Azzule Auditing Software

User Guide for the Auditor

PREPARED BY

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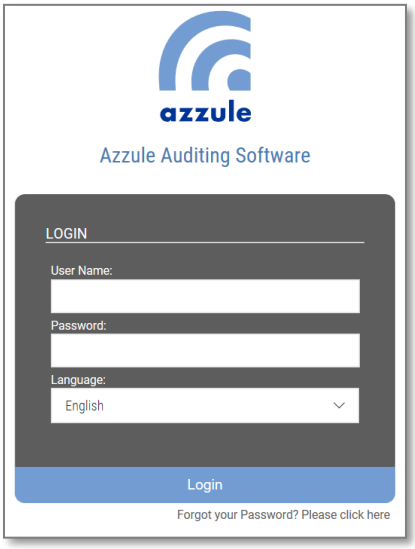
1. Login

Before login, in order to gain the access to the Azzule Auditing Software Auditor site, the auditor should have the auditing company contact with Azzule at support@azzule.com. Azzule System will send an auto notification email to the auditor's email address with username and password for the Azzule Auditing Software auditor site.

To login, follow the steps below:

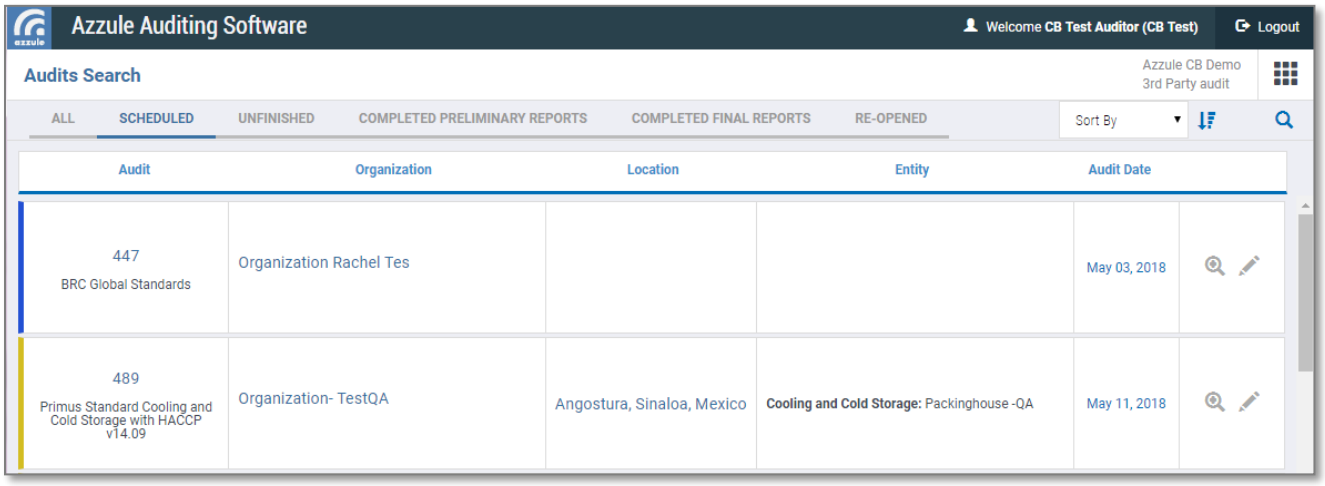
1. Visit: https://secure.azzule.com/onlineauditsystem/views/frmlogin.aspx
2. Type in User name and Password, and select the user language (English and Spanish are currently available); then click the "**Login**" button.



Note: If you forget your username or password, click the "**Forget your password? Please click here"** link to retrieve your login information.

Note: The site works best with Google Chrome or Firefox browsers; other internet browsers may not display the site correctly.

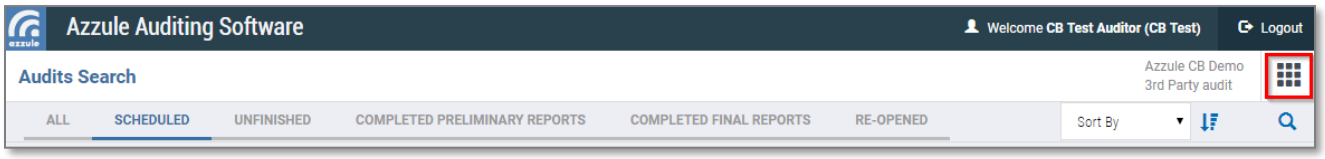
Once the login is validated, the auditor will enter the Azzule Auditing Software Auditor site. In the Home page, the auditor's name and the auditing company appear at the upper-right of the page.



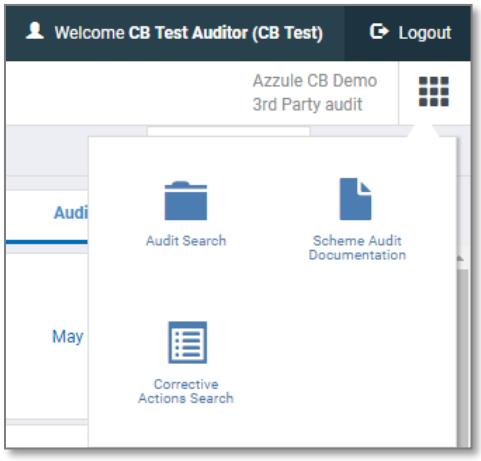
The Home page is set as the Audits Search page. More details regarding this page can be viewed in the Audit Search section.

2. Menu

To view menu items, the auditor should click the ***Grid Icon*** which is shown in the top-right corner of the page.



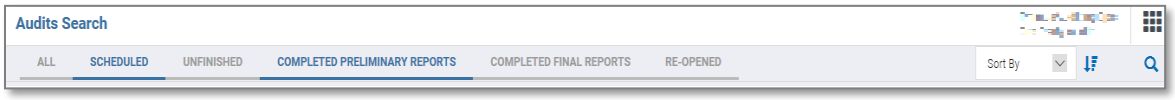
Once auditor clicks the ***Grid Icon*** the following options will be displayed:



- **Audit Search**: This option allows the auditor to view the list of audits and their status. The page is divided into tabs; each tab indicates the status of the audits found there. This is the most frequently used function in the site.
- **Corrective Actions Search:** This option allows the auditor to view the corrective actions that are submitted by auditees. If allowed by the audit scheme, the auditor can answer the corrective actions on behalf of the auditee. The auditor can reopen the audit for the auditee to re-submit corrective actions if necessary.
- **Scheme Audit Documentation:** This option displays a documentation center for auditors wishing to consult information offered by their auditing company/certification body, or by Azzule Systems. Currently, there is no document available.

3. Audit Search

The audit Search section is the most frequently used section in the auditor site. The auditor can review audits found under different statuses. This section is divided into 6 tabs based on the audit statuses.

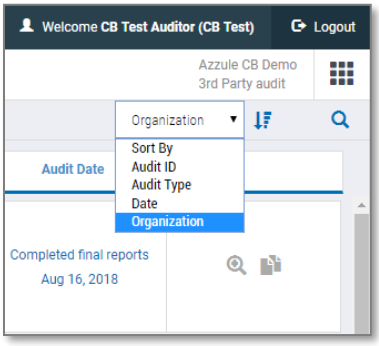


- **ALL**: This tab shows all audits assigned to the auditor, regardless of the audit status. The auditor can preview the audits in this tab, as well as edit Scheduled, Unfinished, or Re-opened audit reports.
- **SCHEDULED:** This tab shows all the audits that are scheduled for the auditor to perform. The audit has been scheduled to be conducted on a specific date by the assigned auditor, but has not yet occurred. Once the auditor has performed the audit, the auditor is able to enter the audit information and report in this tab.
- **UNFINISHED:** This tab lists all the audits that have been conducted by the auditor without completing the audit reports. The auditor can preview the audit and have the option to edit/complete the audit report.
- **COMPLETED PRELIMINARY REPORTS:** This tab lists the audits that have been completed by the auditor, but still have a pending processes in order to be fully completed. This is the case for the GlobalG.A.P. audits that need to go through a Corrective Actions (CA) process as well as an auditing company/certification body Certificate Decision in order to be considered a final report
- **COMPLETED FINAL REPORTS:** This tab shows the list of audit reports completed by the auditor, and those reports that have gone through the rest of the auditing process including CA's and certification decision as mentioned with GlobalG.A.P. audits.
- **RE-OPENED:** This tab shows the list of audits that have been re-opened by the auditing company/certification body. The auditor may be required by the auditing company to edit the audit information in these cases.

Note: if the auditor cannot find an audit to which they were assigned, please contact the auditing company to ensure the audit is correctly assigned to the auditor in the software.

3.1 To Filter and Sort Audits

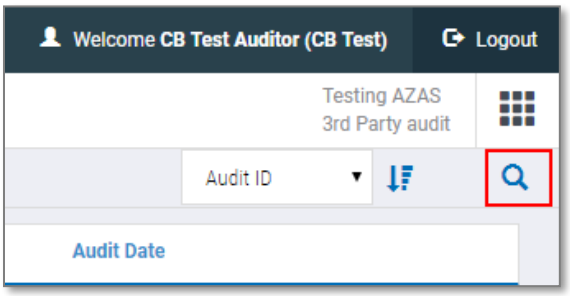
Each of the tabs has the option to filter, sort and search for specific criteria on audits. These options can be found at the top-right of the page. The filter option allows the user to filter an audit search by Audit ID, Audit Type, Date, and Organization.



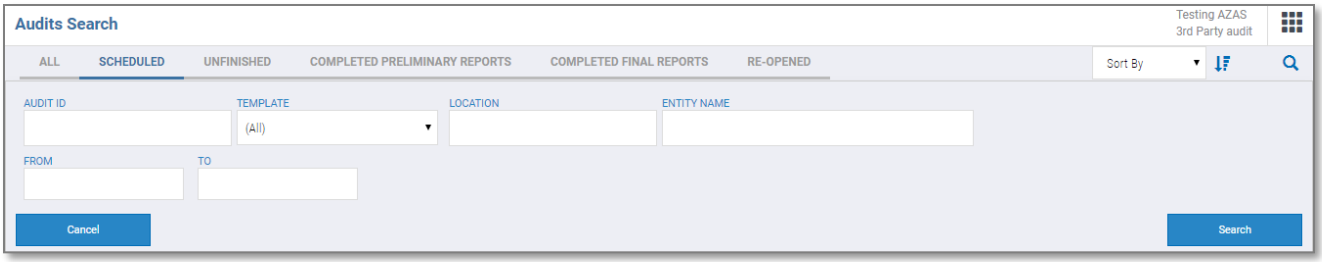
After selecting one of options on the "Filter Option", if the auditor clicks the ***Arrow Icon*** the audits can be sorted in ascending or descending order; each click changes the order from ascending to descending, or vice versa.

3.2 To Search an Audit

The auditor can click the ***Search Icon*** to search audits in each tab.



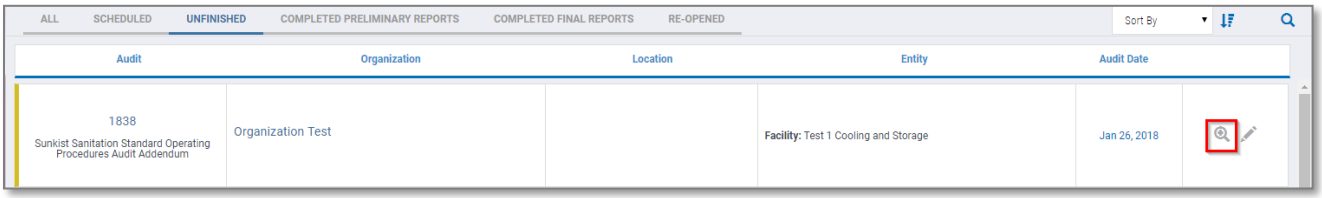
The following search options are displayed: Audit ID, Template, Location, Entity Name, and Date Range: From and To. The Template search includes a drop down menu that allow to either select the audit scheme or specific entity type.



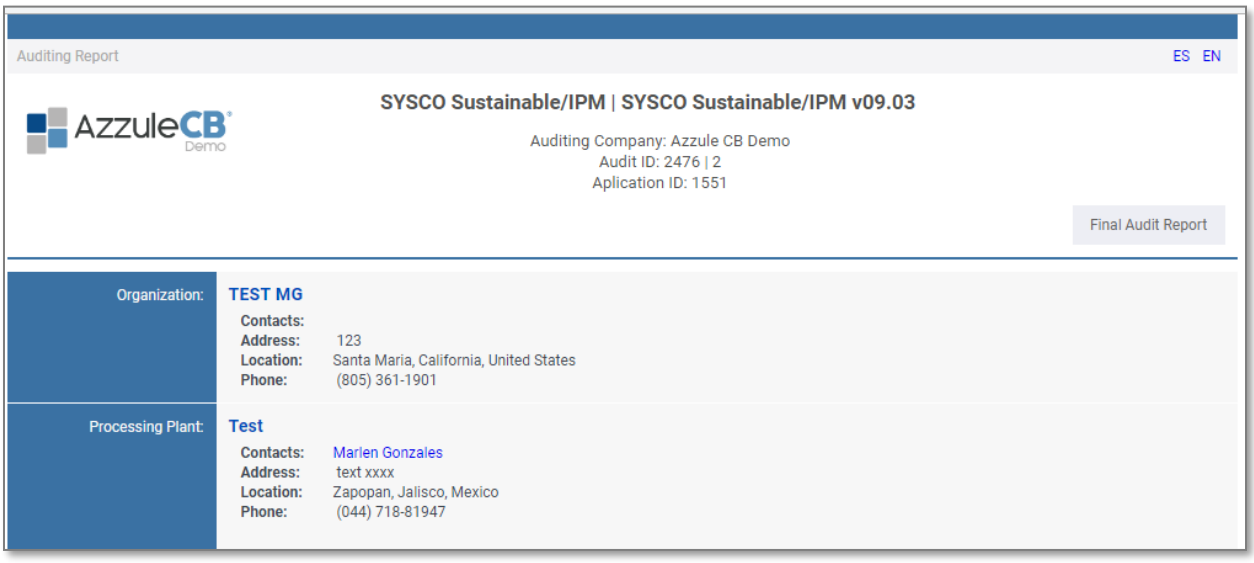
i. Enter information in the fields you wish to search.
ii. Click **Search** allows a search based upon the information entered into one or more of the search fields.
iii. Or click **Cancel to** cancel the search.

