

# Compliance Module: Audits, Protocols, Findings & Actions

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## 1. Introduction

The Entropy Compliance module enables your organisation to improve the management of its compliance activities and processes. Entropy's Compliance tools allow you to support each step of your organisation's compliance planning, Audit Schedules, Non-conformance tracking, Action tracking and Reporting.

## 2. Audits

There are two Audit tools within Compliance, these are:

- Scheduled Audits
- Quick Audits (no schedule, no recurrence)


Before using either tool you need to decide if your Audits require a pre-built questionnaire (Protocol) or not. If the answer is yes, the first step will be to build your Protocol(s) in Entropy. Once built you will then create an Audit Schedule (if using scheduled Audits) and associate your Protocol. There are no schedules in Quick Audits so these can be created as and when needed.

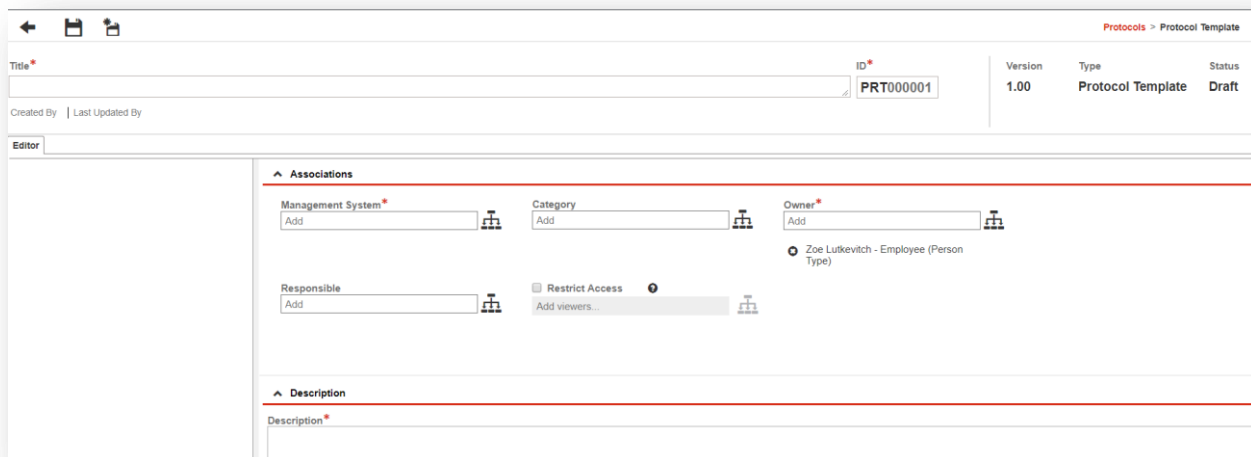
### 2.1 Creating an Audit Protocol (Audit questionnaire)

An Entropy Protocol is a list of questions that an Auditor uses during an Audit. Answers to Protocol questions can be entered in different formats. Answer formats include: numeric (range), text, drop-down menu, radio button (mutually exclusive) and tick-box (multiple selections).

**Tip:** To create/manage Audit Protocols a user would need the Compliance Manager access profile

To create a new Audit Protocol:


- 1) Navigate to **Compliance > Audits > Protocols**
- 2) Click the **Create**  icon
- 3) A blank **Protocol** record will open

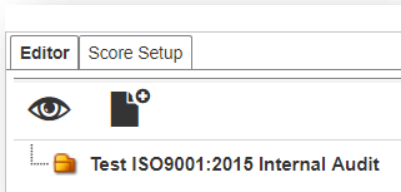




The screenshot shows the 'Protocol Template' form in the Entropy Compliance Manager. At the top right, it says 'Protocols > Protocol Template'. The form has several fields: 'Title\*' (empty), 'ID\*' (PRT000001), 'Version' (1.00), 'Type' (Protocol Template), and 'Status' (Draft). Below these are 'Created By' and 'Last Updated By' fields. The main form area is titled 'Editor' and contains an 'Associations' section with fields for 'Management System\*', 'Category', 'Owner\*' (with a dropdown showing 'Zoe Lutkevitch - Employee (Person Type)'), and 'Responsible'. There is also a 'Restrict Access' section with an 'Add viewers...' button. At the bottom, there is a 'Description' section with a 'Description\*' field.

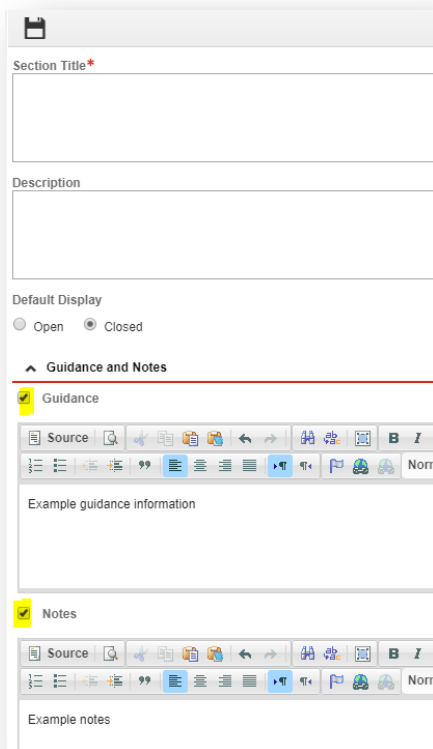
- 4) Enter the **Name** of your Audit Protocol e.g. ISO9001:2015 Internal Audit
- 5) Select the **Management System(s)** you want to associate with this record e.g. Quality
- 6) Add a **Category** (optional)

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- 7) Add an **Owner** for this record. The owner is the person responsible for setting the questions and updating the Protocol as necessary
- 8) Add a **Description** in the box provided
- 9) Click the **Save**  icon
- 10) You will now see that the **Editor** is enabled




- 11) Select the folder  and click **Create**  to add a **Section**
- 12) Enter the **Section Title**
- 13) Select the **Default Display**. If there are a lot of questions it is recommended that you leave the display **Closed** which is the default setting
- 14) Section **Guidance** is optional. If you want to add guidance for the Auditor, select the guidance tick box and add the guidance information in the field below. Likewise there is a notes section which behaves in exactly the same way as guidance notes



- 15) Click **Save** 

**Note:** Please click the Save  icon directly above the Section Title, and not the Save icon at the top of the screen.

- 16) Highlight the section you have just created and click **Create**  to add a **Question**
- 17) Add a question into the **Question Title** field
- 18) The **Remarks** tick box allows you to specify whether the additional remarks field will be available for Auditors to add their comments to an Audit answer. Adding remarks to your question can be useful for obtaining clarifications or evidence for question answers. Tick this box as necessary
- 19) The **Not Applicable** tick box allows you to specify whether or not the Auditor can mark the question as not applicable

**Question Properties**

**Question Title\***

How has the organization determined external and internal issues relevant to its purpose and strategic direction? How do these affect the ability to achieve the intended result of the QMS?

**Remarks**







**Not Applicable**

- 20) From the **Answer Type** drop down select the appropriate answer type for the question

**Answer Type**

Answer Type	RadioButto ▼
	DropDown
	Numeric
<b>Order</b>	<b>RadioButton</b>
	Text
	TickBox

- 21) If you have selected an **Answer Type** such as Radio Button, Drop Down or Tick Box, you will be required to enter your answer choices
- 22) Selecting the **Default** option for a particular answer means that this will be completed by default during an Audit. It is recommended that you leave these blank to ensure the Auditor is completing the answer for each question
- 23) If you want to associate a **Default Finding** to a particular answer, click create, located within the Finding column

Order	Answer	Default	Finding	Auto Comment	
▲ ▼	Complia	<input type="radio"/>			Please choose the question.
▲ ▼	Partially	<input type="radio"/>			Please choose the question.
▲ ▼	Not Con	<input type="radio"/>			Please choose the question.

When conducting a protocol audit, if the user selects an answer option for which there is a default Finding template, the system will automatically display the latest version of the short finding form. As part of the configuration of the default Finding template, content can be pre-populated within the short form saving the user time. The user also has the option to edit the content before saving the Finding. This applies to both quick and scheduled audits.

- Select the answer you want to associate a default Finding to, you will be presented with your available Finding Types, select the appropriated Finding from the list i.e. Non-conformance

Finding	Auto Comment
Best Practice	
NCR	
Opportunity for Improvement	

- The short form will open up, you can customise the content of the short form, for example you can add the NCR title, management system, category, owner, classification and description


- Select **Save**
- The icon changes to show that the question has a default Finding associated to it
- Now, whenever that answer is selected during an audit, the default Finding form will be presented, saving the Auditor time

Order	Answer	Default	Finding	Auto Comment	Next Question	Score	Compliance Indicator
1	1- Site Stop Notice	<input type="radio"/>			Please choose the question.	1	<input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/>
2	2-Activity Stop Notice	<input type="radio"/>			Please choose the question.	2	<input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/>
3	3- Improvement required	<input type="radio"/>			Please choose the question.	3	<input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/>

24) You are able to add **Auto Comments** for each answer, which will auto-populate the answer with comments. To do this click on the auto complete icon , tick the auto create comment box and add a title, description followed by **OK**









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- 25) The **Next Question** option gives you the ability to jump to another question in the Audit, depending on your response. For example, if you had "Is this section applicable to this Audit?" as your first question, if the Auditor selected No, then you could specify which question the Auditor went to next
- 26) If you are using scoring for your Audits, you can specify the score for each answer in the **Score** box provided
- 27) You can also indicate an answer's compliance using the **Compliance Indicator** traffic light buttons
- 28) If you have more than two answers, click  **Add Answer**


Answer Type

Answer Type: Radio Bu  Copy answer options from previous question: Please choose the question.

Order	Answer	Default	Finding	Auto Comment	Next Question	Score	Compliance Indicator
1	1- Site Stop Notice	<input type="radio"/>			Please choose the question.	1	<input type="radio"/> <input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>
2	2-Activity Stop Notice	<input type="radio"/>			Please choose the question.	2	<input type="radio"/> <input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>
3	3- Improvement required	<input type="radio"/>			Please choose the question.	3	<input type="radio"/> <input type="radio"/> <input checked="" type="radio"/> <input type="radio"/>
4	4- Compliant	<input type="radio"/>			Please choose the question.	4	<input type="radio"/> <input type="radio"/> <input type="radio"/> <input checked="" type="radio"/>

- 29) Click **Save** 
- 30) To add another question or section, repeat the above steps

**Tip:** You can copy the answer options to questions if they are the same e.g. Yes & No. Use 'Copy answer options from previous question' dropdown to do this

- 31) When you have completed adding all of your sections and questions to your Audit, click the **Save**  icon located at the top of the screen followed by the **Activate** icon

**Note:** If you forget to activate your protocol it will not be available for selection when scheduling your audits

## 2.2 Create an Audit Schedule

Entropy's Audit scheduling tool allows flexible planning of internal Audits. Each Audit must be assigned to a 'Lead Auditor' for the conducting and closing of the Audit. You have the option to recur Audits based on your desired frequency, e.g. daily, weekly, monthly, and yearly.

To schedule an Audit:

- 1) Click **Compliance > Audits > Audit Schedules**
- 2) Click the **Create** 

- 3) Enter the **Title** of your Audit
- 4) Enter the **Associations**:
  - **Management System** > use the picker to select the Management System (s) you want to associate with your Audit
  - **Category** > use the picker to select category(s) you want to associate with your Audit. Optional field
  - **Owner** > the owner has full edit rights to the Audit schedule, their role is to create & manage the schedule
  - **Responsible** > use the picker to select a responsible person(s) you want to associate with your Audit schedule. Optional field
  - **Restricted Access** > this field will restrict who will be able to view the Audit. This should only be used if the information in the record is sensitive or confidential. Using the picker select the individual(s) that you want to include in the Restricted Access Group from the Organizational Unit tree. Optional field
- 5) Enter the **Scope** of your Audit as required

- 6) If using recurring Audits, select the **Recurrence** tick box as required e.g. Daily/Weekly, Monthly and Yearly

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- 7) Set recurrence pattern as described in the screen shot below. Use **Automatically set due date for Initial Audit?** if you require the initial Audit to be out of sync with the on-going schedule i.e. first Audit to take place 15<sup>th</sup> Jan all other Audits to recur 1<sup>st</sup> of every month thereafter.


