Completing an Internal Audit
User Guide
For the Reliance Assessment Database

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1) For existing users, log in to Reliance via the SQF website, www.sqfi.com, under the “Suppliers” tab, then “Existing Users.”

After opening the Reliance login page via the SQF website, simply type in your username and password into the correct fields as demonstrated below. If logging into Reliance for the first time, you will be prompted to change your password and select your time zone for security purposes.

If at any time you have lost your password, simply type in your username then select “Forgot your password?” Your username must first be entered in order to use this feature. Once selecting “Forgot your password?,” an automated email from the system will be distributed to the username’s corresponding email address. If you do not receive this email immediately, be sure to check your spam filter.

Once receiving your password, you will be prompted to change that password when re-entering the system for the first time. Simply type in the temporary password you received via the distributed email, then your desired password. The password rules will be listed for you, as shown below. When completed, select “OK.” Do note that you also have the opportunity to change your login information in your user profile within the system (refer to “Editing My User Profile User Guide”).

Password Rules

1. Minimum password length is 1.
2. Must contain at least 1 digit(s).
3. Must contain at least 1 letter(s); including:
   - At least (1) lower case letter(s).
   - At least upper case letter(s).
To change your password at any time, you must first know your existing username and password. Simply type in your username and password into the correct fields, then select “Change Password.”

Your username and password must first be entered in order to use this feature. After selecting “Change Password,” you will be prompted to change your password. Simply type in your existing password, followed by your desired password. The password rules will be listed for you, as shown below. When completed, select “OK.” Do note that you also have the opportunity to change your login information in your user profile within the system (refer to “Editing My User Profile User Guide”).

It is important to note the “End User License Agreement” housed on the Reliance login page. By signing into the Reliance System using your personal username and password, you are acknowledging your understanding and acceptance of the terms and conditions listed in the “End User License Agreement.”
Creating an Audit Plan: Planning Your Internal Audit

1) When logging into Reliance after being made aware that your corrective actions are to be entered via automated emails from the system, you will first land on what is known as your Reliance portal. Your portal houses your user information, assignments, and applications.

EXAMPLE SQFI RELIANCE USERS

<table>
<thead>
<tr>
<th>Josh Richards</th>
<th>Supplier Primary Contact</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lindsey Procter</td>
<td>Supplier Secondary Contact</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Josh Richards</th>
</tr>
</thead>
<tbody>
<tr>
<td>Auditor for Internal Audit</td>
</tr>
<tr>
<td>(same as Supplier Primary Contact)</td>
</tr>
</tbody>
</table>

RELIANCE PORTAL

**User Information** – houses your login information; your Display Name, Username, and User ID Number. This area also informs you as to when you last logged in.

**My Assignments** – houses any information that is in your hands. Do you need to re-register a company? Do you need to enter corrective actions? What do you need to have done? This area is your hot spot for all items that you must have completed within Reliance at any given time.

**My Applications** – houses all of your applications. You can find all of your information within this area, including your Companies, Audits, and Registration history. You will spend the majority of your time within the system in your applications.
2) Within your portal, select “Audits” from “My Applications.” A new tab will open for you, similar to that of a web browser. You will be able to navigate back and forth between tabs freely when working within the system.

Once within the “Audits” application, you will want to select the “+” next to “Audit Plans” from the left navigation bar, then “My Open Audit Plan.”

4) When entering “**Audit Plan - Draft**,” a new tab will open. As mentioned in Step 2 above, you have the ability to navigate the system via the database tabbing. This works exactly like that of a web browser. To access other pages outside of the tab you are currently in, simply select the desired tab you would like to access. If closing out of a tab (via the “X” on the right hand side of the tab), you will be directed back to the tab you were most recently on prior to closing out your current tab.

**NOTE:** Within Reliance, it is important that you utilize Reliance features. It is suggested that you do not use your web browser back, forward, or refresh buttons when within the system. To refresh the page at any time, select “**Refresh**” within the Reliance toolbar. This toolbar will be made accessible to you when within an application at any time, as the toolbar moves up and down your screen as you scroll up and down a form. To navigate back and forth, simply utilize the tabs as you would in a web browser.

When creating an internal audit, you will always begin with an audit plan, prior to creating the audit itself.

**RELIANCE AUDIT TERMINOLOGY**

**Audit Plan** – houses all of your basic audit information; what is the audit type? What is the audit level? What checklists are associated with this audit? When is the audit taking place?

**Audit** – houses your specific audit. You will be able to export and import audit data via the Offline Audit Tool, review your nonconformities, and enter your corrective actions within this area.

5) When entering the “**Audit Plan – Draft**,” you will notice a phase tracker at the top of the form. This phase tracker will mark the phases to which your audit plan is created and approved. Once the audit plan has been created, it must be approved before the audit itself can be scheduled. The user that is creating the audit plan (in its “**Draft**” form) will be the individual approving the plan.
6) Scrolling down past the phase tracker within the “Audit Plan – Draft” form, under “Plan Information,” you will select the “Plan Type,” and corresponding “Level,” as demonstrated below.

