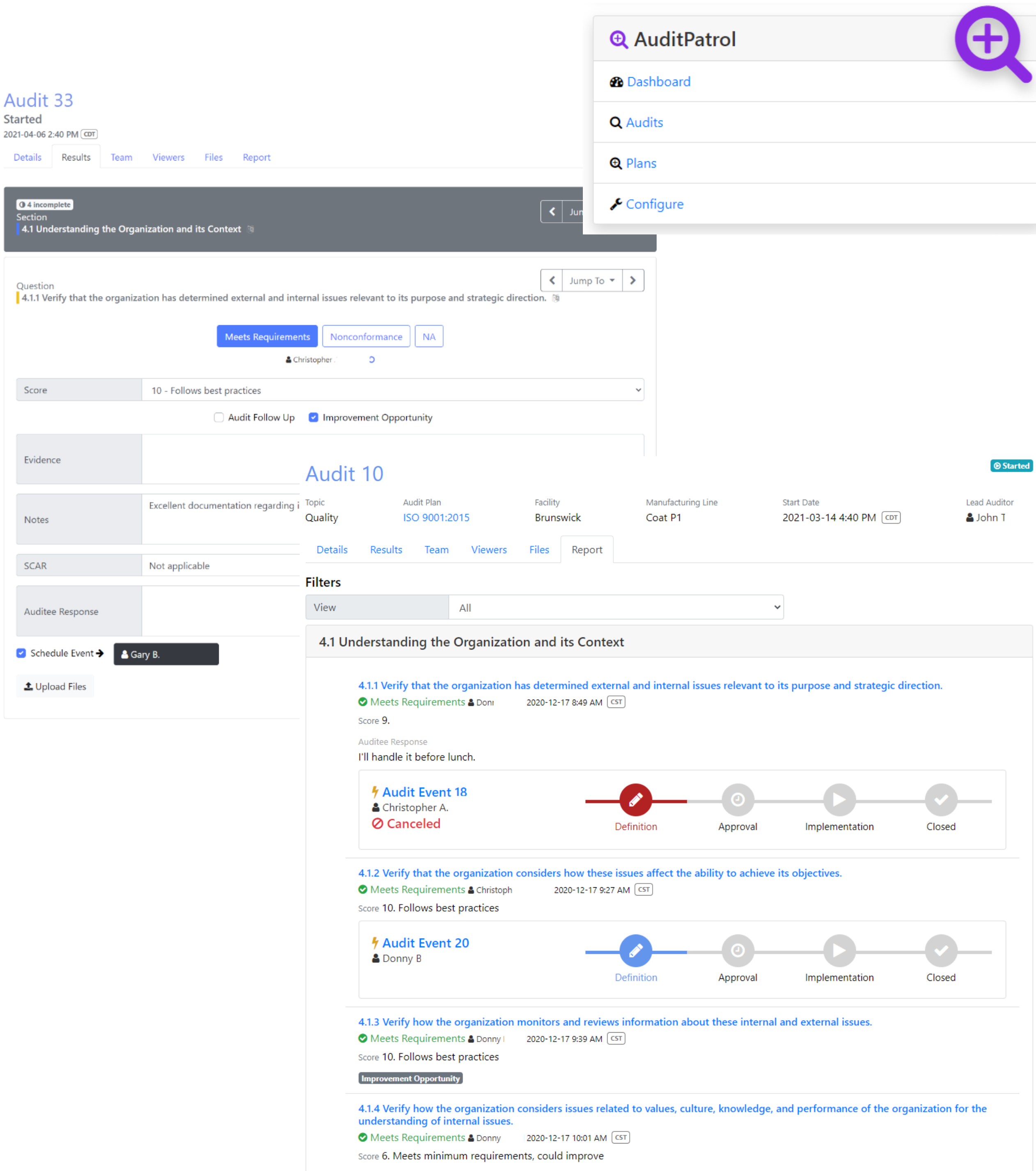
AuditPatrol
User Guide
Version 2025-10



Contents

Chapter 1: Introduction

Introduction

AuditPatrol™ is a PatrolSuite™ module that enables an organization to standardize the audit process across its facilities. While AuditPatrol is a global application that enables users with permission to view data from all facilities to see the results of audits conducted at all facilities, each facility can define facility-specific audit plans. The dashboard provides real-time visibility into the auditing process. Additionally, AuditPatrol is integrated with EventPatrol to manage improvement related activities such as investigations, root cause analysis, risk assessment, corrective actions, preventive actions, and follow-up actions.

Access

To access the PatrolSuite homepage, obtain the URL and login credentials from your IT department.

PatrolSuite module access is governed by both PatrolSuite and Active Directory security protocols. Therefore, users will see different homepage content and will have different access levels based on assigned roles. For assistance with security or permissions, contact your IT department.

Browser

PatrolSuite™ is accessed through a web browser. The platform and all its applications are certified for use with Google Chrome, Microsoft Edge, and Safari. To ensure full functionality and the best user experience, MAP strongly recommends using one of these supported browsers.

NEW Definitions

Audit - A systematic, independent, and documented process for evaluating whether an organization's management systems comply with the organization's own policies and procedures or the requirements of one or more regulatory standards (e.g., ISO 9001 for quality, ISO 14001 for environment, ISO 45001 for occupational health & safety). The goal is to determine whether the management system:

- Meets ISO standard requirements
- Is effectively implemented and maintained
- Can achieve the organization's intended results

Audit Entity – The organization, business unit, department, process, product, or function that is being audited. It is the subject of the audit; meaning the audit focuses on evaluating the systems, controls, records, and performance of this entity against specific standards, policies, procedures, or regulations.

Audit Plan – A formal, documented outline that defines the scope, objectives, schedule, resources, and audit activities for a specific audit. It serves as a roadmap for conducting the audit in a systematic and effective manner. In the context of ISO audits (e.g., ISO 9001), the audit plan ensures that auditors and auditees are aligned on what will be reviewed, when, and how.

Auditee Team – The group of individuals within an organization who participate in and support an audit by representing their respective departments, functions, or processes. They work under the coordination of the Lead Auditee and provide the necessary access, information, and documentation to the audit team.

Business Partner – Customers and Suppliers.

Business Unit – Grouping of manufacturing facilities according to the market to which their products are sold.

Cost of Quality (CoQ) – The total cost of ensuring and maintaining product quality. It includes all costs involved in preventing defects, appraising product quality, and dealing with failures. CoQ is divided into four categories:

1. Prevention Costs (Quality Assurance)
    - Costs to prevent defects before they happen such as training, process design, quality planning, policy and procedure documentation, and preventive maintenance.
2. Appraisal Costs (Quality Control)
    - Costs of measuring and monitoring product quality such as product inspection and testing, audits, calibration of instruments, statistical process control (SPC).
3. Internal Failure Costs (Nonconforming Product)
    - Costs of defects **found before** the product reaches the customer such as scrap, rework, downtime, re-inspection.
4. External Failure Costs (Customer Complaints)
    - Costs of defects **found after** the product is delivered to the customer such as customer complaints, warranty claims, returns, product recalls, loss of reputation.

Cost of Poor Quality (CoPQ) – Avoidable costs that result from delivering a substandard product or service. CoPQ = Internal Failure Costs + External Failure Costs. Accordingly, CoPQ is a subset of the CoQ often referred to as “the cost incurred when things go wrong.”

Currency – A system of money in common use within a particular country or economic region, used as a medium of exchange, store of value, and unit of account in financial transactions.

Defect – Flaws, faults, or deviations in a manufactured item that prevent it from meeting design specifications, quality standards, or customer expectations.

Defect Category – Grouping of defects to help identify, analyze, and correct issues systematically. Common defect categories include:

- Aesthetic or Cosmetic Defects - Visual imperfections that do not affect the product’s functionality but can impact customer perception and marketability.
- Design Defects - Flaws inherent in the product's design that make it unsafe, ineffective, or prone to failure, even if manufactured perfectly.
- Documentation/Labeling Defects - Inaccurate or missing product information, which may lead to misuse, safety issues, or regulatory non-compliance.
- Functional Defects - The product does not perform as intended or fails under specific conditions.

- Manufacturing Defects - Flaws introduced during the production or assembly process, even when the design is correct.
- Material Defects - Deficiencies in raw materials or components that affect product performance, safety, or durability.
- Packaging Defects - Issues related to how the product is packaged for shipping, storage, or display.
- Process Defects - Defects caused by errors in the manufacturing process settings, procedures, or conditions.

Department – An organized unit within a company that is responsible for managing a specific set of functions, processes, or activities that contribute to the organization's overall goals and operations.

Disposition – The remediation instructions assigned to a product with a rejected quality state. The goal of the remediation is to minimize the financial loss due to making product that does not meet quality requirements.

Enterprise Resource Planning (ERP) – Software system that enables management of the day-to-day business activities such as accounting/finance, procurement, supply chain, human resources, sales order conversion to manufacturing orders, distribution, project management, compliance, and others.

Facility – A physical location where raw materials are converted into finished or semi-finished products through various production processes, machinery, labor, and technology.

Lead Auditee - The primary representative of the auditee organization, department, or process during an audit. This person acts as the main point of contact between the audit team and the auditee's team. The Lead Auditee is responsible for coordinating audit activities on behalf of the auditee and ensuring that auditors get the access, information, and support they need.

Lead Auditor - A certified professional responsible for planning, conducting, and managing audits of quality management systems (QMS) or other types of management systems. They lead an audit team and ensure that audits are carried out effectively and in accordance with relevant standards (such as ISO 9001, ISO 14001, ISO 45001, GxP, etc.).

Manufacturing Execution System (MES) – Software system that tracks and documents the transformation of raw materials into finished goods, including inventory consumption and product genealogy. In a world class manufacturing environment, the MES is integrated to communicate bi-directionally with the ERP and the Quality System (PatrolSuite).

Operation – Location where a sample originates for which testing is performed.

Order – A set of data with a unique order number (typically originating from the MES or ERP) to identify a:
- Inbound Receiving order (often a "purchase order") for raw materials
- Manufacturing order and its related product and customer
- Outbound Shipping order for finished goods being shipped to customers.

Product – A tangible output or item that is created through a controlled process involving raw materials, labor, machinery, and other inputs, intended for use, sale, or further processing. Types of products include:
- Finished Goods: Ready for sale to end users (e.g. computers, bicycles, paper).
- Semi-Finished Goods: Used as components in other products (e.g. engine parts, circuit boards).
- Raw Materials: Basic inputs for production (e.g., glue, steel, plastic pellets, lumber).

Product Group – A collection of related products that share common characteristics, functions, markets, manufacturing processes, or branding, and are managed together for strategic, operational, or marketing purposes.

Quality Assurance (QA) – A proactive process that focuses on preventing defects by ensuring that the processes used to manage and create deliverables are effective and followed correctly.

- Focus: Process-oriented
- Goal: Prevent defects before they happen
- When: Throughout the product development and prior to the manufacturing process
- Methods: Process audits, training, standard operating procedures (SOPs), continuous improvement
- Responsibility: Business management, quality management, and process engineers

Quality Control (QC) – A reactive process that focuses on identifying defects in the finished product through inspection and testing.

- Focus: Product-oriented
- Goal: Detect and fix defects after they occur
- When: After production or at specific checkpoints during production
- Methods: Inspections, measurements, product testing, sampling, statistical process control (SPC)
- Responsibility: Laboratory technicians, quality inspectors, or testing personnel

Quality Plan – A formal set of electronic files or settings that define the specific quality practices, resources, standards, procedures, responsibilities, and inspection or testing methods to be applied to a particular product or process during manufacturing.

Quality State – The assessment of a sample's conformance to quality requirements. For example, a sample for which all tests are completed, and all are in spec, might have a quality state of "Approved."

Raw Material – A basic, unprocessed, or minimally processed substance that is used as the starting input in the production or manufacturing of goods and products.

Team Auditor - A member of an audit team who supports the Lead Auditor in performing an audit of a management system, such as a Quality Management System (QMS), Environmental Management System (EMS), or others (e.g., ISO or GxP standards). The Team Auditor performs assigned audit tasks under the direction of the Lead Auditor.

Test Location – A physical location within the Facility where tests are completed.

Unit – The smallest measurable or sellable quantity of a product. Units are typically used for production, inventory, pricing, sales, and distribution purposes.

Unit of Measure – A standard quantitative unit used to specify, track, and manage the amount of a product, material, or resource in the manufacturing, inventory, sales, or procurement processes.

Workcenter – A sub-division of an Operation. An Operation can have one or more Workcenters. Often, a workcenter reflects a unique manufacturing machine or asset.

Symbol Key

The following symbols are used in this user guide.

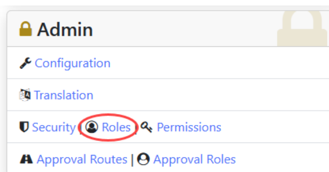
Typeface	Description
	Indicates a “required” data entry field within a UI.
	Indicates a new feature, or new information regarding existing functionality.
	Indicates rules regarding access security.
	Click the help icon to view additional information.

Chapter 2: Security

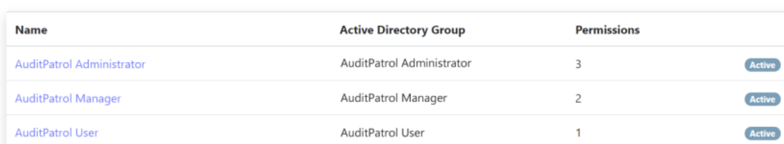
Roles

Roles are located on Page: {PatrolSuite URL}/Security/Roles

1. To access the PatrolSuite Roles, click on the Roles hyperlink in the Admin card on the PatrolSuite homepage.

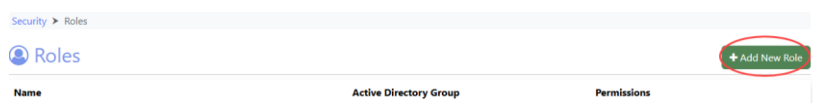


MAP recommends creating the following AuditPatrol roles.

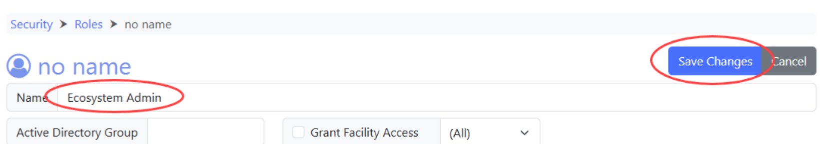


Name	Active Directory Group	Permissions	
AuditPatrol Administrator	AuditPatrol Administrator	3	Active
AuditPatrol Manager	AuditPatrol Manager	2	Active
AuditPatrol User	AuditPatrol User	1	Active

2. To create a Role, click on the 'Add New Role' button.



   a. Enter the name of the role and click 'Save Changes'.

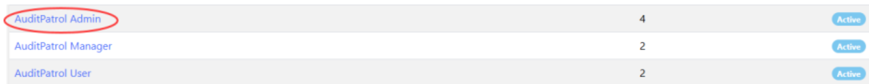


3. Each AuditPatrol Role must be associated with a Microsoft Active Directory group. To associate an AuditPatrol Role with an Active Directory group:

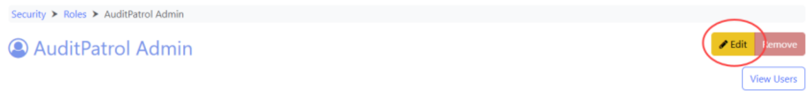
   a. Contact your IT department and ask them to create an Active Directory group for the AuditPatrol Role. The Active Directory group name is typically the same as the AuditPatrol Role name.

   b. Provide the IT department with the names of all users who need to be added into each Active Directory group.

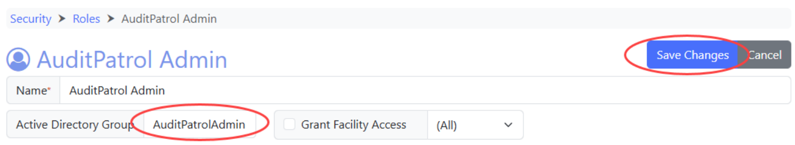
   c. Click on the desired Role name.



d. Click on the ‘Edit’ button.

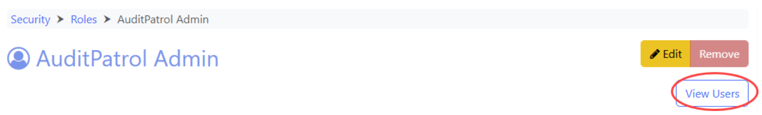


e. Enter the name of the applicable Active Directory group and click ‘Save Changes.’



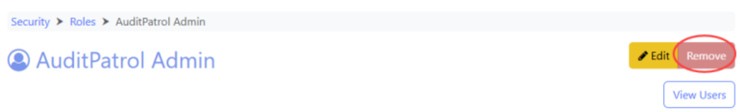
Note: Granting facility access is typically not done for an AuditPatrol Role. Accordingly, MAP recommends leaving the Grant Facility Access checkbox unchecked.

4. To see the users who are in the Active Directory group associated with the Role, click the ‘View Users’ button.



5. To remove a PatrolSuite role, click the ‘Remove’ button and click the ‘Remove’ button in the confirmation window.

Note: The ‘Remove’ button will not be actionable until all permissions are set to “no.”

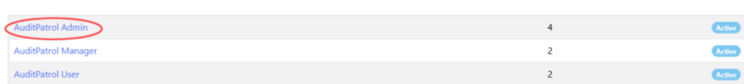


NEW Permissions

Permissions are located on Page: {PatrolSuite URL}/Security/Permissions

6. To grant permissions to a PatrolSuite Role:

a. Click on the desired Role name.



b. Scroll down to the AuditPatrol section and click on the ‘No’ button for the desired permission. This will change the button to read ‘Yes’ which means the permission has been granted to the Role, and therefore to all users in the Role.

The **AuditPatrol Admin** Role is typically granted the following permissions:

AuditPatrol		
Yes	Admin	Allows users to edit configuration settings, all audits and audit plans, and other user's AuditPatrol profile settings.
Yes	Dashboard	Allows users to view the AuditPatrol dashboard.
Yes	Manage	Allows users to edit other user's AuditPatrol profile settings (including defining Topic Administrators).
Yes	Modify All Audit Plans	Allows users to edit all audit plans (despite not being an owner of the plan).
Yes	View	Allows users to view the AuditPatrol frame on the PatrolSuite homepage, audit configuration settings, and other user's AuditPatrol profile settings. Additionally, for those topics for which the user is qualified, allows the user to see audits and audit plans, and be chosen (by the topic administrator) to be an auditor or scheduler.

The **AuditPatrol Manager** Role is typically granted the following permissions:

AuditPatrol		
No	Admin	Allows users to edit configuration settings, all audits and audit plans, and other user's AuditPatrol profile settings.
Yes	Dashboard	Allows users to view the AuditPatrol dashboard.
Yes	Manage	Allows users to edit other user's AuditPatrol profile settings (including defining Topic Administrators).
No	Modify All Audit Plans	Allows users to edit all audit plans (despite not being an owner of the plan).
Yes	View	Allows users to view the AuditPatrol frame on the PatrolSuite homepage, audit configuration settings, and other user's AuditPatrol profile settings. Additionally, for those topics for which the user is qualified, allows the user to see audits and audit plans, and be chosen (by the topic administrator) to be an auditor or scheduler.

The **AuditPatrol User** Role is typically granted the following permissions:

AuditPatrol		
No	Admin	Allows users to edit configuration settings, all audits and audit plans, and other user's AuditPatrol profile settings.
Yes	Dashboard	Allows users to view the AuditPatrol dashboard.
No	Manage	Allows users to edit other user's AuditPatrol profile settings (including defining Topic Administrators).
No	Modify All Audit Plans	Allows users to edit all audit plans (despite not being an owner of the plan).
Yes	View	Allows users to view the AuditPatrol frame on the PatrolSuite homepage, audit configuration settings, and other user's AuditPatrol profile settings. Additionally, for those topics for which the user is qualified, allows the user to see audits and audit plans, and be chosen (by the topic administrator) to be an auditor or scheduler.

Chapter 3: Configuration - Auditors

Introduction

The AuditPatrol configuration page enables AuditPatrol administrators to aces and to define the information and rules that will govern the auditing process.

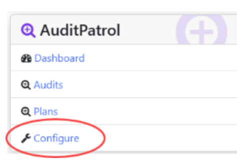
AuditPatrol configuration settings are located on Page: {PatrolSuite URL}/Audit/Setup

Users with the following permission can edit all AuditPatrol/Configure pages.

AuditPatrol		
Yes	Admin	Allows users to edit configuration settings, all audits and audit plans, and other user's AuditPatrol profile settings.

View Configure Page

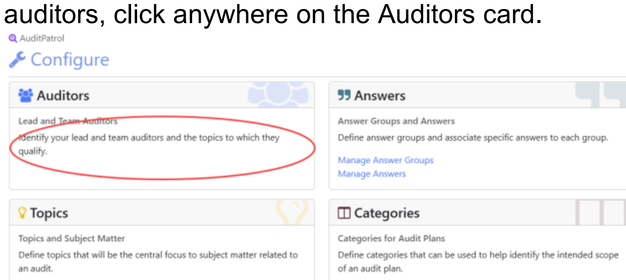
7. To view the AuditPatrol configuration page, click on the AuditPatrol Configure link on the PatrolSuite homepage.



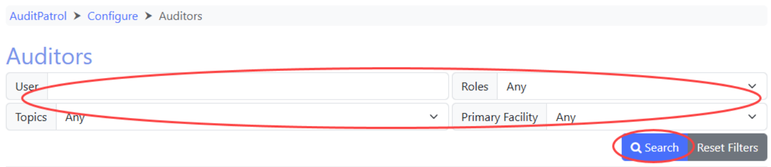
View Auditors

The auditors page allows one to define the users who can act as lead and team auditors and the topics for which they are qualified. Page: {PatrolSuite URL}/Audit/Setup/Auditors

8. To view the AuditPatrol auditors, click anywhere on the Auditors card.

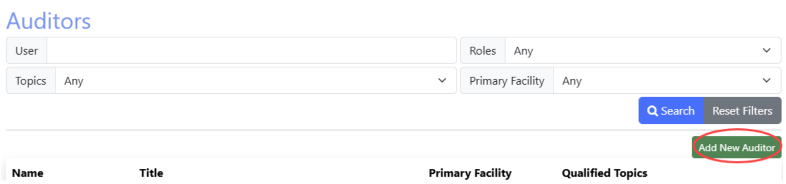


a. The AuditPatrol/Configure/Auditors page lists the auditors and each auditor's Qualified Topics. Use the User search or filters to find an auditor.



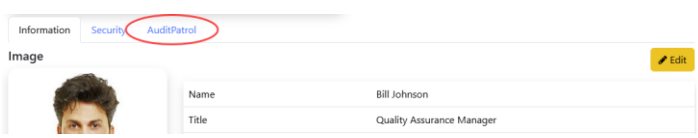
Add Auditor

9. To add a new auditor, click on the 'Add New Auditor' button.



a. In the User Search window, click on the desired user's name.

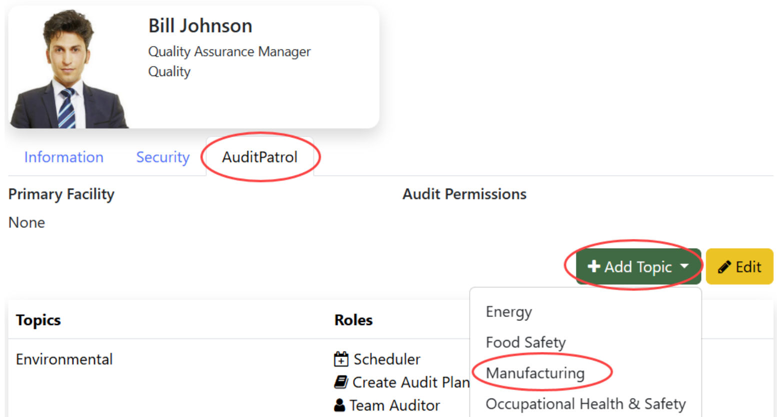
b. Click on the AuditPatrol tab.



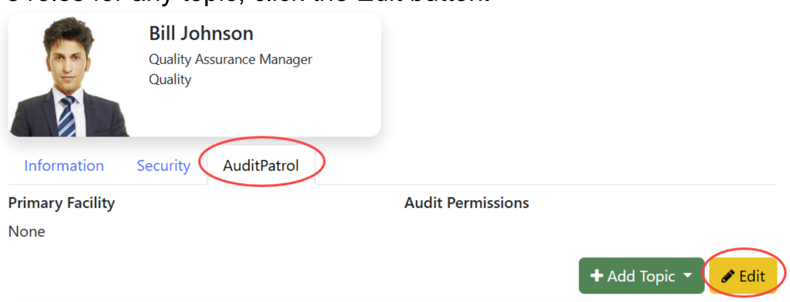
Note: Initially, a new user will not be associated with any audit topics. A user must be associated with an audit topic before the user can participate in an audit for that topic.

Auditor Audit Topics & Roles

10. To associate a user with an AuditPatrol topic, on the user's profile page click on the AuditPatrol tab, then click the 'Add Topic' button and select the desired topic from the submenu.



11. To edit an auditor's roles for any topic, click the Edit button.



a. Check the desired checkboxes to assign the topic roles and audit roles to the user and click the 'Save Changes' button.