3.3 To Preview an Audit

The preview button can be found in all of the tabs on this page. In order to preview an audit, the user should click the ***Preview Icon***.



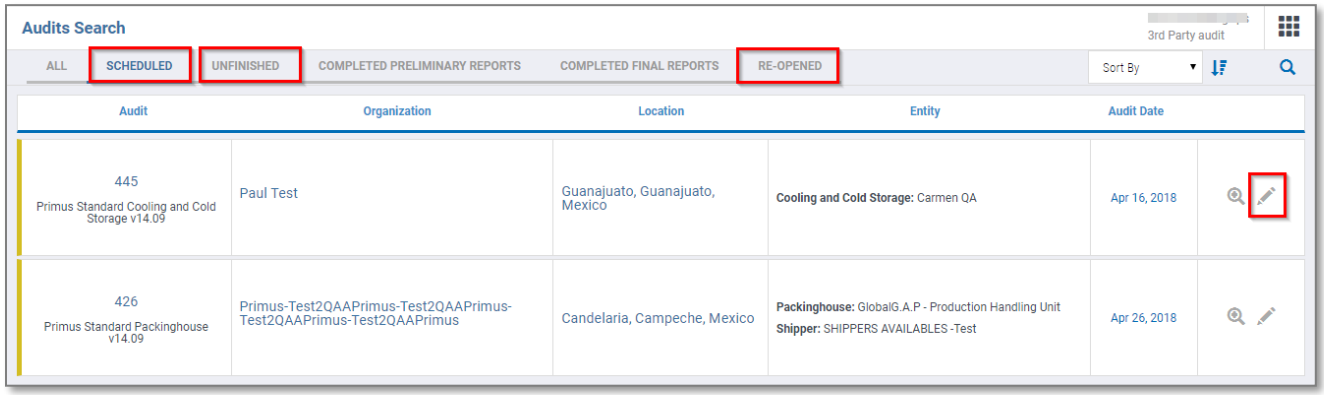
There is a pop up window to show all the audit information/report that was already saved for the audit.



The translation tools with ES EN icons are listed on the top right of the page, which the auditor has the option to select the language (Spanish/English).

3.4 To Edit an Audit

The auditor can edit the audit information and submit audit report by clicking the ***Pencil Icon*** which can be found for all audits under the following tabs on the *Audit Search* page: Scheduled, Unfinished, or Re-Opened. For example, the auditor clicks **UNFINISHED** Tab to review all unfinished audits. The Pencil Icon is available for each audits listed in this tab. More details of editing an audit can be viewed at Audit Editing section.

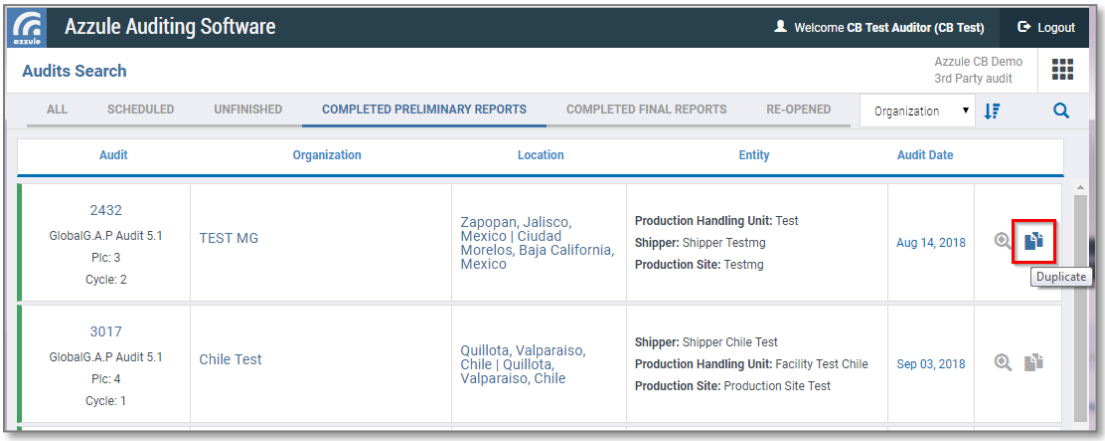


3.5 To Duplicate an Audit

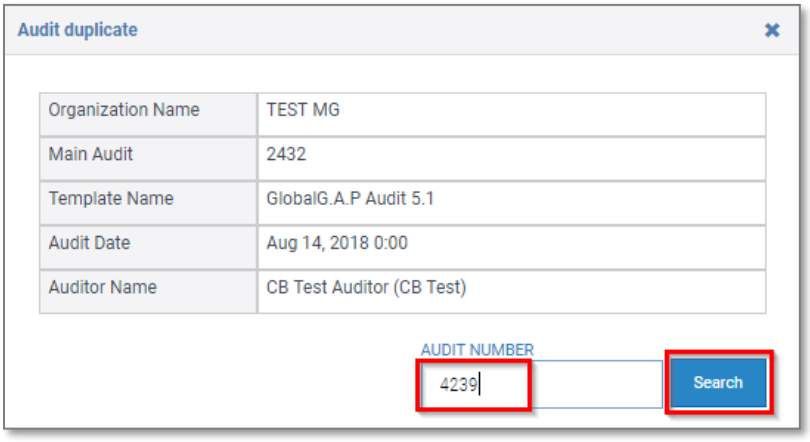
The auditor can use duplicate tool to copy and paste the answers and comments to audit questions from previous completed audit to a scheduled or unfinished audit. The duplicate tool is only applicable between the same audit templates. The auditor can find the tool available under the tabs of "COMPLETED PREMILIMARY REPORTS", "COMPLETED FINAL REPORTS" and "ALL" tab with above two completed statuses.

To duplicate an audit:

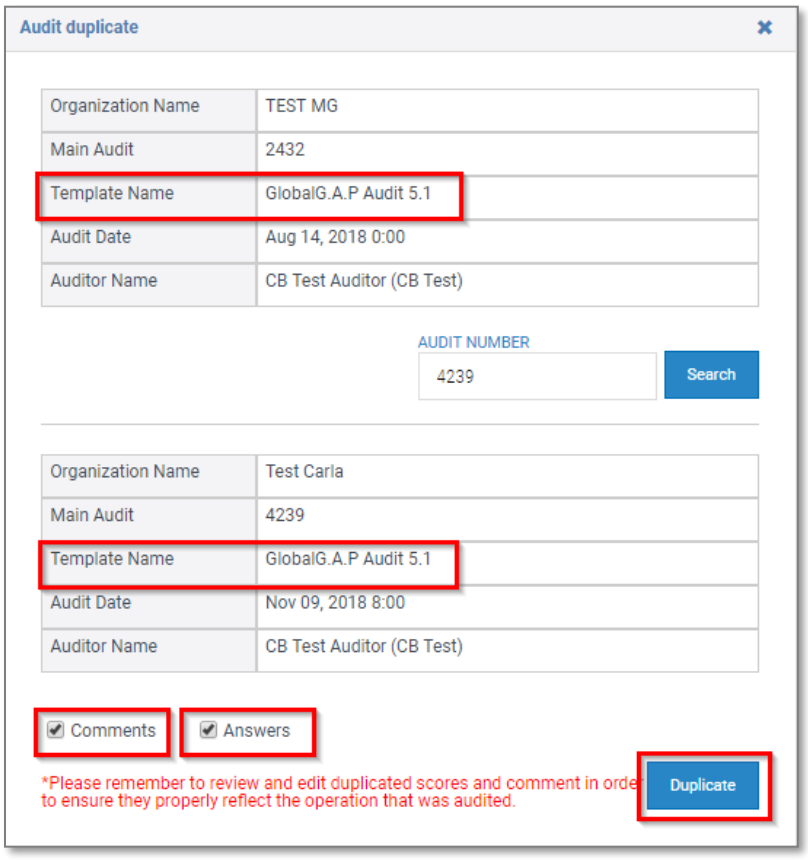
i. Click the ***Duplicate Tool Icon*** in one of the completed audit that the auditor would like to copy from.



ii. In a pop up Audit duplicated window, type in the audit ID that the auditor would like the answers and comments to be pasted to. Then click **Search** to search the audit.



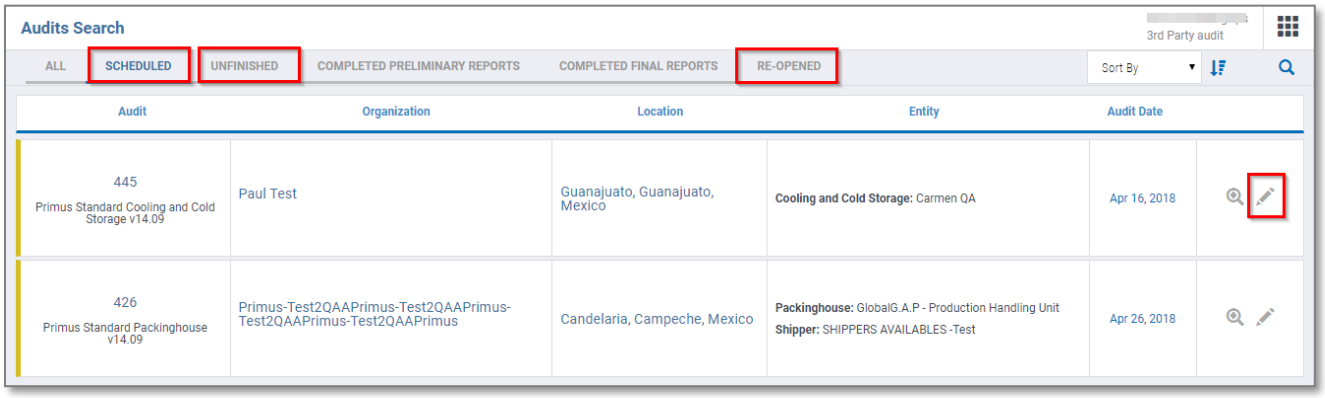
iii. Select which part the auditor would like to be copied from the completed audit. The tool can copy either comments or answers, or both of them to the scheduled or unfinished audit. Then click **Duplicate** to continue. Note that both audits have to be the same audit template.



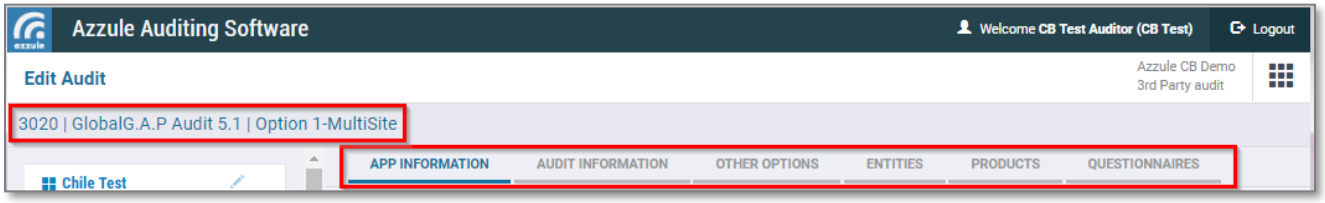
iv. There is a confirmation message to confirm the success of duplication. Click **X** to return to the previous page. The duplicate tool does not change the audit status but only copy the comments or answers to the scheduled or unfinished audit.

4. Audit Editing

The auditor can click the ***Pencil Icon*** to start edit the audit information and submit audit report. The *Pencil Icon* can be found for all audits under the following tabs on the *Audit Search* page: Scheduled, Unfinished, or Re-Opened. For example, the auditor clicks **UNFINISHED** Tab to review all unfinished audits.



The auditor can click the ***Pencil Icon*** to access the "Edit Audit" page of a specific audit. In this page, the audit number and audit template are listed on the top left for the auditor's reference. The page contains different optional tabs for the auditor to review and submit information. These options can be different based on the specific audit templates.



In General, the option tabs include:

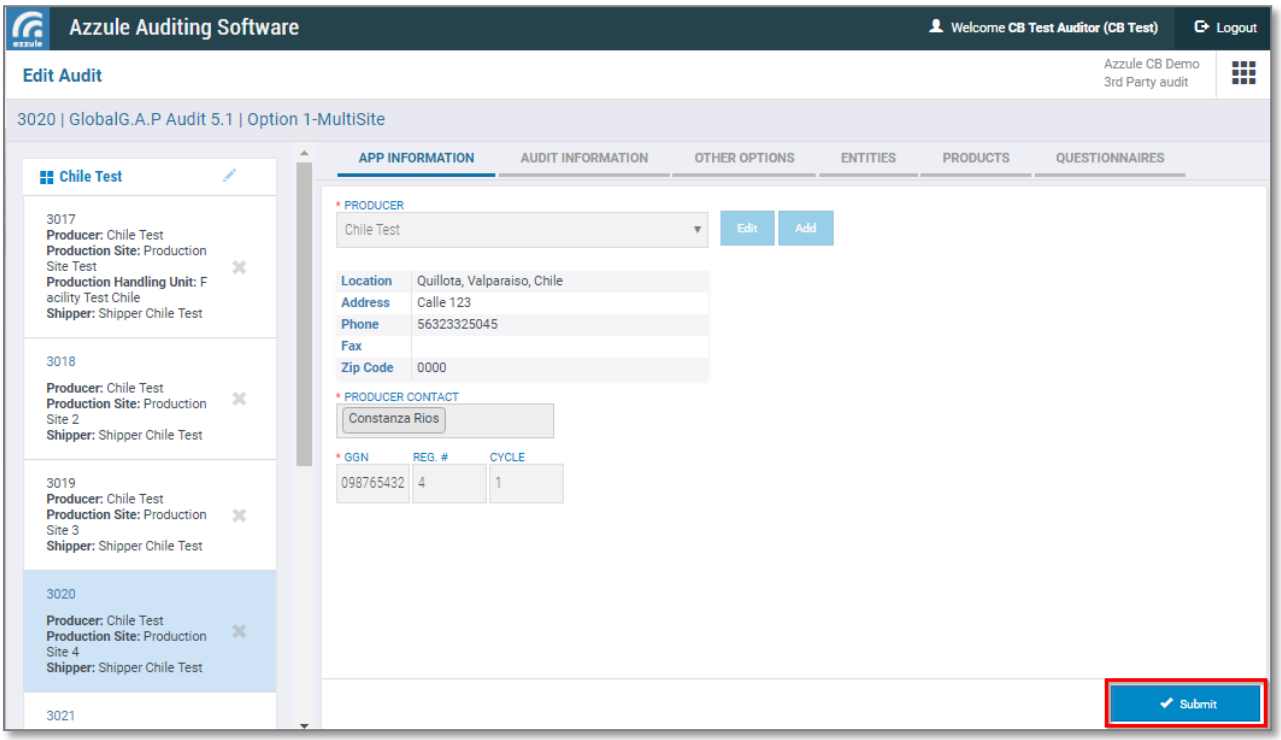
- **APP INFORMATION (only for GlobalG.A.P Audits):** This section is where the auditor can review the application information submitted by the auditing company or the auditee. The auditor cannot edit this part.
- **AUDIT INFORMATION**: This section is where the auditor has to submit in audit date/time information and audit scope.
- **OTHER OPTIONS:** This section is where the auditor can submit the GPS information of audited company and add necessary documents to the audit.
- **ENTITIES:** This section is where the auditor review the information of the audited company and its operations. Based on the different requirements of the audit templates, the auditor may or may not be able to edit the entity's information.
- **PRODUCTS:** This section is where the auditor reviews the product information of the audited company. Based on the different requirements of the audit templates, the auditor may or may not be able to edit the product information.
- **QUESTIONNAIRE:** This section is where the auditor has to answer the audit questions and submit the comments or responses to the questions.