7) If you are a Multi-site, select the “Yes” radio button. If not, simply select the “No” radio button.

**NOTE:** Multi-site requirements are laid out in the SQF Code, Ed. 7, under Module 16.

After selecting your correct radio button, the “Supplier” search field will automatically populate for you, to which you will be able to select the company that you would like to conduct an internal audit for.

8) To select the company that you would like to conduct an internal audit for, you can either type in the name of the company in the “Supplier” search field, then select the company that appears for you in the dropdown box, or you can utilize the search icon to the right of the “Supplier” search field for a specific company search. Both searches are demonstrated below.
1. Type in name

2. Select Magnifying Glass icon to pull up new contact record

3. Select radio button to left of new contact

4. Select “Add” Button

5. Select “OK”
9) After selecting your desired company, you will notice that the Applicable Food Sector Categories for that company automatically populate underneath the “Supplier” field.

**NOTE:** If the incorrect Food Sector Categories are appearing for the company that you have selected, you will be unable to edit those Food Sector Categories within the “Audit Plan – Draft” area. Essentially, this means that the incorrect Food Sector Categories exist for that company within the Company Profile, because the Applicable Food Sector Categories are managed within the Company Profile. A Primary Contact has the ability to edit Food Sector Categories within a Company Profile (refer to “Editing Company Profile & Company Contacts User Guide,” pages 11 – 13). Once the Applicable Food Sector Categories have been correctly edited within the Company Profile, start the “Audit Plan – Draft” over, to which they should now correctly appear.

![Plan Information](image)

10) Finally, enter a title for your internal audit within the “Title” field. This can be named anything. It is suggested that you have the words “internal audit” and the company name somewhere within this title. For this user guide, “Casual Cookies, Inc. Internal Audit 1” has been assigned as the title.

![Plan Information](image)

Once having entered a title to your liking, you have completed entering the Audit Plan’s “Plan Information.”
11) You will now enter the audit scheduling area, beneath the “Plan Information,” in the “Scheduled Audits” area. This is where you will select the checklists that make up the audit itself, where you will select an acting Auditor, and where you will schedule your audit. First, you must select what is known as an “Audit Profile.” The Audit Profile is filtered based off of the information you have already entered within the audit plan (specifically, the audit type and level). Select your audit profile by selecting on the search icon to the right of the Audit Profile field, to which a new window will open for you. A Re-certification Facility Audit Level 2 internal audit will be utilized during this user guide demonstration.

**NOTE:** Only those audits that match your audit type and audit level will appear for you within the Audit Profile search.

Select the correct audit profile, then select “OK.”
12) Once selecting “OK,” you will be brought back to your audit plan. You should now notice your audit profile listed within the “Audit Profile” field. You will next select the acting “Lead Auditor.” Like that of the Audit Profile, select the search icon to the right of the “Lead Auditor” field.

A new window will open to which each company contact should appear for you within the “Lead Auditor” search. Select the desired contact who will be the Auditor for your internal audit.
13) Once choosing your desired Auditor, select the “Add” button, then “OK.” You will then be brought back to your audit plan. You should now notice your Auditor listed within the “Lead Auditor” field. You will next select the acting “Checklists.” Like that of the Audit Profile and Lead Auditor fields, select the search icon to the right of the “Checklists” field.

A new window will open to which you can select the appropriate checklists for your internal audit. The checklists you will utilize are the modules that specifically correspond with the Applicable Food Sector Categories of the company being internally audited. Select the correct checklists for your internal audit.

NOTE: You can find a listing of which modules correspond with which Food Sector Categories in the SQF Code, Ed. 7, under Part A, Section 1.2.
To have a checklist, or checklists, added, select the checklists from the left hand window. You can select one by clicking on it, select a cluster by holding down the “Shift” key on your keyboard and clicking a the first and last of your desired cluster, or select multiple by holding down the “Control” key on your keyboard and making your selections.

CHECKLIST SELECTION SHORT CUTS

Clicking One

- Additional Questions
- Re-Certification Facility Audit Module 10 Level 2
- Re-Certification Facility Audit Module 11 Level 2
- Re-Certification Facility Audit Module 12 Level 2
- Re-Certification Facility Audit Module 13 Level 2
- Re-Certification Facility Audit Module 14 Level 2
- Re-Certification Facility Audit Module 15 Level 2
- Re-Certification Facility Audit Module 2 Level 2 (Internal)

Holding Down Shift Key

- Additional Questions
- Re-Certification Facility Audit Module 10 Level 2
- Re-Certification Facility Audit Module 11 Level 2
- Re-Certification Facility Audit Module 12 Level 2
- Re-Certification Facility Audit Module 13 Level 2
- Re-Certification Facility Audit Module 14 Level 2
- Re-Certification Facility Audit Module 15 Level 2
- Re-Certification Facility Audit Module 2 Level 2 (Internal)

Holding Down Control Key

- Additional Questions
- Re-Certification Facility Audit Module 10 Level 2
- Re-Certification Facility Audit Module 11 Level 2
- Re-Certification Facility Audit Module 12 Level 2
- Re-Certification Facility Audit Module 13 Level 2
- Re-Certification Facility Audit Module 14 Level 2
- Re-Certification Facility Audit Module 15 Level 2
- Re-Certification Facility Audit Module 2 Level 2 (Internal)
Once your selections have been made, you can have your selected checklist(s) added to the right window by clicking on the “Add” button, as shown below.