NEW Role Key:

Topic Manager. Allows the user to edit audit profiles, audit setup, audits, and audit plans.

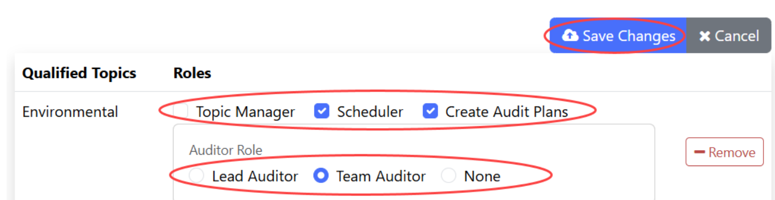
Scheduler. Allows the user to schedule audits.

Create Audit Plan. Allows the user to create audit plans.

Lead Auditor. The user can act as a lead auditor for the topic.

Team Auditor. The user can act as a team auditor for the topic.

No Audit Role. The user cannot act as a lead or team auditor for the topic. However, since the topic has been granted to the user, the user can view all audit of the topic.



Note: To remove a topic from a user, click on the 'Remove' button.

Chapter 4: Configuration - Answers

NEW Introduction

The Answers page allows the definition of the answers that an auditor can choose in response to, or as the findings of, an audit question.

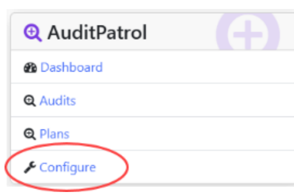
AuditPatrol answer configuration settings are located on Page: {PatrolSuite URL}/Audit/Setup/Answers

Users with the following permission can edit all AuditPatrol/Configure pages.

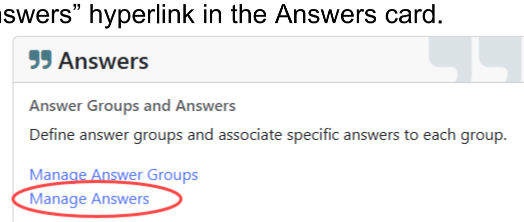
AuditPatrol		
Yes	Admin	Allows users to edit configuration settings, all audits and audit plans, and other user's AuditPatrol profile settings.

NEW View Answers

12. To view the answers configuration page, click on the AuditPatrol Configure link on the PatrolSuite homepage.

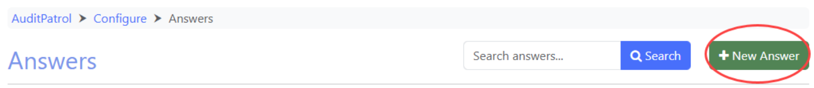


a. Click on the “Manage Answers” hyperlink in the Answers card.



NEW Add New Answer

13. To add a new answer, click on the ‘New Answer’ button.



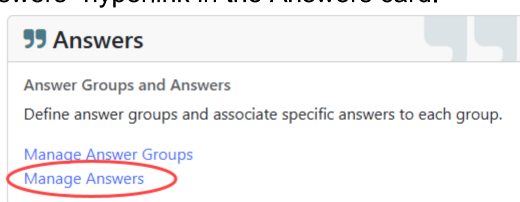
a. Enter the answer name and click the ‘Save Changes’ button.

Note: New answers are “active” by default.

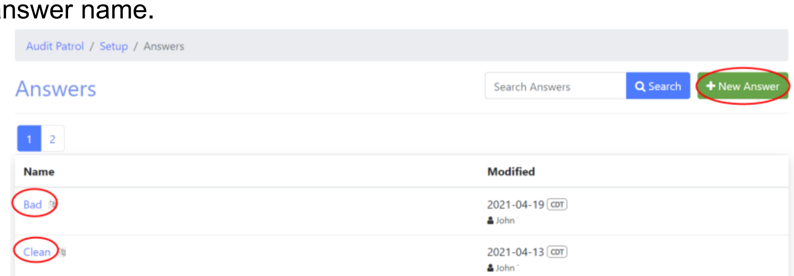
NEW Edit Answer

14. To edit an existing answer, click on the AuditPatrol Configure link on the PatrolSuite homepage.

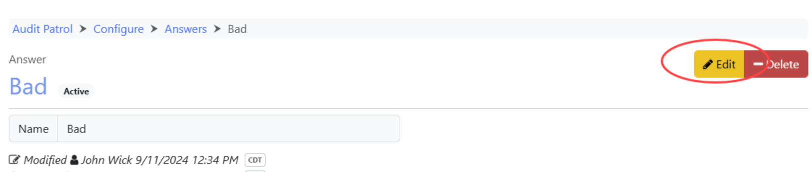
a. Click on the “Manage Answers” hyperlink in the Answers card.



b. Click on the answer name.

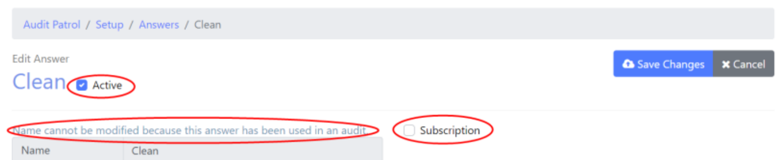


c. Click on the Edit button.



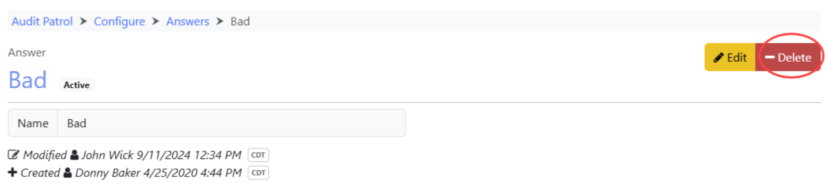
d. Click on the Active checkbox to activate/deactivate the answer. If the answer is part of a subscription audit, then the Subscription checkbox will be checked.

Note: The name of answer cannot be edited once it has been consumed in an audit (so that the meaning of an answer is not changed).



15. To delete an answer, click on the answer name then click the Delete button.

Note: An answer cannot be deleted once it has been consumed in an audit.



Chapter 5: Configuration - Answer Groups

NEW Introduction

The Answers Groups page allows the definition of the groups into which answers are placed.

Note: Each audit plan is associated with **one** answer group. Accordingly, all questions within an audit plan are answered by selecting one of the answers from the applicable answer group.

Note: An answer can be placed into more than one group.

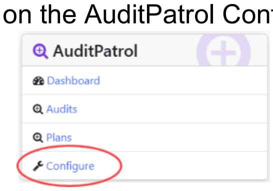
AuditPatrol answer group configuration settings are located on Page: {PatrolSuite URL}/Audit/Setup/AnswerGroups

Users with the following permission can edit all AuditPatrol/Configure pages.

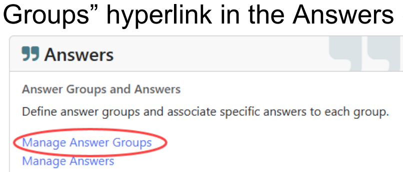
AuditPatrol		
Yes	Admin	Allows users to edit configuration settings, all audits and audit plans, and other user's AuditPatrol profile settings.

NEW View Answer Groups

16. To view the answer groups page, click on the AuditPatrol Configure link on the PatrolSuite homepage.

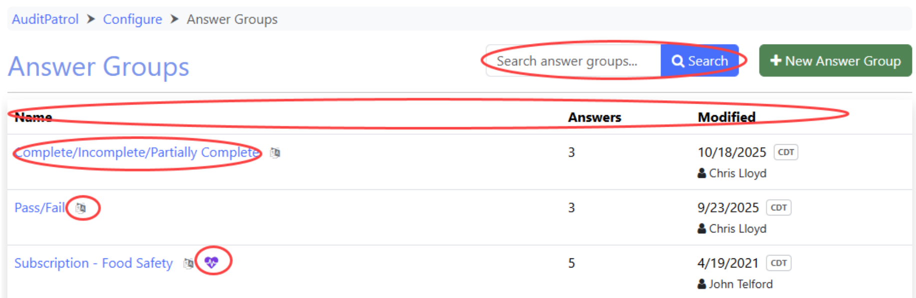


   a. Click on the “Manage Answer Groups” hyperlink in the Answers card.



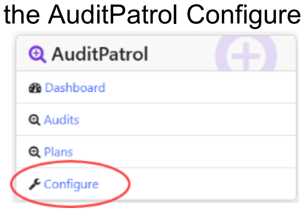
b. The Answer Group page will appear, which lists all the answer groups that have been defined.

i) To find an Answer Group, use the Search feature.
ii) Click on the column headers to sort the data grid.
iii) Click on an answer group name to open the answer group.
iv) Click on the localization icon to translate the answer group name into other languages.
v) The purple heart icon reflects an answer group that contains a “subscription” answer. These answer groups are managed by MAP and cannot be edited, copied, or cloned. Use caution when adding these groups to one of your audit plans as the answers might change at MAP’s discretion.

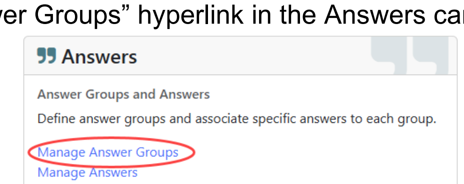


NEW Add New Answer Group

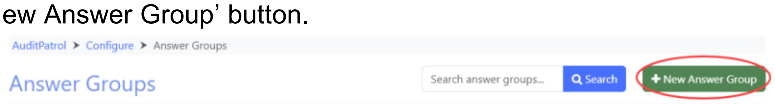
17. To add a new answer group, click on the AuditPatrol Configure link on the PatrolSuite homepage.



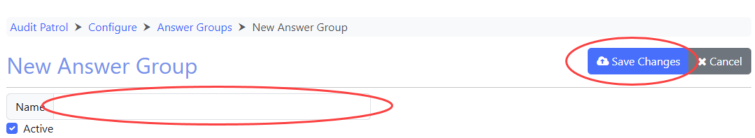
a. Click on the “Manage Answer Groups” hyperlink in the Answers card.



b. Click on the ‘New Answer Group’ button.

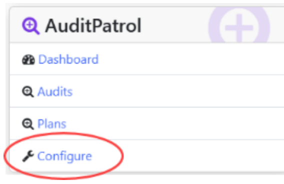


c. Enter the new answer group name and click on the ‘Save Changes’ button.

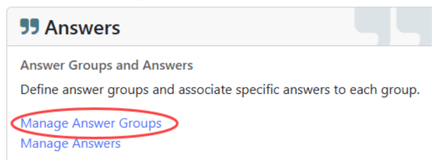


NEW Edit Answer Group

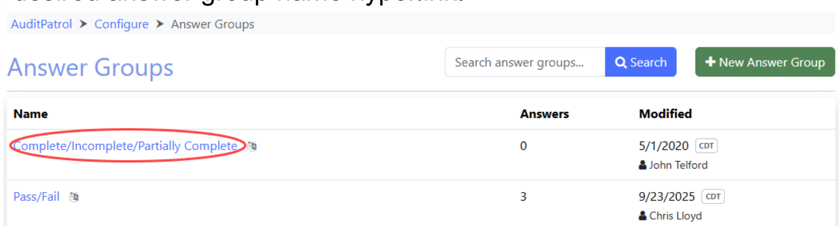
18. To edit an existing answer group, click on the AuditPatrol Configure link on the PatrolSuite homepage.



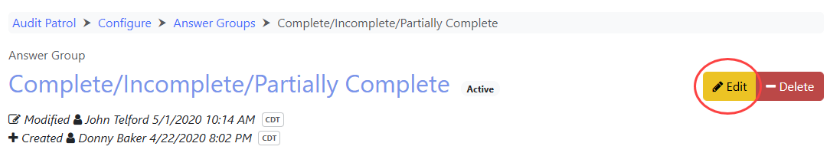
a. Click on the “Manage Answer Groups” hyperlink in the Answers card.



b. Click on the desired answer group name hyperlink.

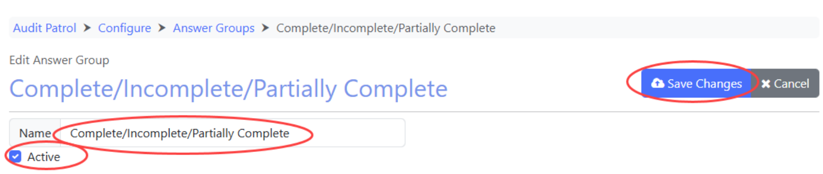


c. Click on the ‘Edit’ button.

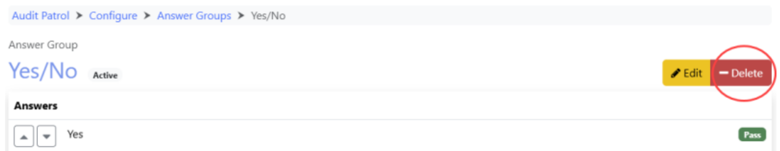


d. Change the answer group name and the active/inactive status as desired and click the ‘Save Changes’ button.

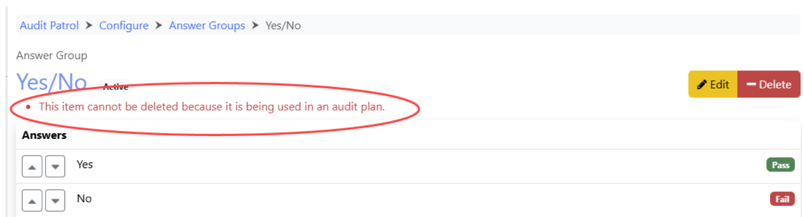
Note: Inactive answer groups cannot be added to new audit plans. However, they will remain associated with audit plans to which they already apply until such a time that a new answer group is selected in the audit plan.



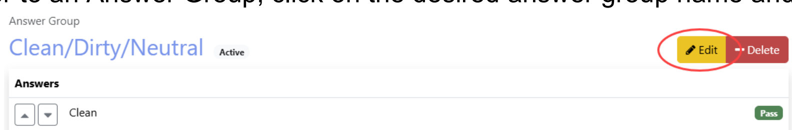
19. To delete an Answer Group, click on the desired group name, click the ‘Delete’ button and click the ‘Delete’ button in the confirmation window.



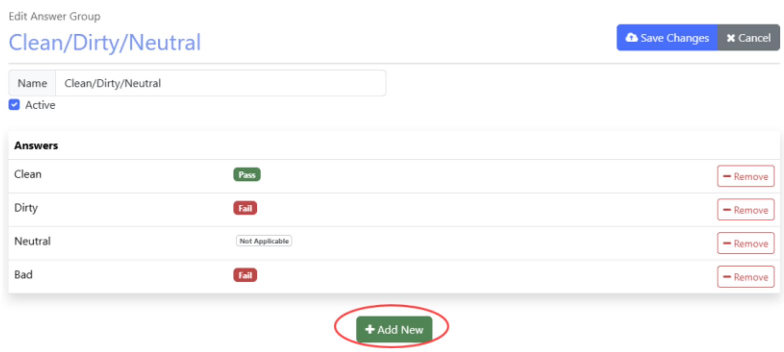
Note: An Answer Group cannot be deleted once it has been consumed in an audit plan. If applicable, a message will appear when deleting such Answer Groups.



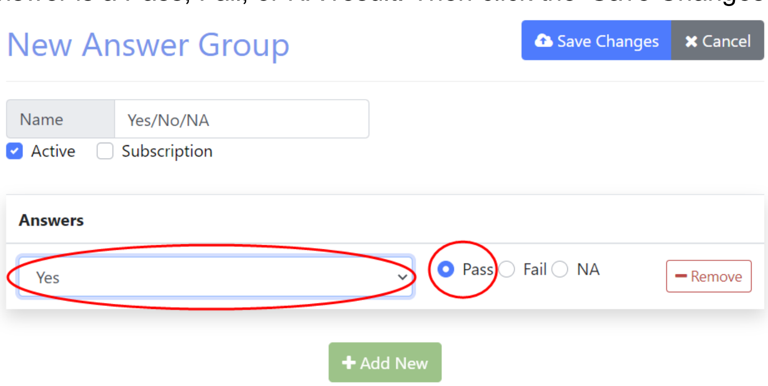
20. To add an answer to an Answer Group, click on the desired answer group name and click the Edit button.



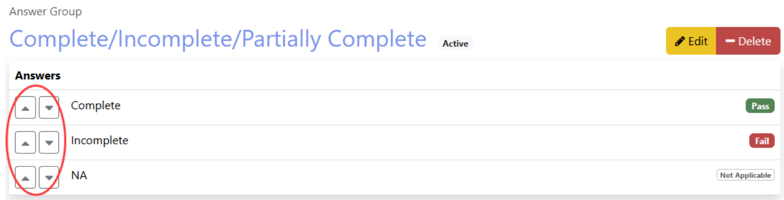
a. Click the Add New button.



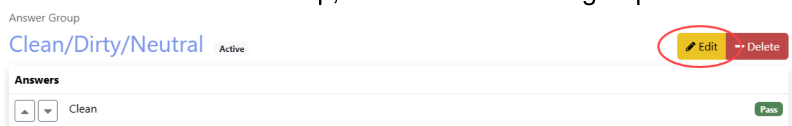
b. Select the desired answer from the drop-down and select the applicable radio button to indicate whether the answer is a Pass, Fail, or NA result. Then click the 'Save Changes' button.



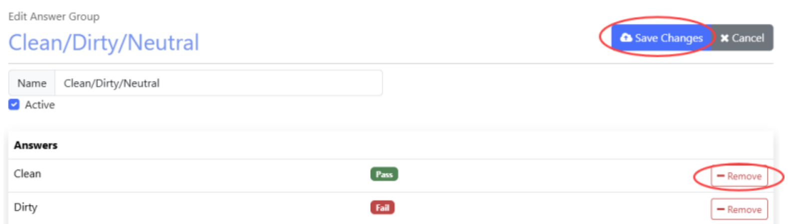
c. NEW Click on the Up and Down arrows to change the sort order of the answers in the group. The order defined herein is the order that the answers will appear when an auditor answers a question in an audit.



21. To remove an answer from an Answer Group, click on the desired group name and click the ‘Edit’ button.

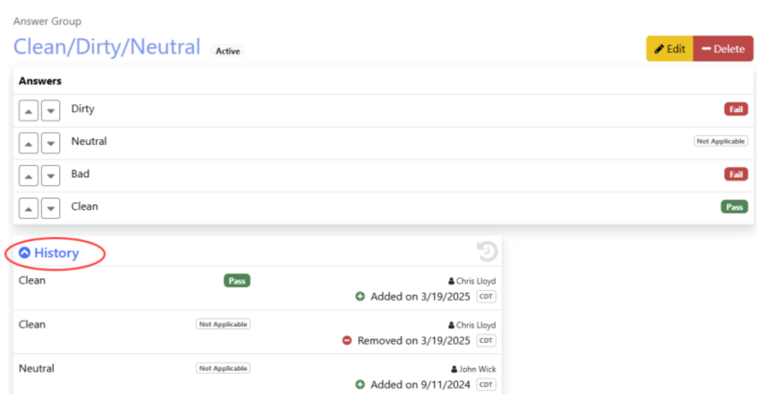


a. Click the ‘Remove’ button for the desired answer and click the ‘Save Changes’ button.



Answer Group History

22. To view the audit trail of changes to an answer group, open the desired answer group, click the “History” hyperlink.



Chapter 6: Configuration - Categories

NEW Introduction

Audit plans (and therefore audits) can be organized into categories, which can be further organized into category items. Categories and category items are often used to define the intended scope of an audit. For example, if an audit plan can be used at specific manufacturing lines, then a “Manufacturing Lines” category might be created, with categories items reflecting the actual lines where the plan can be used to perform an audit.

Note: Categories are optional. It is not necessary to define categories to create an audit plan or to execute an audit.

Note: If an Audit Plan is associated with multiple categories or category items, then the applicable category and category item will be chosen when the audit is scheduled.

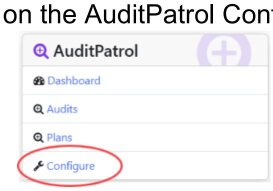
AuditPatrol categories configuration settings are located on Page: {PatrolSuite URL}/Audit/Setup/Categories

Users with the following permission can edit all AuditPatrol/Configure pages.

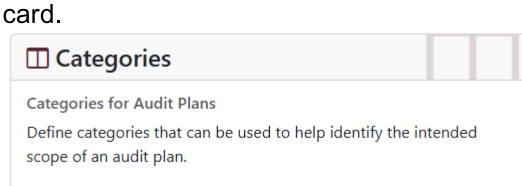
AuditPatrol		
Yes	Admin	Allows users to edit configuration settings, all audits and audit plans, and other user's AuditPatrol profile settings.

NEW View Categories

23. To view the answer groups page, click on the AuditPatrol Configure link on the PatrolSuite homepage.

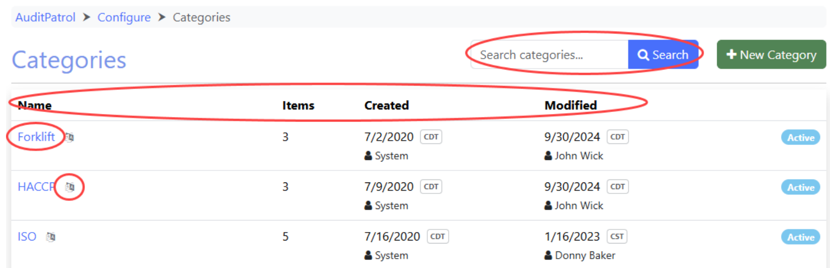


a. Click on the Categories card.



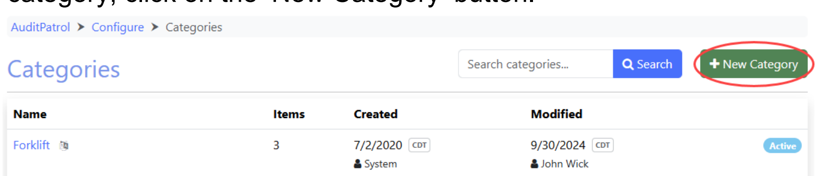
b. The Categories page will appear, which lists all the categories that have been defined.

i) To find a category, use the Search feature.
ii) Click on the column headers to sort the data grid.
iii) Click on a category name to open the category.
iv) Click on the localization icon to translate the category name into other languages.

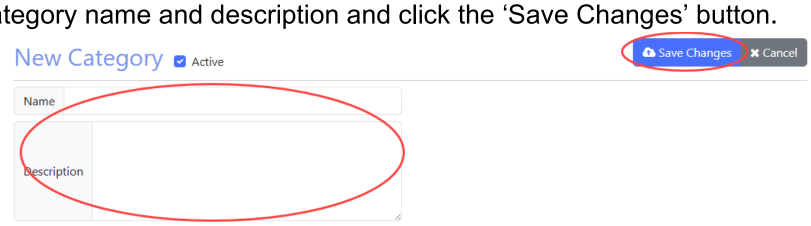


NEW Add New Category

24. To create a new category, click on the ‘New Category’ button.

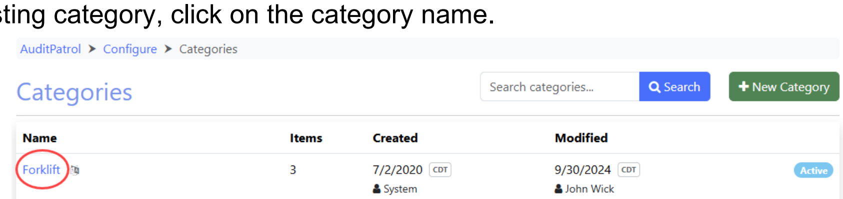


a. Enter the category name and description and click the ‘Save Changes’ button.



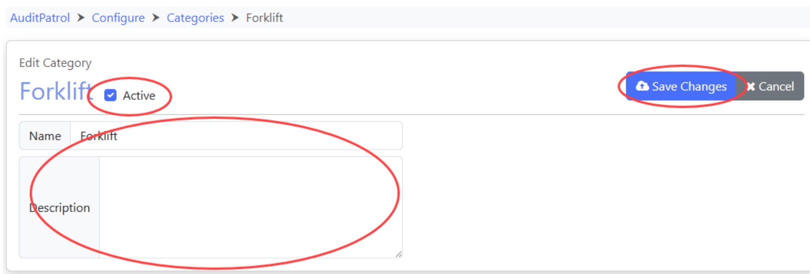
NEW Edit Category

25. To edit an existing category, click on the category name.

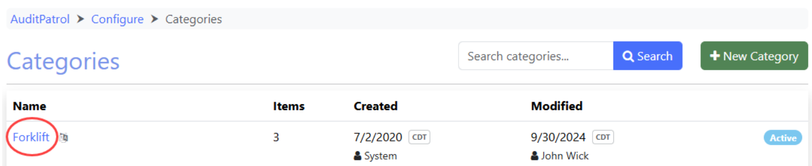


a. Click on the ‘Edit’ button.

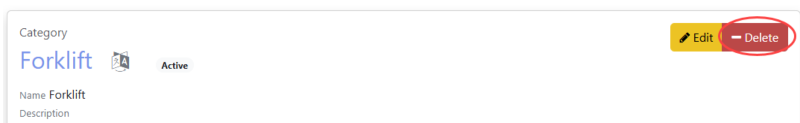
b. Edit the name and description as desired, click the Active checkbox to make the category active (checked) or inactive (not checked), and click the ‘Save Changes’ button.



