
“ISOsystemPlus”










Integrated software to develop, implement and maintain Information Security Management System in accordance with ISO 27001:2005 requirements

Local network versions

<http://www.isosystemplus.com/>

“ISOsystemPlus” – which tasks are fulfilled?

Realization of basic requirements to ISMS

Control and management of documents/records		“ Documents ”
Threats analysis, risk management		“ Threats ” (ISMS)
Control of “non-system” organization’s documents		“ Correspondence ”
“Process approach” implementation		“ Processes ”
Audits/corrective/preventive actions system		“ Audits ”
Training of personnel		“ Trainings ”
Control of organization’s equipment		“ Equipment ”
Handling with customers complaints		“ Complaints ”
Non-conformities managements, analysis of effectiveness of a management system		“ Non-conformities ”

Configuration consisting of **any number** of modules (starting from 1)
can be purchased

- **Unbeatable “quality : price” ratio**
 - Price starts from 199 USD
- **Customized** configuration
 - Any number of modules (out of 9 proposed) could be ordered
- **Unlimited No.** of user’s working stations linking to the database
- **WEB- and local network** versions
- **Threats/Risk management system** per ISO 27001:2005 requirements
- **Quantitative evaluation** of non-conformities found out in a management system
- **Analysis** (incl. quantitative) of **effectiveness** of the management system
- Setting up a system of **handling customer complaints**
- **CRM-featured** “Counterparties” mode
- **Free lifelong technical support** from the software supplier
- **Free lifelong upgrade** with the new software versions

Application structure

- Server database file server.isr
- Files of documents, documents' templates, filled records
- WEB-shell (for WEB-users)

Server PC



Internet/intranet-
local network link

Admin's PC



- Software installed on the PC
- Admin rights – full access to the database

Internet/
intranet



“WEB”-users

- Unlimited No. of workstations
- Authorized (password) access for each user
- No need to install the program on PC

Local network

Local network

Local network



“Local network”-users

- Unlimited No. of workstations
- Authorized (password) access for each user
- Program to be installed on each PC

All ISOsystemPlus users can be assigned to three different classes

1. Admin

- Users assigned to Admin class have full access to all records in the database (reading, changing, deleting). They can determine classes of other users, authorize users to enter records in the database, etc.
- Users of Admin class further on will be referred to as “Admin”

2. User

- Users of the “User” class have default “Read-only” level of access to the database records
- Some records are not available for users-“Users” at all; the access to the records viewing/editing is determined by user-Admin
- Users of “User” class further on will be referred to as “User”

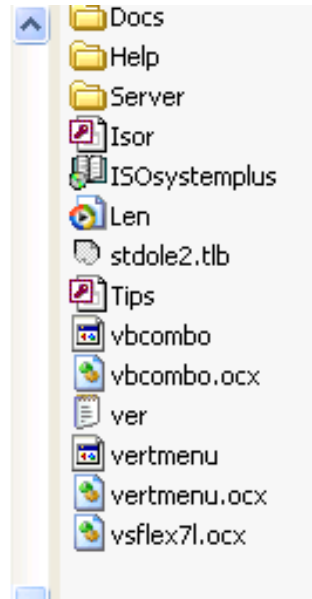
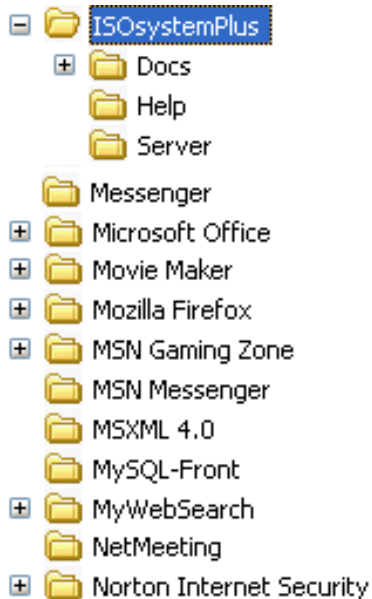
3. Out

- Users which do not work anymore with the application but have a “history” records which for some reasons can not be deleted are assigned to the “Out” class

Users classes are determined in “Directories” – “Users” – [“Users”](#) tab

Installing the application Admin's PC

- Installation file – setup.exe
- For the first time the program is to be installed on **Admin's PC**



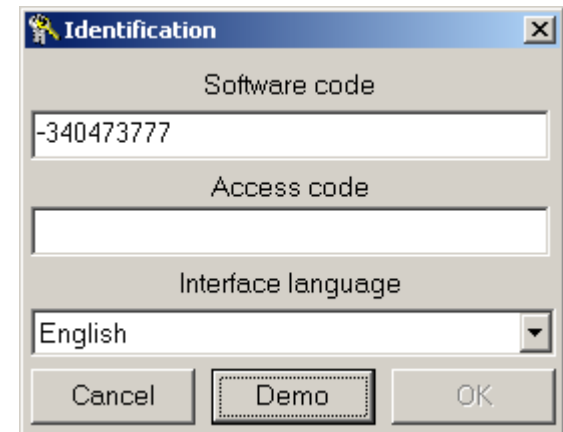
- During installation the folder for the software location could be confirmed “by default” or selected at user’s discretion

Len	1 Kb
stdole2.tlb	18 KB
Tips	1 056 KB
vbcombo	23 KB
vbcombo.ocx	64 KB
ver	1 KB
vertmenu	24 KB
vertmenu.ocx	96 KB
vsflex7l.ocx	410 KB

- The following file system is created on the PC:

- main directory – ...\\ISOsystemPlus\\ - contains program files
 - subdirectory ...\\ISOsystemPlus\\docs\\ - contains files of documents
 - subdirectory ...\\ISOsystemPlus\\help\\ - contains help files
 - subdirectory ...\\ISOsystemPlus\\server\\ - contains file of server database

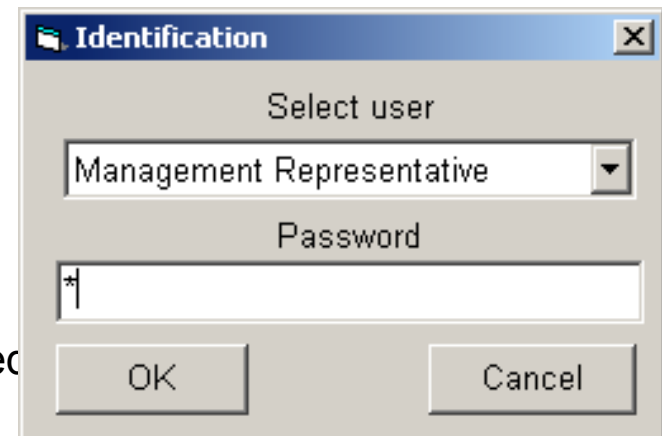
- After the first start-up the software automatically finds server database file server.isr and links to it
 - “Default” location of the file after installation is ...\\ISOsystemPlus\\server\\server.isr.
 - The specified path is stored and checked each subsequent start up of the program – there is no need to re-define the path if location of server database is not changed
- For set-up a network configuration of the program the file server.isr is to be moved from Admin's PC to PC-server in a (sub)-directory available for all users
- “Identification” window
 - To enter the application in **demo-mode** press the “Demo” button
 - To enter the program in a **license mode** the access code should be typed and OK button pressed
 - To get the Access Code the Software Code should be communicated to the software supplier; Access Code will be generated and e-mailed to the buyer upon payment proceeding



Installing and configuring the application

User's PC

- Prior to installation the software on users' PCs Admin at his/her PC copies ("Adjustment" – "Database" – "Copy as...") server database file on a PC-server
 - All users **must** have full access ("Read&Write") to the (sub)-folder on a server PC where a server database file is located
- Admin copies folders with files-documents and document templates on a server-PC and redefines paths to the folders at his/her PC (menu "Adjustments" – "Locations")
 - It is recommended to define "**Read only**" level of access for all users to the folders with documents, templates and filled records
- Admin installs the software on a user's PC (the same setup.exe installer file).
- Admin starts up the program on a user's PC, enters **in a demo-mode** (pressing Demo button in Identification window), and then:
 - redefines ("Adjustments" – "Database" – "Server database file") path to a server database file which is located at server PC.
 - Redefines ("Adjustments" – "Location") paths to folders with documents, document templates and filled records located on a server PC
- Admin exits the software at user's PC
- User starts up the software at the user's PC
 - The user's interface Identification windows appears
 - The user selects his/her name from the drop-down list
 - The user enters the password (Defined by the Admin)
 - The user enters the application in the user's interface
- Number of PCs – user's working stations which can be linked to a server database file, is **unlimited**

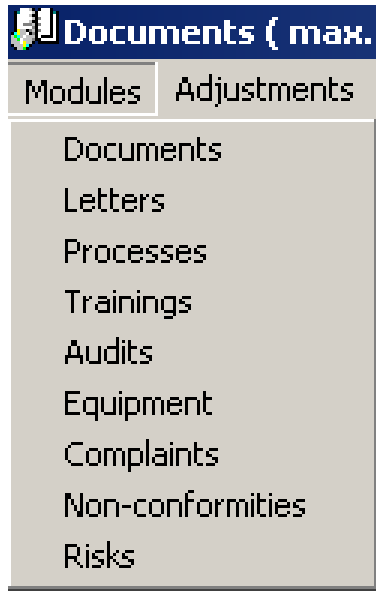


Difference between demo- and license modes

	Demo	License
No. of records to be added in a database	Limited (15 documents records, 7 processes, 30 trainings, 5 audits, etc.)	Unlimited
Time of work	Unlimited	Unlimited
No. of start-ups	Unlimited	Unlimited
Functionality	Reports generated can not be converted in -.doc or -.xls files A company's name in reports' headers is fixed ("ABC Ltd.")	Full

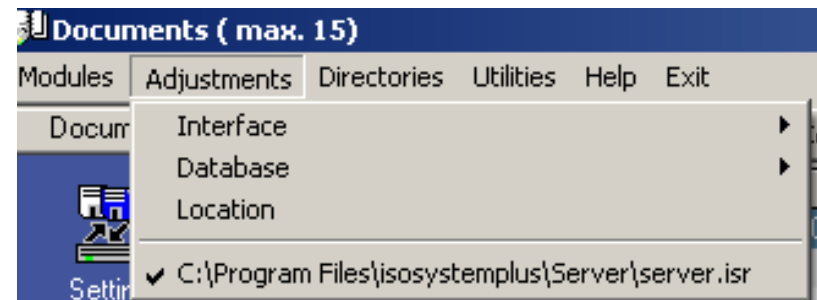
Code	Name	Class	Status	Type	Chapter	Done?
E.S.14-001	OHSAS BSI 18001:2007	External	Active	ISO standard	14	Yes
E.S.2-001	ISO 9001:2008	External	Active	ISO standard	02	Yes
E.S.6-001	ISO 14001:2004	External	Active	ISO standard	06	Yes

- “Main Form of records” (central area of the interface)
 - Depending on active module the Main Form is displayed as Main Form of documents, Main Form of processes, etc.
- General functions of the program (upper line)
 - “Modules”, “Adjustments”, “Directories”, “Utilities”, “Help”, “Exit”,
- Command buttons of actions with records in a particular module
 - “Settings”, “New”, “Copy”, “Delete”, etc.
- User selection field
 - Selection of a user’s interface is available on Admin’s working station only

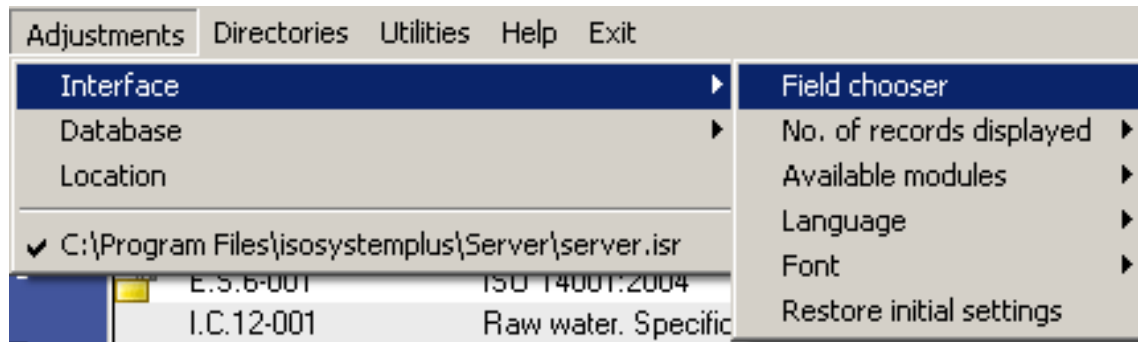


- “Modules” - selection of active application’s module

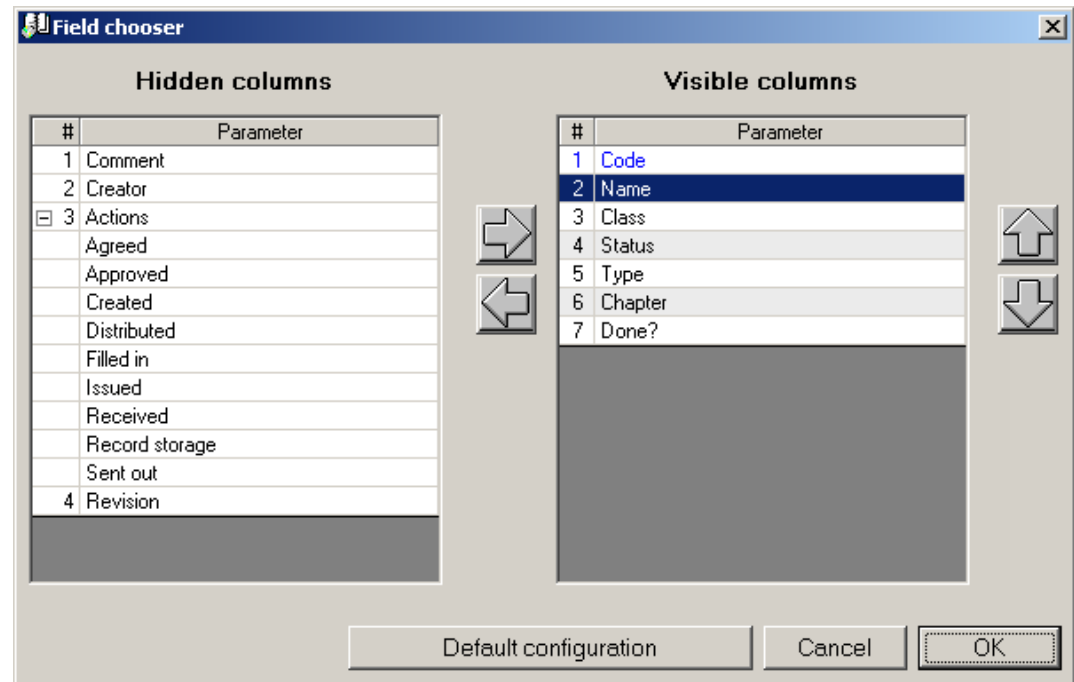
- Application adjustments functions
 - Interface adjustments
 - Available in all users’ interface
 - Database adjustments
 - Available in Admin’s and user-Admin’s interfaces
 - Location of application’s files/folders
 - Available in Admin’s and user-Admin’s interfaces

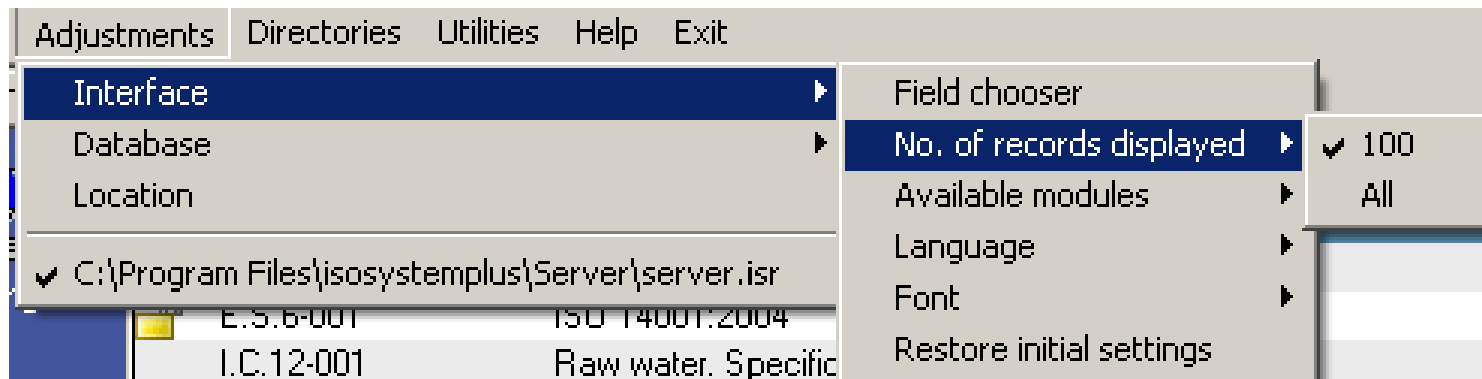


“Adjustments” “Interface” - “Field chooser”

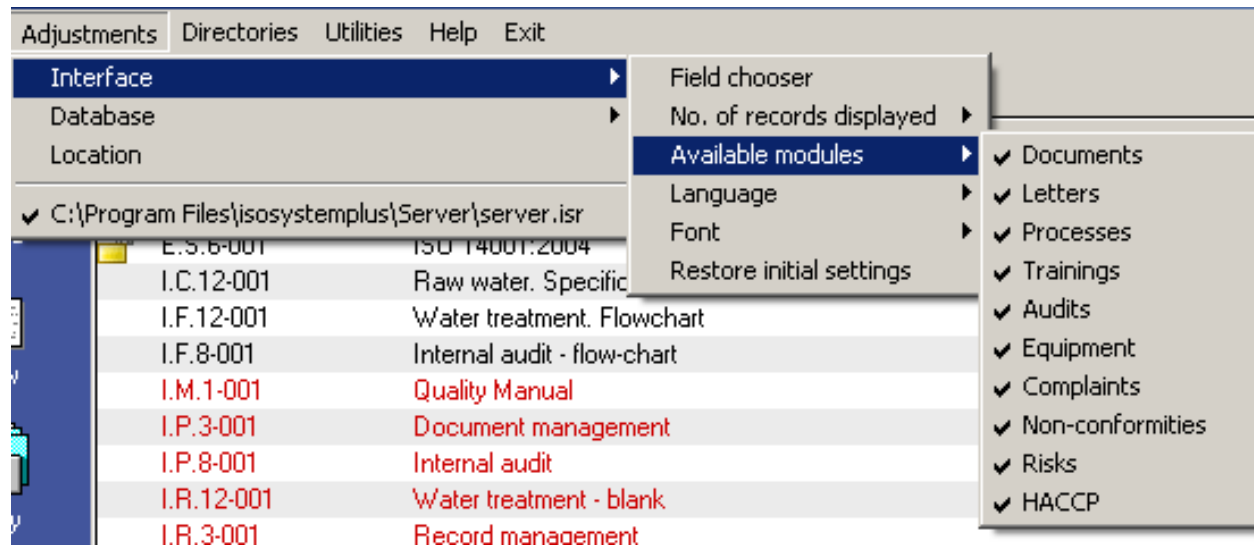


- Visible/hidden columns are selected (arrows “Left” and “Right”)
- Arrows “Up” and “Down” are used to determine sequence of visible columns in the Main Form
- Default configuration – restoring the initial combination of columns in the Main Form
- Available in each module





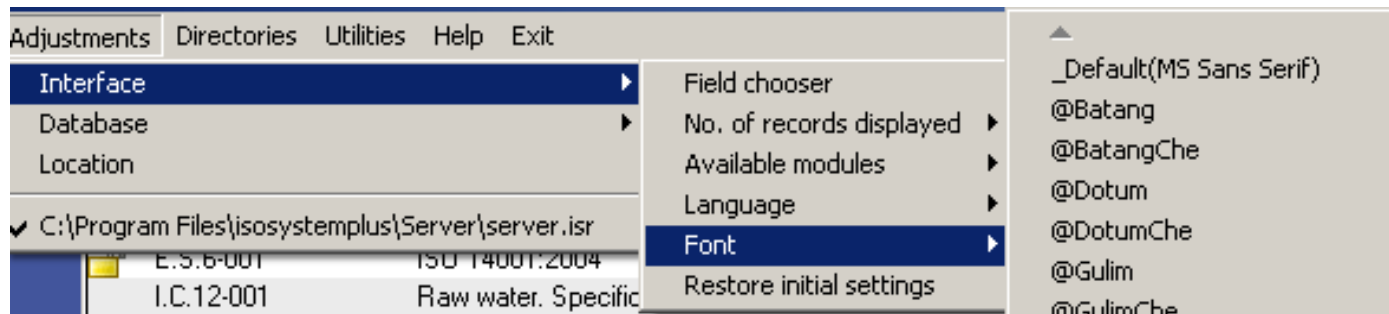
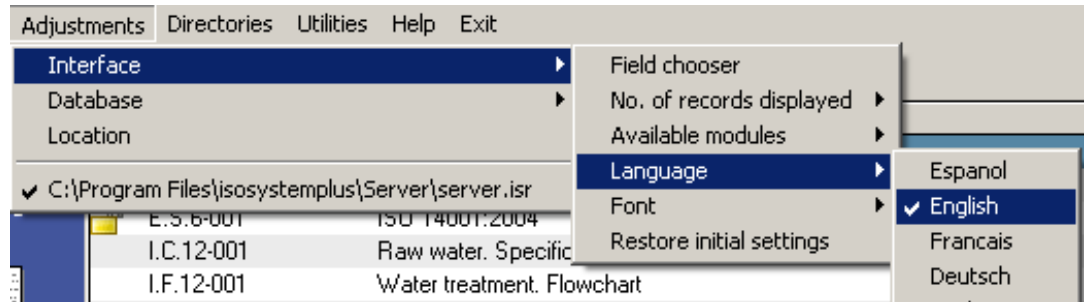
- No. of records (documents, processes, trainings, etc.) to be displayed in a Main Form is defined
- Two options are available – “100” (default) and “All”
 - Option “100” is selected when the database contains large amount of records (e.g., > 1000) to accelerate displaying the records



- Modules available in a user’s interface are chosen
 - The feature is available only in Admin’s and User-Admin’ s interfaces
 - “By default” all modules are available
- In course of configuring a user’s interface Admin/User-Admin chooses those modules which will be accessible to the particular user
 - Selection is done during configuration of the application on a user’s PC

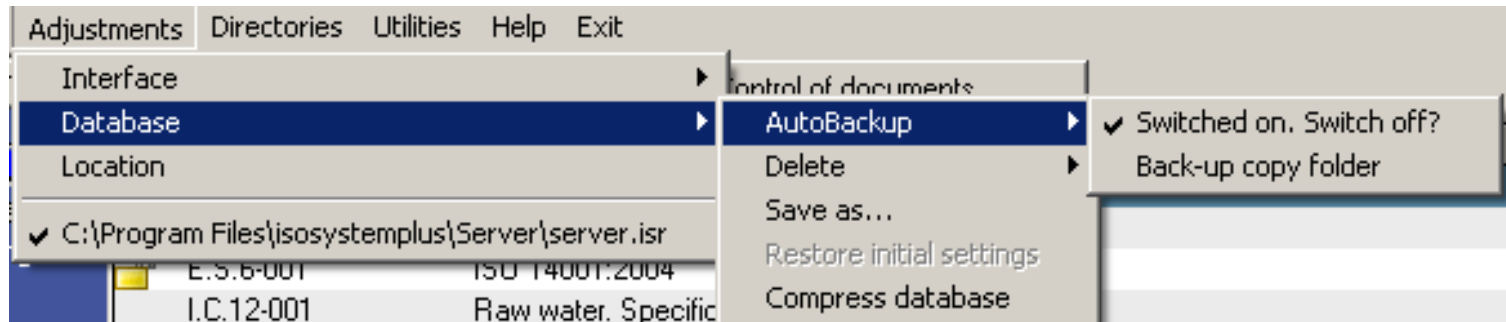
”Interface” – “Language”/”Font”

- “Language” – selection of interface language
 - useful option for companies with “international” personnel

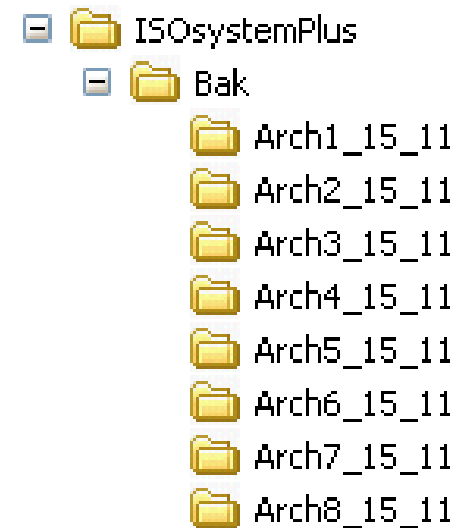


- “Font” – selection of a font of the software interface
 - Any font from the ones installed on the PC can be selected, “default” font – MS Sans Serif
- “Restore initial settings” – the function used to restore default interface settings

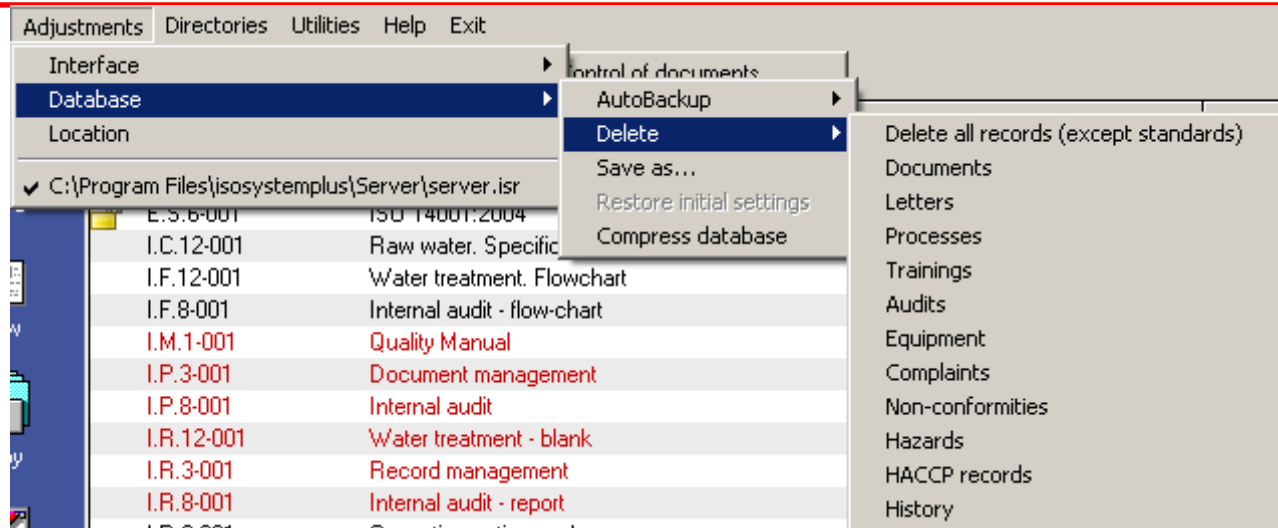
“Adjustments” “Database” – “AutoBackup”



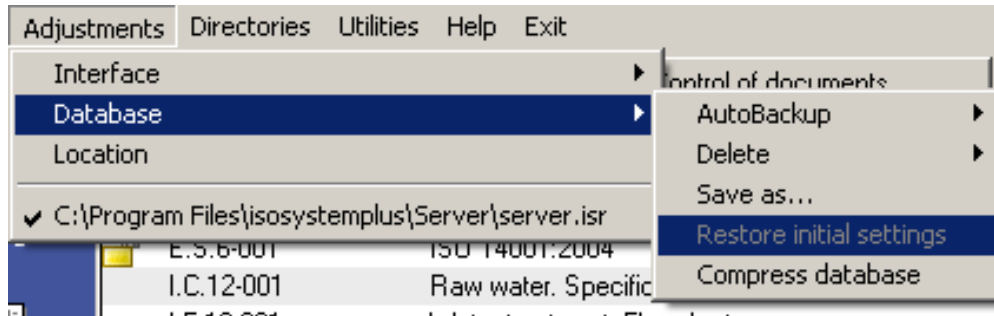
- **“AutoBackup”** – path to a (sub)-folder to save back-up copies of the sever database file
 - “By default” backup copies are saved in ...\\ISOsystemPlus\\bak\\.. folder
 - Backup copies are saved every hour in a dedicated subfolder Arch#_DD_MM (# - number of backup copy saved during the day)
 - The 9th copy replaces the 1st one, the 10th copy replaces the 2nd one, etc.
 - The function can be switched off/on



“Adjustments” “Database”



- **“Delete”** - quick deleting records in a database
- Records can be deleted:
 - “by modules” (documents, processes, audits, trainings, hazards, complaints, non-conformities); records in “Settings” modes are not deleted
 - All at once (“Delete all records”) – deleting all records in all modules/modes (including those in “Settings” modes)
 - Records of Standards (“Directories” – “Standards”) are not deleted
- **“Save as...”** – saving server database file under a different name
- **“Compress database”**
 - Compressing the database file is performed every time when Admin exits the program (reducing size of the database file)

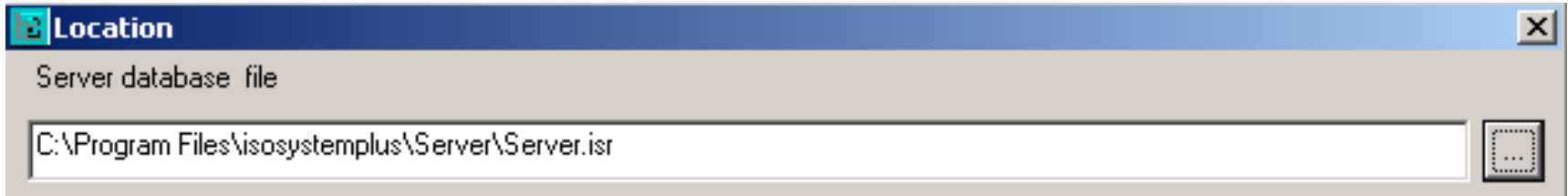



- Deleting information about Admin’s PC linked to the database
- The function is used in the following cases:

1. It is needed to link to the server database file from another PC - Admin’s working place (e.g., after upgrading/replacing the Admin’s PC)
 - After “restoring initial settings” Admin can link to the current database file from another PC (in this case another access code is to be received from the software supplier)
2. “ISOsystemPlus” is used by a consulting company that fills in databases for its clients
 - Filling out the database file can be done on a consultancy's PC
 - Upon completing entering the information and restoring the initial settings the file – server database can be passed on to a customer – Admin of the customer could link to it from his/her PC (of course, working in a license mode)

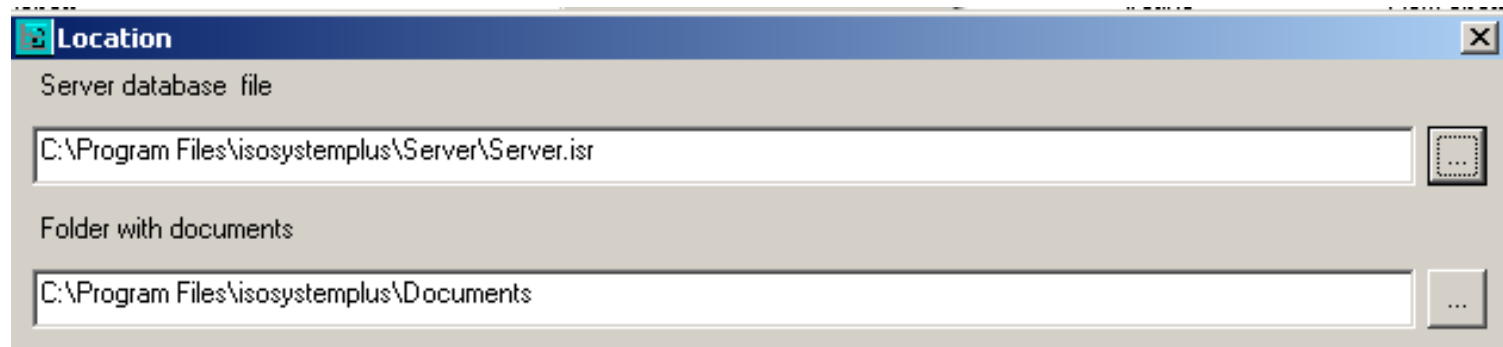
The function is available only in a license mode interface

“Adjustments” “Location” – “Server database file”



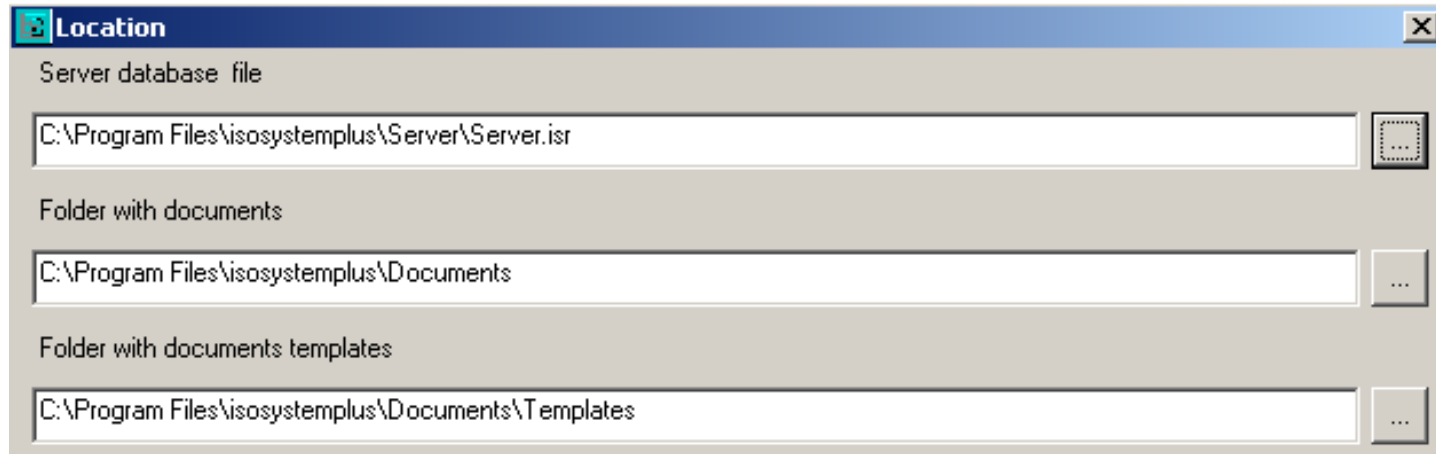
- “Server database file” – location of server database file
 - Various database files could be linked to in the course of work with the application
 - By default the application is linked to c:\\Program Files\\isosystemplus\\server\\server.isr file
 - Two options to define a server database file to be linked to:
 - Browsing – pressing the  button
 - Typing the address in the address field – useful feature to define paths to “network hidden” folders (those which names begin from “\$” symbol)
- One can create unlimited number of server database file by modifying the “original” database file and saving it (“Adjustments” – “Database” – [“Save as...”](#)) under different names

“Location” – folders with files of documents



- Browsing the folder where files of documents are located
 - The path can be browsed or entered from the keyboard
 - “Default” folder is c:\Program Files\isosystemplus\Documents
- The network server folder should be determined if the application is being configured as a network version to make users able to call the files of documents for review
- It is strongly recommended to define “Read only” level of access for all users of the application to this folder to eliminate chances for unauthorized changing /deleting the files from the folder
 - The folder can be made “invisible” for the network users by using “\$” as the first symbol of the folder’s name
- Files of filled records should be protected from unauthorized change by means of the application-editor’s tools (e.g., MS Word 2003 – Tools – Protect document)
- Files of documents can be located in any of sub-folders of the defined folder
 - The application will be searching a file for review in all sub-folders of the defined folder
 - The disk name (e.g., C:\) can also be defined as the folder name

“Location” – folders with files of document templates



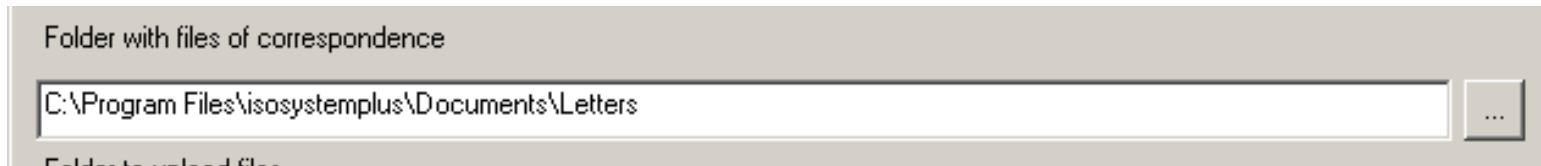
- Browsing the folder where files of document templates are located
 - The path can be browsed or entered from the keyboard
 - “Default” folder is `c:\Program Files\isosystemplus\Documents\Templates`
- The network server folder should be determined if the application is being configured as a network version to make users able to call the files of documents for review
- It is strongly recommended to define “Read only” level of access for all users of the application to this folder to eliminate chances for unauthorized changing /deleting the files from the folder
 - The folder can be made “invisible” for the network users by using “\$” as the first symbol of the folder’s name
- Files of templates of documents should be protected from unauthorized change by means of the application-editor’s tools (e.g., MS Word 2003 – Tools – Protect document)
- Files of templates can be located in any of sub-folders of the defined folder
 - The application will be searching a file for review in all sub-folders of the defined folder
 - The disk name (e.g., `C:\`) can also be defined as the folder name

“Location” – folders with files of filled records

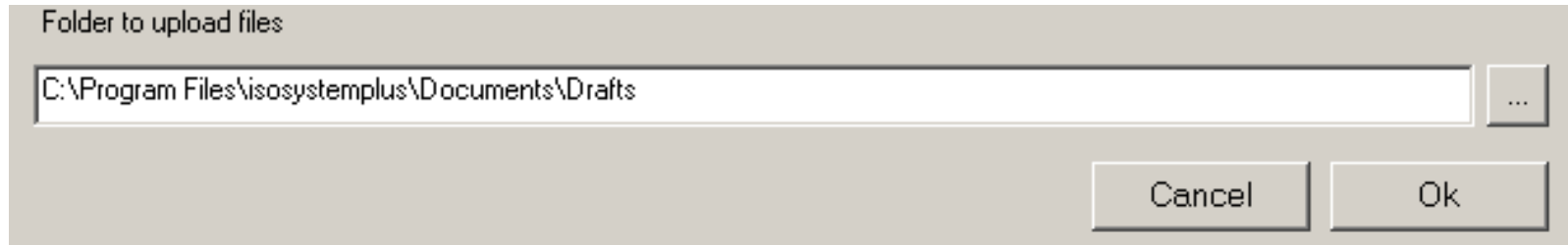


- Browsing the folder where files of documents are located
 - The path can be browsed or entered from the keyboard
 - “Default” folder is c:\Program Files\isosystemplus\Documents
- The network server folder should be determined if the application is being configured as a network version to make users able to call the files of documents for review
- It is strongly recommended to define “Read only” level of access for all users of the application to this folder to eliminate chances for unauthorized changing /deleting the files from the folder
 - The folder can be made “invisible” for the network users by using “\$” as the first symbol of the folder’s name
- Files of filled records should be protected from unauthorized change by means of the application-editor’s tools (e.g., MS Word 2003 – Tools – Protect document)
- Files of documents can be located in any of sub-folders of the defined folder
 - The application will be searching a file for review in all sub-folders of the defined folder
 - The disk name (e.g., C:\) can also be defined as the folder name

“Location” – folders with files of correspondence

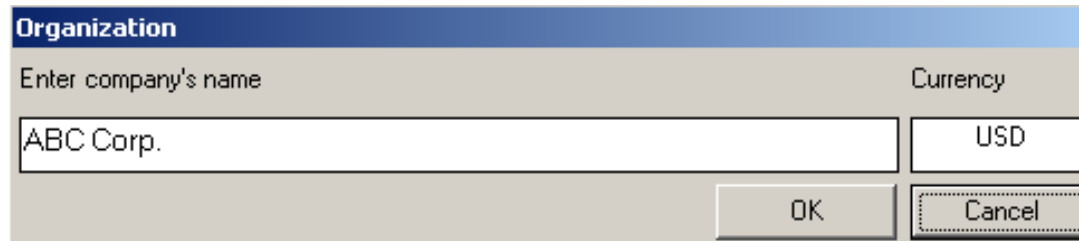
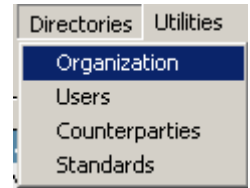


- Browsing the folder where files of correspondence are located
 - The path can be browsed or entered from the keyboard
 - “Default” folder is c:\Program Files\isosystemplus\Documents\Letters
- The network server folder should be determined if the application is being configured as a network version to make users able to call the files of correspondence for review
- It is strongly recommended to define “Read only” level of access for all users of the application to this folder to eliminate chances for unauthorized changing /deleting the files from the folder
 - The folder can be made “invisible” for the network users by using “\$” as the first symbol of the folder’s name
- Files of correspondence should be protected from unauthorized change by means of the application-editor’s tools (e.g., MS Word 2003 – Tools – Protect document)
- Files of correspondence can be located in any of sub-folders of the defined folder
 - The application will be searching a file for review in all sub-folders of the defined folder
 - The disk name (e.g., C:\) can also be defined as the folder name



- Browsing the folder on a server PC to upload files
 - “Default” location is the [folder with files of documents](#)
 - Can be changed by Admin
- Users authorized to add records in the Documents module should be granted full network access to the folder to be able to upload newly created files to the folder

The work starts from entering “general” data – organization’s **name and currency**, list of departments and users

A screenshot of a dialog box titled 'Organization'. The dialog has a blue header bar with the title. Below the header, there are two input fields. The first field is labeled 'Enter company's name' and contains the text 'ABC Corp.'. The second field is labeled 'Currency' and contains the text 'USD'. At the bottom right of the dialog, there are two buttons: 'OK' and 'Cancel'. The 'Cancel' button is highlighted with a dashed border.