When you are happy with your selected checklist(s), select “OK.”

Once selecting “OK,” you will be brought back to your audit plan, to which you will now notice your selected checklist(s) listed.

You may also remove an unwanted checklist within the “Draft” phase by simply scrolling over the unwanted checklist, and selecting the “X” that appears to the right, as shown below.
14) After selecting your specific internal audit checklists, you may now set the date and time of the start and end to your audit. This is completed by selecting the calendar icon to the right of the “Start Date and Time” and “End Date and Time” fields.

15) Once having selected a Start Date and Time and End Date and Time, you may now review the information you have placed into the audit plan thus far.

**NOTE:** If you are completing a certification internal audit, rather than a recertification internal audit, you will be able to add both a document internal audit and facility internal audit within one audit plan. Simply select the correct document audit profile first, fill out the appropriate information, then select “Add Record” to create a new audit sub-form. You will then be able to create the facility internal audit profile.
It is suggested that at this point of the Audit Plan, that you “Save” your information. Select “Save” at the bottom of your screen, or in the Reliance toolbar at the top of your screen.

16) At this point, you can route the audit plan from the “Draft” phase to the “Approval” phase. To complete this, locate the phase tracker within the Audit Plan, then select “Approval,” as demonstrated below.

17) Once having selected “Approval,” you will notice a pop-up system feature titled the “Phase Dialogue Box.” This box is a feature in which you are able to notify particular individuals of your audit plan.

PHASE DIALOGUE BOX
Refer to page 17

Send To – this field documents which phase you are routing the phase tracker to. Within an audit plan, you will be routing the phase tracker to the “Approval” phase, then eventually the “Approved” phase. “Approval” should have prepopulated for you within this field. You will not need to alter this field.

Due Date – this field designates a date to which the approval will need to be reviewed. The system will automatically designate this date; however, you also have the opportunity to select a review date. This field must have a date entered, as it is a required field (denoted with a red asterisk).

Assign To – this field designates which individuals will be notified by email of your phase tracker routing. This field is not editable, as it will automatically be designated with the contact who created the audit plan for the internal audit.

Notify – this field allows you as the Supplier to notify other individuals via email that you are routing the audit plan phase tracker forward to the “Approval” phase. You have the opportunity to add other company contacts within this field. This process will be mapped out for you on page 17. You do not have to notify other individuals when routing a corrective action to the “Approval” phase. This is an optional feature.
**Comment** – this field is for additional comments. These comments will list for those individuals being notified that the audit plan is moving to the “Approval” phase.
To notify other individuals that you are routing the audit plan to the “Approval” phase, simply select the contacts icon at the top right corner of the “Notify” field.

A new window will open, to which you can search for the desired individual you plan to have notified of this phase routing. For example, let’s say you are searching for another secondary company contact to notify: Lindsey Procter. To select Lindsey as an additional individual to notify, simply type in his name in the search field as demonstrated below. So you are aware, you will only be able to search for existing contacts within Reliance.

When typing in Lindsey’s name, you will notice that she appears for you in an auto search feature. Simply select her name, then select the “Search” icon (magnifying glass).
You will now be able to select Lindsey. First click on the check box to the left of her contact record, then “Add” her via the “Add icon” as shown below.

Lindsey’s name will now appear for you within the Phase Dialogue Box in the “Notify” field. You may remove added contacts from the Notify field at any time by simply selecting on the × to the right of the contact’s name.
19) Finally, a comment can be added within the Phase Dialogue Box, as mentioned on page 17.

```
| Comment: | This field is for additional comments. These comments will list for those individuals being notified that the audit plan is moving to the "Approval" phase. |
```

20) Once you have completed all that you would like to have completed within the Phase Dialogue Box, select “OK.”

![OK and Cancel buttons]

21) After selecting “OK,” you will be brought back out to the “Audits” application.

At this point, you may leave the audit plan within the “Approval” phase until needing to be approved.

**Approving an Audit Plan**

1) When ready to approve an audit plan, locate the audit plan within the “Audits” application from your Reliance portal.
Once within the “Audits” application, you will want to select the “+” next to “Audit Plans” from the left navigation bar, then “My Open Audit Plan.”

2) Within “My Open Audit Plan,” locate the internal audit needing approval.

You can also locate your audit under the “My Assignments” area within your Reliance portal. This will only be made available to the creator of the audit plan, in this case, Josh Richards.
3) When entering the audit plan for approval, you will notice that the phase tracker has updated. You now have the opportunity to “Voided,” “Approved,” or route the audit plan back to “Draft” (should any edits to the already created audit plan information need to take place).

