



qm.x BY  Grant Thornton

User guide

qm.x User Guide Change Log

Version	Date	Changes / Rationale
1.0	4/15/2022	Initial Release
1.1	6/17/2022	Updated for Service Pack 1
1.2	8/5/2022	Updated for Commercial Release
1.3	9/22/2022	Updated for Post Commercial Release
1.4	10/10/2022	Updated for Service Pack 2.1; revised qm.x User Roles and Capabilities; added new definitions to the Glossary
1.5	04/13/2023	Updated for Service Pack 2.2
1.6	8/18/2023	Updated for Service Pack 2.3

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Introduction

About qm.x

qm.x is a custom developed software application designed to facilitate compliance with the new international quality management standard for professional services firms. It operates in a firm's own environment and can be used to help with a firm's implementation of these new quality management requirements and with the ongoing monitoring and maintenance of that compliance.

qm.x focuses specifically on a firm's quality management in a way that is intuitive and user friendly. It is scalable to the nature and circumstances of your firm and provides the flexibility necessary to develop a customized response to the new quality management standard. This flexibility also allows for multiple quality management standards to be captured, for example, in situations where local jurisdictions have developed their own quality management standards or have made local modifications to the international standard.

Quality Management Standards

The International Standard on Quality Management (ISQM) 1 (ISQM 1) was issued by the International Auditing and Assurance Standards Board (IAASB). It deals with a firm's responsibilities to perform quality audits, reviews of financial statements or other assurance or related services engagements. To facilitate the performance of quality engagements, ISQM 1 focuses on the management of quality, a proactive behavior, rather than the control of quality, a reactive behavior. It introduces the requirement to establish a system of quality management (SoQM) that is responsive to the nature and circumstances of the firm and the type of engagements that it performs.

Firms are required to have their SoQMs designed and implemented in accordance with ISQM 1 by December 15, 2022. Firms are required to perform their first evaluation of their SoQMs by December 15, 2023.

Developing and implementing an SoQM involves developing a risk assessment process to identify quality objectives, identify and assess risks to meet those objectives, and design, implement, and operate responses to address those risks (quality objectives, risks and responses are also referred to as items in this manual and in qm.x). It also involves developing a mechanism for continual monitoring of the quality objectives, risks, and responses. Where issues or findings and deficiencies are identified, ISQM 1 requires that these are evaluated and remediated as necessary.

Quality risks within the SoQM may be risks to achieving one or more quality objectives. These quality objectives may be in the same component or may reside in different components. Similarly, a response developed by firms may be a response to one or more quality risks and these risks may or may not be risks to achieving the same quality objective. The interconnectivity of these items, therefore, results in items that have one-to-one relationships, one-to-many relationships and many-to-many relationships with other items within the SoQM. This interconnectivity and the relationships between items can be more difficult to identify and understand when using tools that are more manual in nature.

Implementing ISQM 1 is not a 'one and done' exercise. As noted above, continual monitoring and, as necessary, updates to and remediation of the SoQM will be required. To perform the necessary monitoring and to track the updates of the SoQM manually can be cumbersome, may result in multiple versions of the same items and duplication of effort. qm.x is a solution that can streamline this process and eliminate duplication of effort.

Why qm.x

Because qm.x is designed specifically to address quality management needs. Its functionality allows firms to document quality objectives, risks to meeting those objectives, and the responses to those risks once and in one location. qm.x also facilitates capturing the relationships between these items. This is particularly important where one-to-many and many-to-many relationships exist.

As part of the requirement to perform continual monitoring of the SoQM, qm.x facilitates the testing of responses and of the SoQM. Where issues (known as findings) are identified with a response, or with the SoQM itself, these findings can be created and evaluated in qm.x itself. When a finding is escalated to a deficiency, there is the ability to capture the root cause of that deficiency and the associated remediation plans, all with a direct link to the finding and the item(s) to which that finding relates.

qm.x is prepopulated with a number of key reports that will assist in both the management of the SoQM and with external reporting requirements. There is also the ability to export data from the application to create customized reports to address additional monitoring or external reporting requirements firms may have.

To assist with the evaluation required at least annually by ISQM 1, qm.x has a series of cascading certifications starting with individuals assigned as component owners through the person or persons assigned ultimate responsibility and accountability for the SoQM.

About This User Guide

This guide provides instructions on how to:

- add, view, edit, and delete your firm's SoQM data in the qm.x application
- monitor your firm's SoQM through the testing workflow; and
- customize and download reports.

About qm.x Data

To understand how data will be formatted for import into the qm.x application and to understand how to use qm.x, it helps to understand where the data comes from and how it is structured.

The qm.x Relationship Structure

The qm.x relationship structure (Figure 1) reflects how your firm's SoQM data is imported, stored, and used within the qm.x application.

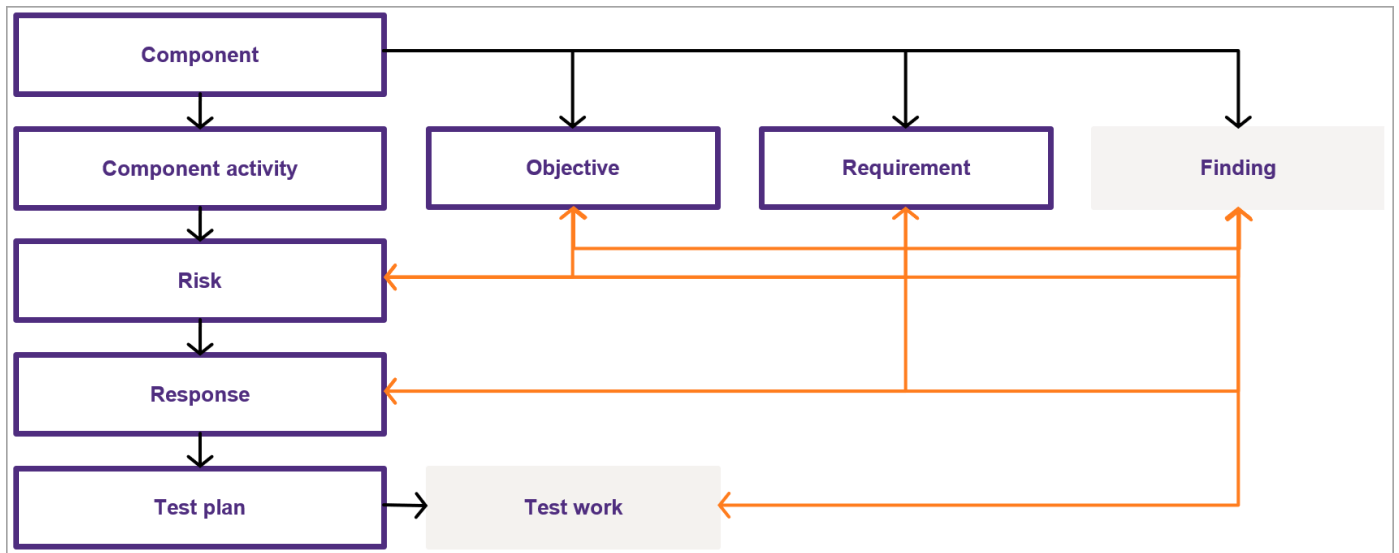


Figure 1: qm.x SoQM Relationship Structure

In the SoQM hierarchy (indicated by dark lines), components make up the top-level of the SoQM. Component activities, objectives, requirements, and findings sit underneath a component have a direct relationship to that component.

Component activities are an optional item within the SoQM. Where the component activity functionality is not used, at least one component activity item for each component needs to be created to facilitate the relationship mapping in qm.x. This component activity may be given the same name as the component itself. The Risks then sit underneath, or have a direct relationship to, a component activity. Responses sit underneath, or have a direct relationship to, the risks to which they respond.

Where the component activity functionality is used, the relevant component activities for the component are created. The risks that are identified in each of the component activities sit underneath, or have a direct relationship to, their component activity and the responses sit underneath, or have a direct relationship to, the risks to which they respond.

Test plans and test work can be created for responses.

Risks have a direct relationship to component activities and an indirect relationship to the objective to which they relate through the non-hierarchal relationships explained below.

The non-hierarchal relationships (shown by orange lines) within the SoQM that are established in qm.x are as follows:

Objectives: There is a non-hierarchal relationship between objectives and the corresponding risks to achieving those objectives.

Requirements: There is a non-hierarchical relationship between responses and the requirements that they address.

Findings: Findings relate to objectives, risks, and responses in the SoQM. They may be identified from testing or created directly at the component level when identified from other sources. A finding may be evaluated as a deficiency and a remediation may be added to a finding.

These relationships can all be captured and documented in qm.x.

Components, component activities, objectives, requirements, risks, responses, and test plans can be uploaded into qm.x or created directly within qm.x. Tests and findings are captured within the qm.x application itself. The terms referenced in this section are defined in [Appendix A: Glossary](#).

Setting Up Your Firm's Data in qm.x

The qm.x application is initially setup for use by a **System Administrator (SA)**, a person at your firm who is assigned this role. This role includes setting system defaults and importing your firm's data into qm.x using the qm.x **Import Template**. To import correctly, the data must be in a specific Excel spreadsheet format within the **Import Template**.

While the import process will be performed by an SA, the users are responsible for supplying the SoQM data in the proper format.

For further information on setting up qm.x, please refer to the Configuration Guide.

Using qm.x

Once the qm.x application has been accessed, it resides within your firm's M365 environment. Setup, performed by your **System Administrator** (SA), includes adding users, defining their roles and access, adding evaluation periods, defining default values, and importing the firm's SoQM data into the qm.x application.

qm.x User Roles and Capabilities

Once setup is completed, all users will be able to view items and, depending on their assigned role, conduct various tasks. Table 1 outlines the roles in the qm.x application and their capabilities.

Table 1: Roles and Capabilities

Role	Capabilities
All Users	Can customize and download reports
All Users (Except Report Reader)	Can view all pages and item details
Application Administrator	In addition to System Administrator capabilities (detailed below), can also edit the branding and the colors
Editor	Can also edit and delete all items in all pages Can add new items, download all data Exports
Item Owner	Can also edit and delete items where they are assigned as Owners, Testers or Reviewers Can add new items
Reader	Read only view with no edit, delete, or add capability
Report Reader	Has read only access to view the Reports pages
System Administrator (SA)	Can also: • Add and delete Users • Modify user Roles • Add Periods • Set Defaults for Standards and Risk levels • Download an Audit Log • Download and upload the Import Template • Download all data Exports • Create new Evaluations • Assign additional Evaluators • Edit and delete Items in all pages • Add new Items

Logging In to qm.x – What you need to know

There are a couple of security compliance rules you need to be aware of when logging in to qm.x and while working in qm.x.