- 8) If this is a one off Audit then do not select the Recurrence tick box, simply enter the **Due Date** of the one off Audit

- 9) To add a Protocol to the schedule click **+** **Select Protocol** (remember you must have first created a Protocol and it must be in active state before it can be linked to an Audit schedule)
- 10) Select the Protocol you wish to use and click **OK**


ID	Title	Management Sy...	Category
PRT-000001	Test ISO9001:2015 Internal ...	Quality Management	

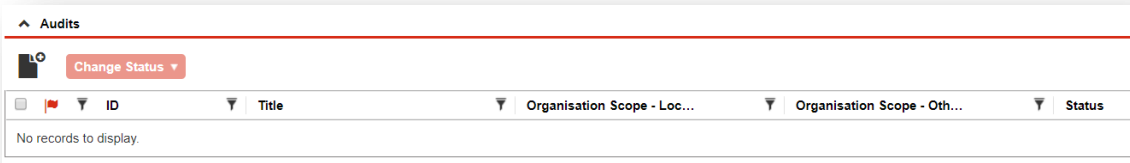
- 11) If you are not using Protocols, then you do not need to add anything under the Protocol section

**Note:** Only **ONE** protocol may be assigned to an audit schedule

- 12) Click **Save**  followed by **Submit**. Click **OK** to changing the status to **Not Started**
- 13) Your schedule is now created, so the next step is to add Audits to this schedule

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14) To add Audits to your schedule, click the **Create**  icon under the **Audits** section



**Note:** You can add one audit to the schedule or many audits. Many audits across multiple locations

- 15) Select **Add One**
- 16) You have the option to change the **Audit Title** (the Audit title is pre-populated with the Audit schedule title)
- 17) Create the **Associations**
  - **Management System** > the management system(s) from the schedule are carried through to the Audit, this information can be changed if required by using the picker
  - **Organisation Scope – Location (Internal)** > ensure this is the correct site/location the Audit relates to, this information can be changed if required by using the picker.
  - **Organisation Scope – Location (External)** > if you have Customers/Suppliers set up in your system and you want to link them to Audit, select using the picker
  - **Organisation Scope – Others (Internal)** > if you want to tag people/department/processes to the Audit for information purposes, select using the picker. Optional field
  - **Lead Auditor** > select the lead Auditor(s) using the picker
  - **Audit Team** > select the Audit team using the picker. Optional field
  - **Restricted Access** > this field will restrict who will be able to view the Audit. This should only be used if the information in the record is sensitive or confidential. Using the picker select the individual(s) that you want to include in the Restricted Access Group from the Organizational Unit tree. Optional field
- 18) Enter the **Schedule Date**. This is the first date the Audit can start
- 19) Enter the **Due Date**. This is when the Audit needs to be completed by

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20) Click **Save**  the Audit and the **Conduct** button will now appear

**Note:** The lead auditor will receive a task to complete the audit and an email notification (as long as the email notification has been set up)

## 2.3 Conducting a Scheduled Audit

1) From within the **Audit Schedule** record, navigate to the **Audits** section and click on the title of Audit you wish to conduct

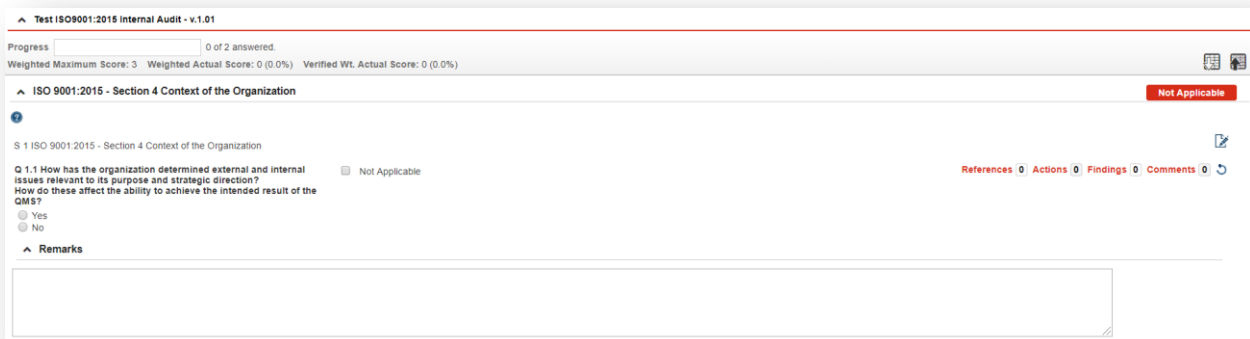


ID	Title	Organisation Scope - Loc...	Organisation Scope - Oth...	Status	Lead Auditor	Sched...	Due C
AUR-000005	ISO9001:2015 HR Department	Head Office	Human Resources	In progress	Test User2	01/02/2018 ...	15/0
AUR-000006	ISO9001:2015 - Engineering	Head Office	Engineering	Scheduled	Test User2	01/03/2018 ...	31/0

2) Click the **Conduct** button, located at the top of the record. Click **OK** to the **Change the record status to In progress?**

3) In the **General Information** section, you are able to add an **Introduction** and an **Executive Summary** as necessary.

4) If you have linked a Protocol containing Audit questions, the questions are available below the **Executive Summary** field



Test ISO9001:2015 Internal Audit - v.1.01

Progress 0 of 2 answered. Weighted Maximum Score: 3 Weighted Actual Score: 0 (0.0%) Verified Wt. Actual Score: 0 (0.0%)

ISO 9001:2015 - Section 4 Context of the Organization Not Applicable

S 1 ISO 9001:2015 - Section 4 Context of the Organization

Q 1.1 How has the organization determined external and internal issues relevant to its purpose and strategic direction? How do these affect the ability to achieve the intended result of the QMS? References 0 Actions 0 Findings 0 Comments 0

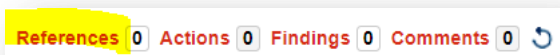
Yes  Not Applicable  No

Remarks

5) If your Audit has multiple sections, you will see a button to the far right Not Applicable, this allows you to mark an entire section as not applicable

6) Work through the questions adding your answers and remarks

7) Documentary or photographic evidence can be uploaded to each answer by clicking the **References** link



8) Supporting comments can be added by the Auditor by clicking the **Comments** link

References 0 Actions 0 Findings 0 **Comments** 0 ↻


- 9) If the Protocol sections/questions have been set up with notes or guidance click on the corresponding icons to see more information:

Notes 

Guidance 

- 10) To raise a Finding, select **Findings** from the menu on the far right (further information on raising a Finding click [here](#))

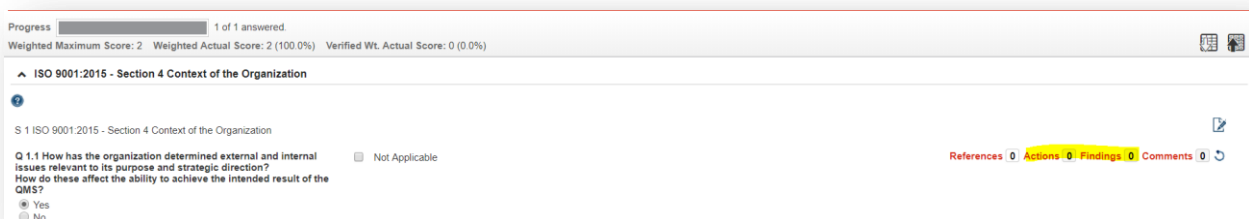
References 0 Actions 0 **Findings** 0 Comments 0 ↻

- 11) To raise an Action you will first need to **Save**  your Audit. This is because raising Actions takes you out of the Audit and into the Action tool. Once saved, select **Actions** (further information on raising an Action click [here](#))

References 0 **Actions** 0 Findings 0 Comments 0 ↻

**Tip:** Complete all of the questions and save the record before adding any findings or Actions

- 12) If you are conducting a questionnaire based Audit, the Findings and/or Actions can be assigned at question level



The screenshot shows a progress bar at the top with '1 of 1 answered'. Below it, a question is displayed: 'Q 1.1 How has the organization determined external and internal issues relevant to its purpose and strategic direction? How do these affect the ability to achieve the intended result of the QMS?'. There are radio buttons for 'Yes' and 'No', and a 'Not Applicable' checkbox. On the right side of the question, there is a menu with 'References 0', 'Actions 0', 'Findings 0', and 'Comments 0'.

- 13) If you are doing a process based Audit (no Protocol) your Findings, Actions, comments and supporting evidence will be added to the section at the bottom of the Audit record

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- Once all references, comments, Findings and Actions have been added you can complete the Audit by selecting the **Complete** button located at the top of the record

**Note:** When to complete an audit will depend on your internal process. Some businesses complete the audit when the audit has taken place, whereas some businesses will only complete the audit when all of the associated Findings and Actions have been resolved. **Be aware that only once the audit is marked as Complete will the next audit be scheduled.**


## 2.4 Creating and Conducting a Quick Audit

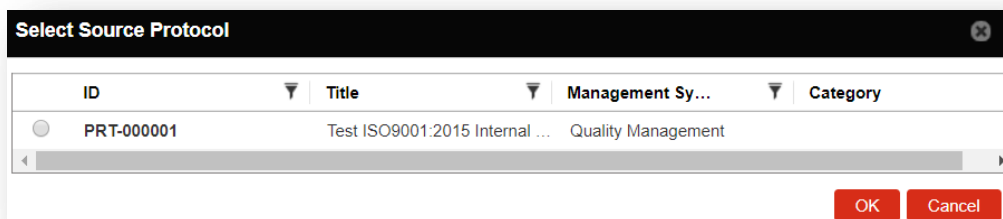
Entropy's quick Audit tool is primarily used for unplanned Audits, inspections and external Audits such as customer Audits (if a customer Audits your Organisation you can create a record within quick Audits, attach the Audit report, raise and track any Findings that come out of that Audit).

- Click **Compliance > Audits > Quick Audits**
- Click the **Create** 

- Enter the **Title** of your Audit
- Enter the **Associations**:


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- **Management System** > use the picker to select the Management System (s) you want to associate with your Audit
  - **Organisation Scope – Location (Internal)** > use the picker to select the site/location the Audit relates to
  - **Organisation Scope – Location (External)** > if you have customers/suppliers set up in your system and you want to link them to Audit, select using the picker. Optional field
  - **Organisation Scope – Others (Internal)** > if you want to tag people/department/processes to the Audit, select using the picker. Optional field
  - **Category** > use the picker to select category(s) you want to associate with your Audit. Optional field
  - **Lead Auditor** > select the lead Auditor(s) using the picker
  - **Audit Team** > select the Audit team using the picker. Optional field
  - **Restricted Access** > this field will restrict who will be able to view the Audit. This should only be used if the information in the record is sensitive or confidential. Using the picker select the individual(s) that you want to include in the Restricted Access Group. Optional field
- 5) Under **General Information**, enter the **Scope Description** of your Audit as required
  - 6) To add a Protocol to the Audit click  **Select Protocol** (remember you must have first created a Protocol and it must be in active state before it can be linked to an Audit)
  - 7) Select the Protocol you wish to use and click **OK**

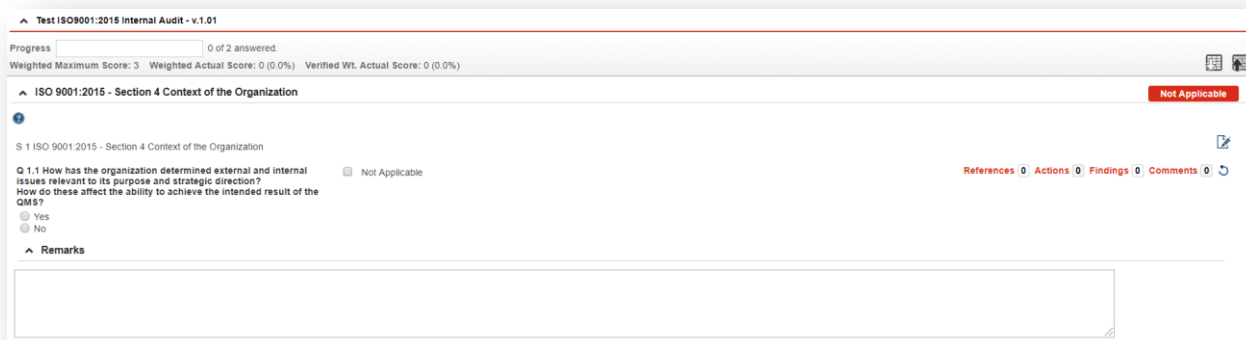


- 8) If you are not using Protocols, then you do not need to add anything under the Protocol section

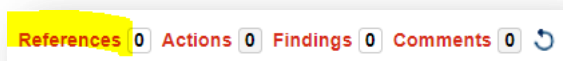
**Note:** Only **ONE** protocol may be assigned to a quick audit