**Voided** — by routing the audit plan to the Voided phase means that the audit plan will no longer be needed. **Warning:** routing the audit plan to this phase will remove the audit plan entirely within the system.

**Approved** — by routing the audit plan to the Approved phase means that you have approved all of the information within the audit plan and are ready to schedule

**NOTE:** When an audit plan is in the “Approval” phase, all of the information will only be read-only. You will be able to edit the audit plan information in the “Draft” phase. If you notice an error within the audit plan information, simply route the audit plan back to the “Draft” phase by selecting “Draft” on the phase tracker.
4) If you are happy with the information listed within the audit plan, route the internal audit forward by selecting “Approved” within the audit plan phase tracker.

![Audit Plan Phase Tracker]

**NOTE:** The contact acting as the Lead Auditor will not be able to be edited after the audit plan has been approved. Ensure that this information is in fact correct before approving the audit plan.

5) Like that in step 17 of “Creating an Audit Plan,” a phase dialogue box will appear for you. Refer to steps 17 – 21 for adding contacts to receive notifications. If ready to approve the audit plan, select “OK.”

![Phase Dialogue Box]

If you are unaware as to what a Phase Dialogue Box is, refer to pages 16 - 21 of this user guide.

6) Once selecting “OK,” you will be brought back out into the “Audits” application. The audit plan has now moved from “My Open Audit Plan” to “Approved” under “Audit Plans,” as demonstrated below.

![Audit Plan in Audits Application]
Scheduling an Internal Audit

1) Enter the audit plan by selecting it within the “Audits” application (accessed within your Reliance portal). You will now notice that the phase tracker is no longer listed, only the word “Approved.”

2) You will now need to create the audit itself, by selecting “Schedule Audit” located at the bottom of the form.
3) A new tab will open at the top of the page titled “Audits (New).” This is where your internal audit will be housed for the entire audit process. You will notice a new phase tracker, starting in the “Draft” phase (like that of the audit plan).

![Audit (New) Screen](image)

4) At this point, you will be able to review the information populated into the audit from the audit plan, beneath the audit phase tracker. You will notice that you have the opportunity to edit and add additional information, such as secondary Auditors.

![Audit Information](image)

**NOTE:** Within an audit, you will be unable to edit the Supplier, audit level, or Lead Auditor.
5) If needing assistance in making edits to any of the already populated audit plan information, refer to Steps 13 – 15 under “Creating an Audit Plan” above.

6) To add any secondary auditors, simply select on the people search icon on the right hand side of the secondary auditors field, to which you can search for additional company contacts, and add them as a secondary auditor. If needing assistance in adding secondary auditors, refer to Step 12 under “Creating an Audit Plan” above.

7) If no edits need to be made, select “Save” at the bottom of the audit form, to which the selected checklists (from the audit plan) will transfer over to the audit.
8) Within each checklist, you will have the opportunity to mark items as N/A (not applicable) for the internal audit being conducted. Essentially, this means that items marked as N/A now, will appear as N/A within the Offline Audit Tool. To mark items as N/A within a checklist, click on a checklist profile.

9) This will open a new tab, to which you will be able to view each checklist item. You will then be able to mark certain items as not applicable, should an item not be applicable to your internal audit.

**NOTE:** If an item is mandatory (the “Mandatory” checkbox is checked – per the SQF Code, Ed. 7 – then you will be unable to mark the item as not applicable). Only items that are not mandatory may be marked as not applicable to your internal audit.

To make an item as not applicable within the checklist, select on the search icon in the right corner of “The following Items are not applicable in this Audit” field. You will be able to select as many non-mandatory items as you please.
10) To mark an item as not applicable, simply select the check box next to the desired item, then add it to the right and select “OK.”

11) Once selecting “OK,” the items you selected as not applicable will appear in “The following Items are not applicable in this Audit” field.

To remove an item you have selected as not applicable, simply select the “X” next to the item within “The following Items are not applicable in this Audit” field.
You will also notice that there is an option to create new ad-hoc questions. These questions are not scored and could be used for informational or training purposes.

<table>
<thead>
<tr>
<th>Items</th>
</tr>
</thead>
<tbody>
<tr>
<td>Clause</td>
</tr>
<tr>
<td>11.1.1 Premises Location</td>
</tr>
<tr>
<td>11.1.2 Premises Location</td>
</tr>
<tr>
<td>11.1.2.1 Construction and Operational Approval</td>
</tr>
</tbody>
</table>

12) To save and close out of this checklist, simply select, “Save and Close.”

13) To edit any of your other checklists, repeat Steps 8 – 12 from above.

14) Once having completed editing each of your checklists, you may now route the audit within the phase tracker to “Perform Audit.” The “Perform Audit” phase is the first phase of the audit process.
A new phase dialogue box will appear for you, this time routing to the acting Lead Auditor, in this case, Josh Richards.

Select “OK.” Once selecting “OK,” you will be brought back out to the “Audit Plan.” The internal audit can now take place.

Exporting Your Internal Audit

AUDIT PHASE TERMINOLOGY

**Perform Audit** – the phase to which you can edit particular checklist information. What Code items are not applicable to your facility for your internal audit? You will also be able to export the audit into the Offline Audit Tool, and import audit data from the Offline Audit Tool within this phase.