- “Organization”
 - Name of the organization is presented in all headers of reports generated by the software (reports individualization)
 - “Default” name (ABC Corp..) can be changed **only in a license mode**
- “Currency”
 - Abbreviation of currency used is entered
 - Used in “Equipment” module to control equipment prices

The work starts with defining “general” data – organization’s name, currency, list of **departments**, **positions** and **groups** of users

Directories	Utilities
Organization	
Users	
Counterparties	
Standards	

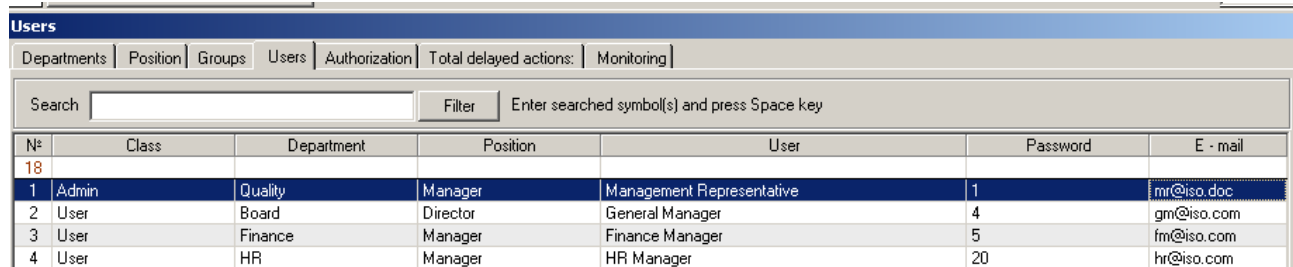
Users		
Departments	Position	Groups
Nº	Class	Department
1	Internal	Board
2	Internal	Finance
3	Internal	HR
4	Internal	Marketing

- **“Departments”, “Positions”**
 - List of organization’s departments/positions
 - Two fixed built-in classes of departments – “External” and “Internal”

Users	
Departments	Position
Nº	Name
1	Top management
2	Risk management team
3	Internal auditors

- **“Groups”**
 - List of group of users is made up (“Add” – “Group”)
 - Groups are “functional” units (rather than “structural” units – departments)
 - User groups will be used in “Documents”/“Correspondence” modules, Actions with documents

The work starts with defining “general” data – organization’s name, currency, list of departments and groups of users, **users...**



N#	Class	Department	Position	User	Password	E - mail
18						
1	Admin	Quality	Manager	Management Representative	1	mr@iso.doc
2	User	Board	Director	General Manager	4	gm@iso.com
3	User	Finance	Manager	Finance Manager	5	fm@iso.com
4	User	HR	Manager	HR Manager	20	hr@iso.com

– “Add” – “User”

- Three fixed classes of users – “Admin”, “User”, “Out”
 - It is recommended to assign only ONE user to the “Admin” class
 - In a User-Admin’ s interface “Adjustments” menu is available, in a users-User’ s’ and – Out’ s interfaces it is not available
 - User-Out – employees which worked with the program in the past (thus were listed in the Users table) but do not work anymore are assigned to the class “Out”
- Each user is assigned to a particular department, user’s name, password and e-mail are entered
- **Each user should have the unique password assigned**
 - Users will enter the program using their passwords (defined by the Admin)
 - Electronic addresses of users will be used for purposes of sending messages to the users (modules “Documents”, “Correspondence”, “Audits”) from the application

The work starts with defining “general” data – organization’s name, currency, list of departments and groups of users, **users...**

No.	Groups which a user belongs to
1	Top management
2	Risk management team
3	Internal auditors

Export to Excel Report Send Add Delete Cancel Ok

– **“Add” – “Group”**

- The group (s) which the user belongs to are selected from the list of groups
- One user can belong to several groups
 - Demo- database – user “Quality Manager” belongs to three groups (“Management”, HACCP group”, “Audit team”)
 - In the future (“Documents” – “Actions”) all users belonging to a particular group (“Managers”) will be given an access to a document at once if the group action “Distributed” is determined with regard to the group

“Directories” “Users” – “Users”

The screenshot shows a window titled "Users" with several tabs: Departments, Position, Groups, Users, Authorization, Total delayed actions, and Monitoring. Below the tabs is a search bar with a "Filter" button and the instruction "Enter searched symbol(s) and press Space key". Below the search bar is a table with the following data:

Nº	Class	Department	Position	User	Password	E - mail
18						
1	Admin	Quality	Manager	Management Representative	1	mr@iso.doc
2	User	Board	Director	General Manager	4	gm@iso.com
3	User	Finance	Manager	Finance Manager	5	fm@iso.com
4	User	HR	Manager	HR Manager	20	hr@iso.com

Export to Excel

Report

Send

Add

Delete

Cancel

Ok

- **“Filter”** – filtering those records of users which names contain symbol (s) entered on the Filter field
- **“Export to Excel”** – export of users lists to Excel file
 - Records parameters to export can be selected (“Adjustment” mode)
- **“Send”** – clicking the button calls e-mail agent and generates a message addressed to the selected user
- **“Report”** – generating a document-report containing the comprehensive information on the user selected
- These (and some other) functions are available in the drop-down menu appearing after “right-button mouse” click on a user record

Export to Excel

Adjustments
Export to Excel

The screenshot shows a user record for "Management Representative" with a context menu open. The menu options are:

User	Action
Management Representative	Add
General Manager	Delete
Finance Manager	Edit
HR Manager	Send
Marketing Manager	Report
Filling line supervisor	
Production Manager	

“Directories” “Users” - “Authorization”

Nº	Department	User	1	2	3	4	5	6	7	8	9	10	11
18													
1	Board	General Manager	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2	Finance	Finance Manager	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3	HR	HR Manager	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4	Marketing	Marketing Manager	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- “By default” users can not add records in the database software modules (they can just change records in some fields); only Admin can add records in the database
- Admin can authorize users to add records in selected modules
 - E.g., user “Training manager” can be authorized to add records in “Training” module, user “Chief Auditor could add records in “Audits” module, etc.
- This option may considerably **facilitate** the Admin’s work and **accelerate** the filling the database with records
- Authorization is performed by checking the appropriate box in the Users – Modules matrix

“Directories” “Users” - “Authorization” – “Adjustment”

Adjustments



Authorization				
#	Module	Settings	New	All
1	Documents	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
2	Letters	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
3	Processes	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
4	Trainings	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
5	Audits	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
6	Equipment	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
7	Complaints	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
8	Non-conformities	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
9	Risks	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

- Scope of the user’s authorization is determined in the form
 - “Settings” – users could add records in Settings mode forms only
 - “New” – users can add new records in the Main Form
 - “All” – users can add/change records in all modes of the module

Users (max. 10)

Departments | Position | Groups | Users | Authorization | Total delayed actions: | Monitoring

Search Filter Enter searched symbol(s) and press Space key

No.	Department	User	1	2	3	4	5	6	7	8	9	10	11
17													
1	Board	General Manager	0	0	0	0	0	0	0	1	0	0	0
2	Finance	Finance Manager	0	0	0	2	0	0	2	0	0	0	0
3	Production	PP blowing supervisor	0	0	0	1	0	0	1	0	0	0	0
4	Production	Production line supervisor	0	0	0	0	1	0	0	0	0	0	0
5	Production	Production Manager	0	0	0	0	0	0	0	0	1	0	0
6	Purchasing	Purchasing Manager	0	0	0	0	0	0	0	0	0	0	1
7	Quality	Chief of Laboratory	0	0	0	1	0	0	1	0	0	0	0
8	Quality	Management Representative	0	0	0	0	0	0	0	1	0	0	0
9	Quality	Quality Manager	0	0	0	1	0	0	1	0	0	0	0

1 - "Documents"	2 - "Processes"	3 - "Trainings"	4 - "Audits"
5 - "Equipment"	6 - "Complaints"	7 - "Non-conformities"	
9 - "Letters"	10 - "Risks"	11 - "Contacts"	

Report Cancel Ok

- Available in Admin’s interface only
- “Dashboard” table summarizing view of delayed actions which users are responsible for
- The table is filled in with the data sourced from other modules so the data can not be changed in this table

“Directories” “Users” - “Monitoring”

The screenshot shows a software interface titled "Users". At the top, there are several tabs: "Departments", "Position", "Groups", "Users", "Authorization", and "Total delayed actions: Monitoring". Below the tabs is a table with the following data:

No.	Linked user	Start	Computer
1	Coordinator	25.02.2010 11:23:25	PS1-OX213

Below the table, there is a "Report" button and two date selection fields: "From: 25.01.2010" and "To: 25.02.2010". An "Ok" button is located at the bottom right of the interface.

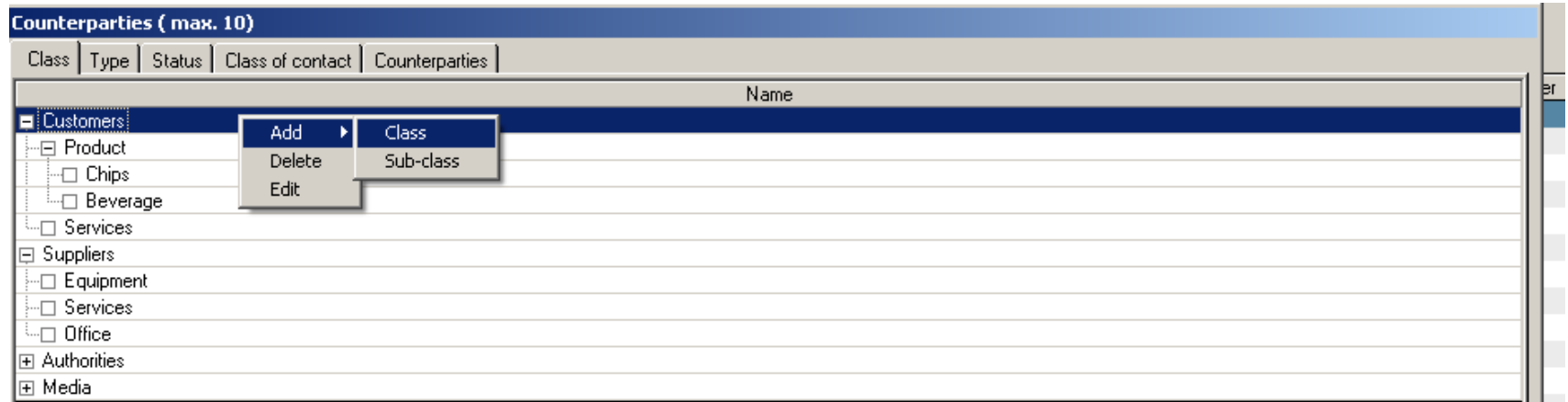
- The tab is available in Admin's interface only
- Information about which users are linked to the database at the moment is present in the table
- “From” – “To” – dates for the report reflecting history of a particular user's activity

“Directories” “Counterparties”

- Mode with CRM-featured functionality
- Makes able to:
 - Search counterparties
 - Collect and list information about counterparties
 - Analyze and make conclusions based on the collected data
 - Plan and maintain contacts with counterparties
 - Control execution of planned actions
 - Import lists of counterparties from other applications (via memory buffering the lists)
 - Export list of counterparties into Excel file



“Counterparties” “Class”



- Flexible system for classification of counterparties
 - “Tree of classes/subclasses” approach
- No limits on number of class/sub-class names or “branches” length

“Counterparties” “Type”, “Status”, “Class of contact”

Counterparties (max. 10)				
Class	Type	Status	Class of contact	Counterparties
#	Name			
1	Legal entity			
2	Physical entity			
3	Compartment			

Counterparties (max. 10)				
Class	Type	Status	Class of contact	Counterparties
#	Name			
1	Approved			
2	Conditionally approved			
3	Being approved			
4	Not applicable			

Counterparties (max. 10)				
Class	Type	Status	Class of contact	Counterparties
#	Name			
1	Phone call			
2	E-mail			
3	Letter			
4	Fax			

- “Type” – list of types of counterparties (optional parameter)
- “Status” – list of names of statuses of counterparties
 - Useful to classify suppliers (e.g., “Approved”, “Disqualified”, etc.)
- “Class of contact” – list of names of contact classes

“Counterparties”

“Counterparties”

No.	Code	Class	Sub-class	Type	Status	Name	Comment
4							
1	22	Authorities	Federal	Legal entity	Not applicat	FDA	
2	23	Suppliers	Equipment	Legal entity	Approved	Krones	
3	24	Media	Newspaper	Legal entity	Not applicat	New York Walker	

- List of the organization's counterparties names / details - Main Form of counterparties
- Press “Properties” (or double click a counterparty record) – opening the form for detailed description of the counterparty
- “Search” – quick filtering of counterparties records by symbol (s) presented in its name
- “Send” – generating an e-mail message addressed to the selected counterparty’s
- “Report” - generating the report summarizing all counterparty’s data entered in the form
- “Insert” – import the list of names of counterparties from another application (e.g., Excel list) using “Copy – Paste” technique
- “Export to Excel” – export of list of counterparties into Excel file
- “Total delayed actions” – filtering of those counterparties records which contacts with are delayed (see next slide – Contacts)

“Counterparties”

Adding new counterparty record

- “Add” – adding new record in the table
- “Properties” – adding basic data about the counterparty’s organization
 - Code - code value is determined by default
 - Serial selection (input) of the counterparty’s class/subclass, type, status, name, address, phone/fax/e-mail, needed comment

The screenshot shows a software interface for adding a new counterparty record. The window title is "Counterparty". It features several tabs: "Properties", "Department", "Positions", "Employees", "Contacts", "Documents", and "References". The "Properties" tab is selected. The form contains the following fields and controls:

- Code:** A text box containing the value "26".
- Class:** A dropdown menu with "Authorities" selected.
- Type:** A dropdown menu with "Legal entity" selected.
- Status:** A dropdown menu.
- Name:** A text box.
- Address:** A text box.
- Phone:** A text box.
- Fax:** A text box.
- E-mail:** A text box.
- WWW:** A text box.
- Buttons:** "Send" and "Visit".
- Comment:** A large text area at the bottom.

This screenshot shows a toolbar from the same software application. At the top left, there is a status indicator that says "Total delayed actions: 2". The toolbar contains the following buttons from left to right:

- Properties
- Send
- Insert
- Report
- Add
- Delete
- Cancel
- Ok

- “Send” – generating a message addressed to the counterparty’s e-mail address
- “Insert” – pasting list of counterparties names from another application
 - The button “Insert” becomes active when a list of names to be pasted is copied into memory (Ctrl-C)
- “Export to Excel” – export of all data entered in the table into Excel-file
- “Total delayed actions” – lines of counterparties for which registered contacts not completed by due date are marked in red

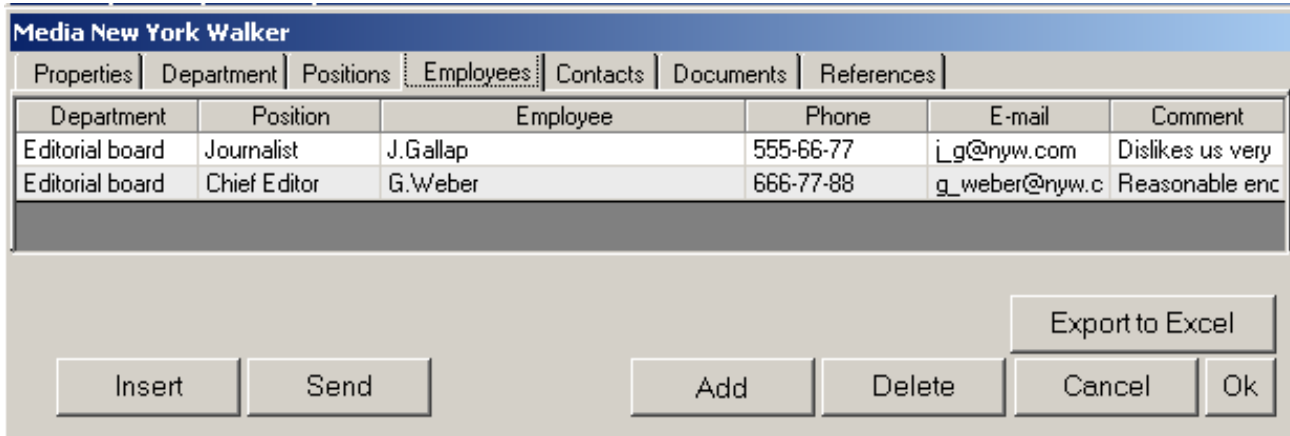
“Counterparties”

Adding new counterparty record

Suppliers Krones						
Properties	Department	Positions	Employees	Contacts	Documents	References
#	Name					
1	Sale					
2	Finance					

- “Departments”/”Positions” – listing the counterparty’s departments and employees’ positions
 - Insert – pasting list of department names from another application
 - The button “Insert” becomes active when a list of names to be pasted is copied into memory (Ctrl-C)

“Counterparties” “Employees”



The screenshot shows a software application window titled "Media New York Walker". The window has a menu bar with the following options: Properties, Department, Positions, Employees, Contacts, Documents, and References. Below the menu bar is a table with the following columns: Department, Position, Employee, Phone, E-mail, and Comment. The table contains two rows of data:

Department	Position	Employee	Phone	E-mail	Comment
Editorial board	Journalist	J.Gallap	555-66-77	l_g@nyw.com	Dislikes us very
Editorial board	Chief Editor	G.Weber	666-77-88	g_weber@nyw.c	Reasonable enc

Below the table, there are several control buttons: "Insert", "Send", "Add", "Delete", "Export to Excel", "Cancel", and "Ok".

- List of counterparty’s employees is entered
- Contains minimal set of data (employee’s department/position/name, phone/e-mail/comment) needed to establish/maintain/control contacts with counterparty’s employees
- “Send” – generating an e-mail message addressed to the employee’s e-mail address
- “Insert” – quick inserting several contact names from another application (e.g., Excel)
 - The button is available when there is a “ready-to-paste list of data copied in the memory
- Export to Excel – exporting list of employees into Excel-file

“Counterparties” “Contacts”

Date	Responsible	Class	Employee	Next contact	Done?	Comment
01.12.2009	Chief of Laboratory	E-mail	J.Gallap	09.12.2009	Yes	Respond to the journalist's
09.12.2009	Chief of Laboratory	E-mail	J.Gallap	14.12.2009	No	Follow-up

- The mode to plan/control contacts with the counterparty’s employees
- Each contact records consists of the following information fields:
 - Contact date
 - User responsible for the contact
 - Contact class (e.g., call, e-mail, meeting, etc.)
 - Employee to be contacted
 - Date of the next contact
 - Mark whether the planned contact fulfilled
 - Comment if needed
- Overdue contacts records (current PC date is ahead of planned date, “No” mark in the “Done?” field) are marked in red
 - Overdue records are marked in red in interface of a user responsible for the contact as well as in the Admin’s interface

“Counterparties” “Documents”, “References”

- “Documents” – list of documents which relates to the selected counterparty
 - An example – list of reports of audit of the counterparty-supplier
- “References” – a list of records from other modules (“Correspondence”, “Complaints”, “Equipment”) which contain reference to the selected counterparty
 - These records are populated automatically and can not be changed in “Counterparties” mode

Code	Date of registration	Class	Type	Status	Done?
CS.C-001	06.12.2009	Customer	Complaint	Reviewed	Yes

Code	Date of registration	Subject	Status	<<->
IN.L.1-001	05.12.2009	Recycling of package	Control	Sender

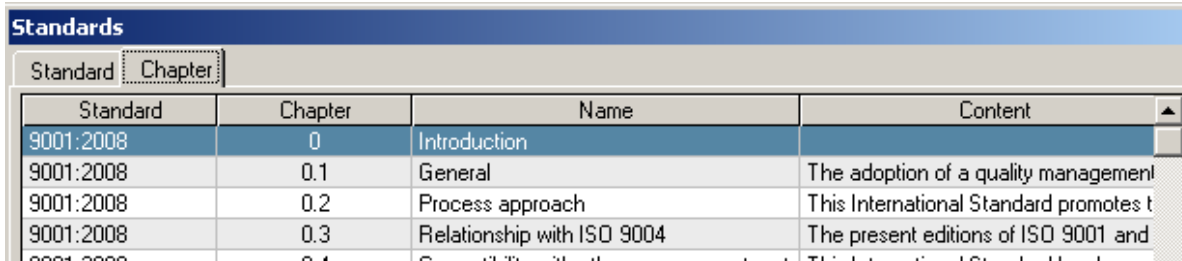
“Directories” – “Standards”

Standards	
Standard	Chapter
ISO 9001:2008	
ISO 27001:2005	

Directories	Utilities
Organization	
Users	
Counterparties	
Standards	

- “Directories” – “Standard” – “Standards”
 - List of external standards which requirements are addressed by the organization’s management system
 - Admin can add any additional external standard
- As any management system is based on a few common “pillars” (document control, process approach, personnel trainings, audits/corrective actions, handling of customer complains, etc.) – “ISOsystemPlus” can be used a a tool for developing of an **integrated** management system (quality, environment, food safety, operational health and safety, etc.)

“Directories” – “Standards” – “Chapters”



The screenshot shows a table titled "Standards" with a sub-header "Chapter" selected. The table has four columns: "Standard", "Chapter", "Name", and "Content". The data rows are as follows:

Standard	Chapter	Name	Content
9001:2008	0	Introduction	
9001:2008	0.1	General	The adoption of a quality management
9001:2008	0.2	Process approach	This International Standard promotes t
9001:2008	0.3	Relationship with ISO 9004	The present editions of ISO 9001 and

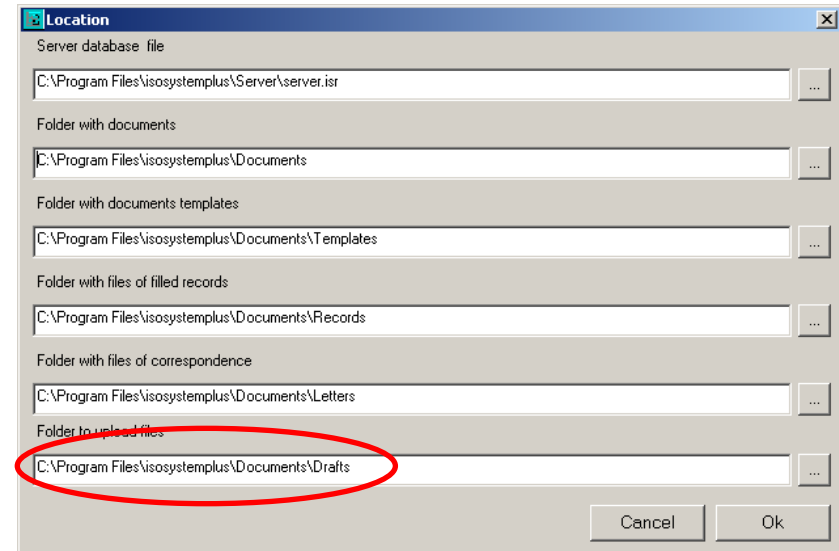
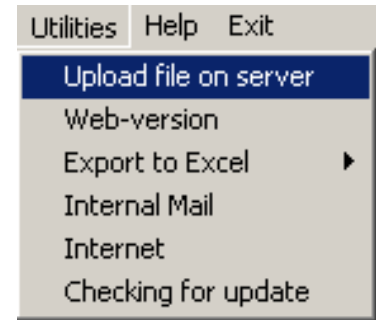
- “Chapter”
 - List of chapters of external standards defined in “Standard” table
 - References (links) of documents (processes, audits) records to the chapters of particular standards will be defined in corresponding modules (“Documents”, etc.)
 - Admin can add (change, delete) any standard in these tables

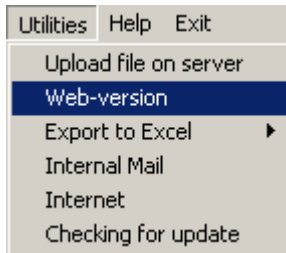
“Utilities” – “Upload file on to server PC”

- Function for uploading files of a server PC
- Users authorized to enter records in “Documents” and “Correspondence” modules can uploaded files of documents

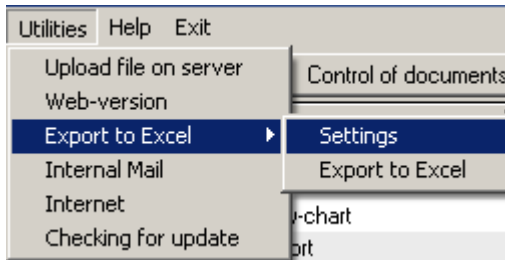
•Sequence of actions

- A user browses the file to be uploaded
- After selecting the file and pressing the “Open” button the file selected is uploaded to the folder determined in “Adjustments” – “Locations” – “Folder to upload files”

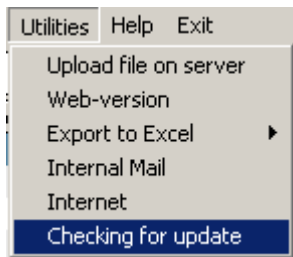




- Visiting the page of the application site to place a request for on-line test on the WEB-version of the software

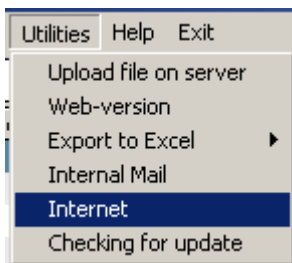


- Export of all records into Excel file-spreadsheet
- Export is performed “by modules”

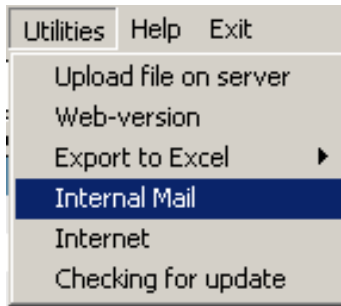


- Manual checking for the available updates
- Requires Internet access
- Automatic checking s being done every month, manual checking can be done anytime

- If the new version is available the user is being re-directed to the site page with the available update



- Visiting Internet sites directly from “ISOsystemPlus”
- Users can create a “library’ of favorite sites
- Available in all users’ interfaces



- “Internal mail” – exchange with information between all users of the software
 - no need in having an e-mail agent installed on users’ PCs

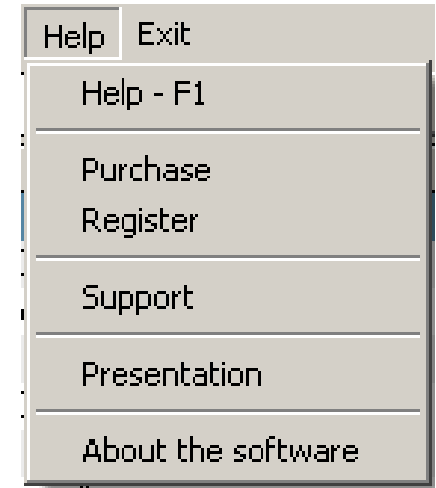
Internal mail					
Outgoing					
Send					
No.	Department	User	Date	Send	Respond?
1	Quality	Management Representativ	13.03.2007	Internal auditors training will take place or	Yes
2	Production	Production Manager	13.03.2007	Pleaae review and present KPIs of filling I	Yes

- “Incoming”
 - Info messages sent to the user by other users
 - A user can respond the incoming message in the “Respond” field
 - Absent in the Admin’s working place interface
- “Outgoing”
 - Messages from the user to other users
 - Grid “Respond” – messages from other users responding the outgoing message
- All outgoing messages which are expected to be responded (value “Yes” in the field “Respond?”) are marked with red until the respond is received (grid “Respond”)
- Having selected “All” value in the “User” column the user can send message to all users belonging to the particular department
- Indicating incoming message
 - An icon appears when an incoming message comes
 - Double clicking the icon opens the “Internal mail” form



Functions of upper menu – miscellaneous

- «Help» - built-in system of prompt tips
 - Interactive help is available by pressing button F1 or from “Help” menu for all users
 - “Purchase” and “Register” items are available in the Admin’s interface only
 - “Presentation” – downloading this presentation file (Presentation.pdf) from form the application’s site

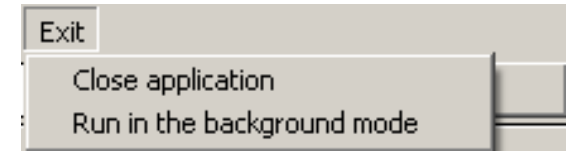




- User’s selection window

- The user’s name currently working with the program is displayed
- Admin can switch to any user’s interface to check functional possibilities of each user’s working station



- The program can be running in “background” mode
 - During “background” running the program keeps monitoring the carrying out the actions planned (see further) and warns users about necessity to complete the scheduled actions
 - Switch to background mode - “**Exit**” – “**Run in the background mode**” command



- After switching to background mode the program is minimizing to an icon in Windows system tray 
- Left-button mouse click on the icon allows either to restore the program window, or to shut the program down
- If an action planned is not carried out on time, the system tray icon view is changing – a warning red exclamation mark appears 
- Double quick click on the icon changed restores the program window and calls an information window with the list of records and actions due to carry out
- “**Exit**” – “**Close application**” – shutting the program down

- Available only for Admin (and authorized users)
 - All other users (incl. user-Admin) have an access to records of a database in the “read only” mode
 - Authorization of users to add/change records in the database is performed by Admin (details – see “Authorization of users” slides)
- Adding/changing/deleting records in Chief Forms:
 - Buttons “New”, “Copy”, Delete”
- Adding/changing/deleting records in other modes:
 - «Add», «Delete» in bottom part of each form
 - «Cancel» – exiting the form without saving the data entered
 - “OK” – exiting the form with saving the data entered
- Drop-down list after mouse “right button click” on a record
 - available in all forms of the program
 - functions – «Add», «Delete», «Add», «Insert» (for recording of operations in modules «Processes» and «HACCP»)
- Editing the records:
 - «Double clicking» a record
 - F2 or Enter – for records selected in Chief Forms



- More than 70 different reports are generated by the software
- All reports can be:
 - Printed out
 - Formatted to one-page view
 - Converted into -.doc or -.xls formats and saved
 - The conversion is available only on license mode
- A company's name (that is defined in "Settings" – "Organization" mode) is presented in a header of each report
- Date/time of the report generation and page No. (in format "Page X of Y") are presented in a footer of each report
- Several editable empty fields are available in reports header/footer
- All generated reports can be used as official documents of a management system and stored as either "hard" (paper) or electronic copies



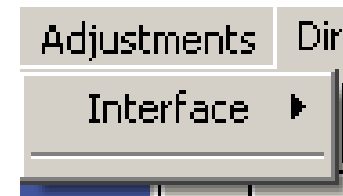
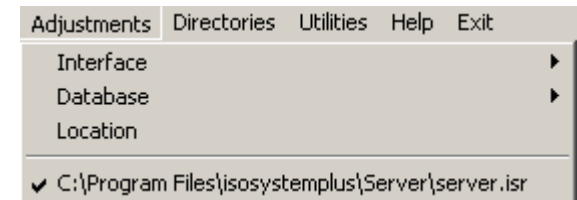
Admin's and user's interfaces – differences

- Admin is able to enter interface of any user from the Admin's working station by selecting the user in a user identification window (top right corner of the software screen)



- This option is not available for users working stations - each user can work **only** in his/her interface

- Top (control) menu of Admin's and user-Admin working stations
- Top (control) menu of user's working stations



- Users can not add records to/delete records from the database (if not authorized for doing so by Admin)
- Users have a limited access to review of files of documents/correspondence

Module “Documents”

- Establishing and maintaining an effective document control/ management system
 - Specially designed database of documents with consideration all requirements to document control system stated in ISO 27001 standard
 - Possibility to perform effective control over all documents of the System
 - Creating documents using consistent templates
 - Uploading created files on a server PC
 - Automatic monitoring of the System’s documents status-quo, notification of users about necessity to perform planned actions with the system documents
 - Registration/updating of changes/revisions of documents
 - Automatic distribution of latest documents revision to users, users’ notification on documents sending
 - Effective control system for external documents
 - Effective control system for records
 - Proving fact of acknowledging users with files of documents
 - System of authorized access of different users to management system information (documents, info on trainings, audits, etc.)
 - One-click generating of more than 20 documents-reports
 - Import of documents database data to Excel-file

Documents (max. 15)

Modules Adjustments Directories Utilities Help Exit

Documents Search Control of documents Демон-Координатор

Code	Name	Class	Status	Type	Chapter	Done?
E.S.14-001	OHSAS BSI 18001:2007	External	Active	ISO standard	14	Yes
E.S.2-001	ISO 9001:2008	External	Active	ISO standard	02	Yes
E.S.6-001	ISO 14001:2004	External	Active	ISO standard	06	Yes
I.C.12-001	Raw water. Specifications	Internal	Active	Specification	12	Yes
I.F.12-001	Water treatment. Flowchart	Internal	Active	Flow-chart	12	Yes
I.F.8-001	Internal audit - flow-chart	Internal	Active	Flow-chart	08	Yes
I.M.1-001	Quality Manual	Internal	Active	Manual	01	No

- Working area – Main Form of Documents
- Each record in Main Form corresponds to one system document
 - Columns of Main Form contain information about basic document properties: code, name, class, status, type, system chapter, attached file of the document
- Vertical menu – control buttons of document basic operations:
 - “Settings” - basic information about a document system parameters
 - “New” - adding new document record into database
 - “Copy” – copying existing document record
 - “Delete” - deleting the document record from the database
 - “Send” - sending an e-mail/document to selected users
 - “File” - viewing a file of the document record
 - “Report” – generating a report summarizing all information about a document
- Users can change some parameters of a document record accordingly to their authorization status
- Admin authorizes users to add/change/delete documents in a database

“Settings” “Class”, “Type”

- Two fixed **classes** of documents - Internal and External
- Code

Class	Type	Status	Action	Chapter	Template of code
Name					Code
Internal					I
External					E

– A code is assigned to each class name; will be used in Template of Code tab

- Types of documents are defined for each class

- “Validity” – a number of months is entered (a period at the end of which document of the particular type must be revised)
- File-template – corresponding file-template is selected

Class	Type of document	Validity, months	File-template	Type "Record"	Code
External	External audit report				A
External	ISO standard				S
Internal	Flow-chart	12	flowchart.rtf		F
Internal	Instruction	12	instruction.rtf		I
Internal	Manual	12	manual.rtf		M
Internal	Order	12	order.rtf		O
Internal	Procedure	12	procedure.rtf		P
Internal	Record	12		Yes	R
Internal	Specification	12	specs.rtf		C

New Add Delete Cancel Ok

– Files-templates are located in the folder defined in “Adjustments” – “Location” mode

- Type “Record” – value “Yes” is selected in the line of the document type which is of “Record” properties (Ch. 4.2.4., ISO 9001:2008)
 - File-template for document of “Record” type is not defined
- Code
 - A code is assigned to each type name; will be used in Template of Code tab

- **“Status”** – document status names are listed (e.g., Active, Passive, Draft)

Settings	
Class	Type
Status	Action
Chapter	Template of code
Name	
Active	
Passive	
Draft	

- **“Actions”** – list of names of actions with document during life-cycle

Settings	
Class	Type
Status	Action
Chapter	Template of code
No.	Name
1	Created
2	Agreed
3	Approved
4	Issued
5	Distributed
6	Record storage

- **“Chapter”**

- Names of chapters of the organization’s document system are defined
- Chapters’ codes are inserted (are used in Template of Code tab)

Settings		
Class	Type	
Status	Action	
Chapter	Template of code	
Chapter No.	Name	Code
01	General management	1
02	Quality Management	2
03	Document management	3
04	Maintenance	4

Settings	
Type	Status
Nº	Chapter
1	Created
2	Agreed
3	Approved
4	Issued
5	Distributed
6	Record storage
7	Received

- List of names of actions with document
 - Actions are entered in order as they follow each other in real life (at first – “Created”, then – “Agreed”, then “Approved”, etc.).

