check box and the **Customer** field will automatically default to Private Individual Customer; in this case only the **Contact** field will be required.

The **Select Customer** and **Select Contact** dialogs also have *Company* and *Individual* check boxes that help you to narrow searches if required.

Date Reported / **Time Reported** - insert the date and time when the complaint was reported; the date is a mandatory field but the time is not. The program defaults to the current date and time shown on the server on which your database is located. An earlier date/time may be entered. If no time is specified when reporting a complaint, the system defaults to midnight.

Reported By is again mandatory and will default to the logged-in user. This can be altered using the Browse button next to the field to search for alternative personnel. The list of personnel originates in the Workbench Personnel module.

The **Type** of complaint is selected by highlighting the chosen category from the drop-down menu. These originate in the Workbench Customer Care module and new types cannot be entered 'on the fly'.

The **Severity** level of the complaint can be selected using the Browse button to invoke the **Select Severity** dialog. Complaint types and severity levels originate in the Settings menu of the Workbench Customer Care module and cannot be added 'on the fly'.

A relevant **Department** (if required) may be selected from the drop-down list of departments set up in the **Configuration** menu of the System Manager module

Response bands are licensed separately and, if used, are set up in the **Rules** menu of the Customer Care module - see Complaint Timing. Select (if required) using the Browse button.

The **Expected Cost** field allows you to enter a cost expected to rectify the complaint.

Product and **Document** are both selected using the respective Browse buttons. Product information is set up in the **Settings** menu of several Workbench modules (see Products and Suppliers). The **Document** field allows you to attach a document to the complaint, selected from a list of documents that you have access to view. The Product and Document ID's will be entered into the field and a Description of the product (or Title of a document) will be shown alongside the relevant fields.

The **Date/Time Due** field will be entered automatically if the **Response** field is completed. When response bands are not being used, the date and time that the complaint is due can be set manually. When the complaint becomes overdue, a Notification is sent to the current complaint assignee and an entry is made in the History log.

The **Transfer Timeout** field is entered automatically if the **Response** field is completed - see **Date/Time Due and Transfer Timeout** (below). It can be inserted manually if response bands are not being used and will then be triggered if manual transfer requests are made using the **Transfer** menu (see the Workbench Help topic, Transferring a complaint or action).

The expandable **Description** box allows you to add any notes regarding the complaint. Depending on how the Customer Care workflow settings have been configured, a description may be mandatory. Notes entered here are available to view throughout the life cycle of the complaint and can also be edited in Workbench (by admin. or the user who reported the complaint) up until the complaint is assessed.

Providing that the User Defined Analysis element of Workbench is licensed and that you also have one or more UDA category set up, an **Analysis** section will appear at the bottom of the dialog. The only UDAs that will be shown in the IVPro **Report Complaint** routine are those set up in **User Defined Analysis | Complaint**.

UDAs may not be added 'on the fly' in IVPro so any 'additive combo boxes' will function purely as a drop-down list, ie. you may select any of the existing values (if more than one) but cannot enter a new one.

3 When you have reported all the available details on the complaint, click **OK**.

If Business Rules are turned on and the *Show users to whom tasks and notifications are sent* workflow setting is also checked, you will now see a **Tasks list** showing who will be asked to assess the complaint according to the business rules in force. You may add personnel manually from the bottom list – simply check the box alongside the required name(s) and click **OK** when you are happy with the selection.

A **Notifications list** will then appear where, again, you may add further names if required. Click **OK** when you are happy with the selection.

If Business Rules are turned off but the *Show users to whom tasks and notifications are sent* setting is checked, you may still add personnel manually by the method described above.

If Business Rules are turned off and the *Show users to whom tasks and notifications are sent* setting is also unchecked, the Tasks and Notifications lists will not appear.

4 The task and notification messages will now be sent to appropriate personnel. If your system is configured to do so, you may at this point add additional notes to the messages.

External e-mails will show the complaint title/summary and description (if configured to do so in the Workbench Configuration Centre).

If Forward Messaging has been activated in Workbench, external messages sent via IVPro will also go to the same nominated user. When this nominated user subsequently carries out an action, history entries will show that the action was performed ‘on behalf of' the original user. For further information refer to relevant Help topics in Workbench.

5 Click the **OK** button again and the system will allocate a sequential complaint number.

Users set up to receive only internal messaging will simply receive confirmation of the allocated complaint number.

6 Click **OK** again to return to the **Main Menu**.

The complaint will now be saved to Workbench. IVPro and Workbench share the numbering system but the History page of a selected complaint will show where the complaint was originally reported from.

Setting up a New Company or New Individual ‘on the fly’

Use the Browse button (**...**) alongside the Customer field on the **Report Complaint** dialog to access the **Select Customer** dialog. From here, click on the **New Company** (or **New Individual** button) and after completing the dialog (**Name** [or **Surname**] is the only mandatory field) click on the **Apply** button. The new Company (Individual) will be saved.

To add new contacts (Company only) click the **Contacts** button at the bottom of the **Create/Edit Company** dialog. In the **Select Contact** dialog, click the **New Contact** button. After entering details of the new contact (**Surname** is the only mandatory field) click the **Apply** button to save.

Any customer, individual and contact information set up here will be copied through to Workbench.

Only customer/contact records that haven't been used anywhere in the system may be deleted.

Date/Time Due and Transfer Timeout

When a complaint with a response band is assessed as valid, it is automatically escalated to the stated response band. The date and time that the complaint is due is worked out as the time allowed for this specific response band added to the date and time that the complaint was reported. The transfer timeout is set directly from the response band.

See Business rules and Complaint timing for full details.

11.1 Customer Care workflow settings

Various settings for the Customer Care module are configured in the **Workbench Configuration Centre** by the system administrator or anyone with access to this menu option in the System Manager module. All use a simple on/off toggle so that if the check box is checked the setting applies, if unchecked, the setting will not apply.