26. To delete an existing category, open the categories page and click on the desired category name.

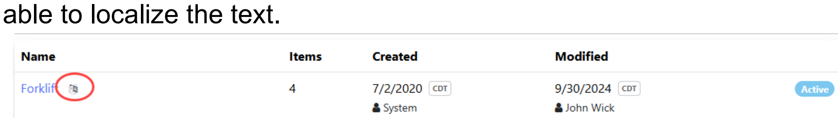


a. Click on the ‘Delete’ button and click on the ‘Delete’ button in the confirmation window.

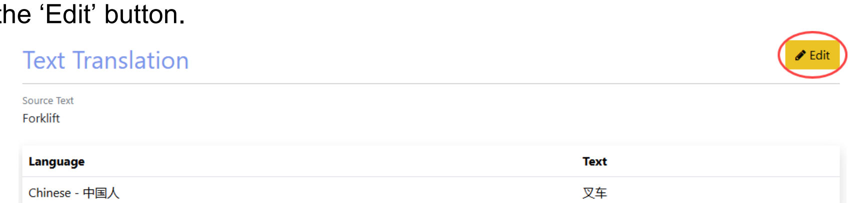


27. To localize the name of a category into other languages, click on the localization icon of the desired category.

Note: A user who does not have Localization permission will not see localization icon and therefore will not be able to localize the text.

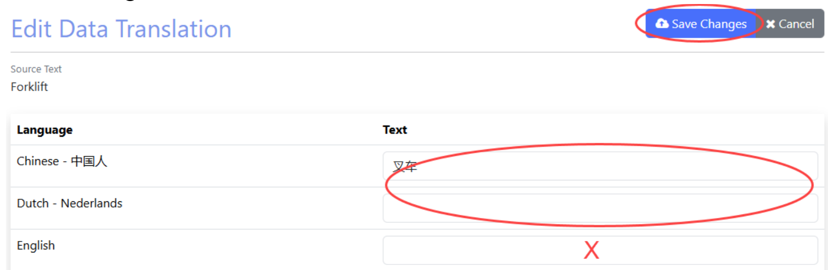


i) Click the ‘Edit’ button.



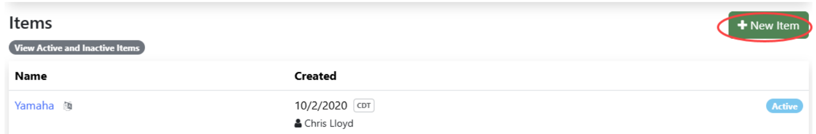
ii) Enter the translated text as desired and click the ‘Save Changes’ button.

Note: If the Source Text was entered into AuditPatrol in English, then it is not necessary to repeat the text in the “English” cell.

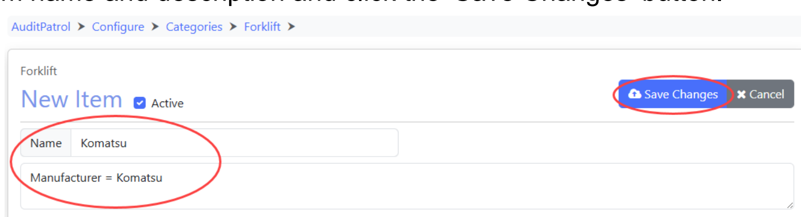


Add New Category Item

28. To add a new category item, open the desired category and click on the ‘New Item’ button.

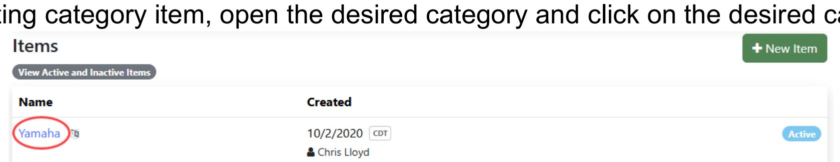


a. Enter the item name and description and click the ‘Save Changes’ button.

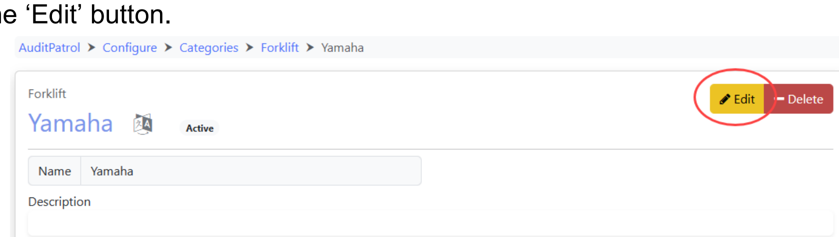


Edit Category Item

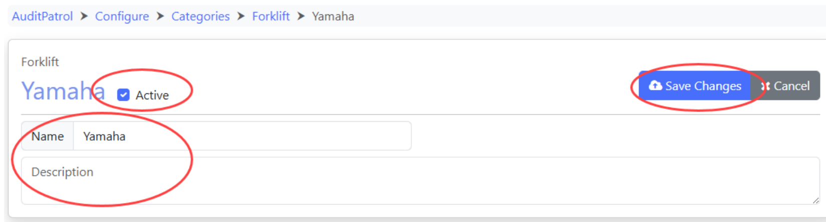
29. To edit an existing category item, open the desired category and click on the desired category item name.



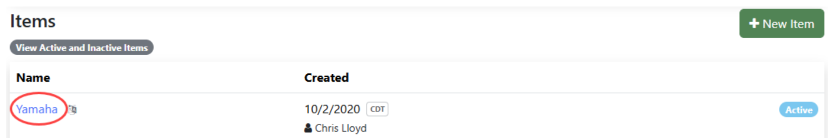
a. Click on the ‘Edit’ button.



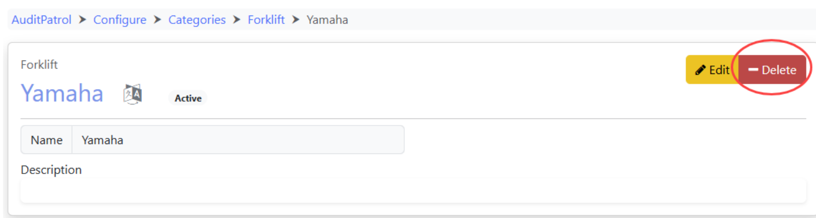
b. Edit the name and description as desired, click the Active checkbox to make the category item active (checked) or inactive (not checked), and click the 'Save Changes' button.



30. To delete an existing category item, open the desired category and click on the desired category item name.

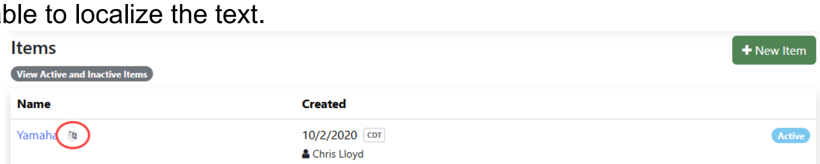


a. Click on the 'Delete' button and click on the 'Delete' button in the confirmation window.

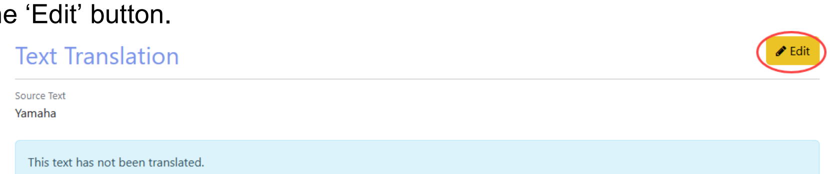


31. To localize the name of a category item into other languages, click on the localization icon of the desired category item.

Note: A user who does not have Localization permission will not see localization icon and therefore will not be able to localize the text.

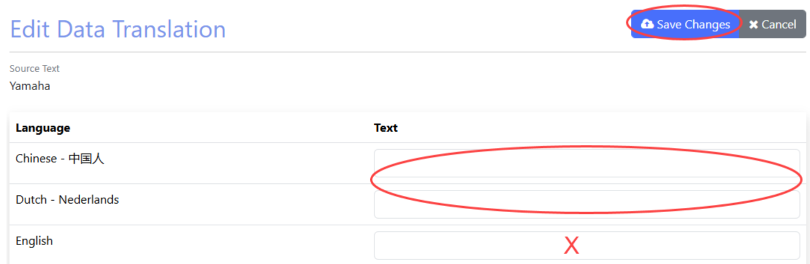


i) Click the 'Edit' button.



ii) Enter the translated text as desired and click the 'Save Changes' button.

Note: If the Source Text was entered into AuditPatrol in English, then it is not necessary to repeat the text in the "English" cell.


Edit Data Translation
Save Changes
Cancel
Source Text
Yamaha
Language
Text
Chinese - 中国人
Dutch - Nederlands
English
X

Chapter 7: Configuration - Topics

NEW Introduction

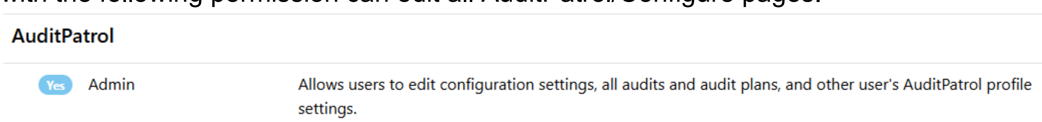
Topics enable audit plans to be categorized according to their subject matter.

Note: All audit plans must be associated with one topic. Accordingly, all audits will have one corresponding topic.

Note: Keep the global list of topics short; avoid getting too granular.

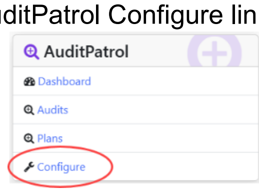
AuditPatrol categories configuration settings are located on Page: {PatrolSuite URL}/Audit/Setup/Categories

Users with the following permission can edit all AuditPatrol/Configure pages.

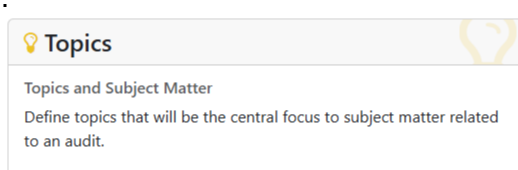


NEW View Topics

32. To view the topics page, click on the AuditPatrol Configure link on the PatrolSuite homepage.



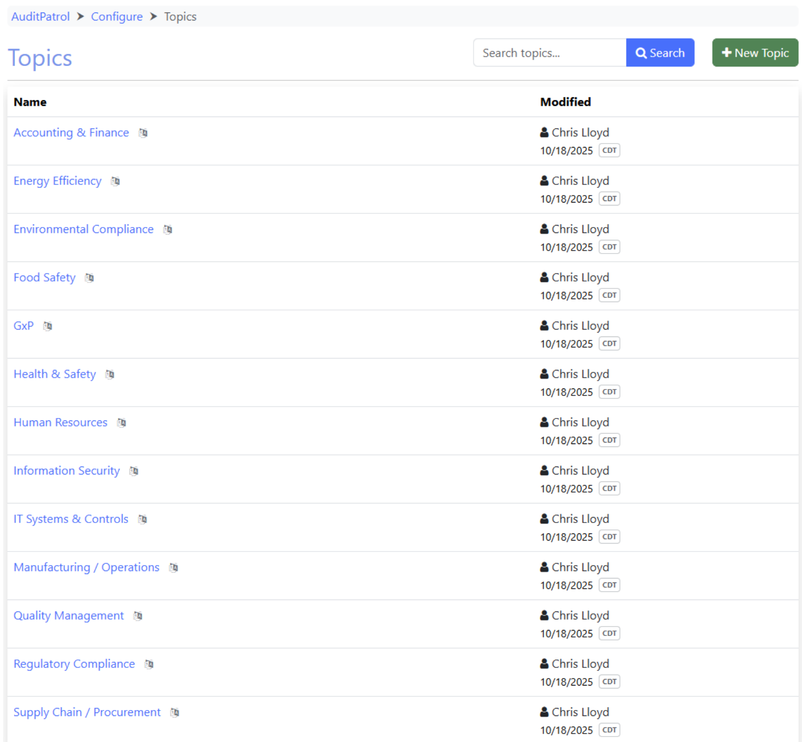
a. Click on the Topics card.



b. The Topics page will appear, which lists all the topics that have been defined.

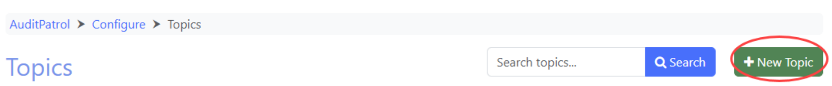
Note: The below image shows the most common topics used to group audit plans. Use this list as a reference when defining your audit topics.

i) To find a topic, use the Search feature.
ii) Click on the column headers to sort the data grid.
iii) Click on a topic name to open the topic.
iv) Click on the localization icon to translate the topic name into other languages.



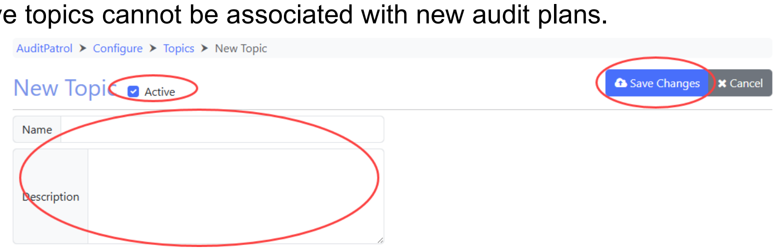
NEW Add New Topic

33. To create a new audit topic, open the AuditPatrol/Configure/Topics page and click on the 'New Topic' button.



a. Enter the topic name and description and click on the 'Save Changes' button.

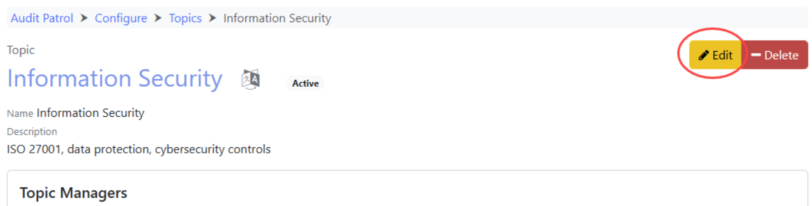
Note: Click the Active checkbox to make the topic active (checked) or inactive (not checked). Inactive topics cannot be associated with new audit plans.



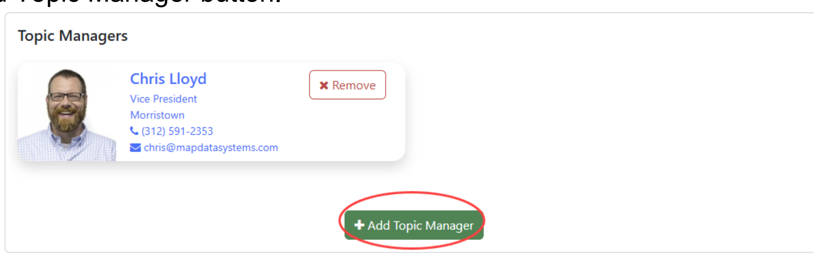
Topic Managers

Topic Managers define the users who can take actions for the applicable topic (Admin, Scheduler, Create Plan) and whether those users can participate in audits for the applicable topic (Lead, Team or No Audit Role).

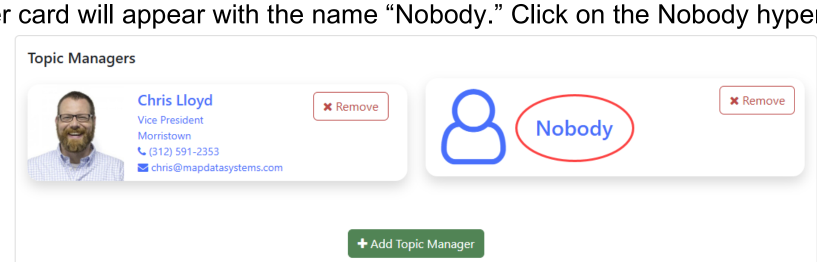
34. To add a Topic Manager, open the desired topic from the AuditPatrol/Configure/Topics page and click the ‘Edit’ button.



a. Click the Add Topic Manager button.

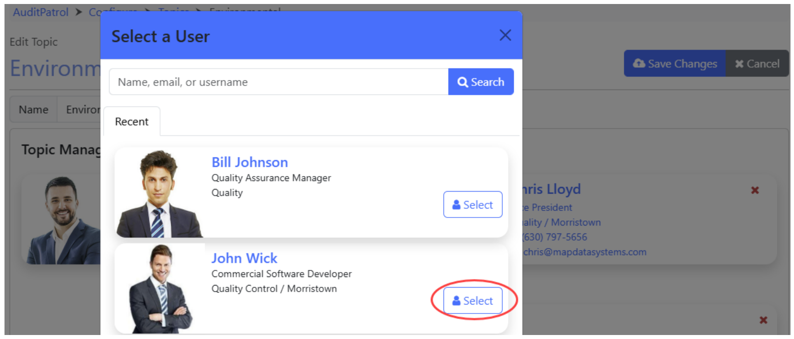


b. A new user card will appear with the name “Nobody.” Click on the Nobody hyperlink.

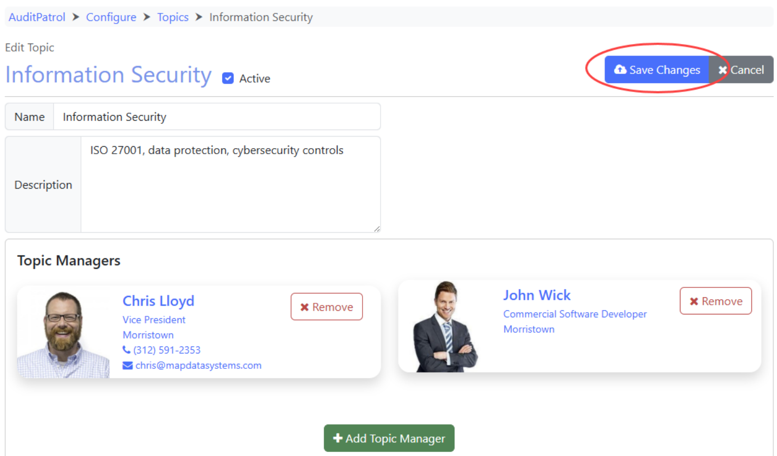


c. A list of users who are qualified to act as a manager for the applicable topic will appear. Click on the ‘Select’ button for the desired user.

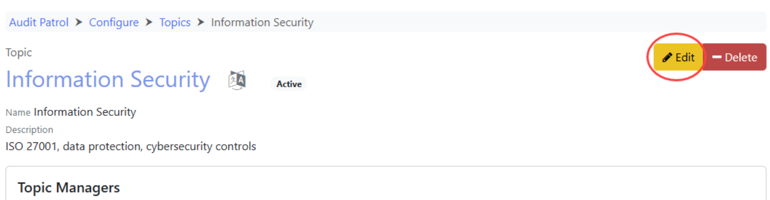
Note: If no users appear in the list, then there are no additional users who are qualified to act as a topic manager. Contact your AuditPatrol Administrator to have additional users added to the list of qualified users.



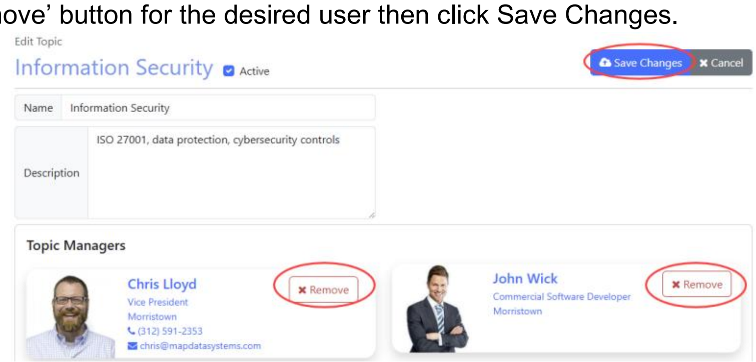
d. Click the ‘Save Changes’ button.



35. To delete an existing Topic Manager, open the desired topic from the AuditPatrol/Configure/Topics page and click the ‘Edit’ button.



a. Click the ‘Remove’ button for the desired user then click Save Changes.



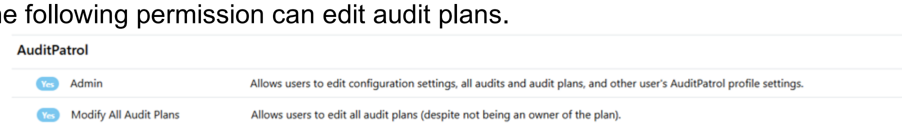
Chapter 8: Audit Plan Overview

NEW Introduction

An audit plan defines the scope, objectives, schedule, resources, and audit activities for a specific audit. It serves as a roadmap for conducting the audit in a systematic and effective manner. In the context of ISO audits (e.g., ISO 9001), the audit plan ensures that auditors and auditees are aligned on what will be reviewed, when, and how.

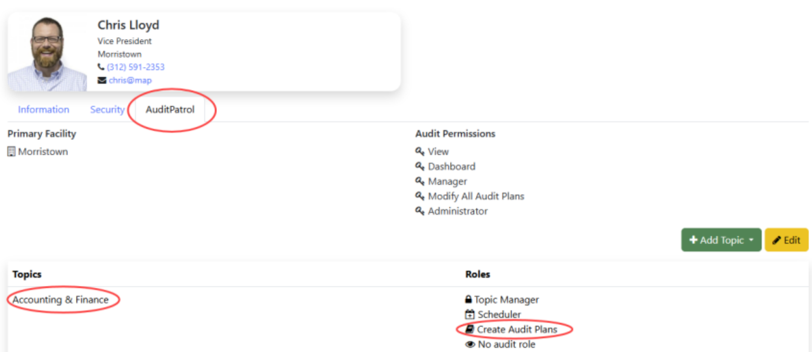
Audit plans are found on Page: {PatrolSuite URL}/Audit/Plans

Users with the following permission can edit audit plans.



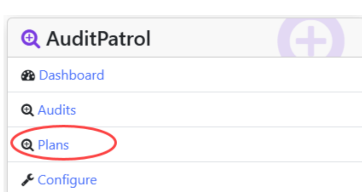
AuditPatrol		
Yes	Admin	Allows users to edit configuration settings, all audits and audit plans, and other user's AuditPatrol profile settings.
Yes	Modify All Audit Plans	Allows users to edit all audit plans (despite not being an owner of the plan).

Users who have been granted the “Create Audit Plans” role for an audit topic can create audit plans for that topic.



NEW View

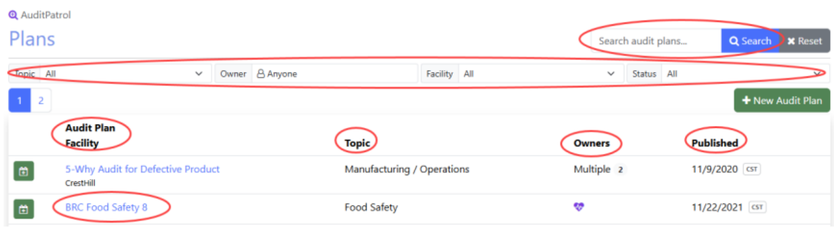
36. To view the audit plans, click on Plans in the AuditPatrol card on the PatrolSuite homepage.



a. To find an audit plan, use the Search feature or the filters. Additionally, click on a column heading to sort the data grid.

b. To open an audit plan, click on the audit plan name.

Note: Plans identified with a purple heart are "Subscription Plans" that are authored, copyrighted, and managed by MAP. These plans cannot be edited, copied, or cloned.



Audit Plan Layout

37. The subject matter for each Audit Plan is organized into five areas:

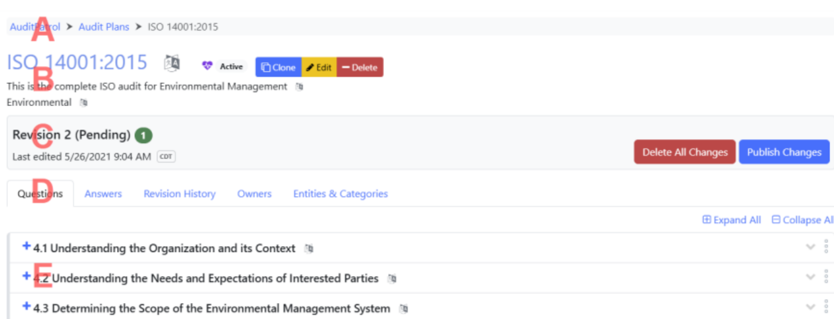
   a. **Breadcrumb Navigation Path**. Helps users understand their location within the website and enables efficient navigation to previous pages.

   b. **Header information**. Displays the plan name, description, and topic. Click on the Edit button to edit the header information (with the exception of the Topic; see the Note below).

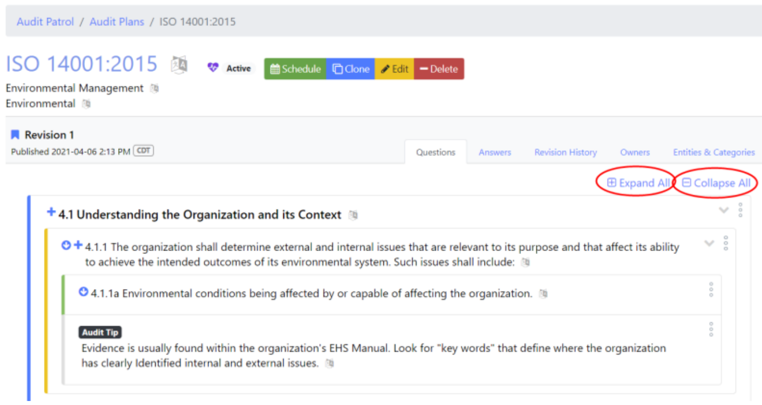
   c. **Revision information**. Identifies the audit plan revision being displayed.

   d. **Content Tabs**. Enables navigation to the components of the audit plan.

   e. **Content Area**. Displays the content of the chosen content tab.