- 9) Click **Save** 
- 10) Once you are ready to conduct the Audit and update the details in Entropy click **Start**. Click **OK** to changing the status to **In Progress**
- 11) In the **General Information** section, you are able to add to the **Scope Description** and an **Introduction** field as necessary.
- 12) If you have linked a Protocol containing Audit questions, the questions are available below the **Executive Summary** field

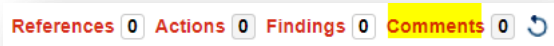






- 13) If your Audit has multiple sections, you will see a button to the far right **Not Applicable**, this allows you to mark an entire section as not applicable
- 14) Work through the questions adding your answers and remarks
- 15) Documentary or photographic evidence can be uploaded to each answer by clicking the **References** link



- 16) Supporting comments can be added by the Auditor by clicking the **Comments** link




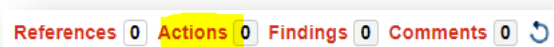
- 17) If the Protocol sections/questions have been set up with notes or guidance click on the corresponding icons to see more information:

Notes   
 Guidance 

- 18) To raise a Finding, select **Findings** from the menu on the far right (further information on raising a Finding click [here](#))



- 19) To raise an Action you will first need to **Save**  your Audit. This is because raising Actions takes you out of the Audit and into the Action tool. Once saved, select **Actions** (further information on raising an Action click [here](#))



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**Tip:** Complete all of the questions and save the record before adding any findings or Actions

- 20) If you are conducting a questionnaire based Audit, the Findings and/or Actions can be assigned at question level

The screenshot shows a progress bar at the top with '1 of 1 answered'. Below it, the audit record title is 'ISO 9001:2015 - Section 4 Context of the Organization'. The question is 'Q 1.1 How has the organization determined external and internal issues relevant to its purpose and strategic direction?'. There are radio buttons for 'Yes' and 'No', and a 'Not Applicable' checkbox. On the right, there are counters for 'References 0', 'Actions 0', 'Findings 0', and 'Comments 0'.

- 21) If you are doing a process based Audit (no Protocol) your Findings, Actions, comments and supporting evidence will be added to the section at the bottom of the Audit record

The screenshot shows four sections at the bottom of the audit record: 'Actions', 'Comments', 'Findings', and 'References & Attachments'. Each section has a table header with columns for 'Title', 'ID', 'Type', 'Proposed Resolution Date', 'Question Number', and 'Status'. The 'Actions' and 'Findings' sections currently show 'No records to display'. The 'References & Attachments' section is partially visible at the bottom.

- 22) Once all references, comments, Findings and Actions have been added you can complete the Audit by selecting the **Complete** button located at the top of the record

## 2.5 Raising Findings and Actions from a Scheduled Audit/Quick Audit

Raising Findings and Actions from within an Audit record is the same process as creating standalone Findings and Actions; the only difference is where the record creation starts from.

Within an Audit the Finding/Action will start from one of two places:

- 1) Findings and Actions for Protocol based Audits will be raised via the following options located alongside the Audit question:

References 0 Actions 0 Findings 0 Comments 0 ↻

- 2) Findings and Actions for non-Protocol Audits will be raised via the menu located at the bottom of the Audit record:

## 2.5.1 Raising Findings against Protocol Audits (Finding Short Form)

- 3) From within the Audit, locate the question you are raising the Finding against
- 4) Click Findings from the menu to the right of the question Findings 0
- 5) You will be presented with the list of available Finding types, select the appropriate Finding

- 6) The Finding form will open up on the screen. Please be aware, this is the short version of the Finding form designed to make the process of creating Findings within an Audit faster (if you want to know how to enable more fields on the Finding short form, click [here](#))
- 7) In this example we will be creating a Non-Conformance
- 8) Enter the **Title** of your NCR
- 9) Enter the **Associations**:
  - **Management System** > use the picker to select the Management System(s) you want to associate with your NCR
  - **Organisation Scope – Location (Internal)** > use the picker to select the site/location the NCR relates to
  - **Organisation Scope – Location (External)** > if you have customers/suppliers set up in your system and you want to link them to NCR, select using the picker. *Optional field*

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- **Category** > use the picker to select category(s) you want to associate with your NCR. *Optional field (unless it has been set to mandatory in the workflow)*
- **Owner** > the owner is the person who you are assigning the NCR to

The screenshot shows a form for creating a Non-Conformance Record (NCR). At the top, there are fields for 'Title' and 'ID' (with value 'NCR000050'). To the right, 'Record Type' is 'NCR' and 'Status' is 'Draft'. Below this, it says 'Created from record: AUR-000034'. A section titled 'Associations' contains several pickers: 'Management System' (with 'Quality Management' selected), 'Organisation Scope - Location (Internal)' (with 'Head Office - Location (Location Type)' selected), 'Organisation Scope - Location (External)', and 'Category' (with 'Internal Audits' selected). At the bottom, the 'Owner' picker has 'Zoe Lutkevitch - Employee (Person Type)' selected.

- 10) **Identification Date** > enter the date the NCR was identified
- 11) **Classification** > from the pick list, select the classification. This is the level of importance/criticality of the NCR to your business
- 12) **Due Date** > use the date picker and select the date the NCR is due to be resolved
- 13) **Description** > using the rich text editor field, enter the details of your NCR

This screenshot shows a portion of the NCR form. It includes a 'Classification' dropdown menu set to 'High', a 'Due Date' field, and an 'Identification Date' field with a date picker showing '25/04/2019 15:27'. Below these is a large 'Description' field with a rich text editor interface.


- 14) Click **Save**, the record status is saved to **Draft**

**Tip:** Remember when you create a Finding via the short form, the record is in **Draft** status, you will be required to transition the record from **Draft** to **Open** which will notify the Owner they have received a new Finding. The simplest way to do this is to go to the bottom of the Audit record where all short form Findings will be listed, click the title to open up the Finding record, from here you can add more information before submitting it to the Owner

The screenshot shows a table titled 'Findings'. The table has columns for Title, ID, Type, Proposed Resolution Date, Question Number, and Status. One row is visible with the following data:

Title	ID	Type	Proposed Resolution Date	Question Number	Status
Wrong version of document	NCR-000050	NCR		1.2	Draft

## 2.5.2 Raising Actions against Protocol Audits

- 1) To raise an Action you will first need to **Save**  your Audit
- 2) From within the Audit, locate the question you are raising the Action against

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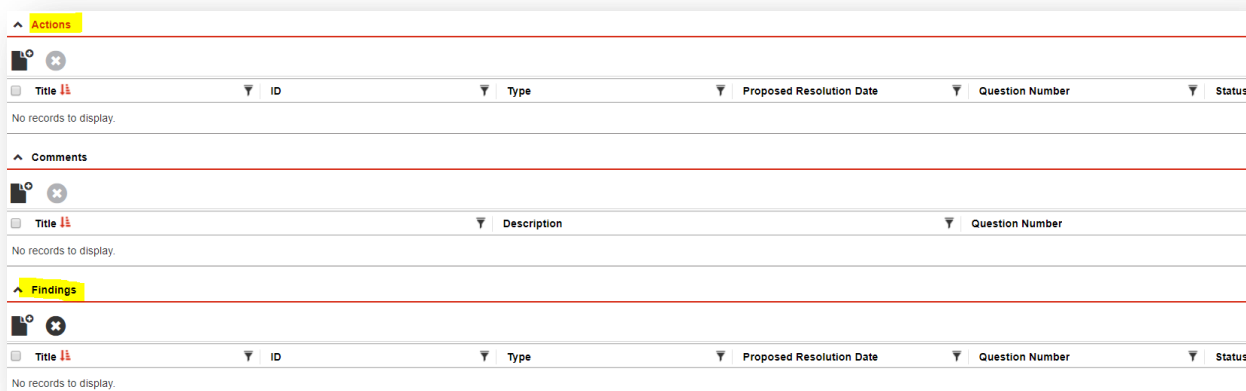
- 3) Click Actions from the menu to the right of the question **Actions** 0
- 4) You will be presented with the list of available Action types, select the appropriate Action



- 5) You will be redirected to the Action tool to enter the details of the Action. Please click [here](#) for further instructions

## 2.5.3 Raising Findings and Actions against non-Protocol Audits




- 1) From within the non-Protocol Audit go to the Action/Finding area located at the bottom of the screen and select either Actions or Findings
- 2) You will be presented with the list of available Action/Finding types (depending what you clicked on. Select the appropriate record type from the list



- 3) For instructions on raising Findings for non-Protocol Audits [click here](#)
- 4) For instructions on raising Actions [click here](#)

## 2.6 Exporting Audit Reports

Entropy allows you to export your Audit report (Quick or Scheduled) into PDF or Word format, once in PDF or Word they can be printed or viewed electronically.

- 1) Go into the Audit record you wish to export
- 2) In the top right hand corner select detailed  or extended view 
- 3) The record is now in an exportable format, click export  to export the record into Word or PDF

## 2.7 Audit Scorecards


Scorecards convey information as to whether your organisation's audit results are succeeding or failing to meet your organisation's compliance standards. If a scorecard has green circle (traffic light)

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displayed next to an Audit or a Protocol then the audit or audits associated with an Audit or Protocol are in compliance with your organisation's standards. If a scorecard has yellow circle (traffic light) next to an Audit or a Protocol then the audit or audits associated with an Audit or Protocol are in danger of non-compliance with your organisation's standards. When a scorecard has red circle (traffic light) displayed next to an Audit or a Protocol then the audit or audits associated with an Audit or Protocol are in non-compliance with your organisation's standards

- 1) Click **Compliance > Audits > Scorecards**
- 2) Click the **Create** 

The screenshot shows a web form for creating a scorecard. At the top right, it says 'Scorecards > Scorecard'. There are two tabs: 'Record Type' (Scorecard) and 'Status' (Draft). The 'ID' field contains 'SCC000007'. Below this, there are fields for 'Created By' and 'Last Updated By'. The 'Associations' section has 'Management System' (None Selected) and 'Category' (None Selected). The 'Owner' field has an 'Add' button and a dropdown menu showing 'Zoe Lutkevitch - Employee (Person Type)'. The 'Responsible' field also has an 'Add' button. There is a 'Restrict Access' section with an 'Add viewers...' button. The 'General Information' section has a 'Description' field.

- 3) Enter the **Title** of your Scorecard
- 4) Enter the **Associations**:
  - **Owner** > the person creating the scorecard will default as the owner, to change, click the x next to the name and use the picker to select another user
  - **Responsible** > not required
  - **Description** > not required
- 5) Select **Save**
- 6) Under the section **Scorecard Configuration**, select create 
- 7) You will be presented with two options, **Select Audits Manually** and **Select Audits Conditionally**. If you opt for Select Audits Conditionally, each time an audit associated to that scorecard is created, started, completed – the scorecard will be updated automatically.
- 8) Click **Select Audits Conditionally**
- 9) You can either create a scorecard against an Audit schedule or an Audit Protocol, if you opt to create the scorecard against a Protocol, the scorecard can become out of date if a new version of the Protocol is created
- 10) Select the Schedule or Protocol and click **Next**

Source > Audits

Search By  Audit Schedule  Protocol Select a record from the list below.

ID	Title	Status
AUD-000002	ISO9001:2015	In progress
AUD-000016	Finding Short Form	In progress
AUD-000017	Finding Short Form Demonstration	In progress

- 11) **Add Condition** > ignore
- 12) Click **Finish**
- 13) Click **Publish**

Scorecard key

Details of the audits in the scorecard tab

	Finding Short Form Daventry, AUR-000029	Finding Short Form De... Daventry, AUR-000030	one off test for issu... Head Office, Human Re..	ISO9001:2015 - HR Head Office, AUR-0000...	ISO9001:2015 Head Office, AUR-0000...	Scorecard Head Office, AUR-0000...	scorecard test 2 Head Office, AUR-0000...	Scorecard test 3 Head Office, AUR-0000...	Finding Short Form De... Lancaster, AUR-000031	Finding Short Form De... Lancaster, AUR-000032
▼ PRT-000001 - Test ISO9001:2015 Internal Audit - v1.0...	●	●	●	●	●	●	●	●	●	●
▼ 1 - S 1 ISO 9001:2015 - Section 4 Context of the Org...	●	●	●	●	●	●	●	●	●	●
Q1.1 - Q 1.1 How has the organization determined exter...	●	●	●	●	●	●	●	●	●	●
Q1.2 - Q 1.2 test	●	●	●	●	●	●	●	●	●	●

Scores displayed against question, audits stacked against one another

## 2.8 Entropy Calendar

The Entropy Calendar provides a calendar view of Audits, Audit schedules and many other record types. The calendar provides a look ahead for the day, week, year or month.