Note: Each section has some fields with an **Asterisk Icon***. This mark indicates that it is mandatory to complete the information within that field.

4.1 App Information (Only for GlobalG.A.P Audits)

The section is where the auditor can review the application information submitted by the auditing company or the auditee. The auditor cannot edit this part.

The auditor has to click **Submit** to continue. If the auditor would like to update the information of producer, the auditor has to contact their auditing company to make the changes.



4.2 Audit Information

The Audit Information tab allows the auditor to fill in general audit information including audit date and time, audit scope, as well as other information. This screen can also request different information depending upon the Audit Templates.

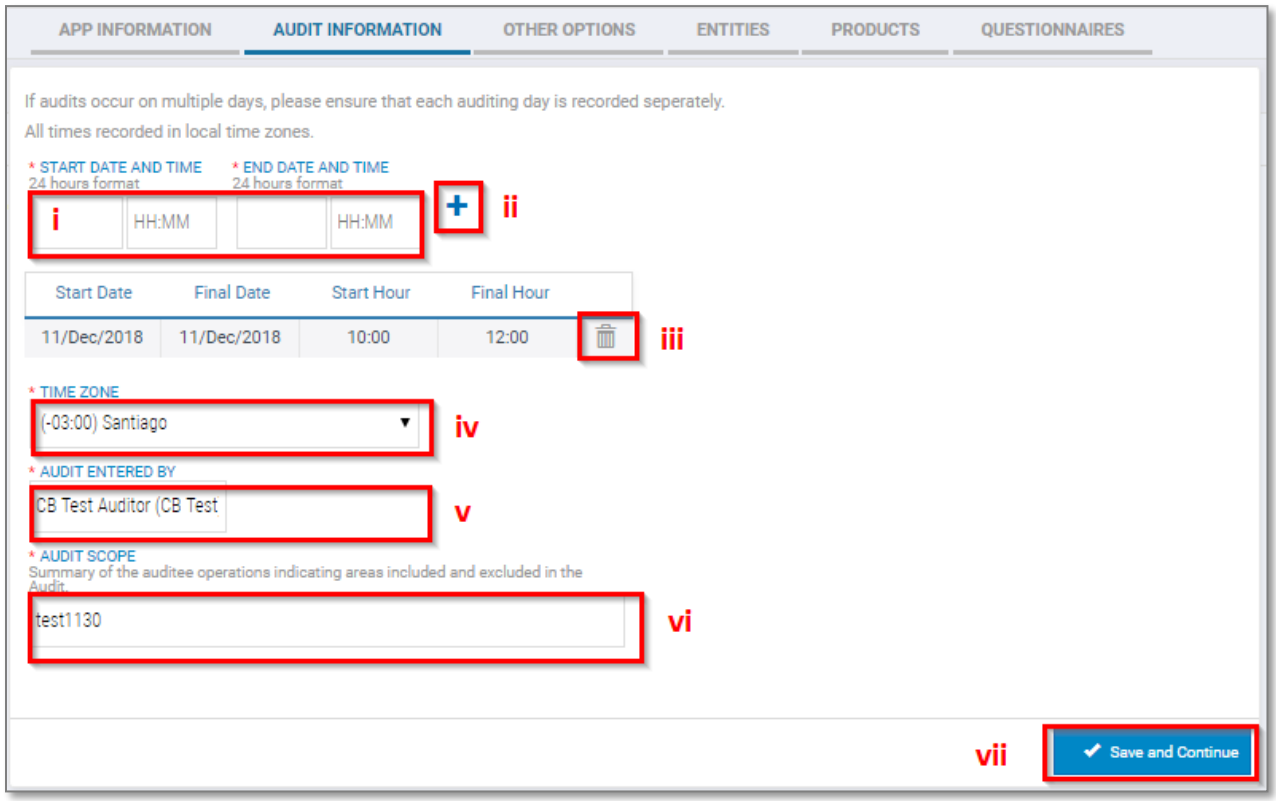
i. The auditor has to put in the audit starting and end date and time, please note that the time format is 24-hour clock.
ii. Click "**+**" ***the Plus Icon*** to add the audit date and time.
iii. If the auditor wants to edit the audit date and time information, the auditor may click ***Trashcan Icon*** to remove the incorrect time information and then add the correct information following steps i-ii.

iv. The auditor is required to select the correct time zone of audit date and time.

v. The auditor is required to indicate who is entering the audit information. The default setting is the auditor himself/herself, however it can be another qualified person who submits the report.

vi. The auditor is required to submit detailed audit scope for the audit.

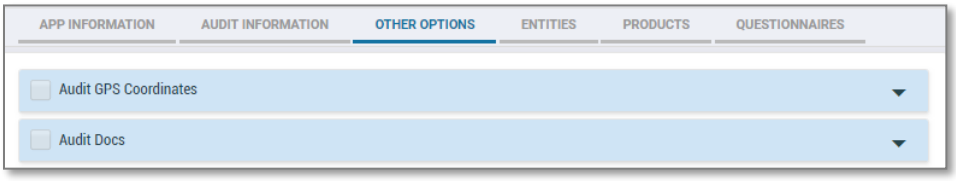
vii. After all the information has been input, the auditor can click **Save and Continue** to save the information and continue to the Other Options page.



4.3 Other Options

Based on different audit template, this tab may be optional for auditors to submit other information that is related to the audit. The auditor can skip the whole section or just complete one of the optional sections. Currently, there are two sections designed to collect information below:

- Audit GPS Coordinates
- Audit Docs

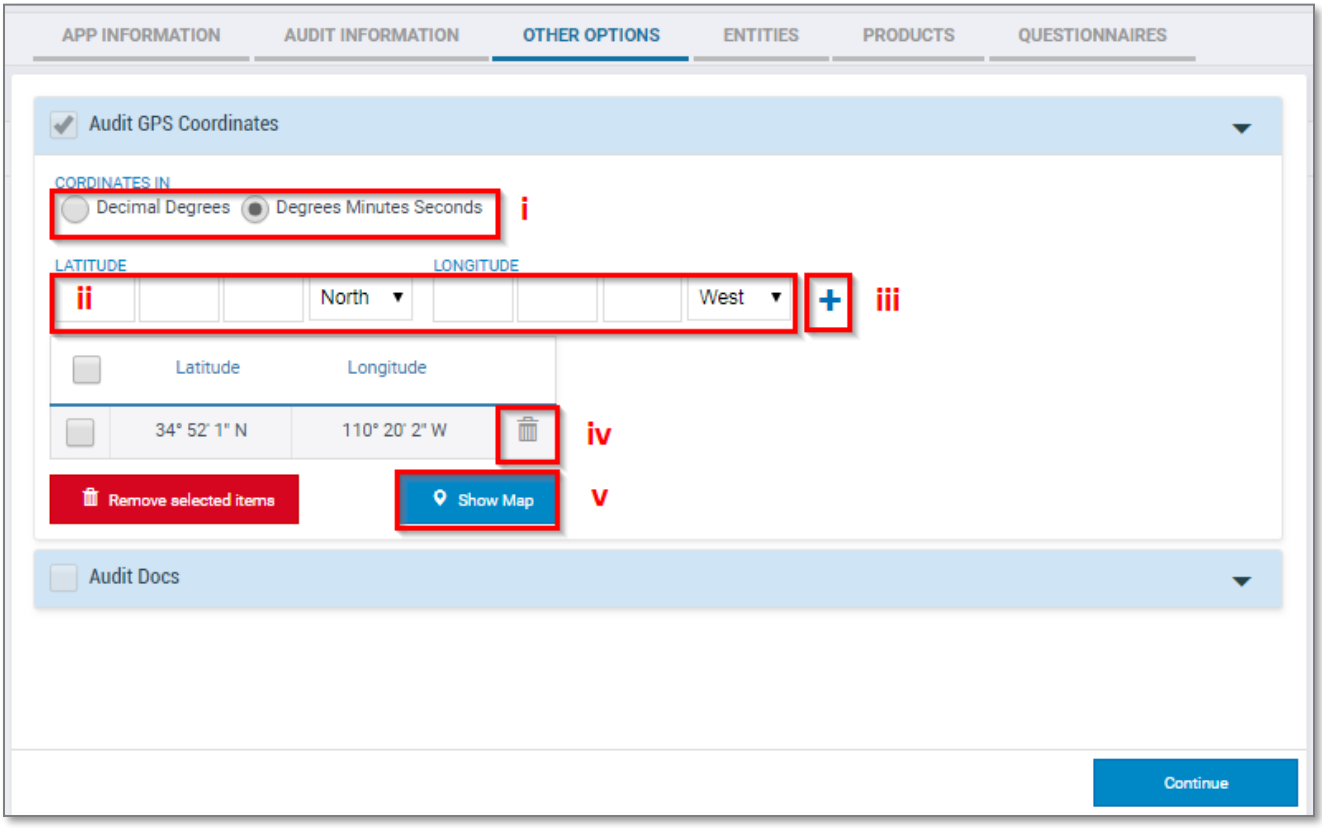


Both two sections can be collapsed or expanded. To fill information for each section, the user needs to expand the content by clicking in the ***Dropdown Icon*** for each row.

4.3.1 Audit GPS Coordinates

This section is for adding the GPS coordinates of the audit. This is a required field for Primus Standard Audits, optional for GlobalG.A.P.; Costco Addendum, SYSCO Sustainable/IPM and other audit templates.

i. The auditor can select the GPS format from 2 formats: Decimal degrees (xx.xxxxxx) and Degrees, minutes and seconds (DD/MM/SS).
ii. Once the format has been selected, the auditor types in the coordinates.
iii. Click the ***Plus Icon*** to add the GPS points to the audit information. The auditor can add as many coordinates as needed by repeating steps i-iii.
iv. If needed, the auditor can click the ***Trashcan Icon*** to remove GPS points; or select the checkbox of one or more GPS point(s), then click **Remove selected items** to remove the selected items.
v. The auditor can click the **Show Map** button to view the GPS coordinates in a pop-up window. A new window with the map will appear pointing to the coordinates selected.



4.3.2 Audit Docs

This section allows an auditor to upload any document related to the audit. This is optional for all audit templates.

i. If uploading a document, the auditor is required to enter the document name. The document

date field is optional.

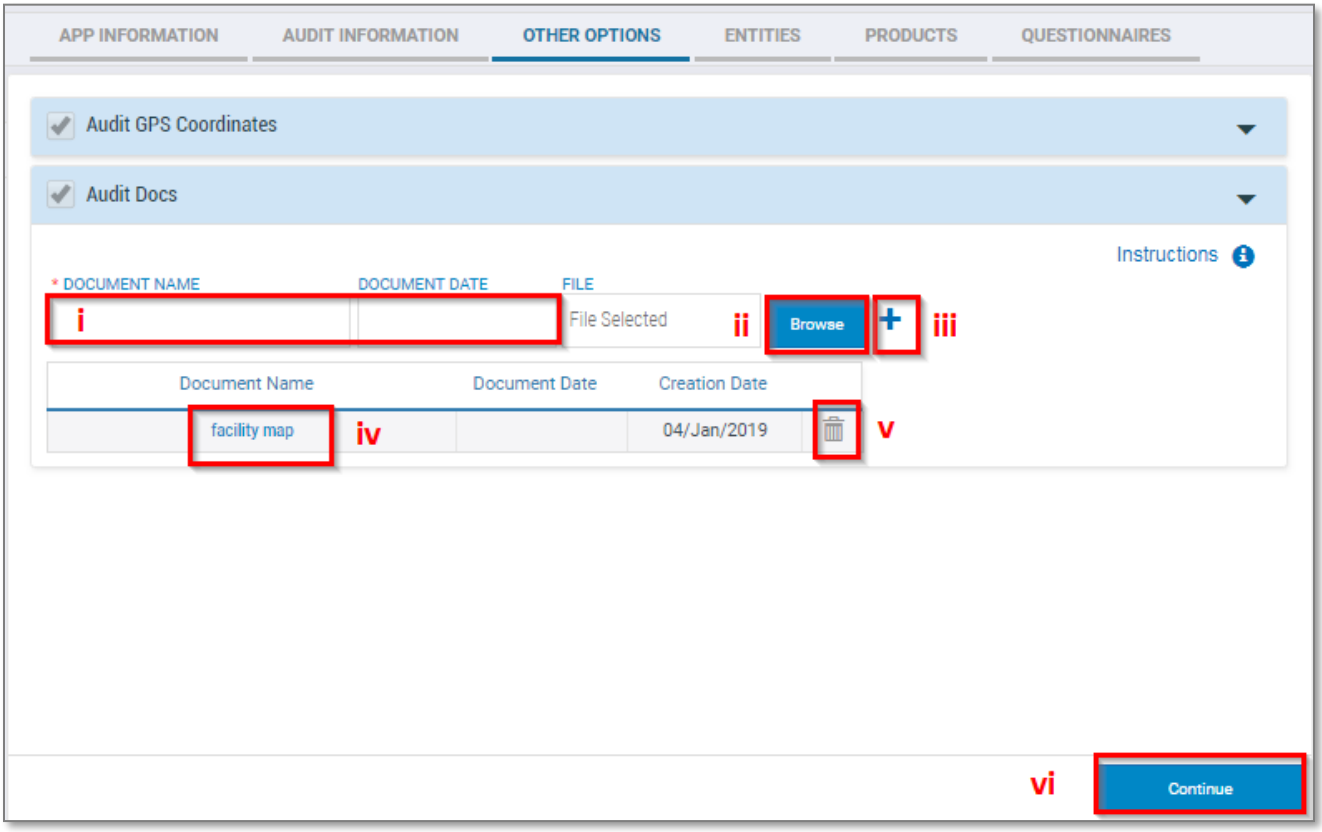
ii. Click **Browse** to select the file from the user's computer.

iii. Once the file has been selected, the auditor clicks the ***Plus Icon*** to attach the file to the audit.

iv. For attached files, the auditor can view the document by clicking on the document name if necessary.

v. The auditor can remove the document by clicking the ***Trashcan Icon***.

vi. The auditor can skip the whole section or just complete one of the optional sections, then click **Continue** to the Entity page.