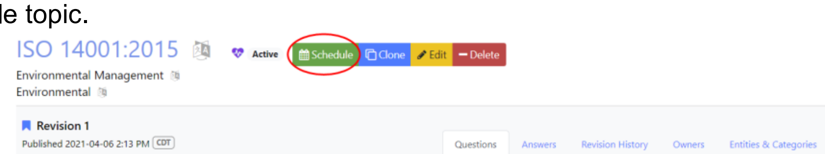
38. To expand the audit plan contents, click on the "Expand All" link. To collapse the audit plan contents, click on the "Collapse All" link.



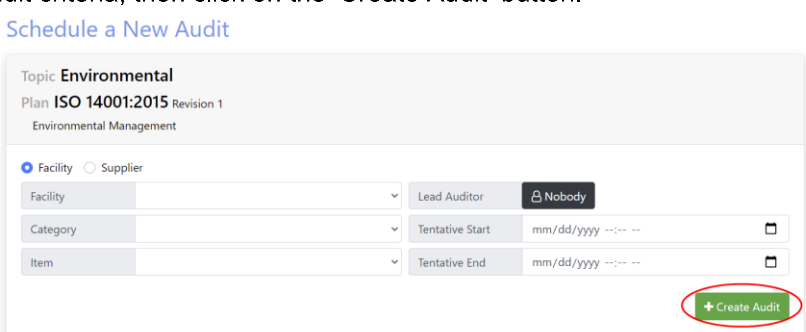
NEW Schedule

39. To schedule an audit from an open audit plan, click on the 'Schedule' button.

    Note: The Schedule button will be displayed only to users with the ability to schedule audits for the applicable topic.



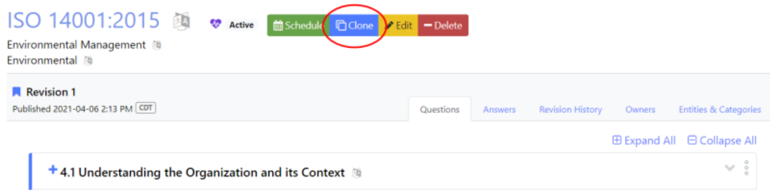
a. Define the audit criteria, then click on the 'Create Audit' button.



NEW Clone

40. To create a new audit plan using the "Clone" feature, open an audit plan that most closely reflects the desired audit plan and click on the 'Clone' button.

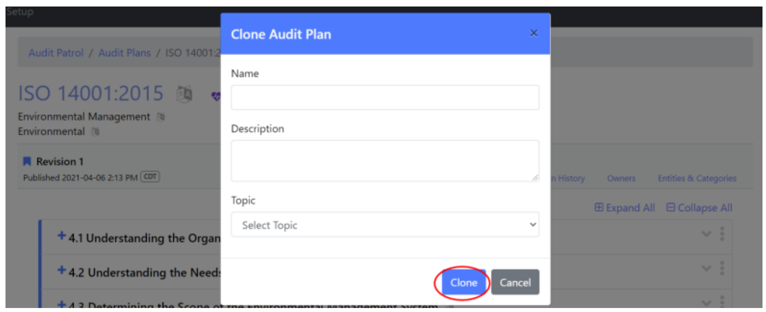
    Note: The Clone button will be visible only to users with the ability to create audit plans for the applicable topic.



a. Define the audit plan name, description, and choose the applicable topic, then click the ‘Clone’ button.

Note: The Topic determines the user security for the audit plan and subsequent audits. Therefore, the Topic cannot be changed after the audit plan is created.

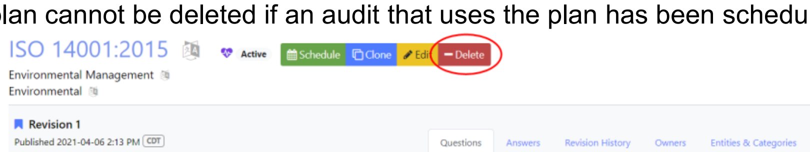
Note: See the following chapter for information regarding editing an audit plan.



Delete

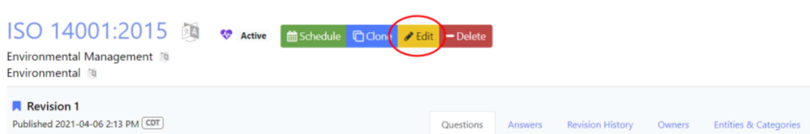
41. To delete an audit plan, open the desired audit plan and click on the ‘Delete’ button.

Note: An audit plan cannot be deleted if an audit that uses the plan has been scheduled or completed.



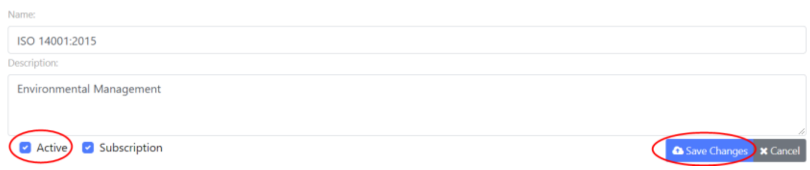
Deactivate

42. To deactivate an audit plan, open the desired audit plan and click on the ‘Edit’ button.



a. Uncheck the Active checkbox and click the ‘Save Changes’ button.

Note: New audits cannot be scheduled for inactive audit plans.


Name:
ISO 14001:2015
Description:
Environmental Management
Active
Subscription
Save Changes
Cancel

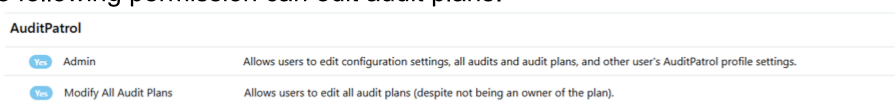
Chapter 9: Create New Audit Plan

NEW Introduction

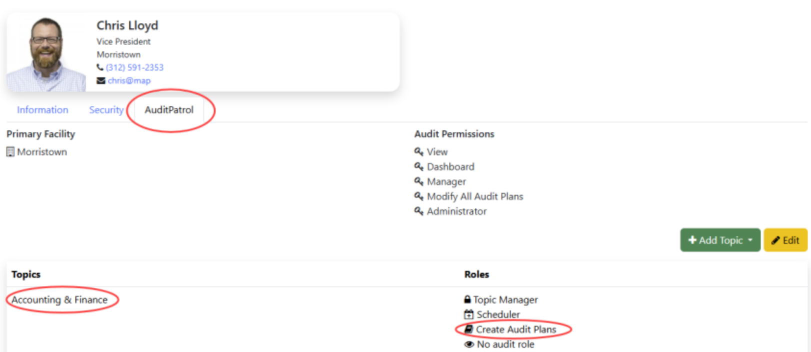
This chapter outlines the sequence of events to create a new audit plan. Refer to the appropriate sections in the preceding chapter for additional information.

Audit plans are found on Page: {PatrolSuite URL}/Audit/Plans

Users with the following permission can edit audit plans.



Users who have been granted the “Create Audit Plans” role for an audit topic can create audit plans for that topic.



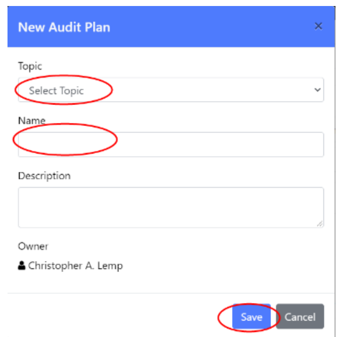
NEW Create a New Audit Plan

43. Open the Audit Plan Library page and click on the ‘New Audit Plan’ button.

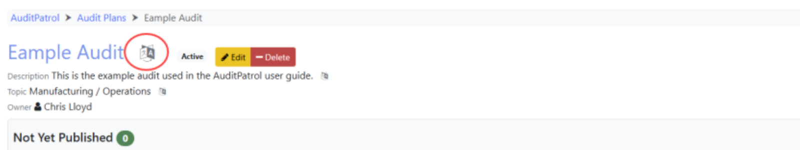
   a. Select a topic, enter a name and (optionally) a description. Click on the ‘Save’ button.

Note: The user who clicks the ‘New Audit Plan’ button is default owner of the audit plan. Additional owners can be added after the plan has been created.

Note: The Topic determines the user security for the audit plan and subsequent audits. Therefore, the Topic cannot be changed after the audit plan is created.



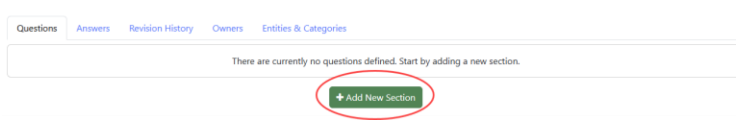
44. In the header, click on the localization icon and localize the audit plan name into other languages as required.



NEW Add Sections

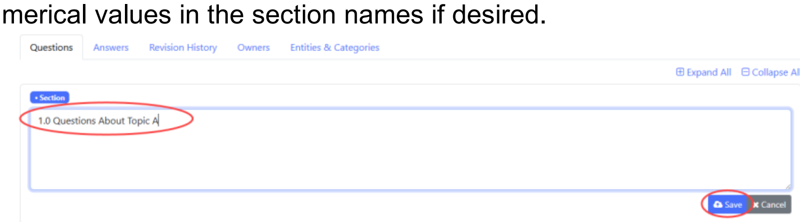
Sections provide a logical grouping of the questions that comprise the audit. Sections are identified by a blue border.

45. To define the sections in an audit plan, click on the ‘Add New Section’ button on the Questions tab.

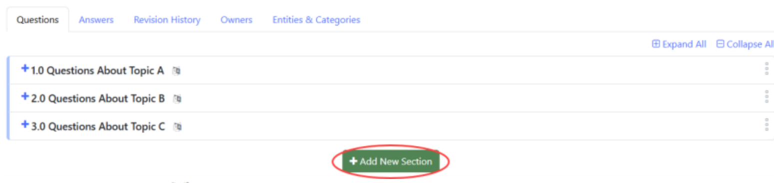


a. Enter the section name and click on the ‘Save’ button.

Note: Use numerical values in the section names if desired.

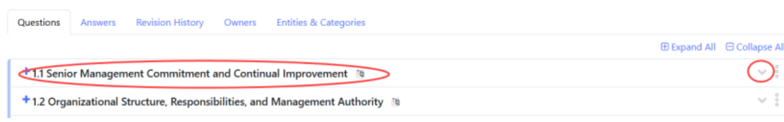


b. Add the remainder of the audit plan sections by clicking on the ‘Add New Section’ button and repeating the above steps.

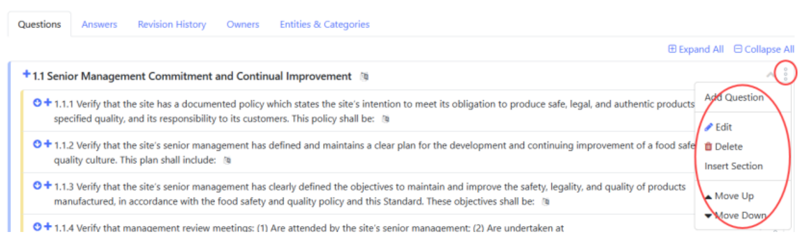


c. Click on the localization icon next to each section name and localize the name into other languages as required.

46. To expand/collapse a section, click on the section title or the up/down arrow icon.



47. To edit, delete, or move an existing section, or to insert a new section, click on the ellipses for the desired section, then click on the desired action from the submenu.

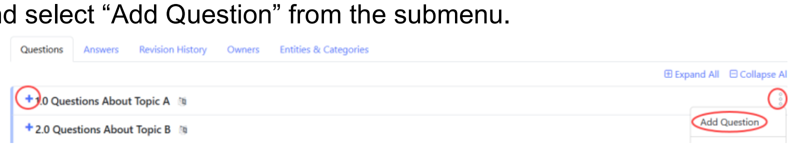


Add Questions

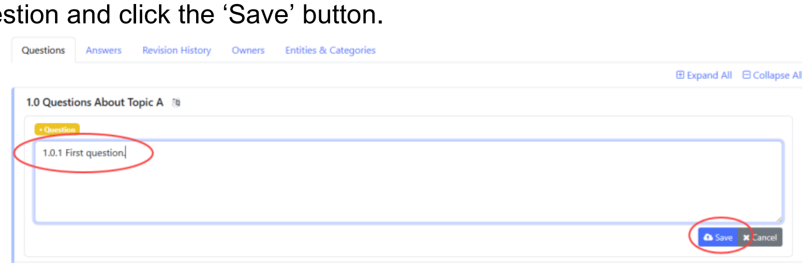
Within each section, one or more questions can be defined. Questions are the substantive subject matter that the auditor must evaluate during the audit. Questions are identified by a yellow border.

Note: At least one Section must be defined before questions can be added to the plan.

48. To define the sections in a section of the audit plan, click on the "+" icon next to the section name, or click on the ellipses and select "Add Question" from the submenu.



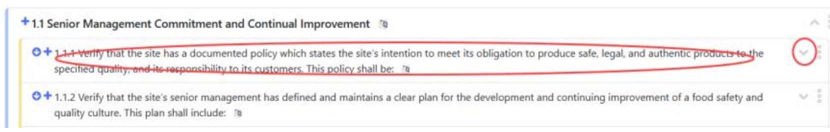
a. Enter the question and click the 'Save' button.



b. Add the remainder of the questions to each section by repeating the above steps.

c. Click on the localization icon next to each question and localize the question into other languages as required.

49. To expand/collapse a question, click on the question text or the up/down arrow icon.

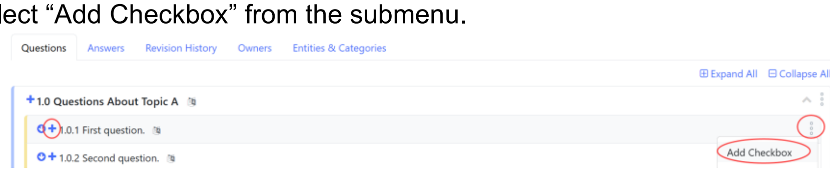


50. To edit, delete, or move an existing question, or to insert a new checkbox, tip, or note, click on the ellipses for the desired question, then click on the desired action from the submenu.

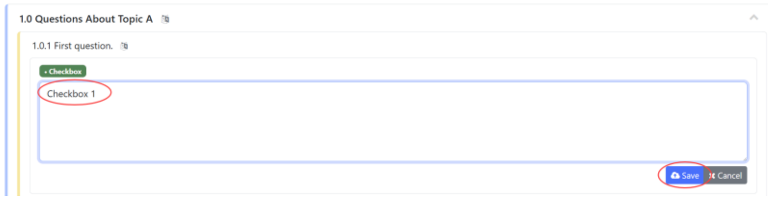
NEW Add Checkboxes

Checkboxes enable the auditor to quickly record information related to the auditor's findings. For example, if a question asks the auditor to evaluate the conformance of three items, then three checkboxes can be created, one for each item. Accordingly, if the auditor determines that the auditee does not meet the requirements for the question, then the auditor can indicate which of the three items complied (checkboxes are checked) and which items did not comply (checkboxes are not checked). Checkboxes are identified by a green border and a Checkbox label.

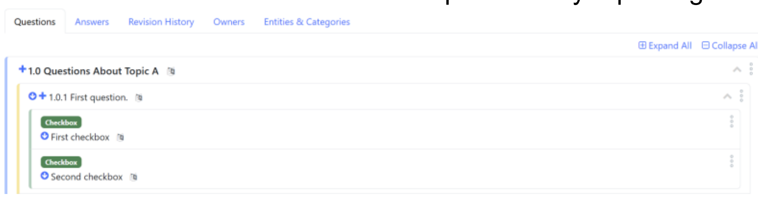
51. To add a checkbox to an audit plan question, click on the "+" icon next to the question, or click on the ellipses and select "Add Checkbox" from the submenu.



a. Enter the checkbox text and click the 'Save' button.

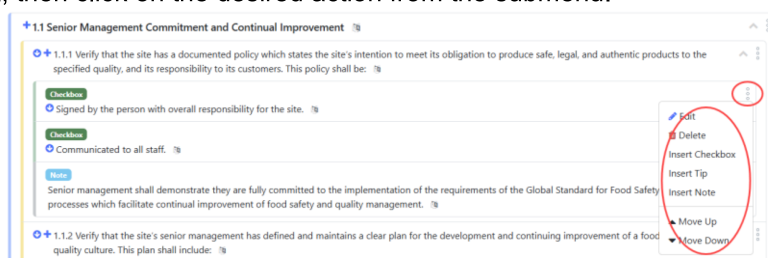


b. Add the remainder of the checkboxes to the desired questions by repeating the above steps.



c. Click on the localization icon next to each checkbox name and localize the name into other languages as required.

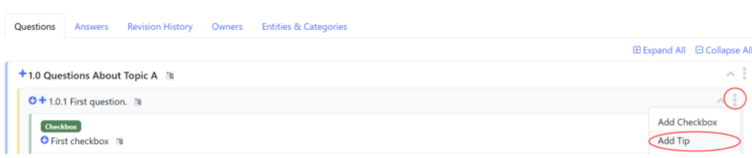
52. To edit, delete, or move an existing checkbox, or to insert a new checkbox, click on the ellipses for the desired checkbox, then click on the desired action from the submenu.



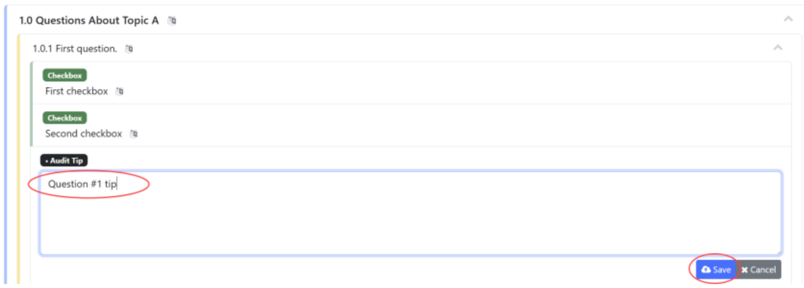
NEW Add Tips

Audit tips provide guidance to the auditors as to where compliance evidence might be found.

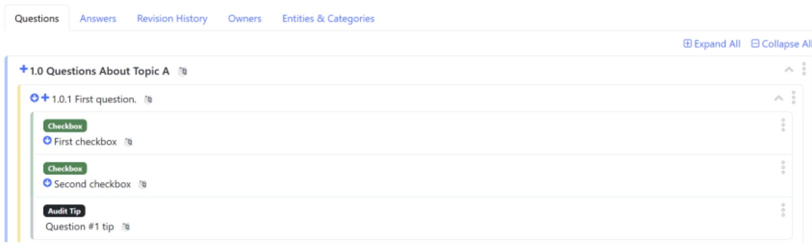
53. To add auditor tips for a question in the audit plan, click on the ellipses and select “Add Tip” from the submenu.



a. Enter the tip information and click the ‘Save’ button.

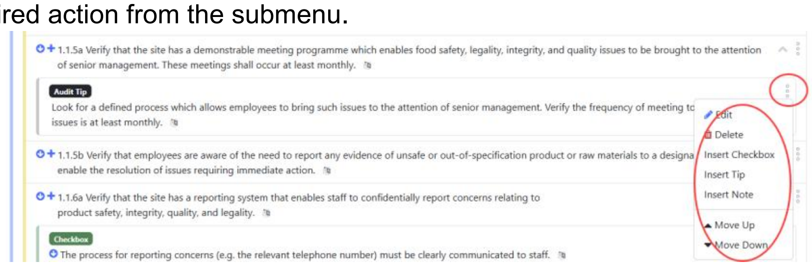


b. Add tips to the remainder of the questions as desired by repeating the above steps.



c. Click on the localization icon next to each tip and localize the tip into other languages as required.

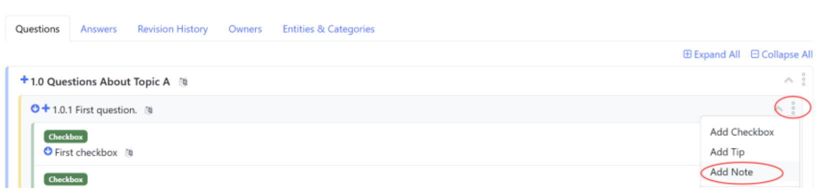
54. To edit, delete, or move an existing tip, or to insert a new tip, click on the ellipses for the desired tip, then click on the desired action from the submenu.



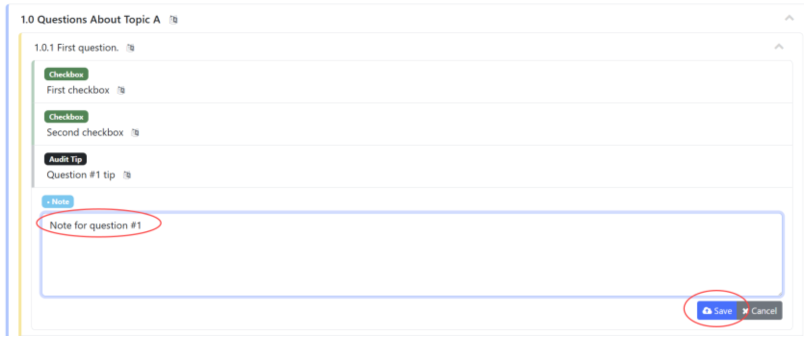
NEW Add Notes

Notes provide guidance to the auditors and auditees as they prepare for and execute the audit. Additionally, notes can document additional information provided within the associated standard such as ISO 9001.

55. To add notes for a question in the audit plan, click on the ellipses and select “Add Note” from the submenu.



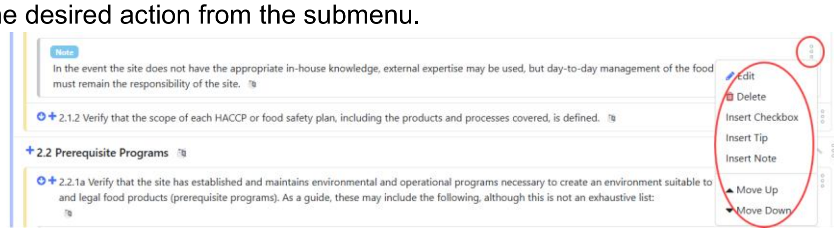
a. Enter the note and click the ‘Save’ button.



b. Add notes to the remainder of the questions as desired by repeating the above steps.

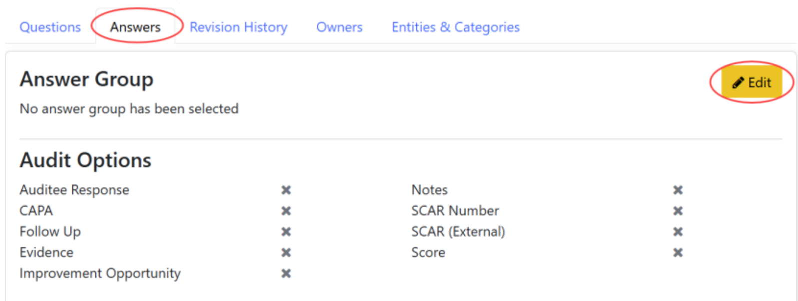
c. Click on the localization icon next to each note and localize the note into other languages as required.

56. To edit, delete, or move an existing note, or to insert a new note, click on the ellipses for the desired note, then click on the desired action from the submenu.

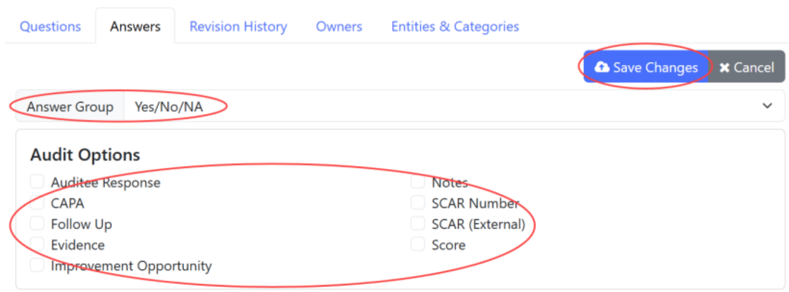


NEW Select Answer Group & Audit Options

57. To associate an audit plan with an answer group and to define the audit options, open the desired audit plan, click on the “Answers” tab, and click the ‘Edit’ button.

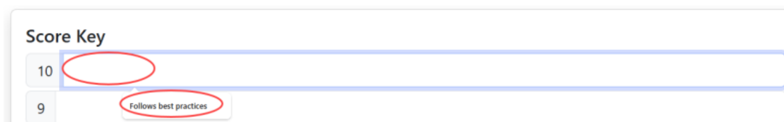


a. Select the Answer Group from the dropdown, check the Audit Options as desired, and click the ‘Save Changes’ button.