Filters are used to configure 'views' the calendar and these 'views' can be saved for future use. In addition the views can be shared with other Entropy users.

The calendar provides a summary of information when hovering over the Audit. Overdue Audits are also displayed on the calendar

You can find more information in the Calendar and Dashboard Userguide

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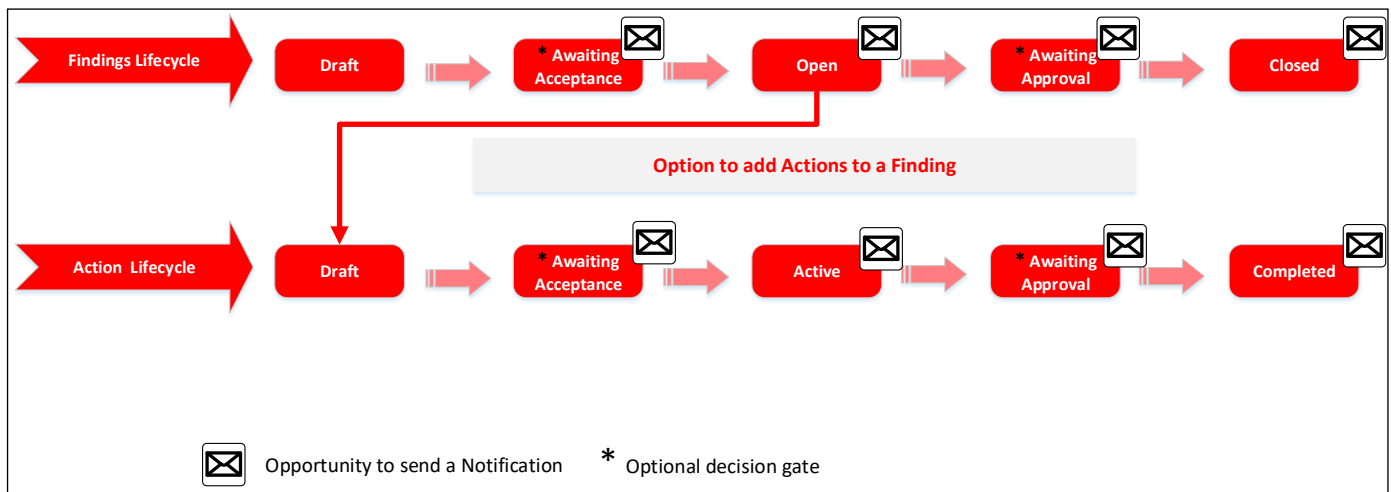
## 3. Findings

The Entropy Findings tool allows you to record and manage your Organization's Findings. A Finding is information discovered as a result of an Audit or investigation.

There are 5 Finding Types in the system: Best Practice, Non-conformance, Observation, Opportunity for Improvement and Recommendation. It is possible to rename any of these 5 Finding Types, for example Recommendation could be renamed to 'Customer Feedback' and the form customised according to requirements. Your Entropy consultant can assist you with this. You can also remove Findings if you do not want to use the 5 available.

In this user-guide we will show you how to how to create a Finding record and how to configure the workflow for a Finding record. As all Finding behaviour is the same, we will use the NCR Finding type in this guide as this is the most commonly used Finding.

### 3.1 Basic Finding & Action Workflow

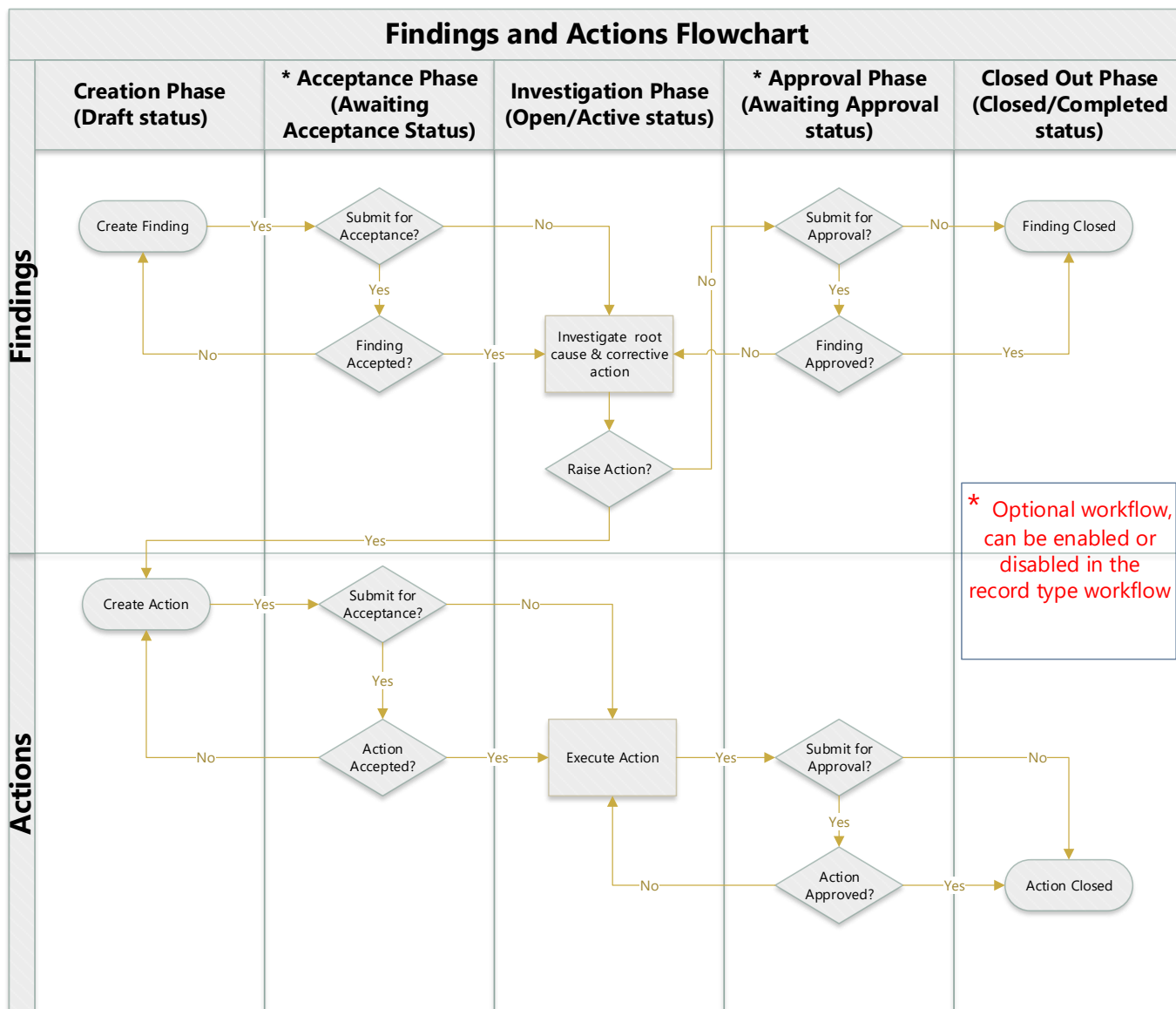


### 3.2 Creating a Finding (Draft Status)

The diagram below explains the Finding workflow. There are a number of optional workflow paths that are denoted by the symbol \*

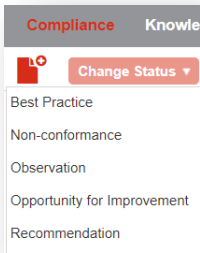
This user-guide will cover all of the workflow paths in detail, please skip the sections that are not applicable to you.






**Note:** The following instructions have been created using the default Entropy NCR form. If you have done any customisation to your NCR finding form (such as adding custom fields or removing default fields) then the following steps will differ from your record workflow

- 1) Click **Compliance** from the menu bar. Select **Findings & Actions** from the menu followed by **Findings** from the sub menu
- 2) Click the **Create** icon, your menu may differ from the following screen shot if you have done any customisation



- 3) Select the Finding type from the list presented (NCR will be used in this example)
- 4) Enter the **Title** of your NCR
- 5) Enter the Associations:
  - **Management System** > use the picker to select the Management System(s) you want to associate with your NCR
  - **Organisation Scope – Location (Internal)** > use the picker to select the site/location the NCR relates to
  - **Organisation Scope – Location (External)** > if you have customers/suppliers set up in your system and you want to link them to NCR, select using the picker. *Optional field*
  - **Organisation Scope – Others (Internal)** > if you want to tag people/department/processes to the NCR, select using the picker. *Optional field*
  - **Category** > use the picker to select category(s) you want to associate with your NCR. *Optional field (unless it has been set to mandatory in the workflow)*
  - **Owner** > the owner is the person who you are assigning the NCR to
  - **Responsible** > the responsible person(s) is anyone that needs to be aware of the NCR and is often the person/people who the escalation email will go to if the NCR is not completed on time. *Optional field (unless it has been set to mandatory in the workflow)*
  - **Acceptor** > this field will only be visible if acceptance has been enabled in the workflow. The acceptor is the person who will accept the NCR, once accepted the NCR will be passed to the designated owner
  - **Approver** > this field will only be visible if approval has been enabled in the workflow. The approver is the person who will approve the NCR for closure
  - **Restricted Access** > this field will restrict who will be able to view the NCR record. This should only be used if the information in the record is sensitive or confidential. Using the picker select the individual(s) that you want to include in the Restricted Access Group. *Optional field*

- 6) **Identification Date** > enter the date the NCR was identified
- 7) **Classification** > from the pick list, select the classification. This is the level of importance/criticality of the NCR to your business
- 8) **Proposed Resolution Date** > use the date picker and select a proposed date to resolve the NCR. *This is an optional field and may be hidden from your form.*
- 9) **Due Date** > use the date picker and select the date the NCR is due to be resolved
- 10) **Acceptance Date** > this field will only be visible if record 'Acceptance' has been enabled in the workflow
- 11) **Description** > using the rich text editor field, enter the details of your NCR
- 12) **Action required** > using the rich text editor field, enter any relevant information concerning the Actions required to address the NCR. *This is an optional field and may be hidden from your form.*
- 13) **Cost** > enter the cost implication of this NCR, *this is an optional field and may be hidden from your form.*
- 14) **Causes** > the root cause field is often hidden from the 'draft' status of the record as this information is not always known at this point. To add root cause information, use the picker to select the applicable cause from your root cause list.
- 15) **Facts and Causes** > the facts and causes field is often hidden from the 'draft' status of the record as this information is not always known at this point. To enter information, enter the details of your NCR into the text field
- 16) Click **Save** , the record status is saved to **Draft**
- 17) If you have **NCR Acceptance** activated, click **Submit for Acceptance** and the NCR record status will change to **Awaiting Acceptance**. [Click here for next set of instructions](#)
- 18) If you do not have **NCR Acceptance** activated, click **Submit** and the NCR record status will change to **Open**. [Click here for next set of instructions](#)

### 3.2.1 Submit for Acceptance (Awaiting Acceptance status)

**Note:** You will only see this record state if 'Mandatory Acceptance' has been activated in your NCR workflow.

- 1) The NCR acceptor will receive an email notification advising them they have an NCR to accept (if this does not happen please speak to your Entropy Administrator to ensure the email notification has been set up)
- 2) Open the NCR record and go to the section **Reviews**.


Reviews			
Reviewer	Last Updated	Type	Status
Zoe Lutkevitch	28/02/2018 16:31	Acceptance Review	Required

- 3) Click the link (reviewer user name) to open up the review. Add **Comments** in the mandatory field and select **Accept** or **Reject**

The screenshot shows a document review interface. At the top, there are navigation icons (back, save) and two buttons: 'Accept' and 'Reject'. Below this is a 'Title' section with the text 'Review Of Wrong version of document'. Underneath the title, it says 'Created By: Zoe Lutkevitch on 28/02/2018 at 16:31 | Last Updated By: on 28/02/2018 at 16:31 | Created from record: NCR-000017'. At the bottom, there is a 'Comments\*' section with a single comment: 'Ok to accept'.

- 4) If accepted the record status will change to **Open**.

