

Audit-tool V 3.2 – focus on new features

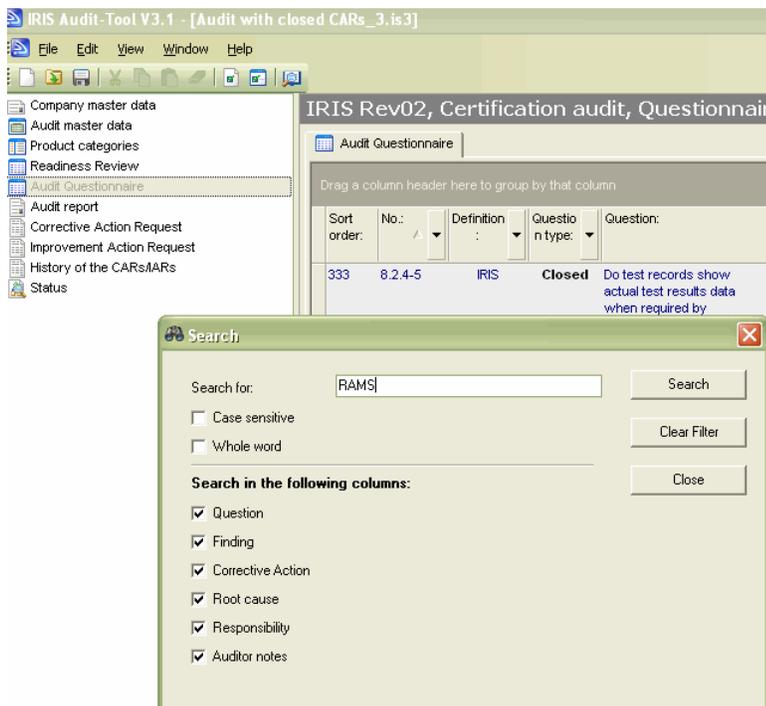
15/11/2010

Audit Questionnaire

- **Findings/Evidences:** Enter explanations for the assessment here. This information will then appear in the audit report. All evidences and information collected during the audit should be written here. This column is exported in the final report. Whenever entering text in this cell during a surveillance audit, the software automatically adds in front of the text the current DATE to keep traceability of the collected evidences.

Searching the questionnaire

The search function allows filtering the questionnaire according to the searched text or data:



This option is very useful to find correlations between questions.

Changes compared to previous audit

In the case of a surveillance audit, an area called "changes compared to previous audit" is showing the changes occurred in the questionnaire compared to the previous audit file.

IRIS Rev02, Surveillance audit, Questionnaire version 2.2

Drag a column header here to group by that column

No.:	Question:	Score:	Findings/Evidences:	Changes to previous audit
4.1-1	How does the organization a) determine the processes needed for the business management system and their application throughout the organization? b) determine the sequence and interaction of these processes? c) determine criteria and methods needed to ensure that both the operation and control of these processes are effective?	Poor	13/03/2009: Giuseppe Greco: findings from Audit 1 peppepeppepepepepe: findings from Audit 2 Imported on 11/10/2010 from Audit performed at TEST Company 1, Bruxelles from 11/03/2009 to 13/03/2009 05/11/2010: sdfsdtsdtsdf	SCORE+EVIDENCES
4.1-2	How does the organization d) ensure the availability of resources and information necessary to support the operation and monitoring of these processes?	Defined	13/03/2009: Giuseppe Greco: findings from Audit 1 peppepeppepepepepe: findings from Audit 2 Imported on 11/10/2010 from Audit performed at TEST Company 1, Belgium, Bruxelles from 11/03/2009 to 13/03/2009	SCORE
4.1-3	How does the organization e) monitor, measure where applicable, and analyze these processes? f) implement actions necessary to achieve planned results and continual improvement of these processes?	Qualified	13/03/2009: Giuseppe Greco: findings from Audit 1 peppepeppepepepepe: findings from Audit 2 Imported on 11/10/2010 from Audit performed at TEST Company 1, Belgium, Bruxelles from 11/03/2009 to 13/03/2009 05/11/2010: sdfsdtsdtsdf	EVIDENCES
4.1-4	Where an organization chooses to outsource any process that affects product conformity to requirements, how does the organization ensure control over such processes and how is the type and extent of control to be applied to these outsourced processes defined within the business management system?	Qualified	13/03/2009: Giuseppe Greco: findings from Audit 1 peppepeppepepepepe: findings from Audit 2 Imported on 11/10/2010 from Audit performed at TEST Company 1, Belgium, Bruxelles from 11/03/2009 to 13/03/2009 05/11/2010: sdfsdtsdtsdtsdf	EVIDENCES

All items of the questionnaire which have been changed compared to the previous audit are automatically listed here.

A new column identifies the nature of the changes:

SCORE (only the score has changed)

EVIDENCE (only the evidence has changed)

NOTES (only the NOTES has changed)

+ Any different combination of the 3 items above

As a user, you are able to filter these changes, for instance to see ONLY the questions which have changed the ML; or only the questions which have changed the evidence and so on.

History of the CARs/IARs

In this area you can see the History of all closed CARs and IARs for the current audit.