**Nonconformities Review** – houses all of your resulting nonconformances from your internal audit. You will be able to review each of your non-conformances during this phase, prior to entering corrective actions into the system.

**Approval** – the phase to which you will have the opportunity to review all of the nonconformances before routing the action items to be reviewed.

**Corrective Action Plan and Review** – houses all of your action items. You will be able to respond to each of your internal audit nonconformances with corrective actions within this phase of the audit.

**Closed** – the phase to which your internal audit is completed. You will be able to export an audit report within this phase to review your internal audit results.
1) Access your audit within the “Audits” application from your Reliance portal. Within the “Audits” application, under “Audits” select “My Open Audits.”

2) To export the audit to place into the Offline Audit Tool, enter your audit by clicking on it within the “Audits” application.

Within the audit, you will notice the “Export Audit” button. You will select this button to export this specific audit to be utilized within the Offline Audit Tool.

IMPORTANT

You MUST first have downloaded Java Development Kit (JDK) and the Offline Client in order to utilize the Offline Audit Tool. If you have not yet downloaded both, you will be unable to utilize the Offline Audit Tool. If you need assistance in downloading both, refer to the “Downloading JDK and Offline Client User Guide.”
3) Select “Export Audit” within the audit.

4) Once selecting “Export Audit,” you will be prompted to “Save” the file to your computer. All audit files that are exported from Reliance will be exported as a zip file. Select “Save.”

It is highly recommended that you save the audit to your desktop, for easy access.
You can rename the audit zip file as you please. For the demonstration in this user guide, it will remain the same. As shown, the audit is being saved to the computer desktop. Once the download is completed, select close.

At this point, you will be able to access the exported audit within the Offline Audit Tool.
Completing Your Internal Audit & Utilizing the Offline Audit Tool

1) To access your exported audit, you must first open your Offline Audit Tool. If your Offline Audit Tool is available on your desktop, double click on the program to open it.

2) Select “Open.”
3) Locate the exported audit zip file on your computer, select it, and click “Open.”

4) Within the Offline Audit Tool, your exported audit should now open in each of the checklists you created within the audit. To open each checklist, click on the “+” to the left of each folder.

5) Once opening each checklist via the “+” sign to the left of each checklist, you may begin filling out the Offline Audit Tool with the correct audit data.
6) To fill out the Offline Audit Tool, simply select on an item at a time. This will open the item information within the checklist.

**NOTE:** Any item marked as not applicable in advance within the checklists in Reliance (online) has the ability to be edited within the Offline Audit Tool by the acting Auditor.

**NOTE:** When successfully completing an item, the circle that was once empty to the left of the item will turn black. It is important to ensure that the primary responses and evidence are entered for each item (besides those marked as N/A).

You can also utilize the “Summary Report” within the Offline Audit Tool to see the status and breakdown of answered items filled in within the tool itself. Simply select “Summary Report” to view this information.
Once the Offline Audit Tool has been entirely filled out, you have the ability to generate a PDF Summary of the nonconformities entered thus far. Simply click on the “PDF Summary Report” to generate this report.

7) Finally, when completed with entering audit data within the Offline Audit Tool, select “Exit.” When selecting “Exit” or attempting to “X” out of the Offline Audit Tool, you will be informed that your data will be saved upon exit. This will ensure that your data will be saved no matter what when working within the Offline Audit Tool.
NOTE: When working within the Offline Audit Tool, you may access the tool multiple times to edit data. Nothing will import into Reliance until you manually import the audit into the system.

**Importing Your Internal Audit into Reliance**

1) When you have completed filling out the Offline Audit Tool for your internal audit, you will be able to import your audit back into Reliance. To import your audit into the system, first login to Reliance, and enter the “Audits” application from your portal.

2) Access your audit within the “Audits” application from your Reliance portal. Within the “Audits” application, under “Audits” select “My Open Audits.”

3) Within the audit, you will notice the “Import Audit” button. You will select this button to import your specific internal audit back into Reliance.

4) Select “Import Audit” (page 39).
5) A new window will open for you, to which you will be able to locate your internal audit zip file from your computer. Begin by selecting the hyperlink icon, as demonstrated below.
6) After selecting on the hyperlink icon, you will want to locate your internal audit zip file. Once selected, click on “Open.”

NOTE: When importing your audit, ensure that you are importing the zip file, not the folder (as shown above).

7) Once selecting “Open,” your audit should appear within the import field.

NOTE: If the audit file name is too large (more than 80 characters), the system will not allow you to import the audit zip file. Simply rename the file on your computer, then repeat Step 6.

8) Select “Import.”
9) If your audit successfully imported all audit data, you will see the below message.

```
Import Audit
Result
Importing audits completed successfully
```

**NOTE:** If the above message informs you that the audit imported, but with errors, note that the audit successfully imported, but evidence was missing for certain items within the Offline Audit Tool. You will be able to edit this information within Reliance. You must have this information edited, or you will be unable to route the audit forward from “Perform Audit” to “Nonconformities Review.”