- “No. of days left...” – number of days in which the warning notification on overdue actions with documents will be displayed on responsible user’s PC
- The value to select varies from 0 to 30 days

Number of days left till carrying out actions with documents:

- If a value, say, **1** is entered in the field, it means the following:
 - For the document “X” the action “Approved” is planned for, e.g., December 1, 2008; responsible for document approval – user “Quality Manager”
 - If the action is not performed (mark “Done?” in “Actions” tab of the document record is still “No”), on November 31 (**1** day prior to December 1) the red blinking message “Overdue actions with documents: **1**” will appear in the bottom part of the interfaces of Admin and Quality Manager
 - To check action on which document should be performed, the button near the message should be pressed – form with a list of due documents is displayed

“Settings” “Template of Code”

- The function is intended to facilitate adding new record of document into database by automatic generating the record's code

The screenshot shows the 'Settings' dialog box with the 'Template of code' tab selected. The 'Autoincrement' checkbox is checked. Below it is an empty text field. Further down is a row of dropdown menus for 'Class', 'Type', 'Chapter', and 'Date', followed by a '000' dropdown. A small list on the left shows 'Class', 'Type', 'Chapter', and 'Date'.

- Two options for template code are available: fixed and structured

- Fixed code:

- The value presented in the field will be displayed in Code field while adding new document record
- If “Autoincrement” is checked the last digit in the code will be increased by one

The close-up shows the 'Autoincrement' checkbox checked and the text field containing the value 'A-00-000'.

- Structured code




- Selection of needed parameters (e.g., class, type, chapter, etc.) which codes will be included in the new record's code

The close-up shows the dropdown menus for 'Class', 'Type', 'Chapter', and 'Date', followed by a '000' dropdown.

“New” - adding new record in a database

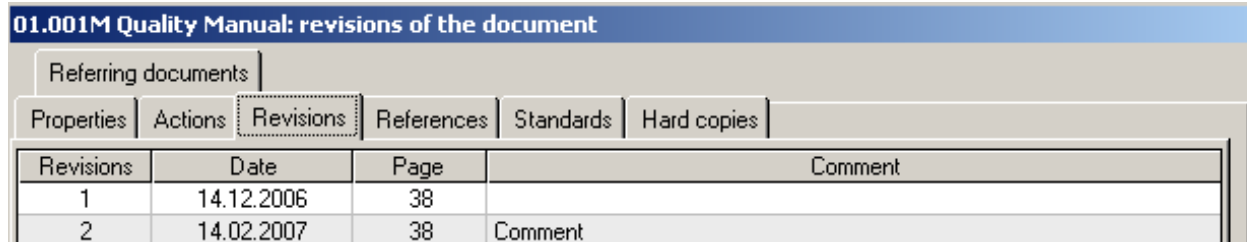


- **“New”** – selection between adding a new record of documents in the database or to create a new file of internal document
- Is the new record of a document should be added in the database the option “Document” is selected
 - “Properties” tab opens
- **“Properties”** – all fields are filled in by Admin (authorized user) while new record of document is added
 - Fields mandatory for filling in – class, type, status, document code, document name, Chapter
 - Code and name of document are typed and should be unique
 - Values of a document’s type, status and chapter are either selected from the drop-down lists (entered in the “Settings” mode) or typed from keyboard

- **“File”** – a file of the document is browsed in the field
 - Files are selected from the folder defined in “Adjustments” – “Folder with documents” menu
 - Records of documents for which a file is defined are marked with icon  in the column “File”
 - Records of documents for which url-address is defined as a file name, are marked with  icon
- **“Available for all users”** – if the field is marked, a file of the document will be available for review to **all** users
 - Records of “available-for-all” documents are marked with the  icon in the Main Form

Available for all users

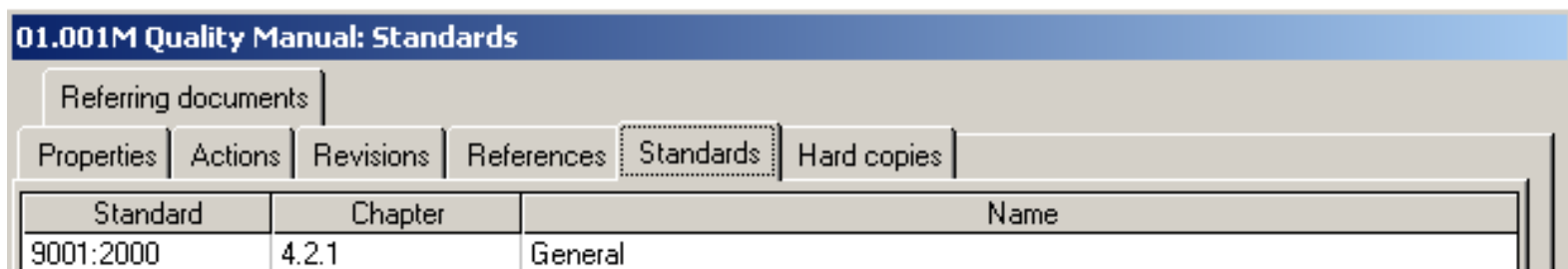
“Documents”. Adding new record in a database. “Revisions”. “Standards”



Revisions	Date	Page	Comment
1	14.12.2006	38	
2	14.02.2007	38	Comment

- **“Revisions”**

- Document revision No. starts from 0 by default
 - Revision No.0 is recommended for documents in status “Drafts”
- Revision date, number of pages are entered
- “Comments” – reasons for the new revision of the document are useful to note

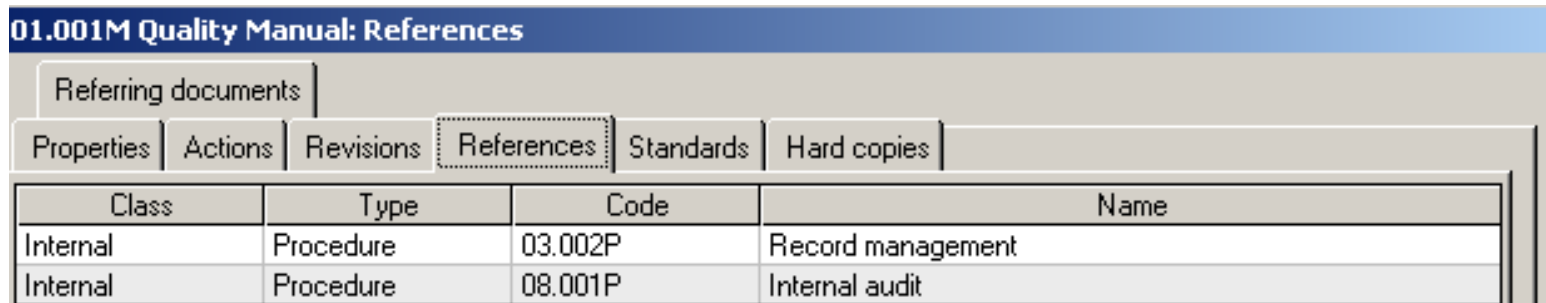


Standard	Chapter	Name
9001:2000	4.2.1	General

- Tab **“Standards”** – selection of a chapter (chapters) of external standard which requirements are addressed by the document
 - One document can address requirement of more than one chapter or external standard
 - Item “No standard” is selected for those documents which are not included in a formal Management system

“Documents”. Adding new record in a database “References”

- **“References”** – selecting records of documents (from the list of documents already added in the database) which the active document refers to



Class	Type	Code	Name
Internal	Procedure	03.002P	Record management
Internal	Procedure	08.001P	Internal audit

- **“Referring documents”**
 - The list is made up based on records of documents referring to the active document (“References” tab), and **may not** be changed directly
 - Useful information for the cases when a document should be deleted from the database

“Documents”. Adding new record in a database.

“Hard copies”

03.001P Document management: Hard copies					
Referring documents					
Properties	Actions	Revisions	References	Standards	Hard copies
Revisions	Distribution		Responsible	Destruction	
	Date	No. of copies		Date	No. of copies
1	09.08.2006	12	Chief of Laboratory		

- **“Hard copies” - control over “hard” (printed out) copies of a document**
 - No. of revision of the document to be printed out is defined
 - “Distribution” – date of printing out the copies and No. of copies printed are entered
 - “Responsible” – a user responsible for controlling the hard copies
 - “Destruction” – if a new revision of the document is issued, hard copies of the previous revision must be collected back and destroyed
 - No. of copies gathered back and date of destruction are entered

“Documents”. Adding new record in a database

“Actions” – individual user’s action

- Actions of two types are determined in the tab
 - individual (actions which are carried out by a single user)
 - group (actions which are intended for the whole group of users)



The screenshot shows a software interface titled "03.001P Document management: actions/responsible users". It features a tabbed menu with "Referring documents" selected, and sub-tabs for "Properties", "Actions", "Revisions", "References", "Standards", and "Hard copies". Below the menu is a table with the following data:

Action	User	Date	Done?
Created	Purchasing Manager	08.09.2007	Yes
Agreed	Quality Manager	15.09.2007	Yes

Type	Status	Action
#		
1	Created	
2	Agreed	
3	Approved	
4	Issued	
5	Distributed	
6	Record storage	

- **“Add” – “User’s action”**
 - Admin determines a list of actions over a document which are supposed to be carried out by a particular user
 - Selection of required actions from the action list (“Documents” – “Settings” – “Actions”)
 - For each action a user responsible for execution the action is defined, and planned date of execution the action
 - Field “Done” – confirmation an execution of the action planned (selection between “Yes”/“No”) options

“Documents”. Adding new record in a database

“Actions” – group users action

- Actions of two types are determined in the tab
 - individual (actions which are carried out by a single user)
 - **group (actions which are intended for the whole group of users)**

Action	Group	Date	Done?
Distributed	Internal auditors	02.06.2008	Yes
Distributed	Management	02.06.2008	Yes

Type	Status	Action
#		
1	Created	
2	Agreed	
3	Approved	
4	Issued	
5	Distributed	
6	Record storage	

- **“Add” – “Group action”**

- Admin determines action(s) over a document which are relevant for a group (consisting of several users) – e.g., “Distributed”, etc.
- Selection of required actions from the action list (“Documents” – “Settings” – “Actions”)
- For each action a planned date of carrying out the action is determined
- Field “Done” – confirmation an execution of the action planned (selection between “Yes”/“No”) options

- Data entered in the form are used as a basis for two document control functions:

1. **Automatic tracking a status of documents and notification of users about necessity to complete actions planned**
2. **Access of users to text of files of the System documents depending on their level of authorization**

“Documents”. Adding new record in a database

“Actions” – “Adding filled records”

08.005B Internal audit - report: Filled records

Referring documents

Properties Actions Revisions References Standards Hard copies Filled records

N°	Code	Date of record	Time	Shelf life	File	Comment
1	08.005B_1	08.02.2006	16:03	06.02.2007	08.005B_1.rtf	
2	08.005B_2	18.06.2007	16:05	15.06.2007	08.005B_2.rtf	

Action	User	Date	Done?
Distributed	Production Manager	09.02.2006	Yes

From: 22.08.2008 To: 22.08.2008 Display

Report Send View Add Delete Cancel Ok

- The field appears in the “Actions” tab only for the documents of “Record” type
- If a mark is put down in the field, the user selected (“Production Manager” on a picture) is able to add filled records (tab “[Filled records](#)” on his/her workstation)

Authorized access of different users to files of documents

Action	Group	Date	Done?
Distributed	Management	26.11.2006	Yes
Distributed	Internal auditors	27.11.2006	Yes

- **Only** those users which are a) listed in the column “Group” (“User’s actions”), and b) members of the groups defined in Group column (Group actions) will be able to call a file of the document for review
 - In the example below only Purchasing Manager, Quality Manager and Management Representative, and users- members of groups Management and Internal Auditors will be able to open a file of the document 03.001P for review from their working stations

03.001P Document management: actions/responsible users

Referring documents

Properties Actions Revisions References Standards Hard copies

Action	User	Date	Done?
Created	Purchasing Manager	08.09.2007	Yes
Agreed	Quality Manager	15.09.2007	Yes
Approved	Management Representative	16.09.2007	Yes
Issued	Management Representative	16.09.2007	Yes

- Files/records of documents marked as “[Available for all users](#)” (tab “Properties”) are available for review for all users
- If the field is marked, a file of the document will be available for review to **all** users
 - Records of “available-for-all” documents are marked with the “open lock” icon in Admin’s interface

Available for all users

 14.001S	OHSAS BS 18001:2007	External
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- Next **practical task** – how to **prove** a fact that a user really called a document for review?

Acknowledging a fact of reviewing a document by the user

- Required for organizations with electronic turnover of documents
- A task is to track and (if necessary) to prove (e.g., during the external audit) a fact of opening a file of the particular document by the particular user(s)
- The task is realized in the following way:
 - **User’s working place:** if a user calls a file of the document for review a record containing date/time of the last file opening by the user appears in the “Properties” tab of the document record
 - **Admin’s working place:** the button “Register” (tab “Actions”) opens a form - list of all users/actions which called the file of the document for review from their PCs, and dates of the review

Code	Name
01.001M	Quality Manual
Review date 01.05.2004	

- General Report on a document (“Documents” – “Report”) contains chapter «Actions on the document”, summarizing all actions (including “Reviewed”) performed over the document
- General report on a user (“Settings” – “Organization” – “Users” – “Report”) lists all actions which the particular user performed over all documents

03.001P: Review of the file

Referring documents

Properties | Actions | Revisions | References | Standards | Hard copies

Action	Department	User	Date
Reviewed	Quality	Quality Manager	01.05.2006
Reviewed	Purchasing	Purchasing Manager	01.05.2006
Reviewed	Production	Water treatment supervisor	11.06.2007
Reviewed	Technical	Technical Manager	11.06.2007
Reviewed	SGS	SGS Representative	11.06.2007
Reviewed	Krones	Sales Director	11.06.2007
Reviewed	Quality	Quality Manager	11.06.2007
Reviewed	Quality	Quality controller John Smith	11.06.2007
Reviewed	Quality	Quality controller Jan White	11.06.2007
Reviewed	Production	Production Manager	11.06.2007
Reviewed	Quality	Management Representative	11.06.2007
Reviewed	Human resources	HR Manager	11.06.2007
Reviewed	Production	Filling line supervisor	11.06.2007
Reviewed	Quality	Chief of Laboratory	11.06.2007

Reviewing

Delete Report Ok

Automatic notification about carrying out actions planned

- Blinking red/black message appearing in the left bottom corner of the screen



- Appears if planned action(s) with documents are not carried out on time
 - The program analyzes actual PC date, date of action performance planned, status of mark “Yes”/”No” (filed “Done” in “Actions” tab), and composes a precautionary notice, that displays on PCs-working places of Admin and user(s) responsible for execution of the actions planned
- An example of the function’s operation:
 - On January 1st a document “X” was entered in the database; the action “Created” was scheduled for completing by January 15th. The user “Quality Manager” is responsible for execution of the action.
 - In the field “No. of days for notifying ...” (“Settings” – “Documentation” – “Actions”) the value 3 (days) is defined
 - In the field “Done” the mark “No” is selected meaning that the action has not been executed yet
 - Starting from January 12th (15 - 3 = 12), Admin and user-Quality Manager will see the notification message “To complete No. of actions over documents: 1”
- Click on a square button on left near the notice opens a form with the list of documents/actions due to be executed

“Documents”. Adding new record in a database

Adding a “Record” type document – “Filled records”

- For records of “Type “Record” type (“Documents” – “Settings” – “Type” – “Yes” in a “Type “Record” column)

Settings				
Type	Status	Action	Chapter	Template of code
Class	Type of document	Validity, months	File-template	Type "Record"
External	External audit report			
Internal	Procedure	12	procedure.rtf	
Internal	Record	12		Yes
Internal	Specification	12	specs.rtf	

additional tab “Filled records” becomes available

08.005B Internal audit - report

Referring documents

Properties | Actions | Revisions | References | Standards | Hard copies | **Filled records**

Class of document
Internal

Type of document
Record

“Documents”. Adding new record in a database

Adding a “Record” type document – “Filled records”


No.	Code	Date of record	Time	Shelf-life time	File
1	12.001_1_06E	01.11.2006	20:02	01.11.2007	08.002_1_06B.rtf
2	12.001_2_06E	02.11.2006	20:03	02.11.2007	08.002_2_06B.rtf

- The **filled** records are entered in the database in this tab
 - The “parent” record is used as a template for filled records
- Each filled record is “based” on its “parent” record (e.g., results of measurements are entered in the “parent” record used as a template)
 - So for each “parent” blank record numerous filled records can exist – all these “filled records” are to be controlled (Ch. 4.2.4, ISO 9001:2008) and thus entered in the “Filled records” tab
- For each filled record the following parameters are defined:
 - Code (symbols#1_ (2_, 3_) are added to the code of “source” record-template automatically and can be changed if necessary
 - Date of the record’s filling
 - Time of the record’s filling
 - “Shelf-life” time of the record filled (time of storage the record in files prior to its archiving)
 - File of the filled record (optional, if such one exists)

“Documents”. Adding new record in a database

Adding a “Record” type document – “Filled records”

Action	User	Date	Done?
Filled in	Quality controller Jan White	01.11.2006	Yes
Distributed	Chief of Laboratory	02.11.2006	No

- Actions with the filled record are listed in the bottom grid (“Add” – “Action”)
 - Name of action (s) (could be “Filled”, “Stored”, “Distributed” whatsoever)
 - User responsible for carrying out the action planned
 - Date of the action planned
 - “Done?” field – confirmation of fact of carrying out the action as planned
- If PC system date exceeds the planned date, and No is presented in the field – the “due” action record is painted in red
- “Parent” record for which filled records are entered in the database is marked with the  icon in the “Type” column (right to the “Record” name) of the Main Form of documents



Copy



Delete



Send



File



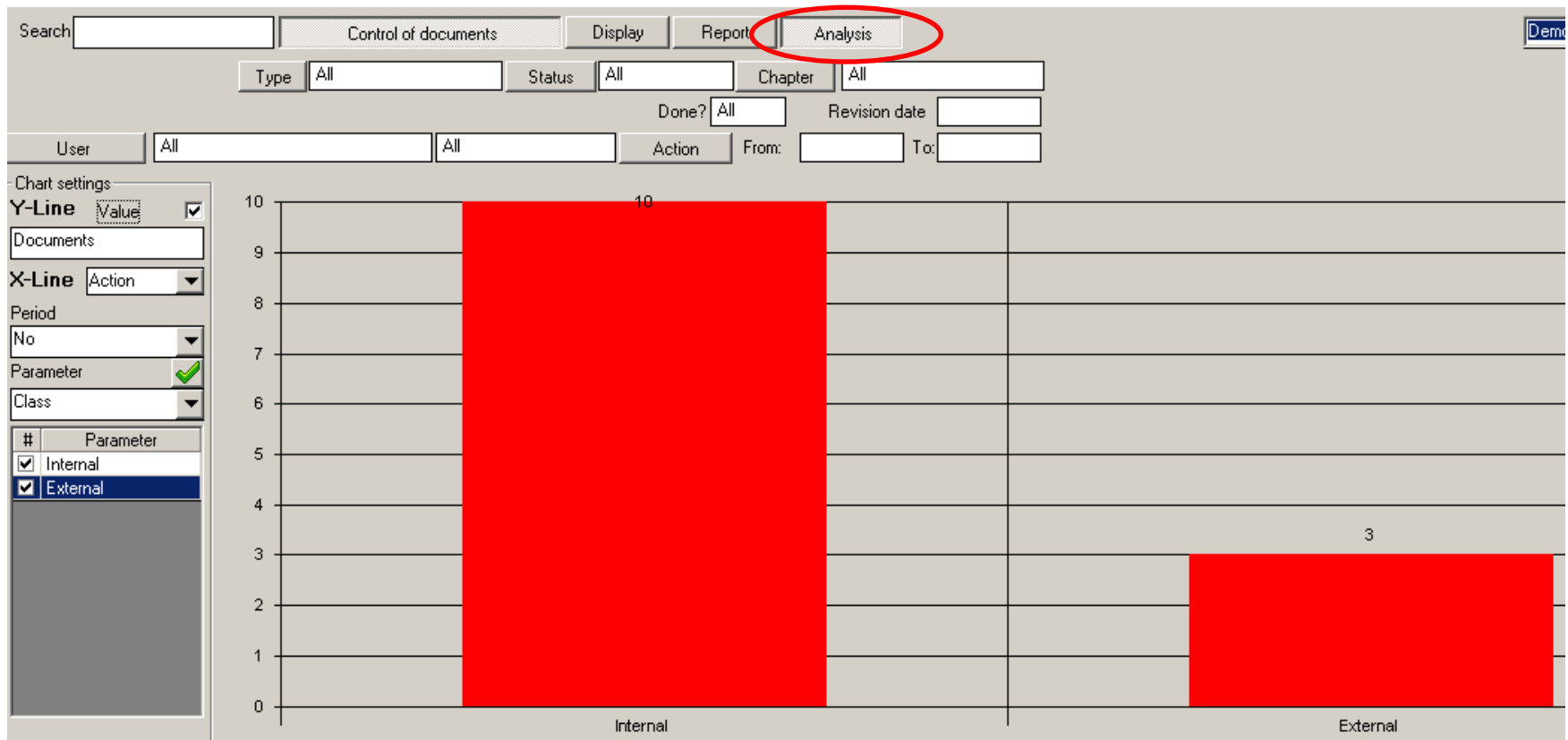
Report

- “**Copy**” – duplicating a document record (to facilitate adding new records in the document database)
- “**Delete**” - deleting document record selected
 - Possible only if there are no references to the document selected in other database records (e.g., no documents referring to the document being deleted, no processes which are described by the document, etc.)
- «**Send**» - generating an e-mail message with recipients-users listed in “Actions” tab of the document selected
 - Suitable option to notify all relevant users about, e.g., issuance of a new document or to distribute file of the new document to all of the users listed in the “Actions” tab
- «**File**» - opening a file of the document to review
 - Admin can open files of all documents entered
 - User can call only for files of those documents for which he/she is listed as a responsible for actions execution (“Actions” tab of the document record)
- «**Report**» - generating a document-report summarizing all information about document selected


Search

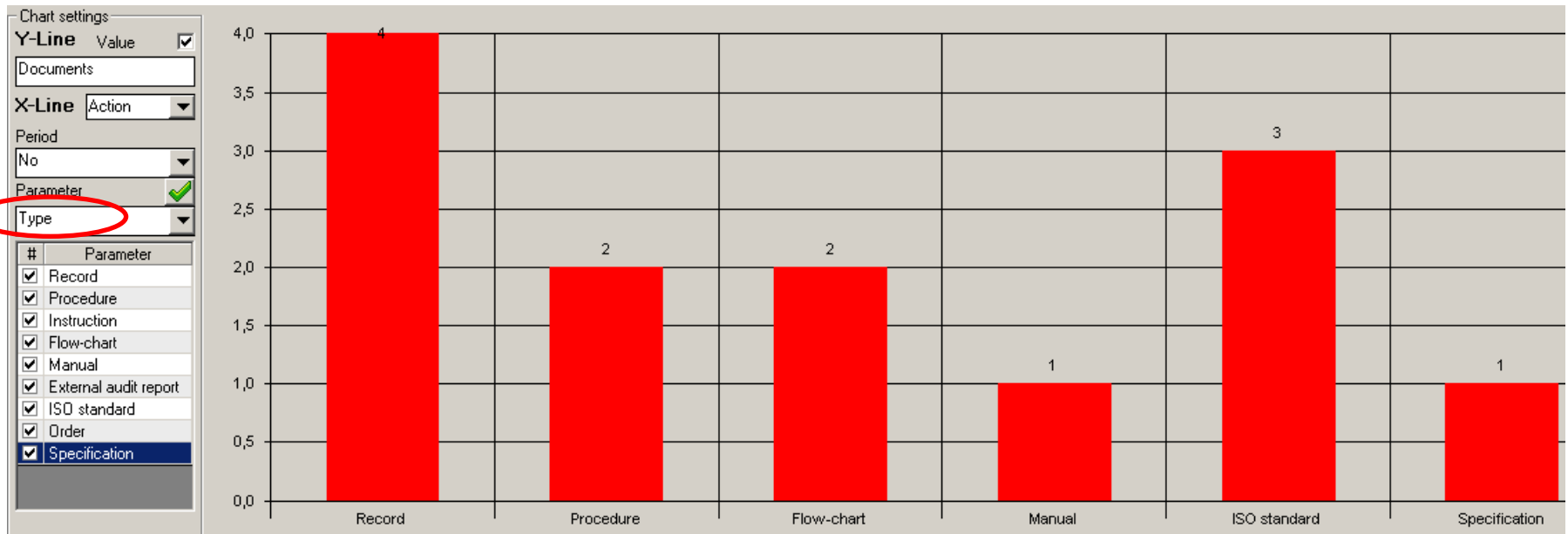
- «**Search**» - quick search for a necessary document record in the database
 - To search for a record Admin/user clicks in the “Search” filed, enters one/few symbols of the document code/name and presses “Spacebar” key
 - A list of all documents which code/name contains the entered symbol(s) is displayed
 - To narrow the list the sequence of commands (typing symbols – pressing spacebar key) can be repeated the second, third time (if necessary)

- The mode to present results of filtering documents records in a graphical/report way



“Analysis”. Chart types Parametrical chart

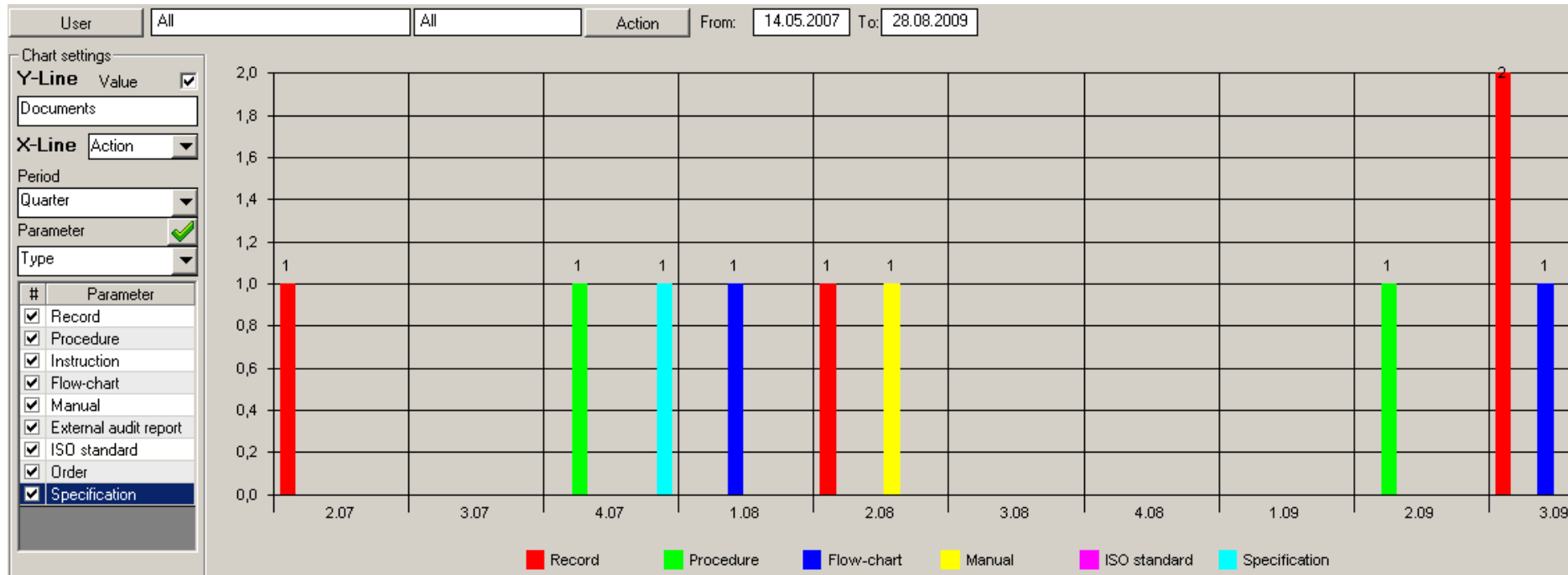
- “Period” – “No” value is selected
- “Parameter” – parameter to group documents records is selected (e.g., Class, Type, etc.)
- “From”, “To” – date interval could be defined
 - “X-Line” – either Action date or Revision date could be selected
 - By default no time limits are imposed
 - To generate the chart press 



“Analysis”. Chart types


Time chart

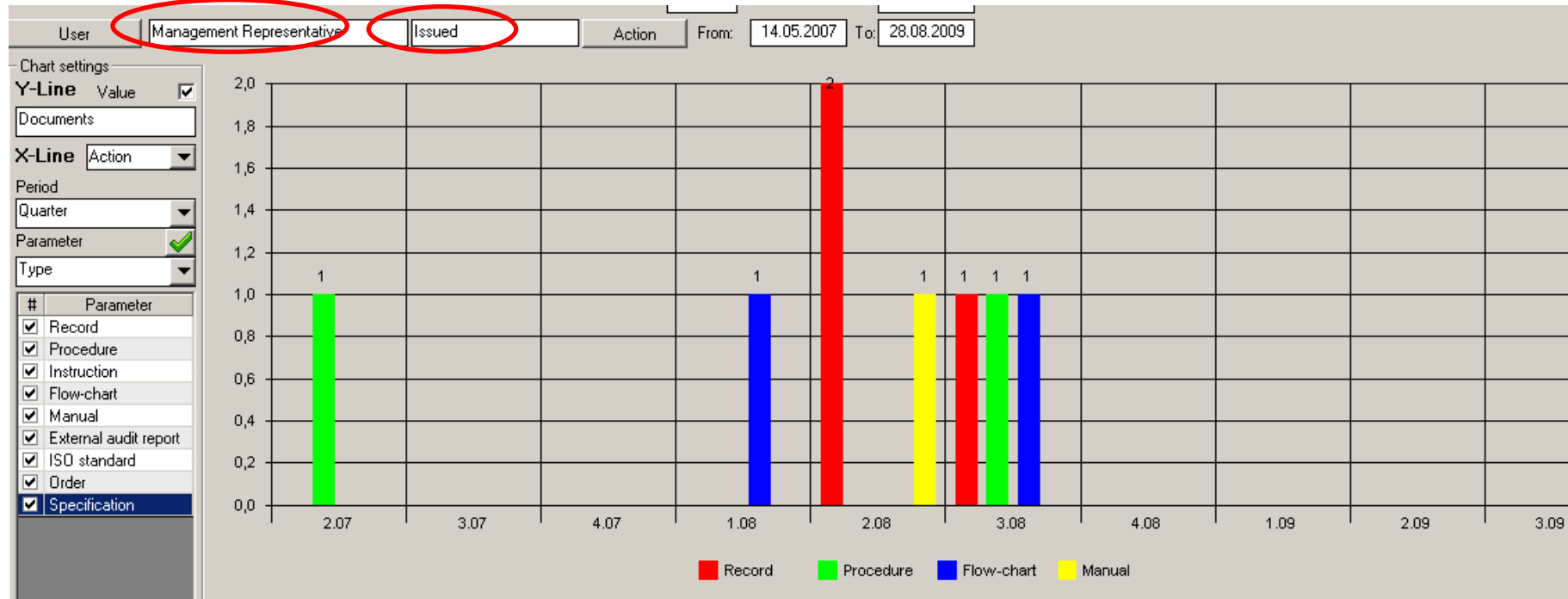
- “Period” – corresponding period name is selected (e.g., Quarter)
- “Parameter” – parameter to group documents records is selected (e.g., Class, Type, etc.)
- “From”, “To” – start/end analysis dates are defined



“Analysis”. Chart types

Time chart

- If needed represented area could be narrowed by means of filtering records of documents by parameters in Control of Documents mode
- E.g., the previous chart is modified – documents issued by Management Representative are displayed
 - Values “Management Representative” and “Issued” are selected
 - Button  is pressed
 - Button “Display!” is pressed



Code	Name	Class	Status	Type	Chapter	Done?
I.F.12-001	Water treatment. Flowchart	Internal	Active	Flow-chart	12	Yes
I.F.8-001	Internal audit - flow-chart	Internal	Active	Flow-chart	08	Yes
I.M.1-001	Quality Manual	Internal	Active	Manual	01	No
I.P.3-001	Document management	Internal	Active	Procedure	03	No
I.P.8-001	Internal audit	Internal	Active	Procedure	08	No
I.R.3-001	Record management	Internal	Active	Record	03	No
I.R.8-001	Internal audit - report	Internal	Active	Record	08	No
I.R.9-001	Corrective actions - plan	Internal	Active	Record	09	Yes

“Documents” – “Control of documents”

If a lot of documents are entered in the database it is not an easy task to control the records of documents from the Main Form of documents

To facilitate the task of control the records of documents the mode “**Control of documents**” is developed

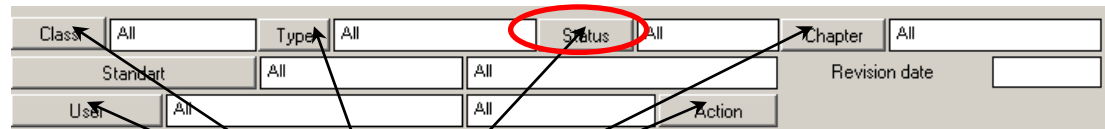
• Opens by clicking “Control of documents” button



• Two types of operations:

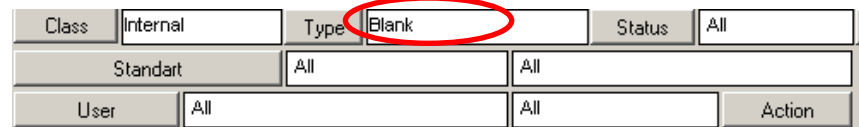
- **Grouping** of records

- Performed by clicking on button of parameter title (“Class”, “Type”, “Chapter”, etc.) – the button pressed “sticks”
- Displaying the results – pressing the “Show” button. A list of all document records grouped by the parameter specified is made up
- e.g., after grouping the records by “Status” parameter in the list of documents all documents of “Active” status, then “Drafts”, then “Passive” are displayed (alphabetical order)

A screenshot of a software interface for controlling documents. It features a grid of parameter selection buttons. The top row includes buttons for "Class", "Type", "Status", and "Chapter", each with a dropdown menu currently set to "All". The "Status" button is circled in red. Below this row are buttons for "Standart", "Revision date", "User", and "Action". Arrows point from the text in the adjacent list to the "Class", "Type", "Status", and "Chapter" buttons.

- **Filtering** of records

- Performed by selecting a specified value of parameter from drop-down list after clicking on the parameter field (for example, value “Blank” for the drop-down list of “Type” parameters is selected)
- Result – button “Show” – a list of documents of “Blank” type is displayed

A screenshot of the same software interface. The "Type" button's dropdown menu is now set to "Blank" and is circled in red. The "Status" dropdown remains set to "All".