1. If your session is idle for 15 minutes or longer, you will automatically be logged out and will see the error message (Figure 2) when you try to use the application again.

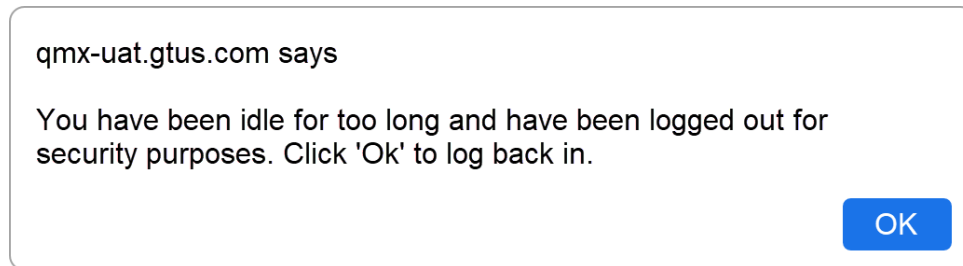


Figure 2: Error message

However, if you log out of the system before the 15-minute idle limit, you will not see an error message. Click **OK** to access the application.

2. You cannot be logged into the app for more than one session at any one time. Only one session can be active at a time. If you login to your qm.x account with a different browser (i.e., you log in to Firefox when you are already signed into the app on Chrome) you will see the message “**Concurrent Login Detected**” (Figure 3) and be denied access for the second session attempt.

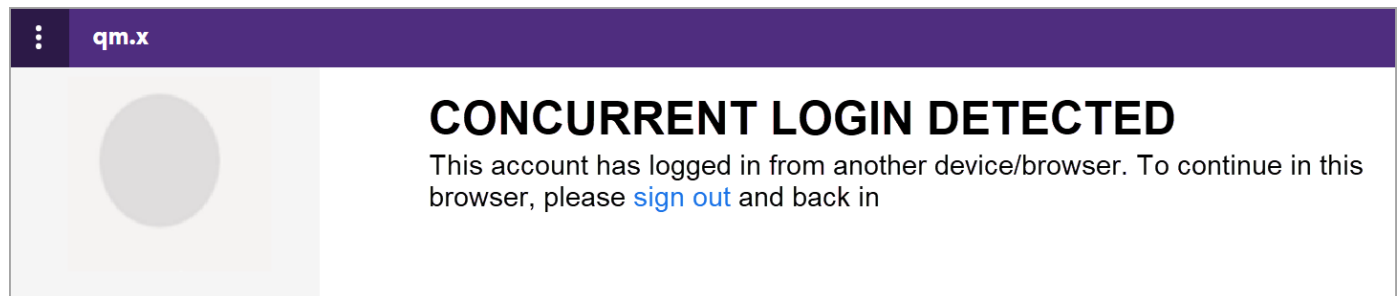


Figure 3: Concurrent Login error message

If you encounter any issues, contact your firm’s technical support staff.

Overview Page

The **Overview** page provides a high-level view of all the items in your firm's SoQM. Through this page, you can view and select primary components and drill down into item hierarchy relationships across the SoQM.

When you first sign in to the qm.x application, the **Overview** page will be displayed (Figure 4).

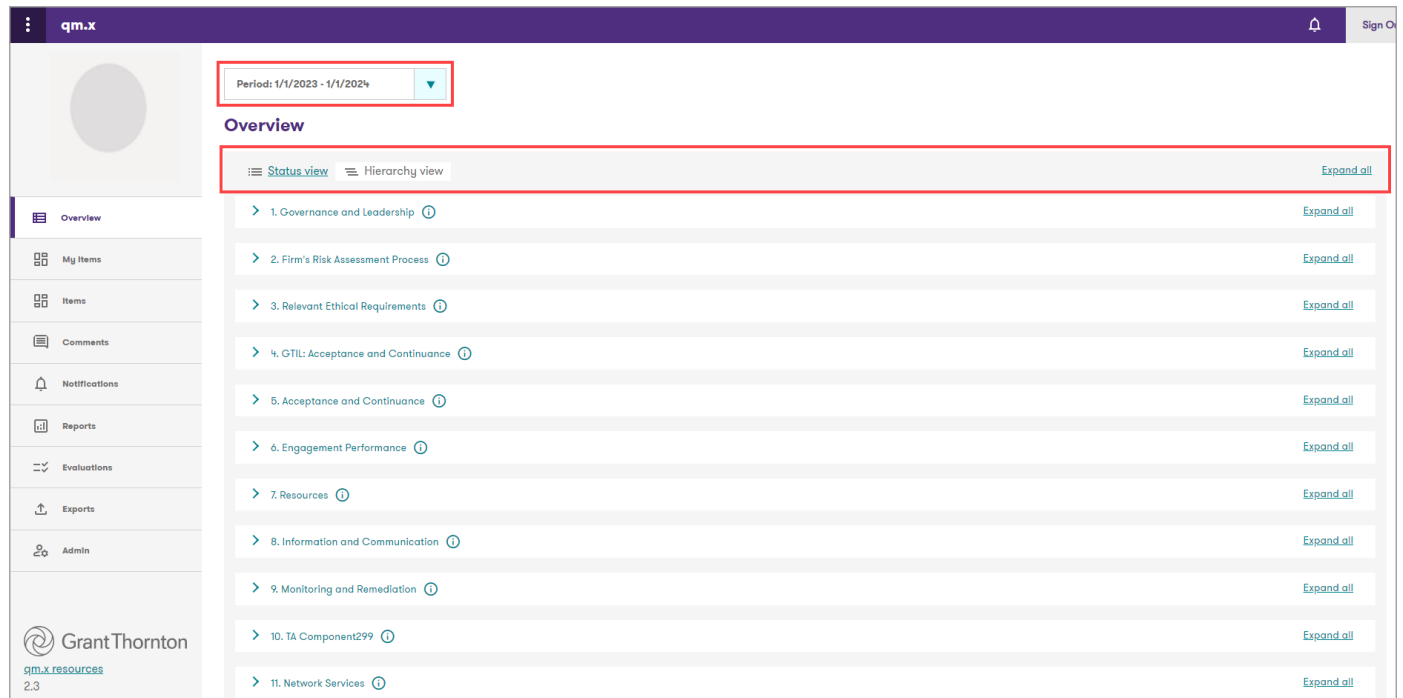


Figure 4: Overview page

At the top of several pages in qm.x, including the Overview page, the Evaluation period will appear and will default to the last selected period. If desired, the Evaluation period can be changed, by clicking the arrow in the **Evaluation period** field to display the options and choosing the date range for another period. Upon changing the Evaluation period, a message will appear, "You have changed the evaluation period, any changes made to items will be in the selected evaluation period." Click **OK** to close the popup and change the Evaluation period (Figure 5: Select an Evaluation period).

Below the evaluation period is a menu bar. At the far left of the menu bar are two overview options: **Status view** and **Hierarchy view**. The one currently displayed will be highlighted, in this case **Hierarchy view**.

A "lock" icon  next to an Evaluation period indicates a locked Evaluation period. Changes cannot be made to a locked Evaluation period.

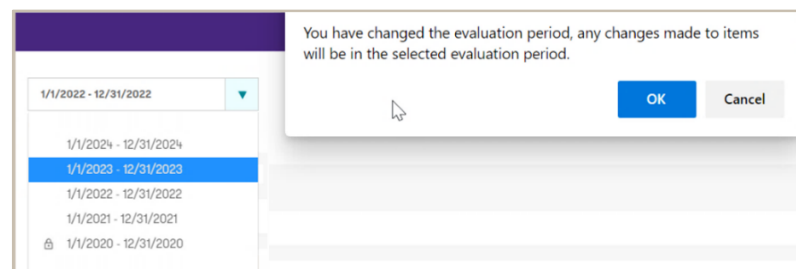


Figure 5: Select an Evaluation period

Hierarchy view

The **Hierarchy view** provides a visual overview of components and their relationship structures. This includes a **Component's** relationship with **Objectives**, **Component activities**, **Requirements**, **Findings**, **Risks**, **Responses**, and **Tests**.

To Display Hierarchy view

From any page in the qm.x (Figure 6), in the navigation pane on the left, click **Overview**.

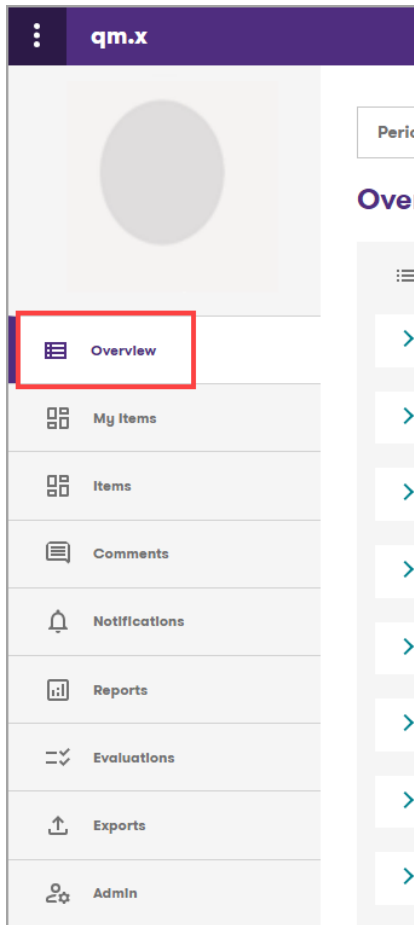


Figure 6: Select Overview

The **Hierarchy view** will display (Figure 7).