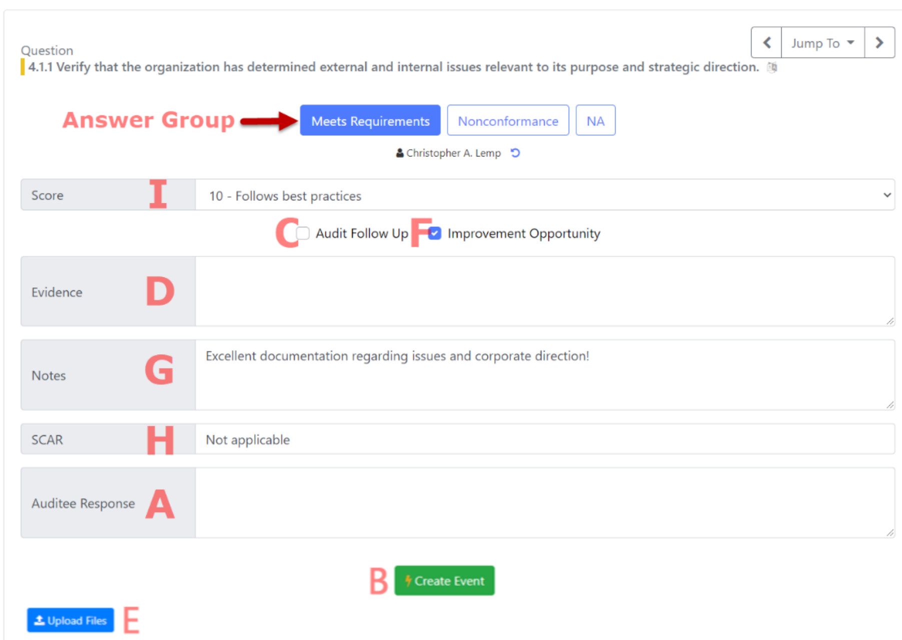


Note: If “Score” is checked, then the Score Key will expand. Click into the numerical fields and enter the score as desired for the audit plan.

Note: When clicking into the numerical fields, depending on your browser settings, the previous entries will be displayed in a submenu. Click on the desired text in the submenu to write it into the score field.



The image below shows how each of the Audit Option choices appears within the audit user interface.

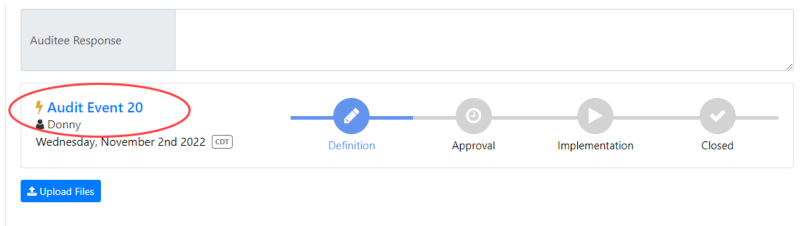


A. **Auditee Response**. Places a text box below each question to enable the Lead Auditee to respond to the auditor’s findings.

B. **CAPA**. Results in a ‘Create Event’ button for each audit question that allows the Lead Auditor or the Lead Auditee to create a corresponding event record in EventPatrol. By default, the Lead Auditee is the Event Owner and is responsible for deciding what Tasks and Actions to open (e.g. corrective action, preventive action, etc.) to address a “fail” or “nonconformance” result to an audit question.

Note: See the EventPatrol user guide for more information.

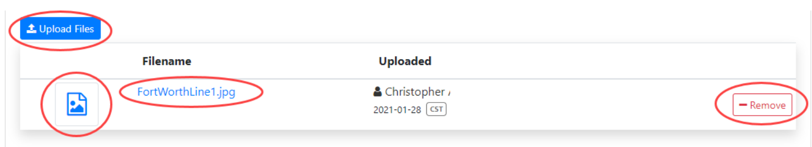
Note: If an event re is created, then the ‘Create Event’ button will be replaced with an event frame that shows the event number and status. Click on the event number to view the event.



C. **Follow Up**. Allows the Lead or Team Auditors to “tag” the question as requiring review during the next audit. Both “pass” and “fail” results to an audit question can be tagged for follow-up.

D. **Evidence**. Allows the Lead or Team Auditors to document the evidence supporting the findings.

E. **Upload Files**. This feature is not an Audit Option. Every question within an audit enables audit team members to upload files as supporting evidence. Click on the ‘Upload Files’ button to upload files. Click on the ‘Remove’ button to remove files. Click on the file name to download the file. Click on the file icon to view the file.



F. **Improvement Opportunity**. Allows the Lead or Team Auditors to identify a question for which the auditee should consider improving. Both “pass” and “fail” results to an audit question can be tagged for improvement.

G. **Notes**. Allows the Lead or Team Auditors to record any other information regarding their evaluation of the question.

H. **SCAR** (Number and External). Allows the Lead or Team Auditors to record a supplier corrective action request that might apply. These fields are typically used for a supplier audit or when a customer is auditing the organization.

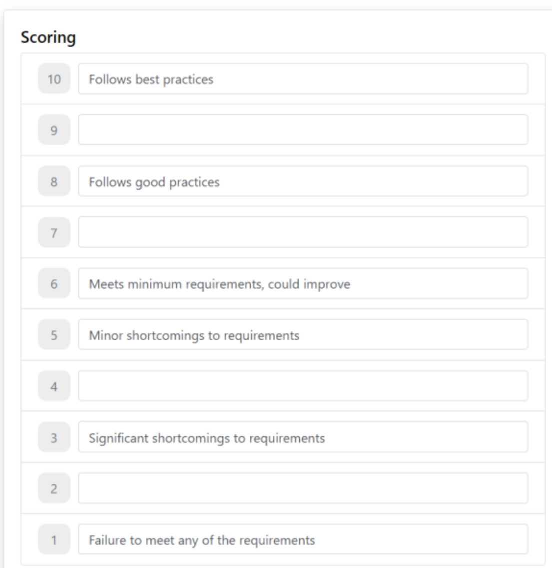
I. **Score**. Allows the Lead or Team Auditors to record a rating of the auditee’s performance to the criteria (i.e. the question). If the Score checkbox is selected, a Scoring window will open to enable the Audit Plan Owner to document the scoring criteria to be used by the auditors. It is important that the Audit Plan Owner give critical thought to the scoring criteria to minimize (hopefully eliminate) the need to change the criteria over time.

Note: The use of a score is a global best practice across numerous markets. A score allows one to distinguish between, for example, three manufacturing plants who each “pass” an audit question, but one plant’s average score is 6.3, another plant’s average score is 8.0, and the other plant’s average score is 9.8. In the absence of scoring, each plant would be seen only as having “passed” the question, implying equivalent performance. With scoring, one can see that there is a big difference between the performance of the best plant and the worst plant even though they all "passed" the question.

Note: Keep in mind that scoring is also an important part of the AuditPatrol dashboard. In the example above, in the absence of scoring, there is no way to see if, in the auditor's opinion, a facility's performance is improving, or getting worse over time, despite consistently "passing" the question.

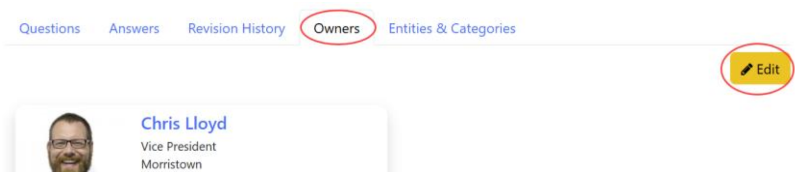
Note: Regarding scale, AuditPatrol provides a scoring scale from 1 to 10, and MAP suggests using the 1-10 scale across *ALL* audit plans, regardless of the topic. While audit plan owners could theoretically decide to apply only a 1 to 5 scale for his/her audit plan, this would result in confusion when interpreting audit scores across the enterprise, as it would require executives, managers, and employees to know for which audits a "5" is a good score and for which audits "5" is a bad score. Also keep in mind that, as corporations march down the path of continuous improvement (a requirement of ISO standards), an Auditor's job is often no longer limited to making a pass/fail judgement. It is expected that the auditor also assess whether the auditee is improving (or not). A scale of 1-5 is simply not granular enough to enable the reasonable measurement and tracking of changes over time on one side of the good/bad range. A 1-5 scale also has the problem of an unequal distribution of good and bad scores (e.g. are the bad scores 1-3 and the good scores 4-5, or are the bad scores 1-2 and the good scores 3-5?). A scale of 1-10 provides for 5 bad scores and 5 good scores.

Note: Lastly, avoid trying to micro-manage an auditor's subjectivity by minimizing the score range or by developing overly elaborate scoring criteria. In the example below, it is probably not value-added to provide a definition for #2, 4, 7, and 9. The auditor, and everyone else who sees a score of "9," knows that 9 means the performance is somewhere between good practices and best practices. The auditing process is subjective by nature. Trust the auditor's score with the same confidence that is had in the auditor's opinion regarding conformance/nonconformance.

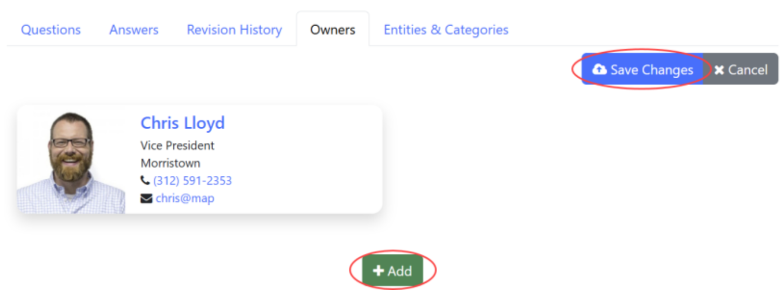


NEW Select the Audit Plan Owners

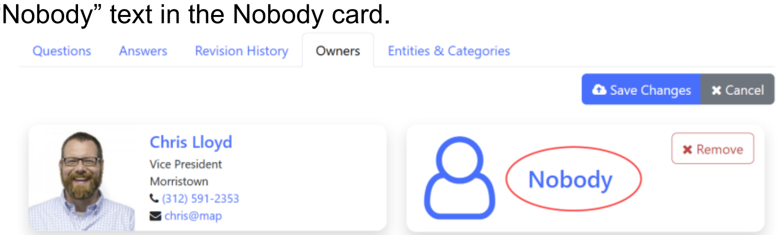
58. To grant users permission to edit an audit plan, open the desired audit plan, click on the “Owners” tab, and click the ‘Edit’ button.



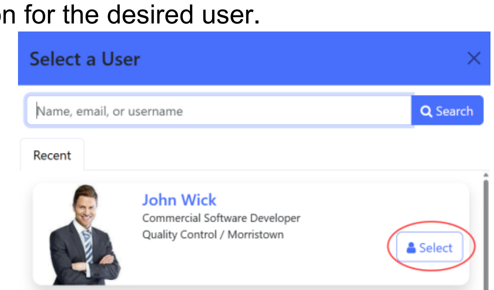
a. Click on the ‘Add’ button.



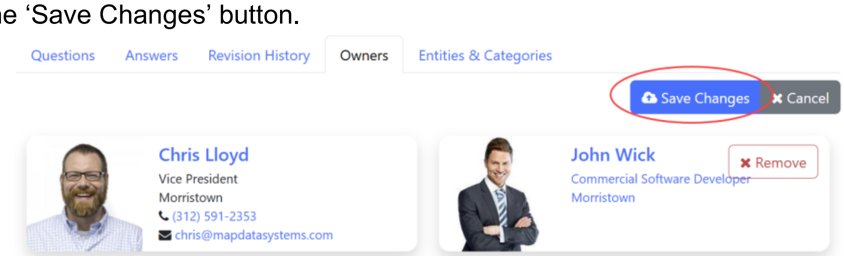
b. Click on the “Nobody” text in the Nobody card.



c. Click on the ‘Select’ button for the desired user.



d. Click on the ‘Save Changes’ button.

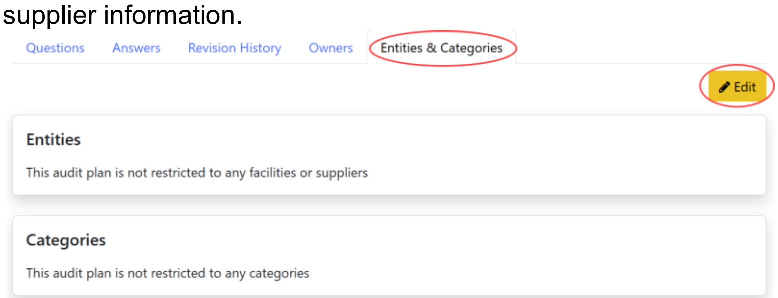


NEW Define the Entity & Category Restrictions

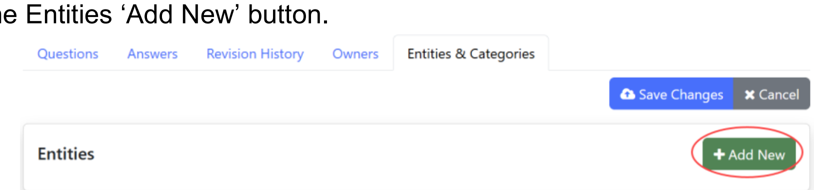
Entities and categories are “restrictions” to limit where the audit plan can be used. An Entity is a facility or supplier. Categories are defined in AuditPatrol Configure and then chosen on this page.

59. To restrict the use of the audit plan to an entity (Facility or Supplier) or to audit Categories, open the desired audit plan, click on the “Entities & Categories” tab, and click the ‘Edit’ button.

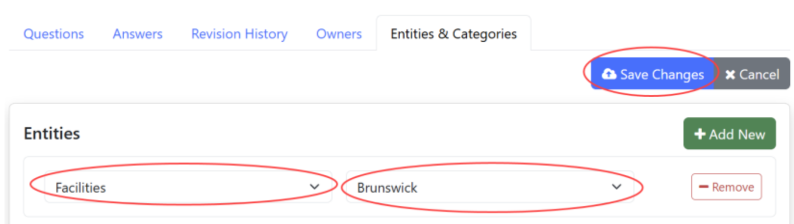
    Note: To use AuditPatrol to audit suppliers, PatrolSuite must be integrated with your ERP or MES to acquire the supplier information.



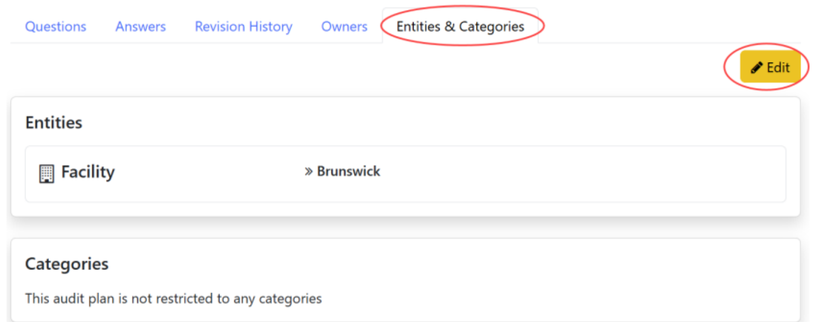
    a. Click on the Entities ‘Add New’ button.



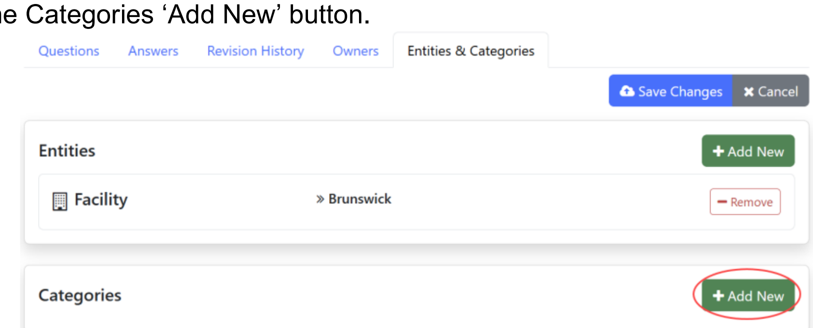
    b. Select “Facilities” or “Suppliers” from the Entity dropdown, select the desired facility or supplier from the adjacent dropdown, and click the ‘Save Changes’ button.



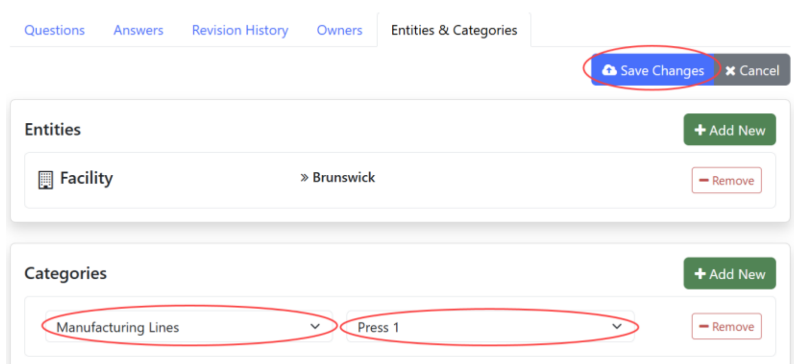
60. To restrict the use of the audit plan to an audit category, open the desired audit plan, click on the “Entities & Categories” tab, and click the ‘Edit’ button.



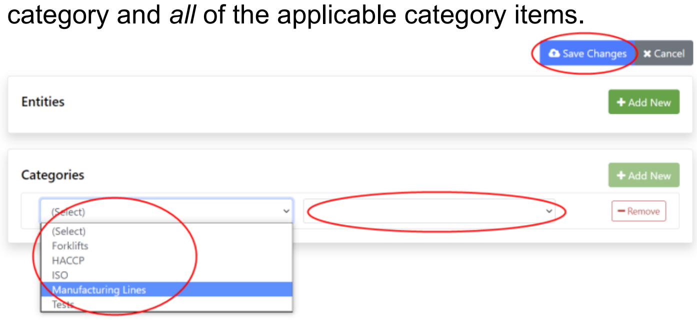
a. Click on the Categories ‘Add New’ button.



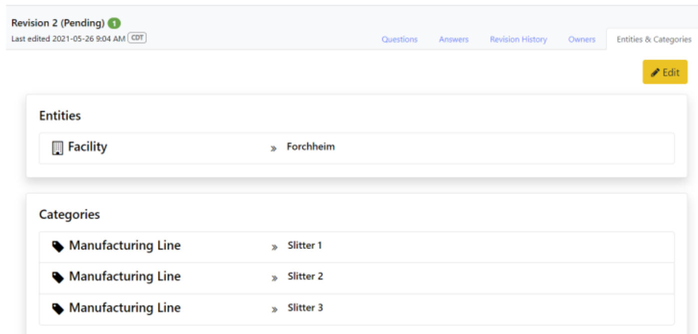
b. Select the desired category from the Category dropdown, select the desired Category Item from the adjacent dropdown, and click the ‘Save Changes’ button.



Note: If a category is selected and no category items are selected, then the audit plan is restricted to the chosen category and *all* of the applicable category items.



Note: In the example below, the audit plan is restricted for use at the Forchheim, Germany plant. It is further restricted for use at only the Slitter 1, 2, and 3 manufacturing lines. Accordingly, when an audit is scheduled for this plan, it will default to Entity = Forchheim, and the scheduler will be asked to indicate which of the three Slitter lines is being audited.

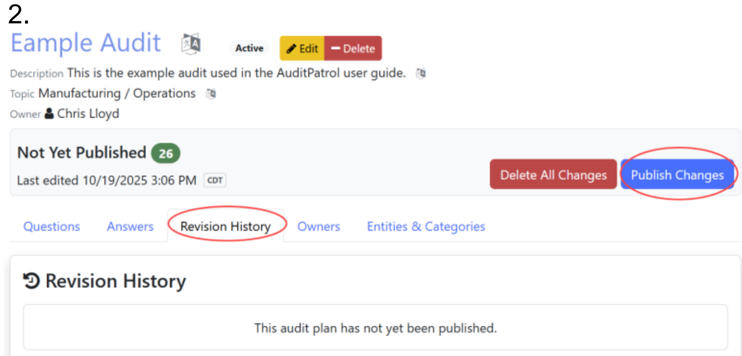


NEW Publish

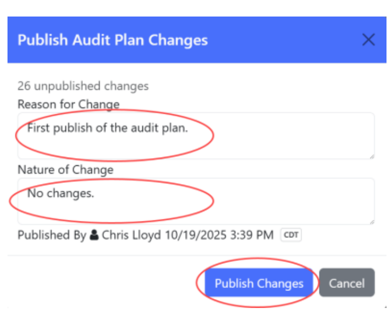
61. To publish the audit plan, open the desired audit plan, click on the “Revision History” tab, and click the ‘Publish Changes’ button.

    Note: For new audit plans, publishing changes will create Revision 1 and make it possible to schedule audits that use the audit plan.

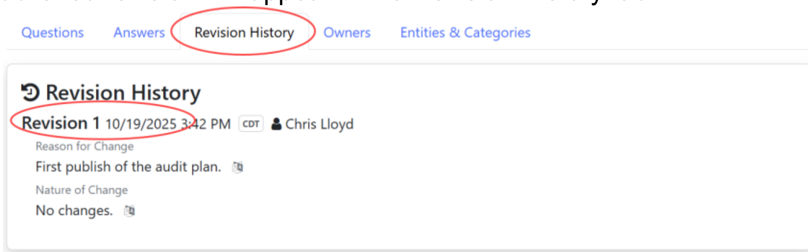
    Note: If audit plan Revision 1 is published and an audit has been scheduled but not yet started and then changes to the plan are made and Revision 2 is published, when the audit is started, the audit will use Revision 2.



   a. Provide the Reason for Change, the Nature of the Change, and click on the ‘Publish Changes’ button.



Note: The published revision will appear in the Revision History tab.



Revision History

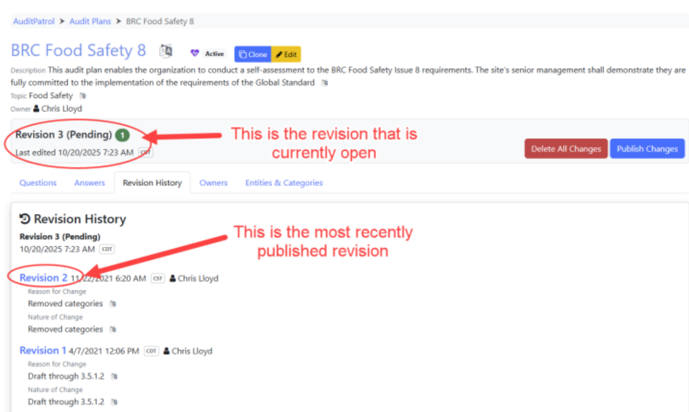
This tab displays the audit trail of changes to the audit plan. Whenever a change is made to the audit plan questions or answers, AuditPatrol automatically creates a new revision identified as "Pending." A pending revision cannot be used in an audit until it is published.

Note: By default, the Questions and Answers tabs will display the audit plan content for the "Pending" version (Revision 3 in the image below).

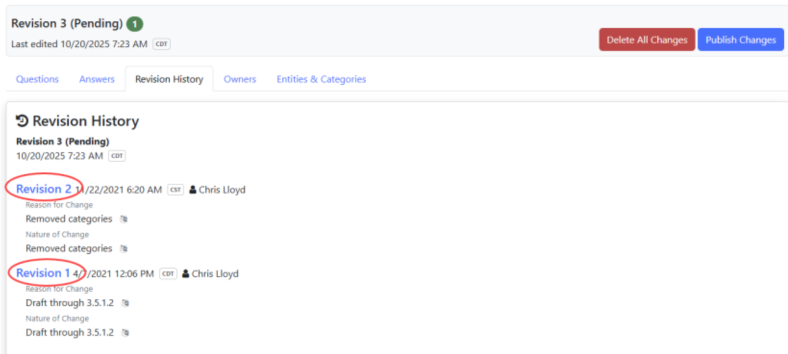
Note: The number in the green badge reflects the number of changes that are included in the pending revision (1 in the image below).

Note: The applicable revision for an audit is not chosen at the time the audit is scheduled. AuditPatrol chooses the most currently published revision at the time the audit starts (Revision 2 in the image below).

Note: Once an audit is started, its revision number is locked-in and will not change even if a new revision is published while the audit is in process.

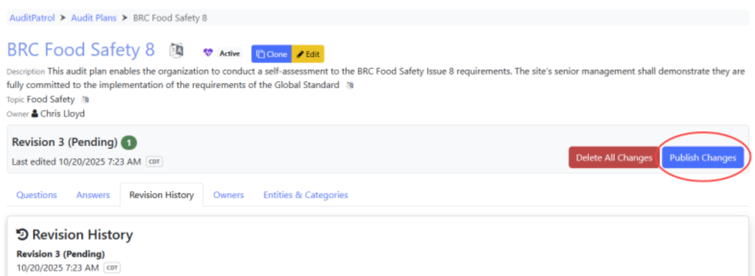


62. To open a previous revision of an audit plan, click on the revision number hyperlink.

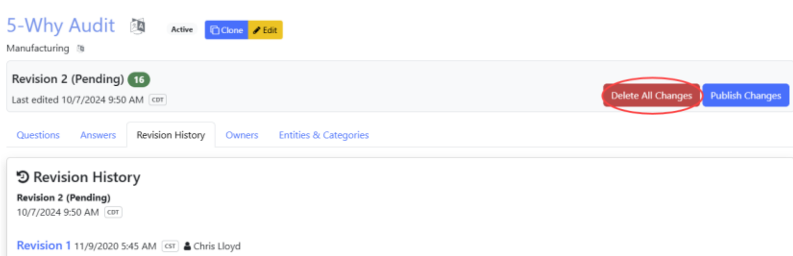


63. To publish a pending revision of an audit plan, open the desired audit plan, click on the “Revision History” tab, and click the ‘Publish Changes’ button.