• Simultaneous grouping and filtering of records by different parameters is available

• Simultaneous filtering of records by different parameters is available

- Filtering by parameter “Type”/“Instruction” + filtering by parameter “Action”/“Approved” + filtering by parameter “User”/ “Management Representative” – a list of documents-instructions which are approved by Management Representative is displayed

“Control of documents” - examples of operations

- Actual version of Main Control Document of the company
- List of records approved by Quality Manager
- List of System documents that address requirements of chapter 4.2.3 of ISO 9001:2008
- List of external documents that were sent to “Chief of Laboratory” user
- List of documents to be revised by 18.07.03
- List of instructions belonging to “Quality Assurance” chapter which were distributed to Quality Manager

Class	All	Type	All	Status	Active	Chapter	All
Standart	All	All	All			Revision date	
User	All	All	Action				

Class	Internal	Type	Instruction	Status	Active	Chapter	All
Standart	9001:2000	All				Revision date	
User	Quality Manager	Approved	Action				

Class	Internal	Type	All	Status	Active	Chapter	All
Standart	9001:2000	4.2.3 Control of documents				Revision date	
User	All	All	Action				

Class	External	Type	All	Status	All	Chapter	All
Standart	9001:2000	All				Revision date	
User	Chief of Laboratory	Distributed	Action				

Class	Internal	Type	All	Status	All	Chapter	All
Standart	9001:2000	All				Revision date	3/10/2004
User	All	Approved	Action				

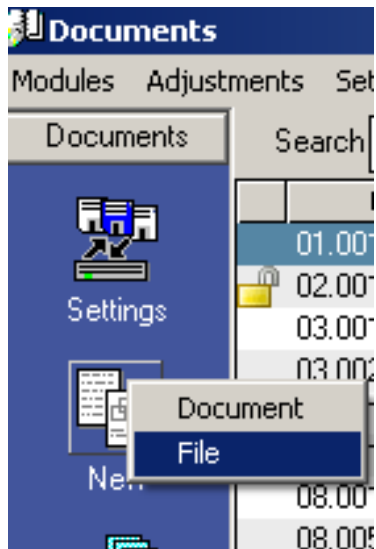
Class	Internal	Type	Instruction	Status	All	Chapter	02
Standart	9001:2000	All				Revision date	
User	Quality Manager	Distributed	Action				

- Each report can be printed out and stored as a hard copy or converted into a file of -.rtf or -.xls format and saved as an electronic copy

- “ISOsystemPlus” makes users capable in composing files of internal documents using the fixed templates thus ensuring consistently formatted documents
- Files-templates of internal documents are defined in “Documents” - “Settings” – “Type” – “File-template” column
- There are two different ways for users to create new internal document of particular type using the template defined

Way 1

An internal document of needed type exists in the database



1. Select a record of internal document of the needed type in the Main Form
2. Press “New” button
3. Select “File” from the drop-down list
4. Confirm calling the particular file-template
5. Start composing a new internal document

Way 2

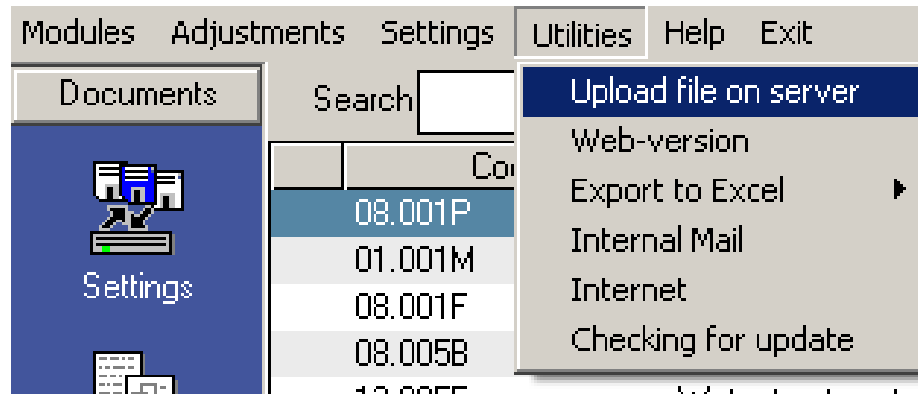
Selecting a type of the document to create from in the “Settings” – “Type” mode

Class	Type of document	Validity, months	File-template	Type "Record"
External	External audit report			
External	Industry Standard			
External	ISO standard			
External	Law			
External	President Decree			
External	Request			
External	Respond			
Internal	Flow-chart	12	flowchart.rtf	
Internal	Instruction	12	instruction.rtf	
Internal	Manual	12	manual.rtf	
Internal	Order	12	order.rtf	
Internal	Procedure	12	procedure.rtf	
Internal	Record	12		Yes
Internal	Specification	12	specs.rtf	

New Add Delete Cancel Ok

1. File-templates for different types of internal documents are defined in “Documents” - “Settings” – “Types” form (“File-template” column)
2. Select the record of the type of internal document to be created
3. Press “New”

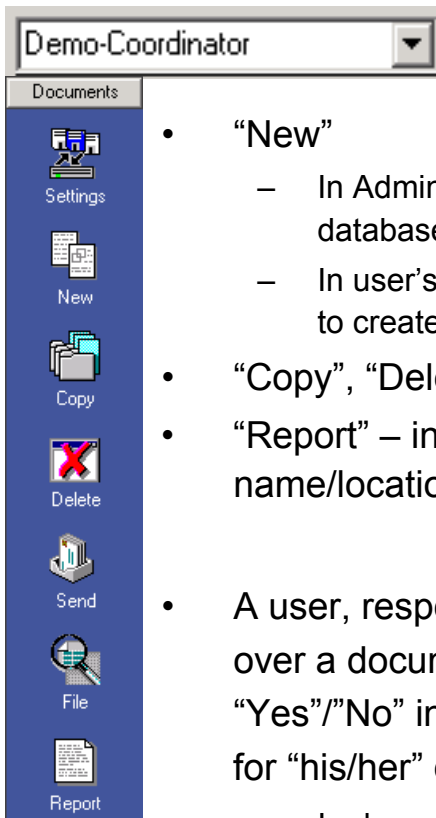
- Users authorized to enter records in “Documents” module can upload files of documents onto the server PC



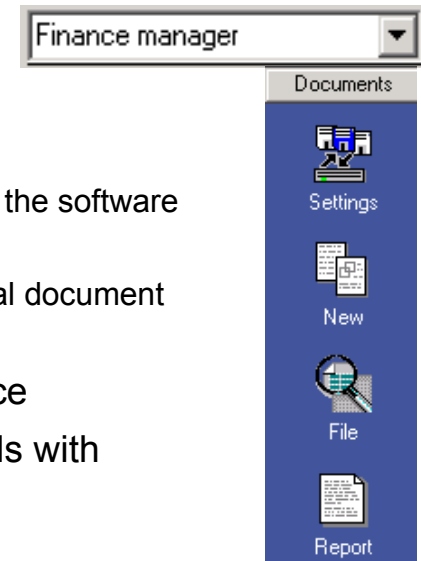
•“Utilities” – “Upload file on server”

- User first browses the file to be uploaded and selects it
- After selecting the file and pressing the “Open” button the file selected is uploaded to the folder determined in “Adjustments” – “Locations” – “Folder to upload files”

“Documents”. User’s working station interface



- “New”
 - In Admin’s working station interface – adding a new document record in the software database
 - In user’s working station interface – calling the file-template of an internal document to create a new document
- “Copy”, “Delete” – the buttons are available only in Admin’s interface
- “Report” – in a report generated in a user’s working station the fields with name/location of folders with documents/templates are absent
- A user, responsible for execution of actions over a document, can change mark “Yes”/“No” in a filed “Done” (tab “Actions”) for “his/her” document
 - In demo-version database the user “Quality Manager” created a document “Quality Manual” and can reflect the fact of creation of the document by putting “Yes” mark down in the field “Done”



Quality Manual: Choice of action over a document

Referring documents | Referring processes

Properties | Actions | Revisions | References | Standarts

Action	User	Date	Done
Created	Quality Manager	17.04.2004	Yes
Approved	General Manager	18.04.2004	Yes
Issued	Management Representative	24.04.2004	Yes
Distributed	General Manager	24.04.2004	Yes
Distributed	Marketing Manager	24.04.2004	Yes
Distributed	Purchasing Manager	24.04.2004	Yes
Distributed	Production Manager	24.04.2004	Yes
Distributed	Technical Manager	24.04.2004	Yes
Distributed	Quality Manager	24.04.2004	Yes
Distributed	Management Representative	24.04.2004	Yes
Distributed	Finance Manager	24.04.2004	Yes

Register Send Add Delete Cancel Ok

Authorized access to files of documents

- Different levels of access of different users to files of documents are realized in the software in order to:
 - Minimize possibilities of leakage of confidential information, “know-how” of the organization
 - Providing all users with necessary amount of information (not more and not less) to execute their professional responsibilities
- In particular, access to files of documents (opening the files for review from the “ISOsystemPlus”) have only those users who are authorized to do it by Admin

For example, the only users listed in a tab “Actions” of the document “Internal Audit” can open the file of the document:

- Marketing Manager
- General Manager
- Management Representative
- Members of Management group
- Members of Internal Audit group

If other users try to open the file of the document, a message “You are not authorized to review the file” appears

03.001P Document management: actions/responsible users

Referring documents

Properties | **Actions** | Revisions | References | Standards | Hard copies

Action	User	Date	Done?
Created	Purchasing Manager	08.09.2007	Yes
Agreed	Quality Manager	15.09.2007	Yes
Approved	Management Representative	16.09.2007	Yes
Issued	Management Representative	16.09.2007	Yes

Action	Group	Date	Done?
Distributed	Internal auditors	02.06.2008	Yes
Distributed	Management	02.06.2008	Yes

Reviewing | Send | Add | Delete | Cancel | Ok

- Module “Threats” will help you to:
 - Fulfill ISO 27001 requirements to setting up ISMS
 - Define the scope and boundaries of your ISMS
 - Plan responsibilities of all stakeholders
 - Determine goals of the management system and monitoring their achieving
 - Define resources needed for functioning the management system and monitoring their allocation
 - Design risk assessment approach to be exploited in your ISMS
 - Determine assets for risk analysis and their vulnerabilities
 - Identify threats having the potential to harm ISMS and its assets, and assess severity of their consequences
 - Identify and assess vulnerabilities that might be exploited by threats, and asses their likely level of weaknesses
 - Asses risks associated with each threat/vulnerability
 - Select safeguards (control measures) to reduce the risk to acceptable levels
 - Verify implementation and effectiveness of the control measures planned
 - Conduct "Risk-Benefit" analysis and determining the residual risk acceptability
 - Make up SOA

The screenshot shows the 'Risks' application window. The title bar reads 'Risks'. The menu bar includes 'Modules', 'Adjustments', 'Directories', 'Utilities', 'Help', and 'Exit'. The main window has a 'Control of risks' tab and a 'Demo-Coordinator' field. Below this is a table with the following data:

Type of asset	Asset	Vulnerability	Type of threat	Threat	Source of threat	Risk	Acceptability
Software	Customer database	Complicated user interface	Accidental	Operational staff error	Internal - human	10	Y
Hardware	Server PC	Susceptibility to voltage variations	Accidental	Power fluctuation	External - society	15	Y
Software	HR database	Lack of identification and authentic	Deliberate	Use of software by unauthorized users	Internal - system	75	N

On the left side, there is a vertical sidebar with icons and labels for 'Settings', 'Database', 'Basics', 'Analysis', 'Review', and 'Report'.

- Each line in the Main Form corresponds to an identified threat
- Columns in the Main Form contains information on basic threat's parameters: type/name of an asset, identified vulnerability which might be exploited by the threat, threat type/source, risk assessed value and its acceptability
- Blue area to the left – a set of command buttons
 - “Settings”
 - “Database”
 - “Basics”
 - “Analysis”
 - “Review”
 - “Report”
- “Adjustments” – “Interface”
 - “Field chooser”
 - selection of visible/hidden columns in the Main Form

The 'Field Chooser' dialog box is shown with two panes: 'Hidden columns' and 'Visible columns'. The 'Hidden columns' pane contains:

#	Parameter
1	Likelihood
2	Severity
3	Value
4	Justification

The 'Visible columns' pane contains:

#	Parameter
1	Type of asset
2	Asset
3	Vulnerability
4	Type of threat
5	Threat
6	Source of threat
7	Risk
8	Acceptability

Navigation arrows are present between the panes. At the bottom, there are buttons for 'Default configuration', 'Cancel', and 'OK'.

“Settings” mode tabs are to be filled first

Settings					
Type of threat		Types of requirements		Type of asset	
Severity		Likelihood		Value	
		Risk evaluation			
#	'Weight'	Name	Description		
1	1	Tiny	1/10 years and less		
2	3	Low	1/year - 1/10 years		
3	5	Average	1/month - 1/year		
4	7	High	1/week - 1 month		
5	9	Very high	More than 1/week		

- Severity, Likelihood, Value – list of corresponding levels based on their “weights”
- “Risk evaluation” – selection of appropriate formula to calculate risk (as a combination of severity and likelihood)
- “Threat type”, Requirement type”, “Asset type” – lists with corresponding parameters names

Database

Source of threat | Threats | Vulnerabilities | Control

#	Name
1	External - nature
2	External - human
3	Internal - human
4	Internal - system

Database

Source of threat | Threats | Vulnerabilities | Control

#	Name
1	Earthquake
2	Flooding
3	Hurricane
4	Lightning
5	Industrial Action
6	Bomb attack
7	Breakage of PC server
8	Use of arms
9	Fire
10	...

- All tabs contain lists with corresponding parameters names
- Records in the tabs may be entered either directly in the tabs (“Database” mode) or while adding records of threats (“Analysis” mode)

Basics				
Assets				
#	Type of asset	Asset	Owner	Comment
1	Information	HR database	HR Manager	Intended for rhinal injectio
2	Information	Customer database	Sales manager	Database containing all c
3	Software	Configuration folders	IT Manager	Folders containing all dev
4	Software	Insurance files	Office Manager	Insurance files

- List of assets for which risk analysis will be performed
- Asset type, name, owner and needed explanation/comment are entered

Documents			
Code	Document	File	Comment
IN.D.11-001	HR Database	12.001B.rtf	

SOA Document Report Add Delete Cancel Ok

- Documents – listing of documents corresponding to the asset
- “Document” – calling document file for review

Basics

Assets | Responsibilities | Goals | Resources | Requirements

Policy: IN.M.1-001 Information Security and Quality Manual File:

Process: P01.01 Continuous improvement Owner: General Director

Management appointee: Quality Management Appointee:

Responsibility

#	Department	User	Responsibility
1	Board	General Director	Description of General Manager's u

- “Policy” – information about a document defining organization’s Safety Policy ((selection from documents added in the database in “Documents” module)
- “Process” – risk management process (selection from the list of processes added in the database in “Processes” module)
- “Management appointee” – a user appointed as a Management Appointee (selection from the list of users)
- “Responsibility” – information on responsibilities assigned to a particular employee within risk management process

Basics				
Objects	Responsibilities	Goals	Resources	Requirements
Goals				
#	Name	Comment		
1	Goal 1	Comment - explanation to the Goal 1		
2	Goal 2			
3	Goal 3			
Planned results				
#	Date of achievement	Planned value of the parameter	Comment	
1	31.12.2008	Planned result 1		
Monitoring of achieved results				
#	Date of monitoring	Achieved result	Is the objective achieved	Action
1	01.10.2008	Achieved result by Oct-1	No	Corrective action
2	01.11.2008	Achieved result by Nov-1	Yes	Comment

- The tab contains information about organization’s goals in the risk management process
- “Planned results” – description of parameters (targets) planned to achieve by a particular date
- “Monitoring” – a grid to enter information on monitoring of achievement of the parameters as planned
- “Report” – generating document-report

Basics				
Objects	Responsibilities	Goals	Resources	Requirements
Resources				
#	Name	Comment		
1	Name of resource			
Required resources				
#	Date	Required amount of the resource	Comment	
1	31.12.2008	Required amount of Resource 1		
Procurement of resources				
#	Date	Procurement of resources	Comment	
1	01.10.2008	Actual amount of resources allocated by Oct-1		

- Information about resources needed for successful execution of the risk management process
- “Resources” – list of resources needed
- “Required resources” – determination of particular amount of resources to be allocated by planned date
- “Procurement of resources” – monitoring and control of a fact of actual allocation of the planned resources
- “Report” – generating the document-report
- “Requirements” – list of legal and other requirements which should be taken into account in the risk analysis/management process



Risk analysis

SOA

Analysis

“Analysis” “Identification of threats”

Analysis		
Identification of threats	Controls	Risk/benefit analysis
Risk analysis		
Department	Responsible	Date of analysis
Quality	Quality Manager	6/9/2008

- “Risk analysis” – fixing the date and the user who conducted the risk analysis

Assets		
Type of asset	Asset	Vulnerability
Software	Customer database	Complicated user interface
Hardware	Server PC	Susceptibility to voltage variations
Software	HR database	Lack of identification and authentication mechanisms

- “Add” – “Asset” – identification an asset & vulnerability which might be exploited by threat (s)



Identification of threats		
Type of threat	Threat	Source of threat
Deliberate	Use of software by unauthorized users	Internal - system

- “Add” – “Threat” – identification a threat (type/name/source) which might harm an asset through the asset’s identified vulnerability





Identification of threats		
Type of threat	Threat	Source of threat
Accidental	Power fluctuation	External - society
Environmental	Damage to lines	External - nature

Risk evaluation					
Likelihood	Severity	Value	Risk	Acceptability	Justification

Criteria of acceptability

Report Add Delete Cancel Ok

Asset
Threat
Risk evaluation

- For each combination “Asset” – “Vulnerability” – “Threat” risk associated with the threat is evaluated by selecting likelihood of harm occurrence and severity of its consequences
- Risk value is calculated automatically using the formula determined in “Settings” – “Risk evaluation” mode
- Conclusion on acceptability the risk is made in “Acceptability” field (“Yes” – “No”)

Risk evaluation					
Likelihood	Severity	Value	Risk	Acceptability	Justification
5	7	5	175	No	Value of the asset is too high for the risk to be toleratu

- Threats for which identified risks are evaluated as unacceptable are moved on to the next stage of risk analysis – determination of control measures



Analysis

Identification of threats | Controls | Risk/benefit analysis

Type of asset: Hardware | Asset: Server PC | Vulnerability: Susceptibility to voltage variations

Threats			
Threat	Source of threat	Risk	Accepted?
Power fluctuation	External - society	175	No

- Records of those threats for which identified risks are evaluated as unacceptable are displayed in the grid “Threats”; for such threats risks the controls should be determined and undertaken to reduce the risks to acceptable levels
- Records of threats with acceptable risks are not analyzed at this stage
- Controls (control section, control goal and control) are selected from the drop-down lists; user responsible for implementation of the control is selected, needed comment is entered
- After control implementation evaluation of residual risk is performed, and a conclusion on acceptability of the residual risk is made
- If the residual risk is acknowledged as unacceptable, more control(s) should be identified/implemented to reduce the risk down to acceptable level





Analysis			
Identification of threats		Controls	Risk/benefit analysis
Type of asset	Asset	Vulnerability	
Software	Customer database	Lack of identification and authentication mechanisms	
Threats			
Threat	Source of threat	Risk	Accepted?
Use of software by unauthorized users	Internal - system	20	No

- Records of those threats for which identified risks are evaluated as unacceptable even after application of all controls are displayed in the grid “Threats”; for such threats Risk:Benefits analysis should be conducted

Risk/benefit analysis		
Type	Name	Comment
Benefit	Cheap solution	No investment needed
Risk	New emerging threats	Imposing limits on passwords use can cause r

- Risks and benefits of the proposed solution are to be identified; the overall residual risk is to be assessed; the decision on the risk acceptability to be taken and approved by a particular manager

Overall residual risk evaluation				
Accepted?	Justification	"Approved"	Done?	Date
No	New solution should be proposed by June-1, 2010	General Director	No	3/5/2010

- The form opening lists all controls defined in “Database” mode
- Line of applicable controls which have been referred during Risk Analysis process (Analysis – Controls) are checked by default
- Admin can check other controls thus confirming their applicability

SOA

Date: 3 / 5 / 2010 "Approved": General Director

Code	Name	Applicability	Owner	Document	Comment
A.7.1.2	Ownership of assets	<input type="checkbox"/>			
A.7.1.3	Acceptable use of assets	<input checked="" type="checkbox"/>	IT Manager	IN.M.1-001 Information Security and	Chapter 8
A.7.2.1	Classification guidelines	<input type="checkbox"/>			
A.7.2.2	Information labelling and handling	<input type="checkbox"/>			
A.8.1.1	Roles and responsibilities	<input type="checkbox"/>			
A.8.1.2	Screening	<input type="checkbox"/>			
A.8.1.3	Terms and conditions of employment	<input type="checkbox"/>			
A.8.2.1	Management responsibilities	<input type="checkbox"/>			
A.8.2.2	Information security awareness, edu	<input type="checkbox"/>			
A.8.2.3	Disciplinary process	<input type="checkbox"/>			
A.8.2.4	Termination responsibilities	<input type="checkbox"/>			
A.8.2.5	Return of assets	<input type="checkbox"/>			
A.8.2.6	Removal of access rights	<input checked="" type="checkbox"/>	IT Manager	IN.P.8-001 Internal audit	
A.9.1.1	Physical security perimeter	<input type="checkbox"/>			
A.9.1.2	Physical entry controls	<input type="checkbox"/>			
A.9.1.3	Securing offices, rooms and facilities	<input type="checkbox"/>			
A.9.1.4	Protecting against external and envii	<input type="checkbox"/>			
A.9.1.5	Working in secure areas	<input type="checkbox"/>			
A.9.1.6	Public access, delivery and loading .	<input type="checkbox"/>			
A.9.2.1	Equipment siting and protection	<input type="checkbox"/>			
A.9.2.2	Supporting utilities	<input type="checkbox"/>			

View Report Cancel Ok

- For each applicable control the following parameters are determined:
 - User - owner
 - Relevant document
 - Comment if appropriate
- Report – generating “Statement Of Applicability” report
- All data entered in the table could be exported into Excel-file

Review		
Meeting of management team		
Nº	Meeting date	Meeting subject
1	16.06.2008	Accidents prevention practices

- Information about meetings of a management team reviewing the Risk Management system is presented in the form
- Date/subject of meetings and their participants are defined
- “Decision” button – opens a grid “Decisions taken” containing info about the decision, planned date for its execution, “Done?” mark, responsible users
 - Records of overdue decisions are marked with red
- “Report” – generating a document-report that compiles all the data entered in the tab

Meeting of management team. Decisions taken			
Meeting of management team			
Nº	Meeting date	Meeting subject	
1	16.06.2008	Accidents prevention practices	
Decisions taken			
Nº	Decision	Date to complete	Done?
1	Revise current ssafety policy and procedures	04.08.2008	No
Responsible			
Nº	Department	Participant	
1	Production	Production Manager	

Module “Letters”

The screenshot shows the 'Letters' software interface. At the top, there is a menu bar with 'Modules', 'Adjustments', 'Directories', 'Utilities', 'Help', and 'Exit'. Below the menu bar is a search bar and a 'Control of correspondence' button. The main area displays a table with the following data:

Date	Code	Subject/name	Class	Status	Type	Done?
02.08.2006	IN.I.1-001	Safety of product	Incoming	Archive	Inquiry	Yes
05.12.2009	IN.L.1-001	Recycling of package	Incoming	Control	Letter	-
03.12.2009	OUT.L.1-001	Safety of product	Outgoing	Archive	Letter	No

On the left side, there is a vertical toolbar with the following buttons: Settings, New, Delete, File, Analysis, and Report.

- Control over non-system documents (letters, orders, etc.)
- Main area is Main Form of Letters
 - Each line in the Main Form corresponds to one letter
- Columns of the Main Form contain information about main letter's parameters: date (registration), code (registration), subject/name, class, status, type, chapter
- Vertical left area (blue) – control buttons to perform main operation with the records in the Main Form
 - “Settings”
 - «New» (adding a new record of correspondence)
 - “Delete” (deleting a record of correspondence from a database)
 - “Report” - generating a document-report that contains all basic information about the letter

Work in “Correspondence” module starts from filling out tabs in the “Settings” mode



Settings						
Class	Type	Chapter	Status	Actions	Subject	Template of code
#	Name		Code			
1	Incoming		IN			
2	Outgoing		OUT			
3	Internal		INT			

• “Class”

- Class names (e.g., incoming, outgoing, internal) are added
- “Code” – class codes are defined; will be used in Template of Code tab

Settings						
Class	Type	Chapter	Status	Actions	Subject	Template of code
#	Class	Name	Code	File-template		
1	Incoming	Letter	L			
2	Incoming	Inquiry	I			
3	Outgoing	Respond	A	respond.rtf		
4	Outgoing	Inquiry	I	inquiry.rtf		

• “Type”

- Types of letters are determined for each class .
- “**File-template**” – browsing the file-template that will be called each time when a new letter of the particular type is composed
 - Files-templates must be located in a folder dined in “Settings” – “[Location](#)” mode
- “Code” – type codes are defined; will be used in a Template of Code tab

“Settings” “Chapters”, “Status”, “Subject”



Settings		
Class	Type	Chapter
#	Name	
1	Product	1
2	Package	2
3	Services	3

- “Chapters” - names of chapters of correspondence are listed
 - Chapters codes values are used in Template of Code table

Settings		
Class	Type	Status
#	Name	
1	Control	
2	Archive	
3	Draft	

Settings		
Class	Type	Actions
#	Name	
1	Receive	
2	Respond	

- “Status”, “Actions”, “Subject” – relevant lists of the parameter’s names are presented in the tables
- Records in the “Settings” tabs could be added either directly or in the course of adding new record of correspondence in the Main Form (see further)

“Settings” “Template of Code”

- The function is intended to facilitate adding new record of correspondence in to the database by automatic generating the record's template of code

The screenshot shows the 'Settings' dialog box with the 'Template of code' tab selected. The 'Autoincrement' checkbox is checked. Below it is an empty text field. Further down is a row of dropdown menus for 'Class', 'Type', 'Chapter', and 'Date', followed by a '000' dropdown. A small list on the left shows 'Class', 'Type', 'Chapter', and 'Date'.

- The function is intended to facilitate adding new record of correspondence in to the database by automatic generating the record's template of code
- Two options for template code are available: fixed and structured

- Fixed code:

- The value defined in the field will be displayed while adding new record

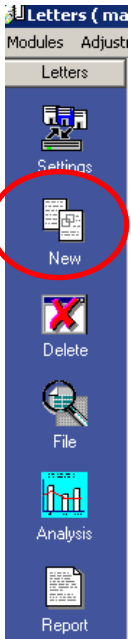
A close-up of the 'Autoincrement' checkbox, which is checked, and the text field below it containing the value 'A-00-000'.

- Structured code

- Selection of needed parameters (e.g., class, type, chapter, date of registration, No.) which codes will be included in the new record's code

A close-up of the dropdown menus for 'Class', 'Type', 'Chapter', and 'Date', followed by a '000' dropdown.

“New” – adding new letter record



- **“Registration”**
 - **“Date”** – system PC’s date is displayed
 - **“Code”** – a letter’s code inserted or generated automatically
- **“Document”** (if applicable)
 - Letter’s date and code inserted
- **“Done?”** (if applicable)
 - “Done?” – a choice between “Yes” and “No” values
 - **“Date”** - planned date of “closing” the letter

The screenshot shows the 'Letters' application window with the 'Properties' tab selected. The form is divided into several sections:

- Registration:** Code (08/13/06-01), Date (13.08.2006)
- Document:** Code (empty), Date (13.08.2007)
- Done?:** Done? (Yes), Planned date (13.08.2007)
- Class:** Outgoing
- Type:** Letter
- Chapter:** Fire inspection
- Status:** Archive
- Sender:** ABC Limited
- Receiver:** Fire safety inspection
- File:** 13_08_06-01.rtf
- Subject:** Respond on fire safety audit report

Buttons at the bottom include Content, Resolucion, Result, Comment, Report, View, Cancel, and Ok.

- **“Class”, “Type”, “Status”, “Chapter”, “Sender”, “Receiver”, “Subject”**
 - Consecutive selection of an appropriate value from the drop-down lists
 - New value of a parameter is possible (adding the new value is confirmed by pressing the “Enter” key)
- **“Available for all users”** – by analogy with “Documents” module, the records marked in the field will be available for all users for review
- **“File”** – browsing a file attached to the letter’s record
 - Must be located in a folder defined in “Adjustments” – **“Location”** mode
- **“Content”, “Resolucion”, “Result”, “Comment”** – adding necessary relevant information in corresponding forms

Adding the letter record “Actions”

- A user who adds a new record of letter in the database, defines in “Actions” tab actions with the letter & users who are responsible for carrying out the actions
- **“Adding actions”** – those users for which the field is marked, could in their interface to “keep on” adding other actions & define responsible users for the letter’s record
 - Example (to the right): user “Production Manager” could add new actions for the records in his interface while the user “Warehouse Manager” will not be able to do so

The screenshot shows the 'Letters' application window with the 'Actions' tab selected. The table below shows two records: 'Review' by 'Production Manager' on '02.08.2006' and 'Respond' by 'Warehouse Manager' on '07.08.2006'. The 'Adding actions' checkbox is checked, and the 'Add' button is highlighted.

Action	User	Date	Done?
Review	Production Manager	02.08.2006	Yes
Respond	Warehouse Manager	07.08.2006	Yes

Adding actions

Report Add Delete Cancel Ok

The screenshot shows the 'Letters' application window with the 'Actions' tab selected. The table below shows two records: 'Review' by 'Production Manager' on '02.08.2006' and 'Respond' by 'Warehouse Manager' on '07.08.2006'. The 'Adding actions' checkbox is unchecked, and the 'Add' button is not highlighted.

Action	User	Date	Done?
Review	Production Manager	02.08.2006	Yes
Respond	Warehouse Manager	07.08.2006	Yes

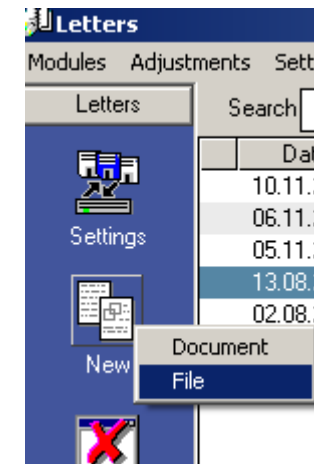
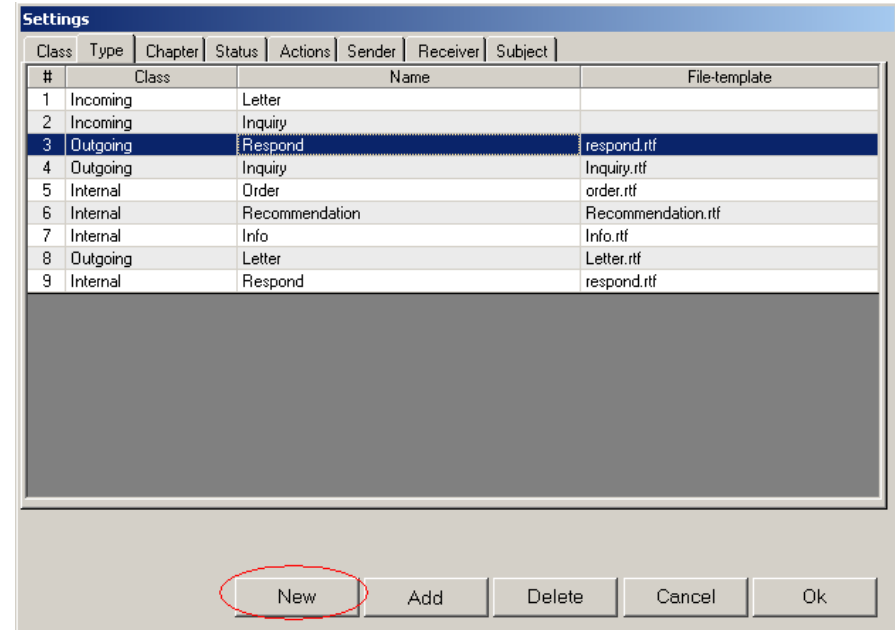
Adding actions

Report Add Delete Cancel Ok

“Letters” - composing a new file

- **Option 1**

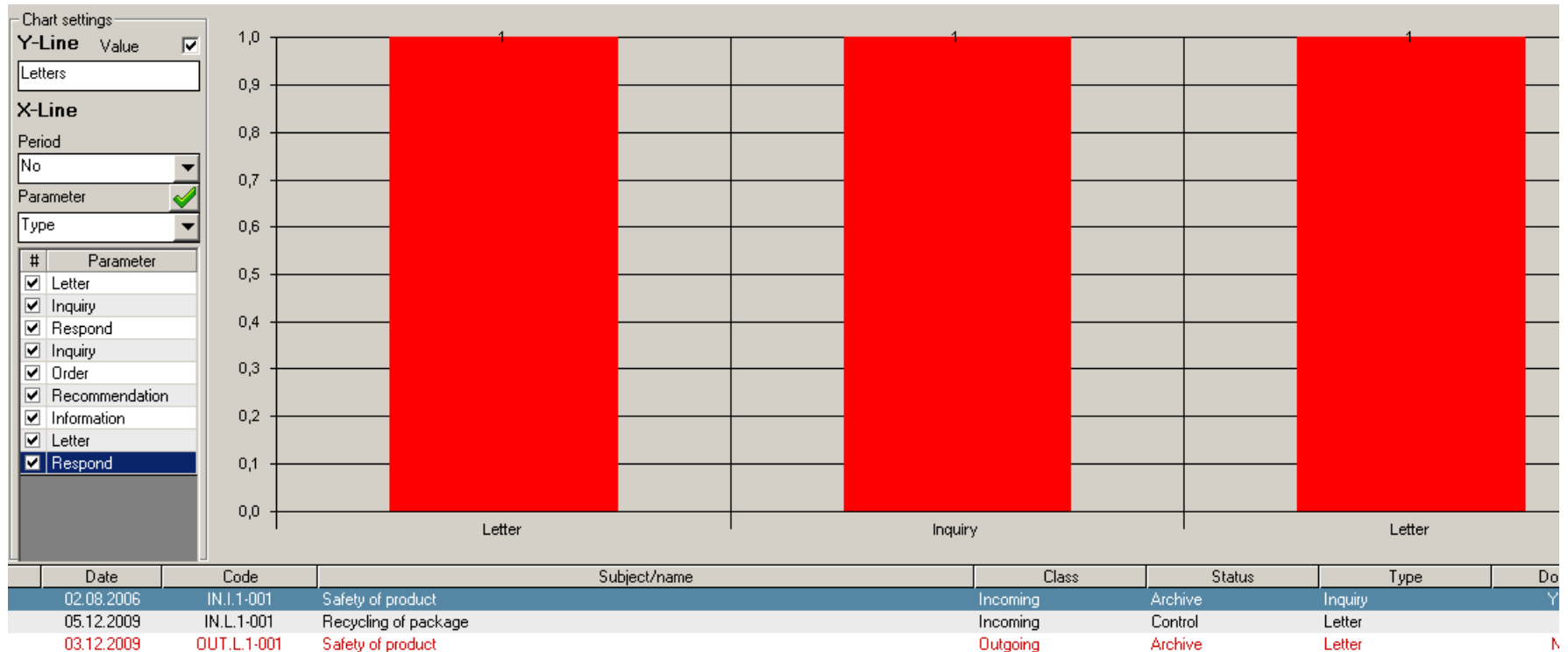
1. To compose a new file of, say, “Respond” type a user should:
 - Select a record of “Respond” type
 - Press “New” button
 - If the corresponding file-template is determined (“File-template” column) – after pressing the “New” button the file-template is called to compose a new letter of “Respond” type



- **Option2**

1. Press “New”button
2. Select “File” from the drop-down list

“Letters” “Analysis”



- The function is analogous to Analysis mode in Documents module

“Letters” – “Report”

- “Report” – a document-report containing all information about the letters is generated



The screenshot shows a window titled 'Report' with a menu bar containing 'Print' and 'Exit'. Below the menu bar is a toolbar with a 'Page' field set to 1, a 'from' field set to 1, and a dropdown menu showing 'Microsoft Office Document Image Writer'. The main content area displays the following report:

ABC Corp.

Register		Document		Done?	
Code	10_11_07-017	Code		Done?	No
Date	10.11.2007	Date	03.11.2007	Date	14.11.2007
Sender		ABC Limited			
Receiver		Senator B.Jones			
Subject		On sales of bottled water			
Content		Respond to inquiry of senator B.Jones			
Resolucion					
Author					
Resolucion					
Result					

- The report can be printed out or converted into files of -.doc or -.xls format and saved electronically

- Execution of ISO 9001:2008 requirement of “process approach” promotion within a business management system. Using ISOsystemPlus you will be able to:
 - Determine and systematize a list of processes in your company
 - Classify processes, their aspects and components
 - Describe (document) processes using IDEF/0-based methodology (inputs/resources – suppliers, operations – responsible persons, outputs – customers, customer requirements, parameters of effectiveness and criteria of success)
 - Determine and fix distribution of responsibilities and authorities within process scope
 - Trace and describe process interlinks and interactions
 - Provide monitoring of business processes, achieving of results planned
 - Analyze allocation of resources for processes flow
 - Deliver all the information above to stakeholders in a timely and comprehensive manner

«Processes». Interface

Code	Class	Level	Type	Name	Owner
P01.01	Complex	0	Management	Continuous improvement	General Manager
P03.01	Basic	2	Lifecycle	Water production	Production Manager
P03.02	Complex	0	Lifecycle	Water "Health"	Production Manager
P03.03	Complex	1	Lifecycle	Water production and storage	Production Manager
P03.04	Basic	1	Lifecycle	Water delivery	Production Manager

- Each record in Main Form corresponds to one system’s business process
- Columns of Main Form contain information about basic properties of process: code, type, name, owner, links with other processes
- Vertical menu – control buttons for basic operations with process records:
 - “Settings” - basic information about a process parameters
 - “New” - adding new process record into database
 - “Copy” – copying existing process record
 - “Delete” - deleting the process record from the database
 - “Link” – links of the process with other processes (by “input”-“output” scheme)
 - “Documents” - report listing documents describing the process
 - “Users” – report listing the users participating the process flow
 - “Report” – report summarizing all information about a process (‘process map’)
- It is Admin who is authorized to add/delete new process record in the database
 - Users can not change any parameters process records



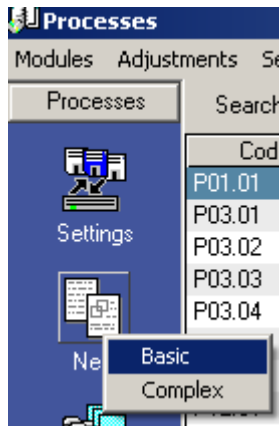
- Work in the module “Processes” starts from filling in the forms in “Settings” mode

The image shows a screenshot of the 'Settings' form. The form has a blue header with the word 'Settings'. Below the header, there are six tabs: 'Process type', 'Input/output type', 'Process resource type', 'Process parameter type', 'Type of customer's requirements', and 'Customer's requirement'. The 'Process type' tab is selected, and it shows a list of process types: 'Management' and 'Resource allocation'.

- IDEF/0-based methodology (“inputs”/”resources”/”operations”/outputs”/ “requirements”) to describe business processes
- Process classes, types of inputs/outputs/resources/ parameters, types of requirements and requirements itself are entered in corresponding tabs

- Two process classes are incorporated in the program and **can not be changed**:
 - “Basic”
 - “Complex”
- “Complex” processes
 - Consist of several other processes
- “Basic” processes
 - described in IDEF-0 terms – inputs, outputs, operations, parameters, requirements
- Process level
 - Integer value – from 0 (the highest level processes) to a positive number (depends on complexity of a business-process system of an organization)
 - Zero-level processes – the most “general” ones; usually describe rather big “block” of operation activities
 - Zero-level processes consist of the next - 1st-level - processes which describe smaller part of an organization’s activities
 - 1st level processes could be of “complex” as well as “basic” class
 - If a 1st level process is of “complex” class, it consists of processes of the 2nd level
 - If a 1st level process is of “basic” class, it ends up the “tree” branch

Adding new record of process (“Basic” class)

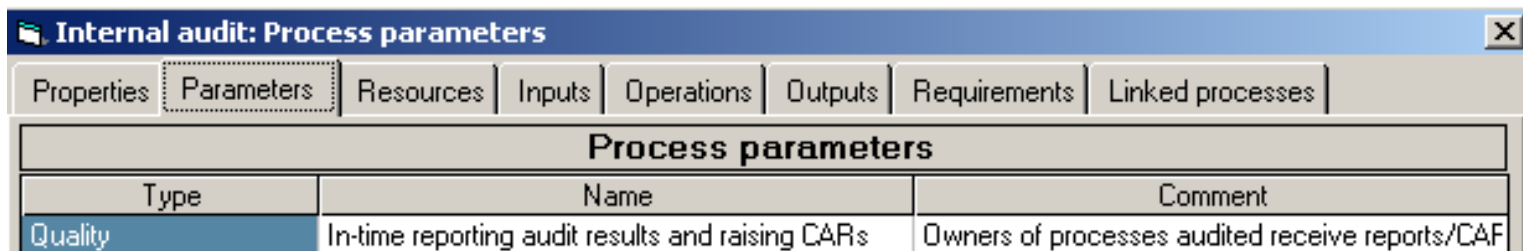


- “New”
 - A process class – “Basic” or “Complex” - is selected from the drop-down list first

If a “Basic” class is selected, the process is described in IDEF-0 terms (operations, inputs, outputs, resources, etc.) in corresponding tabs

- “Properties”
 - “**Type**”, “**Owner**” - selection of appropriate values from drop-down lists
 - “Code”, “Name” – typed
 - Codes and names values can not be
 - “**Flow-chart**”, “**Assigning of the process owners**” – selection of document records entered in database earlier (module “Documents”)
 - “**Goals**”, “**Responsibilities**”, “**Scope**” - appropriate information is entered in the corresponding forms
 - Process **level** value is determined when the process is included in the process hierarchy tree

Adding new record of process (“Basic” class). “Parameters”



- Records are added by pressing “**Add**” button
- “**Process parameters**” grid
 - «Type» - selecting a type from the list of process parameters (“Processes” – “Settings”)
 - «Name» - input from keyboard
 - Names of different parameters should be different
 - «Comment» - typing any necessary additional information
 - «**Document**» - list of documents describing a parameter entered
 - «View» - calling a file of the document selected for review
- «**Monitoring**» grid
 - pressing the button opens a form in which monitoring of achieving planned results of process parameters is reflected
 - «**Planned results of parameters**» - for each parameter the planned results and date of their achievement are entered
 - «**Monitoring of results achieved**» - for each planned result a date of monitoring, results achieved by the monitoring date, and mark (“Yes”/“No”) reflecting executing of the task planned
 - “**Target achieved**” - if results planned is not achieved (mark “No”) description of actions required achieve the goal should be entered
- “**Report**” - generating a document-report summarizing all information entered

Adding new record of process (“Basic” class) “Resources”



- **“Process resources”**
 - “Type” - selecting a type from the list of process resource types (“Processes” – “Settings”)
 - “Name” - input from keyboard
 - Names of different resources should be different
 - **“Suppliers of resources”** - selecting department/user - supplier of the resource being entered
 - **“Document”** - selection of a document describing the resource being entered
 - **“View”** - calling a file of the document for review
- **“Allocation”** – a form to analyze process provision with resources according to necessary process requirements in resources
 - **“Required resources”** - for each resource entered the required amount/date of its allocation are defined
 - **“Allocation of resources»** - monitoring of real allocation of resource comparatively to the planned amount, a date of monitoring of the resource allocation is defined
 - Date of monitoring can not precede the date of decision about allocation of resource required
- **“Report”** – generating a document-report summarizing all the information entered
 - Available only for those records of resources for which the information about allocation of the resource is entered

Adding new record of process (“Basic” class) “Operations”

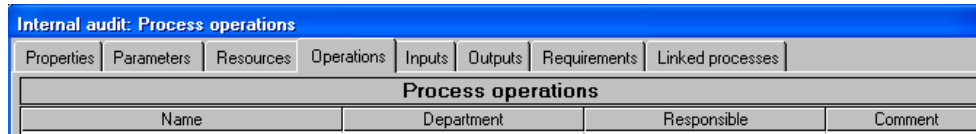
Internal audit: Process operations			
Properties	Parameters	Resources	Operations
Inputs			
Outputs			
Requirements			
Linked processes			
Process operations			
Name	Department	Responsible	Comment
Audit preparation	Quality	Quality Manager	Necessary stages for .
Audit conducting	Quality	Quality Manager	Per requirements of in.