Note: Only the following document types are allowed to be uploaded:
pdf, .xls, .xlsx, .gif, .bmp, .jpeg, .jpf, .png, .doc, .docx, .wav, .mpc, .avi, .mpeg, and .mp4. The maximum Size is 5 MB (5120 bytes).

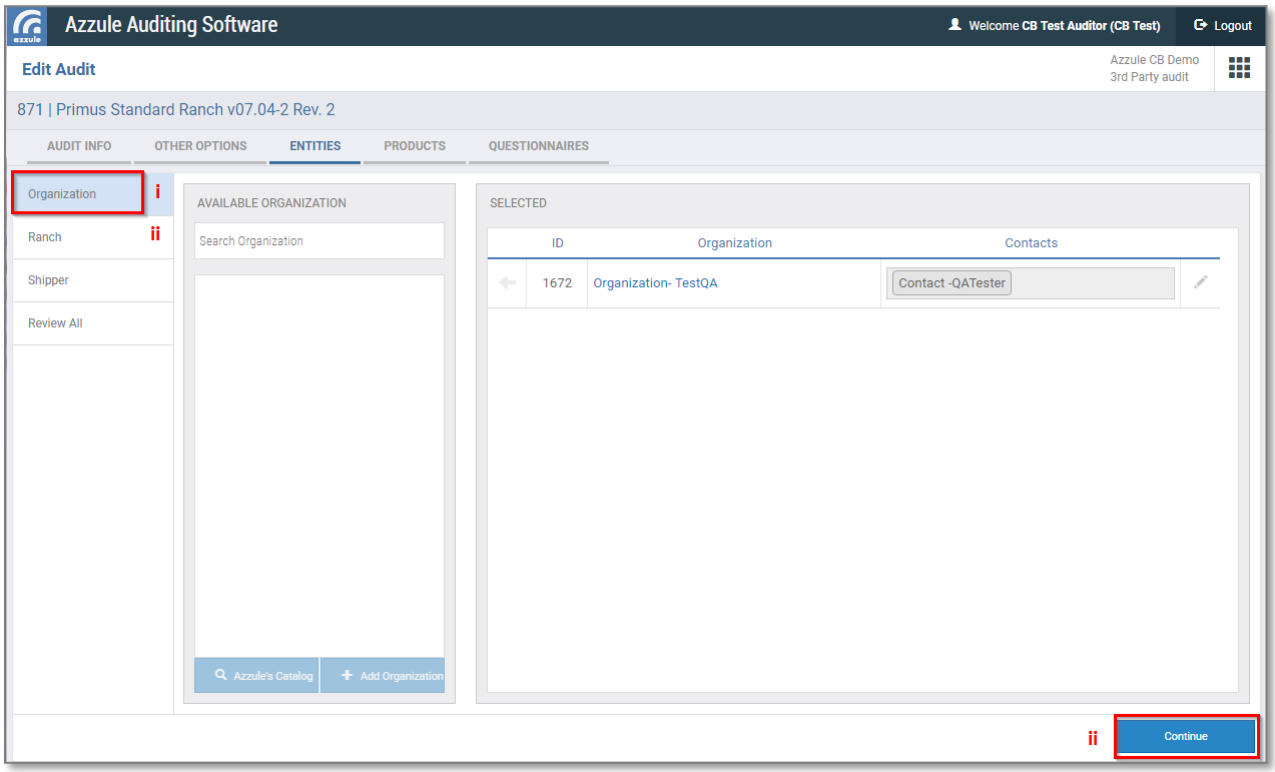
4.4 Entities

This section is for the auditor to review the entity information that were submitted with the audit application. There is a panel on the left with the various possible entity roles depending on the audit type. The entities that are listed in the panel were already submitted as a part of the audit application, so the auditor usually does not have permissions to modify the selected entities.

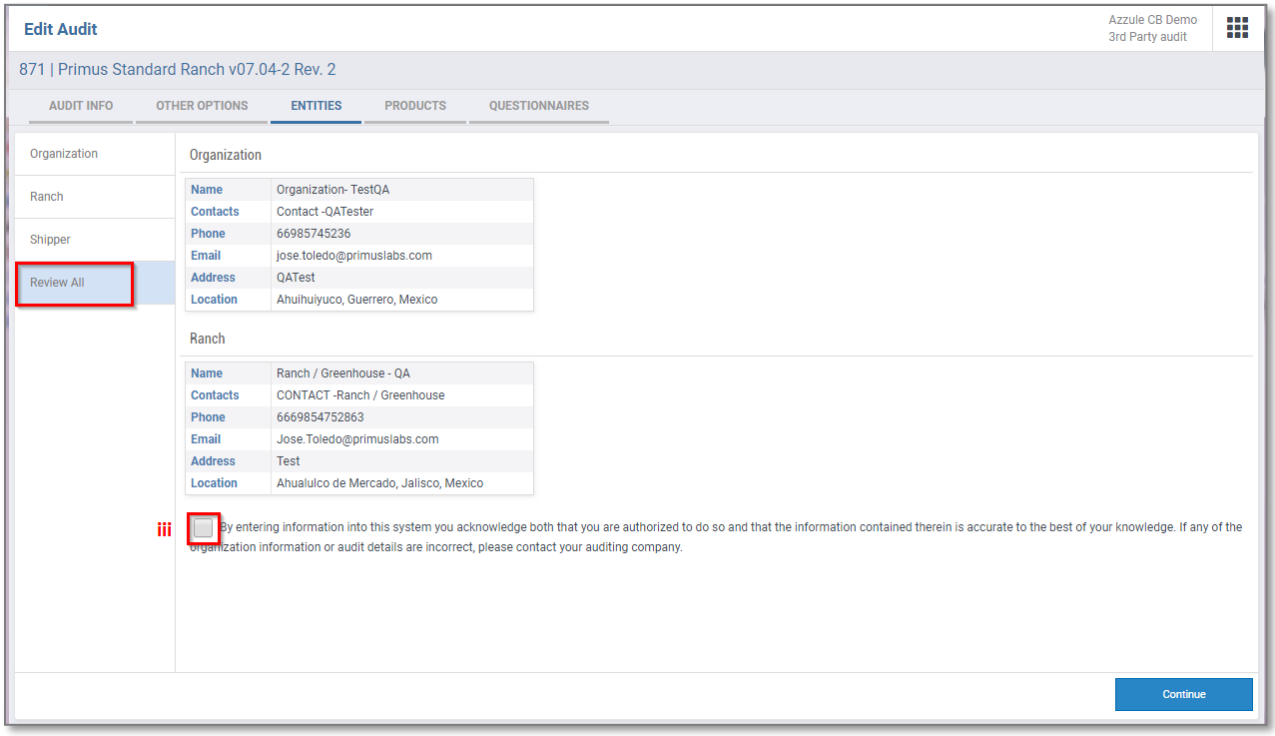
Note: If the auditor observes something wrong with the entity, the auditor should contact the auditing company to update the information in the application.

For Primus Standard Harvest Crew audits and Costco Produce Harvest Crew Addendums that are linked to a main audit for a Ranch/Greenhouse; however, the auditor is able to edit the ranch/greenhouse information that is linked to the Harvest Crew in this section.

a. To view the entity information.
   i. The auditor can click each entity section in the left side to go through all the listed information; or
   ii. Click **Continue** to go through each section.

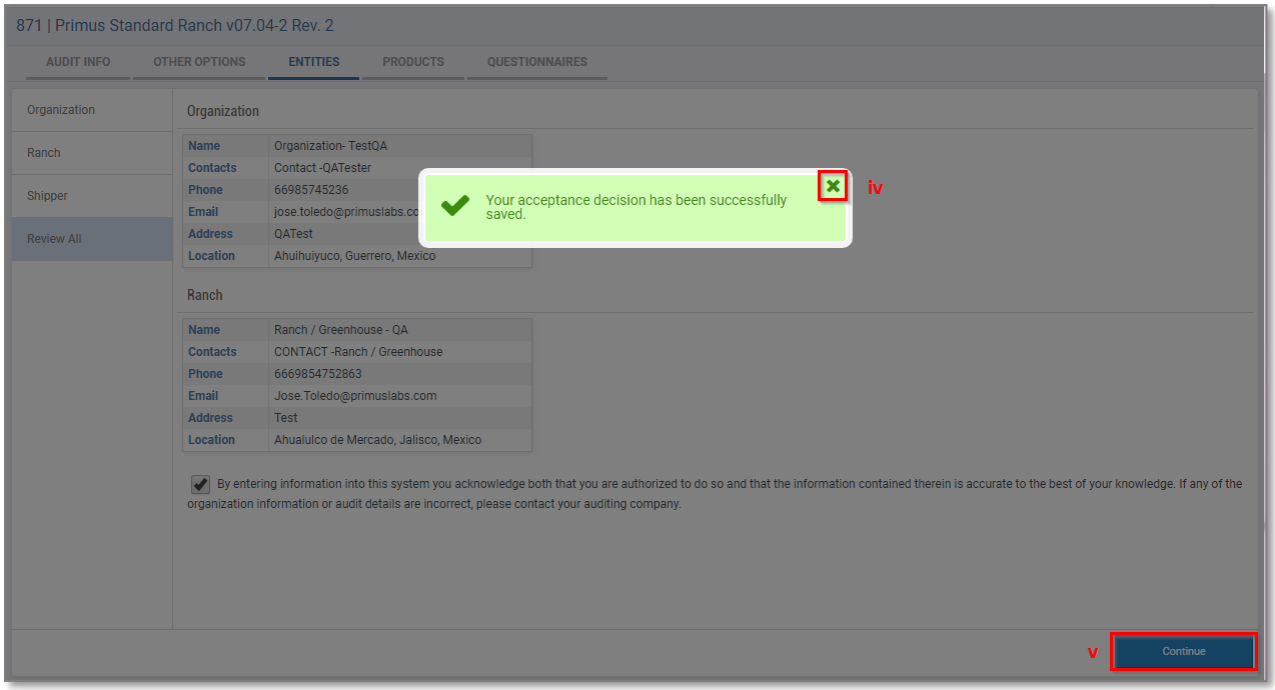


   iii. In the "Review All" section where there is a summary of the selected entities, the auditor can select the checkbox if all the entities information is correct.



iv. Once the checkbox is selected, there is a pop up message box to confirm the selection. Click **X** to close the message.

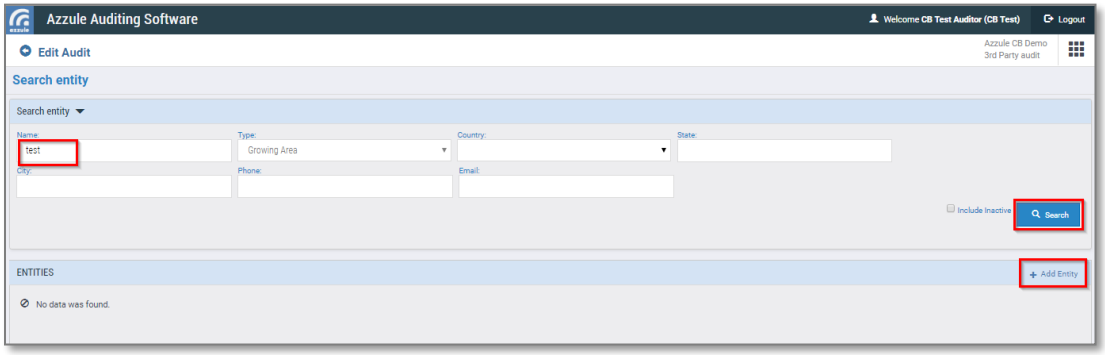
v. The auditor then clicks **Continue** to proceed to the PRODUCTS page.