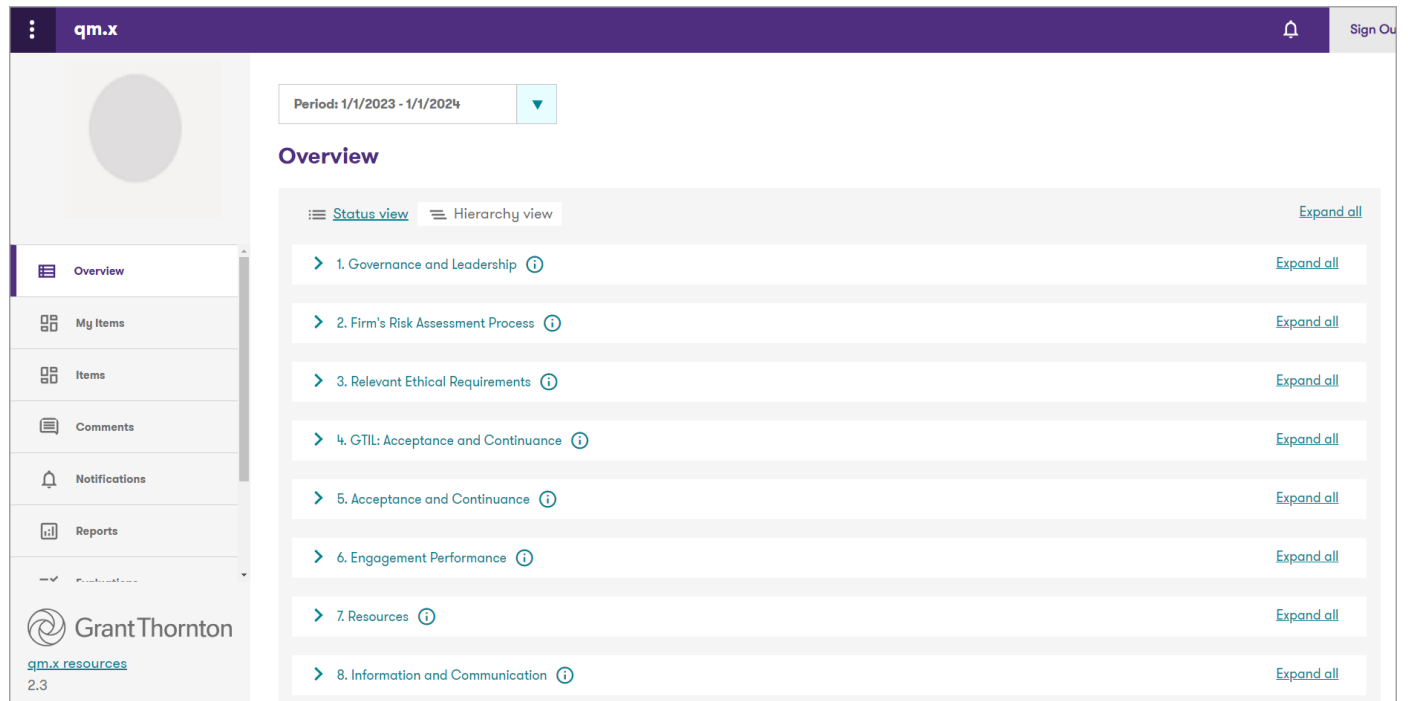


Figure 7: Hierarchy view

Hierarchy view will be highlighted in the menu bar at the top of the list.

In the left column, below the menu bar is a list of the components in your SoQM for the period specified at the upper left of the page. Components are the highest level of items in the relationship hierarchy. The number and names of components will vary, depending on the contents of your firm's SoQM.

If there are more components than can display on the page, scroll down to see additional components.

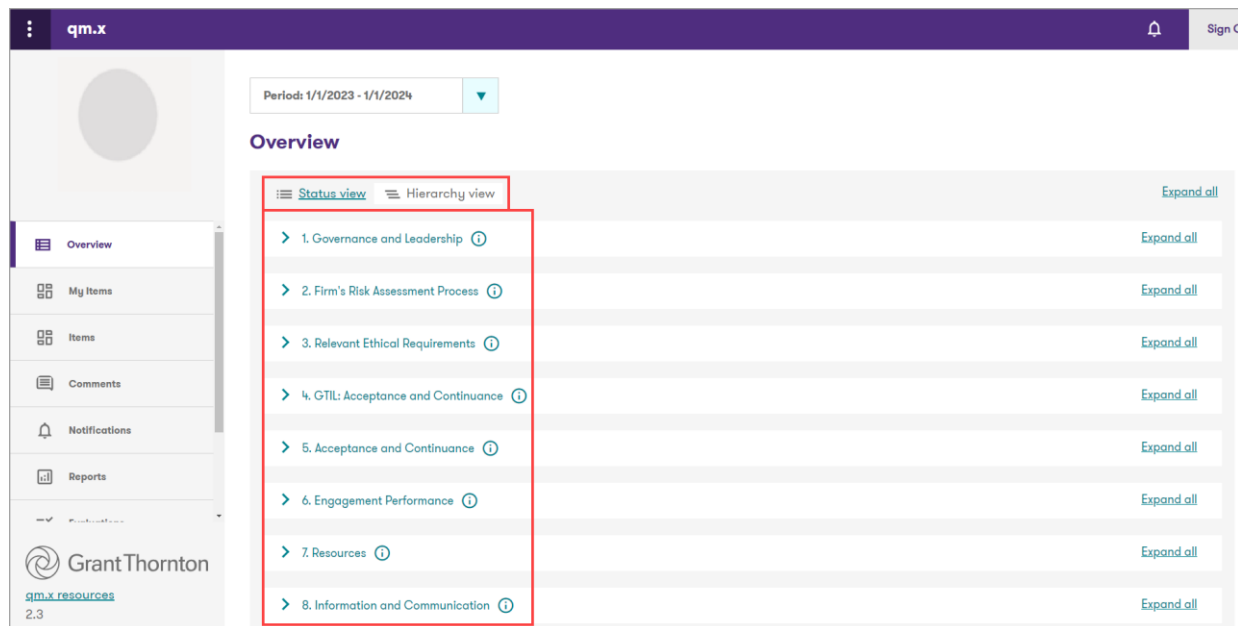


Figure 8: Hierarchy view, component detail

Just to the right of each component title (Figure 9) is an information icon ⓘ. Hover your cursor over the ⓘ to display a popup with a short description of that component (Figure 10). Also, notice that the information icon ⓘ is shown next to each item type. Hovering your cursor over the ⓘ for each item type in the hierarchy will display a popup with a short description of that item type.

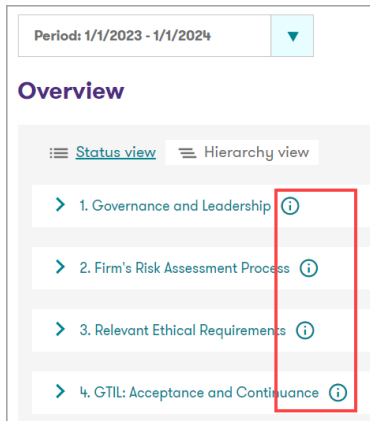


Figure 9: Hierarchy view, component information

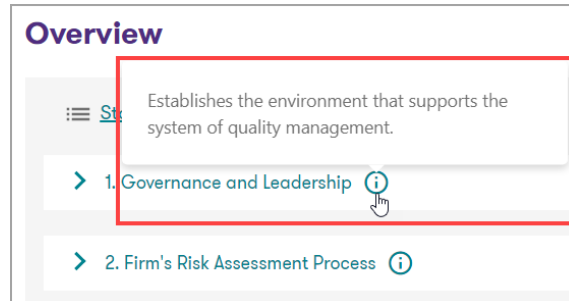


Figure 10: Information Popup

Components in the **Hierarchy view** can be expanded, in multiple ways, to display the relationship structure between items in the SoQM.

To view the next level relationships for one component (Figure 11), click the **right arrow** ➤ to the left of a component (Figure 12).

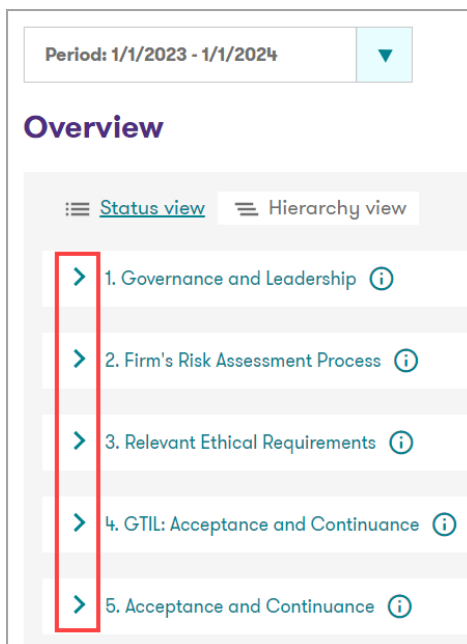


Figure 11: Hierarchy structure

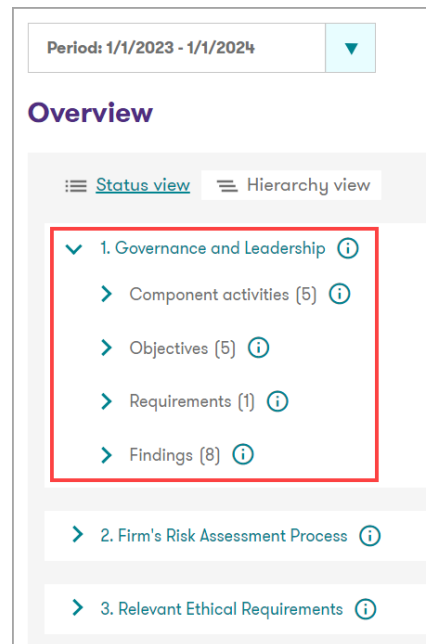


Figure 12: One component's relationships

To view the relationships for a next level item (Figure 13), click the **right arrow** ➤ to the left of an item. In this example, **Objectives** was expanded to display the next level items underneath it. Notice that, next to

Objectives, there is a number in parentheses that is the number of items in the next level under **Objectives** (Figure 14).