    Note: Click the ‘Publish Changes’ button only after *all* audit plan changes have been made. Do not treat the ‘Publish Changes’ button like a ‘Save’ button; all changes/edits are automatically saved upon entry.



64. To delete unpublished changes (i.e. cancel the proposed changes), open the desired audit plan, click on the “Revision History” tab, and click on the ‘Delete All Changes’ button.

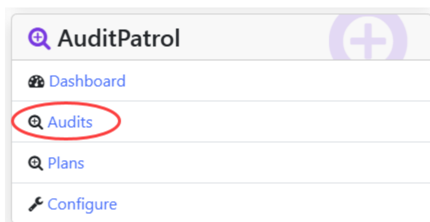


Chapter 10: Audit Search & Schedule

Audits Page

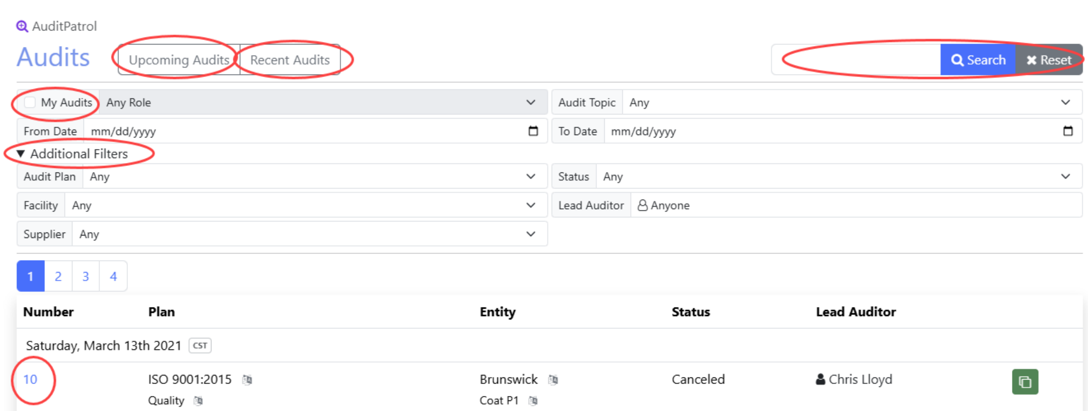
This page is used to search for audits (past, present, and future) and to open the audit and view its contents.

65. Click on the Audits hyperlink in the AuditPatrol frame. Page: {PatrolSuite URL}/Audit/Audits



66. The Audits page lists all audits, organized by date. Use the Search field to locate an audit by its audit number. Use the My Audits checkbox to locate audit in which you have a role. Use the filters to locate an audit of interest. Note that additional filters can be opened and applied by clicking on the Additional Filters icon/text. Click on the audit number to open an audit.

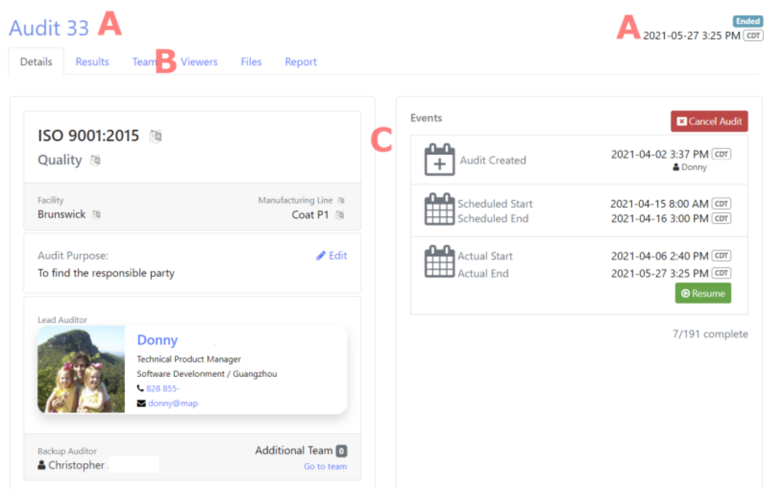
    a. **Upcoming Audits** – Displays audits from yesterday, today, and into the future (default setting).
    b. **Recent Audits** – Displays audits from the past 30 days.
    c. Use the **From Date / To Date** fields to locate audits further in the past or future.



Audit Layout

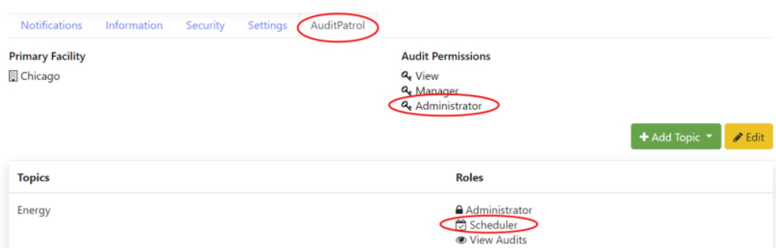
67. The subject matter for each Audit is organized into three areas:

    a. **Header information**. Displays the audit number, the audit status, and additional information about the audit.
    b. **Content Tabs**. Enables navigation to the components of the audit.
    c. **Content Area**. Displays the content of the chosen content tab.



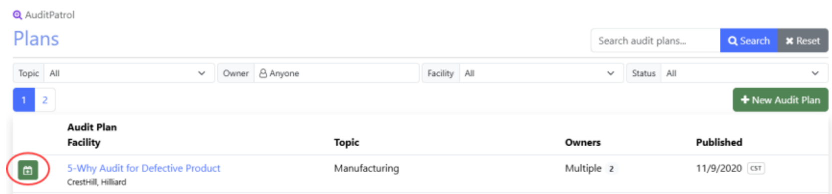
Schedule a New Audit

Users with the AuditPatrol Administrator Permission can schedule audits regardless of their qualifications for a topic. All other AuditPatrol users must be identified as a “Scheduler” for a topic in order to schedule audits for that topic. Click on the AuditPatrol tab of a user’s profile to see the topics and roles for which he/she is qualified.

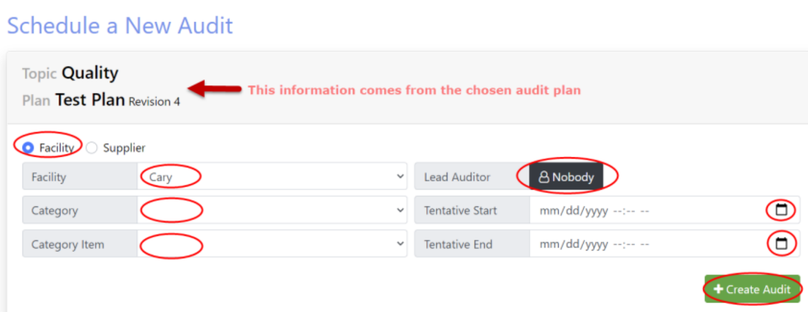


There are two ways to schedule a new audit:

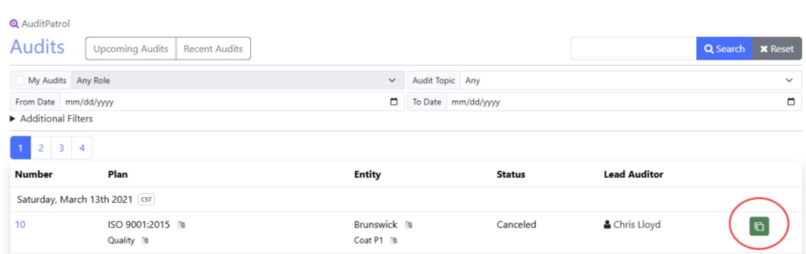
68. To schedule a new audit from the Audit Plans page: {PatrolSuite URL}/Audit/Plans:
    a. Click on Audit Plans and use the filters to locate the desired audit plan. Click on the Schedule Audit icon that corresponds to the desired audit plan.



b. Choose the applicable Entity radio button (facility or supplier)
c. Choose the facility or supplier where the audit will take place.
d. Choose the Category (not required).
e. Choose the Category Item (not required).
f. Choose the Department being audited (not required).
g. Click on the Nobody button and choose the lead auditor. NEW Note that the list of lead auditors will be limited by those users with the ability to act as a lead auditor for the chosen plan.
h. Enter the tentative start date/time of the audit.
i. Enter the tentative end date/time of the audit.
j. Click the Create Audit button. Thereafter, the Lead Auditor will receive a notification advising him/her to open the audit and define additional audit details.

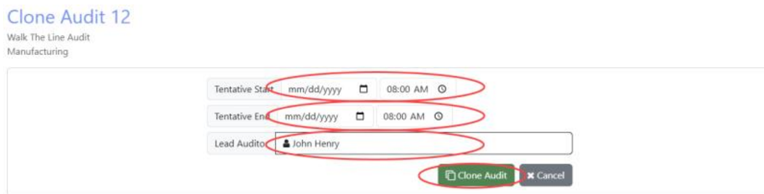


69. To schedule a new audit from the Audits page: {PatrolSuite URL}/Audit/Audits:
    a. Click on Audits and use the filters to locate the desired audit. Click on the Clone button that corresponds to the desired audit.



    b. NEW A cloned audit inherits the Entity (facility or supplier) and category(ies) from the source audit. Choose the *Tentative* start date and time (required), the *Tentative* end date and time, the Lead Auditor, and click the 'Clone Audit' button.

       Note: The Lead Auditor is inherited from the source audit, but this person can be changed in the Clone Audit UI.



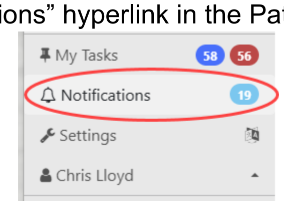
Note: The Lead Auditor will receive a notification regarding the audit once cloned.

Chapter 11: Lead Auditor Responsibility

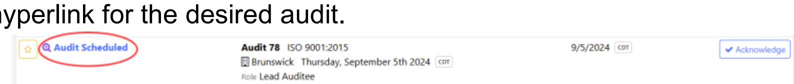
This chapter defines the responsibilities of the Lead Auditor.

NEW Review the Audit Context

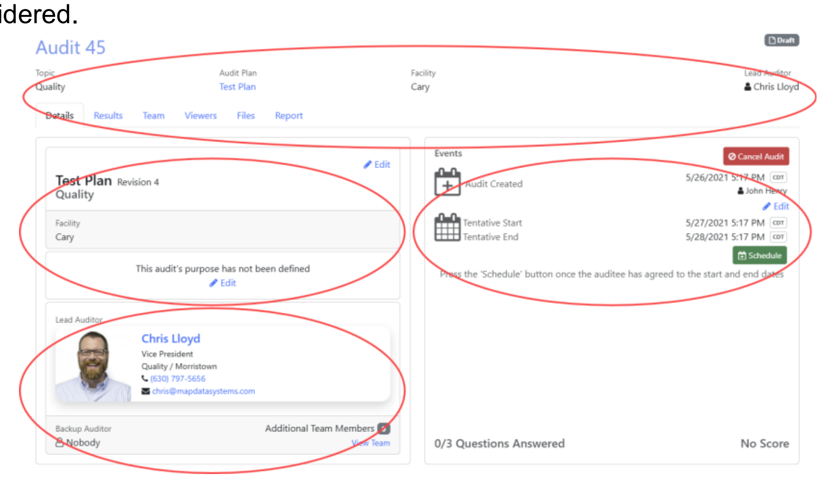
70. When an audit is tentatively scheduled, the chosen Lead Auditor will receive a notification regarding their role in the audit. Click on the “Notifications” hyperlink in the PatrolSuite navigation menu.



   a. Click on the hyperlink for the desired audit.

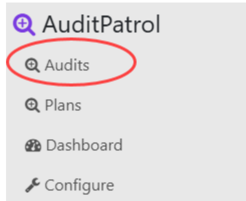


71. Review the audit context and confirm its accuracy and appropriateness. Contact the person who tentatively scheduled the audit (see the Audit Created frame) if there is any additional information that should be considered.

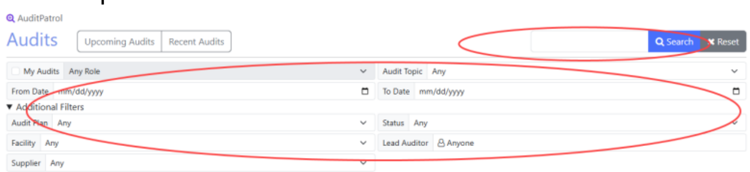


NEW Review the Results of Previous Audits

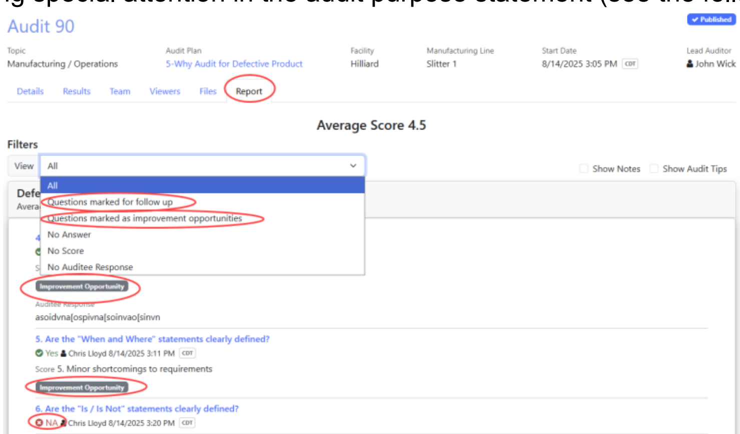
72. Click on the “Audits” hyperlink to navigate to the Search Audits page.



73. Use the filters to search for previous audits of the same context.

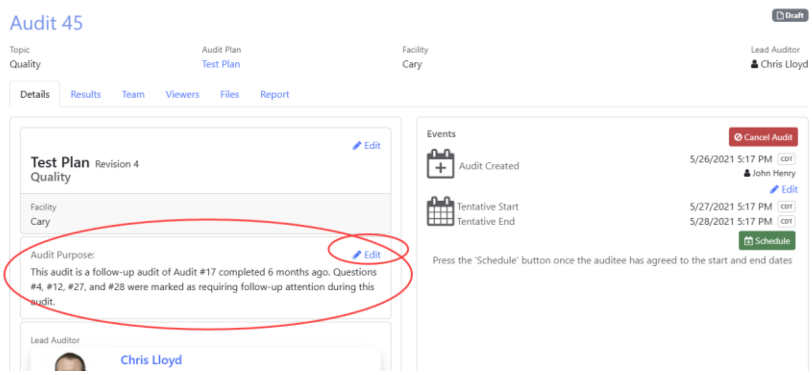


74. Open the audit(s) and use the Report tab to review the audit results. Use the filter to look for questions marked for follow up or marked as improvement opportunities. Note such questions and document those questions as needing special attention in the audit purpose statement (see the following section).



Define the Audit Purpose

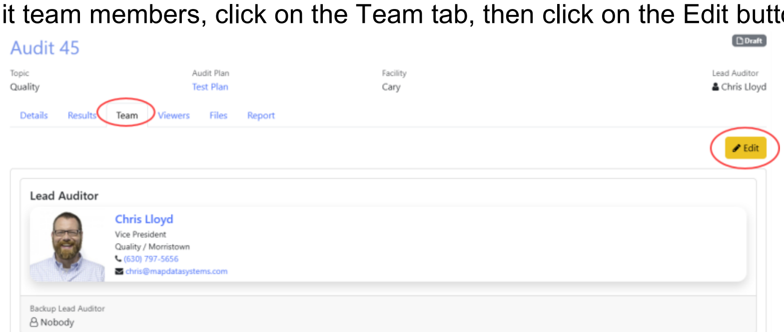
75. To edit the audit purpose, click on the “Edit” hyperlink. The purpose statement should identify those questions that need special attention based on the results of the previous audit. If there are multiple team auditors, then the purpose should also document which questions will be the responsibility of which team auditor.



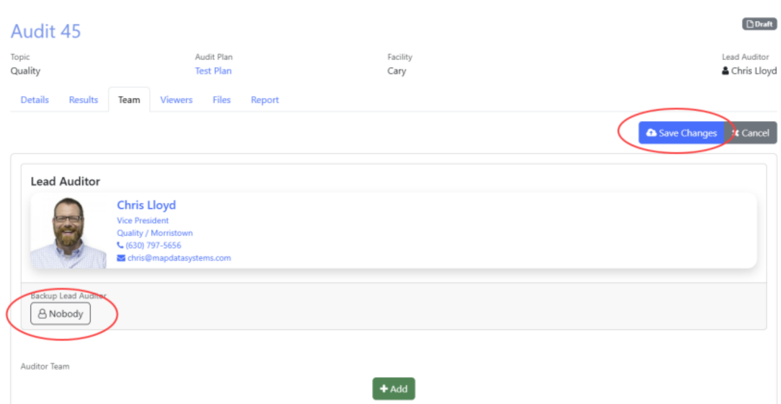
Select the Backup Lead Auditor

A Backup Lead Auditor is not required but is strongly recommended. Should the Lead Auditor become unavailable, the Backup Lead Auditor can perform all the audit tasks that the Lead Auditor can perform.

76. To define the audit team members, click on the Team tab, then click on the Edit button.



77. To choose a backup lead auditor, or to change the auditor, click on the backup 'Nobody' button.



   a. Select a user from the list of users qualified for the audit topic. Users who are not qualified will not have a 'Select' button. If the desired user does not have a 'Select' button, then contact the AuditPatrol Administrator to grant that user permissions to act as an auditor for the applicable topic.

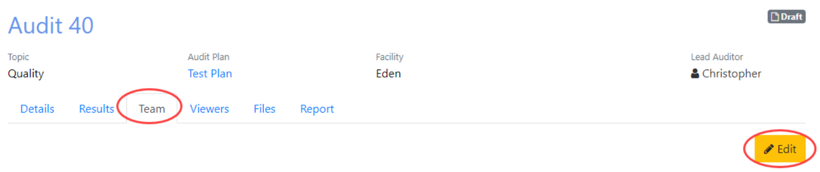
b. To change the backup lead auditor to nobody (i.e. a user has not been selected), click on the User Select button then click on the 'Nobody" button at the bottom of the Select a User window.
c. Click Save Changes.

Note: The Backup Lead Auditor will receive a notification regarding their role in the audit once selected.

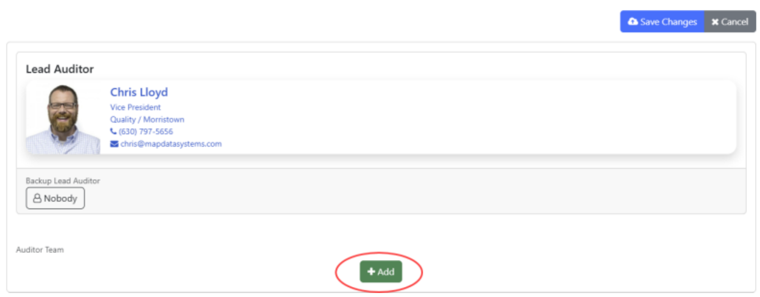
Select the Team Auditors

The Team Auditors are those users who will participate in the audit as team members. Team auditors can answer audit questions and perform the audit tasks on the "Results" tab.

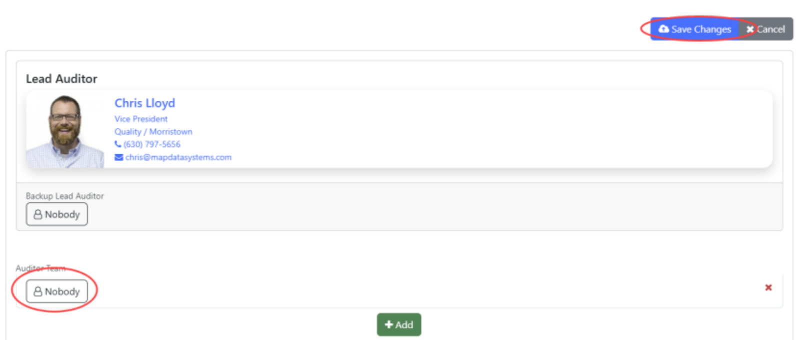
78. To define the auditor team members, click on the Team tab, then click on the 'Edit' button.



a. Click on the Auditor Team 'Add' button.



b. Click on the Audit Team 'Nobody' user select button, select a user from the list of users qualified for the audit topic, and click the 'Save Changes' button. Users who are not qualified will not have a Select button. If the desired user does not have a 'Select' button, then contact the AuditPatrol Administrator to grant that user permissions to act as an auditor for the applicable topic.



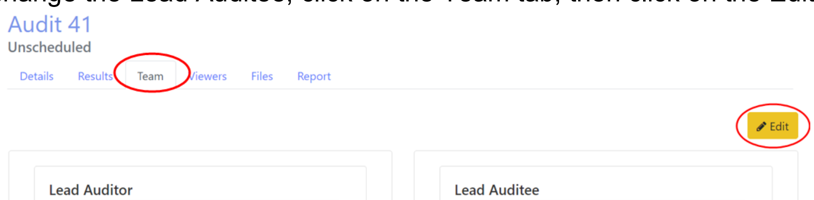
Note: Auditor Team members will receive a notification regarding their role when the audit is scheduled, published, or canceled. Accordingly, be sure to select the audit team members before the tentative start date converted to a confirmed start date (scheduled).

79. To remove an auditor team member, click on the Edit button and then click the ‘Remove’ button for the desired user.

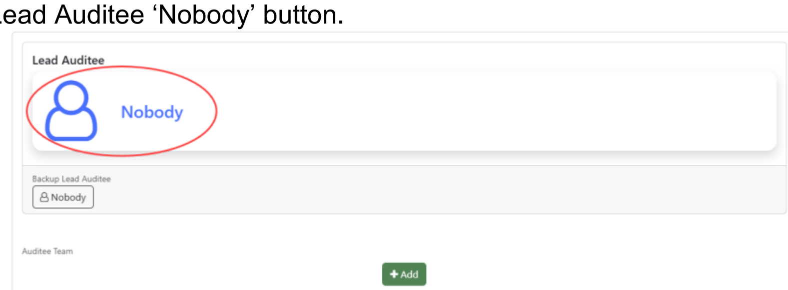
Select the Lead Auditee

The Lead Auditee is the person who is responsible for the area/department/process/subject being audited and is qualified to answer questions asked by the auditor team and to provide corresponding evidence if requested. A Lead Auditee is not required but is strongly recommended. The Lead Auditee can respond to the results of the audit questions and initiate events in EventPatrol.

80. To select, or to change the Lead Auditee, click on the Team tab, then click on the Edit button.

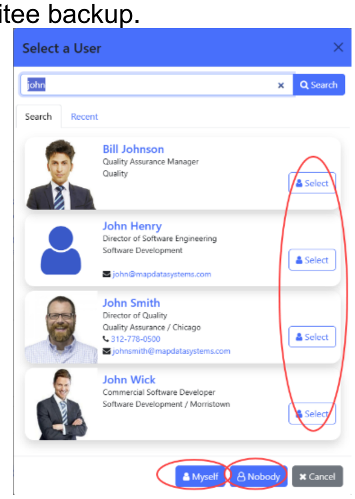


a. Click on the Lead Auditee ‘Nobody’ button.



b. Select a user from the list of users qualified for the audit topic. Users who are not qualified will not have a ‘Select’ button. If the desired user does not have a ‘Select’ button, then contact the AuditPatrol Administrator to grant that user permissions to act as an auditor for the applicable topic.

Note: There is no specific role for being a Lead Auditee. Accordingly, anyone can act as a Lead Auditee, or the Lead Auditee backup.



c. To change the Lead Auditor to nobody (i.e. a user has not been selected), click on the User Select button then click on the 'Nobody" button at the bottom of the Select a User window.

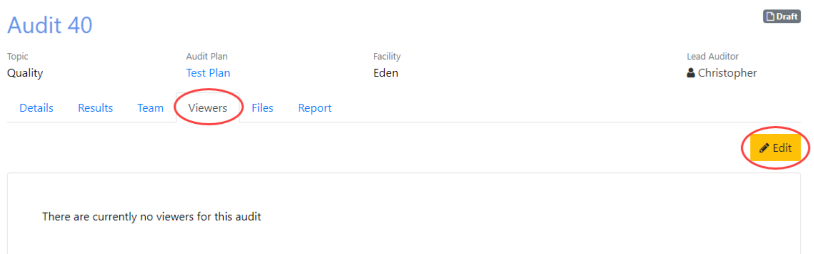
Note: The Lead Auditee will receive a notification regarding their role in the audit once selected.

Add Audit Viewers

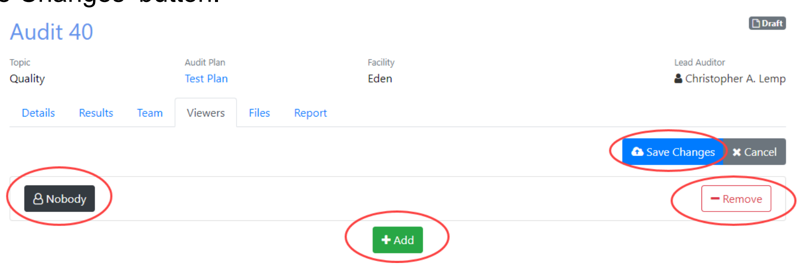
The Lead Auditee and Lead Auditor can give users, who would otherwise not have permission to view an audit, permission to view the audit.