Changes made to any of these settings will apply only to complaints reported AFTER the settings were changed. The rules in action at the start of any individual complaint cycle will remain with the complaint throughout.

Configuring settings applicable to the Customer Care module

1 From the **Configuration** menu in the System Manager module choose **Workbench Configuration Centre**.

2 On the **Workflow Settings** page expand the list of entries under the **System Wide** heading (double-click or click on the + sign alongside).

3 Select **Module Settings** and then the **Customer Care Settings** entry and expand if necessary.

4 Highlight the relevant setting (see below) and the *Use this workflow setting?* check box will open at the bottom of the dialog. Double-click on the entry to toggle the check box on/off.

5 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 with the dialog. Alternatively, click **OK** to save and close the dialog.

NB. Not all the settings listed below will be relevant to reporting customer complaints in IVPro.

- Allow *base sign-off list to be set at assessment*. If this setting is checked, when the assessor of a customer complaint hits the **Accept** button after assessing a complaint, they will be given the opportunity to select personnel who will automatically be added to the sign-off list during the complaint's final review. If unchecked, the sign-off list may be generated at final review and/or will use personnel nominated by business rules (if in use). A History page entry of the complaint records that a base sign-off list was set at assessment - right-clicking on this entry will list the staff on the list.
- *Automatically add complaint reporter to sign-off list*. If this setting is checked, the person who reported the original complaint will automatically be added to the complaint sign-off list and a History entry will be made.
- *Complaint description required when reported*. If this setting is checked, a complaint description will be mandatory when reporting a complaint. If unchecked, you may report a complaint without being forced to give a description.
- *Complaint user reference must be unique*. If this setting is checked, when reporting or assessing complaints in the Customer Care module, the system will force the User Reference (if used) to be unique. If unchecked, any User Reference will be allowed in the Customer Care module, regardless of whether or not it is already in use.
- *Use Customer Care module business rules*. To turn Customer Care module business rules on, highlight the relevant entry and check the *Use this workflow setting?* check box. If unchecked, business rules will not be used in this module.
- *Show users to whom tasks and notifications are sent*. Highlight this entry if you want users to be told when task and notification messages are about to be sent and to whom.
- *Show complaint summary and description in external mail* - this setting will be unchecked by default. If checked, then the complaint summary and description (if one has been entered) will appear within the body of external emails.
- *Display 'Reject' button in 'Assess Complaint'* - the default setting. If unchecked, the **Reject** button in the **Assess Complaint** dialog will be hidden which means that the user nominated to assess the complaint cannot reject it.

11.2 Using business rules and complaint timing

The Customer Care module enables you to establish Business rules that automatically send Task and/or Notification messages to nominated personnel. Business rules are fundamentally statements of who needs to be informed when or if a certain event occurs. Examples are ‘Ask George Harding to assess any complaint reported within the Warehousing department that is rated severe' (Task), or ‘Inform the Sales Director of any complaint arising in his or her department that involves a new product’ (Notification). Rules can be customised to suit your company and its method of working; they can also be turned off for all or any specific complaint if not required - see Customer Care workflow settings in the **Workbench Configuration Centre**.

Complaints may also be timed and moved up to different response levels automatically. This is done by setting up Response bands that define the nature of the escalation, ie. the timing of information, users to be notified and users to be given the option of taking over the ownership of a complaint.

It is important to set Business rules before beginning any new processing cycle because you may configure them to notify certain personnel as soon as a specific category of complaint has been reported and is ready for assessment.

Rules (if switched on) and Response bands are found in the **Settings** menu.

Turning rules on / off

Customer Care business rules are configured by the system administrator on the Workflow settings page of the Workbench Configuration Centre. Two settings concerned with Business rules are:-

- *Use customer care business rules*. If checked, business rules will be used; if unchecked, business rules will not be used in this module.
- *Show users to whom tasks and notifications are sent*. If checked, users will be told when task and notification messages are about to be sent and to whom.

If only the top setting is checked, chosen users will be informed automatically when specific events have taken place. You will not see, however, which users are to be sent task and notification messages, nor be able to add users manually.

If both settings are checked, chosen users will be informed automatically of the events and you will also see the **Personal Notification** dialog showing which these users are. At this point you may also add further personnel.

If only the bottom setting is checked, Business rules will not be used but you will have the option of manually nominating users to be sent task requests and notifications, at various points in the complaint's life cycle.

Setting up Business Rules

1. In the Customer Care **Settings** menu, select **Rules**.
2. Choose **Business Rules** from its walk-right menu. (This option will only be present if the *Use customer care business rules* setting is checked in the Customer Care workflow settings.) You will be presented with the **Select Customer Care Business Rule** dialog.
3. Click on **New** and then see Business rules.

Editing an existing rule

Select the relevant rule in the **Select Customer Care Business Rule** dialog and the **Edit Customer Care Business Rule** dialog will appear. Amend as necessary including selected personnel on the **Tasks** and **Notifications** page, then **Save** and **Close**.

11.2.1 Business rules

To set up a rule you must first choose which of the three events (detailed below) you wish the rule to be based on and then give the rule a name to identify it. Next, you select certain values (Settings) that will define under what circumstances the event will trigger the rule.

Finally you select personnel to be notified or sent a task request when the rule is triggered. Thus for a set of values for any given event you may stipulate who is to be told for information only (Notification) and who is to be informed for action purposes (Task).

The three 'events' within the system that may trigger notifications and/or task messages are:-

- **Notify of complaint ready for assessment** - this triggers a notification for information only (Complaint <xx> reported) and/or a task request (Please assess complaint <xx>). These messages appear on the main tool bar under the Notifications or Tasks buttons.
- **Notify of complaint assessment** - this triggers a notification for information only on the main toolbar (Complaint <xx> assessed and accepted by <xx> or Complaint <xx> assessed and rejected by). It does not trigger any form of task request.
- **Notify of complaint ready for sign-off** - this triggers a task request to sign off the nonconformity (Please sign off complaint <xx>) when the final review has taken place and/or a notification for information only (Complaint <xx> sign-off complete) when the sign-off is complete (or 'Complaint <xx> rejected at sign-off stage by <name>' if one person rejects the sign-off).