- Operations which make up the business process are listed in the tab
- **“Process operations”**
 - “Name” (of operation) – input from keyboard (“Add” – “Operation”)
 - **“Department”** (where the operation is performed), and **“Responsible”** (for the operation’s performance) – selected from the list of departments/users
 - To facilitate adding new records of operations in proper order the option **“Insert”** is available in drop-down list appearing after right-button mouse click on “Process operations” field
- **“Documents”** – documents which describe the operation are defined (“Add” – “Document”)
- To insert a new operation record between two existing ones, an item “Insert” is to be selected from the drop-down list appearing after right mouse click on the operation record

Internal audit: Process operations			
Properties	Parameters	Resources	Oper
Name			
Audit preparation			
Audit conducting			
Report preparation			
CAR preparation			
CAR distribution			
Report distribution			
CAP preparation			
CAP distribution			

Context menu options: Add, Delete, Edit, Insert

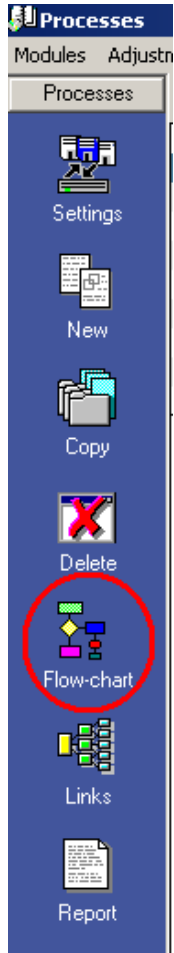
Adding new record of process (“Basic” class) “Operations” – “Flow chart”



Process operations			
Name	Department	Responsible	Comment

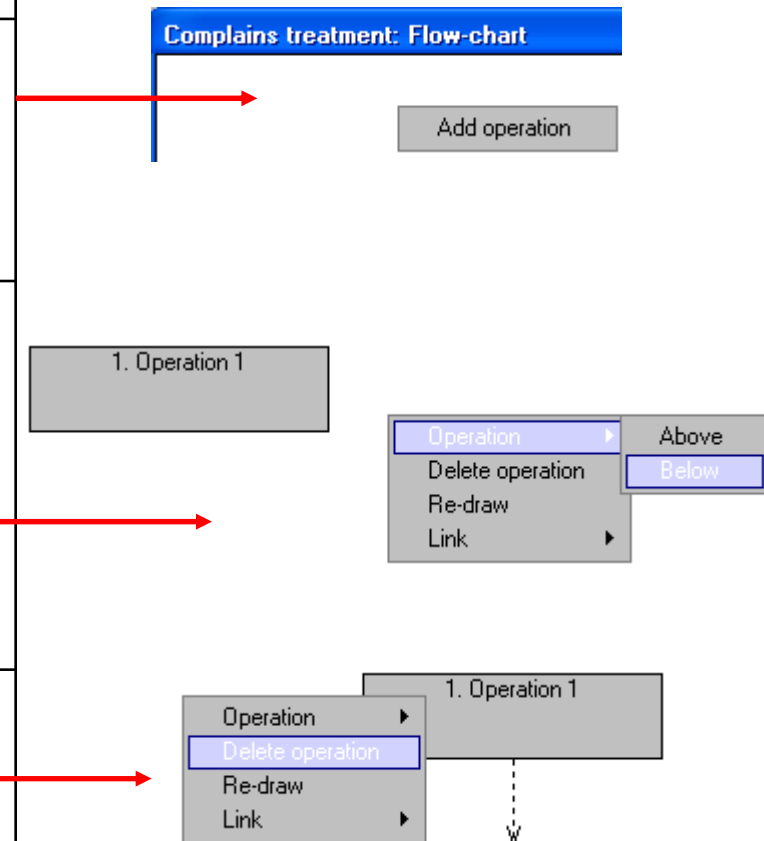


- Built-in graphic editor to create process flow-charts
- The following actions could be performed in the “Flow-chart” mode:
 - Add (delete, change names) operations
 - Add (delete, change names) inputs and outputs
 - Add (delete) decision points (“Yes”/”No”)
 - Define links between different operations within one process by “output” – “input” approach
- All actions in “Flow-chart” mode are performed by selection necessary commands from drop-down lists appearing after right button mouse clicks at corresponding levels



“Flow chart” – flow-charts creation Actions with operations

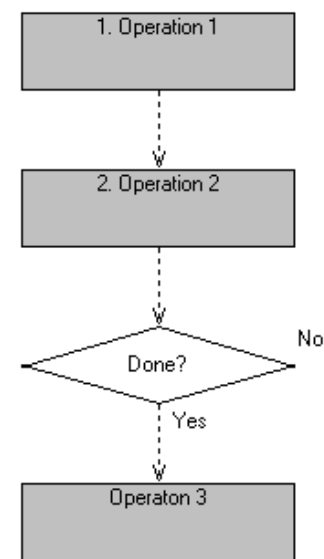
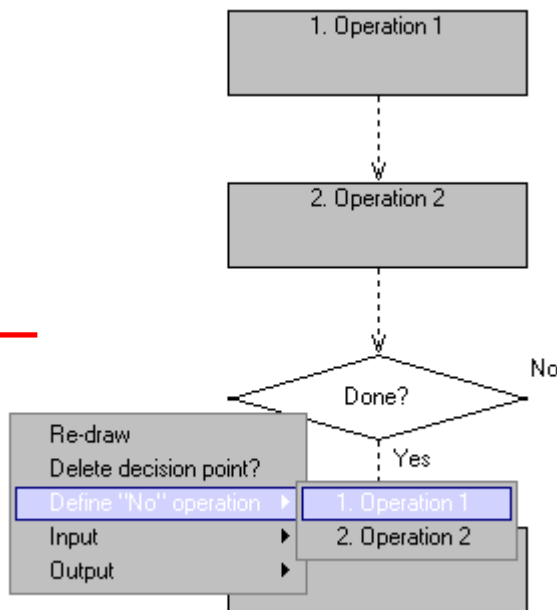
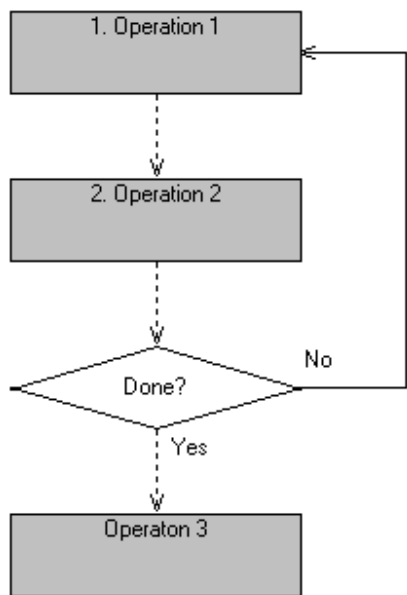
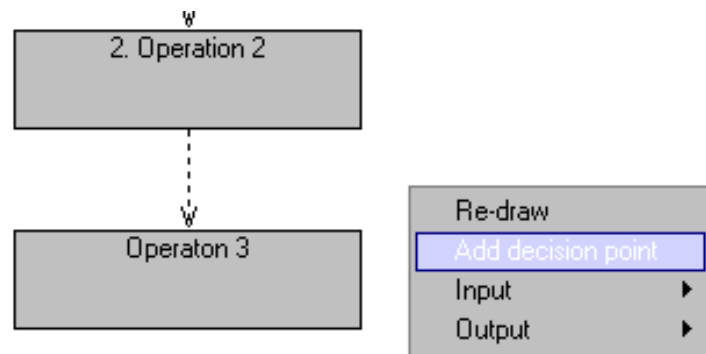
Task	Action
Adding the first operation (start of flow-chart creation)	Right button mouse click on working screen – “Add operation”
Adding (inserting) an operation	Right button mouse click on a level of rectangle of operation added earlier: “Add operation” – “Below” (or “Above” for inserting new operation)
Deleting operation	Right button mouse click on a level of rectangle of the operation to be deleted: selection of command “Delete operation”



“Flow chart” – flow-charts creation

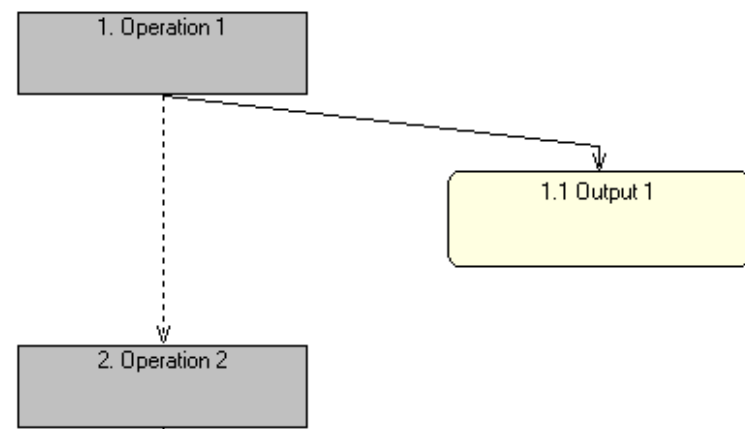
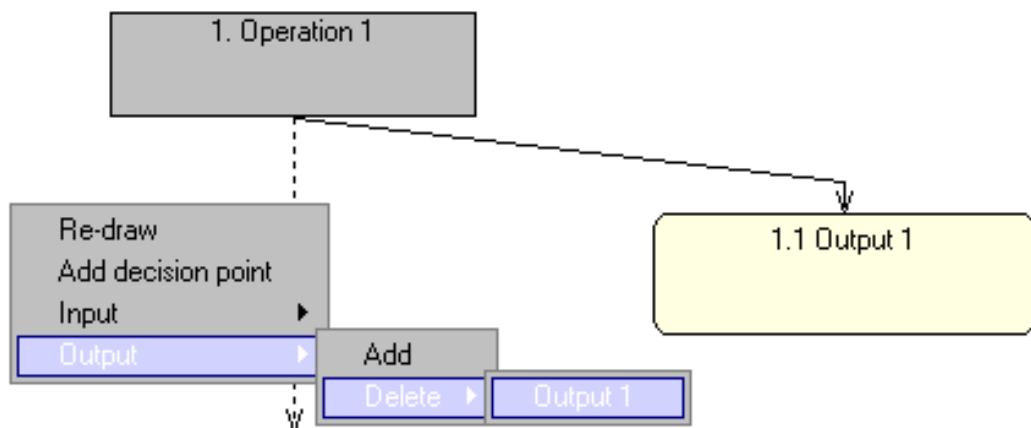
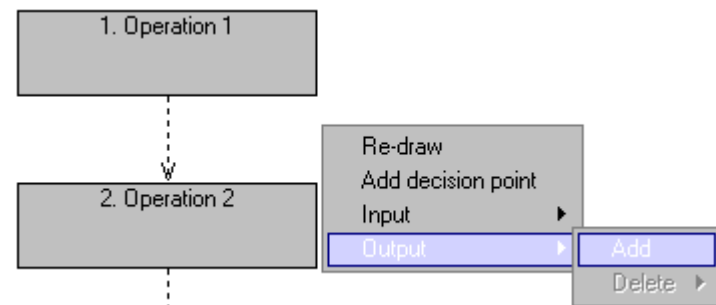
Actions with decision points

Task	Action
Adding decision point	Right button mouse click between rectangles of operations – selection “Add decision point”
Defining “No” operation	Right button mouse click on the decision Point level – selection “Add “No” operation”



“Flow chart” – flow-charts creation Actions with inputs/outputs

Task	Action
Adding input/output	Right button mouse click between levels of rectangles of operations – selecting “Input” (“Output”) – “Add”
Deleting input (output)	Right button mouse click on a level of input (output) to be deleted – selecting “Delete” – selecting input (output) to delete



Adding new record of process (“Basic” class) “Inputs”

Internal audit: Process inputs							
Properties	Parameters	Resources	Operations	Inputs	Outputs	Requirements	Linked processes
Process inputs							
Operation	Type	Name	Link	Comment			
Audit preparation	Information	Water "Health". Information on production	P03.01	Form filled out with			
Audit preparation	Document	Past audits reports		Created in "Flow-cl			

- **“Process inputs”**
 - Inputs are described in this tab
 - **“Operation”** - each input is linked with a particular operation (defined in “Operations” tab) which “consumes” the input
 - **“Type”** - selecting a type from the list of process inputs/outputs types (“Processes” – “Settings”)
 - **“Name”** - input from keyboard
 - Names of different inputs should be different
- **“Suppliers of inputs”** grid – selecting department/user - supplier of the input being entered
- **“Documents”** – for each supplier documents describing the supplier are selected (from the list of documents entered in the database)

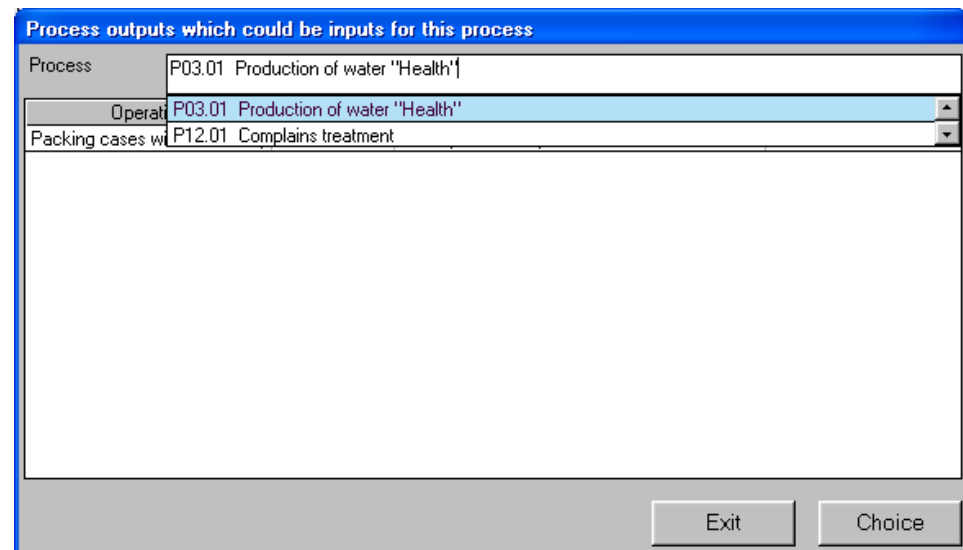
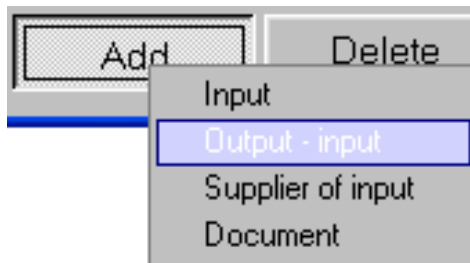
Adding new record of process (“Basic” class)

Link of processes – “output/input”

ISO 9001:2008. Chapter 0.2 “Process approach”

“Often the output from one process directly forms the input to the next.”

- “Inputs” – “Add” – “Output-input”
 - Adding inputs of particular type – the case when the output of another process (that was added earlier) forms the input of the “active” process
 - The function allows to show inter-processes links “output of process 1 – input of process 2”
 - Selecting “Add” – “Output– input” opens the form listing all outputs of processes entered in the database earlier
 - “**Process**” field – list of processes entered in the database earlier



Adding new record of process (“Basic” class) Link of processes – “output/input”

ISO 9001:2008. Chapter 0.2 “Process approach”

“Often the output from one process directly forms the input to the next.”

- “Inputs” – “Add” – “Output-input”
 - After selecting the process the list of outputs “belonging” to the process is made up in the form
 - Admin selects the output that forms the input of the process being entered, presses “Choice” and “Exit”
 - After defining the “output-input” in the column “Link” the code of process of output appears
 - In demo-version database the form “Inputs” of “Internal audit” process contains code P03.001 (code of a process “Production of water “Health”) as the output of the latter process – document “Information of production” – forms input of the process “Internal audit”

Internal audit							
Properties	Parameters	Resources	Operations	Inputs	Outputs	Requirements	Linked processes
Process inputs							
Operation	Type	Name	Link	Comment			
Audit preparation	Information	Water "Health". Information on production	P03.01	Form filled out with			
Audit preparation	Document	Past audits reports		Created in "Flow-cl			

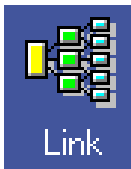
Adding new record of process (“Basic” class) “Linked processes”

Internal audit: Linked processes							
Properties	Parameters	Resources	Operations	Inputs	Outputs	Requirements	Linked processes
Process - output		Output -> Input			Process - input		
P03.01 Production of water "Health"		Water "Health". Information on production			P08.01 Internal audit		

- The result of “linking” processes by “output-input” principle (“Inputs” tab) is reflected
 - Records in this tab are formed automatically based on corresponding records in “Input” tab
- The column “Output – Input” contains output of a process-supplier of the output (P03.01) that forms the input of the process-customer (P08.001)

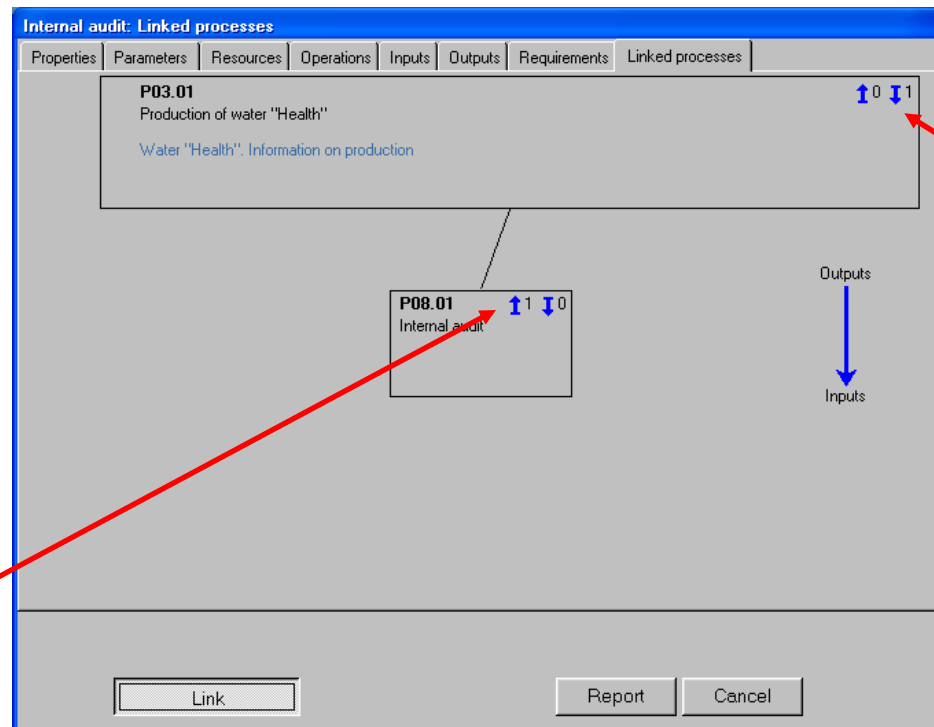
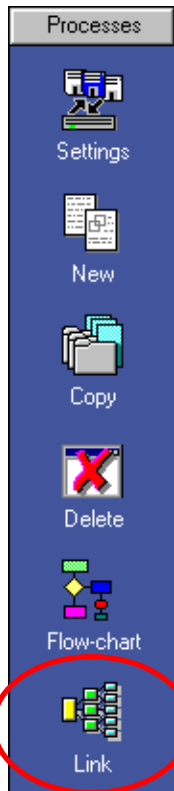


- Upon pressing the “Link” button a picture of links of active process with other processes forms (outputs – inputs)
 - “Report” – generation of a document-report reflecting the processes links picture
 - “Process” – opening the “Properties” tab of the process listed
- “Link” icon in the vertical left-side area of the Main Screen opens the “Linked processes” form as well



Linked processes – graphical representation

- The “Link” icon in vertical left area opens a form - graphical representation of process links
 - Arrow ↓ meets to process outputs that are inputs of another processes, arrow ↑ meets to process inputs that are formed from outputs of another processes
- Example from demo-version (below) – links of “Internal audit” process



One output of “Production of water “Health” (document “Information on production”) forms an input of process “Internal audit” (1 after arrow ↓)

- **One** input of “Internal audit” process is formed by an output of another process (the figure 1 is after arrow ↑ in the process box)

Internal audit: Process outputs							
Properties	Parameters	Resources	Operations	Inputs	Outputs	Requirements	Linked processes
Process outputs							
Operation	Type	Name	Comment				
Audit conducting	Document	Check-List filled in	Check-list for an audit, filled out				

• “Process outputs”

- The grid is filled in with records (“Add” – “Output”)
- An operation which forms the output is selected from the list of process operations (entered in “Operations” tab), type of output, its name, relevant comment (if necessary)

Customers of outputs		
Department	Customer	Comment
Quality	Chief of Laboratory	Quality Manager as a le

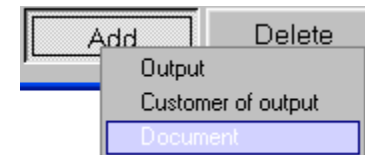
• “Customers of outputs”

- For each output defined in “Process outputs” grid the output’s customers are defined (“Add” – “Customer of output”)
- Department of the customer and the customer are selected, relevant comment (if necessary) is entered

Documents		
Code	Document	Comment

• “Documents”

- For each output relevant documents describing the output are selected from the list of documents (entered in the “Documents” module)



Adding new record of process (“Basic” class) “Requirements”

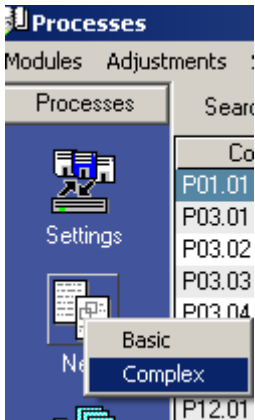
Internal audit: Customers requirements to outputs							
Properties	Parameters	Resources	Operations	Inputs	Outputs	Requirements	Linked processes
Process outputs							
Output	Department	Customer	Comment				
Check-List filled in	Quality	Chief of Laboratory	Check-list for an au				
Audit report filled in	Quality	Quality Manager	Corrective Actions				
CAR completed	Quality	Management Representative	Internal audit report				
Completed CAP	Production	Production Manager	CAP is filled in, disc				
Completed CAP	Technical	Technical Manager	CAP is filled in, disc				
Requirements of customers of outputs							
Type of requirement	Requirement	Comment					
Quality	The output should meet all quality requirements	All subjects/objects of					
Timeliness	The output should be provided to its customer in accordance with the prescribed	The filled check-list sh					

- **“Process outputs”** grid
 - Filled in automatically with records entered in the “Outputs” tab
- **“Requirements of customers of outputs”** grid
 - For each output (listed in the “Process outputs” grid) the type of customer requirements, its name are selected, the relevant comment (explanation of the requirement’s specifics) is entered
- **“Documents”** grid – relevant documents are selected for each requirement of customers

Adding new record of process (“Complex” class)

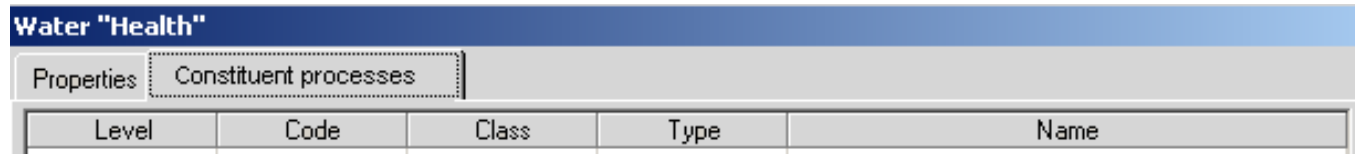
- “New”
 - “Complex” process class is selected from drop-down list

Instead of “IDEF/0-tabs” (“Operations”, “Resources”, “Inputs”, etc.) the new tab – “Constituent processes” – appears



- “Properties”
 - “**Type**”, “**Owner**” - selection of appropriate values from drop-down lists
 - “Code”, “Name” – typed
 - Codes and names values can not be
 - “**Flow-chart**”, “**Assigning of the process owners**” – selection of document records entered in database earlier (module “Documents”)
 - “**Goals**”, “**Responsibilities**”, “**Scope**” - appropriate information is entered in the corresponding forms
 - Process **level** value is determined only when the process is included in the process hierarchy tree

“Hierarchy tree” of a process of “Complex” class “Constituent processes”



- “Constituent processes” tab – composing a “hierarchy tree” for a “complex” process
- If a process belongs to “Complex” class, its “constituent” processes (i.e., the processes which are “parts” of the complex process – these processes are defined in the “Constituent processes” tab
- Records in the tab are added by selecting appropriate commands from drop-down lists appearing after right button mouse click of a form area
- There are **two ways** to define the constituent processes
 - “Direct” way – adding records of the constituent processes in the tab “Constituent processes”
 - “Indirect” way – adding records of processes in Main Form of processes (button “New”), and then including the processes added in the “hierarchy tree” in the tab “Constituent processes”

Adding constituent processes – “direct way”. 1.

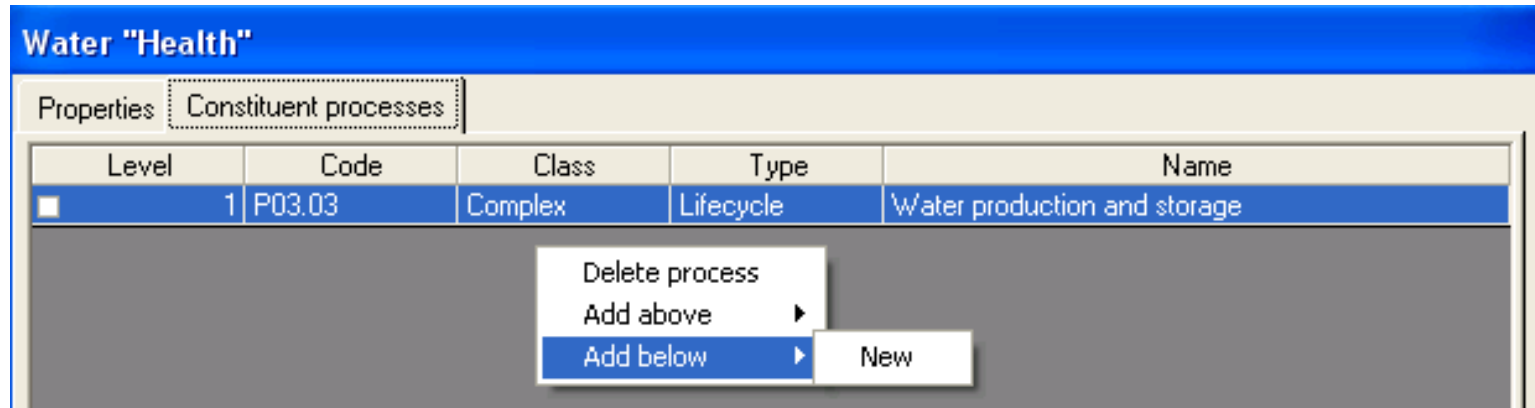


- Adding the first process in the database – e.g., “Water “Health” – is carried out by pressing “New” button located in the left blue field
 - After selecting the “Complex” class a tab “Constituent processes” appears
- Enter the tab “Constituent processes” – right mouse button click – “Add process” – “New”
- Consecutive filling in fields “Level”, “Code”, “Class”, “Type”, “Name”
 - No. of the level of the first constituent process is defined automatically and equal to 1 (1 point more then the level of the “complex” process “Water “Health”)
- As a result the first constituent process of the process “Water “Health”” – “Production and storage of water “Health”” (level 1, class “Complex”) – is added in the database

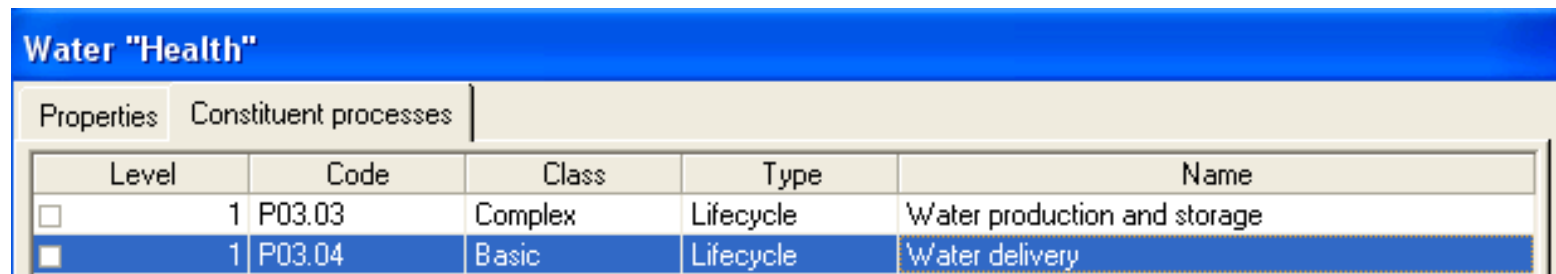
Water "Health"				
Properties		Constituent processes		
Level	Code	Class	Type	Name
1	P03.03	Complex	Lifecycle	Water production and storage

Adding constituent processes – “direct way”. 2.

- Adding the second constituent process – “Water delivery” – is carried out by means of selecting “Add below” – “New” options from drop-down list appearing after right mouse click on the form area,



and filling in corresponding fields with appropriate information about the process entered



Adding constituent processes – “direct way”. 3.

- To add a constituent process for the process “Production and storage of water “Health” - “Production of water “Health” - right mouse button click on a record “Production and storage of water “Health” – selecting “Add below” – “New”

The screenshot shows the 'Water Health' constituent processes table. The first row is selected, and a context menu is open over it. The menu options are 'Delete process', 'Add above', 'Add below', and 'New'. The 'Add below' option is highlighted.

Level	Code	Class	Type	Name
<input checked="" type="checkbox"/>	1 P03.03	Complex	Lifecycle	Water production and storage
<input type="checkbox"/>	1 P03.04	Basic	Lifecycle	Water delivery

- When the field “Level” is filled in, the level value is to be defined equal to 2

The screenshot shows the 'Water Health' constituent processes table. The second row is selected, and its 'Level' field is filled with the value 2.

Level	Code	Class	Type	Name
<input type="checkbox"/>	1 P03.03	Complex	Lifecycle	Water production and storage
<input checked="" type="checkbox"/>	2 P03.05	Basic	Lifecycle	Water production
<input type="checkbox"/>	1 P03.04	Basic	Lifecycle	Water delivery

- In the same way – “Add below” – “New” – the second consecutive process (“Water storage” level 2) for the process “Production and storage of water “Health”” – is added

The screenshot shows the 'Water Health' constituent processes table. The third row is selected, and its 'Level' field is filled with the value 2.

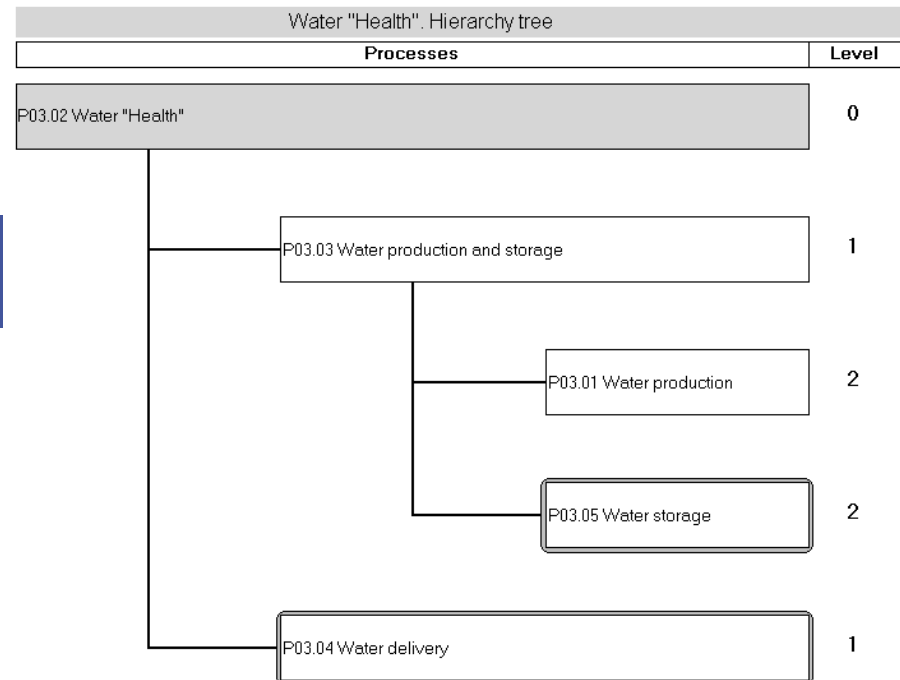
Level	Code	Class	Type	Name
<input type="checkbox"/>	1 P03.03	Complex	Lifecycle	Water production and storage
<input type="checkbox"/>	2 P03.05	Basic	Lifecycle	Water production
<input checked="" type="checkbox"/>	2 P03.06	Basic	Lifecycle	Water storage
<input type="checkbox"/>	1 P03.04	Basic	Lifecycle	Water delivery

Adding constituent processes – “direct way”. 4.

- As a result a hierarchy tree for the process “Water “Health”” is composed

Water "Health"					
Properties		Constituent processes			
Level	Code	Class	Type	Name	
<input checked="" type="checkbox"/>	1 P03.03	Complex	Lifecycle	Water production and storage	
<input type="checkbox"/>	2 P03.05	Basic	Lifecycle	Water production	
<input checked="" type="checkbox"/>	2 P03.06	Basic	Lifecycle	Water storage	
<input type="checkbox"/>	1 P03.04	Basic	Lifecycle	Water delivery	

- Pressing the “Flow-chart” button when the process record “Water “Health”” is selected generates graphical representation of the “hierarchy tree” composed
- The “hierarchy tree” can be converted in a -.doc or -.xls format file and saved

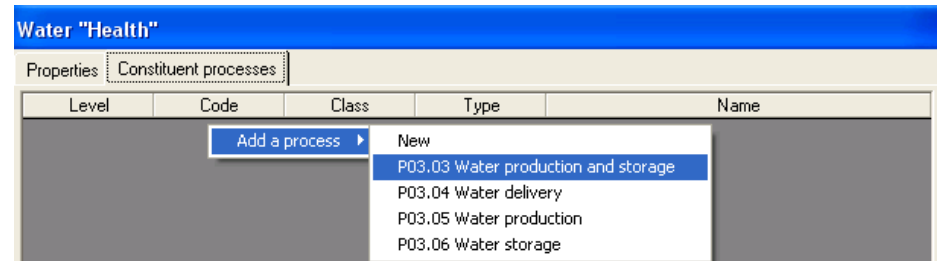


Adding constituent processes – “indirect way”. 1.

- Start – adding the first process record “Water “Health”” in a database (“New” button)
- Then the process records “Production and storage of water “Health”” and “Delivery of water “Health”” are added in a database in the same way (“New” button)
- Processes “Production of water” and “Storage of water” are added in a database in the same way
- **Levels of the processes added by “New” button pressing are not determined yet**



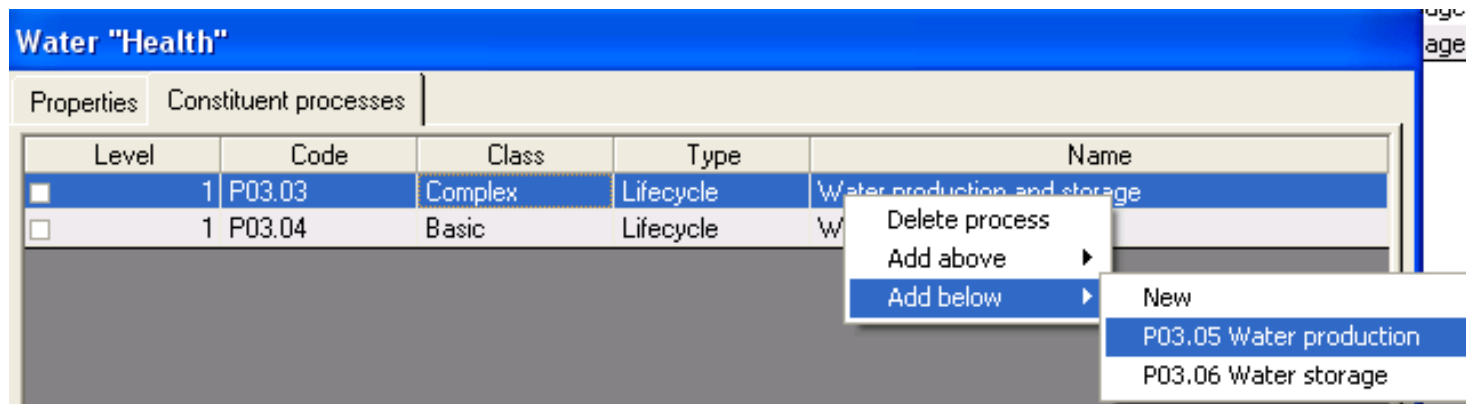
- Afterwards the tab “Constituent process” for the process “Water “Health”” opens
- Right mouse button click – “Add process” – selecting of the process record “Production and storage of water”
 - The level of the process selected automatically becomes equal to 1, the level of the process “Water “Health” becomes equal to 0



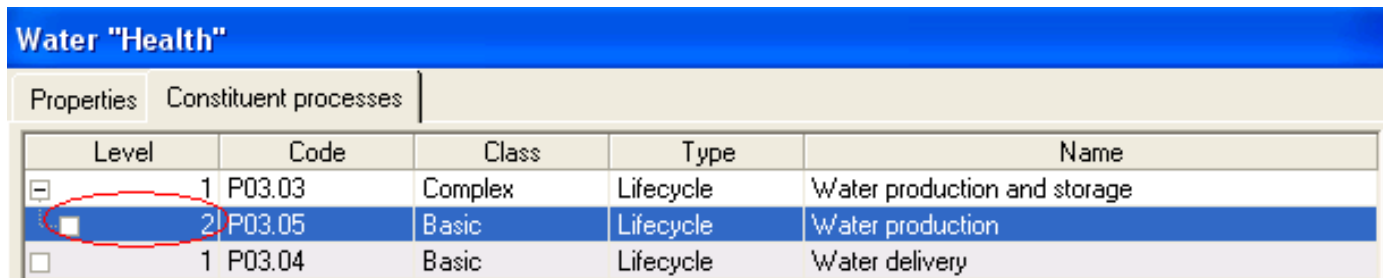
- The second constituent process of the process “Water “Health”” – “Delivery of water” is selected in the same way
- To define constituent processes for the 1st level process “Production and storage of water” it is necessary to enter the process record, select tab “Constituent process” – right mouse click – “Add process” – select “Production of water “Health””; then in the same way the process “Storage of water” is selected
 - Levels of the two processes selected automatically becomes equal to 2

Adding constituent processes – “indirect way”. 2.