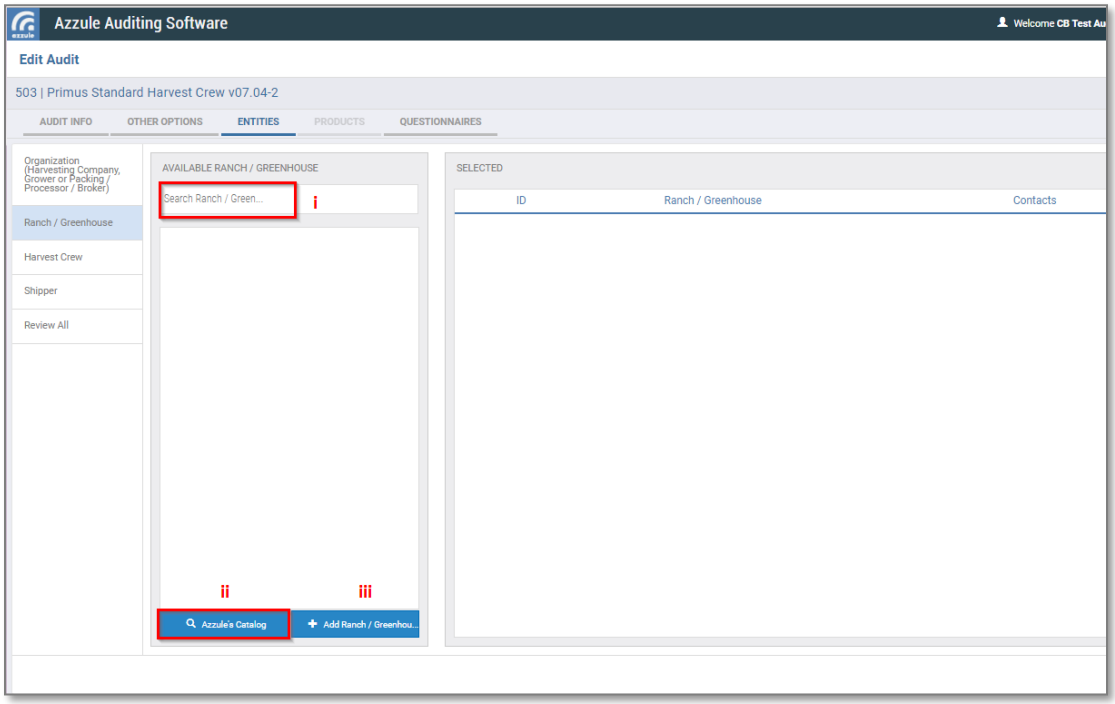
b. To edit the entity information.
For Primus Standard Harvest Crew audits and Costco Produce Growing Area / Harvest Crew Addendum that are linked to a main audit for a Ranch/Greenhouse; however, the auditor is able to edit the ranch/greenhouse information that is linked to the Harvest Crew in the "Ranch/Greenhouse" section.

i. The auditor can type in the name of the ranch/greenhouse to see if the entity has been added to the system.

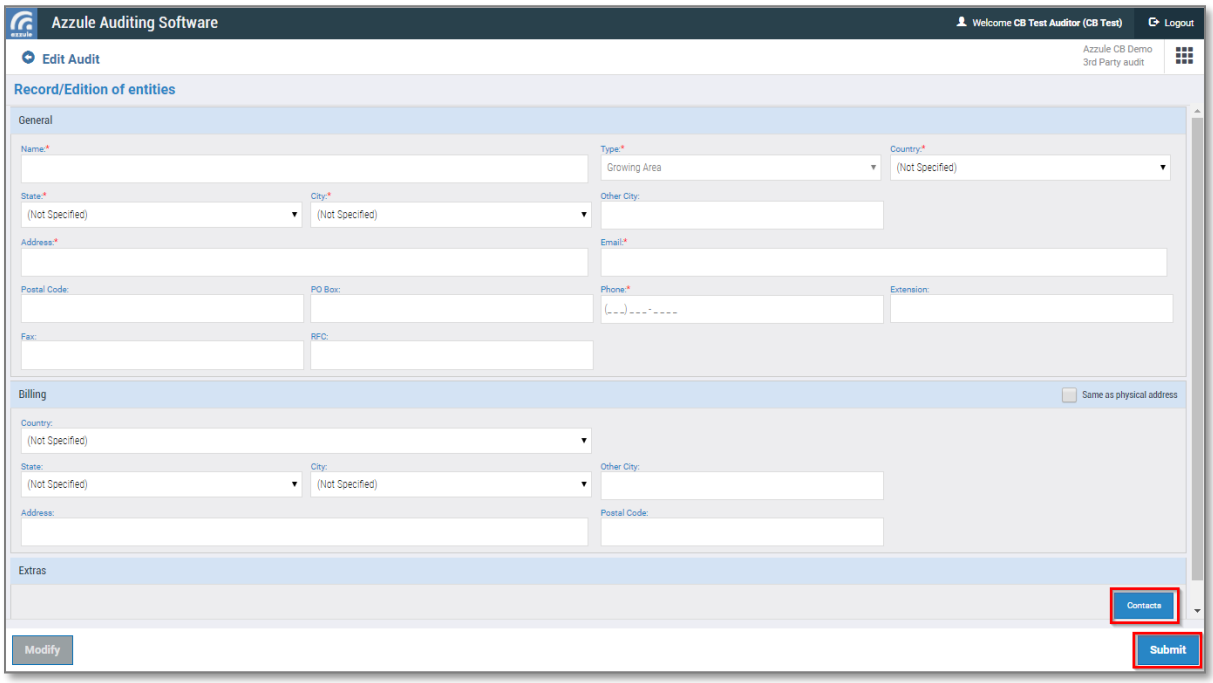
ii. If there is no entity listed, the auditor can click **Azzule's Catalog** to search the entity again. In the Search entity page, the auditor types in the name of the ranch/greenhouse, then click **Search** to search the Azzule data pool. If there is no data found, the auditor can click **+ Add Entity** to have an access to Record/Edition of entities page to add a new growing area entity to the audit.



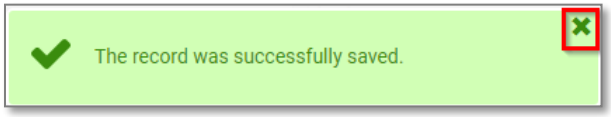
iii. The auditor can also directly click **+ Add Ranch/Greenhouse** to have an access to Record/Edition of entities page to add a new growing area entity to the audit.



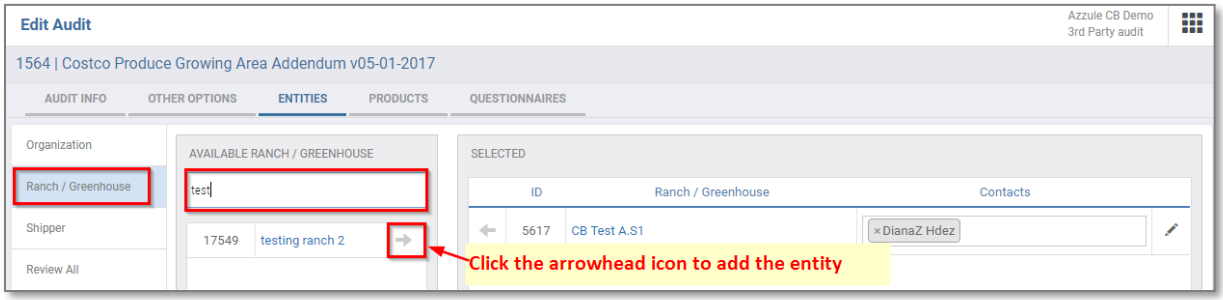
iv. In the Record/Edition of entities page, the auditor has to type in all the required information, then click **Contacts** button to add the contact information in a pop-up window. Once all the required information has been completed, click **Submit** to submit the entity information.



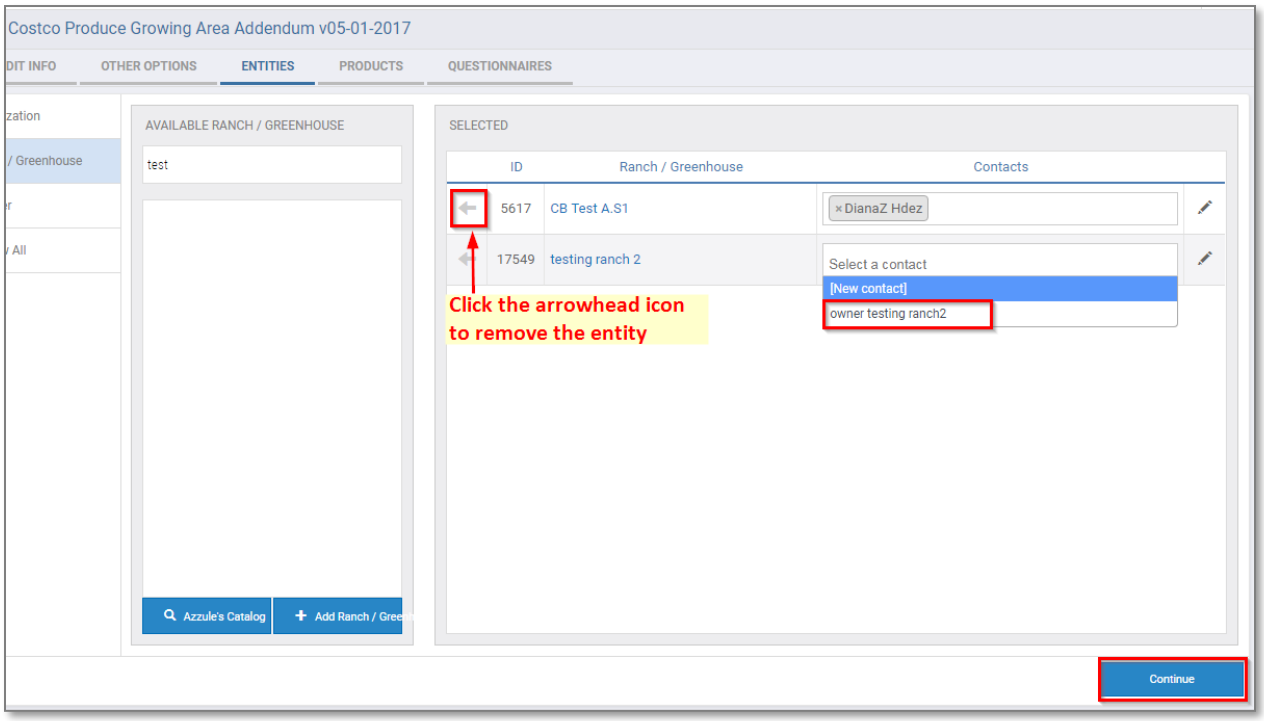
v. In the Record/Edition of entities page, a pop up window to confirm the successful submission of the new entity. The auditor can click **X** to close the confirmation message and return to the Entities page.



vi. In the Entities page, the auditor can click Ranch/Greenhouse tab then type the name of submitted entity. The entity will be listed in the "AVAILABLE RANCH/GREENHOUSE" for the auditor to select. The auditor can click the ***Right Arrowhead Icon*** to move the entity to "SELECTED" section.



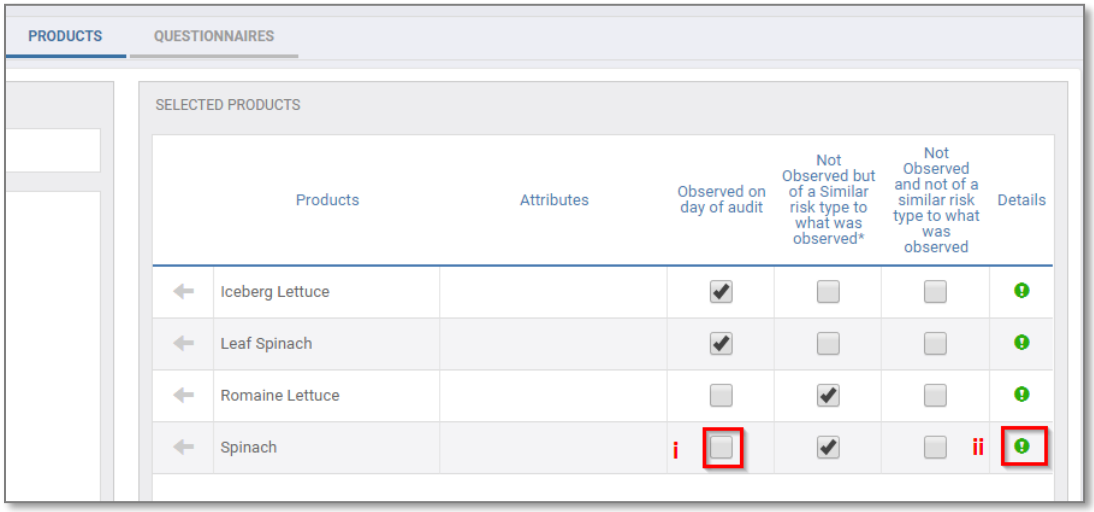
vii. In the "SELECTED" section, the auditor needs to select the contacts from the dropdown menu. The auditor can click the ***Left Arrowhead Icon*** to remove the entity from "SELECTED" tab if necessary. After the auditor has reviewed all the entities, the auditor can click **Continue** to the PRODUCTS page.



4.5 Products

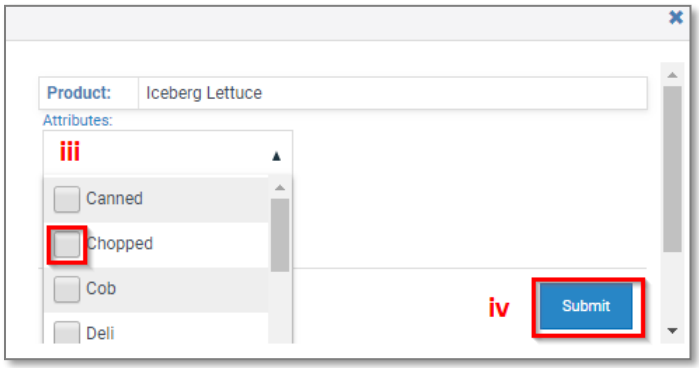
In the Products section, the auditor must review whether the product information is correct and edit the checkboxes for products that were either "Observed on day of audit," "Not observed but of a similar risk type to what was observed," or "Not observed and not of a similar risk type to what was observed." If necessary, the auditor can add or remove products.

a. To check the product information
   i. The auditor has to select the checkbox of each listed product with the correct category. Note that only one category will be applicable to one product. The categories are "Observed on day of audit," "Not observed but of a similar risk type to what was observed," or "Not observed and not of a similar risk type to what was observed."
   ii. If necessary or required by the audit template, the auditor can click the DETAILS Icon to edit details of the product.



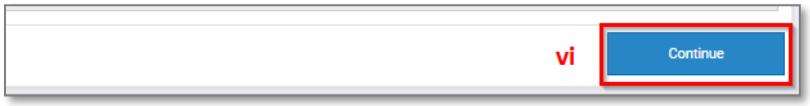
iii. In the detail window, the auditor can click the dropdown menu of attributes and select the properties of the product.
Note: There may be more information required for the product according to different audit templates.

iv. Click **Submit** to submit the product details and return to previous page.



v. Click **X** to close the pop up message and return to the previous page.