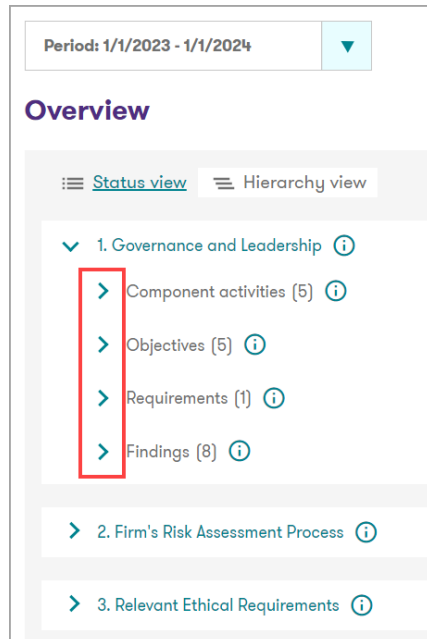


Figure 13: Click to expand next level item

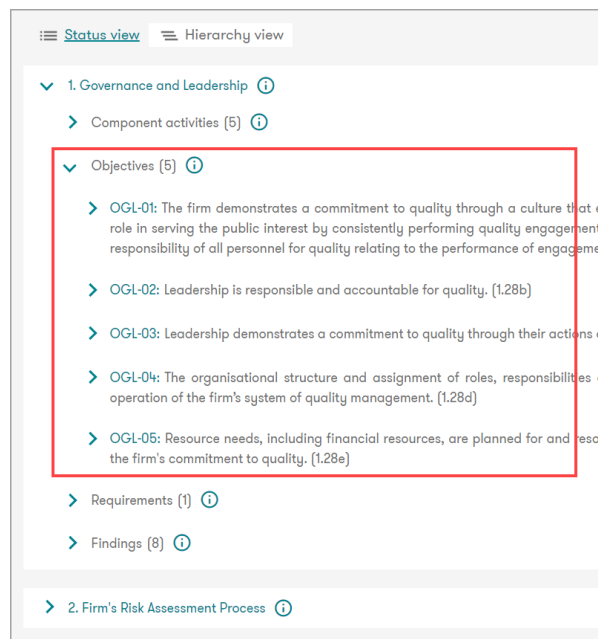


Figure 14: Next level relationships

To display the full structure of a single component, click **Expand all** to the right of the component (Figure 15).

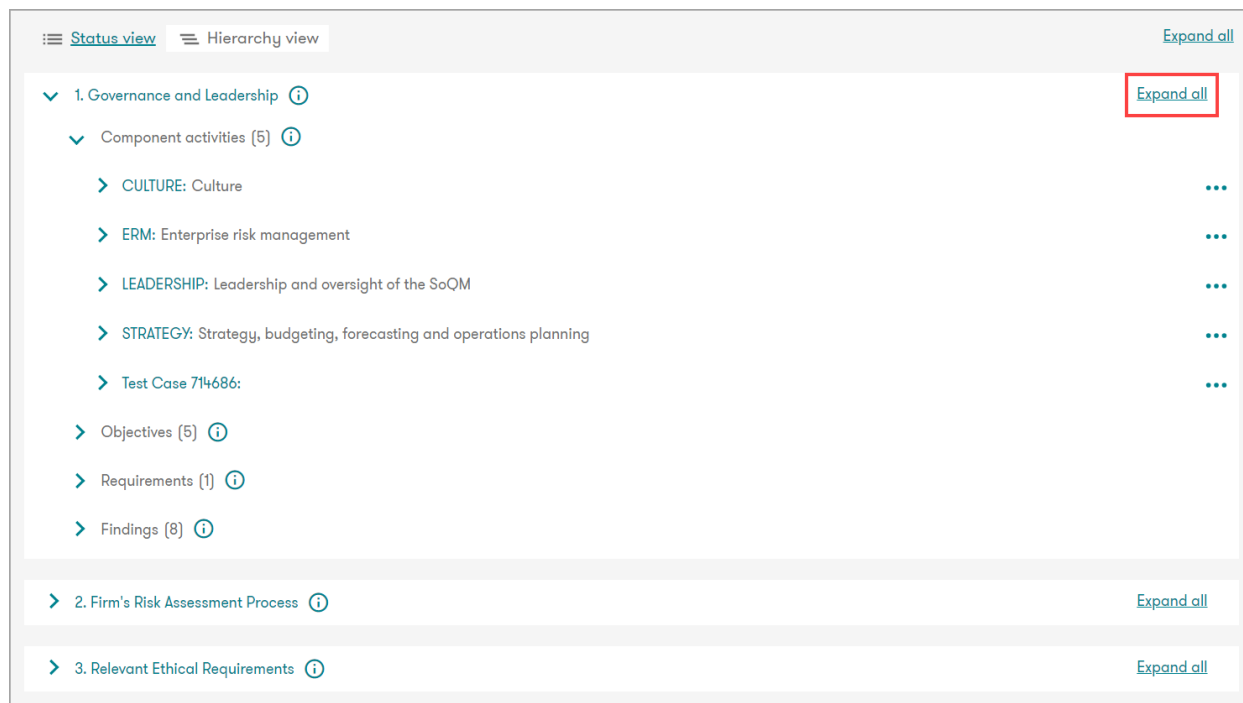


Figure 15: Expand all single component

This will display all primary sub-levels of the component's relationship structure (Figure 16).

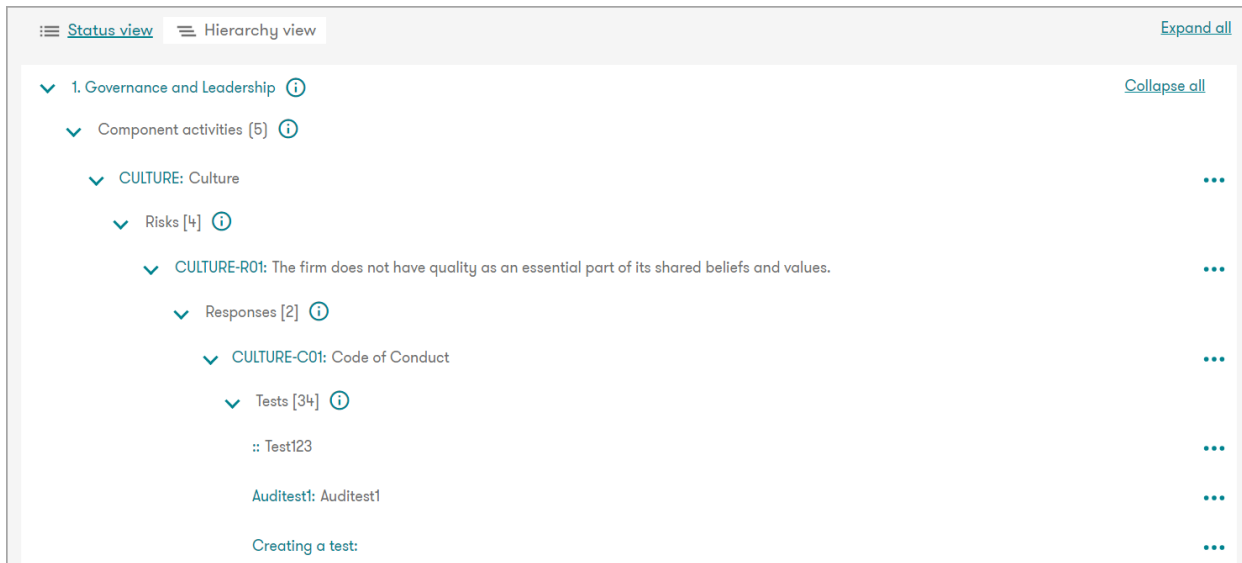


Figure 16: Single component Expand all

To display the full structure of all components, click **Expand all** at the upper right corner of the page in the menu bar (Figure 17).



Figure 17: Expand all Components

This will display the expanded relationship structure for all the components listed (Figure 18). To view the relationship structures of all the components, scroll down.

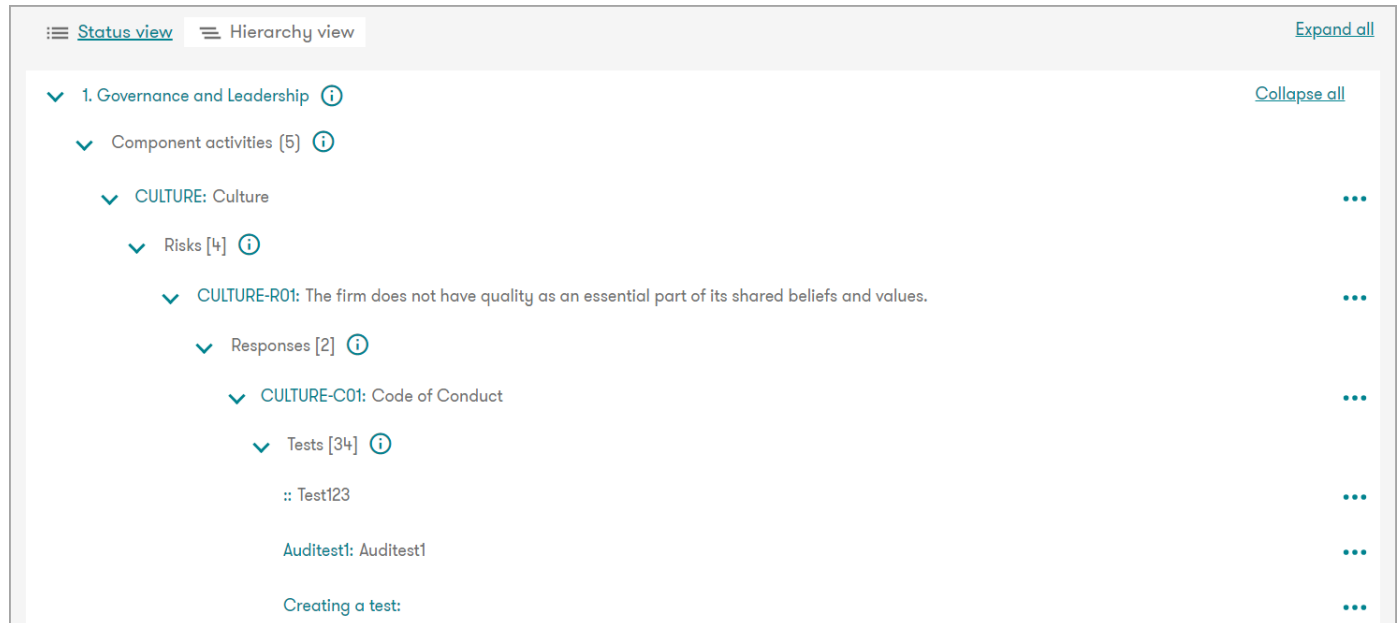


Figure 18: Expand all relationship structures

TIP: When displayed data expands more than a few pages, to quickly move to the end of the displayed component(s), on your keyboard, hold your **Ctrl** key down while pressing the **End** key. To quickly return to the top of the page, hold your **Ctrl** key down while pressing the **Home** key.