If no personnel are specifically nominated to sign off the complaint when it is completed, any one with access rights may do so. However, if the *Show users to whom tasks and notifications are sent* option is checked in the Customer Care workflow settings, users will be told when task and notification messages are about to be sent and to whom. Further personnel may be added to the list(s) at this point if required.

In Business rules (but not in Default business rules) you may set up as many different rules as you wish using the same event type, as long as each rule has a different name.

NB. Where there is more than one rule set up for 'Notify of complaint ready for assessment' and several trigger (thereby nominating different individuals for the task) the system will allow any of the individuals concerned to assess the nonconformity. Similarly, if multiple personnel are allocated for assessment, any one of them may perform the required task. Only one person is required to assess a complaint.

If a user is nominated for both a task request and a notification when multiple rules apply, the task request will always take priority over a notification.

The option to use Customer Care Business rules is switched off or on by the system administrator in the **Workbench Configuration Centre**.

Setting up a new business rule

1 In the **Create Customer Care Business Rule** dialog select the **Event** that the rule should be applied to from the drop-down menu (instructions on how to proceed will then be shown in the 'empty' box above the **Event** field, but see above).

2 Give the Rule a mandatory **Description**. The **Search Code** will follow but can be changed.

3 Select at least one **Setting** to define the Rule (see below) using drop-down menus or Search buttons.

You have complete freedom to choose whichever combination of 'Settings' you wish. At least one must be stipulated but you may establish as many others as necessary for each event type. They are selected from drop-down menus or using the Search button, having previously been set up in other parts of the module (see **Customer** and **Settings** menu options).

- **Severity** - the severity of the complaint.
- **Response band** - if used
- **Complaint type**
- **Department** - the department where the complaint originated or the one dealing with the complaint - configure to suit your needs.
- **Customer** - the customer who has made the complaint.
- **Product** - applicable only if the complaint involves a product.

4 Once a rule's settings have been established, you can then allocate as many personnel as are

required to be notified if that rule 'triggers'- for action purposes on the **Tasks** page or for information only on the **Notifications** page (see below). At least one user must be allocated on either page before the rule can be saved.

5 When you have configured the rule and nominated appropriate personnel, **Save** and configure another rule, or **Save** and **Close**.

Tasks page

To allocate personnel or group(s) to action a task when a rule is triggered, click the **Tasks** page.

Name(s) of chosen personnel or group(s) should be transferred from the lists on the left hand side of the window, to the right hand side. When you have made your selection, **Save** and **Close**.

NB. If the Event that triggers a rule is 'Notify of complaint assessment' you will not be able to allocate personnel / groups on the Tasks page as this event type is a Notification only.

Notifications page

To allocate personnel who should be notified for information only when a rule is triggered, click on the **Notifications** page.

Name(s) of chosen personnel or group(s) should be transferred from the lists on the left hand side of the window, to the right hand side. When you have made your selection, **Save** and **Close**.

11.2.2 Default business rules

For any given 'Event' in Business rules there is always the danger that an instance of that event will not be covered by any standard rule and therefore no-one will be notified. This can be handled by setting up Default rules that stipulate the personnel or groups to be notified in these circumstances - there can be only one Default rule per event.

Setting up default business rules

1 In the Customer Care **Settings** menu, select **Rules**.

2 Choose **Default Business Rules** from its walk-right menu. (This option will only be present if the *Use customer care business rules* setting is checked in the Workbench Configuration Centre **|** Workflow Settings page **|** System Wide **|** Customer Care settings.) You will be presented with the **Select Customer Care Default Business Rule** dialog.

3 Click on **New**.

4 Read the information at the bottom of the dialog.

5 Select the **Event** that the rule should be applied to. This is a mandatory field.

6 Give the Rule a **Description** - again this is mandatory. The **Search Code** will follow automatically but can be changed.

7 Click on the **Tasks** page and/or **Notifications** page to allocate personnel or groups who should be sent task requests or notified if this rule triggers. Double-click on personnel to move them from the left hand side of the page (available) to the right hand side (selected). **Save**.

8 Save each **Rule** and then **Close**.

NB. There can only be one Default rule per event and at least one personnel member must be notified on either page before the rule can be saved.

Editing an existing rule

Select the relevant rule in the **Select Customer Care Default Business Rule** dialog and the **Edit Customer Care Default Business Rule** dialog will appear. Amend as necessary including selected personnel on the Tasks and Notifications pages, then **Save** and **Close**.

See Using business rules and complaint timing for further details.

11.2.3 Response bands

Response bands are used to send automatic transfer requests to nominated users immediately after a complaint has been assessed. Each response band allows a different amount of time to elapse before a response is made; if a response is not made within the allocated time it moves up (escalates) to the next band, where possibly different personnel have been nominated to deal with the transfer.

A Response band requires the following information:-

- **Description**. A name by which the Response band will be referred to.
- **Weighting**. This value is used to index the response bands; when a complaint is escalated, the complaint moves from the initial response band to the one with the next highest weighting.
- **Time allowed**. This states the amount of time that the complaint is allowed to exist at this response band before being escalated.
- **Transfer timeout**. This states the amount of time that complaint or action transfer requests are allowed to exist before being marked as invalid. It must be less than the Time Allowed value.
- **Transfer Requests users**. These are users who should be given the opportunity to take over the ownership of the complaint by means of complaint transfer requests.
- **Notifications users**. These are users who should be notified that a complaint has entered a specific response band.