- Another way to define constituent processes for a process of the 1st level is following: the record of the process “Water “Health” is entered – tab “Constituent processes” – right mouse button click of the record of the process “Production and storage of water” – “Add below” – selecting the process “Production of water “Health”” from the list



- Afterwards the level of the process selected (“Production of water “Health””) should be changed (from the 1st to the 2nd)



- As a result a process “Production of water “Health”” became a constituent process for the process “Production and storage of water”

Adding constituent processes – “indirect way”. 3.

- The second constituent process – “Water storage” – is selected on the same way

Water "Health"

Properties | Constituent processes

Level	Code	Class	Type	Name
[-]	1 P03.03	Complex	Lifecycle	Water production and storage
[+]	2 P03.05	Basic	Lifecycle	Water production
[+]	1 P03.04	Basic	Lifecycle	Water delivery

Context menu for P03.05:

- Delete process
- Add above
- Add below
- New
- P03.06 Water storage

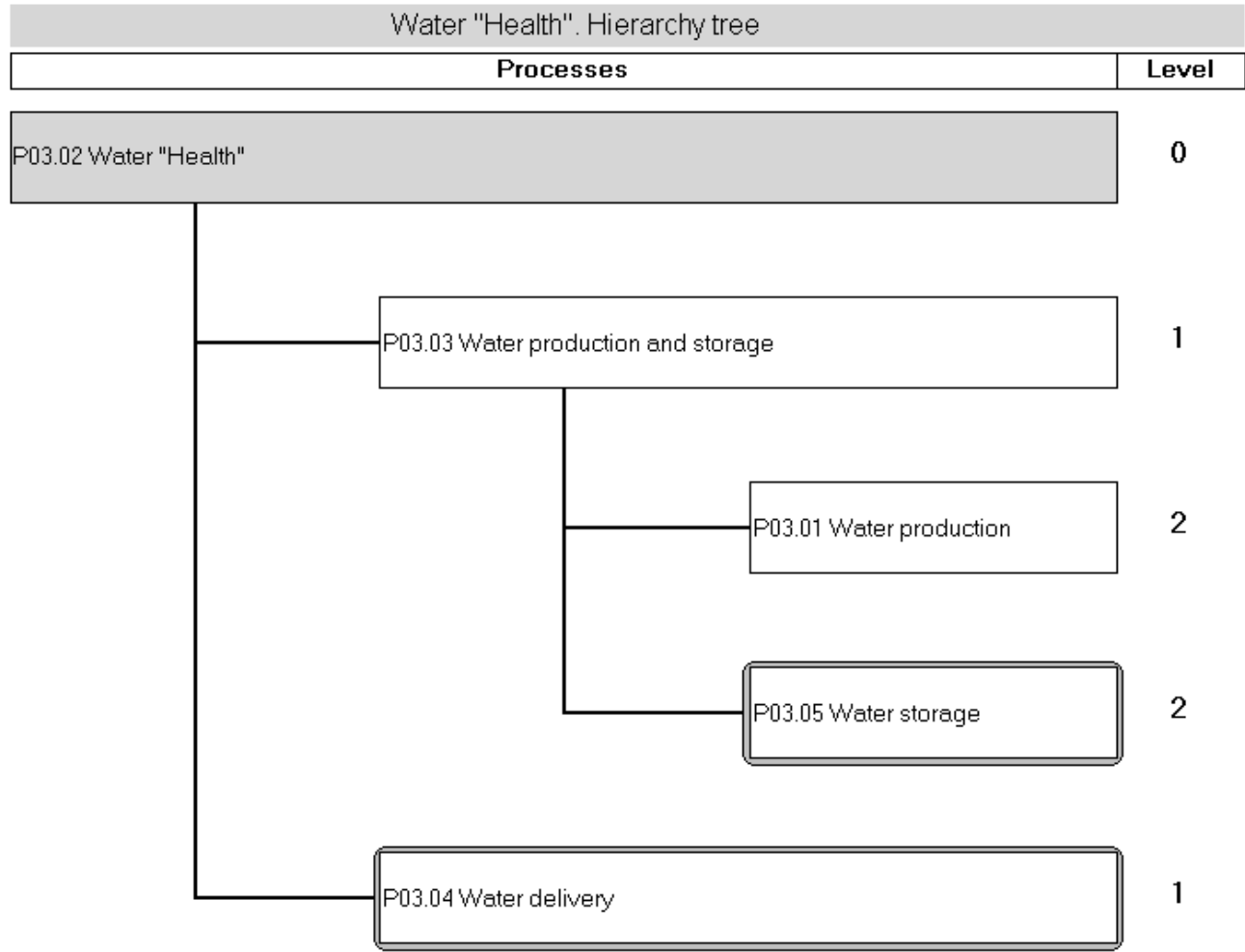
- Thus the hierarchy tree of the process “Water “Health”” is composed

Water "Health"

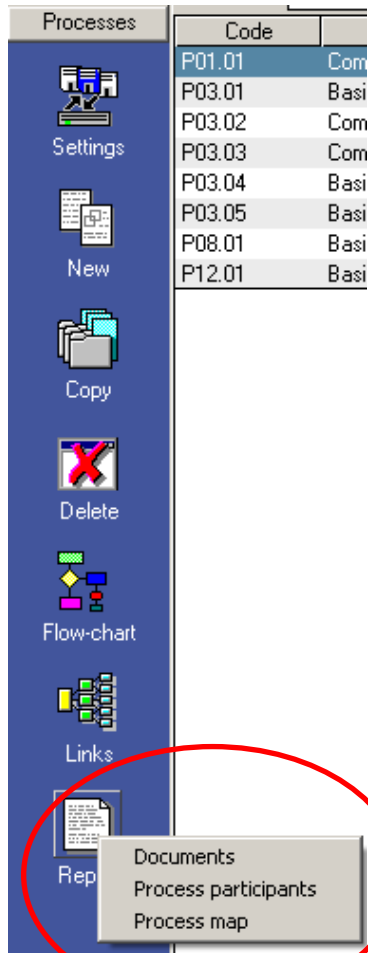
Properties | Constituent processes

Level	Code	Class	Type	Name
[-]	1 P03.03	Complex	Lifecycle	Water production and storage
[+]	2 P03.05	Basic	Lifecycle	Water production
[+]	2 P03.06	Basic	Lifecycle	Water storage
[+]	1 P03.04	Basic	Lifecycle	Water delivery

- Pressing the “View” button in the bottom part of the “Constituent processes” form generates report – graphical representation of the process’ hierarchy tree composed in the form



Description of processes - reports



- **“Documents”**, **“Process participants”**, **“Process map”** - different reports describing the selected process are generated upon pressing the key
- **“Documents”** - complete list of documents describing the process
- **“Users”** - complete list of users participating the process flow
- **“Report”** – comprehensive report summarizing all the data entered in process description tabs (“Properties”, “Parameters”, “Resources”, “Inputs”, “Outputs”, “Customer requirements”) – so called “Process map”

«Processes»

«Control of Processes»

- Opens by clicking onto button «Control of Processes»

The screenshot shows a web interface for 'Control of processes'. It includes a search bar, a 'Control of processes' button, and several filter buttons: 'Type', 'Department', 'Part of process', 'Owner', and 'Responsible'. Each filter button is followed by a text input field containing the value 'All'. Red arrows point from the text in the list to these filter buttons and their corresponding input fields.

Two possible types of operations:

– Grouping of records

- It's realized by clicking onto button with parameter name for grouping of records («Type», «Department», «Owner», etc.) – the pulsed button «sticks»
- Result - button «Show» - in Main form there is formed a list of all processes grouped by parameter chosen (for example, grouping by parameter «Type» -in the list of documents at first there appear all processes of type “Life cycle”, then “Measuring, analyzing and improving”, and then – “Management” types)

This screenshot shows the 'Control of processes' interface with the 'Type' filter button highlighted in blue. The text input field next to it contains the value 'Lifecycle'. The 'Control of processes' button is also highlighted in blue.

– Filtering of records

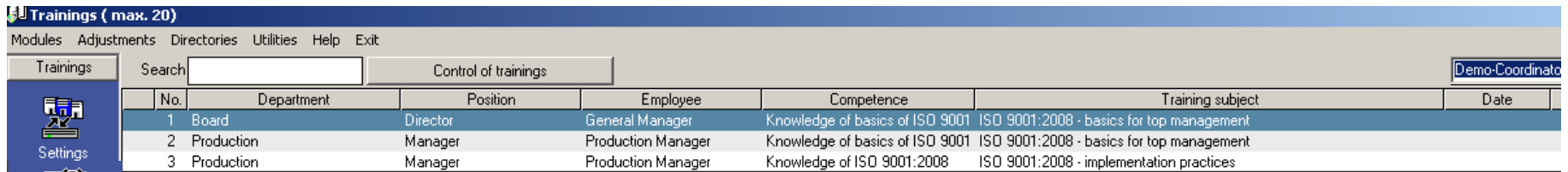
- It's realized by choosing of certain parameter value from pulldown menu upon clicking onto appropriate area (for example, values of “Life cycle” by choosing of “Type” parameter)
- Result - button «Show» - in Main form there is formed a list of processes for “Life cycle” type

- It's possible to perform simultaneous operations for grouping and filtering by different parameters
- It's possible to perform simultaneous operation for filtering records by several parameters
 - Parameter «Type», value «Management» + parameter «Owner», value «General Director» - «Show» - it's formed a list of processes by type «Management», which owner is a General Director
- Document – report is formed after choosing of parameters, pulsing onto buttons «Show!» and «Report»

“Trainings”

- System for evaluation/improvement/control of competencies, skills and qualification of an organization's employees
 - "Training" module is a specially structured database; each records in the database corresponds one training for an employee of a company
 - When the training record is added to the database the following parameters of the training are being defined: a trainee (department/position), training date (planned and actual), training subject, responsible for training (trainer), mark for the training, date of carrying out the evaluation of training effectiveness, mark for the training effectiveness.
 - Training plan is designed based on organizational structure of a company - "by departments" and "by positions" for each single employee (realization of the requirement "determination of required competency level for all employees").
 - Control/checking of execution of training plan, monitoring of
 - Quantitative evaluation of conducted trainings and their effectiveness.
 - Continuous monitoring of in-time conducting the trainings planned and evaluation of their effectiveness; notification of users about necessity to conduct planned actions and/or overdue events.
 - Access of users to training database information in accordance with different levels of authorization.
 - "Control of trainings" mode - quick search of necessary record(s), sorting/grouping/filtration of trainings records by required parameters.
 - "One-mouse-click" generating of different reports documenting the training process.
 - Built-in "self-learning" database with training process data (lists of departments. positions, employees, types and sources of training, etc.) to facilitate/optimise the process of filling the database with new records.

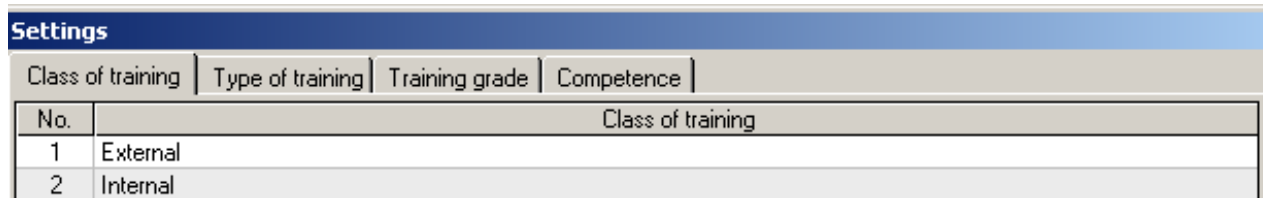
“Trainings”



No.	Department	Position	Employee	Competence	Training subject	Date
1	Board	Director	General Manager	Knowledge of basics of ISO 9001	ISO 9001:2008 - basics for top management	
2	Production	Manager	Production Manager	Knowledge of basics of ISO 9001	ISO 9001:2008 - basics for top management	
3	Production	Manager	Production Manager	Knowledge of ISO 9001:2008	ISO 9001:2008 - implementation practices	

- Working window – Main Form of trainings
 - Each record in the Main Form describes a training of an employee
- Vertical menu – command buttons to “Training” mode forms
 - “Settings”
 - Basic information on training system of the organisation
 - «Plan»
 - Making up training plans for different departments/positions/users
 - «Training»
 - Monitoring of planned trainings activities of employees, their scores/appraisals, as well as assessment of training efficiency
 - “Report” – generating various reports
- Information line (bottom part of display)
 - Shows a number of planned and performed trainings
 - Automatic notification about “delayed” trainings and trainings assessment planned

The tables in this mode should be filled out first



The screenshot shows a software interface titled "Settings" with a blue header. Below the header is a table with four columns: "Class of training", "Type of training", "Training grade", and "Competence". The "Class of training" column is expanded to show a sub-table with two rows: "1 External" and "2 Internal".

Settings			
Class of training	Type of training	Training grade	Competence
No.	Class of training		
1	External		
2	Internal		

- **“Class of training”**
 - Two pre-defined training types - “Internal” and “External”
 - No. of training types which can be entered is not limited
- **“Type of training”**
 - Determined by a Admin based on an organization’s specifics (Workshop, Seminar, etc.)
 - No. of training types which can be entered is not limited
- **“Training grade”**
 - Training grades/comments to interpret as determined in an organization’s management system are entered
- **«Competence»**
 - List of users’ competencies to be addressed by training plan

“Trainings” “Plan (of trainings)”

Training plan		
Department	Position	Employee
Audit group	Auditor	B.Gates
Competence		
Nº	Name	Comment
1	Knowledge of ISO 9001:2000	All auditors must know ISO 9001:2000 standard
2	MS Excel knowldege	B.Gates does not know the basics of MS Excel

- “Competencies” grid - for each combination “Department” – “Position” – “Employee” (as defined in Directories – Users – Users table) the required competencies are defined
- Competencies common for the whole department (“All”), position or for an individual user can be determined

Competence			
Nº	Name		Comment
1	Knowledge of ISO 9001:2000		All auditors must know ISO 9001:2000 standard
2	MS Excel knowldege		B.Gates does not know the basics of MS Excel
Training subjects			
Nº	Class of training	Type of training	Name
1	External	Workshop	ISO 9001:2000 basics
Training documents			
Nº	Code	Name	
1	02.001S	ISO 9001:2000	

- Next step: for each competency the “Training plan” (subjects of trainings needed to be conducted to achieve the competencies planned are listed (class of training, type and names of training)
- For each training subject needed training documents are listed (grid “**Training documents**”)

“Training” – conducting and assessing

Training						
Department		Position		Employee		
Audit group		Auditor		B.Gates		
Training						
Nº	Competence	Training subject	Responsible	Date	Done?	Score
1	Knowledge of ISO 9	ISO 9001:2000 basics	External auditor Rog	16.06.2008	Yes	Great
2	MS Excel knowldeg	MS Excel basics	Purchasing Manage	02.06.2008	No	

- **“Select”** button (or clicking the fields **“Department”**, **“Position”** and **“Employee”**) - an employee working at particular position (in a particular department) is selected
- For a defined employee records of training subjects are field in automatically in the table **“Training”** (the records are sourced from “Training plan” form)
- Admin defines:
 - responsible for conducting the training (“Responsible” column – selection from the users list)
 - planned date of the training
 - mark “Yes”/“No” depending on fact of conducting the training
 - training score (evaluation)
- A user, responsible for conducting the training (defined by Admin in “Responsible” column, can change the mark “Yes”/“No” and enter the training score in corresponding columns of the form

“Training” – evaluation of effectiveness

Evaluation of training effectiveness			
Date	Responsible	Completed?	Evaluation
1/5/2004	Quality Manager	Yes	Good

- Next step required by ISO 9001:2008 - evaluation of the training effectiveness
- **“Evaluation of effectiveness”** - for each record of performed and assessed training (the form “Training”) Admin defines a user responsible for evaluation of the training efficiency (the field “Responsible”)
- Admin defines the date of training effectiveness evaluation, changes the mark „Yes”/”No” in “Completed?” column, and puts down an assessment score
 - The “Date”, “Completed?” and performance mark and training assessment may be filled in either by the Admin, and by a user who appears in the field “Responsible” for assessment of the training efficiency
- The program compares on its own and checks the accuracy of entering the dates of training performance and assessment of its efficiency
 - Date of evaluating a training efficiency can not be given prior to the date of the training conducting
- The employee responsible for performance of training (table “Training performance”) can not be responsible for assessment of its efficiency (table “Assessment of efficiency”)
- **“Report”** – generating the document-report containing comprehensive information about training activities of the employee selected
- **Deleting** records from the “Training” form **is impossible** – see the last slide **“Deleting the records”**

Main Form of trainings

No.	Department	Position	Employee	Competence	Training subject	Date
1	Board	Director	General Manager	Knowledge of basics of ISO 9001	ISO 9001:2008 - basics for top management	
2	Production	Manager	Production Manager	Knowledge of basics of ISO 9001	ISO 9001:2008 - basics for top management	
3	Production	Manager	Production Manager	Knowledge of ISO 9001:2008	ISO 9001:2008 - implementation practices	

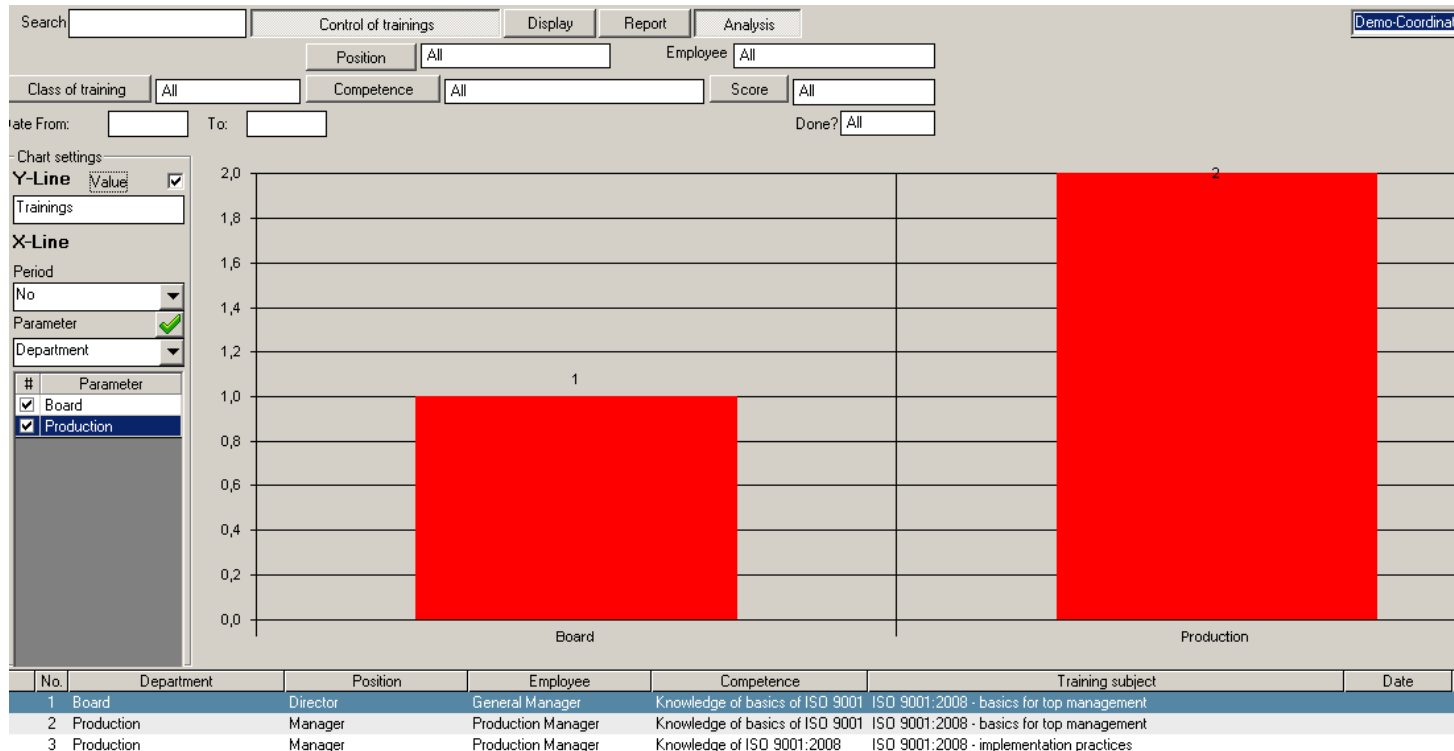
- Records in the Main Form of Trainings are entered simultaneously upon adding the records in “Training” form
- Double click on training record in Main Form opens up the “Training” form for the corresponding employee
- Only Admin and users responsible for conducting the training and evaluating its effectiveness, are authorised to enter the “Training” form

No. of trainings not conducted in time : 2

No. of trainings not evaluated in time : 1

- Information line in the bottom part of the Main Form shows:
 - A number of trainings not performed in due time
 - A number of trainings which efficiency has not been assessed in due time
 - Double click on blinking line (or pressing the button near the line) marks out by red color the respective records of “overdue” trainings
 - Available only in interfaces of Admin and users responsible for conducting assessing the trainings effectiveness

“Trainings” “Analysis”



- The function is analogous to Analysis mode in Documents module

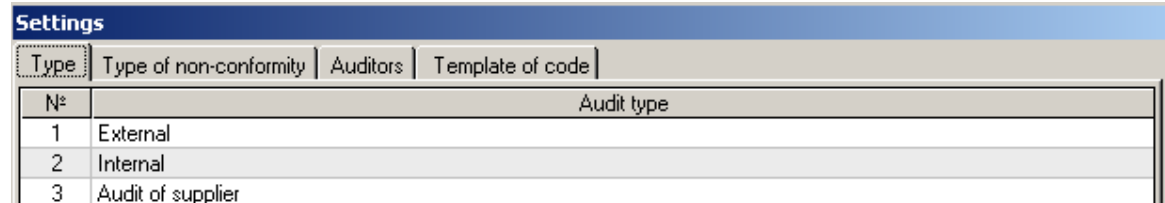
- **Development of a system of control over audits/corrective and preventive actions as a tool to ensure continuous improvement of a management system**
 - The module is a specially designed database that is filled out with records; each record corresponds one audit of a management system
 - For each audit the following parameters are defined: type (internal/external/suppliers audit),
 - data of conducting (planned/actual), auditors, objects of the audit (department(s), process(es), etc.), requirements (standards/documents) to audit against.
 - "Report on audit" mode - the form is filled in with the information on audit report (as required by ISO 19011:2002): responsible for composing and issuance date, nonconformities found, conclusion, users which the report is to be distributed to.
 - "CAP" mode - for each audit report the relevant CAP information is defined (list of corrective actions, responsible users, planned dates, checking of effectiveness of corrective actions - responsible and dates of planned and actual checking).
 - Listing of audit team, determination of requirements to auditors, control over training of auditors.
 - Automatic notification of all involved parties about upcoming audits
 - Automatic distribution of files of relevant documents to involved parties
 - Monitoring of timely conducting audits and carrying out the corrective actions planned.
 - Automatic notification of the software users about overdue audits/corrective actions.
 - Access to audit/CAP information in accordance with different defined access levels.
 - "Control of audits" - grouping/filtering/sorting of audit records using 10 various parameters
 - One-click generating of consistently shaped required documents (audit reports, corrective action plans, etc.)

The screenshot shows the 'Audits' application window. The menu bar includes 'Modules', 'Adjustments', 'Settings', 'Utilities', 'Help', and 'Exit'. Below the menu is a search bar and a 'Control of audits' button. A table displays audit records with columns for Code, Name, Type, Department, Responsible, Chapter, Process, Standard, Auditor, and Planned date. A vertical toolbar on the left contains icons for Settings, Non-conformities, New, Copy, Delete, Report/Plan, and Report.

Code	Name	Type	Department	Responsible	Chapter	Process	Standard	Auditor	Planned date
A12.001	Audit of process "Production of w	Internal	Production	Production Manage	12	P03.01	9001:2000 7	Finance Manager	15.08.2006
A01.001	Audit of process "Management re	Internal	Board	General Manager	01	P08.01	9001:2000 5.5.3	Management Repr	02.02.2006
A02.003	Audit of process "Document man	Internal	Finance	Finance Manager	03		9001:2000 4.2.2	Management Repr	06.02.2006

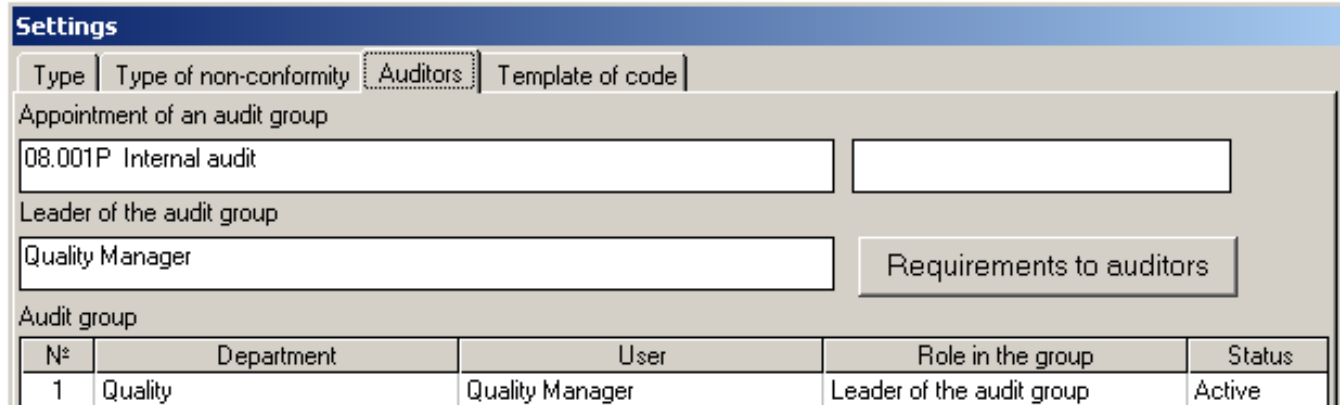
- Working window – Main Form of Audits
 - Each line of Main Form - one scheduled/performed audit of the System
 - Columns in the Main Form contain basic information about audits: code, name, type, audit objects (department, responsible user, system section, process, section of external Standard), responsible auditor, date of actual audit conducting
 - Vertical left field – control buttons of audit basic operations:
 - «Settings» - entering of basic information under parameters of audit system
 - «New» (entering new audit record into the Main Form)
 - «Delete» (deleting the record of an audit from the Main Form)
 - «Report/Plan» - entering detailed information about the audit (performance, audit report) and corrective actions plan on the audit (preparation, issuing, mailing, checking of performance)
- «Search» - prompt searching of an audit record in Main Form
 - Typing some symbols of audit code or title - pressing on key “Spacebar”
 - displaying of search results
- «Control of audits» - entering the audit control mode

- Admin’s work in the module “Audit” begins from the filling in **all** forms of “Settings” mode with information about basic parameters of the company’s audit system



N°	Audit type
1	External
2	Internal
3	Audit of supplier

- «Type»
 - Types of audits as defined in a company’s management system are entered
 - In demo-version three types of audits are defined: external, internal, supplier’s audit
- «Classification of non-conformances»
 - Filled in in a way as well as the previous form; used to be defined in the “Internal audit” procedure
 - Name of non-conformances are defined; field “Comment” contains necessary explication for required corrective actions to be undertaken if a non-conformance of the given type is found



Appointment of an audit group

08.001P Internal audit

Leader of the audit group

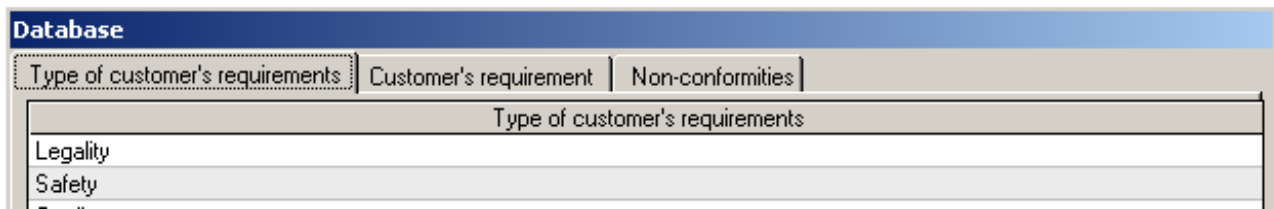
Quality Manager

Requirements to auditors

Audit group

N°	Department	User	Role in the group	Status
1	Quality	Quality Manager	Leader of the audit group	Active

- «Auditors» - entering the information on auditors group of the company
 - Info on a **document** defining the people – members of auditors group (used to be approved by the top management), **leader** of the group, as well as requirements to auditors (qualification, etc.)
 - Table «Audit group» - a list of group members indicating the departments, user, as well as (in the field “Comment” – any other information (for example, user’s roles in auditors group (head auditor, auditor, consultant, etc.)



- «Type of customer requirements” and “Customer requirements” tabs – records are transferred from “Processes” – “Settings” mode

The screenshot shows the 'Non-conformities' tab selected in the database window. The table below contains the following data:

Type of customer's	Customer's requirement	Non-conformity
Legality	Ecology regulations	Select the non-conformity from the list or type it in the field
Legality	Labour regulations	Firing of contractual labour force was performed with violatic
Legality	Labour regulations	Firing of regular labour force was performed with violations
Legality	Labour regulations	Hiring of contractual labour force was performed with violatic
Legality	Labour regulations	Hiring of regular labour force was performed with violations
Legality	Labour regulations	Select the non-conformity from the list or type it in the field
Legality	Product-output meets internal	Select the non-conformity from the list or type it in the field
Safety	Chemical contamination of	Chlorine content in treated water is out-of-specs
Safety	Chemical contamination of	Content of toxic elements in packaged water exceeds

- «Non-conformities” tab
 - Each new record of non-conformity when added is linked a particular combination “Type of customer requirement” – “Customer requirement”
 - The list of non-conformities made up in the tab will be used as a source of non-conformities when records of new audits (mode “Report/Plan”) or non-conformities (Main Form of Non-conformities) will be added



- «**Properties**» - the fields are filled in by Admin when the audit record is entered (edited)
 - Fields for filling in – code, type, title, scheduled date of audit, mark of completing, date of planned and actual conducting, relevant document (if available), comment (necessary additional information)
 - Date of actual conducting the audit should not be earlier then the scheduled date of the audit

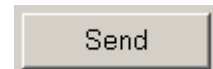


- «**Departments**»
 - Departments–audit objects are selected from the list, as well as responsible users which work activity will be checked during the audit planned
 - **It's essential** to enter at least one record of responsible user in this form – the entered user(s) will appear in a list of users who are responsible for making up the Corrective Action Plan for audit (see slide for the form «CAP»)
 - Button «Send» - forms a message to be e-mailed to recipients listed in the “Department” table
 - Useful for notification of employees involved about conducting the forthcoming audit

#	Employee	Comment
1	Management Representative	Chief Auditor

- **«Auditors»**

- List of auditors responsible for performance of scheduled audit entered
- **It's essential** to enter at least one record of auditor in this form – the auditors entered will appear in a list of users responsible for making up the audit report (see slide for the form «Report/Plan»)
- User(s) defined in the field «Departments – “User», as a rule, can not audit their own work (to be entered into the field «Auditors»), - in this case the program will require to confirm such situation
- Button «Send» - generating an e-mail notice with all users-auditors in the recipient list
 - Useful when auditors are to be notified about conducting the forthcoming audit



- **«Chapters», «Processes», «External Standards»**

- Entering the information about objects of scheduled audit
- All entered records will appear in relevant columns of audit records in Main Form of audits

- **«Report»** - pushing the button generates a document-report containing all information about the audit entered



The screenshot shows the 'Audits' software interface. At the top, there is a menu bar with 'Modules', 'Adjustments', 'Settings', 'Utilities', 'Help', and 'Exit'. Below the menu bar, there is a search box and a 'Control of audits' button. The user's name 'Demo-Coordinator' is displayed in the top right corner. The main area contains a table with the following columns: Code, Name, Type, Department, Responsible, Chapter, Process, Standard, Auditor, Planned date, and Action. The first row of data is: A12.001, Audit of process "Production of w, Internal, Production, Production Manage, 12, P03.01, 9001:2000 7, Finance Manager, 15.08.2006, 15.

Code	Name	Type	Department	Responsible	Chapter	Process	Standard	Auditor	Planned date	Action
A12.001	Audit of process "Production of w	Internal	Production	Production Manage	12	P03.01	9001:2000 7	Finance Manager	15.08.2006	15

- As a result of filling in all fields in the «New» mode the record of audit appears in **Main Form of audits**
 - If the scheduled audit has not been performed, the field in column «**Date**» remains empty
- «**Delete**» - Deleting the record selected from the Main Form
- **Editing** mode of audit record opens by double clicking on a record in the Main Form (or pressing Enter after selecting the record)
 - Depending on place of double clicking there are opened different fields of editing mode (“Properties”, “Departments”, “Auditors”, etc.)
- “**Report/Plan**” – opens a relevant form
 - Entering the information about report of performed audit (including List of discrepancies), plan of corrective action and checking of its performance

Total delayed actions: 2

- Blinking messages to the left in left in the bottom of the Main From
 - Appears when an audit scheduled is not conducted on time or if verification of corrective actions is not carried out as planned
 - Double click onto blinking information line marks up a record of “overdue” audit/actions by red color

Audit report

Source of non-conformity Audit A12.001 Audit of production of water "Health" ▼

Audit report			
Issue date	Leader of audit group	Conclusion	Document
9/12/2005	Finance Manager	Conclusion on audit results	08.005B

- Pressing the “Report/Plan” button opens up the „Audit report” form

- The audit code and name are displayed in the corresponding window
- It is possible to select an audit record and fill out corresponding fields for different audits

- «**Audit report**»

- Scheduled date of report issuing, user – leader of audit group, conclusion on audit results and the corresponding document are defined in the grid
- A date of issuing the report can not precede a date when the audit is conducted

Non-conformities			
#	Type	Non-conformity	Description/reason of non-conformity
1	Critical	Content of toxic elements in packaged water exceeds establish	Content of cadmium in a batch of packe
2	Major	Hiring of contractual labour force was performed with violator	Contractual worker J.Smith was hired w
3	Minor	Dirty cloths of the lab staff	It was observed that a filler operator was
4	Major	Quantity of water treated did not meet production requirement	On Nov-17, 2005 filling line was idle duri

- «**Non-conformities**» - non-conformities found out during the audit are listed in the grid

- Can be filled in either by Admin, or by the user-auditor responsible for making up the audit report (defined by Admin in the form “Audit report”)

Distribution			
#	Department	User	Distribution date
1	Production	Production Manager	14/02/2005
2	Technical	All	14/02/2005

- «**Distribution**» - a list of departments and users whom will be sent an audit report to is entered, as well as the date of the report sending

- A date of distributing a report can not precede a date of making up the report

“Report/Plan” – “Action Plan”

The screenshot shows a software interface for an audit report. At the top, there is a header 'Audit report'. Below it, there is a field for 'Source of the non-conformity' with a dropdown menu showing 'Audit' and 'A12.001 Audit of process "Production of water "Health"'. Below this, there are two tabs: 'Audit report' and 'Action plan'. Below the tabs is a table with the following data:

Issue date	Responsible	Distribution date	Document
23.08.2005	Quality Manager		03.002P Record management

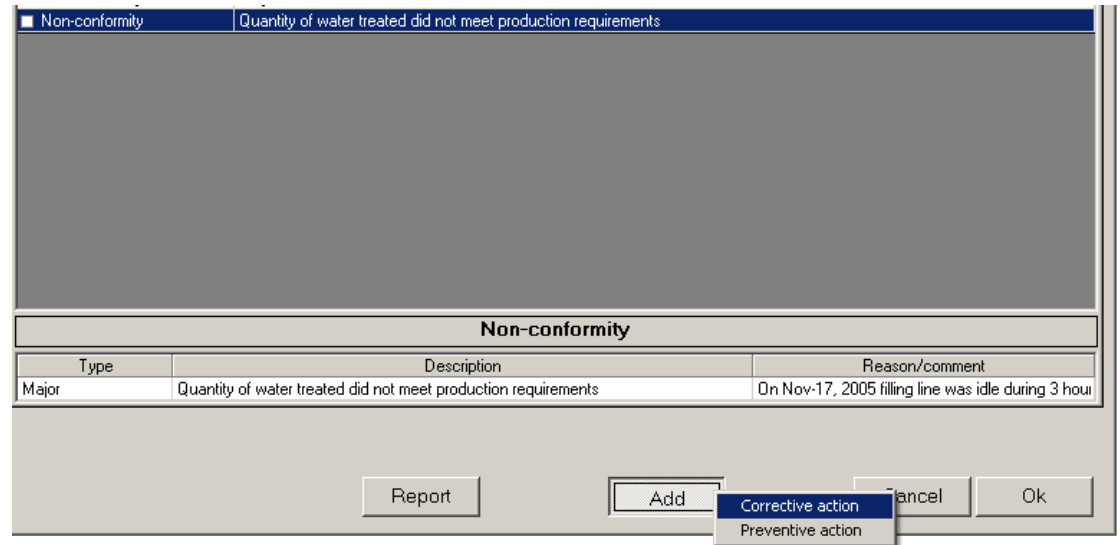
- “Add” – “Action Plan” – entering data about action plan (issue date, responsible, planned date of distribution the plan, document)
- Admin, authorized user or a user listed in the “Auditors” tab of the audit record in the Main Form can add records in this block

Actions	
Level	Name
<input checked="" type="checkbox"/> Non-conformity	Content of toxic elements in packaged water exceeds established levels
<input checked="" type="checkbox"/> Non-conformity	Hiring of contractual labour force was performed with violations
<input type="checkbox"/> Non-conformity	Dirty cloths of the lab staff
<input type="checkbox"/> Non-conformity	Quantity of water treated did not meet production requirements

- “Actions”
 - Adding records of corrective/preventive actions & reviewing the actions
 - Non-conformities entered in the “Audit report”:tab are presented in the “Actions” block and can not be deleted
 - Records of corrective and preventive actions and reviewing the action are added for each record on non-conformity

“Report/Plan” – “Action Plan”

- Adding the action:
 - Select a record of non-conformity
 - Press “Add” button
 - Select “Corrective action” (“Preventive action”) from the drop-down list



- Adding the action:
 - Right button mouse click on a record of non-conformity
 - Select “Add” option
 - Select “Corrective action” (“Preventive action”) from the drop-down list



“Report/Plan” – “Action Plan”

- For each record of the action (either corrective or preventive) the reviewing actions should be defined
- Adding the record of reviewing :
 - Select a record of action
 - Press “Add”
 - Select “Reviewing action” from the drop-down list
- Adding the record of reviewing :
 - Right button mouse click on a record of non-conformity
 - Select “Add” option
 - Select “Reviewing actions” from the drop-down list

The screenshot shows a software interface with a table of corrective actions and a table of reviewing actions.