To collapse a single item's relationship structure (Figure 19), left click the **down arrow** ▼ to the left of the item.

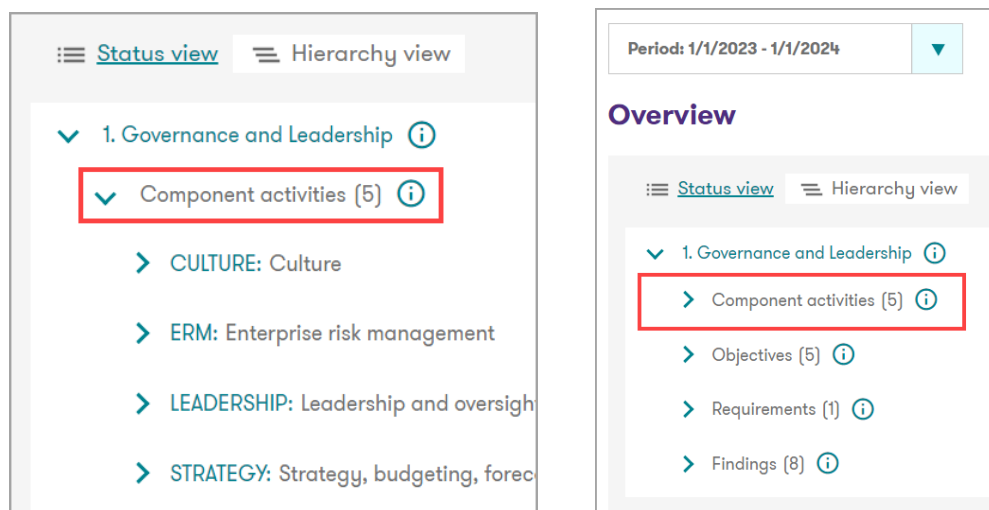


Figure 19: Collapse a single Item's relationship structure

To collapse a single component's relationship structure, left click the **down arrow** ▼ to the left of the component (Figure 20).



Figure 20: Collapse a single Component's relationship structure

To collapse all of the relationship structures, click **Collapse all** at the upper right of the page in the bar menu (Figure 21).

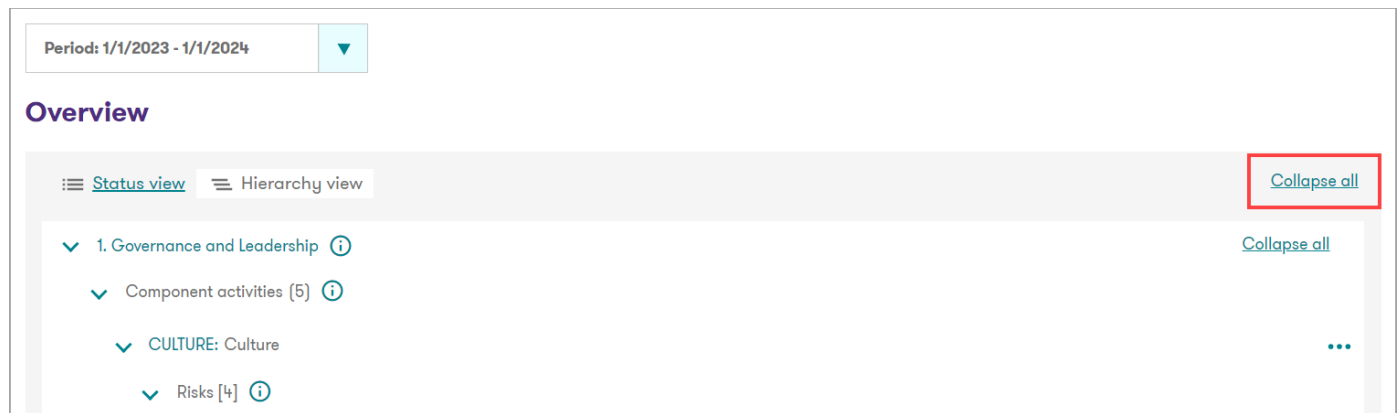


Figure 21: Collapse all relationship structures

To View an Item in Hierarchy view

To view an item listed in the **Hierarchy view** of the **Overview** page, click any item (Figure 22) where the item name is shown as a link (in [blue/green](#)).

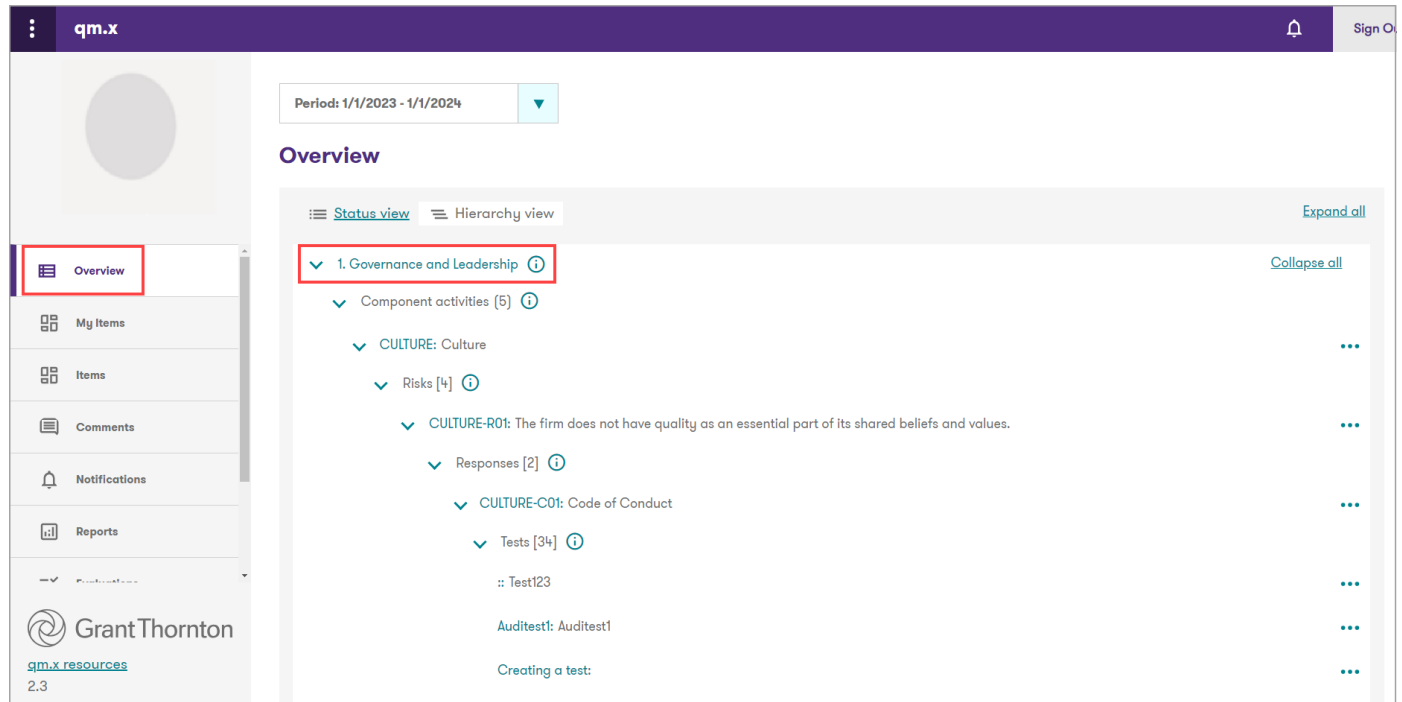


Figure 22: Item to view

When you click an item in the **Hierarchy view** (Figure 22), the item's record will open in the **Items** page (Figure 23). Here you can view related items and, if you have edit capabilities, you can edit existing items.

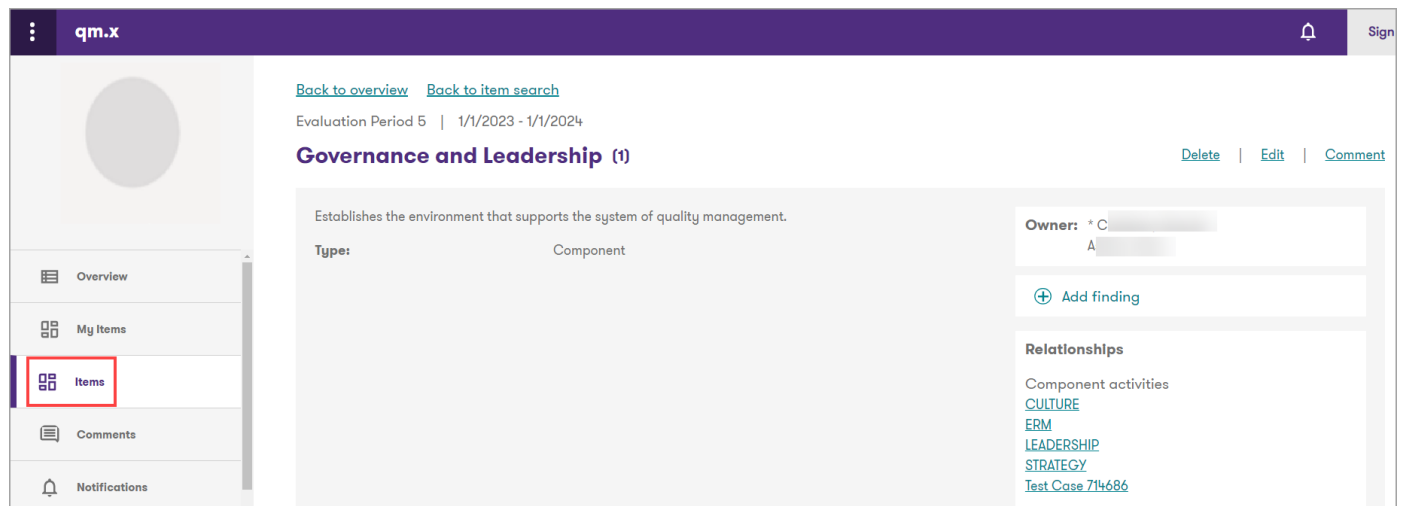


Figure 23: Item's page

To Edit or Delete an Item Through Hierarchy view

The **Hierarchy view** is for viewing items and their relationship structures. You are also able to navigate to items and obtain descriptive information about each item type. When you open an item to view its details or to do any kind of editing, the item record will display in the **Items page** where you can make edits.