Setting up Response bands

1. In the Customer Care **Settings** menu, select **Rules**.
2. Choose **Response Band** from its walk-right menu. You will be presented with the **Select Response Band** dialog.
3. Click on **New**.
4. In the **Create Respond Band** dialog enter a **Description** or name for the Response band.
5. Give the band a **Weighting** on a scale of 1-100.
6. Enter the amount of **time allowed** - ie. the amount of time the complaint will be allowed to remain in this Response band.
7. Enter a mandatory **Transfer timeout** ie. the amount of time the prospective transferee can take to either accept or reject the transfer before it moves to the next Response band.
8. On the **Transfer Requests** page, select the users and/or groups to be sent task requests if the complaint escalates to this response band.
9. On the **Notifications** page, select the users and/or groups simply to be informed if the complaint escalates to this response band.
10. **Save** and create any further response bands in exactly the same way.

Editing an existing response band

Select the relevant record in **Create Response Band** and the **Edit Response Band** dialog will appear. Amend as necessary including selected personnel, then **Save** and **Close**.

See How response bands work for an illustration.

11.2.4 How response bands work

To illustrate how response bands work, think of three different bands - Bronze (weighting 10), Silver (weighting 20) and Gold (weighting 30).

A complaint is reported and is set to response band Bronze. Nominated potential transferees are informed and are given the time allocated in the Transfer Timeout box to respond. If the complaint isn't dealt with during the Bronze band specified time allowed, it is escalated to the next band up - Silver.

The escalation is recorded in the History log of the complaint as 'Event escalated to response band Silver'.

On escalation to a new response band a new due date/time is calculated; this is done by adding the old due date to the new response band time allowed, plus the new transfer timeouts.

At the same time, transfer requests are sent to users nominated in the Silver band list who are given the specified Silver Transfer Timeout time to either accept or reject the complaint. The first acceptee of the complaint becomes its new owner.

If the complaint is neither accepted nor rejected by any of the nominated users within the transfer timeout allowed, the complaint owner remains unchanged. If the complaint is not then dealt with by its owner in the time allowed (as allocated by the response band) it is escalated to the next band up - Gold.

Users who have been nominated on the Gold list will be sent transfer requests and will be given the transfer timeout set in Gold to respond. If the complaint is accepted by one of these other users, they then become the owner of the complaint and have the remainder of the time allowed in which to deal with the complaint.

This process repeats until the top numerical response band has been reached. If the complaint is not dealt with during the time defined for the top band, the field is cleared and there is an entry in the History log 'Event escalated at highest response band'.

When a complaint is escalated at any level, the current owner is always filtered out of the list to be sent transfer requests, although they can be sent notifications.

Each escalation is recorded in the history log as 'Event escalated to response band <xxxx>'.

11.2.5 Complaint timing

For Complaints there are two timing fields; the date and time that the complaint is due and the time that a transfer request is allowed to be unresolved before it 'times out'.

Corrective actions have only one timing field - the date and time the action is due. The Transfer Timeout value of the parent complaint is used for any corrective action transfers.

Automatic Complaint Timing (Escalation)

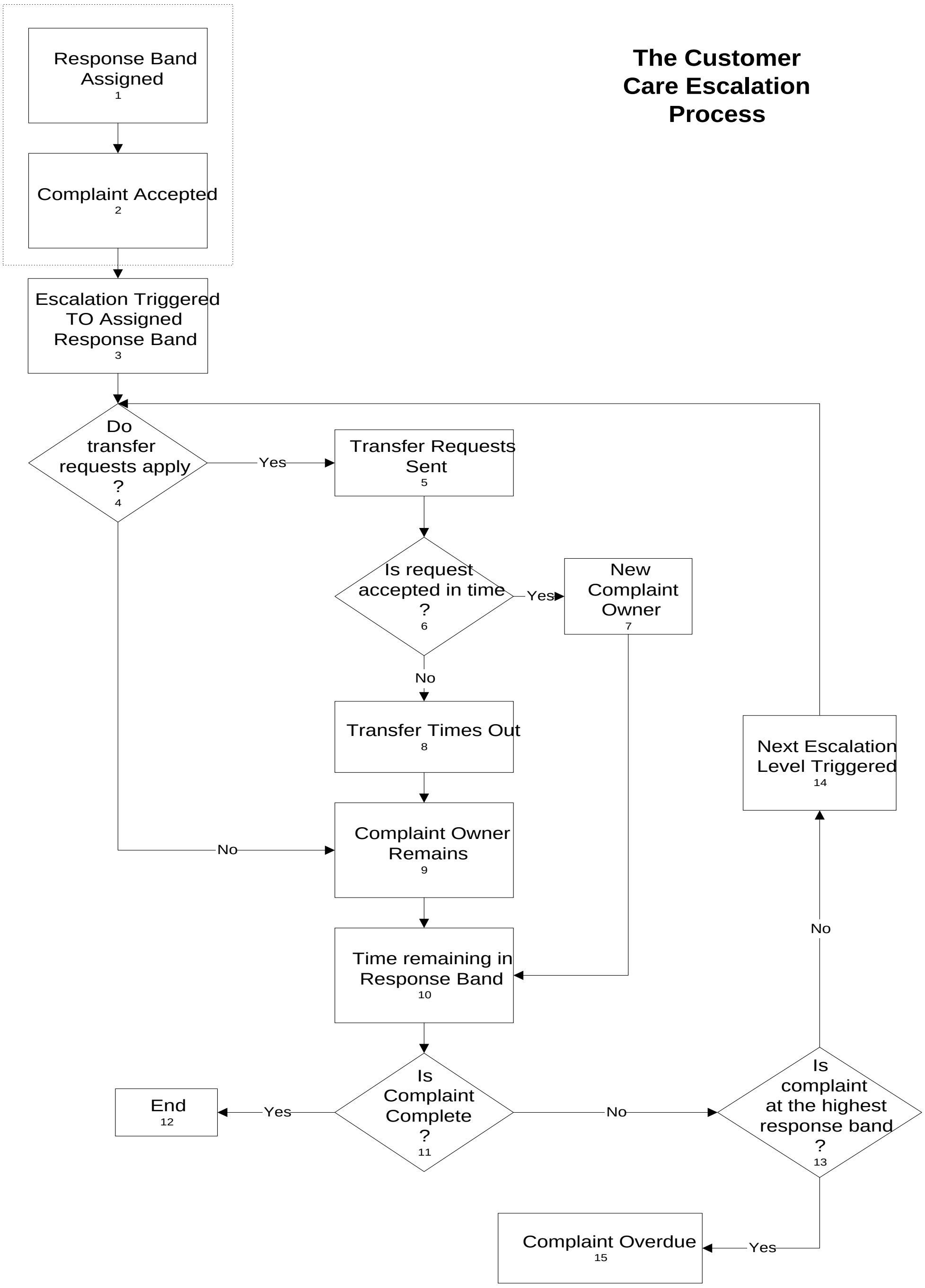
Complaints can be allocated Response bands that will automatically time and escalate all complaints and will notify users involved - see Escalation process.