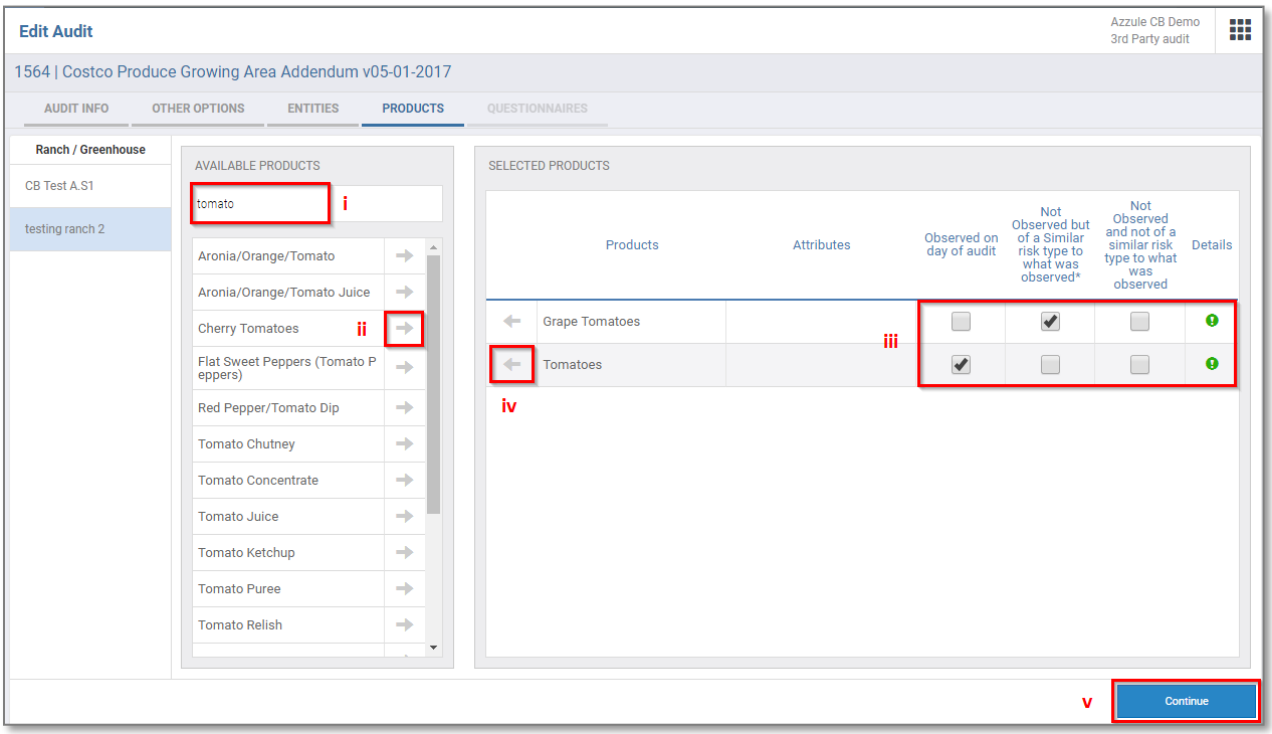
vi. Once the product information has been reviewed, the auditor can click **Continue** to go to the QUESTIONNAIRE page.



b. To add/remove the product

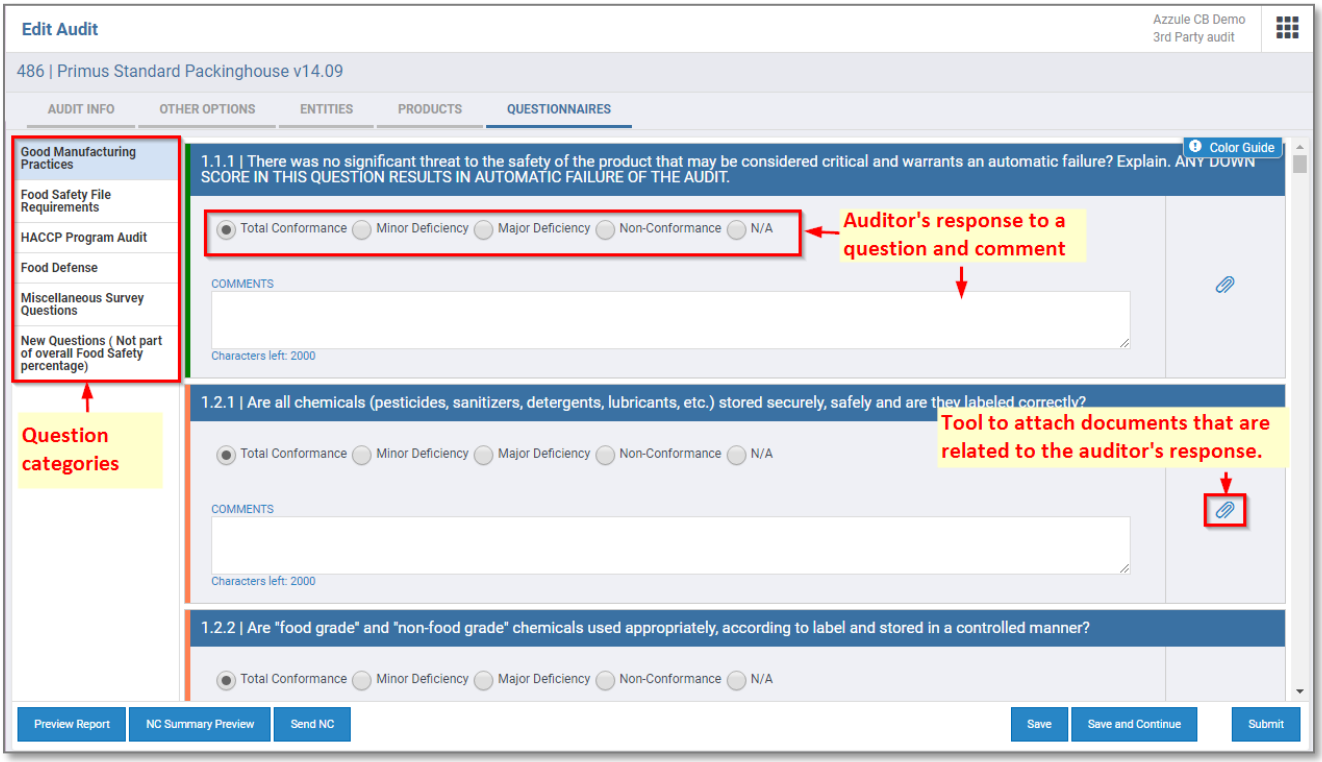
The auditor can add, remove and edit product information if necessary. To do so, follow steps below:

i. Type the product name in the tab of “AVAILABLE PRODUCTS” section.
ii. Click the ***Right Arrowhead Icon*** to move the product to the “SELECTED PRODUCT” section.
iii. Select the correct categories and edit the product details if necessary.
iv. If a wrong product was added, click the ***Left Arrowhead Icon*** to remove the product from the SELECTED PRODUCT” section.
v. Once the product information has been reviewed, the auditor can click **Continue** to go to the QUESTIONNAIRE page.



4.6 Audit Questionnaire

In the Questionnaire section, the auditor will find the audit questions, divided by category. Possible responses will allow the auditor to select the appropriate answer for the particular audit scheme. Depending on the audit types/templates the auditor will be able to select from the following answers: “Total Conformance,” “Minor Deficiency,” “Major Deficiency,” “Non-conformance,” or “Not Applicable (N/A).” For other templates, i.e. Global G.A.P. Audits, the possible answers will be “Yes”, “No”, and “N/A”



There are six action buttons available to the auditor on the bottom of this screen:

- **Preview Report:** Click to have a preview of the audit report that has been completed so far. There is no calculated audit score available for a previewed report.
- **NC Summary Preview:** Click to have a preview of the Non-conformances summary report.
- **Send NC:** Click to send a notification of the non-conformances summary report to the audit entities listed as contacts. The tool will give the auditee an earlier view of their non-conformance questions before the auditor answers all the audit questions. The auditee needs to login to the Azzule Auditing Software auditee site to submit the corrective actions.
- **Save:** Click at any time to save the current responses to audit questions.
- **Save and Continue:** Click to store the answers for a specific category and displays the questions for the next category.
- **Submit:** Once the auditor has answered to all the required questions and is ready to complete the audit report, the auditor clicks **Submit** to submit the audit report to auditing company and auditees for review. A notification of completed audit report will be sent out to the auditee/client for their reference. The audit status will be updated to “Completed Preliminary Reports” or “Completed Final Reports” according to the requirements for different audit templates.

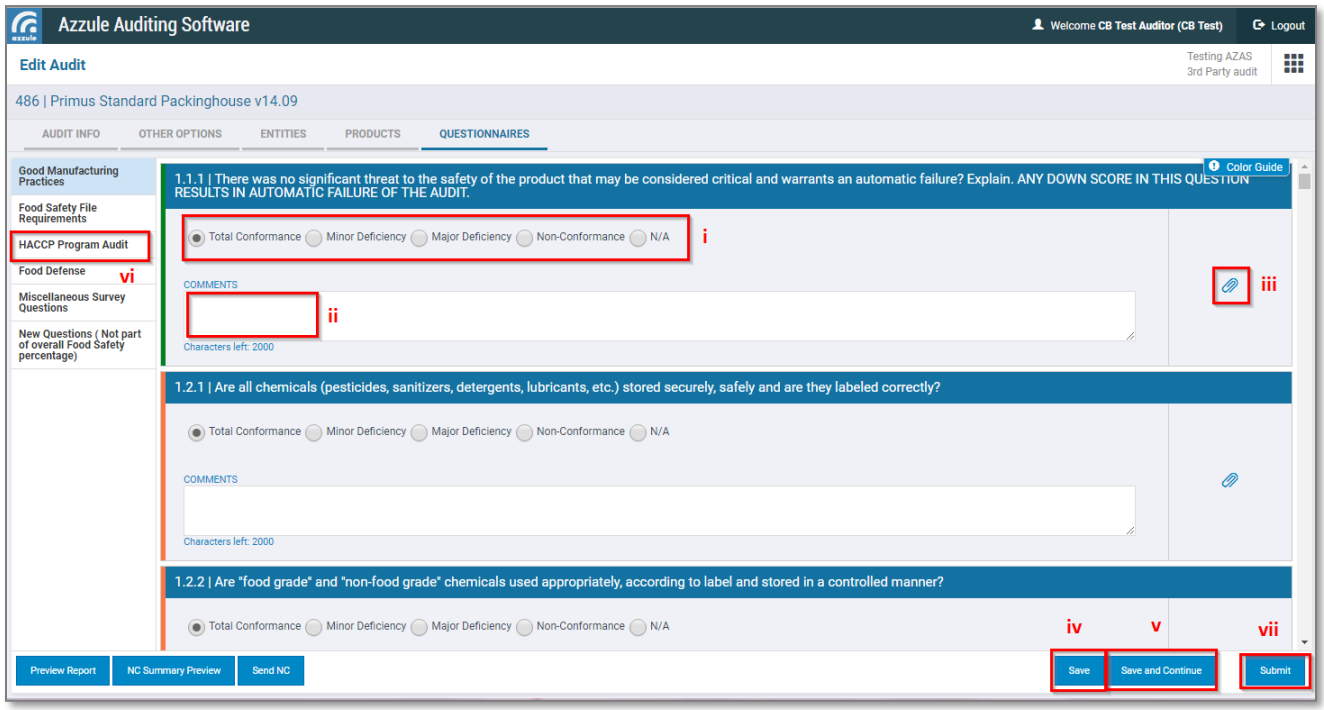
To submit the audit report, the auditor can follow steps below:

i. Click the appropriate response to each audit question.
ii. Type in comments to explain the response that the auditor selected.
iii. If necessary, the auditor can click the ***Attachment Icon*** to add attachment.
iv. If necessary, the auditor can click **Save** button to store the selected answers for that category.

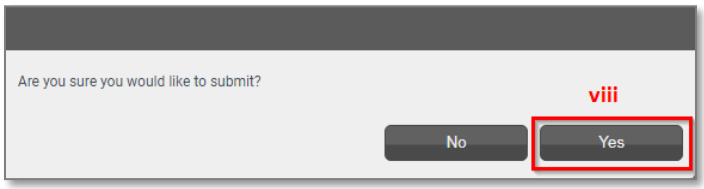
v. After completing the final question for a particular category, the auditor can click the **Save and Continue** button to store the selected answers for that category and move to the next category.

vi. Or the auditor can skip certain category and directly select a specific category to answer.

vii. Once the auditor has finished answering all of the questions in all of the categories, the auditor can click **Submit** to continue.



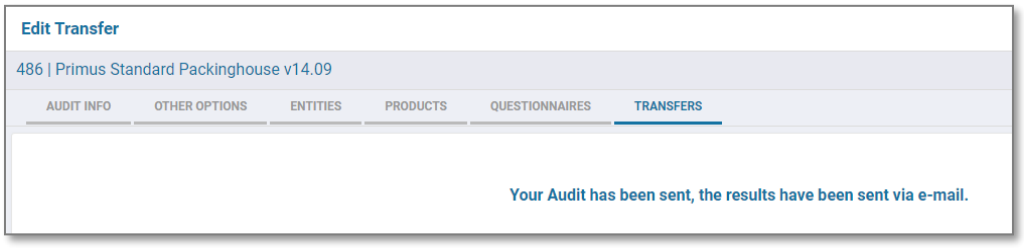
viii. Click **Yes** to confirm the submission in a pop-up window.



Note: For Sysco IPM audit, please make sure that all the questions are answered. If "Others" options are selected in the responses, please be aware that the auditor is required to add comments to explain the "Others" options.

After the confirmation, there is a page to confirm that the audit report has been sent to the auditee. The auditor can find the audit report under the "Completed Preliminary Reports" or "Completed Final Reports" tabs. Whether the audit report submitted by the auditor is a preliminary report or final report depends on the audit schemes/templates. For example, GlobalG.A.P. Audits needs to go

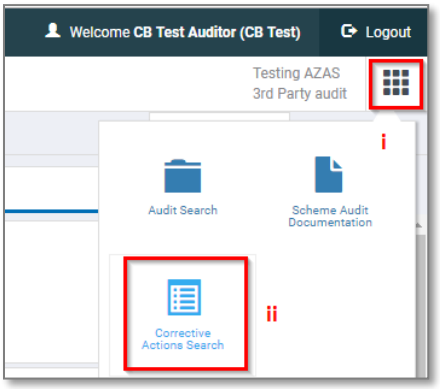
through a Certification Decision step before being considered a final report, so the audit will be marked as “Completed Preliminary Reports.”