### 3.2.2 Submit Finding (Open status)

- 1) The NCR owner will receive an email notification advising them they have been assigned an NCR (if this does not happen please speak to your Entropy Administrator to ensure the email notification has been set up)
- 2) In most cases, the owner is responsible for investigating the cause of the NCR and putting Corrective Actions in place
- 3) Click the **Facts and Causes Description** rich text editor field and enter any information that supports/explains why the non-conformance occurred
- 4) Click the **Causes** picker and select a root cause to associate with this Finding
- 5) Click the **Cost** field and enter the estimated cost of the NCR. *This is an optional field and may be hidden from your form.*
- 6) Click **Save** 
- 7) Once you have saved your NCR you can create **Actions** ([click here to go to Actions section](#))

### 3.3 Closing a Non-Conformance Finding

- 1) If you have **NCR Approval** activated [Click here for next set of instructions](#)
- 2) If you do not have **NCR Approval** activated [Click here for next set of instructions](#)

#### 3.3.1 Submit NCR for Approval (Awaiting Approval status)

**Note:** You can only submit an NCR for approval if 'Mandatory Approval' has been activated in your NCR workflow.

- 1) Once the NCR is ready for closure it can be submitted for approval
- 2) Click **Submit for Approval**, the record status will change to **Awaiting Approval**
- 3) The NCR approver will receive an email notification advising them they have an NCR to approve (if this does not happen please speak to your Entropy Administrator to ensure the email notification has been set up)

Reviewer	Last Updated	Type	Status
Zoe Lutkevitch	28/02/2018 16:34	Acceptance Review	Accepted
Zoe Lutkevitch	28/02/2018 16:42	Approval Review	Required

- The 'Approver' will click the link under the **Reviewer** section (user name) to open up the review. Select **Approve** or **Reject** approval of the NCR adding comments

←
📄
Approve
Reject

**Title**  
Review Of Wrong version of document

Created By: Zoe Lutkevitch on 28/02/2018 at 16:42 | Last Updated By: on 28/02/2018 at 16:42 | Created from record: NCR-000017

**Comments\***  
NCR approved

- The **Completed Date** and **Approved Date** are automatically entered and the record status changes to **Closed**

Classification High	Proposed Resolution Date No Date	Due Date 31/03/2018 00:00	Identification Date 28/02/2018 16:27	Actual Closed Date 28/02/2018 16:42
Acceptance Due Date 05/03/2018 00:00	Accepted Date 28/02/2018 16:34	Approved Date 28/02/2018 16:44		

### 3.3.2 Close NCR (Closed status)

- Once the NCR is ready for closure it can be closed by the Finding Owner
- Click **Close**. The **Completed Date** is automatically entered and the record status changes to **Closed**

### 3.4 Editing a Closed Finding

Administrators (system administrators and compliance super users) have ability to edit closed findings so that if they are closed with incorrect information (e.g., categories or locations), those values can be changed and future reporting will be correct.

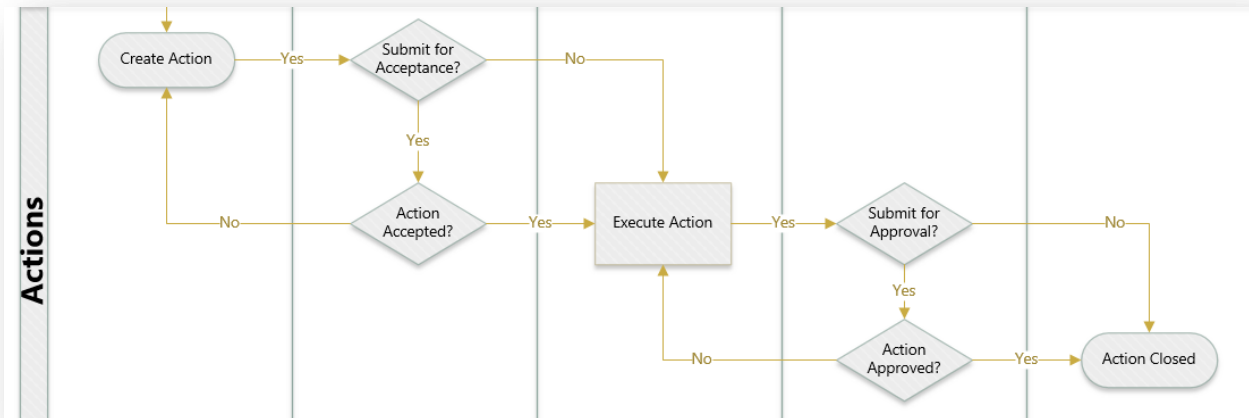
All changes will be recorded within the records revision history.

There is no configuration or workflow required to activate this functionality, a user with the above access profiles will have full edit rights to the Finding record.


## 4. Actions

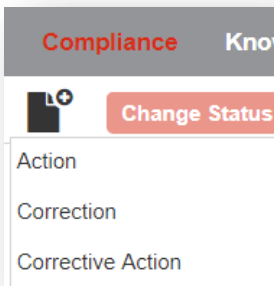
Actions can be raised as independent records, which are not connected to any Findings, Audits, meetings etc or they can be raised from and connected to another record. The example below uses an independent Action not connected to any other records.

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## 4.1 Creating an Action (Draft Status)


- 1) Click **Compliance** from the menu bar. Select **Findings & Actions** from the menu followed by **Actions** from the sub menu
- 2) Click the **Create**  icon



- 3) Select the Action type from the list presented (Corrective Action will be used in this example)
- 4) Enter the **Title** of your Action
- 5) Enter the **Associations**:
  - **Management System** > use the picker to select the Management System(s) you want to associate with your Action
  - **Organisation Scope – Location (Internal)** > use the picker to select the site/location the Action relates to
  - **Organisation Scope – Location (External)** > if you have customers/suppliers set up in your system and you want to link them to the Action, select using the picker. *Optional field*
  - **Organisation Scope – Others (Internal)** > if you want to tag people/department/processes to the Action, select using the picker. *Optional field*
  - **Category** > use the picker to select category(s) you want to associate with your Action. *Optional field (unless it has been set to mandatory in the workflow)*
  - **Owner** > the owner is the person who you are assigning the Action to
  - **Responsible** > the responsible person(s) is anyone that needs to be aware of the Action and is often the person/people who the escalation email will go to if the Action is not completed on time. *Optional field (unless it has been set to mandatory in the workflow)*

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- **Acceptor** > this field will only be visible if acceptance has been enabled in the workflow. The acceptor is the person who will accept the Action, once accepted the Action will be passed to the designated owner
- **Approver** > this field will only be visible if approval has been enabled in the workflow. The approver is the person who will approve the Action for closure
- **Restricted Access** > this field will restrict who will be able to view the Action record. This should only be used if the information in the record is sensitive or confidential. Using the picker select the individual(s) that you want to include in the Restricted Access Group. *Optional field*

- 6) **Description** > using the rich text editor field, enter the details of your Action
- 7) **Start Date** > enter the date the Action was created/needs to be started by
- 8) **Due Date** > use the date picker and select the date the Action is due to be resolved
- 9) **Priority** > from the pick list, select the priority. This is the level of importance/criticality of the Action to your business
- 10) **Proposed Resolution Date** > use the date picker and select a proposed date to resolve the Action. *This is an optional field and may be hidden from your form.*
- 11) **Acceptance Due Date** > this field will only be visible if record 'Acceptance' has been enabled in the workflow
- 12) **Cost** > enter the cost implication of this Action, *this is an optional field and may be hidden from your form.*
- 13) **Notes** > using the rich text editor field, enter any relevant information concerning the Action. *This is an optional field and may be hidden from your form.*
- 14) Click **Save** , the record status is saved to **Draft**
- 15) If you have **Action Acceptance** activated, click **Submit for Acceptance**, the Action record status will change to **Awaiting Acceptance**. [Click here for next set of instructions](#)
- 16) If you do not have **Action Acceptance** activated, click **Submit** and the Action record status will change to **Active**. [Click here for next set of instructions](#)

## 4.2 Submit for Acceptance (Awaiting Acceptance status)

**Note:** You will only see this record state if 'Mandatory Acceptance' has been activated in your Action workflow.

- 1) The Action acceptor will receive an email notification advising them they have an Action to accept (if this does not happen please speak to your Entropy Administrator to ensure the email notification has been set up)
- 2) Open the Action record and go to the section **Reviews**.

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Reviewer	Last Updated	Type	Status
Test User2	27/03/2018 12:33	Acceptance Review	Required

- 3) Click the link (reviewer user name) to open up the review. Add **Comments** in the mandatory field and select **Accept** or **Reject**

←
📄
Accept
Reject

---

**Title**  
Review Of Retrain staff on booking in goods

Created By **Zoe Lutkevitch** on 27/03/2018 at 12:33 | Last Updated By: on 27/03/2018 at 12:33 | Created from record: **CAC-000008**

---

**Comments\***  
ok

- 4) If accepted the record status will change to **Active**.

### 4.3 Submit Action (Active status)

- 1) The Action owner will receive an email notification advising them they have been assigned an Action (if this does not happen please speak to your Entropy Administrator to ensure the email notification has been set up)
- 2) The Action owner can update the Action record with any notes/comments/attachment before closing the Action
- 3) Click **Save** 📄

### 4.4 Closing an Action

- 1) If you have **Action Approval** activated [Click here for next set of instructions](#)
- 2) If you do not have **Action Approval** activated [Click here for next set of instructions](#)

#### 4.4.1 Submit Action for Approval (Awaiting Approval status)

**Note:** You can only submit an Action for approval if 'Mandatory Approval' has been activated in your Action workflow.

- 1) Once the Action is ready for closure it can be submitted for approval
- 2) Enter the **Actual Resolution Date** into the date field
- 3) Click **Submit for Approval**, the record status will change to **Awaiting Approval**
- 4) The Action approver will receive an email notification advising them they have an Action to approve (if this does not happen please speak to your Entropy Administrator to ensure the email notification has been set up)



Reviewer	Last Updated	Type	Status
Test user1	27/03/2018 12:41	Approval Review	Required
Test User2	27/03/2018 12:35	Acceptance Review	Accepted

- 5) The 'Approver' will click the link under the **Reviewer** section (user name) to open up the review. Select **Approve** or **Reject** approval of the Action adding comments

←
📄

Approve
Reject

---

**Title**  
Review Of Retrain staff on booking in goods

Created By **Zoe Lutkevitch** on 27/03/2018 at 12:41 | Last Updated By: on 27/03/2018 at 12:41 | Created from record: **CAC-000008**

---

**Comments\***

ok

- 6) The Action will change to status **Completed**

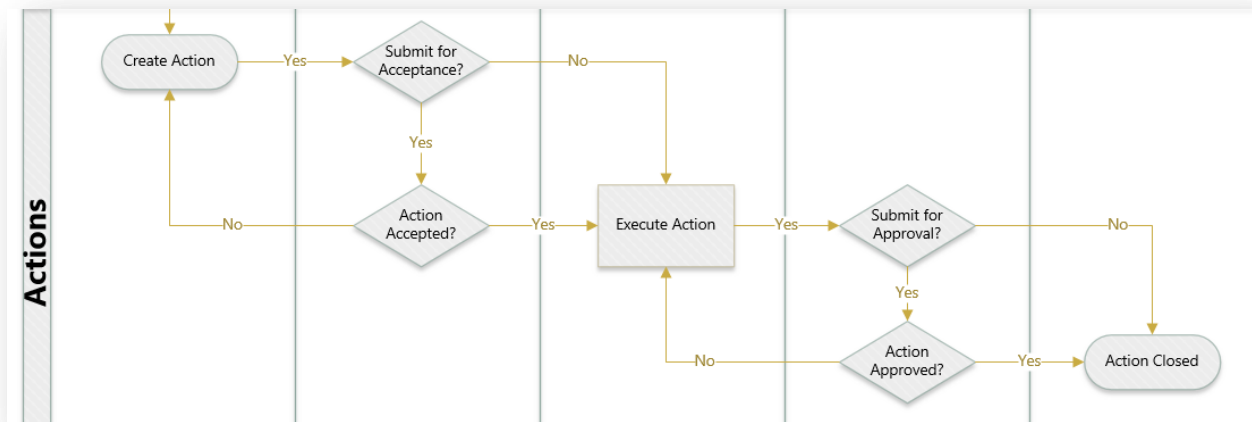
#### 4.4.2 Submit Action for completion (Completed status)

- 1) If you do not have Action approval enabled, once the Action has been completed it can be closed by the Action owner
- 2) Enter the **Actual Resolution Date** into the date field
- 3) Click **Complete**. The record status changes to **Completed**


## 5. Recurring Actions

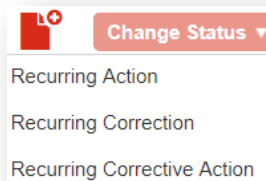
Entropy's Recurring Actions function allows you to record and manage your organisation's recurring Actions. The difference between recurring Actions and non-recurring Actions is the ability to schedule your recurring Actions. By using one of Entropy's Recurring Action Types you will be able to schedule either a

yearly, weekly or daily Action record.