Manual Complaint Timing

If Response bands are not being used, the complaint can be manually given a date and time when it is due. If the complaint then becomes overdue, a notification is sent to the current complaint owner and an appropriate entry is made to its History log.

See also Response bands and Timing escalations

11.2.6 Escalation



1 Response Band assigned

Response Band can be assigned at Report Complaint / Report Assessed Complaint / Assess Complaint.

2 Complaint accepted

Escalations do not apply to rejected complaints.

NB. Stages 1 and 2 can occur simultaneously or independently.

3 Escalation triggered

When the Complaint is Accepted, the escalation is triggered to the Response Band Assigned at stage 1. The timing for the escalation is taken from the time the complaint was reported. Therefore if a complaint was reported at 10 am, assessed at 10.15 am, with the time allowed in that response band set at 1 hour, the complaint will escalate at 11am if not complete.

4 Do transfer requests apply

Transfer requests are not mandatory. This allows for a complaint to escalate without asking other users to take ownership of the complaint.

5 Transfer requests sent

If transfer requests are allocated within the response band the complaint escalates to, then all users will be sent a task at the time of escalation to ask them if they wish to take ownership of the complaint. The time allowed for transfer requests to be accepted is defined in the response band, and must be less than the time allowed.

6 Is request accepted in time

The first user who accepts the complaint becomes the complaint owner.

7 New complaint owner

The complaint now belongs to a different user.

8 Transfer times out

If none of the transfer requests are accepted within the allocated time, then the tasks sent to the potential new owners are marked as superseded and they can no longer accept the transfer request and therefore become the owner of the complaint.

9 Complaint owner remains

If neither transfer requests are used, or the transfer requests have timed out, the complaint owner continues to be the complaint owner at stage 2.

10 Time remaining in response band

The time remaining in the response band depends on when the transfer request (if applied) was accepted. If for example the time allowed in the response band is one hour, the new owner will have one hour, less the amount of time it took for them to accept the complaint to complete it.

11 Is complaint complete?

A complaint can only be completed when all actions (if any) assigned to it have been completed.

12 End

If the complaint is completed within the time allowed in the response band, the process of escalation ends.

13 Is complaint at highest response band?

If the complaint has not been completed, and there are response bands of a higher weighting set, the process of escalation will start again.

14 Next escalation level triggered

The system will calculate the next weighting level from the response band currently in use and the settings as defined in the next response band are used to repeat the process.

15 Complaint overdue

If the complaint has been through the escalation process and has not been completed in any of the times allowed in the response bands, the complaint becomes overdue. There will be a log in the history of the complaint to state that the complaint was escalated at the highest response band. The owner of the complaint may still take the complaint through to completion even though it is overdue.

11.2.7 Timing escalations

The Workbench server must be constantly running in order for timed events to be triggered automatically.

If it is switched off (eg. overnight), time bands allocated to the events may still be applicable but when the event becomes overdue, nominated personnel will simply be notified - the complaint cannot escalate to the next level.

See also Escalation process

11.3 Transferring a complaint or action

Complaints may be transferred to different personnel when they are escalated to new levels by automated Response bands.

Complaints and actions may also be transferred manually (ie. not triggered by Response bands) to other personnel if both parties agree. Transfers requested this way are controlled by the **Transfer** menu. Reasons for the transfers must be given and these are noted in the History log of the complaint.

A request for the transfer must first be raised by the owner (ie. the assignee or actionee of a complaint or the person who has accepted a corrective action).

12 Reporting a nonconformity

It is envisaged that a wide range of personnel may be encouraged to report nonconformities and for this reason the status of the 'alleged' nonconformity will remain 'Unconfirmed' until it has been assessed (most probably by senior management). Once a nonconformity has been reported (via IntraVista Professional or through Workbench) the assessor can then choose to accept, reject or defer the alleged NCR.

- If the reported nonconformity is accepted by the assessor it is then available for processing through the whole cycle. The assessor also becomes the 'owner' of the nonconformity.
- If the reported nonconformity is rejected it does not progress any further and the cycle is terminated. It may be purged (by admin. or the NCR owner) from the Workbench system at a later date.
- If the reported nonconformity is deferred, its status remains as Unconfirmed and it waits in the system for reassessment.

NCRs must have Accepted status (Open) before they can continue through the Workbench processing cycle.

The layout of the **Report Nonconformity** option in IntraVista Professional follows the same format as the **Record | Report NCR** and **Reports | NCR Report Form** dialogs in Workbench. This ensures that all alleged nonconformities are reported in the same way and encourages reporters to include as much information as possible to allow the assessor to do their job easily and effectively, first time.

Many of the terms used to describe a nonconformity are user-defined; for instance, the nonconformity's type, severity, source and originating department can all reflect your own organisation's terminology. This optional information must be set up in the appropriate separate menu items in Workbench as you will not be able to do this whilst actually filling in the report.

The **Report Nonconformity** option only allows the reporting of new nonconformities, not the editing of existing ones.