10) After successfully importing the audit, you will be directed back to the Audit within the system. You will notice that results have appeared for each checklist. Select “Save” to view the score in the bottom left hand corner of the screen.

```
Checklists
Re-Certification Facility Audit Module 2 Level 2 (Internal) # 00428
Result
2 Compliant, 1 Minor
Re-Certification Facility Audit Module 11 Level 2 # 00420
Result
1 Compliant, 2 Minor
Re-Certification Facility Audit Module 7 Level 2 # 00430
Result
3 Compliant
```

11) To make edits to any of the imported audit data, simply enter into each checklist to review the information. You will have editable rights to any of the imported data, to which you can change information should you need to.

```
<table>
<thead>
<tr>
<th>Items</th>
</tr>
</thead>
<tbody>
<tr>
<td>Clause 11.1.1 Premises Location</td>
</tr>
<tr>
<td>The location of the premises shall be such that accident and adjoining buildings, operations and land use do not interfere with safe and hygiene operations.</td>
</tr>
<tr>
<td>Primary Response and Evidence</td>
</tr>
<tr>
<td>Result: Compliant</td>
</tr>
<tr>
<td>This is compliant.</td>
</tr>
<tr>
<td>Mandatory</td>
</tr>
<tr>
<td>False</td>
</tr>
<tr>
<td>Clause 11.1.2 Premises Location</td>
</tr>
<tr>
<td>Measures shall be established to maintain a suitable external environment, and the effectiveness of the established measures shall be monitored and periodically reviewed.</td>
</tr>
<tr>
<td>Result: Minor</td>
</tr>
<tr>
<td>This is the second minor.</td>
</tr>
<tr>
<td>Mandatory</td>
</tr>
<tr>
<td>False</td>
</tr>
<tr>
<td>Clause 11.2.1 Construction and Operational Approval</td>
</tr>
<tr>
<td>The construction and ongoing operation of the premises on the site shall be approved by the relevant authority.</td>
</tr>
<tr>
<td>Result: Minor</td>
</tr>
<tr>
<td>This is the third minor.</td>
</tr>
</tbody>
</table>
```
EXAMPLE

You need to have the evidence edited within clause 11.1.1.1. Click into the item, and edit it, as shown below.

Select “Save & Close” when completed, or “Next Item” to move to the next item within the checklist to have edited.

NOTE: During the “Perform Audit” phase (only), you can also make edits within the Offline Audit Tool to audit data and have that information reimported. Reimported audit data will replace existing audit data within the system, but only during the “Perform Audit” phase.
12) If you have completed editing all of your imported internal audit data, you will want to route the audit forward to “Nonconformities Review,” by clicking on that phase of the phase tracker at the top of the audit form.

**NOTE:** Once you have routed the audit forward to “Nonconformities Review,” you will no longer be able to import any audit data, or audit data edits, from the Offline Audit Tool. All edits will be made within Reliance from this phase on.

13) A new phase dialogue box will appear for you, routing again to the acting Lead Auditor, Josh Richards.

14) Select “OK.” Once selecting “OK,” you will be brought back out to your Reliance portal. The internal audit nonconformities can now be reviewed by the acting Lead Auditor.
Reviewing Your Internal Audit Nonconformities

1) Access your audit within the “Audits” application from your Reliance portal. Within the “Audits” application, under “Audits” select “Open by Assigned.”

2) Select the audit. You will notice that the phase tracker is now in the “Nonconformities Review” phase.

NOTE: The nonconformities will only be editable to the acting Lead Auditor. Other company contacts will be able to view the nonconformities, but in read-only format.

3) Your nonconformities will list for you, one-by-one, down the nonconformities review form. You may review the primary responses and evidence for each nonconformance by scrolling down the page.
4) To edit a nonconformance, simply select the “Clause” within the nonconformance.

As the acting Lead Auditor, you have the ability to edit the non-conformance.
5) Select “Save & Close” when completed, or “Next Item” to move to the next item within the checklist to have edited.

6) You will be redirected to the nonconformities review page. To have the edits to your nonconformities go through, you must “Reload Nonconformities.” Select the button, as shown below. This button is located at the very bottom of the nonconformities form, following your last nonconformance.

7) Once selecting “Reload Nonconformities,” your nonconformities will update appropriately.
8) If you have completed editing all of your nonconformities, you will want to route the audit forward to “Approval,” by clicking on that phase of the phase tracker at the top of the audit form.

9) A new phase dialogue box will appear for you, routing again to the acting Lead Auditor, Josh Richards.

10) Select “OK.” Once selecting “OK,” you will be brought back out to the “Audits” application. The internal audit nonconformities can be reviewed for a final time and approved by the acting Lead Auditor.

If you are unaware as to what a Phase Dialogue Box is, refer to pages 16 - 21 of this user guide.
Approving Your Internal Audit Nonconformities

1) Prior to reviewing and entering your action items for your resulting nonconformities, they must be approved within the system.