5. Corrective Action Search

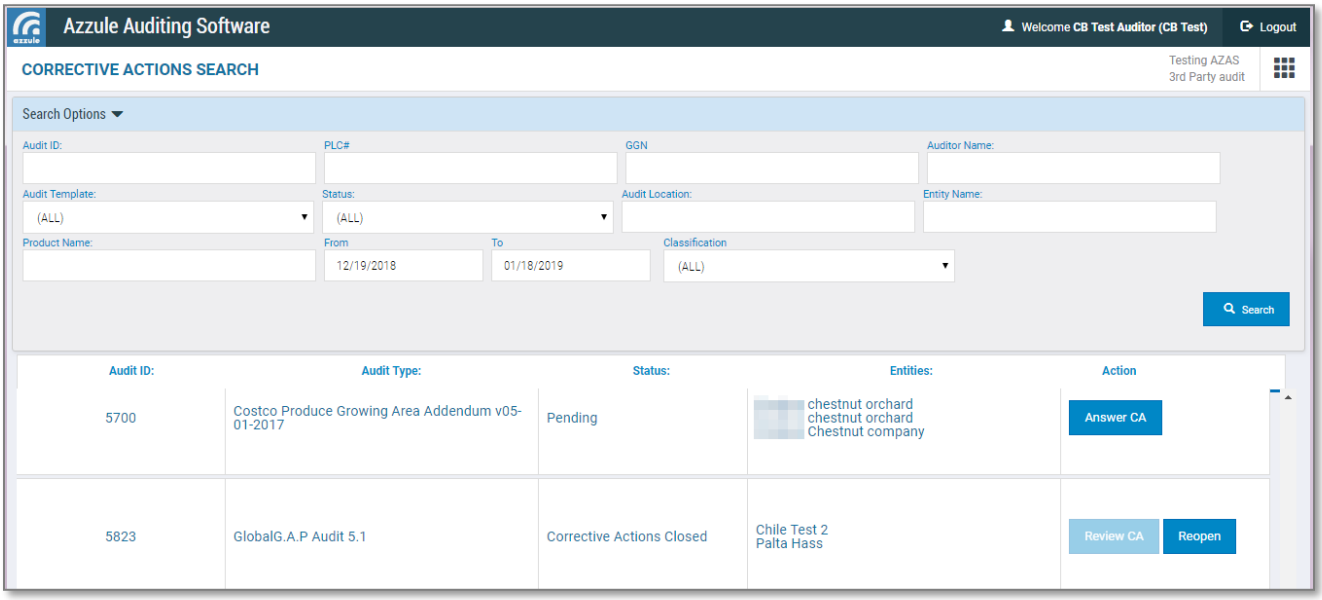
To access to the Corrective Action Search Page:

i. Click the ***Grid Icon*** in the top right corner.
ii. Click **Corrective Actions Search** in the expanded window.



In the Corrective Action Search Page, there is a search option for the auditor to filter the audit. The auditor can perform the actions in the "Action" Column. The Corrective Action Search Page offers the auditor the functions below:

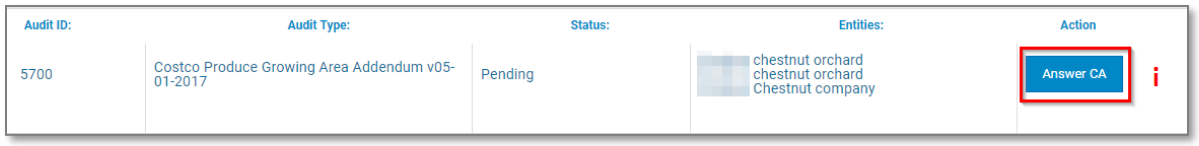
- If needed, the auditor can answer Corrective actions for these non-conformances on behalf of the auditee.
- The auditor can review the corrective actions submitted by the auditee.
- The auditor can reopen one or all non-conformance questions for the auditee to re-submit corrective actions.



5.1 To Answer CAs

The auditor can help the auditee/client to submit corrective actions if necessary. To do so:

i. Click **Answer CA** button to access the CORRECTIVE ACTIONS RESPONSE page.



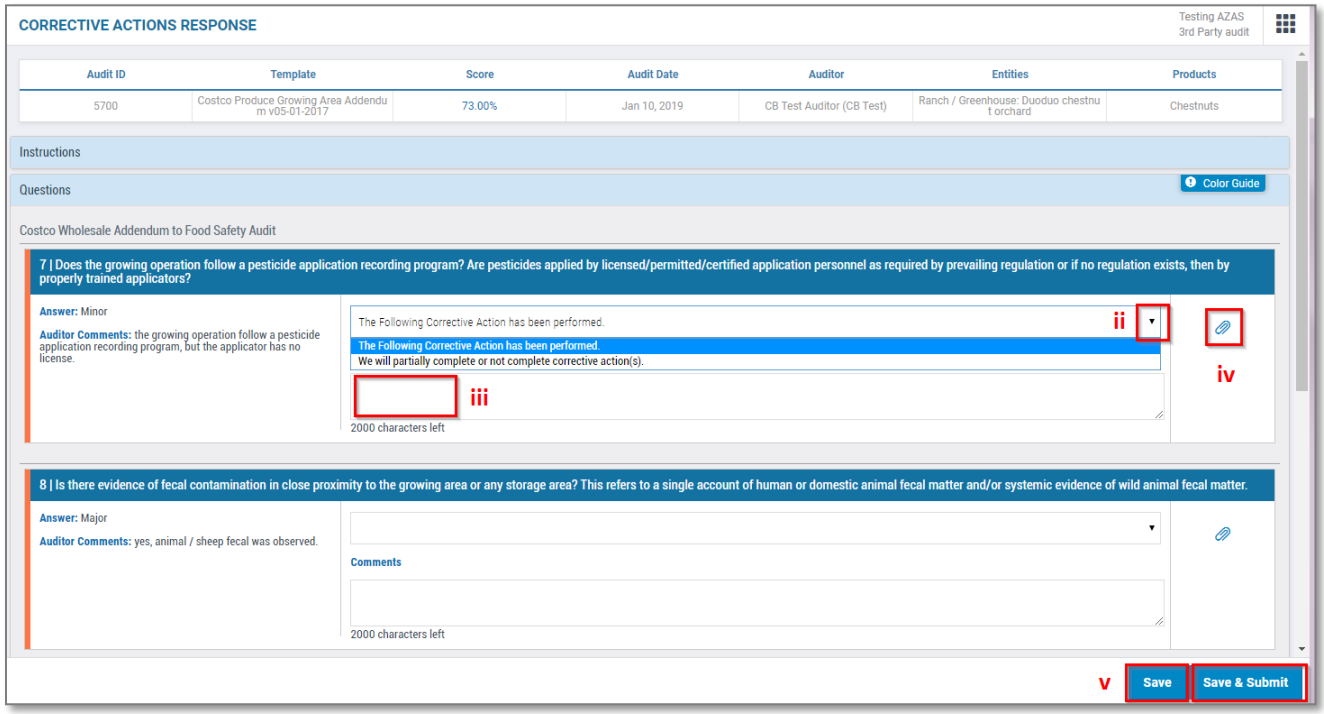
ii. In the CORRECTIVE ACTIONS RESPONSE page, the auditor can click the drop down menu of the response to select one of two options below:

- "The Following Corrective Action has been performed." This option indicates that the auditee is trying to submit all the corrective actions that might be accepted and granted a full conformance for the non-conformance question.
- "We will partially complete or not complete corrective action(s)." This option indicates that the auditee either submit some corrective actions that might be accepted and granted partially in compliance for the non-conformance question, or the auditee will not submit any corrective actions for the non-conformance question.

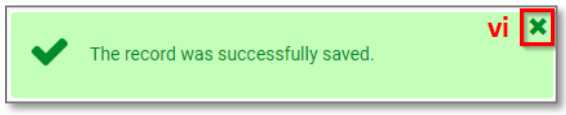
iii. Type in any comments in the comments text box.

iv. Click the ***Attachment Icon*** to attach documents along with the corrective actions. This is optional.

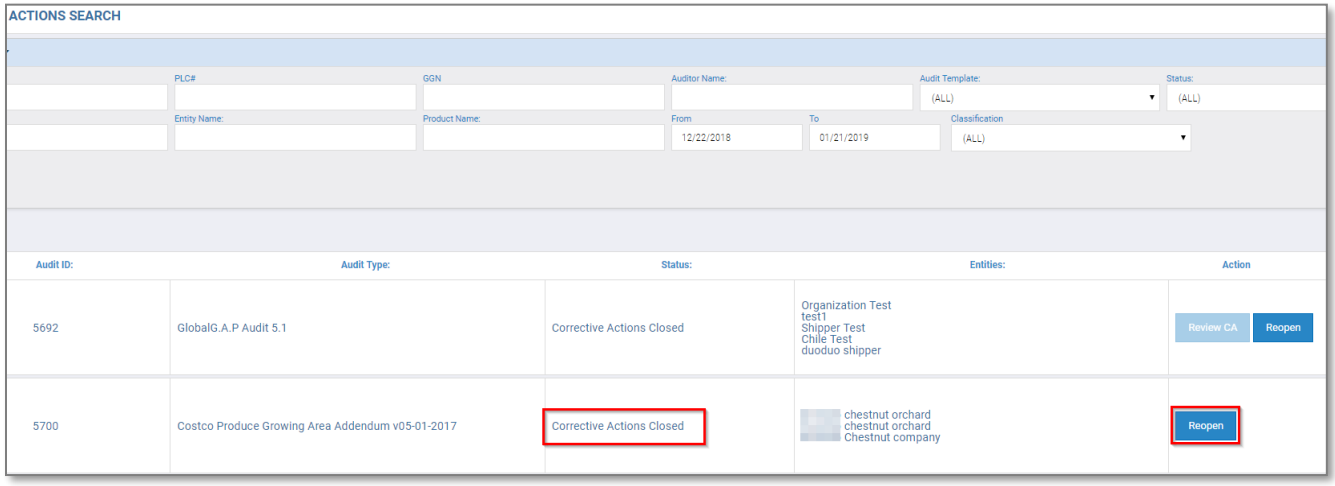
v. Click **Save** to save the submission of one corrective actions or click **Save & Submit** to complete the submission of corrective actions.



vi. In a pop up window, click **X** to close the confirmation message. The corrective actions have been submitted by the auditor on behalf of the auditee.

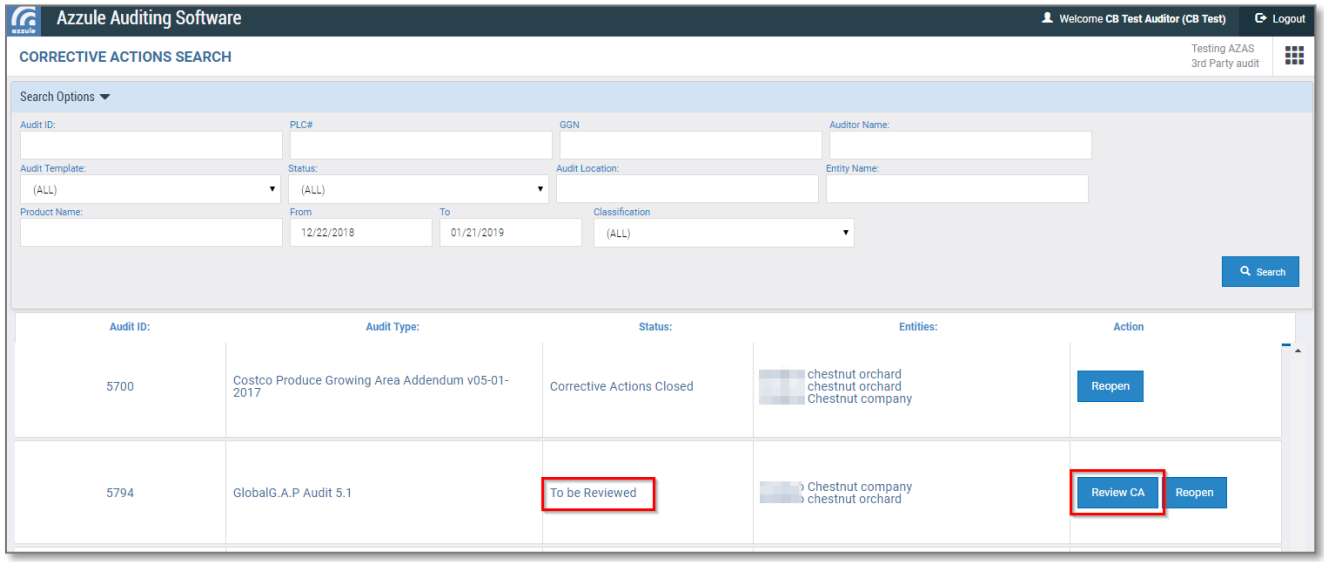


After the auditor returns to the CORRECTIVE ACTIONS SEARCH Page, the auditor will notice that the corrective action status has been updated to “Corrective Actions Closed”. The auditor can reopen the corrective action if necessary.