You will only be able to edit or delete an item if your role allows.

To edit or delete an item:

In the relationship structure of a component (Figure 24), right click the **ellipsis (...)** to the right of the item to **edit** or **delete**.

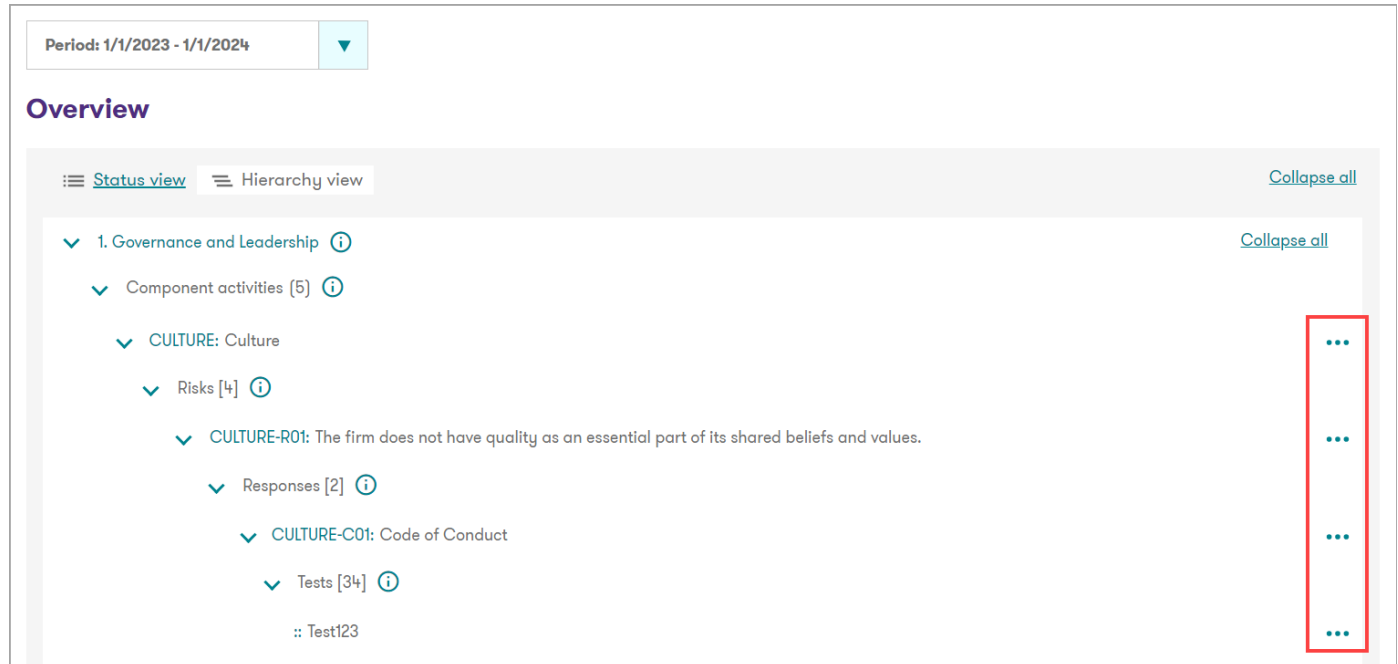


Figure 24: Edit or Delete an item

In the popup menu (Figure 25), click **Edit** to edit the item or **Delete** to delete the item.

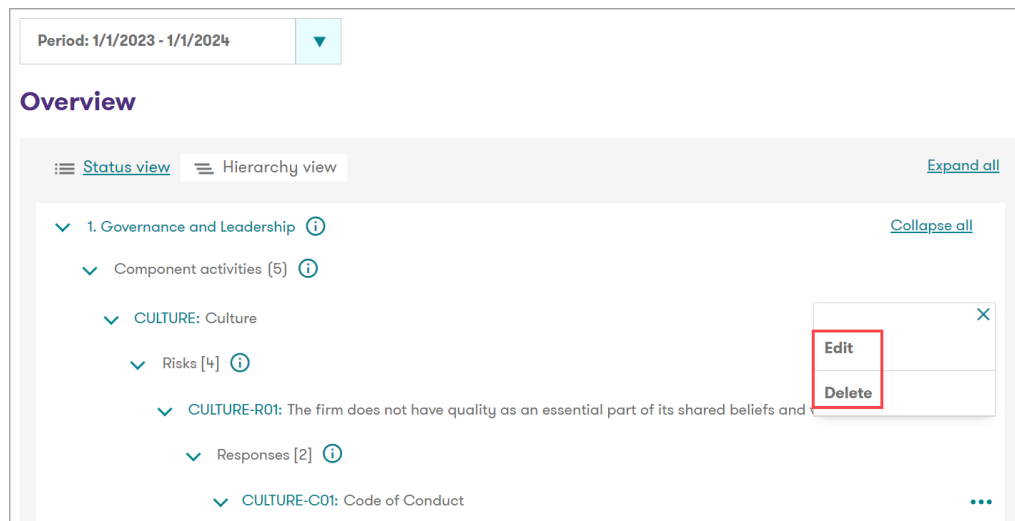


Figure 25: Edit or Delete menu

If you click **Edit**, qm.x will take you to the item's record in the **Items page** where you will be able to edit that item. Refer to [To Edit an Item](#) (see *below*) for general instructions on how to edit an item.

If you click **Delete** and the item has no relationships below (child) or sideways (sibling), the item will be removed from the component's structure and from the SoQM

NOTE

*You **cannot delete** any item that has a child or sibling relationship. The system will not allow it. You must clear these relationships first, starting at the bottom of the hierarchy and working your way up, one at a time, before you can delete the item. Deleting the item at the bottom end of the hierarchy does not impact the parent items.*

Status view

The **Status view** provides a visual view of each of the components in the SoQM and of information relevant to each of the items within each of those components.

To Display Status view

From any page in the qm.x (Figure 26), in the navigation pane on the left, click **Overview**.

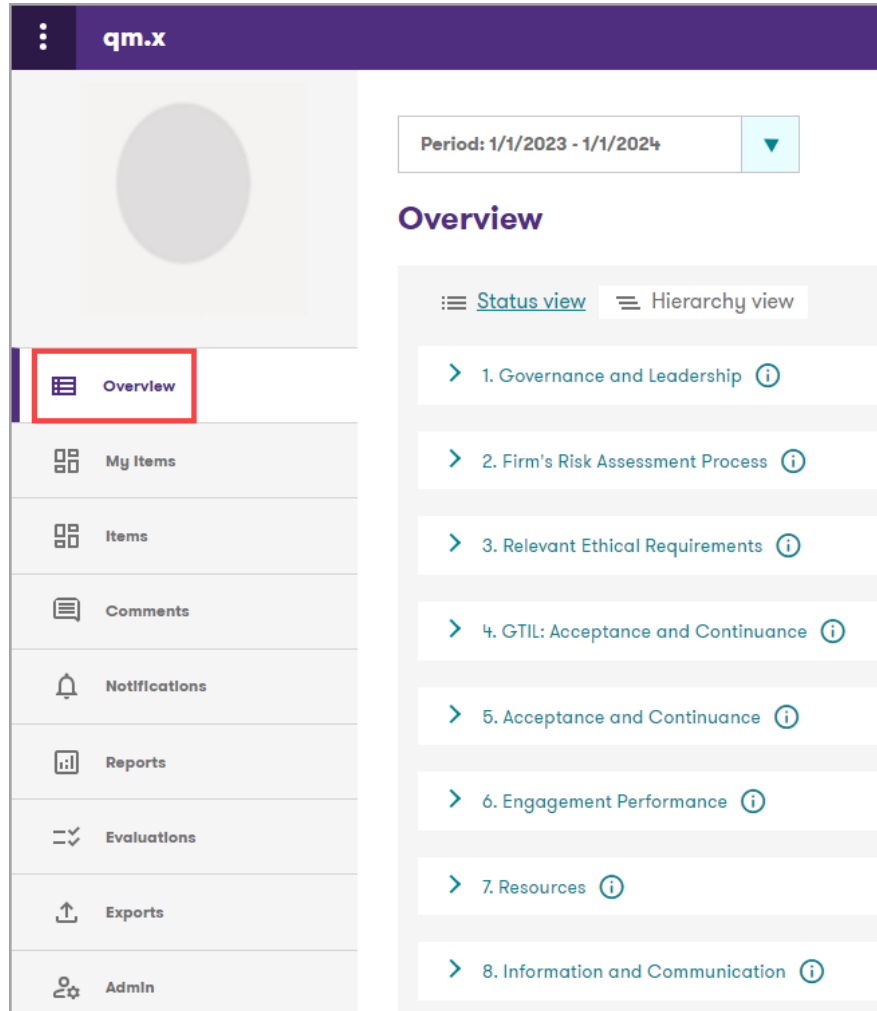


Figure 26: Select Overview

The **Hierarchy view** will be highlighted in the menu bar at the top of the list. The Status view option appears to the left. Click on **Status view** to display this view of the page.

The page will contain a list of the components in your SoQM for the period specified above the **Overview** heading at the upper left of the page.

If there are more components than can display on the page, scroll down to see additional components.