## 5.1 Creating a Recurring Action (Draft Status)

- 1) Click **Compliance** from the menu bar. Select **Findings & Actions** from the menu followed by **Recurring Actions** from the sub menu
- 2) Click the **Create**  icon



- 3) Select the recurring Action type from the list presented (Recurring Action will be used in this example)
- 4) Enter the **Title** of your Action
- 5) Enter the **Associations**:
  - **Management System** > use the picker to select the Management System(s) you want to associate with your Action
  - **Organisation Scope – Location (Internal)** > use the picker to select the site/location the Action relates to
  - **Organisation Scope – Location (External)** > if you have customers/suppliers set up in your system and you want to link them to the Action, select using the picker. *Optional field*
  - **Organisation Scope – Others (Internal)** > if you want to tag people/department/processes to the Action, select using the picker. *Optional field*
  - **Category** > use the picker to select category(s) you want to associate with your Action. *Optional field (unless it has been set to mandatory in the workflow)*
  - **Owner** > the owner is the person who you are assigning the Action to
  - **Responsible** > the responsible person(s) is anyone that needs to be aware of the Action and is often the person/people who the escalation email will go to if the Action is not completed on time.

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- **Acceptor** > this field will only be visible if acceptance has been enabled in the workflow. The acceptor is the person who will accept the Action, once accepted the Action will be passed to the designated owner
- **Approver** > this field will only be visible if approval has been enabled in the workflow. The approver is the person who will approve the Action for closure
- **Restricted Access** > this field will restrict who will be able to view the Action record. This should only be used if the information in the record is sensitive or confidential. Using the picker select the individual(s) that you want to include in the Restricted Access Group. *Optional field*

The screenshot shows a form for 'Fire Alarm test' with the following fields and options:

- Title\***: Fire Alarm test
- ID\***: RAC000002
- Created By**: Zoe Lutkevitch on 27/03/2018 at 14:07
- Associations** (expanded):
  - Management System\***: Add (Health and Safety selected)
  - Organisation Scope - Location (Internal)\***: Add (Head Office - Location (Location Type) selected)
  - Organisation Scope - Location (External)\***: Add
  - Organisation Scope - Others (Internal)**: Add
  - Organisation Scope - Others (External)**: Add
  - Category**: Add
  - Owner\***: Add (Test User2 - Employee (Person Type) selected)
  - Responsible\***: Add (Test user1 - Employee (Person Type) selected)
  - Acceptor**: Add (Test user1 - Employee (Person Type) selected)
  - Approver**: Add (Test user1 - Employee (Person Type) selected)
  - Restrict Access**:  Restrict Access (Add viewers...)


- 6) **Description** > using the rich text editor field, enter the details of your Action
- 7) **Start Date** > enter the date the recurring Action will start
- 8) **End Date/Time** > use the date picker and select when the recurrence will stop
- 9) **Priority** > from the pick list, select the priority. This is the level of importance/criticality of the Action to your business
- 10) **Acceptance Due Date** > this field will only be visible if record 'Acceptance' has been enabled in the workflow
- 11) **Cost** > enter the cost implication of this Action, *this is an optional field and may be hidden from your form.*
- 12) **Recurrence** > select your recurrence frequency

The screenshot shows the recurrence configuration section with the following settings:

- Frequency**:  Monthly
- Recurrence will start when the record has status of Active**
- Set Monthly Pattern**:
  - Day 1 of Every 1 Month(s)
  - The First Monday of Every Month(s)
- Creation Period\***: 1 Day(s)
- At the Following Time:** 00:00:00

- 13) In the **Creation Period** field, enter the number of days to wait before beginning the Recurring Action


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- 14) Click **Save** , the record status is saved to **Draft**
- 15) If you have **Action Acceptance** activated, click **Submit for Acceptance**, the Action record status will change to **Awaiting Acceptance**. [Click here for next set of instructions](#)
- 16) If you do not have **Action Acceptance** activated, click **Submit** and the Action record status will change to **Active**. [Click here for next set of instructions](#)

## 5.2 Submit Recurring Action for Acceptance (Awaiting Acceptance status)


**Note:** You will only see this record state if 'Mandatory Acceptance' has been activated in your Action workflow.

- 1) The Action acceptor will receive an email notification advising them they have an Action to accept (if this does not happen please speak to your Entropy Administrator to ensure the email notification has been set up)
- 2) Open the Action record and go to the section **Reviews**.

Reviewer	Last Updated 	Type	Status
Test User2	27/03/2018 12:33	Acceptance Review	Required


- 3) Click the link (reviewer user name) to open up the review. Add **Comments** in the mandatory field and select **Accept** or **Reject**
- 4) If accepted the record status will change to **Active**.

## 5.3 Submit Recurring Action (Active status)

- 1) The Action owner will receive an email notification advising them they have been assigned an Action (if this does not happen please speak to your Entropy Administrator to ensure the email notification has been set up)
- 2) The Action owner can update the Action record with any notes/comments/attachment before closing the Action
- 3) Click **Save** 

## 5.4 Updating a Recurring Action

- 1) When a recurring Action is due, the owner will receive an email notification. Click into the record and go to the section **Actions**
- 2) Click the title of the Action to open it

ID	Title 	Start Date	Due Date	Status
REA-000002	Fire Alarm test - building B	02/03/2018 00:00	01/04/2018 00:00	Active

- 3) Add any notes to the **Notes** section
- 4) If you have **Action Approval** activated [Click here for next set of instructions](#)
- 5) If you do not have **Action Approval** activated [Click here for next set of instructions](#)

## 5.4.1 Submit Recurring Action for Approval (Awaiting Approval status)

**Note:** You can only submit an Action for approval if 'Mandatory Approval' has been activated in your Action workflow.

- 6) Once the Action is ready for completion it can be submitted for approval
- 7) Enter the **Actual Resolution Date** into the date field
- 8) Click **Submit for Approval**, the record status will change to **Awaiting Approval**
- 9) The Action approver will receive an email notification advising them they have an Action to approve (if this does not happen please speak to your Entropy Administrator to ensure the email notification has been set up)

Reviewer	Last Updated	Type	Status
Test user1	27/03/2018 12:41	Approval Review	Required
Test User2	27/03/2018 12:35	Acceptance Review	Accepted

- 10) The 'Approver' will click the link under the **Reviewer** section (user name) to open up the review. Select **Approve** or **Reject** approval of the Action adding comments

←
📄

Approve
Reject

---

**Title**  
Review Of Retrain staff on booking in goods

Created By **Zoe Lutkevitch** on 27/03/2018 at 12:41 | Last Updated By: on 27/03/2018 at 12:41 | Created from record: **CAC-000008**

---

**Comments\***

ok

- 11) The Action will change to status **Completed**

## 5.4.2 Submit Recurring Action for completion (Completed status)

- 1) If you do not have Action approval enabled, once the Action has been completed it can be closed by the Action owner
- 2) Enter the **Actual Resolution Date** into the date field
- 3) Click **Complete**. The record status changes to **Completed**

## 6. Configuration and Workflow

### 6.1 Audit configuration and workflow

The following section details the workflow of the Audit tool. As with all areas of Entropy, workflow and configuration tools are only available to system administrators and module super users.

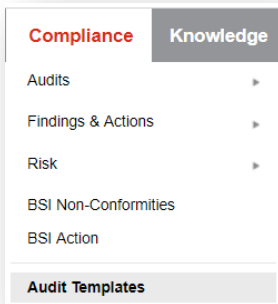
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**Note:** This guide only covers scheduled audit configuration, however configuration of the quick audit tool is the same as the configuration of the scheduled audit tool

This section is for users who have **Administrator / Compliance Super User** privileges. The most common areas of workflow you may consider changing are:

- Finding and Action types available to an Audit record
- NCR approval
- Action approval
- NCR completion rules
- E-signature rules

- 1) Click **Compliance** from the menu toolbar
- 2) Select **Audit Templates** from the drop down menu



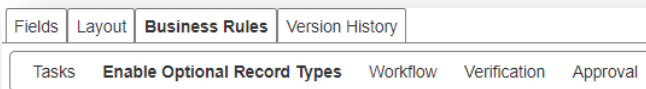
- 3) Select **Audit Schedule Template** from the menu
- 4) The record must be in **Draft** to make any changes to the workflow. Click **New Version** and select either **Minor** or **Major** (choose minor or major depending on the scope of the change).
- 5) Click **OK** to confirm
- 6) Select **Business Rules** from the tabs

### 6.1.1 Audit workflow - Finding and Action types available to an Audit

You can limit what Finding and Action types are available to an Audit. For example, when creating a Finding from an Audit you may want to make NCR and observations available but hide the other Finding types.

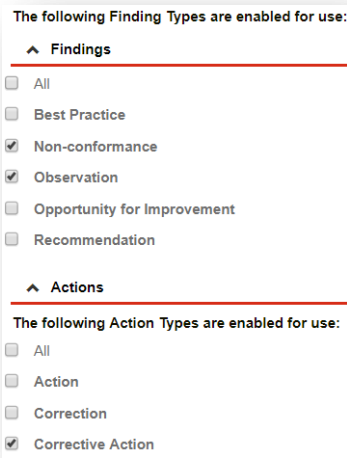
Following on from section 6.1 steps 1 – 6:

- 1) Click **Enable Optional Record Types**



- 2) Select which record types you would like enabled for use (i.e. when raising an Action or Finding from an Audit you may only want certain Findings and Actions available to the user)
- 3) In the screenshot below only NCR, observations and Corrective Actions can be created from an Audit

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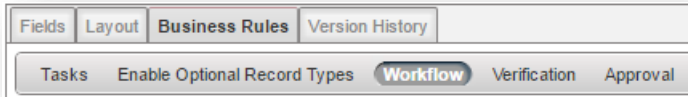


- 4) Click **Apply** to save the changes (click **Save** and **Activate** if you have no further changes)

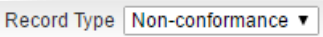
### 6.1.2 Audit workflow - enable NCR approval

By default Findings can be completed by the Finding owner. You can activate the Finding approval workflow which will force the Finding to go to a designated approver for approval before it is closed.

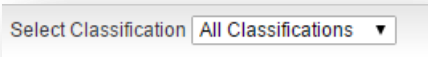
- 1) Following on from section 6.1 steps 1 – 6:
- 2) Click **Workflow**



- 3) Select the **Record Type** from the drop down box (for the purpose of this guide we are using non-conformance)



- 4) You have the option to apply **Mandatory Approval** for all NCR classifications (High, Medium, Low) or you can apply the approval to a particular classification e.g. all 'High' classification NCRs will require approval whilst 'Medium' and 'Low' require no approval.
- 5) To apply **Mandatory Approval** for all classifications



- 6) To apply **Mandatory Approval** to one or more classifications

Select Classification

- Go to the section **Finding Completion Rules** and select **Yes** to enable Mandatory Approval

Mandatory Approval

Yes

No

- Click **Apply** to save the changes (click **Save** and **Activate** if you have no further changes)

### 6.1.3 Audit workflow - enable Action approval

By default Actions can be completed by the Action owner. You can activate the Action approval workflow which will force the Action to go to a designated approver for approval before it is closed.

- Following on from section 6.1 steps 1 – 6:
- Click **Workflow**

Fields | Layout | **Business Rules** | Version History

Tasks | Enable Optional Record Types | **Workflow** | Verification | Approval

- Select the **Record Type** from the drop down box (for the purpose of this guide we are using non-conformance)

Record Type

- Mandatory Action approval can be set for all Action types and all classifications or you can apply conditional approval i.e. the image below shows that only Corrective Actions, created from an NCR, require Action approval regardless of their priority:

Record Type  Classification

Action required		Associated Action Workflow Rules			
All					
<input checked="" type="radio"/> Mandatory <input type="radio"/> Optional	Action Type <input type="radio"/> Action <input type="radio"/> Correction <input checked="" type="radio"/> Corrective Action	Set Priority <input checked="" type="radio"/> Any <input type="radio"/> High <input type="radio"/> Medium <input type="radio"/> Low	Mandatory Acceptance? <input type="radio"/> Yes <input checked="" type="radio"/> No	Acceptance Period <input checked="" type="radio"/> Any <input type="radio"/> Day(s) 0	Mandatory Approval <input checked="" type="radio"/> Yes <input type="radio"/> No

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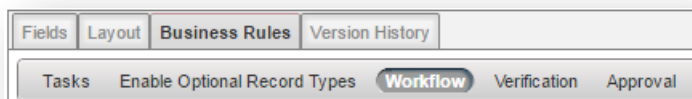


- Once you have configured your Action approval rules, click Apply to save the changes (click **Save** and **Activate** if you have no further changes)

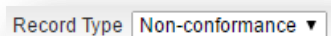
## 6.1.4 Audit workflow - close Findings with open Actions?