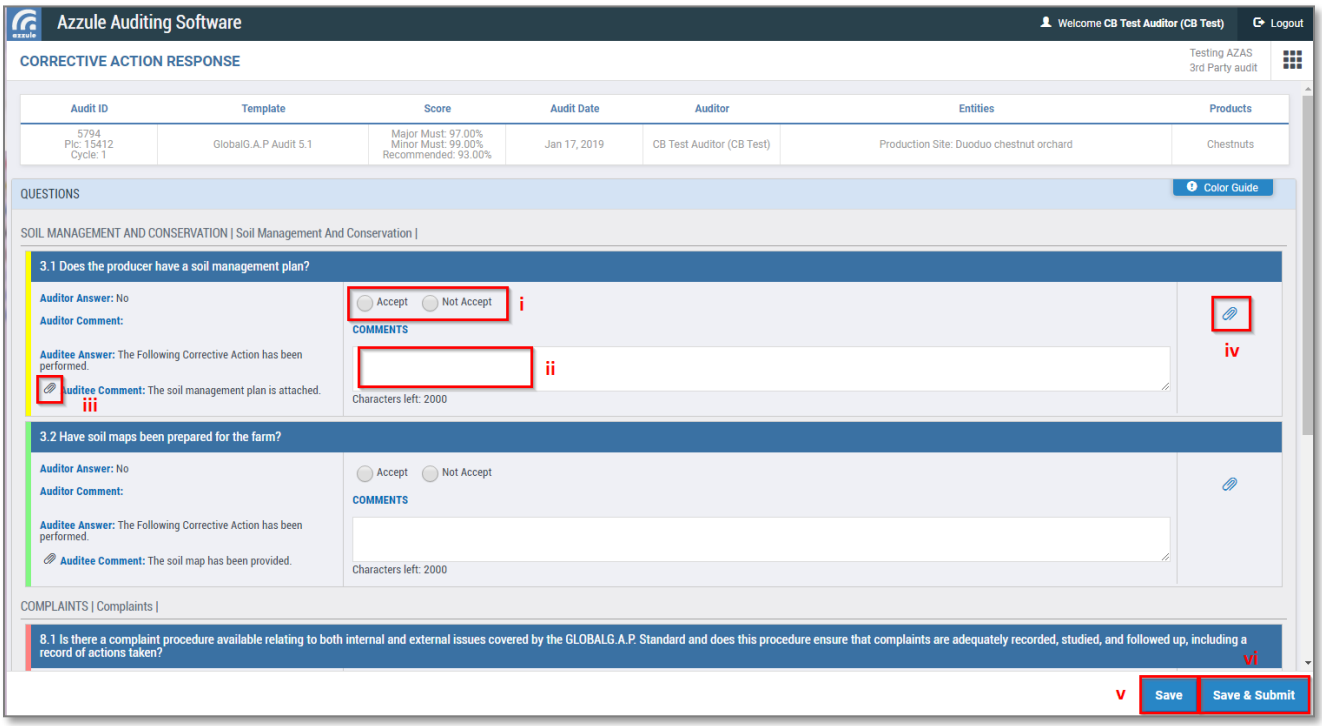


5.2 To Review CAs

In order to review the corrective actions, the auditee has to submit the corrective actions in their client site first. Once the submission is completed, the auditor can view the audit is listed as “To be Reviewed” status and the auditor can click **Review CA** to review corrective action responses.



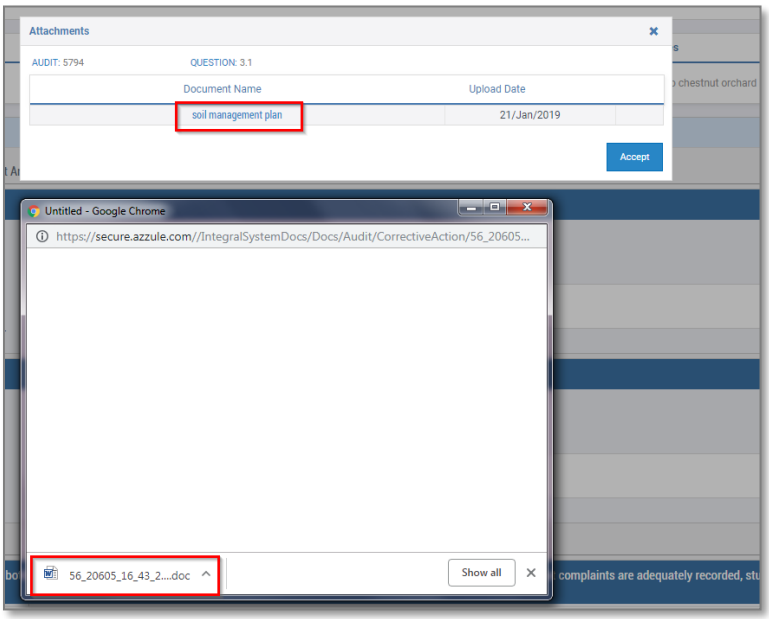
In the CORRECTIVE ACTION RESPONSE Page, the auditor is able to submit the review response to corrective actions.



i. Select "**Accept**" or "**Not Accept**" to decide whether the auditor will accept or not accept the corrective actions submitted by the auditee.

ii. Type in comments in the comments text box.

iii. If necessary, the auditor can view the attachment by clicking the ***Attachment Icon***. An attachment window will pop up and list all the attached documents for review. The auditor can click the document name to download/open the document file.

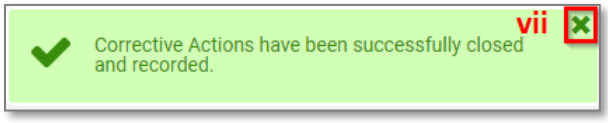


iv. If necessary, the auditor can click the Attachment Icon on the right to attach files.

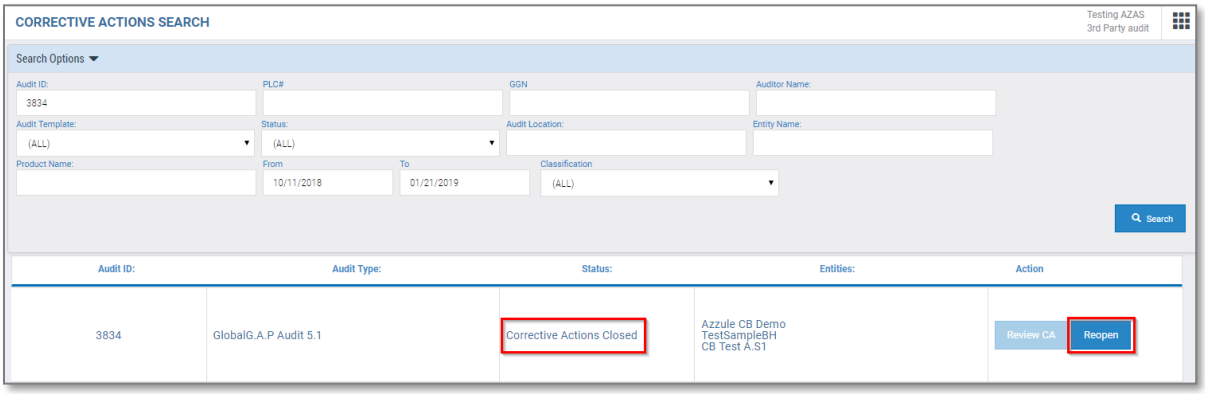
v. If necessary, the auditor can click **Save** to save the response after reviewing each question.

vi. Once all corrective actions have been reviewed, click **Save & Submit** to submit the responses for the auditee and auditing company to review.

vii. In a pop up window, click **X** to close the confirmation message. The corrective actions have been reviewed and the responses have been submitted by the auditor.

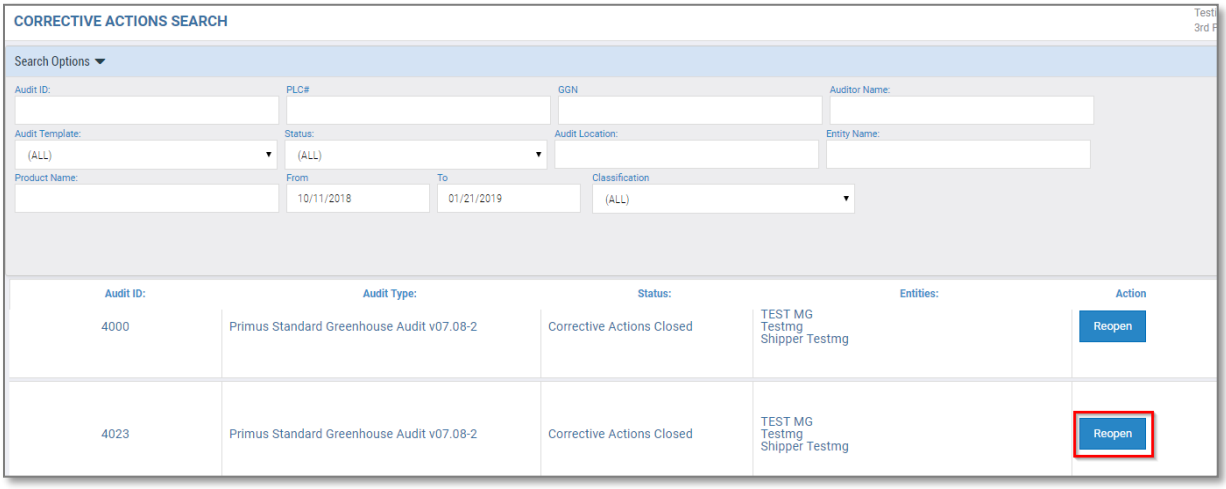


After the auditor returns to the CORRECTIVE ACTIONS SEARCH Page, the auditor would notice that the corrective action status has been updated to “Corrective Actions Closed”. The auditor can reopen the corrective action if necessary.



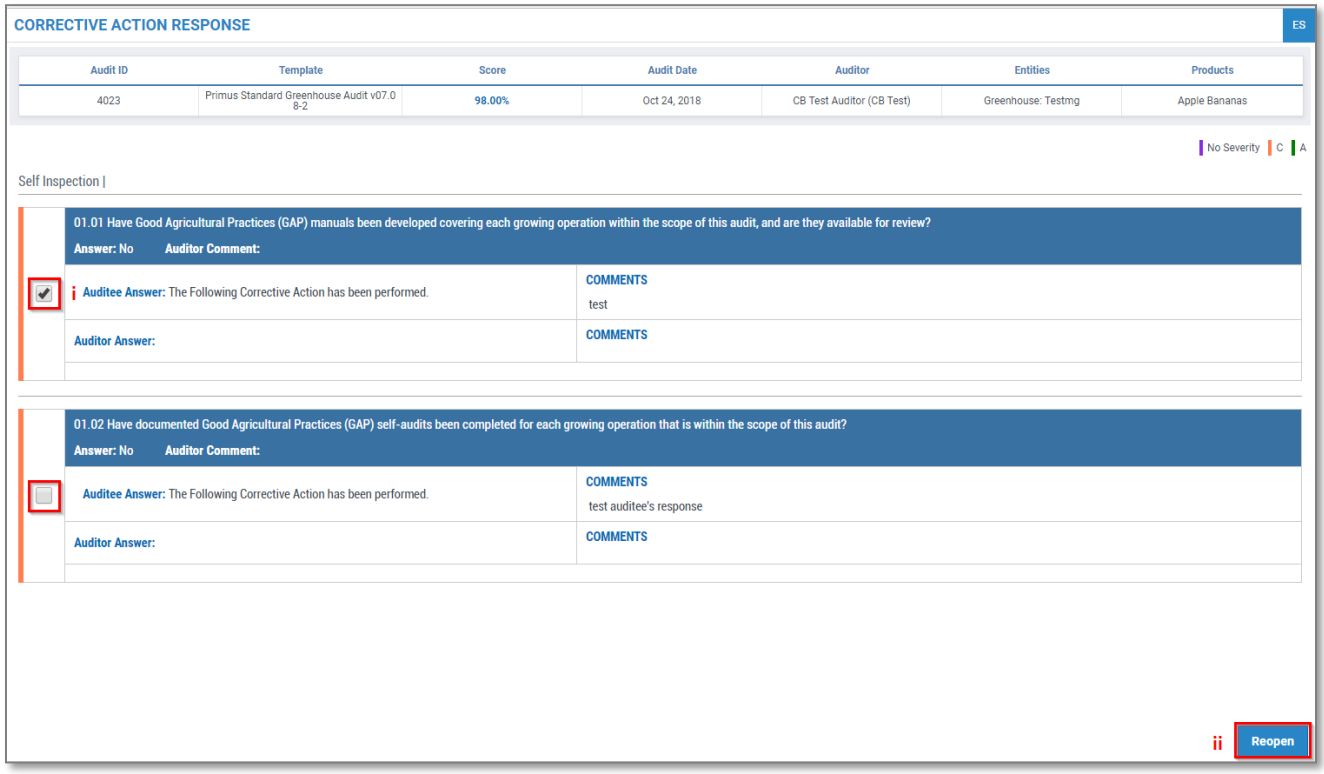
5.3 To Reopen CAs

Sometimes, the auditor needs to reopen corrective actions for the auditee/client to re-submit corrective actions. In this case, the auditor can click **Reopen CA** to start.

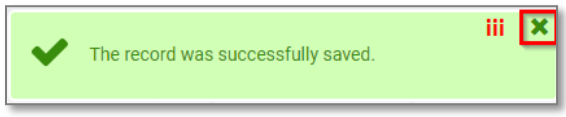


In the CORRECTIVE ACTION RESPONSE Page, all the non-conformance questions, corrective actions and responses submitted by the auditors are listed. The auditor can reopen one of the non-conformance questions, or all of the non-conformance question for the auditee to re-submit corrective actions. To do so:

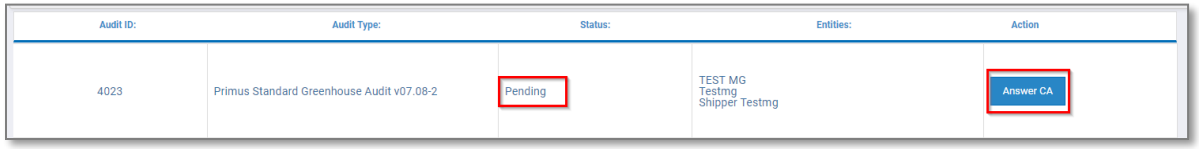
i. Select the checkbox in front of the question(s) that the auditor would like to reopen.
ii. Click **Reopen** to reopen the selected question(s).



iii. In a pop up window, click **X** to close the confirmation message. The corrective actions have been reopened by the auditor.



After the auditor returns to the CORRECTIVE ACTIONS SEARCH Page, the auditor would notice that the corrective action status has been updated to “Pending”. The auditor can help the auditee/client to submit the corrective action if necessary. The auditee/client has the access to submit the corrective action again in the client site.



6. Scheme Audit Documentation

Currently there is no Scheme Audit Documentation available in this section.

7. Help

If the auditor has problems in viewing audits that are assigned, please contact with the auditing company to check if the audit has been assigned.

If the auditor has met a systematic error, please contact with Azzule Support Team at support@azzule.com.

Please note that the Internet explorer is not supported to browse Azzule auditing software.

If you are unable to locate buttons shown in any of these screenshots, please try adjusting the zoom level on your browser. Depending on your computer monitor size, some buttons may be cut off.