2) Access your audit within the “Audits” application from your Reliance portal. Within the “Audits” application, under “Audits” select “Open by Assigned.”

3) Select the audit. You will notice that the phase tracker is now in the “Approval” phase.

4) Beneath the phase tracker within the audit form, you will be able to view again each of your nonconformities, as well as each contact the nonconformities have been assigned to. You will also notice the expected completion date for action items per each nonconformance.
5) If during this phase, any further edits need to be made to the nonconformities before routing for corrective action review, you can have them made now, by clicking into the “Clause.”

To make edits to your nonconformities, follow Steps 4 – 7 listed under “Reviewing your Internal Audit Nonconformities” above.

6) If you are happy with your listed nonconformities and no further edits need to be made, you may route the audit to the “Corrective Action Plan and Review” phase, to which you will be able to enter your action items for each of your nonconformities. To complete this, select on the “Corrective Action Plan and Review” phase within the phase tracker at the top of the audit form.
7) A new phase dialogue box will appear for you, routing again to the acting Lead Auditor, Josh Richards.

![Phase Dialog](image)

If you are unaware as to what a Phase Dialogue Box is, refer to pages 16 - 21 of this user guide.

8) Select “OK.” Once selecting “OK,” you will be brought back out to the “Audits” application. The internal audit action items can now be entered by Company contacts.

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**Locating Your Action Items**

1) You can locate your action items in order to enter your corrective actions in two different areas within Reliance.

   **Via:**
   a. “My Assignments” within your portal – most accessible, listed individually
   b. “Audits” application, then “Action Items,” then “My Open” – listed individually

All areas within the system will lead you to the same information. You will be able to enter your corrective actions within each of these areas in the same fashion. Within this user guide, you will be directed to your action items by way of option 2 listed above. You can, of course, access your action items however you please.

2) Within your portal, select “Audits” from “My Applications.” A new tab will open for you, similar to that of a web browser. You will be able to navigate back and forth between tabs freely when working within the system.
3) After selecting “My Open” within “Action Items,” your open action items will appear for you in the right-hand area of the page, as demonstrated above. To view action items individually, simply select on the item you would like to view. You will notice that each of your action items are listed in a phase of “Perform Action.” The phases will be defined for you within the “Entering a Corrective Action” portion of this user guide (on page 52).
4) When entering a non-conformance, a new tab will open. As mentioned in Step 3 of “Locating your Action Items,” you have the ability to navigate the system via the database tabbing. This works exactly like that of a web browser. To access other pages outside of the tab you are currently in, simply select the desired tab you would like to access. If closing out of a tab (via the “X” on the right hand side of the tab), you will be directed back to the tab you were most recently on prior to closing out your current tab.

NOTE: Within Reliance, it is important that you utilize Reliance features. It is suggested that you do not use your web browser back, forward, or refresh buttons when within the system. To refresh the page at any time, select “Refresh” within the Reliance toolbar. This toolbar will be made accessible to you when within an application at any time, as the toolbar moves up and down your screen as you scroll up and down a form. To navigate back and forth, simply utilize the tabs as you would in a web browser.

Entering a Corrective Action

1) As mentioned in step 5 of “Locating your Action Items,” a new tab will open when entering your desired non-conformance. Within the non-conformance, you will notice what is known as a phase tracker. This phase tracker simply tracks the status of your corrective action at any given time.
**PHASE TRACKER**

**Perform Action** – a corrective action always begins in the perform action phase. This phase simply means that no corrective action has been entered for the non-conformance you are viewing.

**Review** – as a Supplier, you will manually route the phase tracker to the review phase once having entered a completed corrective action. This process will be mapped out for you on page 58 of this user guide.

**Completed** – the phase to which your corrective action has been approved. You will be able to view all completed corrective actions within the Audits application under “Action Items,” then “Completed.” This process will be mapped out for you on page 61 of this user guide.
2) Beneath the phase tracker within your action item, is what is known as your **corrective action form**. As shown below, you will be able to view the item information, to which individual the action item was assigned to, and the expected completion date.

Your corrective action will be entered within the “**Action Taken**” area of the corrective action form.
3) Fill in your corrective action into the “Action Taken” field as demonstrated below. This field is an editable field that can hold any amount of text.

4) After entering your corrective action into the “Action Taken” field, you will have the opportunity to add corresponding documentation via the “Attachment(s)” feature. The “Attachment(s)” feature has no size limit. Any amount of supporting documentation can be added to this field (PDF documents, Word documents, pictures, videos, etc.).

To add an attachment, simply select the attachment icon, as shown below.

You will then be prompted to select your desired documentation from your computer. Simply select the document you would like to have uploaded into the system, then select “Open.” It is important to note that this view will vary from computer to computer.

Your attachment will then appear for you within the corrective action form. You may enter multiple attachments per corrective action.
After having attached all of your desired corrective action documentation, you will need to enter the “Supplier Completion Date.” This date is specific to when the corrective action was completed. To enter the correct date, simply select the calendar icon to the right of the “Supplier Completion Date” field, as demonstrated below.