Corrective action	Audit of process "HR procedures" to be conducted on Dec 27		
<input type="checkbox"/> Non-conformity	Dirty cloths of the lab staff		
<input type="checkbox"/> Non-conformity	Quantity of water treated did not meet production requirements		

Corrective action			
Action	Responsible	Planned date	Done?
Audit of process "HR procedures" to be conducted on Dec 27	HR Manager	24.08.2006	No

Buttons: Report, Add, Delete, Cancel, Ok, Reviewing actions

The screenshot shows a software interface with a table of non-conformity records and a context menu.

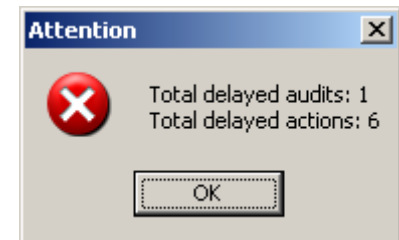
Non-conformity	Timing of contractual labour force was performed with violations	
<input type="checkbox"/> Non-conformity	Audit of process "HR procedures" to be conducted on Dec 27	
<input type="checkbox"/> Non-conformity	Dirty cloths of the lab staff	
<input type="checkbox"/> Non-conformity	Quantity of water treated did not meet p	

Context menu: Add, Reviewing actions, Delete, tements

“Report/Plan” – other functions

- Report
 - Generating the audit report and action plan documents
 - The report generated can be converted into -.doc or -.xls files
 - The converting function is available only in license mode

- The alarm message appears in the left bottom part of the Main Form if an action planned is overdue. The following actions are counted:
 - No. of audits not conducted by the planned date
 - No. of overdue corrective and preventive actions
 - No. of overdue analysis of actions
 - Double click on the alarming message opens up the window with the information on number of particular actions; the “overdue” audit record in the Main Form is painted in red



“Audits”

“Control of audits”

- Opens up after clicking the “Control of audits” button

Search	<input type="text"/>	Control of audits	Display	Report	
Type	All	Process	All	Chapter	All
Standards	All			Auditor	All
Department	All	Employee	All	<input type="radio"/> Planned date	<input type="text"/>
				<input type="radio"/> Actual date	<input type="text"/>

- **Two possible types** of operations for sorting the records:

Grouping

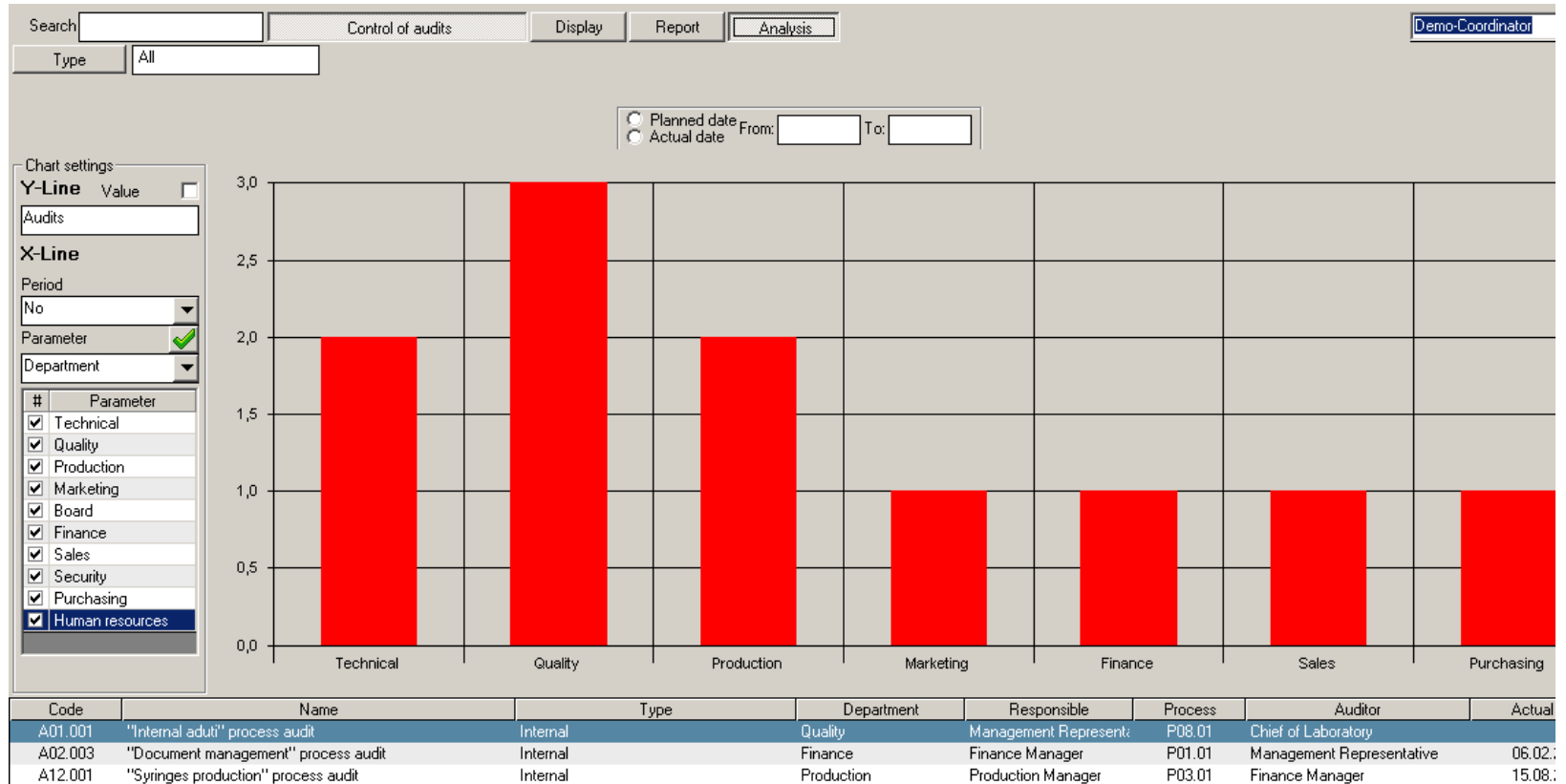
- Is performed by “clicking” the “Type” button – the button pressed “sticks”
- Result of the grouping–button «Show» - generates a list of all documents grouped by the “Type” parameter (in the audits list all audits of “External” type appear first, then - “Internal” audit records, then - “Audits of suppliers” audit records)

Filtering

- It’s performed by choosing of specified parameter value from pulldown menu when clicking on relevant area (for example, choosing of System section when clicking on “Section” field)
- Result – button “Show” – in Main Form there is formed a list of audits which object is the specified section of System
- If it’s available at least one active parameter of records filtering, the color of button “Documentation management” is changed (indicator

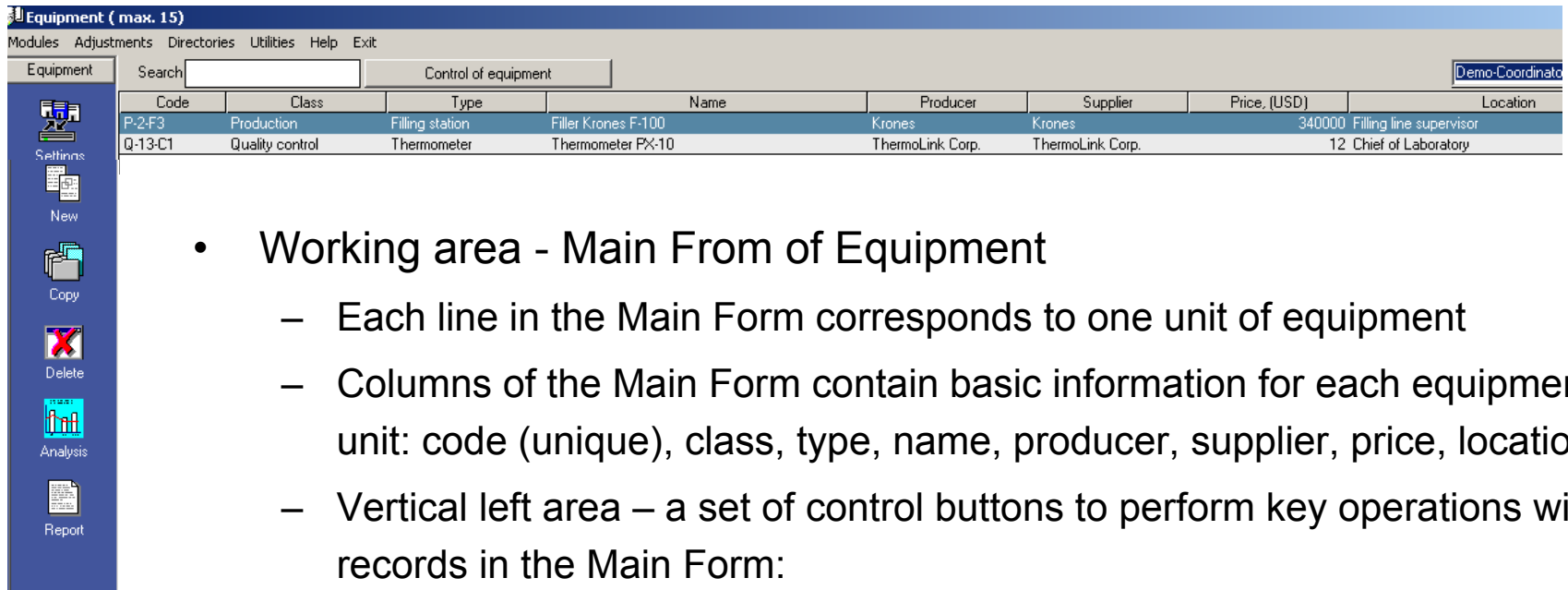
- «**Date**» - filtering the records of audits either planned or conducted on a specified date
- Simultaneous grouping and filtering records by different parameters is available:
 - Parameter «Type», value «Internal» + parameter «Department», value «Production» + parameter «Auditor», value «Administration Representative» - a list of internal audit records to be conducted by the auditor “Management Representative” in “Production” department
- “**Display**” - “**Report**” – generating the document-report reflecting the sorting results

- The mode is to present results of filtering documents records in a graphical/report way



- Analogous to the same in “[Documents](#)” module

- Establishing system for effective control over organization's equipment
 - Classification of equipment
 - Control over location of equipment
 - Planning of necessary actions with equipment
 - Control on timely carrying out of actions planned
 - Automatic monitoring and warning of responsible users about necessity to carry out actions planned



The screenshot shows a software window titled "Equipment (max. 15)". The menu bar includes "Modules", "Adjustments", "Directories", "Utilities", "Help", and "Exit". Below the menu bar, there is a search field and a "Control of equipment" button. A "Demo-Coordinate" button is visible in the top right corner. The main area contains a table with the following data:

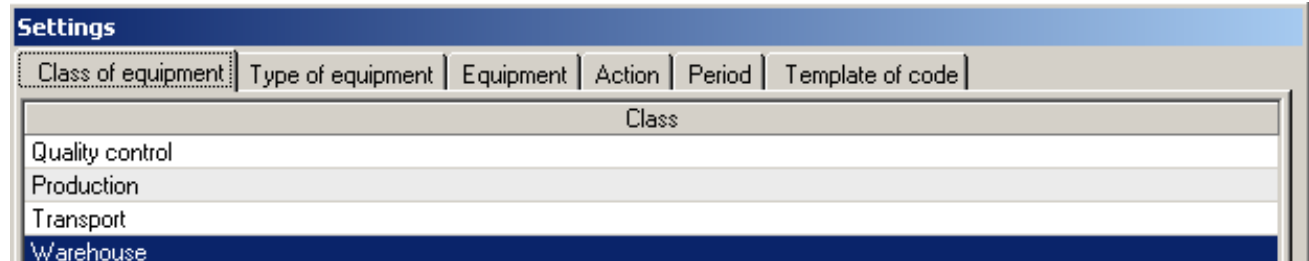
Code	Class	Type	Name	Producer	Supplier	Price, (USD)	Location
P-2-F3	Production	Filling station	Filler Kronos F-100	Kronos	Kronos	340000	Filling line supervisor
Q-13-C1	Quality control	Thermometer	Thermometer PX-10	ThermoLink Corp.	ThermoLink Corp.		12 Chief of Laboratory

On the left side, there is a vertical toolbar with icons and labels for "Settings", "New", "Copy", "Delete", "Analysis", and "Report".

- Working area - Main Form of Equipment

- Each line in the Main Form corresponds to one unit of equipment
- Columns of the Main Form contain basic information for each equipment unit: code (unique), class, type, name, producer, supplier, price, location
- Vertical left area – a set of control buttons to perform key operations with records in the Main Form:
 - “Settings” – basic settings of the equipment control system of the organization
 - “New” (adding new record of equipment in the database)
 - “Copy” (creating of necessary number of copies of the equipment record)
 - “Delete” (deleting the record of equipment from the Main Form)
 - “Report – generating a document-report summarizing all information about the unit of equipment

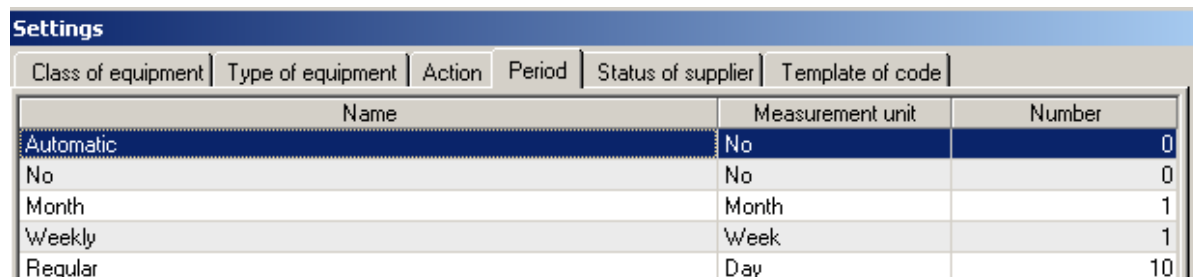
- Start of work of Admin in “Equipment” module – filling in of **all** tabs of “Settings” mode with data



The screenshot shows the 'Settings' application window with the 'Class of equipment' tab selected. The window title is 'Settings'. The tabs are: Class of equipment, Type of equipment, Equipment, Action, Period, and Template of code. The main content area is titled 'Class' and contains a list of equipment classes: Quality control, Production, Transport, and Warehouse. The 'Warehouse' class is currently selected and highlighted in blue.

Class
Quality control
Production
Transport
Warehouse

- “Class”
 - Definition of basic classes of equipment
- “Type”
 - More detailed classification of equipment
- “Equipment”
 - List of the organization’s equipment (with defined class/type)
- “Actions”
 - Listing of all records which might be carried out with equipment during its life time in the organization
- “Period”
 - Definition of periods of time for “periodical” of actions with equipment (name, unit of measurement, duration)
 - For “non-periodical” actions measurement unit is defined as “No”



The screenshot shows the 'Settings' application window with the 'Period' tab selected. The window title is 'Settings'. The tabs are: Class of equipment, Type of equipment, Action, Period, Status of supplier, and Template of code. The main content area is a table with columns: Name, Measurement unit, and Number. The table contains the following data:

Name	Measurement unit	Number
Automatic	No	0
No	No	0
Month	Month	1
Weekly	Week	1
Regular	Day	10

“Equipment”

Adding new record in database



Equipment Properties

Equipment | Location | Actions

Code of equipment: P-2-F3

Class of equipment: Production

Type of equipment: Filling station

Name of equipment: Filler Krones F-100

ID: 13-VHI-467

- **“Properties”** – information about unit of equipment is inserted in the table
 - “Class”, “Type”, “Name” – selection of appropriate values from drop-down lists (defined in “Settings” mode) or inserting new values
 - “Code”, “ID”, “Price”, “Comment” – manual typing; “Date” – selection from a calendar
 - “Producer”, “Supplier” –selection from the lists (Defined in “Directories” mode), or typing new values

Equipment Location			
Equipment Location Actions			
No.	Date	Department	User
1	03.07.2006	Production	Filling line supervisor

- **“Location”**
 - A date when the equipment is passed on under responsibility of a particular department
 - The name of department where the unit of equipment is located
 - Responsible user is defined

Equipment. Actions					
Equipment	Location	Actions			
Action	Period	Date	User	Done?	Comment
Installation	<input type="checkbox"/> No	10.07.2006	Filling line supervisor	Yes	
Maintenance	<input checked="" type="checkbox"/> Month	10.07.2006	Filling line supervisor	Yes	

- «**Actions**» - listing of the actions which are to be carried out with the unit of equipment being added
 - Actions may be periodical (“Calibration”, “Verification”, “Maintenance”) or “single-time” (“Purchasing”, “Installation”, “Repairing”), etc.
 - For periodical actions corresponding value of period is selected in the “Period” column
- There is a possibility to quickly add records of all periodical actions to be carried out during the defined period of time
 - Right mouse click on a periodical record – selection “Add the period records”
 - A plus sign appears in an empty “square” left to the period name
 - Clicking the plus opens the list of periodical actions to be carried out during the defined time (1 year for the case)

<input type="checkbox"/>	10.11.2006	Filling line supervisor
<input type="checkbox"/>	10.12.2006	Filling line supervisor
<input checked="" type="checkbox"/>	10.07.2006	Filling line supervisor

Add

Delete

Edit

Add one more record

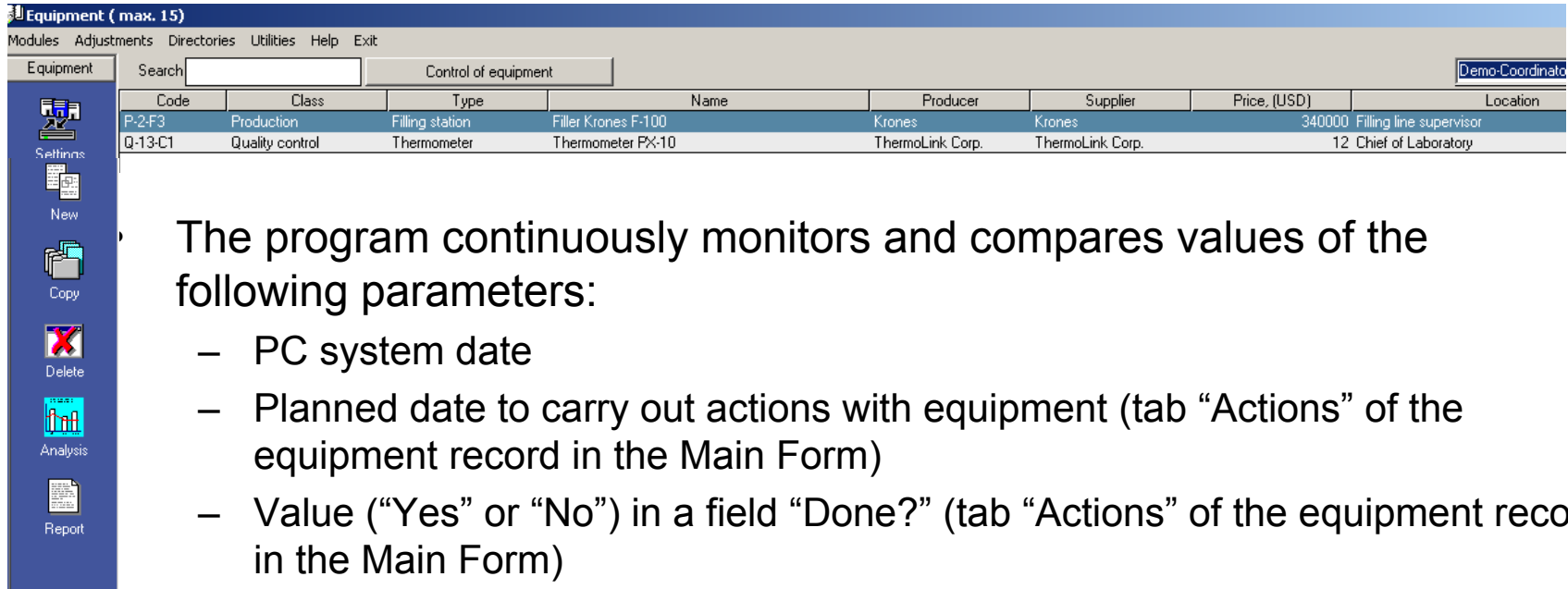
Period, years

Main Form of Equipment

Code	Class	Type	Name	Producer	Supplier	Price, (USD)	Location
P-2-F3	Production	Filling station	Filler Kronos F:100	Kronos	Kronos	340000	Filling line supervisor
Q-13-C1	Quality control	Thermometer	Thermometer PX-10	ThermoLink Corp.	ThermoLink Corp.	12	Chief of Laboratory

- After filling out all tabs in “New” mode a record of new unit of equipment appears in the Main Form of Equipment
 - **”Delete”** – deleting a selected record from the Main Form
 - To **edit** a record it should be quickly clicked twice (or Enter button to be pressed when the record to be edited is selected)
 - **“Analysis”** – the chart-building mode analogous to that in “Documents” module
 - **“Report”** – generating two reports:
 - Report on a selected unit of the equipment
 - “Register of suppliers” report
-
- In the bottom part of the Main Form there are two information messages:
 - Number of “overdue” actions with equipment
 - Total number of records of equipment added in the database
 - In the left top part of the Main Form a field **“Search”** is located
 - Click on the “Search” field – typing few symbols which may contain in a name (or code, or identified of the equipment) – pressing the Gap key – a list of equipment records which names (or codes, or identifiers) contain the typed sequence of symbols

Main Form of Equipment. Monitoring of carrying out the actions planned



The screenshot shows the 'Equipment' software interface. The title bar reads 'Equipment (max. 15)'. The menu bar includes 'Modules Adjustments Directories Utilities Help Exit'. Below the menu bar is a search field and a 'Control of equipment' button. A table displays equipment records with columns: Code, Class, Type, Name, Producer, Supplier, Price, (USD), and Location. The table contains two rows of data.

Code	Class	Type	Name	Producer	Supplier	Price, (USD)	Location
P-2-F3	Production	Filling station	Filler Kronos F-100	Kronos	Kronos	340000	Filling line supervisor
Q-13-C1	Quality control	Thermometer	Thermometer PX-10	ThermoLink Corp.	ThermoLink Corp.		12 Chief of Laboratory

On the left side of the interface, there is a vertical toolbar with icons for 'Settings', 'New', 'Copy', 'Delete', 'Analysis', and 'Report'.

The program continuously monitors and compares values of the following parameters:

- PC system date
- Planned date to carry out actions with equipment (tab “Actions” of the equipment record in the Main Form)
- Value (“Yes” or “No”) in a field “Done?” (tab “Actions” of the equipment record in the Main Form)

- If a PC system date equals or exceeds the planned date, but in the “Done?” field the value “No” is presented, in the bottom left part of the Main Form a warning message **“Total delayed actions: X”** starts blinking



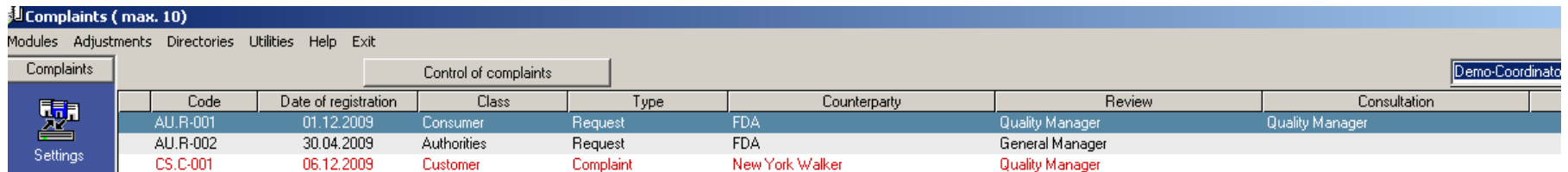
Total delayed actions: 1

- Double click on the blinking message paints overdue equipment records in red

“Complaints”

- Realization of ISO 10002:2004 requirements to dealing with customers complaints (requests). Working with “Complaints” module you could:
 - Enhance satisfaction of customers by establishing an atmosphere based on focus on customer needs, open for receiving feedbacks (including complaints), reviewing all complaints received as well as enhancing organization’s capabilities to improve its products and customer services;
 - Involve in the process top management and ensure fulfillment the obligations undertaken by means of adequate allocation and distribution of resources, including personnel training;
 - Reach acknowledging and understanding of needs and expectations of customers submitting requests and complaints;
 - Facilitate creating the open, effective and easy-to-deal-with process of treatment of complaints/requests;
 - Implement analysis and evaluation of complaints/requests in order to improve quality of products and enhance customer services;
 - Establish system of audit of the process of dealing with customers complaints;
 - Analyze efficacy and effectiveness of the process of dealing with customers complaints

“Complaints”



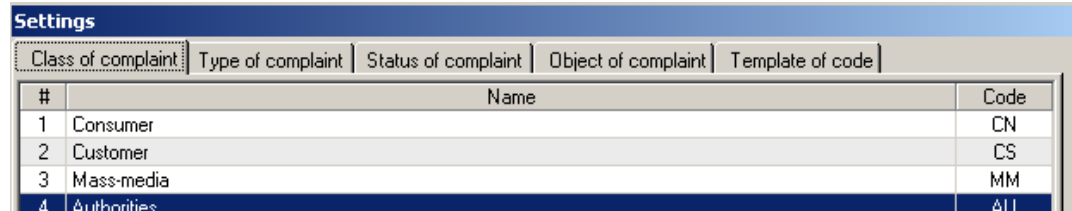
Code	Date of registration	Class	Type	Counterparty	Review	Consultation
AU.R-001	01.12.2009	Consumer	Request	FDA	Quality Manager	Quality Manager
AU.R-002	30.04.2009	Authorities	Request	FDA	General Manager	
CS.C-001	06.12.2009	Customer	Complaint	New York Walker	Quality Manager	

- Working area – Main Form of complaints
 - Each line in the Main Form corresponds one complaint (request) received and registered in the organization
 - Columns of the Main Form contains info on basic features of the request (complaint) registered: unique code, registration date, class/type/status of the request, who reviewed (“Review”) and who consulted the review of the complaint (“Consultation”), mark of closing the complaint (“Done?”), actual date of closing the complaint
 - Vertical left area – command icons of basic operations with a request record:
 - “**Settings**” – classification of requests accepted in an organization’s management system
 - “**Basics**” – information of general character required by ISO 10002:2004 for any organization developing customers requests/complaints management system
 - “**New**” – registration of a new complaint (request)
 - “**Delete**” – deleting the complaint/requests from the database
 - “**Review**” – mode containing all information on the process of dealing with the complaint/request
 - “**Analysis**” – chart-building mode analogous to that in “Documents” module
 - “**Report**” – document-report summarizing all information on (history of) the particular complaint/request

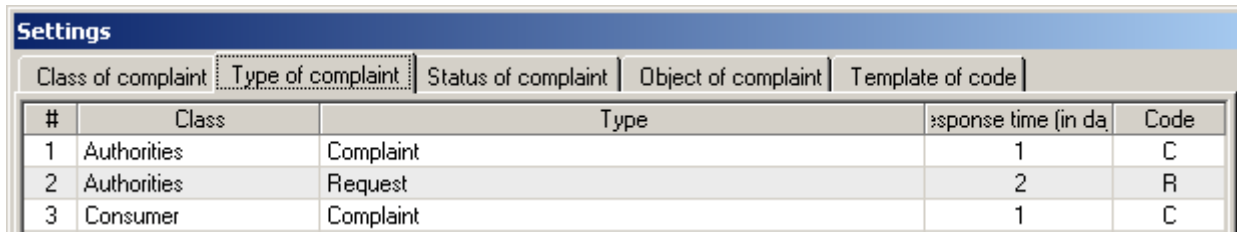
Work in the “complaints” module starts from the filling in the forms in “Settings” mode

- Basic classification (class, type, status, object) is defined in the mode’s tabs

- “**Class**” – names of complaints classes (e.g., Customer, Consumer, etc.)
 - “Code” – the class’ code will be used in Template of Code mode



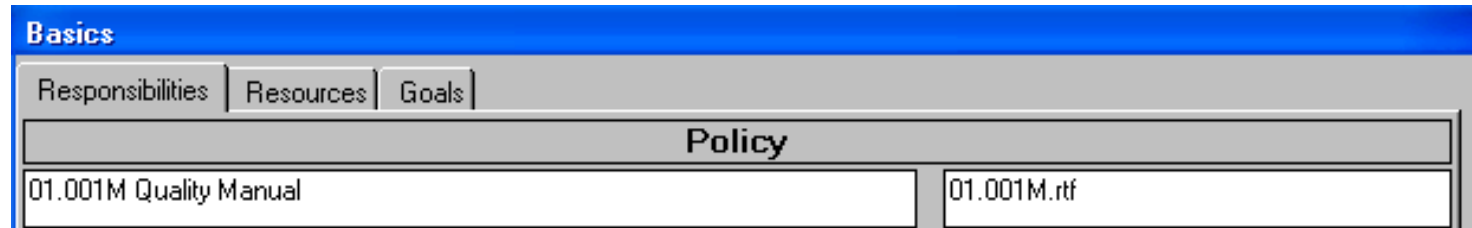
#	Name	Code
1	Consumer	CN
2	Customer	CS
3	Mass-media	MM
4	Authorities	AA



#	Class	Type	Response time (in days)	Code
1	Authorities	Complaint	1	C
2	Authorities	Request	2	R
3	Consumer	Complaint	1	C

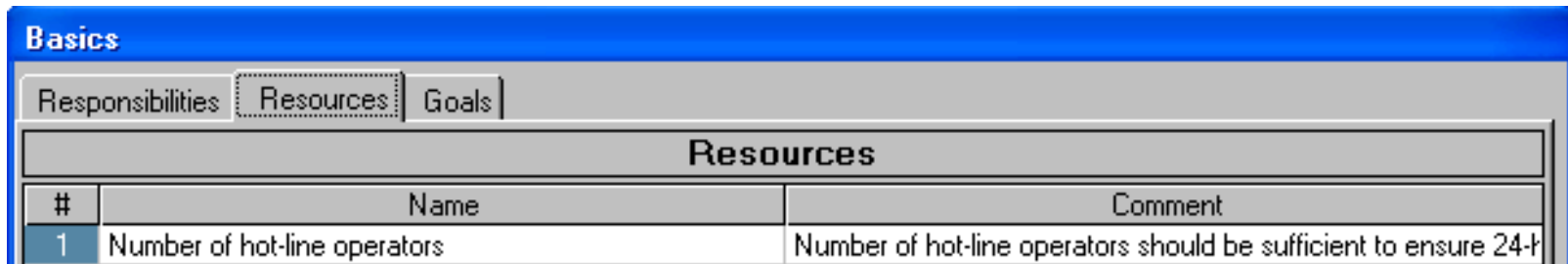
- “**Type**” – for each class of requests corresponding types are defined
 - “Code” – the types codes will be used in Template of Code mode
 - “Respond time” – time for respond for each type of request is defined (in days)
- “**Status**”, “**Object**” - lists of names of complaints status and objects are presented

Contains information required by ch. 5 (“Basic principles of organization of complaints management”) and 6 (“Planning and projecting”) of ISO 10002:2004



Policy	
01.001M Quality Manual	01.001M.rtf

- **“Responsibilities”**
 - “Policy” (Ch. 5.2. ISO 1002:2004) – a document containing “clear policy in the area of dealing with complaints based on customer focus”
 - “Process” (5.3.1) – the process (selected from list of processes entered in the database (“Processes” module), describing dealing with complaints procedures
 - “Responsibility” (5.3) – description of responsibilities and authorities of management/employees of the organization involved in the process of dealing with complaints
 - “Documents” – list of relevant documents (selected from the list of documents entered in the database in the “Documents” module)



Resources		
#	Name	Comment
1	Number of hot-line operators	Number of hot-line operators should be sufficient to ensure 24-h

- “Resources” tab (par. 6.4 ISO 10002:2004) makes users able to:
 - **Define** resources required for successful running the process of dealing with complaints
 - **Determine** amount of resources required for smooth running the process
 - **Organize** monitoring of allocation of the resources planned
- “Resources” grid:
 - Name of resource is entered, necessary comments are added
- “Required resources” grid: **evaluation** of need in resources
 - For each resource (listed in “Resources” grid) required amount of the resource and allocation date are defined
- “Allocation of resources” – **analysis** of actual allocation of the resources required
 - For each required amount of resource (listed in “Required resources” grid) a date of analysis, actual allocated amount of the resource, comment (if necessary) are defined
- **Report** – generating of a document-report summarizing the information in the tab



Basics		
Responsibilities Resources Goals		
Goals		
#	Name	Comment
1	Time for consideration of complains	Must meet the parameters defined in the procedure "Dealing w

- “Goals” tab (par. 6.2 ISO 10002:2004) makes users able to:
 - **Define goals** of the process of dealing with complaints
 - **Determine planned parameters** for each goal defined
 - **Organize monitoring** of achieving the planned parameters
- “Goals” – goals of the process and comments (if necessary) are defined (“Add” – “Add target”)
- “Planned results” – determination of planned parameters for each goals (incl. quantitative ones)
 - For each goal (listed in the “Goals” grid) the target parameter and planned date of its achieving are added
- “Monitoring of results achieved”
 - For each result planned in the “Planned results” grid the date of monitoring of the results achieved, actual result achieved, the conclusion (the goal is achieved or not) are entered
 - If the result planned is not achieved a comment (corrective action) has to be entered
- “Report” – generating of a document-report summarizing the information in the tab

1. Complaint Registration

1. Performed by a user authorized to enter records in “Complaints” module – “user-registrar”
 - The main task of the user-registrar is to register the complaint (“New” mode, “Registration” form)

2. Complain Review

- Performed by the user who is responsible for the dealing with the complaint as a whole (so called “primary responsible user”)
- The primary responsible user is appointed at the complaint registration stage by a user-registrar (grid “Distribution” form “Registration”)

3. Complaint Consulting

- Performed by other users (“secondary responsible users”) which are engaged in the process of review if the complaint by “primary responsible users” (“Review” grid)
- Can be omitted if a “primary responsible user” can close the complaint without engaging other users in the review process

4. Complaint closing

- Performed by “primary responsible user” (column “Done?” grid “Review” form “Review”)

- Registration of complaint (request)
 - Performed by user authorized to add records in “complaints” module (user-registrar)
 - User-registrar can add records in “New” mode, but can not change records in all other modes
 - User-registrar can not delete any record from the database (including those which he added)
- User-registrar should:
 - Fill out as many as possible fields in the “Registration” form
 - Define **one** “primary responsible user” (grid “Distribution) who will be fully accountable for dealing with the complaint in the future
- User-registrar can:
 - Provide a customer who placed a request (complaint) basic information on the request (complaint) and describe this info in the field “Respond” (“Registration” form)
 - Depends on the particular request and responsibilities accepted in the management system of the organization



Registration : Coordinator

Properties Letters

Code of complaint	Class of complaint	Type of complaint	Status of complaint
CN.R-001	Consumer	Request	Closed
Date of registration	Planned date to respond	Counterparty	
01.12.2009	04.12.2009	FDA	

Object

Object	Comment	File
Quality of package	Residue of plastic is found in a closed PET-bottle	

- **“Code”** – unique code is to be assigned to each request being registered
- **“Class”, “Type”, “Status”** – selection of appropriate values from the lists (filled in in the “Settings” mode)
- **“Date of registration”** – current PC date is entered automatically
- **“Planned date to respond”** – defined by the software by adding number of days to respond (“Settings” – “Type”) to the date of registration of the request
- **“Object”** – list of complaint’s objects; a file reference could be determined
- **“Responded?”** – value “Yes” is selected if a user-registrar already provided a customer with a basic information in respond to his/her request/complaint
 - The information provided to the customer is entered in **“Feedback”** form
- **“Letters”** – records of letters (added in the database in Letters module) which are associated with the complaint could be determined if needed



Description	Requirement	Actions
To respond? Yes ▼	Feedback	
Distribution		
Department	Responsible for complaint	Distribution date
Quality	Quality Manager	03.12.2009

- “Description”, “Requirements”, “Actions”, “Feedback” - adding additional pieces of information about the complaint registered
- “Distribution” – determination of a “primary responsible user”, who will be accountable for further proceeding with the request/complaint registered
 - Only one user can be appointed as a primary responsible user
 - Only the user appointed will have an access to full information on the complaint/request being registered



Dealing with the complaint/request registered

The form consists of two grids – “Review” and “Consultation”

Responsible for complaint: Quality Manager						
Review						
No	Code	Status	Planned date	Comment	Done?	Actual date
1	AU.R-001	Closed	04 12 2009	Request redirected to Chief of Laboratory	Yes	05.12.2009

- “**Review**” grid – contains a list of complaints directed to the user for review/closing
 - “Code”, “Status”, “Planned date” – transfer of corresponding data from the “Registration” mode
- “Primary responsible user” can get familiarized with all information about the complaint entered during the complaint registration by pressing “Registration” button
 - “Primary responsible user” can change any value in fields of the “Registration” form except code, registration date and planned date to respond
- Closing the complaint by primary responsible user
 - If the “primary responsible user” supposes that the respond given by a user-registrar is sufficient to satisfy a customer, he/she “closes” the complaint by selecting value “Yes” in the field “Done?”, and defines an actual date of “closing” the complaint
 - If the “primary responsible user” supposes that he/she can close the complaint by him/herself, he enters necessary information in “Comment” field, selects “Yes” value in “Done?” filed and defines the date of closing the complaint
- If “primary responsible user” needs help from other users to close the complaint, he/she shares the complaint with other users for consulting (grid “**Consultation**”)



Dealing with the complaint/request registered

Consultation					
#	Planned date	Responsible	Done?	Actual date	Comment
1	11/4/2005	Filling line supervisor	No		