IRIS Rev02, Certification audit, Questionnaire version 2.2

Drag a column header here to group by that column

Question number:	Question text:	Previous Score:	New Score:	Previous Findings/Evidences text:	New Findings/Evidences:	Corrective / Improvement Action:
4.1-1	How does the organization a) determine the processes needed for the business management system and their application throughout the organization? b) determine the sequence and interaction of these processes? c) determine criteria and methods needed to ensure that both the operation and control of these processes are effective?	Insufficient	Defined	Giuseppe Greco: findings from Audit 1 peppepeppepepepepe: findings from Audit 2 Imported on 11/10/2010 from Audit performed at TEST Company 1, Belgium, Bruxelles from 11/03/2009 to 13/03/2009	Giuseppe Greco: findings from Audit 1 peppepeppepepepepe: findings from Audit 2 Imported on 11/10/2010 from Audit performed at TEST Company 1, Belgium, Bruxelles from 11/03/2009 to 13/03/2009	TEST TEST TEST TEST TEST TEST TEST TEST TEST TEST TEST TEST TEST TEST
4.1-3	How does the organization e) monitor, measure where applicable, and analyze these processes? f) implement actions necessary to achieve planned results and continual improvement of these processes?	Poor	Qualified	Giuseppe Greco: findings from Audit 1 peppepeppepepepepe: findings from Audit 2 Imported on 11/10/2010 from Audit performed at TEST Company 1, Belgium, Bruxelles from 11/03/2009 to 13/03/2009	Giuseppe Greco: findings from Audit 1 peppepeppepepepepe: findings from Audit 2 Imported on 11/10/2010 from Audit performed at TEST Company 1, Belgium, Bruxelles from 11/03/2009 to 13/03/2009	sdfsdfdsf
4.2.2-1	How does the organization establish and maintain a (quality) manual, which includes: a) the scope of the business management system, including details of, and justification for, any exclusions? b) the documented procedures established for the business management system, or reference to them?	Poor	Defined	qsfdqsqsdsd 26/10/2010: qsfdqsqsdsd	qsfdqsqsdsd	

- Whenever a ML insufficient, poor or NO is assigned and some text in the findings/evidences is entered, and subsequently the score changes into defined or a higher ML, then some information are stored into this area to keep the history of the **closed CARs**.
- Whenever an improvement action is assigned and some text in the "findings/evidences" and "corrective&improvement action" is entered, and subsequently the score changes into a higher ML, then some information are stored into this area to keep the history of the **closed IARs**.

This information is exported in the PDF audit report.

Site Extensions

In the sub-register "Site extensions" on the navigation point "Product categories", it is possible to add site extensions which will be included in the IRIS certificate (2nd page) during the certificate export.

IRIS, Revision 1.3 Certification/ Re-certification audit

Product categories | Remote locations | Site extensions

Company:	Street:	Zip, City:	Country:
Transportation Rail	Site extensions TEST	00000	Germany

Merge file

You can use the IRIS Audit-Tool to merge two audit files for the same company/location. This function is useful for when an audit was conducted by two teams of Auditors.

First, please open one of the two audit files (the MASTER file), which you would like the data to be imported into. In other words, one of the two audit files must serve as the target file (the MASTER file).

After you have opened the first audit file, please select the menu command "File"->"Import"->"Merge file".

Now you will be asked to select the second audit file which you would like the data to be imported from.

To take over only the content of the cells dedicated to the remote locations, check the option "Only take over the content from the remote locations". The import function will then take into account only the cells ticked in the column "remote location".

After you have selected the second audit file, the importing of the data starts.

If a data field in the target file already contains information (therefore some conflicts are existing), you will be asked to select which data you would like to have in the target file.



After the import is complete, you will be displayed a statistics page with how much data was imported and how many import conflicts were resolved.

Afterwards, please save the audit file under a new name.

Exporting the Certificate

If the audit is complete and was passed, you may go to the "File" ->"Export" ->"Export Certificate" menu to export the certificate based on the audit data into a PDF document (only for Certification Audits or Reaudits based on a Certification Audit, the password of the Certification Body is required).

A dialog opens at the beginning of an export.

First you are asked to log in using your user name and password here (Certification Body login only). Exports can only be carried out by the Certification Body, not by Auditors or Company users. A connection to the Internet must be available for the authentication process.

After that, you will need to decide whether you want to create the PDF as a new file or on the basis of a PDF Template.

In the third step, you can enter the file name and the location where you want the PDF document to be saved to.

Additionally, you shall select the **date of issue of the certificate** (automatically the validity will be set to 3 years time based on this date) and the **current date** (useful when updating an existing certificate, to identify the date when the certificate was modified).

When modifying an existing certificate, please select the checkbox "Modify existing certificate", the text on the PDF document will be adapted accordingly.

The screenshot shows the 'Export-Assistant' dialog box for IRIS Audit-Tool V3.1. The title bar includes the text 'Export-Assistant' and 'IRIS Audit-Tool V3.1'. The main window has a blue header with 'Audit-tool' in white. The dialog asks 'Where do you want to save the PDF file?' with a text box containing 'C:\Documents and Settings\giusepppeg.UNIFE\My Documents\IRIS\Audit Tool\'. Below this, it asks for the 'date of issue of the certificate' (21/10/2010) and the 'current date' (8/11/2010, highlighted with a pink box). It also asks for the 'certificate number' (TEST 1) and has checkboxes for 'Include headquarters information' and 'Open file after creation'. Buttons for 'Back', 'Next', 'Cancel', and 'Margins' are at the bottom.

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NEW HELP SECTION

ALL THIS WAS EXTRACTED FROM THE AUDIT-TOOL INTERNAL HELP SECTION.

We recommend having a look to the revised HELP section in case of questions about Audit-tool functionalities.