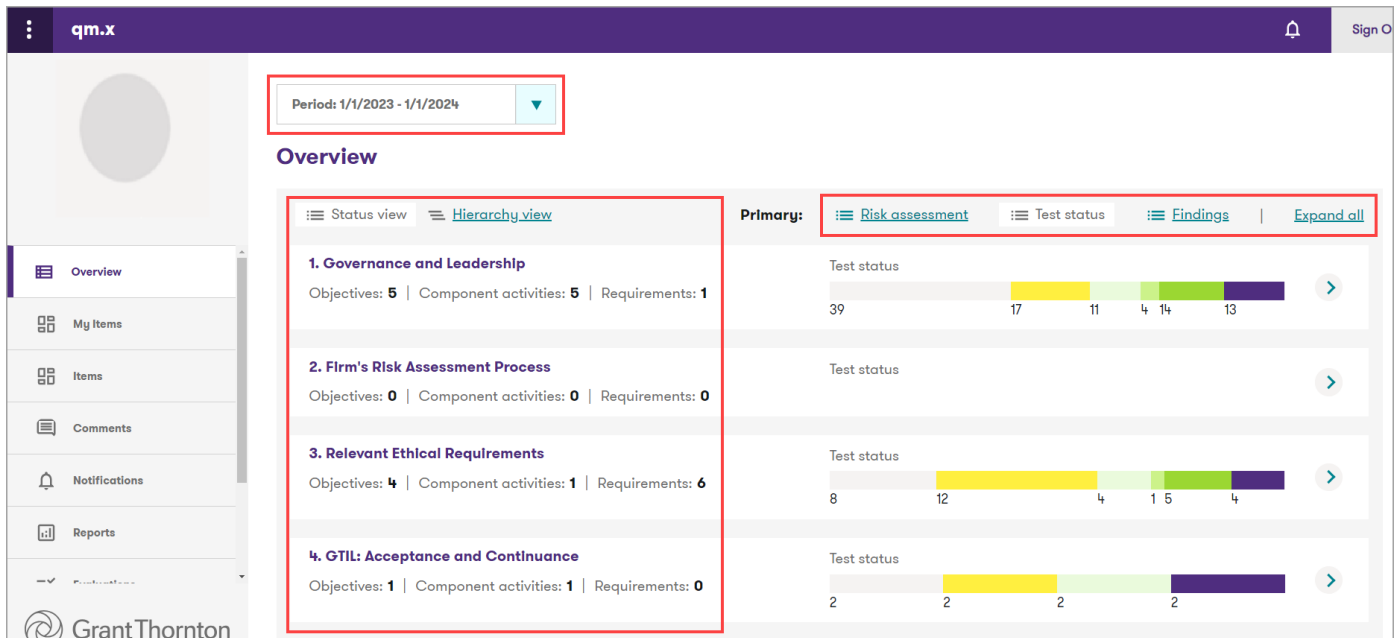


Figure 27: Status view, component detail

A count of the Objectives, Component activities and Requirements will show for each component, underneath the title of that Component.

Components in the **Status view** can be filtered, in multiple ways. The available filters are shown at the top right-hand side of the screen. These filters change the primary information displayed at the right-hand side of the screen, next to the information about the component.

You can toggle between **Risk assessment**, **Test status** and **Findings**. The default filter is **Test status** (Figure 28) and you can toggle by clicking on the **Risk assessment** (Figure 29) or **Findings** (Figure 30) filters across the top of the page.

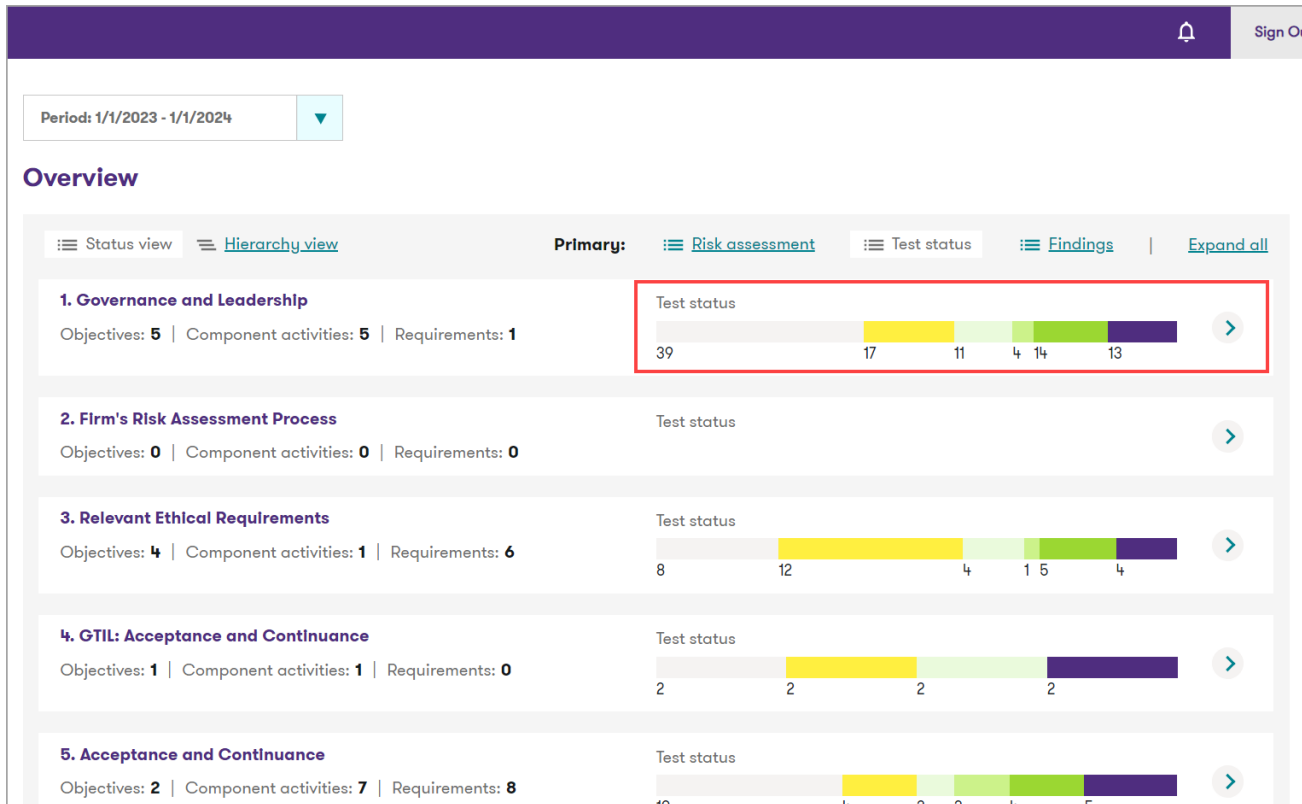


Figure 28: Test status view

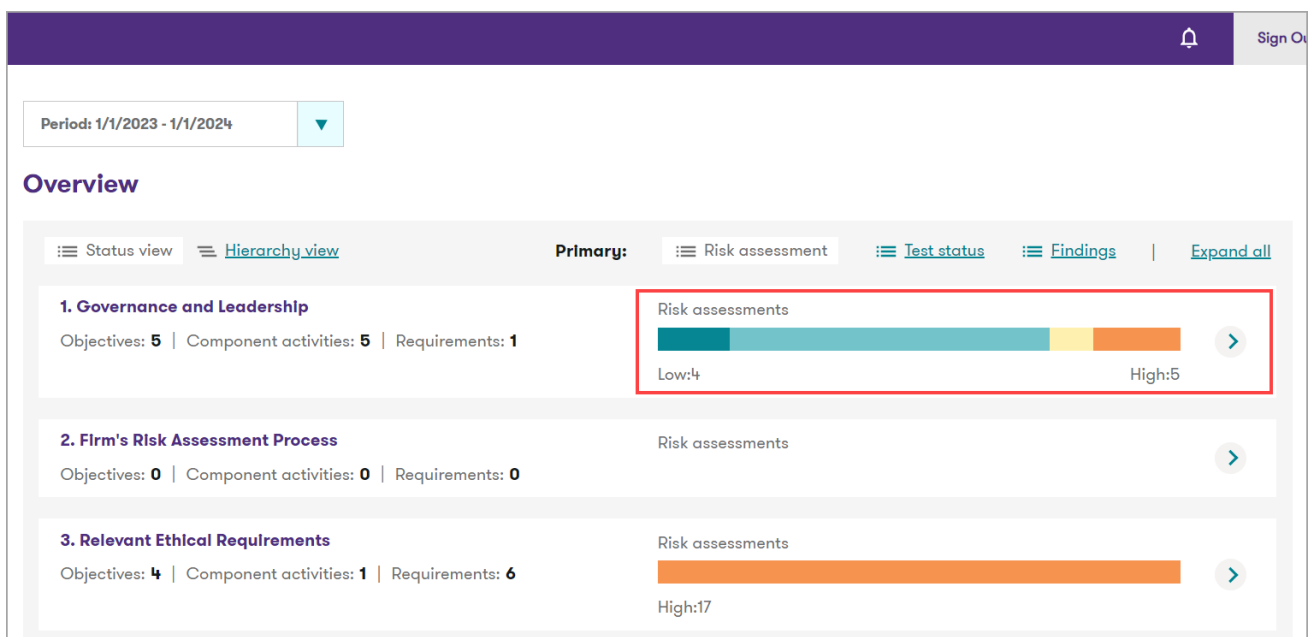


Figure 29: Risk assessment view

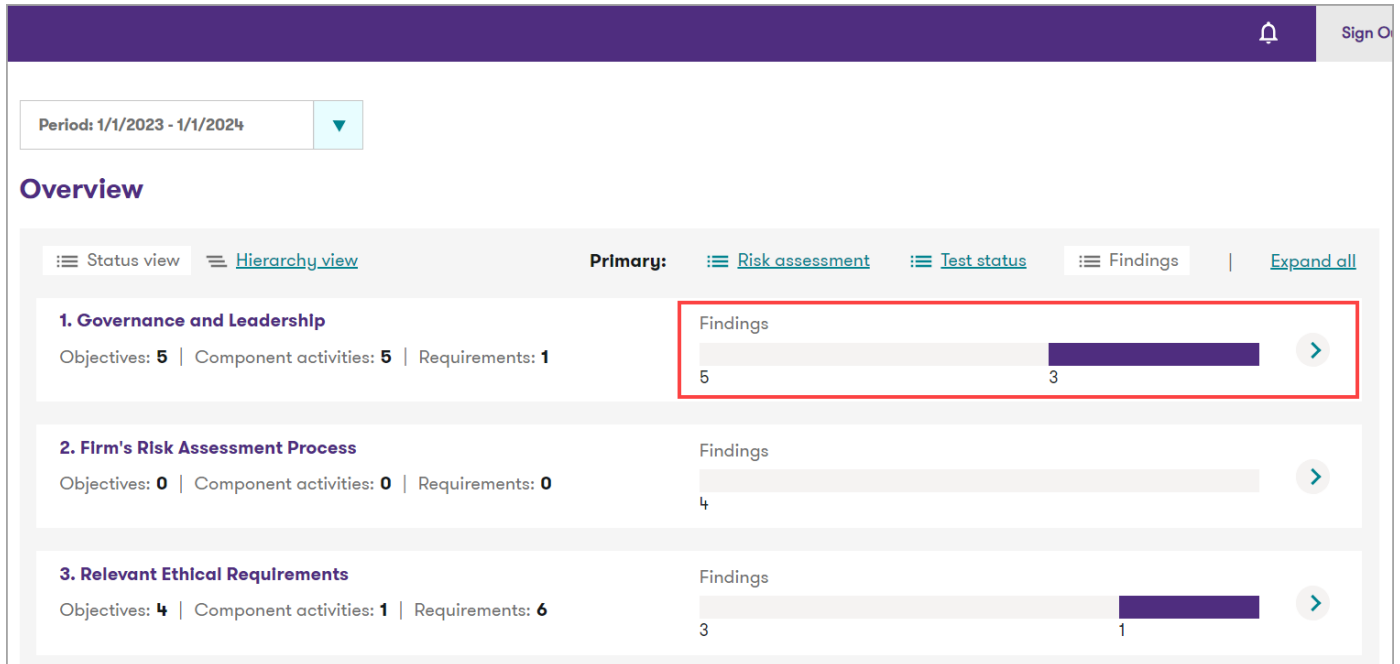


Figure 30: Findings view

Components in the Status view can be expanded by clicking on the **right arrow** ➤ at the far right.