Note: Audit Viewers will receive a notification when the audit is scheduled, published, or canceled. Accordingly, if possible, select audit Viewers before the tentative start date converted to a confirmed start date (scheduled).

81. To grant a user permission to view an audit, click on the Viewers tab, then click on the Edit button.



a. Click the 'Add' button.
b. Click the 'Nobody' user select button and choose the desired user.
c. Click the 'Save Changes' button.

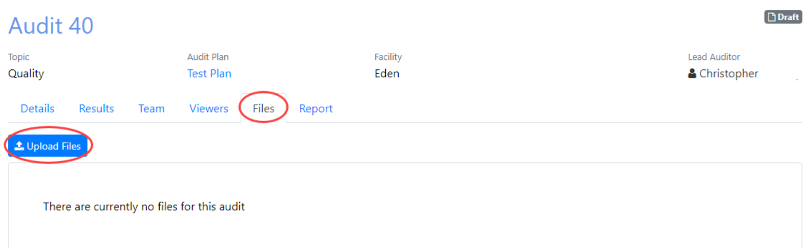


82. To remove a viewer, click the 'Edit' button, click the 'Remove' button for the desired viewer, and click Save Changes.

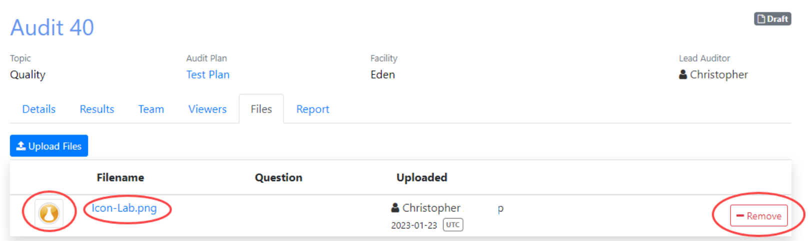
Upload Audit Files

Prior to starting the audit, the Lead Auditee and Lead Auditor can upload files that might be helpful to team members as they prepare for the audit.

83. To upload files, click on the Files tab, then click on the 'Upload Files' button.



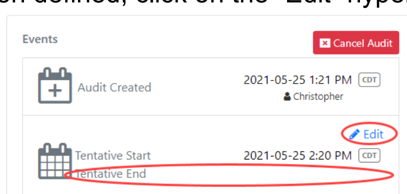
a. Select the desired file and click the click the ‘Open’ button. The file will appear in the file list.
b. To view the file, click on the file icon.
c. To download the file, click on the file name.
d. To remove the file, click on the ‘Remove’ button.



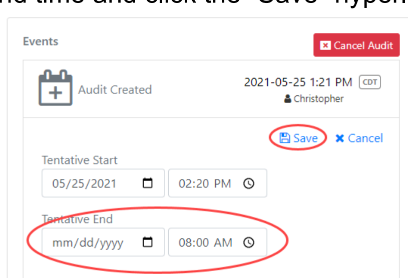
Schedule the Audit

The Lead Auditor or the Backup Lead Auditor can schedule the audit.

84. On the Details tab, look at the Events frame to see if a tentative end date has been set. The person who creates the audit is required to provide a tentative start date, but the tentative end date is not required so that the Lead Auditor can set the end date based on their experience with the nature of the audit. If the tentative end date has not yet been defined, click on the “Edit” hyperlink.

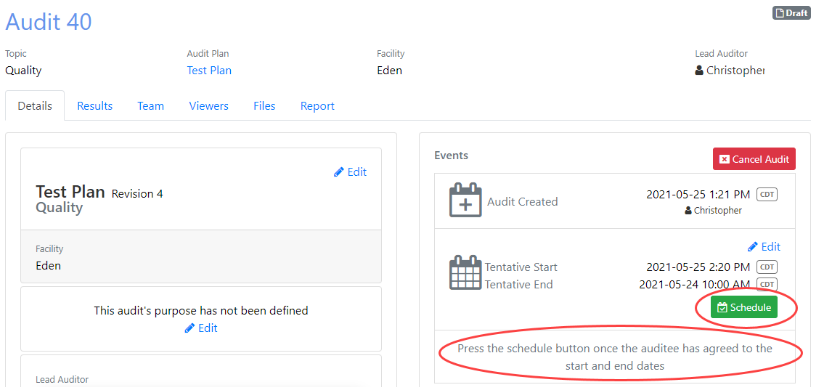


a. Enter the tentative end date and time and click the “Save” hyperlink.



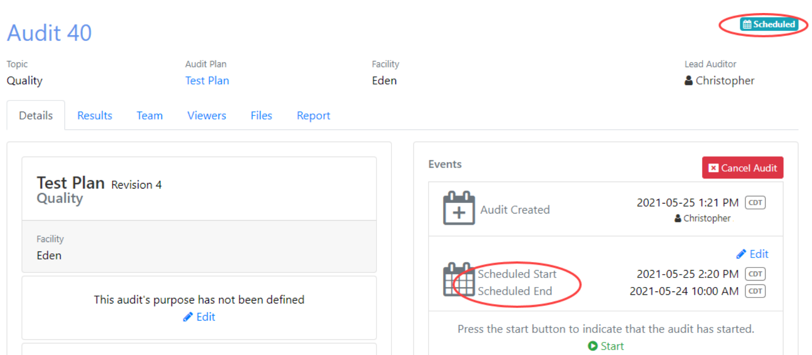
85. Contact the Lead Auditee and obtain agreement on the start and end dates and times.
    a. Click the Tentative Start/End “Edit” hyperlink and edit the dates and times to reflect the dates/times agreed to with the Lead Auditee (see the instructions and images in the preceding step).

86. Once the agreed-to start and end dates and times have been entered, click the ‘Schedule’ button.



Note: Clicking on the Schedule button results in the following:
a. The audit status changes from Unscheduled to Scheduled.
b. The start and end labels next to the calendar icon change from “Tentative” to “Scheduled.”

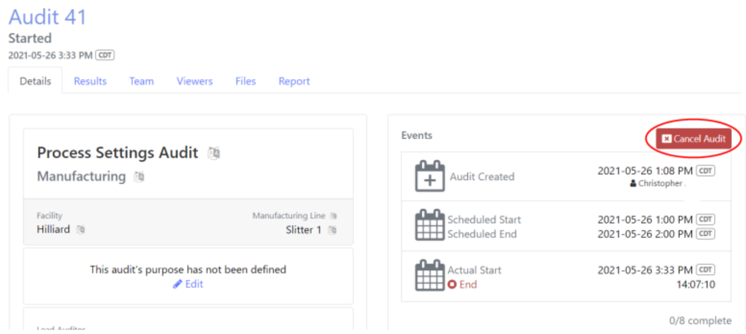
Note: Audit participants will receive a notification when the audit is scheduled, published, or canceled. Accordingly, if possible, select audit participants before the tentative start date converted to a confirmed start date (scheduled).



Cancel the Audit (if required)

This action can be performed by an AuditPatrol Administrator, the Lead Auditor, or the Backup Lead Auditor.

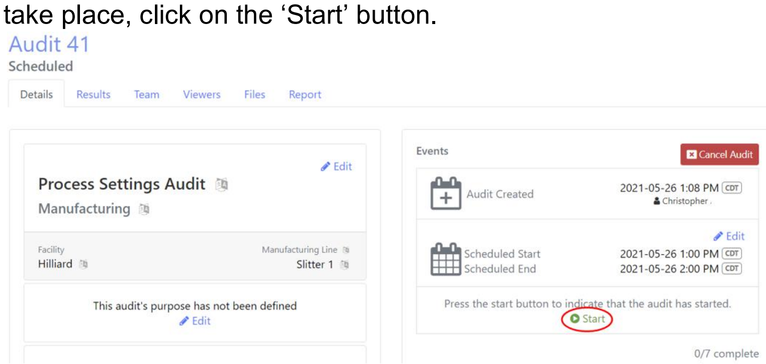
87. On the Details tab, click on the ‘Cancel Audit’ button. This will change the status to “Canceled” and a notification of cancellation will be sent to all audit participants.



Start the Audit

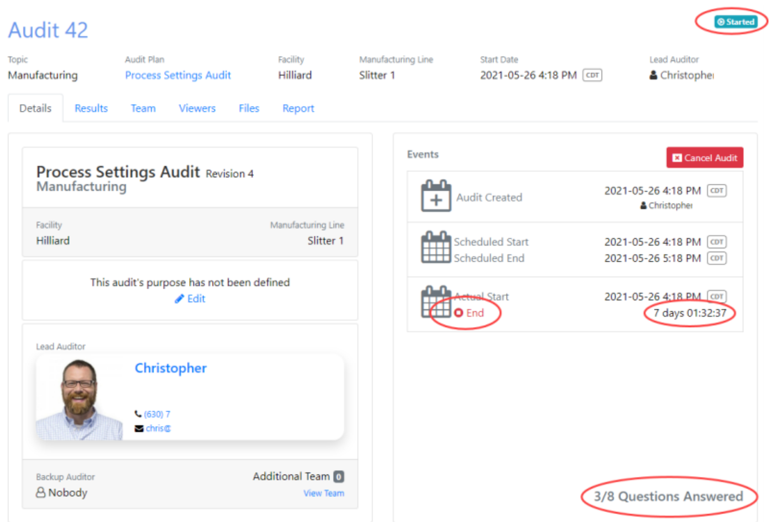
This action can be performed by an AuditPatrol Administrator, the Lead Auditor, or the Backup Lead Auditor.

88. When audit proceedings begin, which is typically when the audit team arrives at the physical location where the audit will take place, click on the ‘Start’ button.



Note: Clicking on the Start button results in the following:

a. The audit status changes from Scheduled to Started.
b. A timer appears reflecting the audit duration.
c. An End button appears, which allows the Lead Auditor to indicate when the audit activities have been completed.
d. Most importantly… auditors can now record their audit findings on the Results tab.
e. As audit questions are answered, a summary of the number of questions / number of questions answered appears on the Details tab.



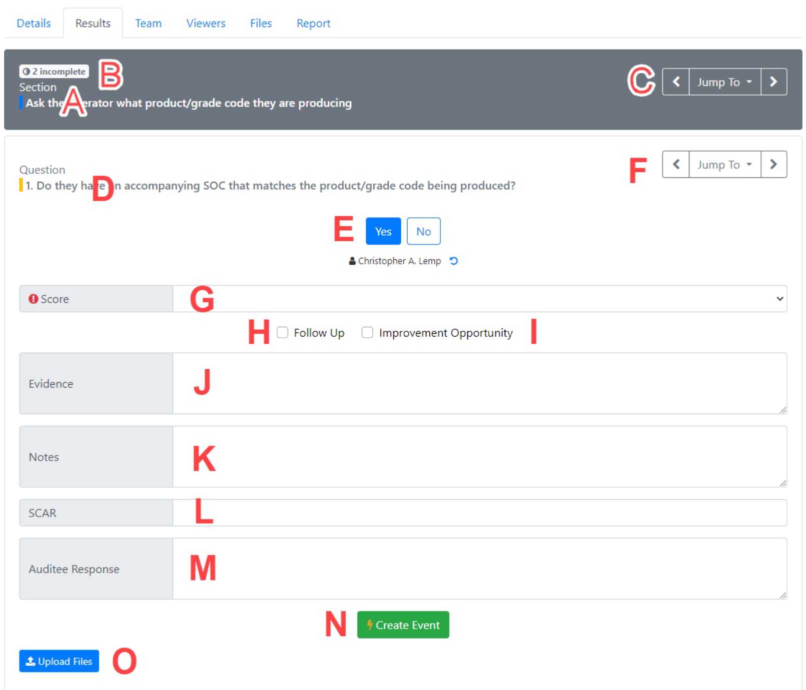
Record Audit Findings

Unless otherwise noted, these actions can be performed by an AuditPatrol Administrator and the Lead and Team Auditors.

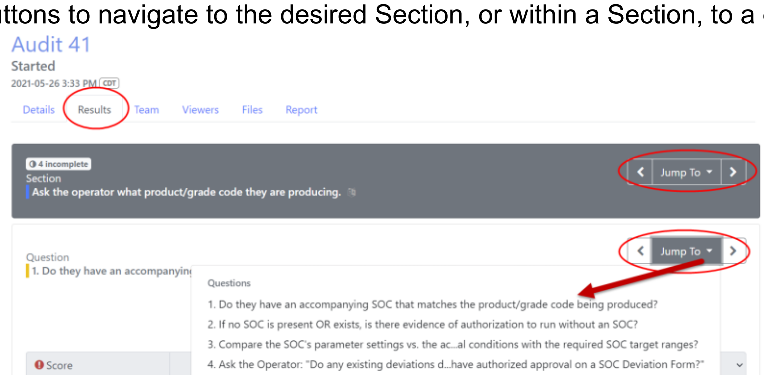
89. To record audit findings, click on the Results tab. The Results tab organizes the audit sections, questions, answers, related information as follows:
    a. The currently opened Section.
    b. The number of incomplete questions within the section.
    c. The section navigation buttons.
    d. The currently opened Question. Only one question can be opened/viewed at a time.
    e. The choices the auditor has to answer the question (i.e. the “findings” or “results”).
    f. The question navigation buttons to navigate to the questions within the opened section.
    g. The score (if applicable). The score reflects the auditor’s judgement on the auditee’s performance regarding the question. The scoring criteria are defined in the audit plan.
    h. Follow-Up (if applicable). Check this checkbox to mark the question as one that should be revisited in subsequent audits to evaluate the auditee’s actions to address shortcomings to the question.
    i. Improvement Opportunity (if applicable). Check this checkbox to mark the question as one that would benefit the auditee if actions were taken to improve its performance. Checking the improvement opportunity checkbox is how the auditor communicates to the auditee that the auditee should consider creating an event in EventPatrol.
    j. Evidence (if applicable). Allows the auditor to document evidence that supports the findings.
    k. Notes (if applicable). Allows the auditor to document additional information regarding the assessment of the question.
    l. SCAR (if applicable). Allows the auditor to document an internal or external corrective action request (or other reference number) related to the question.
    m. Auditee Response (if applicable). Actionable by the Lead Auditee and Auditee Team members. Allows the auditee to document agreement or disagreement with the auditor’s findings.

n. Create Event (if applicable). Actionable by the Lead Auditor or Lead Auditee. Click the 'Create Event' button to create a corresponding event in EventPatrol where which the Event Owner will define and assign the tasks (e.g. Investigation, RCA, Risk Assessment) and actions (e.g. Corrective, Preventive, and Effectiveness Assessment) to address the findings by the auditor.

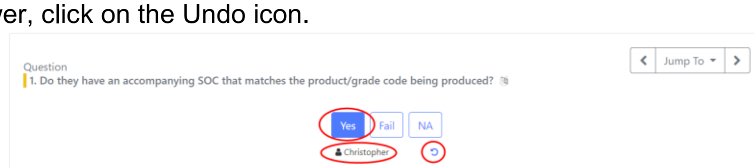
o. Upload Files (if applicable). Allows the auditors and auditees to upload files to support the audit findings or the response to the audit findings.



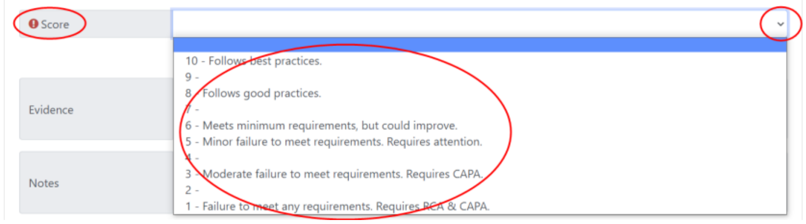
90. Use the Jump To buttons to navigate to the desired Section, or within a Section, to a desired question.



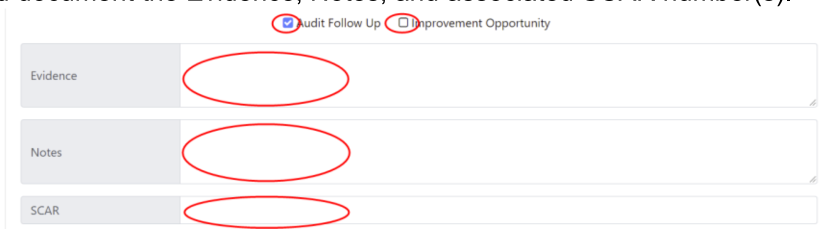
91. Click on the answer that reflects the auditor's conclusion upon evaluation of the auditee's performance to the criteria (i.e. the question). The auditor who selects the answer is recorded and displayed. To "un-do" an inadvertent answer, click on the Undo icon.



92. If the score cell is present, then assigning a score is required. Click the dropdown and choose the score.

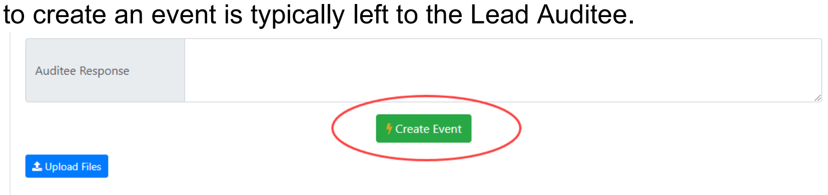


93. As applicable, check the checkbox to mark the question as requiring follow-up or as an improvement opportunity, and document the Evidence, Notes, and associated SCAR number(s).

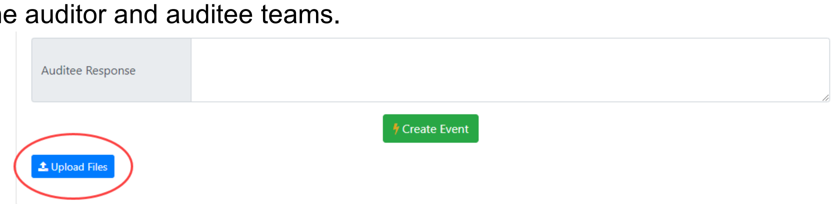


94. To create a corresponding event in EventPatrol, click the ‘Create Event’ button select an Event Owner.

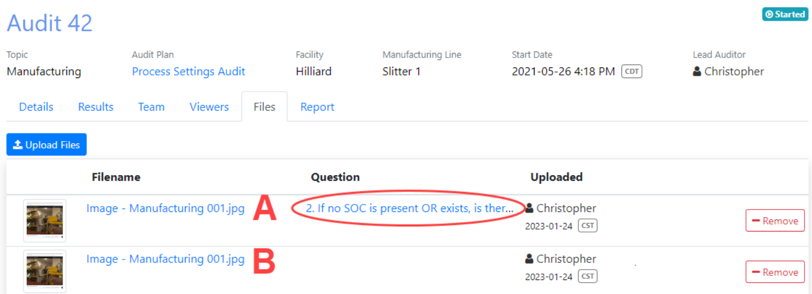
Note: The ‘Create Event’ button is actionable by the Lead Auditor or the Lead Auditee. However, the decision to create an event is typically left to the Lead Auditee.



95. Click on the ‘Upload Files’ button to upload any files supporting the findings. Files can be uploaded by all members of the auditor and auditee teams.



Note: When a file is uploaded using the ‘Upload File’ button on the audit question page, the file will be associated with the applicable question when viewed from the “Files” tab. Additionally, the file will be hyperlinked to the applicable question. In the image below, the same file was uploaded from the audit question page (file A) and from the Files tab (file B).



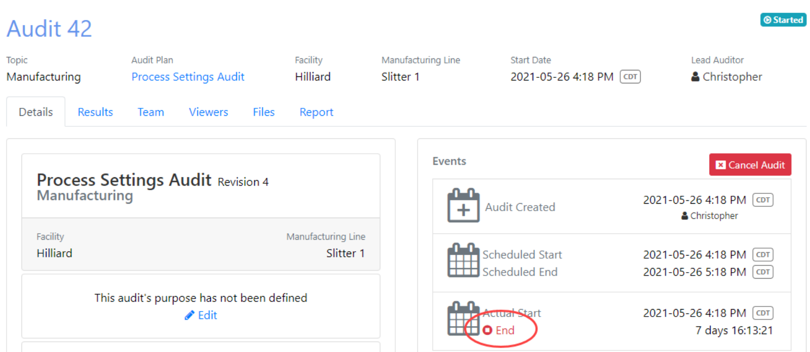
a. To remove a file, click the corresponding ‘Remove’ button.

96. Use the Jump To buttons to navigate to the next question and repeat the previous steps in this section (79-84).

End the Audit

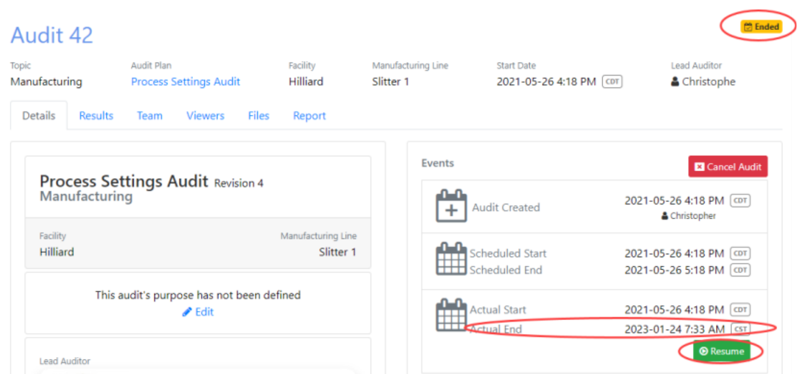
This action can be performed by an AuditPatrol Administrator, the Lead Auditor, or the Backup Lead Auditor.

97. Once the on-premises portion of the audit has ended, click on the End button. This does not mean that all questions have been answered and that all evidence and other information has been recorded. Auditors will still be able to answer/change answers to the questions, record evidence, add notes, and upload files after the End button is clicked.



Note: Clicking on the ‘End’ button results in the following:

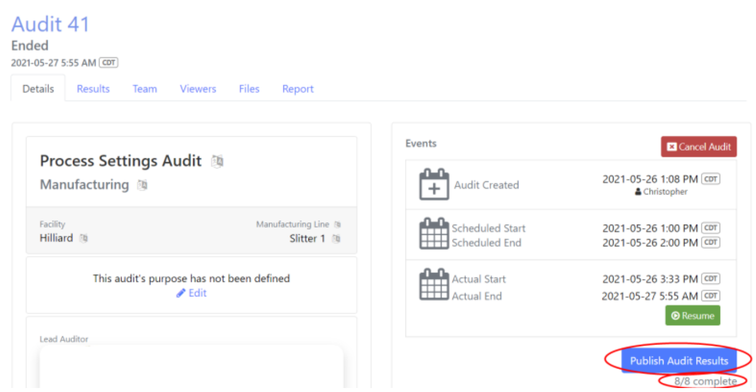
a. The audit status changes from “Started” to “Ended.”
b. The actual end time is recorded. Should the ‘End’ button be inadvertently clicked, click on the ‘Resume’ button to resume the audit.
c. The ‘Publish Audit Results’ button appears if all questions have been answered.



Publish Audit Results

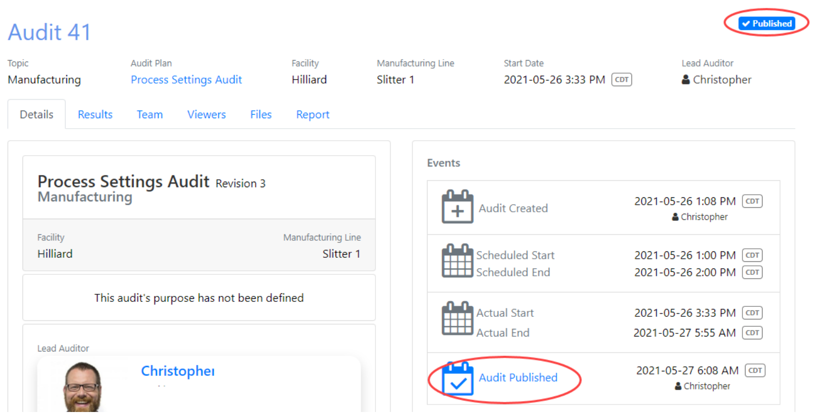
This action can be performed by an AuditPatrol Administrator, the Lead Auditor, or the Backup Lead Auditor.

98. Once all questions have been answered, scores determined, files uploaded, and all evidence and other information has been recorded, click on the 'Publish Audit Results' button. This is the official conclusion of the audit activities.



Note: Clicking on the 'Publish Audit Results' button results in the following:

a. The audit status changes from "Ended" to "Published" and the publish date is recorded.
b. A notification is sent to all audit participants announcing that the audit results have been published.
c. Auditors can no longer record or edit answers, scores, evidence, or notes. Files can still be uploaded.
d. Auditees can continue to record auditee responses, to upload files, and to create event records in EventPatrol.
e. The complete audit report is available on the Report tab.