By default Findings can be closed if they still have associated Actions which are open. You can activate the applicable workflow which will force the Finding to remain open until all associated Actions are closed.

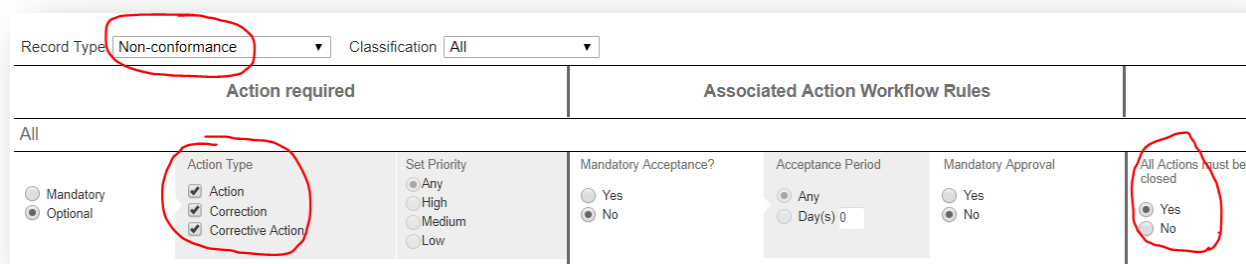
- Following on from section 6.1 steps 1 – 6:
- Click **Workflow**



- Select the **Record Type** from the drop down box (for the purpose of this guide we are using non-conformance)



- Mandatory Action closure can be set for all Action types and all Finding types or you can apply conditional approval i.e. the image below shows that all Action types that have been created from an NCR must be closed before the NCR can be closed:



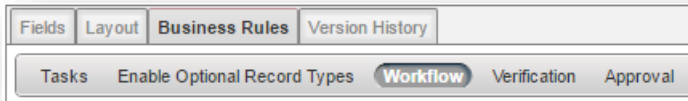
- Once you have configured your NCR closure rules, click Apply to save the changes (click **Save** and **Activate** if you have no further changes)

## 6.1.5 Audit workflow - Secondary Signature (e-signature)

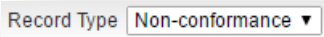
If your Management System(s) require secondary authentication password (e-signature), follow the steps below.

**Note:** Users are required to set up an e-signature on their Entropy account (for information on how to do this, please refer to User Guide **Getting Started with Entropy**)

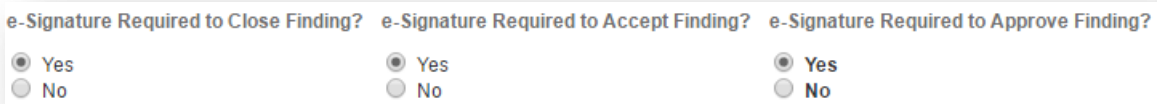
- Following on from section 6.1 steps 1 – 6:
- Click Workflow



- 3) Select the **Record Type** from the drop down box (for the purpose of this guide we are using non-conformance)



- 4) At the bottom of the screen you will see the conditions for e-signatures which will be disabled by default. Make the necessary changes



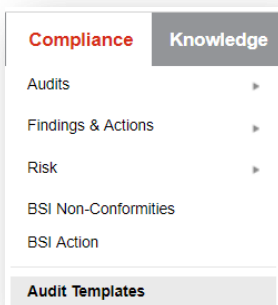
- 5) Click Apply to save the changes (click **Save** and **Activate** if you have no further changes)

## 6.1.6 Audit Workflow – Control who can edit a Scheduled Audit Due Date

You now have more control over which access profiles allow a user to edit a scheduled audit due date.

A new checkbox within the audit type workflow lets you restrict editing an audits due date to users with compliance super user or system administrator. If the box is checked (unchecked by default) only users with compliance super user or system administrator can edit an audits due date.

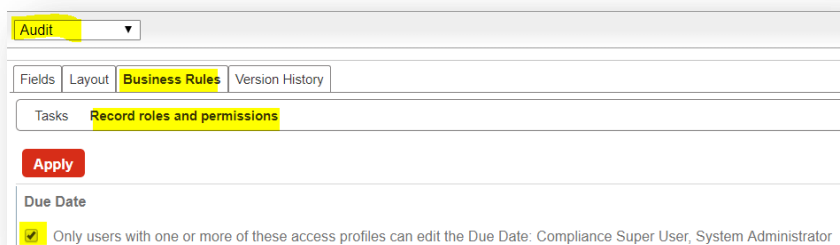
- 1) Click **Compliance** from the menu toolbar
- 2) Select **Audit Templates** from the drop down menu



- 3) Select **Audit Schedule Template** from the menu
- 4) The record must be in **Draft** to make any changes to the workflow. Click **New Version** and select either **Minor** or **Major** (choose minor or major depending on the scope of the change).
- 5) Click **OK** to confirm

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- 6) Select **Audit** from the menu
- 7) Select **Business Rules** and **Record Roles** and permissions from the available tabs
- 8) Tick the **Due Date** box and select **Apply** to update the changes

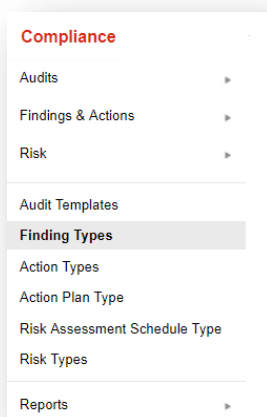


- 9) Finally, select **Activate**

## 6.2 Finding configuration and workflow

The following section is for users who have Administrator privileges. In this guide we will show you how to how to configure the workflow for an NCR Finding type. All Finding behaviour is the same, we will use the NCR Finding type in this guide as this is the most commonly used Finding.

- 1) Click **Compliance** from the primary toolbar
- 2) Select **Finding Types** from the drop down menu



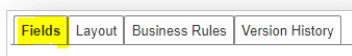
- 3) Select **Non-conformance** from the list
- 4) The record must be in **Draft** to make any changes to the workflow. Click **New Version** and select either **Minor** or **Major** (choose Minor or Major depending on the scope of the change).
- 5) Click **OK** to confirm
- 6) Select **Business Rules** from the tabs
- 7) Click **Workflow**



## 6.2.1 Finding workflow – configuring the short form

Unless you specify what fields you want displayed on the short form, the following fields will be available: *Title, Owner, Category, Classification, Identification Date, Due Date and Description*

- 1) Select **Fields** from the tabs



- 2) To identify which fields are on the short form, look for a tick in the 3<sup>rd</sup> column 'In Short Form'

	M...	C...	In ..
	x	x	x
	x	x	x
	x	x	x

- 3) To enable additional Core Fields on the NCR short form, locate the field and click the title to open up the field, in the example below, Responsibility is the field that will be enabled on the short form. Enable the box 'In Short Form', click OK to update changes

**Edit Core Field**

<p><b>Type</b> Org. Unit List</p> <p><b>Org. Units</b> Person</p> <p><input type="checkbox"/> Mandatory</p>	<p><b>Field Name *</b> Responsibility</p> <p><input checked="" type="checkbox"/> <b>Allow Multiple Values</b></p> <p><input type="checkbox"/> Confidential</p>	<p><b>Display Name *</b> Responsible</p> <p><input type="checkbox"/> Show groups</p> <p><input checked="" type="checkbox"/> <b>In Short Form</b></p>
---	--	--

- 4) If there are any Custom Fields you wish to add to the short form, follow the above steps but for the Custom Fields section
- 5) If there are no more changes click **Save** and **Activate** to confirm the changes

## 6.2.2 Finding workflow - enable NCR acceptance

If you require an NCR to first be 'accepted' by someone in the organisation then enable NCR acceptance by following the steps below:

- 1) You have the option to apply **Mandatory Acceptance** for all NCR classifications (High, Medium, Low) or you can apply the acceptance to a particular classification e.g. all 'High' classification NCRs will have acceptance whilst 'Medium' and 'Low' require no acceptance.
- 2) To apply **Mandatory Acceptance** for all classifications

Select Classification All Classifications ▼

- 3) To apply **Mandatory Acceptance** to one or more classifications

Select Classification Each Classification ▼

- 4) Go to the section **Finding Workflow Rules** and select **Yes** to enable Mandatory Acceptance

Mandatory Acceptance?

- Yes  
 No

- 5) If there are no more changes click **Apply** then **Save**  and **Activate** to confirm the changes

### 6.2.3 Finding workflow - enable NCR approval

If you require an NCR to be approved by a designated approver before the NCR is closed down then enable this functionality by following the steps below

- 1) You have the option to apply **Mandatory Approval** for all NCR classifications (High, Medium, Low) or you can apply the approval to a particular classification e.g. all 'High' classification NCRs will require approval whilst 'Medium' and 'Low' require no approval.
- 2) To apply **Mandatory Approval** for all classifications


Select Classification All Classifications ▼

- 3) To apply **Mandatory Approval** to one or more classifications

Select Classification Each Classification ▼

- 4) Go to the section **Finding Workflow Rules** and select **Yes** to enable **Mandatory Approval**

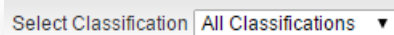


- 5) If there are no more changes click **Apply** then **Save**  and **Activate** to confirm the changes

## 6.2.4 Finding workflow - enable Action acceptance

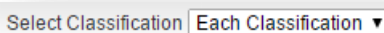
If you require an Action (which has been created from an NCR) to first be 'accepted' by someone in the organisation then enable this functionality by following the steps below

- 1) You have the option to apply **Mandatory Acceptance** for all NCR classifications (High, Medium, Low) or you can apply the acceptance to a particular classification e.g. all 'High' classification NCRs will require Action acceptance whilst 'Medium' and 'Low' require no Action acceptance.
- 2) To apply **Mandatory Acceptance** for all classifications

A screenshot of a dropdown menu labeled "Select Classification". The selected option is "All Classifications".

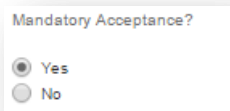
Select Classification All Classifications ▼

- 3) To apply **Mandatory Acceptance** to one or more classifications

A screenshot of a dropdown menu labeled "Select Classification". The selected option is "Each Classification".