A calendar will then appear for you to select the correct date. To change the month and/or year, simply utilize the date fields at the top of the calendar. The month can be changed via the drop-down box, the year can be changed within the year field, and the day can be selected by clicking on the day within the calendar. The date will always default to the current date to which you have selected the calendar icon.

Once you are happy with the date you have selected, click “OK.” The date you selected will then appear for you within the “Supplier Completion Date” field, as shown below.
6) When reviewing your corrective action, you have the opportunity to complete a spell check within the system. Simply select “Spell Check” from the Reliance toolbar at the top of your page. The “Spell Check” feature reviews all editable text fields to ensure that the text is correctly spelled.

To replace a found misspelled word, select “Replace” per the correct suggested word listed in the “Suggestions” field. Select “Finish” when the spell check has completed.

7) To save the information you have entered thus far for a corrective action, you can select the “Save” or “Save & Close” buttons within the corrective action form. So you are aware, the system will prompt you prior to switching tabs or closing out of Reliance to first have the information saved. This is to ensure that you do not lose any work you have completed thus far. You can save at any time, and it is highly suggested. Selecting “Save” will save the information and keep you within the same tab, whereas select “Save & Close” will save the information and close the tab you are currently in.
Finalizing a Corrective Action

5) You are now ready to submit your corrective action. After successfully entering a corrective action, it is important to note that **you have not yet submitted your corrective action.** Saving a corrective action simply saves the information; it does not submit a corrective action.

To submit a corrective action for the review of your Auditor and Certification Body, access the phase tracker at the top of your desired corrective action. As a Supplier, you will need to manually route the action item phase from “Perform Action” to “Review.” To have this completed, simply select “Review” on the phase tracker itself.

6) Once having selected “Review,” you will notice a pop-up system feature titled the “Phase Dialogue Box.”

If you are unaware as to what a Phase Dialogue Box is, refer to pages 16 - 21 of this user guide.
7) After selecting OK within the Phase Dialogue Box, you will be brought back out the “Audits” application, under “Action Items.” Your remaining Action Items to be answered with corrective actions will appear for you.

<table>
<thead>
<tr>
<th>Action Item Number</th>
<th>Clause</th>
<th>Current Phase</th>
</tr>
</thead>
<tbody>
<tr>
<td>00136</td>
<td>11.1.1.2 Premises Location</td>
<td>Perform Action</td>
</tr>
<tr>
<td>00137</td>
<td>11.1.2.1 Construction and Operational Approval</td>
<td>Perform Action</td>
</tr>
</tbody>
</table>

8) To complete each of your corrective actions, repeat each step under “Entering Your Corrective Actions” and “Finalizing Your Corrective Actions” (pages 52 - 58).
Locating Remaining Action Items

1) Your remaining action items can also be accessed within your portal, under “My Assignments” at any given time. As demonstrated below, when accessing your action items from “My Assignments,” the action item status and due date appears for you. To enter an action item from this area, simply click on the desired item.

2) Within the “Audits” application, you can review the phase of your corrective actions at any time. To have this completed, select “Open by Phase” via “Action Items” from the left hand navigation bar, as demonstrated below.
3) At this point, you will have the ability to complete your corrective actions via the phase tracker of each particular action item. Simply locate the item that can be completed, and route it to “Completed.”

![Image of phase tracker](image)

4) When routing to “Completed” for each action item, you will notice a pop-up system feature titled the “Phase Dialogue Box.” This phase dialogue box will notify each company contact, by auto-populating the contacts’ names within the “Notify” field. You can remove any contacts by simply selecting the “X” to the right of their name.

![Image of phase dialogue box](image)

If you are unaware as to what a Phase Dialogue Box is, refer to pages 16 - 21 of this user guide.

5) As your action items are approved, you will be able to view your completed action items by selecting the “Completed” view under “Action Items” from the left hand navigation bar.
You can view the completed action item by clicking on the item to view it in read-only format.
Completing & Closing Your Internal Audit

1) Once all of your action items have been reviewed and completed, you will then be able to complete your entire internal audit.

2) Access your audit within the “Audits” application from your Reliance portal. Within the “Audits” application, under “Audits” select “Open by Assigned.”
3) Select the audit. You will notice that the phase tracker is now in the “Corrective Action Plan and Review” phase.

![Phase Tracker Image]

4) At this point, you can route the audit to “Completed” if happy with all internal audit information. You can also route the audit to “Voided,” should you want to remove the audit completely from the system. **Warning:** voiding an audit will completely remove the audit from the system.

![Phase Dialogue Box]

5) Select “OK.”

6) You will be brought back out to the “Audits” application to which you will be able to access your completed audit within “Audits,” then “Closed by Supplier.”

![Audits Application Image]
To log out of the Reliance system at any time, simply enter your portal, then select “Log Out” via your User Information, or at the top right hand corner of your screen. You will be prompted to save any incomplete information prior to logging out of the system.

If you are to have any questions, or experience any issues with the completion of an internal audit, contact SQFI for assistance at reliance@sqfi.com or 202-220-0635.