Nonconformities workflow settings

Please be aware that the Nonconformities workflow settings in the **Workbench Configuration Centre** offer various options that can be selected independently (by users with access) and, depending on how they are set up, may affect the reporting of nonconformities in IVPro. For full information on these settings, see Nonconformities workflow settings.

Reporting a nonconformity

1 From the **Main Menu**, click on **Report Nonconformity**.

2 The **Report Nonconformity** option will open requiring you to complete various mandatory fields and a description of the nonconformity. Other fields may be completed if required, giving a fuller picture of the nature of the nonconformity. Each field is described briefly below.

   Summary is a mandatory field. Briefly summarise the nature of the nonconformity (up to 55 characters) enough to identify it through its life cycle.

   A **User Reference** is not mandatory but can be useful when searching for specific records. Depending on the Nonconformity workflow settings it may have to be unique if used.

   The **Search Code** automatically mimics Reference (up to 10 characters) but can be changed manually; it does not have to be unique.

   Date of Incident / Time is the date and time when the nonconformity took place or was first noticed; the date is a mandatory field but the time is not. The date can be typed in or inserted using the Date button.

Date Reported / Time - insert the date and time when the nonconformity was reported; the date is a mandatory field but the time is not. The program defaults to the current date and time shown on the server on which your database is located. An earlier date/time may be entered. If no time is specified when reporting a nonconformity, the system defaults to midnight.

Reported By is also mandatory - the program defaults to the user who is logged in. This can be changed using the Browse button to select another user. Listed personnel originate in the Personnel module (see Appendix vi for details).

Department refers to the department in which the NCR took place and **Source** reflects how the NCR first came to light, where was it first noted? Departments are selected (via the Browse button) from those originally set up in the System Manager module. Sources are set up in the Nonconformity **Settings** menu and selected here via the Browse button.

The **Type** and **Subtype** (if required) of the reported nonconformity may be selected from the drop-down list.

The Document Reference section records the **Serial Number** of the document and its revision level. At the time of reporting an NCR, the assigning of a document (issued version only, to which the user has access) is allowed. Use the button to select a document. In the **Select Document** dialog you are given the opportunity to view a highlighted document and/or its attributes. For more information on the **Doc. Search** button (at the top, right of the **Select Document** dialog) see Document search. The Current Issue Revision number will be entered automatically after you select a document; in the **Raise Against Rev**. field, enter the revision you wish to raise the NCR against, if other than the current revision.

Severity levels are set up in the Nonconformity **Settings** menu and could be described as minor, major, critical etc. The severity level of a nonconformity can be altered in Workbench at any time in its processing cycle (**Control | Reassign NCR Severity Level**). For Workbench 11 (and therefore IVPro 11) the Severity field can be made mandatory via a new workflow setting.

The **Approval Status** of an NCR changes throughout its life cycle and on each main NCR dialog (in Workbench) the current status will be shown. In **Report Nonconformity** dialogs the status will always be ‘Unconfirmed’ (Reported).

The **Product involved** section allows for details of the product and supplier (if relevant) to be recorded. The **Product** is entered using the Browse button so product details must be set up in the Nonconformity **Settings** menu. When you have selected its ID, the product Name appears alongside the ID field. If you have completed the **Supplier** field before selecting a product, only products supplied by the nominated supplier or products that have no suppliers associated with them will be available for selection. If no supplier has been selected, all products will be available. See Select dialogs for full details.

The **Supplier** of the product involved is entered using the Browse button (providing that details have been set up in the **Settings** menu). If you have already entered a product in the **Product** field, only designated suppliers of that product, or suppliers that have no products associated with them, will be available for selection. If no product has been selected, all suppliers will be available. See Select dialogs for full details.

Customer & **Contact** - Select the customer and contact relating to the NCR using the Browse button alongside the relevant field. You may narrow the search by ticking either the *Company* or *Individual* check box (if known). If the customer is a Private Individual the Customer field will be closed and only the Contact field will have to be completed. If required, you may add new customers via the search dialog when reporting a nonconformity (see below).

NB. The Customer and Contact fields may be mandatory, depending on the configuration of workflow settings.

Next there is provision to record a **Target Date** and **Time** when the NCR should be resolved. This target date does not become 'real' until it has been assessed (ie. it may be altered by the assessor). The target date will be inserted automatically if the *Calculate NCR target date* setting is checked in the **Workbench Configuration Centre**.

3 Give a mandatory **Description**; this may be as brief or as long as required.

4 **NCR References** gives you the option of referencing one or more previously reported NCRs to the current NCR. Click on the Browse button and select the required Nonconformity to reference. This will then be listed in the NCR References group box. Continue adding as many other NCRs to reference as you wish; use the **Remove** button to remove a highlighted NCR reference.

5 Providing that the User Defined Analysis element of Workbench is licensed and that you also have one or more UDA category set up, an **Analysis** section will appear at the bottom of the dialog. The only UDAs that will be shown in the IVPro **Report Nonconformity** routine are those set up in **User Defined Analysis | Nonconformities**.

UDAs may not be added 'on the fly' in IVPro so any 'additive combo boxes' will function purely as a drop-down list, ie. you may select any of the existing values (if more than one) but cannot enter a new one. .

6 When you are sure that all the details and a full description of the NCR have been reported correctly, click on **OK**.

If Business Rules are turned on and the *Show users to whom tasks and notifications* are sent workflow setting is checked you will now see a Tasks list showing who will be sent a task request to assess the nonconformity and following this, a Notifications list showing who will be sent a notification that the alleged nonconformity has been reported. You may add further personnel manually in either list if required - simply tick the check box alongside the required name(s) in the bottom list.

If Business Rules are turned off but the *Show users to whom tasks and notifications are sent* workflow setting is checked, you may still add personnel manually by the method described above.

If Business Rules are turned off and the *Show users to whom tasks and notifications are sent* workflow setting is also unchecked, the Tasks and Notifications lists will not appear.

7 When you are happy with the selections, click on **OK**.

8 The task and notification messages will now be sent to appropriate personnel. If your system is configured to do so, you may at this point add additional notes to the messages.