Audit 41
Published
Topic
Manufacturing
Audit Plan
Process Settings Audit
Facility
Hilliard
Manufacturing Line
Slitter 1
Start Date
2021-05-26 3:33 PM CDT
Lead Auditor
Christopher
Details
Results
Team
Viewers
Files
Report
Process Settings Audit Revision 3
Manufacturing
Facility
Hilliard
Manufacturing Line
Slitter 1
This audit's purpose has not been defined
Lead Auditor
Christopher
Events
Audit Created
2021-05-26 1:08 PM CDT
Christopher
Scheduled Start
Scheduled End
2021-05-26 1:00 PM CDT
2021-05-26 2:00 PM CDT
Actual Start
Actual End
2021-05-26 3:33 PM CDT
2021-05-27 5:55 AM CDT
Audit Published
2021-05-27 6:08 AM CDT
Christopher

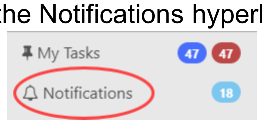
Chapter 12: Lead Auditee Responsibility

This chapter defines the responsibilities of the Lead Auditee.

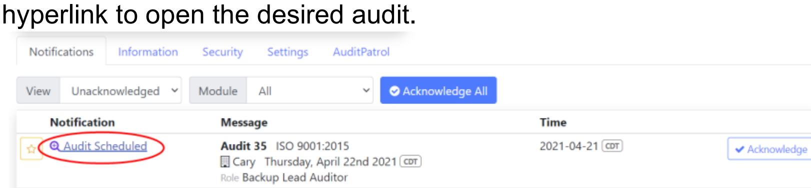
Review the Audit Context

When an audit is scheduled, the chosen Lead Auditee will receive a notification regarding their role in the audit. The Lead Auditee is responsible for the following.

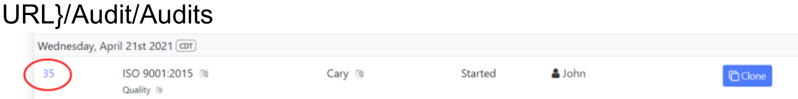
99. On the PatrolSuite homepage, click on the Notifications hyperlink.



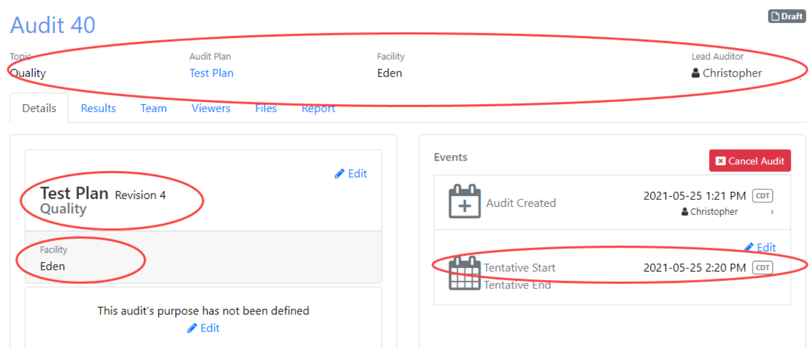
   a. Click on the hyperlink to open the desired audit.



   b. Or, on the Audits page, use the filters to locate the desired audit and click on the audit number. Page: {PatrolSuite URL}/Audit/Audits

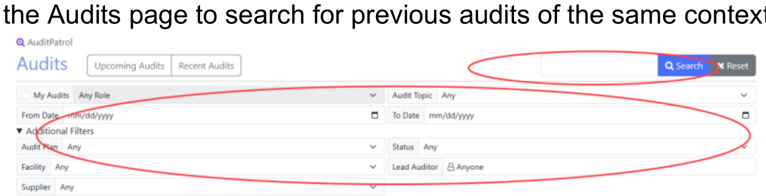


100. Review the audit context and confirm its accuracy and appropriateness. Contact the Lead Auditor if there are any questions.

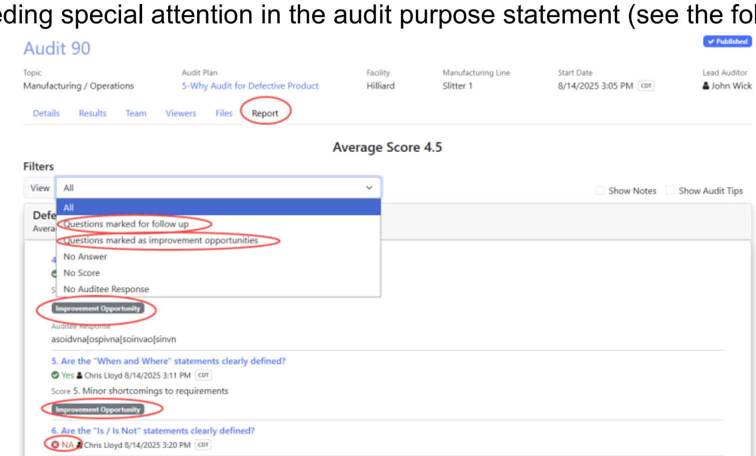


Review the Results of Previous Audit

101. Use the filters on the Audits page to search for previous audits of the same context.

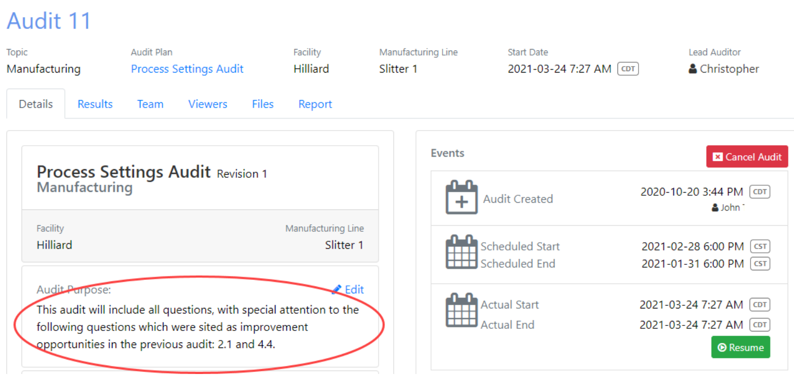


102. Open the audit(s) and use the Report tab to review the audit results. Use the filter to look for questions marked for follow up or marked as improvement opportunities. Note such questions and document those questions as needing special attention in the audit purpose statement (see the following section).



Review the Audit Purpose

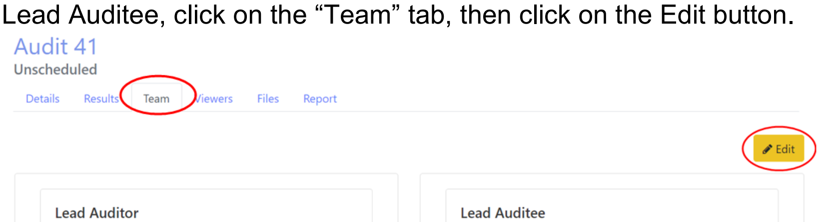
103. Click on the audit Details tab and review the audit purpose statement. The audit purpose may identify questions that will receive special attention from the auditors based on the results of the previous audit.



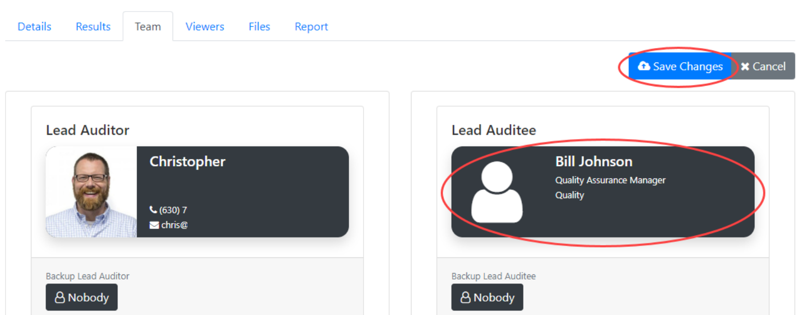
Select a Different Lead Auditee (if appropriate)

If the chosen Lead Auditee is not appropriate, contact the Lead Auditor to discuss. If both parties agree to change the Lead Auditee, then the following steps outline how to make this change.

104. To change the Lead Auditee, click on the “Team” tab, then click on the Edit button.



a. Click on the Lead Auditee user selection card.



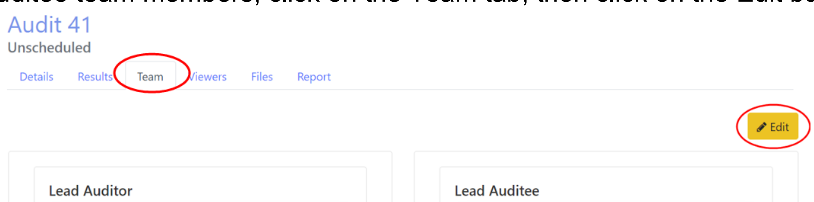
b. Select a user from the list of users qualified for the audit topic. Users who are not qualified will not have a ‘Select’ button. If the desired user does not have a ‘Select’ button, then contact the AuditPatrol Administrator to grant that user permissions to act as an auditor for the applicable topic.
c. Click the ‘Save Changes’ button.
d. To change the lead auditee to nobody (i.e. a user has not been selected), click on the User Select button then click on the ‘Nobody” button at the bottom of the Select a User window.

Note: Once selected, the Lead Auditee will receive a notification regarding their role in the audit.

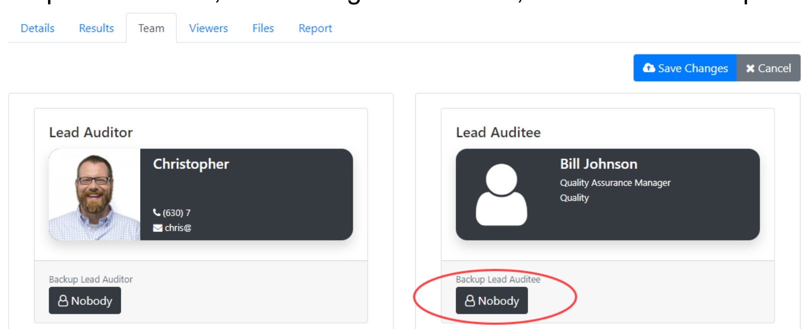
Select the Backup Lead Auditee

A Backup Lead Auditee is not required but is strongly recommended. The Backup Lead Auditee can perform all the audit tasks that the Lead Auditee can perform.

105. To define the auditee team members, click on the Team tab, then click on the Edit button.



106. To choose a backup lead auditee, or to change the auditee, click on the backup 'Nobody' button.



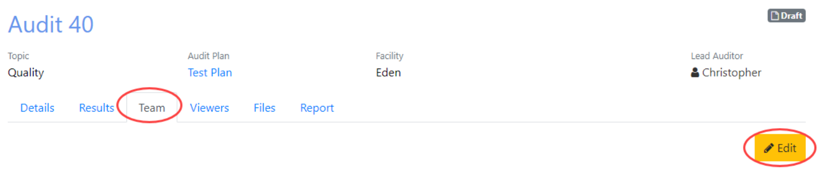
a. Select a user from the list of users qualified for the audit topic. Users who are not qualified will not have a 'Select' button. If the desired user does not have a 'Select' button, then contact the AuditPatrol Administrator to grant that user permissions to act as an auditor for the applicable topic.
b. Click the 'Save Changes' button.
c. To change the backup lead auditee to nobody (i.e. a user has not been selected), click on the User Select button then click on the 'Nobody" button at the bottom of the Select a User window.

Note: Once selected, the Backup Lead Auditee will receive a notification regarding their role in the audit.

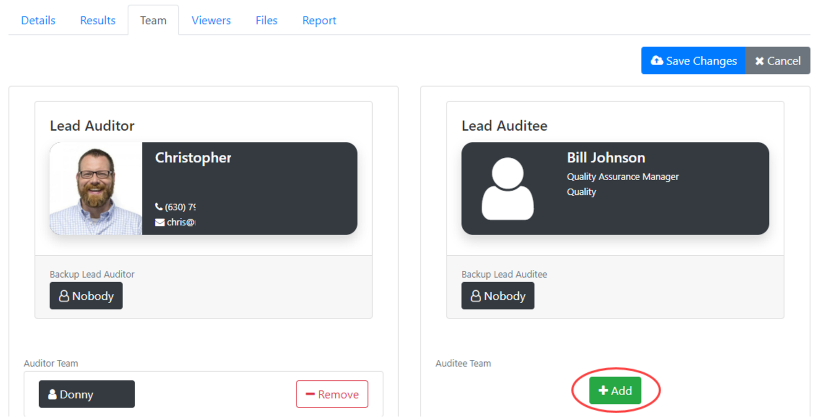
Select the Auditee Team

The Auditee Team consists of those users who will participate in the audit as team auditees. Auditee team members can respond to audit findings via the Auditee Response cell on the Results tab.

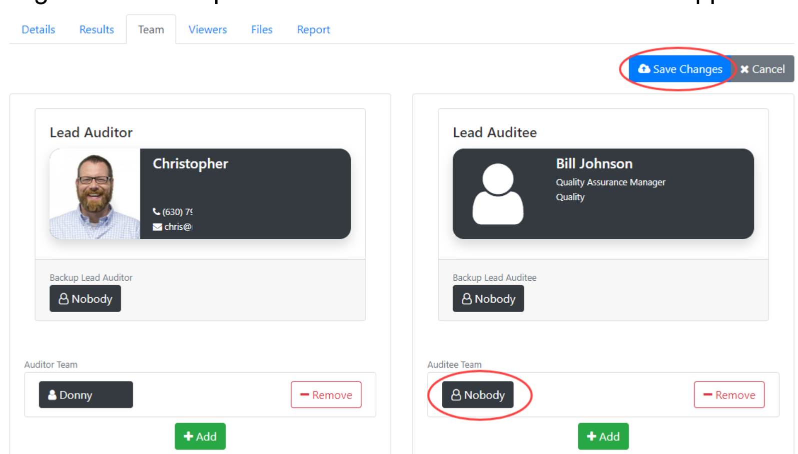
107. To define the auditee team members, click on the Team tab, then click on the 'Edit' button.



a. Click on the Auditee Team ‘Add’ button.



b. Click on the Auditee Team ‘Nobody’ user select button, select a user from the list of users qualified for the audit topic, and click the ‘Save Changes’ button. Users who are not qualified will not have a ‘Select’ button. If the desired user does not have a ‘Select’ button, then contact the AuditPatrol Administrator to grant that user permissions to act as an auditor for the applicable topic.



Note: Once selected, auditee team members will receive a notification regarding their role in the audit.

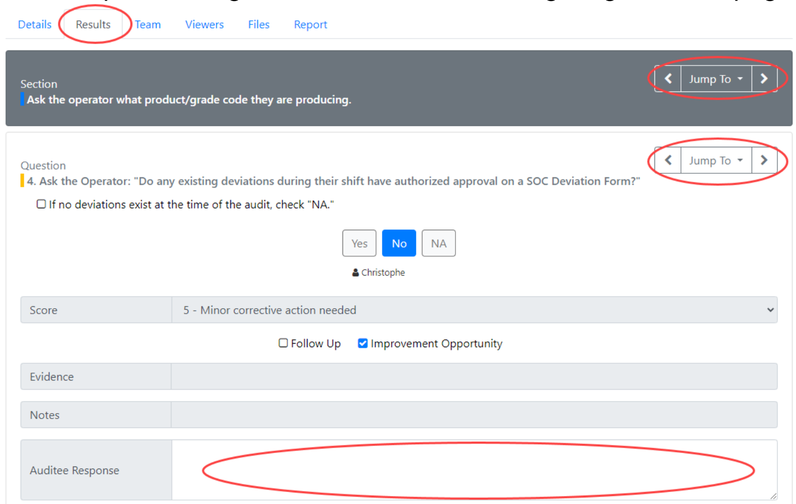
108. To remove an auditee team member, click on the Edit button and then click the ‘Remove’ button for the desired user.

Respond to the Audit Findings

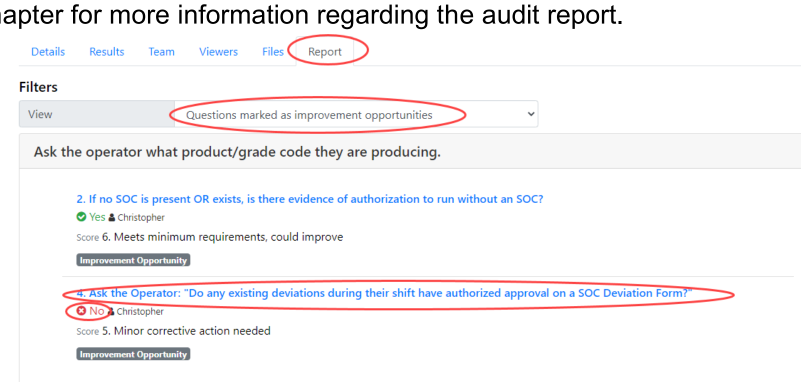
This action can be performed by the Lead/Backup Auditee or Team Auditees.

109. Once the audit results have been published, review the findings and enter responses as desired. There are two ways to review the findings and enter responses.

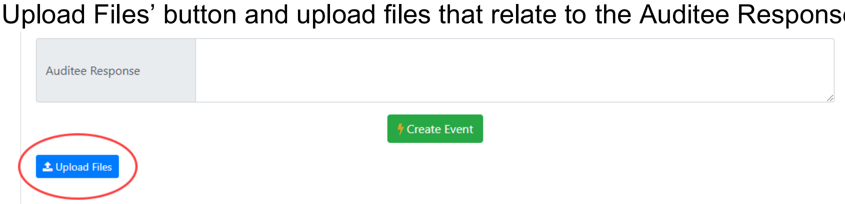
    a. Click on the Results tab of the desired audit and use the navigation buttons to review the findings of each question. Click into the Auditee Response cell and record a response. The response is automatically saved upon clicking outside of the cell or navigating to a new page.



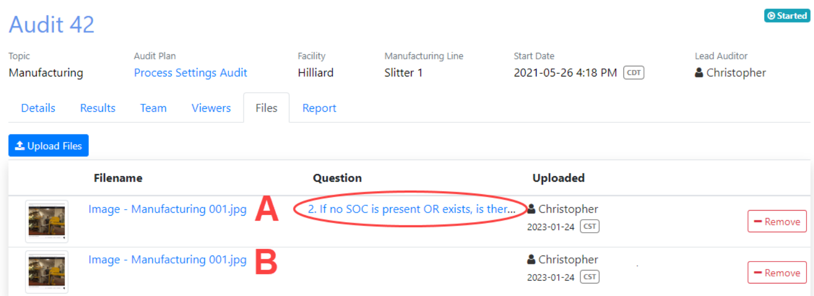
    b. Click on the Report tab of the desired audit and use the filter to find questions that had an unfavorable finding. Click on the question hyperlink and record an Auditee Response as outlined above. See the following chapter for more information regarding the audit report.



110. Click on the 'Upload Files' button and upload files that relate to the Auditee Response.



Note: When a file is uploaded using the ‘Upload File’ button on the audit question page, the file will be marked as associated with the applicable question when viewed from the “Files” tab. Additionally, the file will be hyperlinked to the applicable question. In the image below, the same file was uploaded from the audit question page (file A) and from the Files tab (file B).



a. To remove a file, click the corresponding ‘Remove’ button.

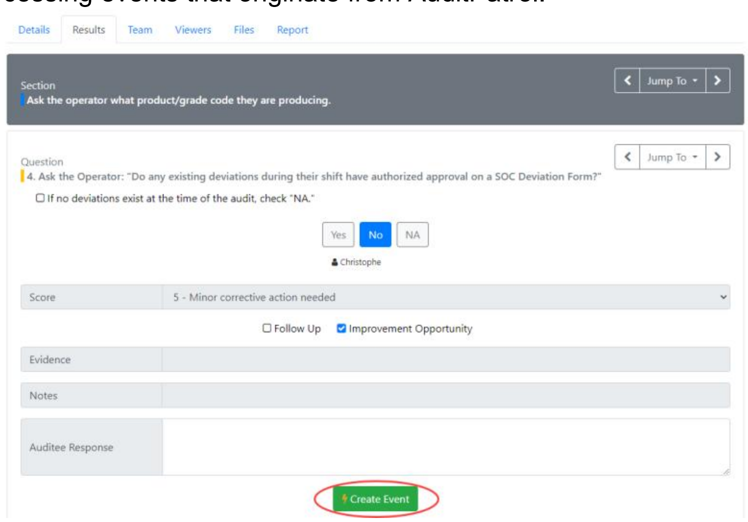
Create Event Records in EventPatrol

While both the Lead Auditor and the Lead Auditee can create events, it is typically the responsibility of the Lead Auditee to decide whether the findings of a question require creating an event record in EventPatrol.

111. Determine the questions that require creating an event record to fix the problem or to improve the process. The following findings typically result in creating an EventPatrol event:

    a. A question with a result that is not “pass.”
    b. A question with a score that is 5 or lower.
    c. A question marked for Follow Up.
    d. A question marked as an Improvement Opportunity.

112. Navigate to the question and click the ‘Create Event’ button. See the EventPatrol user guide for information on processing events that originate from AuditPatrol.

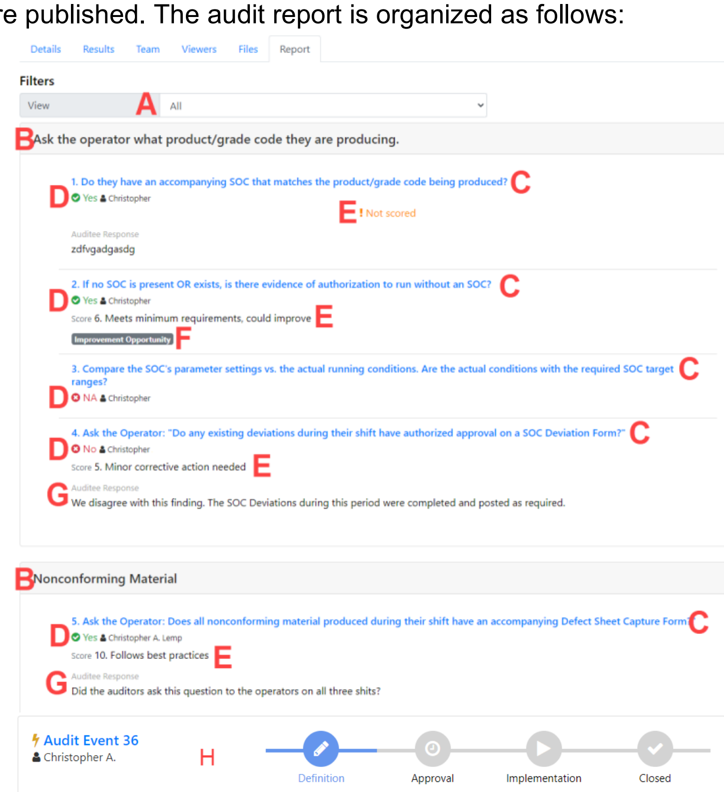


Chapter 13: Audit Report

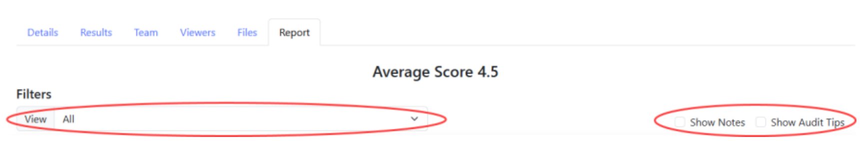
NEW Audit Report Layout

The audit report is visible to all members of the auditor and auditee teams, the audit viewers added to the audit, and all users with permission to view the applicable audit topic.

113. For a given audit, click on the Report tab to view the audit report. The audit report is a real-time reflection of the audit. Accordingly, it can be viewed at any time while the audit is in progress in addition to after the audit results are published. The audit report is organized as follows:



a. Filters. Select a filter from the dropdown, or check the Show checkboxes as desired, to view desired questions.

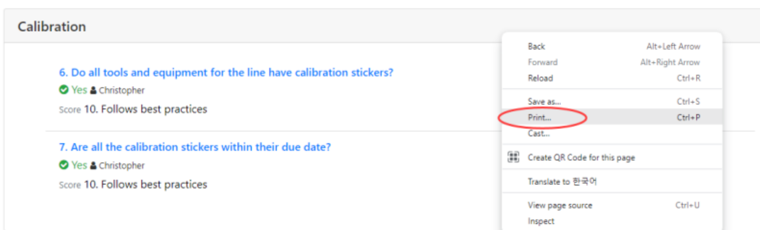


b. Sections.
c. Questions within each section.
d. Answer. This is the audit question “result” or “finding.” The name of the auditor who recorded the answer is provided.
e. Score.
f. Follow Up and Improvement Opportunity badges appear here if chosen by the auditor.
g. Auditee response.
h. Related event record in EventPatrol.

Save and Print the Audit Report

This action can be performed by any user with view permission to the audit.

114. To print the audit report, right-click anywhere on the Report page and select “Print…” from the menu window. Select the select the destination printer and click the Print button.



115. To save the audit report as a .pdf file, right-click anywhere on the Report page and select “Print…” from the menu window. Select “Save as PDF” as the destination, and click the Print button.

Note: Check the “Headers and Footers” checkbox to place the print time and date in the header and the URL in the footer of the document.

Note: Check the “Background graphics” checkbox to apply the style sheet contents to make the saved document look like the website page.

Note: Prior to the audit, “old school” team auditors may wish to print the audit report and carry hardcopies, with their assigned questions highlighted, into the audit so they can take notes. While this may be helpful to some, this is not required. AuditPatrol is designed to enable auditors to answer questions, assign scores, document evidence, upload files, and to take notes in real-time from a laptop, tablet, or cell phone. We strongly suggest that auditors use a laptop or a tablet.