Select Classification Each Classification ▼

- 4) Go to the section **Associated Action Workflow Rules** and select **Yes** to enable **Mandatory Acceptance**



- 5) If there are no more changes click **Apply** then **Save**  and **Activate** to confirm the changes

## 6.2.5 Finding workflow - enable Action approval

If you require an Action (which has been created from an NCR) to be approved by a designated approver before the Action is closed then enable this functionality by following the steps below

- 1) You have the option to apply **Mandatory Approval** for all NCR classifications (High, Medium, Low) or you can apply the approval to a particular classification e.g. all 'High' classification NCRs will require Action approval whilst 'Medium' and 'Low' require no Action approval.
- 2) To apply **Mandatory Approval** for all classifications

Select Classification **All Classifications** ▼

- To apply **Mandatory Approval** to one or more classifications

Select Classification **Each Classification** ▼

- Go to the section **Associated Action Workflow Rules** and select **Yes** to enable Mandatory Approval

Mandatory Approval


Yes

No

- If there are no more changes click **Apply** then **Save**  and **Activate** to confirm the changes

## 6.2.6 Finding workflow - close NCR with open Actions?

If you want to ensure that an NCR cannot be closed until ALL Actions associated to that NCR are also closed, follow the steps below

- Go to **Finding Workflow Rules**
- Select **Yes** to enable **All Actions must be closed**
- OR select **No** (to allow NCRs to be closed with open Actions)
- If there are no more changes click **Apply** then **Save**  and **Activate** to confirm the changes

## 6.2.7 Finding workflow - configuring the Responsible Role

Configuring the Responsible record role will give that user(s) more privileges to the Finding record

- Go to **Record roles and permissions**

Fields | Layout | **Business Rules** | Version History

Tasks | Workflow | **Record roles and permissions**

**Apply**

Responsible Role

In Draft, Open, Not Accepted and Not Approved, the Responsible Role:


Can Transition Records

**Can Edit Record Roles**

Is Mandatory

**Can edit the Due Date**

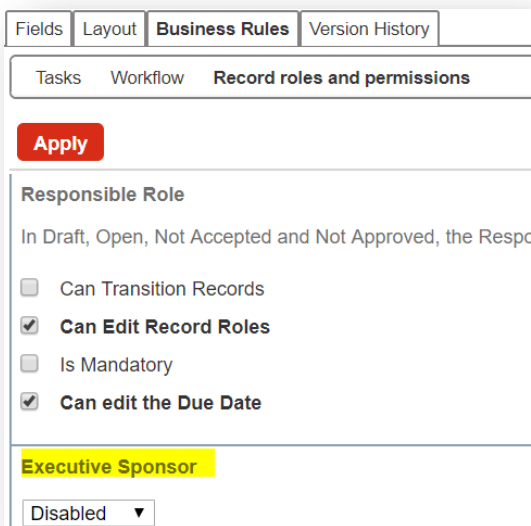
- Select one, some or all of the options available:

- **Can Transition Records** – selecting this option will allow the Responsible person in the record to change the record status i.e. go from **Draft** to **Open** or **Open to Awaiting Approval**
  - **Can Edit Record Roles** – selecting this option will allow the Responsible person to change the other users in the record i.e. the Responsible may change the record owner from User A to User B as User A is going to be absent for a period of time
  - **Is Mandatory** – selecting this option will make the Responsible role field in a Finding record mandatory
  - **Can edit the Due Date** – selecting this option will give the Responsible role the option to edit the due date within a Finding record
- 3) If there are no more changes click **Apply** then **Save**  and **Activate** to confirm the changes

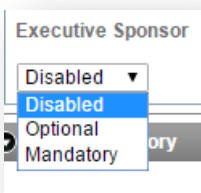
## 6.2.8 Finding workflow - adding an Executive Sponsor to a Finding

The Executive Sponsor is a User who has a vested interest in the Finding being created, a department head for example. The Executive Sponsor can't do anything with a record, except for view it.

- 1) Go to **Record roles and permissions**



- 2) Click the drop down box and select one of the following:
- Disabled (Executive Sponsor field is not available in the record)
  - Optional (Executive Sponsor field is available but it is not mandatory)
  - Mandatory (Executive Sponsor field is available and it is mandatory)





## 6.2.9 Control who can edit a Finding Due Date

You now have more control over which access profiles allow a user to edit a Finding due date.

A checkbox within the Finding workflow lets you restrict editing a Findings due date to users with compliance super user or system administrator. If the box is checked only users with compliance super user or system administrator can edit an Audits due date.

The screenshot shows the 'Business Rules' configuration interface. Under the 'Record roles and permissions' section, the following permissions are listed:

- Can Transition Records
- Can Edit Record Roles**
- Is Mandatory
- Can edit the Due Date**

The 'Executive Sponsor' is set to 'Disabled'. The 'Due Date' section has a checked checkbox with the text: 'When the record is no longer in Draft, only users with one or more of these access profiles can edit the Due Date: Compliance Super User, System Administrator'.

3) If there are no more changes click **Apply** then **Save**  and **Activate** to confirm the changes

## 6.2.10 Finding workflow - secondary signature (e-signature)

If your Management System(s) require secondary authentication password (e-signature), follow the steps below

**Note:** Users are required to set up an e-signature on their Entropy account (for information on how to do this, please refer to User Guide *Getting Started with Entropy*)

- You are able to activate e-signature authorisation for:
  - Closing a Finding
  - Accepting a Finding
  - Approving a Finding

The screenshot shows three configuration sections for e-signatures:

- e-Signature Required to Close Finding?**  Yes  No
- e-Signature Required to Accept Finding?**  Yes  No
- e-Signature Required to Approve Finding?**  Yes  No

2) If there are no more changes click **Apply** then **Save**  and **Activate** to confirm the changes

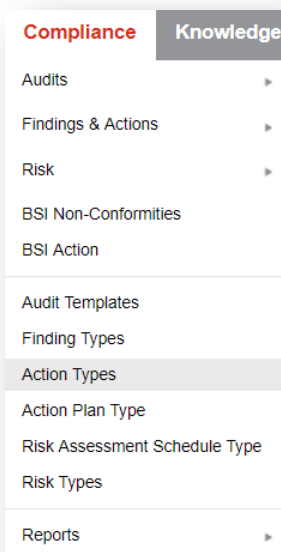
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## 6.3 Action Workflow

The following section is for users who have Administrator privileges.

In this guide we will show you how to how to configure the workflow for a Corrective Action type. All Action behaviour is the same, we will use Corrective Action type in this guide as this is the most commonly used Action type.

- 1) Click **Compliance** from the primary toolbar
- 2) Select **Action Types** from the drop down menu



**Note:** There are three Action types, consider you may need to change the workflow for all types: Action, Correction & Corrective

- 3) Select **Corrective Action** from the list
- 4) The record must be in **Draft** to make any changes to the workflow. Click **New Version** and select either **Minor** or **Major** (choose Minor or Major depending on the scope of the change).
- 5) Click **OK** to confirm
- 6) Select **Business Rules** from the tabs
- 7) Click **Workflow**

Description\*  
Corrective Action

Fields | Layout | **Business Rules** | Version History

Tasks | **Workflow**

All Priorities ▾

All

Mandatory Acceptance? <input checked="" type="radio"/> Yes <input type="radio"/> No	Acceptance Period <input checked="" type="radio"/> Any <input type="radio"/> Day(s)	Mandatory Approval? <input checked="" type="radio"/> Yes <input type="radio"/> No	Completion Period <input checked="" type="radio"/> Any <input type="radio"/> Day(s)
---	---	---	---

e-Signature Required for Acceptance Process?  Yes  
 No

e-Signature Required for Approval Process?  Yes  
 No

### 6.3.1 Action workflow - enable Action acceptance

If you require an Action to first be accepted by its designated owner then enable this functionality by following the steps below

- 1) You have the option to apply **Mandatory Acceptance** for all Action Priorities (High, Medium, Low) or you can apply the acceptance to a particular priority e.g. all 'High' priority Action's will require Action acceptance whilst 'Medium' and 'Low' require no Action acceptance.
- 2) To apply **Mandatory Acceptance** for all priorities

Tasks | **Workflow**

**Apply**

All Priorities ▾  
All Priorities  
Each Priority

Mandatory Acceptance?  
 Yes  
 No

- 3) To apply **Mandatory Acceptance** to one or more priorities

Each Priority ▾

High

Mandatory Acceptance?  
 Yes  
 No

Medium


Mandatory Acceptance?  
 Yes  
 No

Low

Mandatory Acceptance?  
 Yes  
 No

- 4) Select **Yes** to enable Mandatory Acceptance

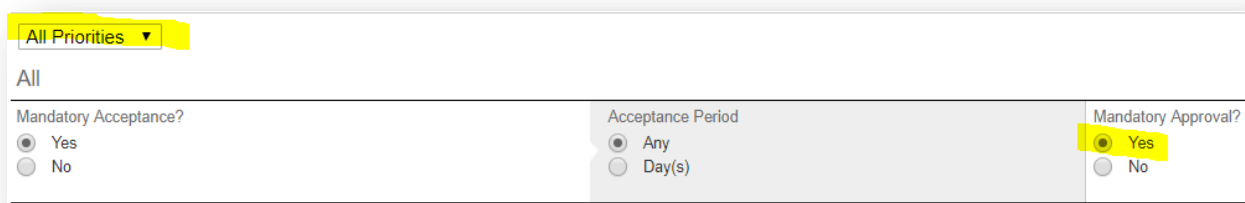
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- 5) If there are no more changes click **Apply** then **Save**  and **Activate** to confirm the changes

### 6.3.2 Action workflow - enable Action approval

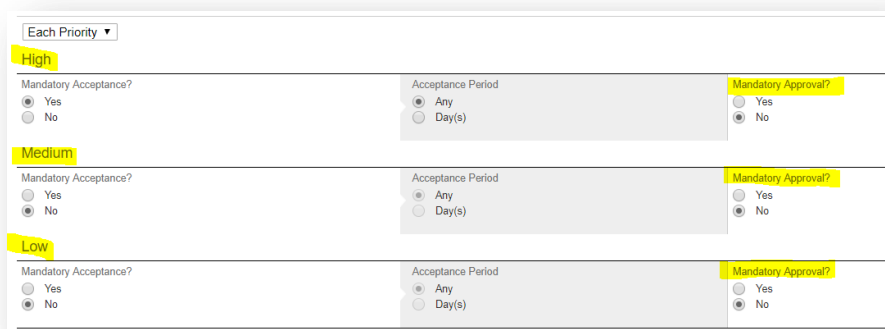
If you require an Action to be approved by a designated approver before the Action is closed down then enable this functionality by following the steps below

- 1) You have the option to apply **Mandatory Approval** for all Action priorities (High, Medium, Low) or you can apply the approval to a particular priority e.g. all 'High' priority Actions will require Action approval whilst 'Medium' and 'Low' require no Action approval.
- 2) To apply **Mandatory Approval** for all priorities




All Priorities ▼		
All		
Mandatory Acceptance?	Acceptance Period	Mandatory Approval?
<input checked="" type="radio"/> Yes <input type="radio"/> No	<input checked="" type="radio"/> Any <input type="radio"/> Day(s)	<input checked="" type="radio"/> Yes <input type="radio"/> No

- 3) To apply **Mandatory Approval** to one or more priorities



Each Priority ▼		
High		
Mandatory Acceptance?	Acceptance Period	Mandatory Approval?
<input type="radio"/> Yes <input checked="" type="radio"/> No	<input checked="" type="radio"/> Any <input type="radio"/> Day(s)	<input checked="" type="radio"/> Yes <input type="radio"/> No
Medium		
Mandatory Acceptance?	Acceptance Period	Mandatory Approval?
<input type="radio"/> Yes <input checked="" type="radio"/> No	<input checked="" type="radio"/> Any <input type="radio"/> Day(s)	<input checked="" type="radio"/> Yes <input type="radio"/> No
Low		
Mandatory Acceptance?	Acceptance Period	Mandatory Approval?
<input type="radio"/> Yes <input checked="" type="radio"/> No	<input checked="" type="radio"/> Any <input type="radio"/> Day(s)	<input checked="" type="radio"/> Yes <input type="radio"/> No

- 4) Select **Yes** to enable Mandatory Approval
- 5) If there are no more changes click **Apply** then **Save**  and **Activate** to confirm the changes

### 6.3.3 Action workflow - secondary signature (e-signature)


If your Management System(s) require secondary authentication password (e-signature), follow the steps below

**Note:** Users are required to set up an e-signature on their Entropy account (for information on how to do this, please refer to User Guide *Getting Started with Entropy*)

- 1) You are able to activate e-signature authorisation for:
  - Accepting an Action
  - Approving an Action

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e-Signature Required for Acceptance Process?	e-Signature Required for Approval Process?
<input type="radio"/> Yes	<input type="radio"/> Yes
<input checked="" type="radio"/> No	<input checked="" type="radio"/> No

- 2) If there are no more changes click **Apply** then **Save**  and **Activate** to confirm the changes

## 7. Summary

After reading this section, you should now understand how to:

- Create an Audit Protocol
- Schedule and Audit
- Conduct an Audit
- Audit Scorecard
- Audit Calendar
- Create a Finding
- Close a Finding
- Create an Action
- Complete an Action
- Finding Workflow
- Action Workflow

## 8. Additional Support

If you require any further support in using the Entropy Software, please contact our Helpdesk Teams as follows:

### For UK & EMEA

Email: [entropy.support@bsigroup.com](mailto:entropy.support@bsigroup.com)  
 Tel: +44 (0)345 5049524

### For USA & Americas

Email: [entropysupport@bsigroup.com](mailto:entropysupport@bsigroup.com)  
 Tel: +1 888 640 6776

## 9. Revision History

Version	Reason	Date	Author
V1.00	Initial version		ZL
V1.01	Changes and updates		ZL
V1.02	Changes due to re-skin & new sections added	27.03.18	ZL
V1.03	Formatting & tidy up	27.03.17	ZL
V1.04	- Functional changes (from 5.5.15.1 – changes to Finding workflow – control who can edit a due date. Changes to Audit workflow – who can edit a due date)	05.02.19	ZL
	- Functional changes (from 5.5.17.0 – Finding Short form, Default Finding within an audit protocol)	07.05.19	ZL
	- New scorecard section		
V1.05	Formatting and general tidy up	08.05.19	ZL