External e-mails will show the NCR title/summary - and description (if configured to do so).

If Forward Messaging has been activated in Workbench, external messages sent via IVPro will also go to the same nominated user. When this nominated user subsequently carries out an action, history entries will show that the action was performed ‘on behalf of’ the original user.

Click the **OK** button again and the system will allocate a sequential nonconformity number.

9 Users set up to receive only internal messaging will simply receive confirmation of the allocated nonconformity number.

10 Click **OK** again to return to the **Main Menu**.

The Nonconformity will now be saved to Workbench. IntraVista Professional and Workbench share the numbering system but the History page of a selected nonconformity will show where it was originally reported from.

Setting up a New Company or New Individual ‘on the fly’

Use the Browse button (**...**) alongside the Customer field on the **Report Nonconformity** dialog to access the **Select Customer** dialog. From here, click on the **New Company** (or **New Individual** button) and after completing the dialog (**Name** [or **Surname**] is the only mandatory field) click on the **Apply** button. The new Company (Individual) will be saved.

To add new contacts (Company only) click the **Contacts** button at the bottom of the **Create/Edit Company** dialog. In the **Select Contact** dialog, click the **New Contact** button. After entering details of the new contact (**Surname** is the only mandatory field) click the **Apply** button to save.

Any customer, individual and contact information set up here will be copied through to Workbench.

Only customer and contact records that have not been used by any other record in the system may be deleted.

12.1 Nonconformities workflow settings

Settings for the Nonconformities module are configured by the system administrator in the **Workbench Configuration Centre**. All use a simple on/off toggle so that if the check box is checked, the setting applies; if unchecked, the setting will not apply.

Changes made to any of these settings will apply only to nonconformities reported AFTER the settings were changed. The rules in action at the start of any individual NCR cycle will remain with the nonconformity throughout.

Configuring settings applicable to the Nonconformities module

1. From the **Configuration** menu in the System Manager module choose **Workbench Configuration Centre**.
2. On the **Workflow Settings** page expand the list of entries under the **System Wide** heading (click on the heading or click on the + sign alongside).
3. Go to **Module Settings** and then select the **Nonconformity Settings** entry and expand if necessary.
4. Highlight the relevant setting (see below) and set as required.
5. 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 with the dialog. Alternatively, click **OK** to save and close the dialog.

NB. Not all the settings listed below will be relevant to reporting nonconformities in IVPro.

- *Automatically add nonconformity reporter to sign-off list*. If this setting is checked, the person who reported the nonconformity will automatically be added to the NCR sign-off list and a History entry will be made.
- *Calculate NCR target date automatically*. When an NCR is reported you may manually select a target date by which the NCR should be resolved. To ensure that a target date is entered automatically, the *Calculate NCR target date automatically* setting should be switched on. Highlight this entry and check the *Use this workflow setting?* box below.
- To configure the actual target date, a value should be entered for the *Number of days added to NCR date reported for target date* (enabled when the top setting is checked). Highlight this entry and enter the required number of days in the **Setting** value field at the bottom of the dialog. When reporting an NCR, the system will now add this number of days to the date that the NCR is reported, calculate the target date and automatically enter it on the **Report Nonconformity** dialog. The calculated target date may, however, be amended at the time of reporting or assessing the NCR.

  If the *Calculate NCR target date automatically* setting is switched on but the *Number of days added to NCR date reported for target date* setting value is set to '0', then the target date will be entered as the end of the day that the NCR was reported.
- *Send a warning to the owner for incomplete NCRs*. Use this setting to set up an automatic warning if an NCR has not been completed within its specified time. When it is checked, the setting below will be enabled, allowing you to set the required time to elapse before sending a warning.

- *Number of days after NCR reported before warning is sent to owner*. This setting will only be enabled when the setting above is checked. If it is, enter the required **Setting value**. For example, if this is set at 14, after two weeks if the NCR has not been completed, the NCR owner will be sent the notification '14 days have elapsed since reporting NCR <number> and it is still outstanding'.

  If the **Setting value** is set to '0', no warnings will be sent.

- *Use nonconformity business rules*. To turn the Nonconformity module business rules on, highlight the relevant entry and check the *Use this workflow setting?* check box. If unchecked, business rules will not be used in this module.
- *Show users to whom tasks and notifications are sent*. Highlight this entry if you want users to be told when task and notification messages are about to be sent and to whom.
- *Show NCR Description in external mail*. This setting is unchecked by default. If checked, then each external mail message sent by the database will have the entire NCR description within the body of the e-mail.
- *Nonconformity user reference must be unique*. If this setting is checked, the system will force a **User Reference** (if used) in the Nonconformities 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.
- *Display 'Reject' button in 'Assess Reported Nonconformity'* - the default setting. If unchecked, the **Reject** button in the **Assess Reported Nonconformity** dialog will be hidden which means that the prospective assessor may not reject the assessment.
- *NCR Severity is mandatory field,* when checked, forces the **NCR Severity** field to be mandatory. This setting is unchecked by default.
- *NCR Customer/Contact is mandatory field*, when checked, forces the **NCR Customer** and **Contact** fields to be mandatory. This setting is unchecked by default.
- *Allow remote NCR import.* If selected, allows you to set up an offline 'form' (a text file) for reporting NCRs that, when forwarded to a third party who has the Nonconformities module installed, will automatically populate the existing **Report NCR** form when Workbench fires up. The setting is unchecked by default.

13 Other Workbench routines used by IVPro

The following brief explanations cover Workbench routines that are specifically utilised by IVPro. Further information can be found in the relevant Workbench Help.

13.1 Mail and messaging

When a new user is created in Workbench, depending on their access rights and the modules installed, they will automatically be able to communicate electronically using the internal messaging system (see **Tasks and Notifications**, below). They may also be set up to use external mail - Microsoft Mail, SMTP or Lotus Notes.