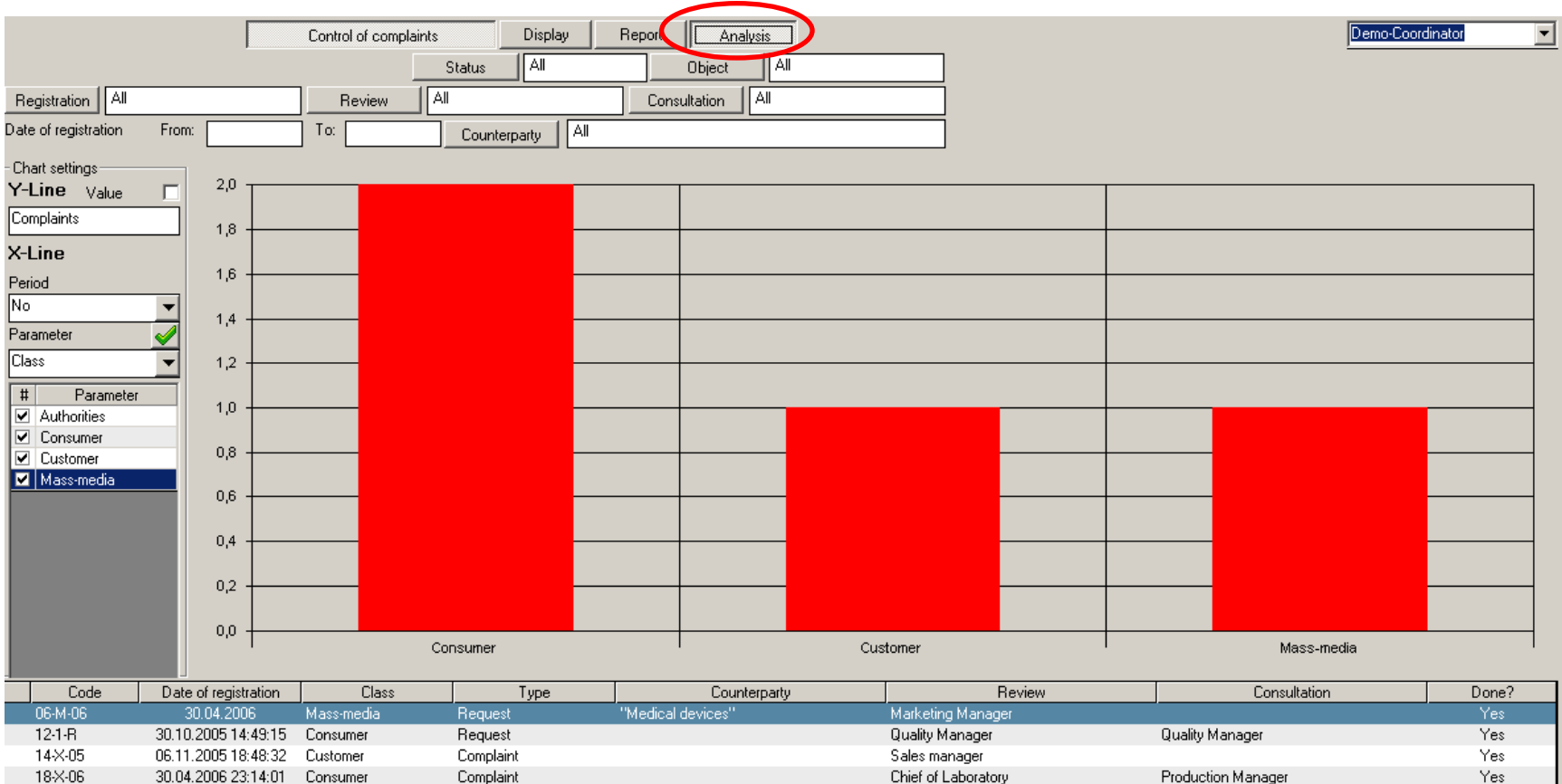
- To involve other users in the process of the complaint reviewing (if such involvement is necessary), “primary responsible user” defines these users (so called “secondary responsible users”) in field “Responsible” (grid “Consultation”). Thus the users
 - Get full access to the complaint info on their working stations
 - Can add comments in the column “Comment” (grid “Consultation”) that will be available to primary responsible users
- Date in the “Planned date” (grid “Consultation”) is defined by primary responsible user and presents a target date for secondary users to provide the primary responsible user with the info requested
- “Actual date” (grid “Consultation”) is defined by the secondary responsible user – this is an actual date of providing the information requested (entering it in the “Comment” field)
- After entering the requested information in “Comments” field the “secondary responsible user” selects the value “Yes” in the field “Done?” and defines the date of providing the information (field “Actual date”, grid “Consultation”)

Notification about overdue complaints

- The blinking red message appears in the bottom right part of the Main Form of complaints
- Click on the square nearby or quick double click on the message paints records of overdue complaints in red
- The message appears when:
 - There is a value “No” in the field “Done?” (grid “Review”, form “Review”)
 - Current date of PC becomes later then the planned date of respond (grid “Review”)
- The message appears in interfaces of the following users:
 - Primary responsible users:
 - Current PC date exceeds the planned date of respond (grid “Review”), and
 - There is a value “No” in the field “Done?” (grid “Review”)
 - Secondary responsible users:
 - Current PC date exceeds the planned date of providing the feedback to a primary responsible user (grid “Consultation”), and
 - There is a value “No” in the field “Done?” (grid “Consultation”)

Overdue complains : 1 

- The mode is to present results of filtering documents records in a graphical/report way



- Analogous to the same in “[Documents](#)” module

- Realization of requirements of ISO 9001:2008 (Ch.8.5.1, Ch. 5.6) to management review and continual improvement
- By means of “Nonconformities” module you could:
 - Develop a system for classification of nonconformities
 - Define criteria for the quantitative evaluation of nonconformities
 - Organize registration of nonconformities and effective control over their elimination
 - Carry out **comparative analysis of nonconformities**
 - Perform **quantitative analysis of effectiveness** of implementation and functioning of the management system
 - Present results of analysis in the most suitable (graphic, charts, incl. Pareto chart) form for management review and decision making

“Non-conformities”

Code	Date	Non-conformity type	Non-conformity	Department	Corrected?	Reason/comment
1	15.08.2005	Major	Firing of contractual labour force was performed with violations	HR	Yes	Contractual worker J.Smith was fired without 2 month
12	06.11.2005	Major	Product ordered was not delivered to a customer	Sales	Yes	The customer complains on missing delivery of prod
13	26.02.2006	Minor	Conditions of water treatment equipement is out of order (leaking valv	Production	No	Due to leaking valves treated water was spread on
18	26.02.2006	Minor	Capping heads of the capper are out of order	Production	Yes	The non-conformity was found during on-premise vis
20	15.08.2006	Major	Hiring of contractual labour force was performed with violations	HR	Yes	Capping heads 2, 3 and 17 are improperly regulated
21	15.08.2006	Minor	Dirty cloths of the lab staff	Quality	Yes	Contractual worker J.Smith was hired without having
22	15.08.2006	Major	Quantity of water treated did not meet production requirements	Production	No	It was observed that a filler operator was in a dirty c.

- Central area of the screen is so called Main Form of non-conformities
 - Each line (record) in the Form corresponds one non-conformity found out in a management system
 - The record consists of a few fields that contain information on basic parameters of a non-conformity: code (unique one), date of registration, type, name, source, type of customer requirements, business-process (that the non-conformity affects), department (in which activities the non-conformity is registered), standard and document (which requirements the non-conformity breaks)

“Non-conformities”

Code	Date	Non-conformity type	Non-conformity	Department	Corrected?	Reason/comment
1	15.08.2005	Major	Firing of contractual labour force was performed with violations	HR	Yes	Contractual worker J.Smith was fired without 2 months notice
12	06.11.2005	Major	Product ordered was not delivered to a customer	Sales	Yes	The customer complains on missing delivery of product
13	26.02.2006	Minor	Conditions of water treatment equipment is out of order (leaking valves)	Production	No	Due to leaking valves treated water was spread on premises
18	26.02.2006	Minor	Capping heads of the capper are out of order	Production	Yes	The non-conformity was found during on-premise visit
20	15.08.2006	Major	Hiring of contractual labour force was performed with violations	HR	Yes	Capping heads 2, 3 and 17 are improperly regulated
21	15.08.2006	Minor	Dirty cloths of the lab staff	Quality	Yes	Contractual worker J.Smith was hired without having necessary qualifications
22	15.08.2006	Major	Quantity of water treated did not meet production requirements	Production	No	It was observed that a filler operator was in a dirty condition

- Vertical left area contains command buttons for basic operations with record(s)
 - “**Settings**” – classification of non-conformities (including the quantitative one)
 - “**Database**” – a list of names of non-conformities linked to type of customer requirements
 - “**New**” - adding a new record of non-conformity in the Main Form)
 - “**Delete**” - deleting a record from the Main Form)
 - “**Analysis**” - a mode for quantitative analysis of non-conformities and presenting the information in graphical (chart) view)
 - “**Report**” – generating a document-report that summarizes all information related to the particular non-conformity

“Non-conformities”

Non-conformities (max. 15)

Modules Adjustments Directories Utilities Help Exit

Non-conformities

Code	Date
1	15.08.2005
12	06.11.2005
13	26.02.2006
18	26.02.2006
20	15.08.2006
21	15.08.2006
22	15.08.2006

Field chooser

Hidden columns

#	Parameter
1	Source
2	Type of customer's requirements
3	Customer's requirement
4	Process
5	Standard

Visible columns

#	Parameter
1	Date
2	Non-conformity type
3	Non-conformity
4	Department
5	Corrected?
6	Reason/comment

Default configuration Cancel OK

Reason/comment

J. Smith was fired without 2 months notice on missing delivery of products treated water was spread on ground was found during on-premise visit and 17 are improperly regulated. J. Smith was hired without having a license at a filler operator was in a dirty c...

- “Adjustments” – “Interface” – “Field chooser” – selection for visible/hidden columns in the Main Form
- Columns in **blue** (Date) can not be hidden

“Settings”. Quantitative evaluation of non-conformities

- Two quantitative parameters of a non-conformity are defined:
 - “severity” (in %) – is determined with the type of customer requirements which a non-conformity is assigned to
 - “weight” (in conditional “grades”) determined by a type of the non-conformity (the more “severe” the type the higher the “weight”)
- “Severity”
 - A share (in %) assigned to each type of customer requirements
 - Assumptions:
 - A sum of “severity shares” of all types of customer requirements of is equal to 100% (i.e., to have fully satisfied customers all their requirements must be met)
 - Types of customer requirements are “ranged” – the requirements which **must** be met are ranged higher, the requirements which meeting is “nice to have” are ranged lower (e.g., the type of customer requirement “safety” is assigned 20% “severity” whereas the type “quantity” is assigned 10% severity)
- “Weight” of a non-conformity is determined with the belonging of the non-conformity to a particular type of non-conformity
 - The more “severe” the consequences of a non-conformity of the particular type the higher its “weight”
- At the end of the day for each non-conformity the “total weight” is calculated (equal to product of its “weight” (in grades) and “severity” (in %))
 - The “total weight” is the quantitative parameter that defines a “degree of severity” of the particular non-conformity

Work in the “Non-conformities” module starts from the filling out the tabs in “Settings” mode

Settings	
Type of customer's requirements	Customer's requirement Type of non-conformity Source of non-conformity
Type of customer's requirements	Severity, %
Legality	20
Safety	20
Quality	20
Quantity	20
Timeliness	20
Total	100

- Column “Type of customer requirements” – records are transferred from the “Type of customer requirements” (“Settings” mode, “Processes” module)
 - “Add” – adding new records in the list
- Column “Severity, %” - a **quantitative** parameter to evaluate “severity” of a non-conformity is defined
 - A particular “share” is assigned to each type of customer requirement (in % of total share equal to 100%)

Settings	
Type of customer's requirements	Customer's requirement
Type of non-conformity	Source of non-conformity
Type of customer's requirements	Name
Legality	The output should meet all legal requirements
Safety	The output should be safe for its customer
Quality	The output should meet all quality requirements

“Customer’s requirements”

- Records are transferred from the analogous tab (“Settings”mode – “Processes” module)
 - Each customer’s requirement is linked to a type of customer requirements
 - “Add” – adding new records of customer requirement

Settings			
Type of customer's requirements	Customer's requirement	Type of non-conformity	Source of non-conformity
Type of non-conformity	Comment	Weight, points	
Critical	Must be corrected during the audit; immediate informing of GM	50	
Major	CAP to be raised	30	
Minor	Can be corrected during the audit without raising the CAP	5	

“Type of non-conformity”

- Records in the columns “Type of non-conformity” and “Comment” are transferred from the analogous columns of the tab (“Audits” – “Settings”)
 - “Add” button – adding new records in the list
- Weight, points – quantitative evaluation of a “severity” non-conformity falling into the selected type/category (see further)

Settings			
Type of customer's requirements	Customer's requirement	Type of non-conformity	Source of non-conformity
Name			
			Audits
			Complaints
			Working practices

“Source of non-conformities”

- Possible sources of non-conformities are defined in the table
- Sources “Audits” and “Complaints” are fixed (can not be changed/deleted)
- Records of other sources (e.g., “Working practices”) – can be added/changed/deleted

“Non-conformities” – quantitative evaluation of the non-conformity

- Two quantitative parameters of a non-conformity are defined:
 - “severity” (in %) – is determined with the type of customer requirements which a non-conformity is assigned to
 - “weight” (in conditional “grades”) determined by a type of the non-conformity (the more “severe” the type the higher the “weight”)
- “Severity”
 - A share (in %) assigned to each type of customer requirements
 - Assumptions:
 - A sum of “severity shares” of all types of customer requirements of is equal to 100% (i.e., to have fully satisfied customers all their requirements must be met)
 - Types of customer requirements are “ranged” – the requirements which **must** be met are ranged higher, the requirements which meeting is “nice to have” are ranged lower (e.g., the type of customer requirement “safety” is assigned 20% “severity” whereas the type “quantity” is assigned 10% severity)
- “Weight” of a non-conformity is determined with the belonging of the non-conformity to a particular type of non-conformity
 - The more “severe” the consequences of a non-conformity of the particular type the higher its “weight”
- At the end of the day for each non-conformity the “total weight” is calculated (equal to product of its “weight” (in grades) and “severity” (in %))
 - The “total weight” is the quantitative parameter that defines a “degree of severity” of the particular non-conformity

“Non-conformities” – quantitative evaluation of a non-conformity

- Example: demo-version database
- Depending on a type of customer requirements and a type of non-conformity the non-conformity is falling down in a cell of the matrix below

Type of non-conformity - weight (scores) →	<u>Critical</u> 50	<u>Major</u> 20	<u>Minor</u> 5
Type of customer requirements – severity, % ↓			
Legality 20%	<u>10</u>	<u>4</u>	<u>1</u>
Safety 20%	<u>10</u>	<u>4</u>	<u>1</u>
Quality 10%	<u>5</u>	<u>2</u>	<u>0,5</u>
Quantity 10%	<u>5</u>	<u>2</u>	<u>0,5</u>
Price 10%	<u>5</u>	<u>2</u>	<u>0,5</u>
Timeliness 10%	<u>5</u>	<u>2</u>	<u>0,5</u>
Efficiency 10%	<u>5</u>	<u>2</u>	<u>0,5</u>

- Non-conformities of the same type might have different “total weight”
- Non-conformities of the same type of customer requirement might have different “total weight”

Main target of work in this mode – non-conformities names listing

Database		
Type of customer's requirements	Customer's requirement	Non-conformities
Type of customer's requirements	Customer's requirement	Description of non-conformity
Legality	Labour regulations requirements	Firing of contractual labour force was performed with violations
Legality	Labour regulations requirements	Firing of regular labour force was performed with violations
Legality	Labour regulations requirements	Hiring of contractual labour force was performed with violations
Legality	Labour regulations requirements	Hiring of regular labour force was performed with violations
Safety	Chemical contamination of	Chlorine content in treated water is out-of-specs

- Records in columns “Type of customer requirement” and “Customer requirements” are transferred from corresponding tabs of “Process” – “Settings” mode
 - “**Add**” button – new record in tabs “Type of customers requirements” and “Customer’s requirements” can be added
- “Non-conformities” – each non-conformity added is linked to a combination “Type of customer requirement” – “Customer requirement”
 - Adding new non-conformity – “**Add**” button
- Afterwards names list nonconformities added in the tab will be used as the source of nonconformities names when the nonconformity is added in the Main Form of nonconformities
 - When a new non-conformity is added in the Main Form, the new name of the nonconformity may be typed – for the case a name is added in the tab “Database” - “Non-conformities”

Adding a new nonconformity in the database

- Depending on a source of non-conformity two different approaches are developed to add a record of non-conformity in the Main Form
 - 1 – adding non-conformities of “Audits” source
 - 2 – adding non-conformities of “Non-audits” source (“Complaints”, others)
- Adding a non-conformity of “Audits” source
 - Assumption: Non-conformities of the “Audits” type are found during audits, so the non-conformity is added in the “Audit” module
 - As soon as the non-conformity record is added in the “Audit” – “Report/Plan” - “Audit report” tab it is **automatically** transferred in the Main Form of non-conformities
- Adding a non-conformity of any other “non-Audits” source (Complaints, Observations ,etc.)
 - Pressing “New” button in the Main Form

Adding non-conformities (“Audits” source) – “Registration” form

The screenshot shows a software window titled "Registration : Coordinator" with several tabs: Properties, Departments, Processes, Standards, and Documents. The "Properties" tab is active. The form contains the following fields and sections:

- Type of customer's requirements:** Legality (dropdown), Customer's requirement: Labour regulations requirements should be met (text), Severity, %: 25 (text).
- Non-conformity type:** Major (dropdown), Non-conformity: Firing of contractual labour force was performed with violations (text), Weight, points: 30 (text).
- Source of the non-conformity:** Audits (dropdown), Total weight, points: 8 (text).
- Audit type:** Internal (dropdown), Audit: A12.001 Audit of process "Production of water "Health" (text), Date: 15.08.2005 (text), Audit report: I.R. 8-001 (text) with a file icon.
- Reason/comment:** Contractual worker J.Smith was fired without 2 months prior notification. (text).
- Actions:** Done? No (checkbox), Planned date: (text), Actions: (button).
- Reviewing actions:** Done? No (checkbox), Reviewing date: (text).

At the bottom of the window are buttons for Report, Audit, Cancel, and Ok.

After adding a non-conformity record in Audit module the record is getting displayed into Main Form of “Non-conformities” with the following fields filled out;

- “Audit type”
- “Audit” - name and date of the report
- “Audit report” (file if exists)
- “Type of customer’s requirements”
- “Customer’s requirement”
- “Non-conformity type”
- “Non-conformity” (name)

- **“Actions”/“Reviewing actions”** – summary about carrying out planned actions is presented
- **“Actions”** – opening the “Action Plan” form
- **“Audit”** – opening the form of the audit-source
- **“Report”**- generating the report on the non-conformity

Adding non-conformities (“Audits” source) – other tabs

Registration : Coordinator

Properties	Departments	Processes	Standards	Documents
#	Department	User		
1	Human resources	HR Manager		

Registration : Coordinator

Properties	Departments	Processes	Standards	Documents
#	Code	Name		
1	P03.01	Production of water "Health"		

Registration : Coordinator

Properties	Departments	Processes	Standards	Documents
#	Standards	Chapter	Name	
1	9001:2000	6.2	Human resources	

Registration : Coordinator

Properties	Departments	Processes	Standards	Documents
#	Code	Name	Comment	

- In other tabs of the mode (“Departments”, “Processes”, “Standards”, “Documents”) Admin (authorized users) enters corresponding records as appropriate

Adding non-conformities (“Complaints” source) – “Registration”



New

- Press “New” button
- In “Registration” form select “Complaints” source of non-conformity
- Select values for:
 - Class of the complaint
 - Type of the complaint
 - “Type of customer’s requirements”
 - “Customer’s requirement”
 - “Type of non-conformity”
 - “Non-conformity”
- “Date” field – a system PC date of non-conformity is displayed

- “Complaint” – opening the Registration form of the complaint-source
- “Report” – generating a report on the non-conformity

Adding non-conformities (other sources) – “Registration”



New

Adding a non-conformity of source different from “Audits” or “Complaints”, is carried out by pressing a “New” button

In the opening form “Registration” appropriate values are selected from the following drop-down lists:

- Type of customer requirement
- Customer requirement
- Non-conformity (name) – selection from the list or typing new nonconformity name
- Type of non-conformity

Registration : Coordinator

Properties | Departments | Processes | Standards | Documents

Type of customer's requirements	Customer's requirement	Gravity, %
Quality	Quality of service meets prescribed requirements	15
Non-conformity type	Non-conformity	Weight, points
Minor	Conditions of water treatment equipment is out of order (leaking val'	5
Source of the non-conformity	Working practices	Total weight, points
		1
		Date
		26.02.2006

Correction of the non-conformity

Done? No

Planned date

Checking of execution of actions

Done? No

Date

Report | Comment | Cancel | Ok

- **“Date”** – system PC date is fixed in the field
- **“Actions”** – **“Corrective actions”/“Preventive actions”** – adding corresponding information in a form
- **“Correction of non-conformity”/“Checking of execution”**
 - “Planned date” field – the date is transferred from “Non-conformities” grid (“Report/Plan” mode, “Audits” module)
 - “Corrected?” – by selecting “Yes”/“No” value in the field Admin confirms a fact of correction of the non-conformity
 - “Planned date” – a date of correcting the non-conformity
- **“Comment”** – necessary additional information on the non-conformity may be added in the opening form

- Upon pressing the button “Control of non-conformities” the corresponding mode is activated

	Analysis	Control of non-conformities	Display	Report
Type of non-conformity	All	Source of non-conformity	All	Corrected? All
Requirement	All	All	Standard All	All
Process	All	Department All	From: 01/03/2005	To: 01/03/2006

- **Filtering** of records – quick “filtering” of necessary records from database by selected parameterb(s)
 - Carried out by selecting particular value of a (few) parameter(s) from drop-down list appearing after click of a field near the button with the parameter’s name (e.g., selection of “Critical” value from the list of type of nonconformities)
 - Result of selection is displayed after pressing the “Display!” button – list of non-conformities of “Critical” type in a Main Form
 - “By default” value “All” is displayed in fields of all parameters; if one value is “Not “All””, a color of the button “Control of non-conformities” is changed (from grey to turquoise)
 - Filtering of records by as many as necessary parameters is possible
 - **“Report”** button – generating a document-report listing results of records filtering

Records filtering - examples

- “Critical” non-conformities, found out in the “Technical” department for the whole period of observations
- List of non-conformities breaking the “Safety” type of customer requirements which are sourced from “Complaints” for the whole organization since Jan-1, 2005
- List of all nonconformities found in running the “Production of bottled water” process in 2005
- List of all non-corrected non-conformities breaking the requirements of HACCP (ISO 22000:2005) standard found out during audits for the whole time of observations

	Analysis	Control of non-conformities	Display	Report
Type of non-conformity	Critical	Source of non-conformity	All	Corrected? All
Requirement	All	All	Standard All	All
Process	All	Department Technical	From:	To:

	Analysis	Control of non-conformities	Display	Report
Type of non-conformity	All	Source of non-conformity	All	Corrected? All
Requirement	Safety	All	Standard All	All
Process	All	Department Technical	From: 01/01/2005	To:

	Analysis	Control of non-conformities	Display	Report
Type of non-conformity	All	Source of non-conformity	All	Corrected? All
Requirement	All	All	Standard All	All
Process	P03.01	Department All	From: 01/01/2005	To: 01/01/2006

	Analysis	Control of non-conformities	Display	Report
Type of non-conformity	All	Source of non-conformity	Audits	Corrected? No
Requirement	All	All	Standard HACCP	All
Process	All	Department All	From:	To:

Analysis of nonconformities

- The function is intended for quantitative comparison/**analysis** of non-conformities
- A tool to perform **quantitative analysis of effectiveness** of implementation/functioning the management system
- Results of analysis can be presented in a graphical way
 - Diagrams
 - Pareto charts
- Correspondence between either No. of non-conformancies or their total „weight” (axe Y) measured versus and selected parameters (axe X) is analysed

Chart settings

Y-Line Value

Non-conformities, No.

X-Line

Period

No

Parameter

Department

All

Pareto chart

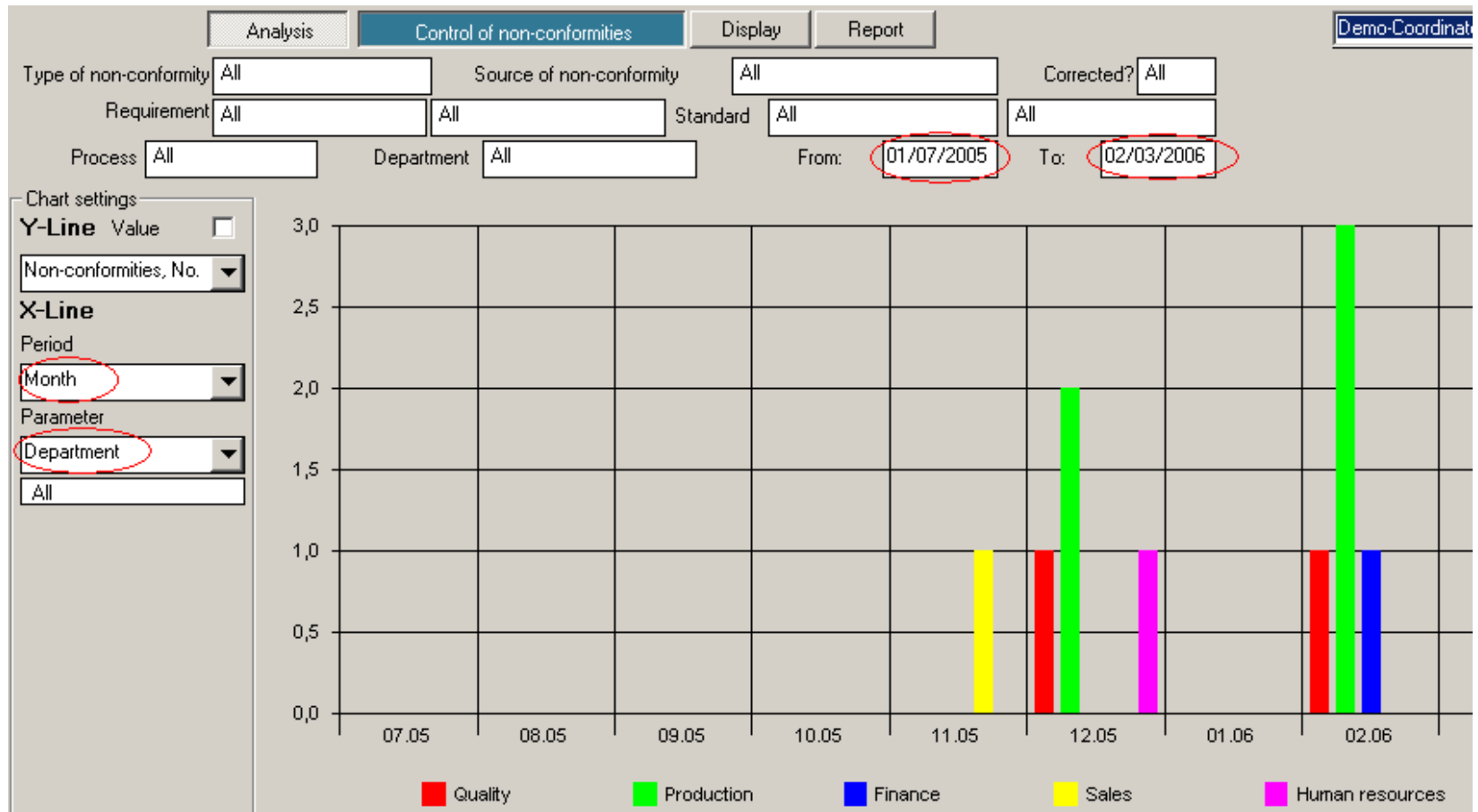
- Selection of parameters is carried out in „Chart settings”
- Y axe – selection from 2 possible values:
 - Total No. Of non-conformities
 - „Total weight” of nonc-conformities
- X axe - selection of combination of „timimng” and „parametrical” values
 - „Period” – selection of a time interval for which the analysis of nonconformities will be carried out (possible intervals - „Week”, „Month”, „Quarter”, „Half a year”, „Year”)
 - „Parameter” – selection of non-timing parameter to filter the non-conformity („Type of non-conformity”, „Department”, „Process”, etc.)
 - In the second field below a particular value (or a few values) of the parameter selected can be listed
 - „Pareto Chart”
 - Available only if the value in „Period” field is „No”
 - if the field is selected, the Pareto chart is displayed upon pressing the „Display!” button
 - „Value” – if the field is selected, quantitative values of Y-parameter (No. of non-conformities, etc.) are displayed on top of each bar in the chart

Analysis of nonconformities – types of dependencies

- The software makes its users able to analyse dependencies and represent the results obtained in graphical (chart) form for the following types of dependencies:
 - „Timing”- dependence of number (weight) of nonconformities upon a time interval
 - Time Interval is selected in the „Period” field
 - „Parameter” field may contain either „No” value, or any other value (in the case the nonconformities records will be additionally filtered by the selected parameter)
 - Nonconformities analysed can be additionally filtered by one (a few) parameters in corresponding fields in „Control of nonconformities” area
 - „Parametrical” – dependence of number (weight) of nonconformities upon particular non-timing parameter(s)
 - „No” value must be selected in „Period” field
 - In the „Parameter” field a required parameter is selected
 - „Parameter” second field
 - If empty, bars for all values of the parameter are displayed (e.g., all departments, all processes, etc.)
 - If necessary, a particular value (few values) of the selected parameter can be defined – in this case only bars for the selected values are displayed
 - „**Pareto Chart**” (a particular type of parametrical charts) can be created if the corresponding field is marked

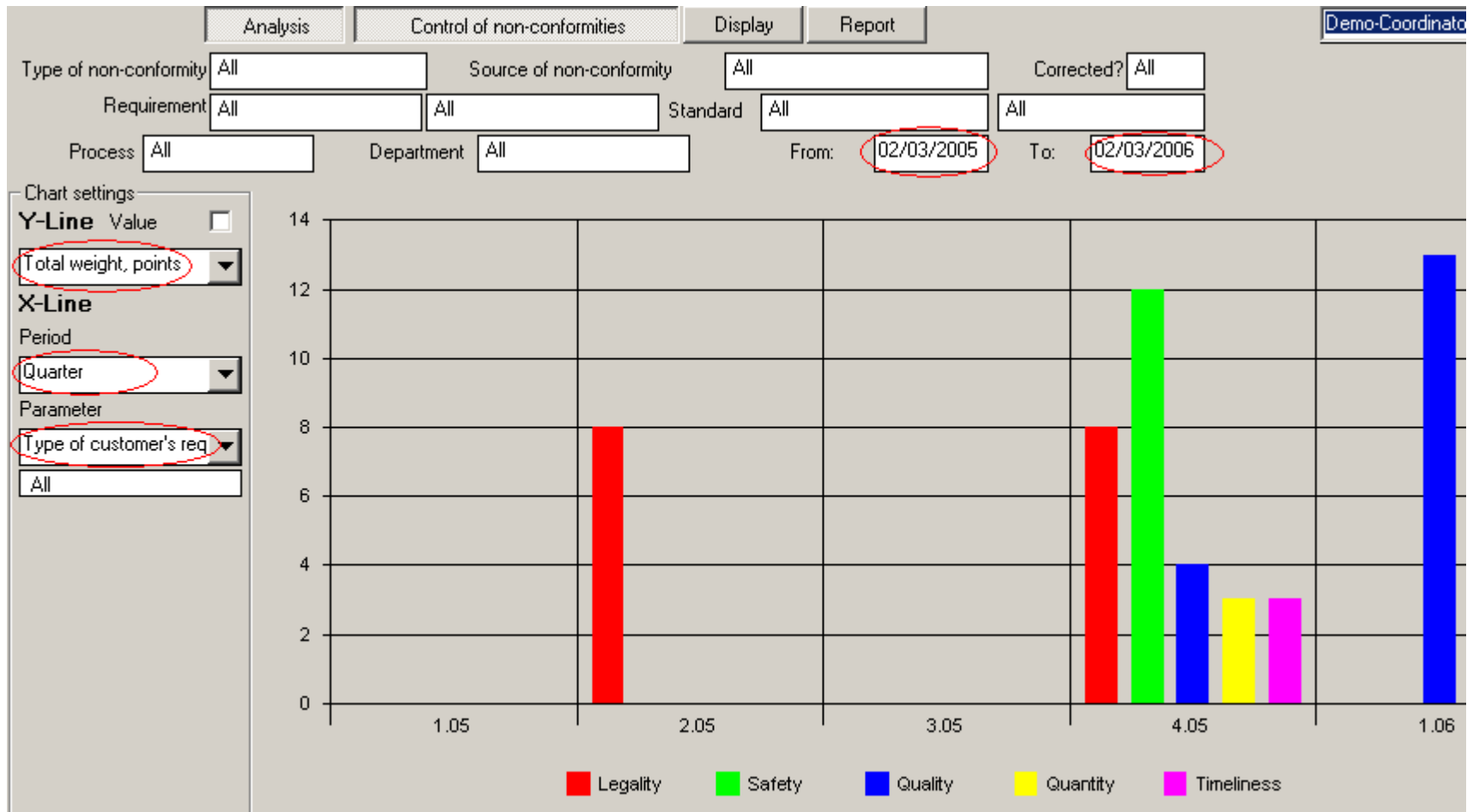


- Total No. of critical nonconformities found out for the last 8 months, by departments, by month - “Display!”



“Time” dependencies – examples

- Comparison of weight of all non-conformities found out during last year, by type of customer requirement, by quarter – “Display!”



“Parameter” dependencies – examples

- All “audit-sourced”, not-corrected non-conformities found out in the organization’s departments during a year – “Display!”



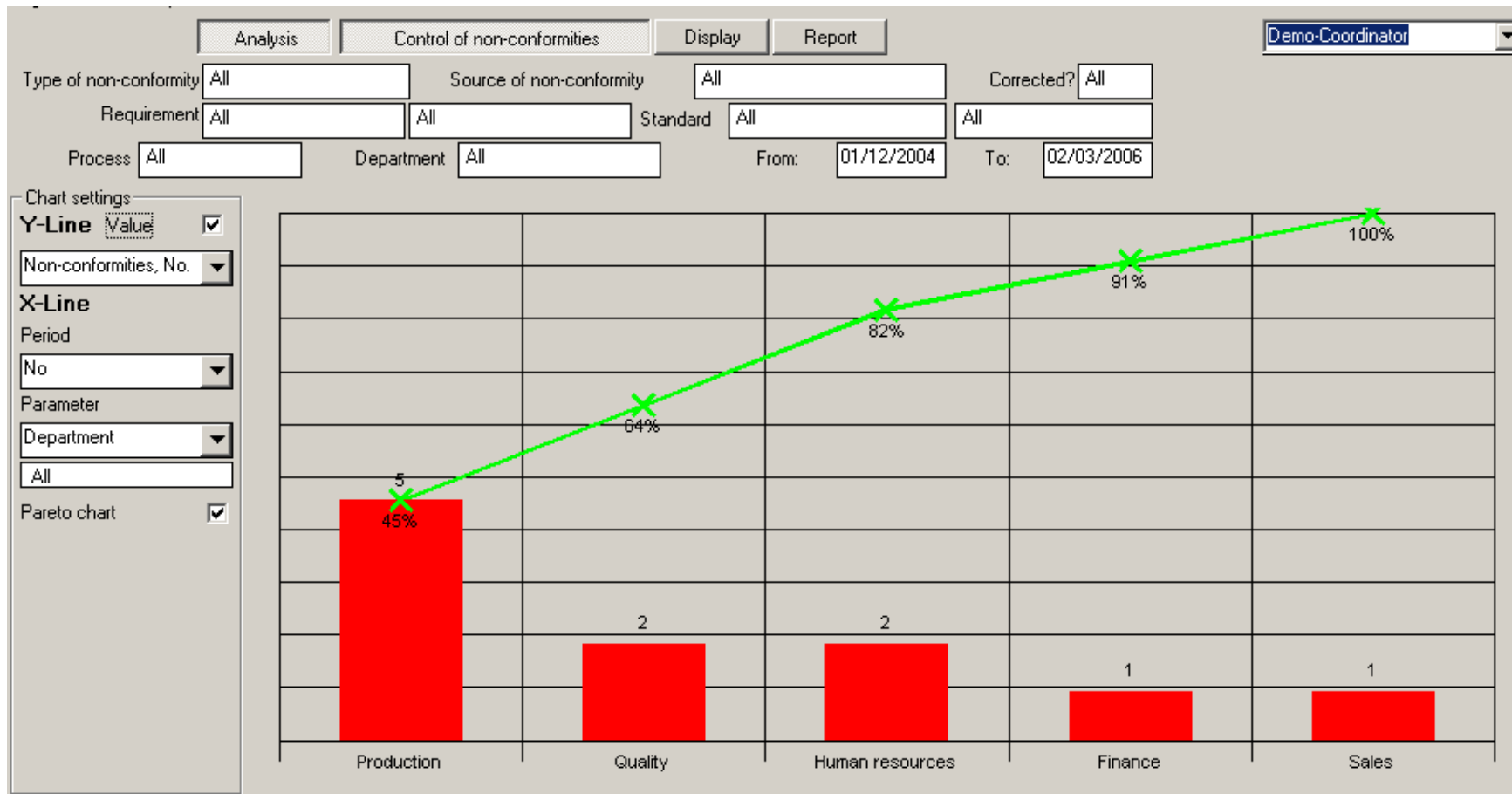
“Parameter” dependencies – examples

- Comparison of audits and complaints as sources of major non-conformities



“Parameter” dependencies – Pareto chart

- “Pareto chart” for departments analysis of total No. of non-conformities found out in each of the organization’s departments since Dec-1, 2004 to March 2006 – “Display!”

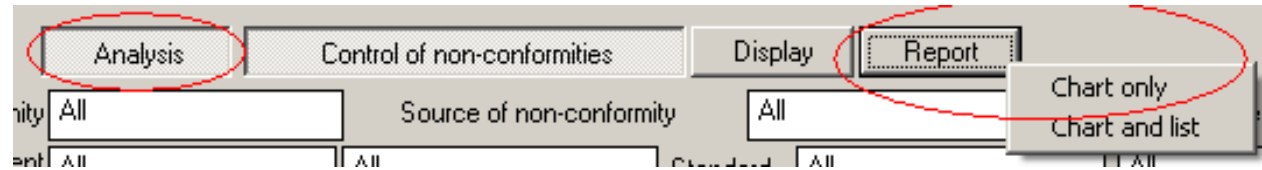


“Control of non-conformities”. Reports

- Three types of reports can be generated:
 - “List only” – generated in “Control of nonconformities” mode, the button “Analysis” is not pressed (“Analysis” mode is not active) (“Analysis” button is not pressed)



- “Chart only” – “Analysis” mode is active; pressing the “Report” – selection “Chart only” option from the drop-down list



- “Chart and list” – “Analysis” mode is active; pressing the “Report” button – selection “Chart and list” option from the drop-down list