External mail systems

Using the **Personnel records** dialog in the Personnel module, users may be set up to communicate on an external mail system if this is installed on your network.

If configured to do so, you may also add notes to task and notification messages that are being sent externally. The **Add Notes to Message** dialog will appear automatically when you send messages to external mail from within Workbench, providing that the *Add notes to external messages* workflow setting has been checked (Workbench Configuration Centre | Workflow Settings | System Wide).

On opening external mail, any message generated from within Workbench will appear with your other e-mail. Double-click on the message to open it.

Double-click on any attachment sent via IVPro to fire up Workbench; then continue processing as ' normal'.

Acknowledge Receipt and Approve Document messages are sent from Workbench to IVPro.

Mail forwarding

If a mail forwarding option has been set up in Workbench (**File | User Preferences | Preferences** page), messages sent (and received) via IVPro will react in accordance with the Workbench settings. Mail messages that have been forwarded show the original owner of the task with the message 'This mail has been forwarded from <name of original recipient>'.

Once a user has been entered (in Workbench) to receive forwarded messages, they will continue to receive them in both Workbench and IVPro until cleared. The original user will then be re-instated.

Tasks and Notifications

Workbench modules support an extremely powerful internal messaging system, constantly updated, that shows each user when they have Tasks waiting to be actioned or have Notifications (for information only) waiting to be read - and how many.

Using a simulated light-bulb situated on the main toolbar, the user is informed of new task / notification messages instantly and noticeably (the light is effectively ‘switched on’ when new messages arrive and remains yellow whilst there are unread messages).

For a full list of all messages sent by the system, see the **Tasks & Notifications** Help topics in Workbench.

Configuring Task and Notification messages

All internal Task messages will always be sent. However, the system administrator may decide which external Task messages and/or which Notification messages (external and internal) may be suppressed for a whole module, or for specific messages. Changes take effect the next time a user starts the relevant routine.

These options are configured on the **Tasks** and **Notifications** pages of the **Workbench Configuration Centre** and can be set up individually for Task messages and/or for Notifications.

13.2 Document categories and types

A document **Category** can be any set of criteria by which you wish to group your documents for reporting and analysis purposes eg. Health & Safety, Quality.

Similarly document **Types** (eg. Flow chart, Procedure) enable you to search and order document databases more efficiently. Retrieving all documents belonging to a selected category or of a certain type can then be carried out very easily using the filters offered in the **Document Web Portal**.

Document Categories and Document Types are created in the **Settings** menu of the Workbench Document Control module. See the relevant Help files for further information.

13.3 Keywords

You may attach any number of keywords to a document. Keywords are set up and maintained in the **Control** menu of the Workbench Document Control module (**Maintain Master Keywords**) and may be attached to documents for searching and sorting purposes. A **Keywords** filter is offered in the Document Web Portal.

For full details of setting up, attaching & maintaining keywords, see the relevant Help topics in Workbench.

13.4 Departments

Departments are created in the **Configuration** menu of the System Manager module. Apart from the advantages this gives in completing personnel records, the option is also used widely in search routines throughout Workbench and IVPro.

See the relevant Help files in Workbench for further information.

13.5 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

13.6 Complaint and Nonconformity types

Complaints and/or nonconformities may often be of a similar type; descriptions of these types are set up in the **Settings** menu of the respective modules. Then, when reporting a complaint or a nonconformity this description can be entered in the **Type** field where, as well as giving valuable information about the nature of the complaint or NCR, it may also be used in searches and for filtering.

In the Nonconformities module you may also set up **Subtypes** aswell as Types. These are set up on a secondary tab in the Type settings routine.

For further details, see the relevant Help topics in Workbench.

13.7 Complaint and Nonconformity severity levels

When reporting a complaint it is not mandatory to record its **Severity**. But new for Workbench 11 (and IVPro 11) is the option to make the Severity level mandatory in the Nonconformities module (via a new workflow setting).

Recording the severity of a complaint or nonconformity is useful because these levels can be altered at any time and, if Business rules are being used, may automatically alert new personnel to the changed circumstances . This can be an efficient way of elevating a low priority complaint or nonconformity to one that needs attending to urgently, with the appropriate personnel automatically being informed.

Severity levels are created in the **Settings** menu of the respective modules. They are given a unique ‘weighting’ on a scale from 1-100, used by Workbench for indexing and sorting.

Even if Business rules are not being used, most search filters use ‘Severity Level’ to sort and/or analyse complaints so it is useful to stipulate this at the reporting stage.

For further information on severity levels, please see the relevant Help topics in Workbench.

13.8 Products and Suppliers

Whenever a specific product is involved, for example in a customer care issue or nonconformity, it is useful to record the details of the product (and those of its supplier), if known.

Details of products and suppliers are set up in the **Settings** menu of several Workbench modules; the same **Product** and **Suppliers** dialogs are used by all Workbench modules. A product code (ID) is allocated when details are first set up and it is this that will be entered (via the Browse button) in the **Product** field on the IVPro **Report Complaint** and/or **Report Nonconformity** options, if used.

Products and suppliers cannot be entered 'on the fly' in IVPro or Workbench - they must always be set up in the **Settings** menu.

Full details can be found in the relevant Workbench System Manager Help topics.

13.9 Nonconformity source

When reporting a nonconformity, the original source is not mandatory but it can be helpful to record it, especially for keeping track of possible patterns of nonconformity; the source of a nonconformity is also used for advanced search filtering and when compiling reports.

NCR sources are set up in the Nonconformities **Settings** menu.

For further information please see the relevant Help topic in Workbench.

13.10 Personnel records

The creation and updating of personnel records within Workbench is carried out in the Personnel module (**Record | Personnel**) and additionally used to define which members of personnel are also system users; external mail system options are also configured here.

Several fields in IVPro options refer to personnel records (eg. **Owner**, **Author**, **Review Responsibility**, **Reported By**).

For full details see the appropriate Help topic in Workbench.

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