In the example below, the Risk Assessment filter is selected as the primary filter and the component expanded to display information regarding Test Status, Response Types and Findings.

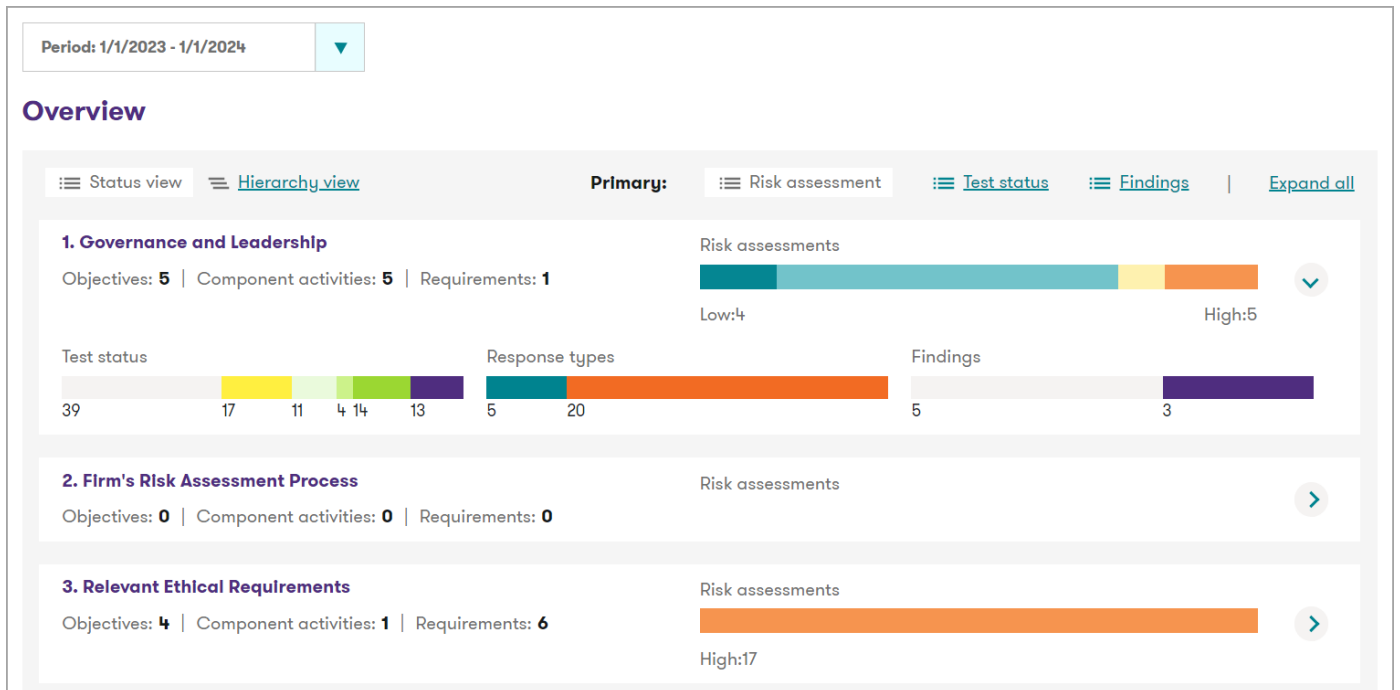


Figure 31: Click to Expand

Hover over the bar graph to display the status for Risk assessments, Response types and Test status (Figure 32).

To collapse an individual component view, click the **down arrow** ▼ at the top right-hand side of the component.

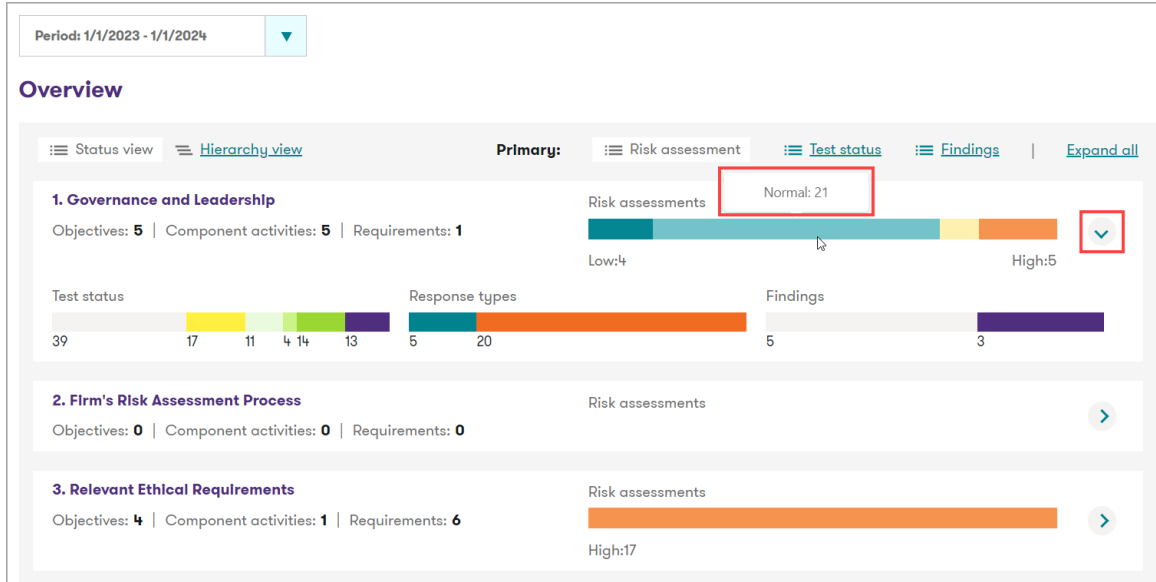


Figure 32: Hover to display status

To display all information for all of the components, click **Expand all** at the top right-hand side of the page (Figure 33).

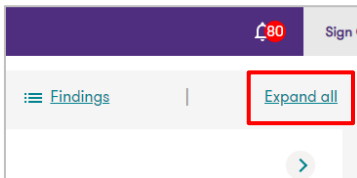


Figure 33: Click to Expand all

To collapse the information for all of the components, click **Collapse all** at the top right-hand side of the page (Figure 34).

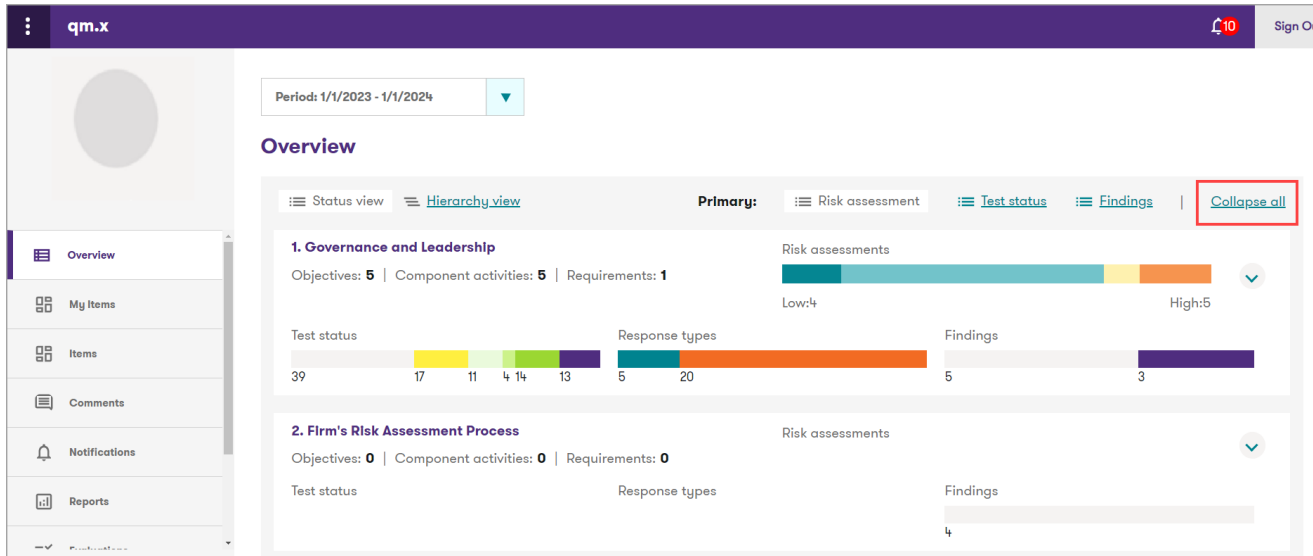


Figure 34: Collapse the status view of the components

My Items Page

The **My items page** displays all items that you have been assigned as an owner, primary owner, tester, or reviewer. Users who have been assigned to at least one item will have items to view on this page.

Items are objects or elements that comprise the SoQM. Items include **Components, Component Activities, Objectives, Requirements, Risks, Responses, Tests, and Findings**.

Through the **My items** page, as your role allows, you can:

- Search items assigned to you using the filters
- Select items assigned to you to view and edit

If an item that was assigned to you is reassigned to a new user, it will no longer be displayed within your view of the **My items** page.

If an item is rolled over from a previous evaluation period, it will be displayed on your **My items** page in the rolled forward evaluation period.

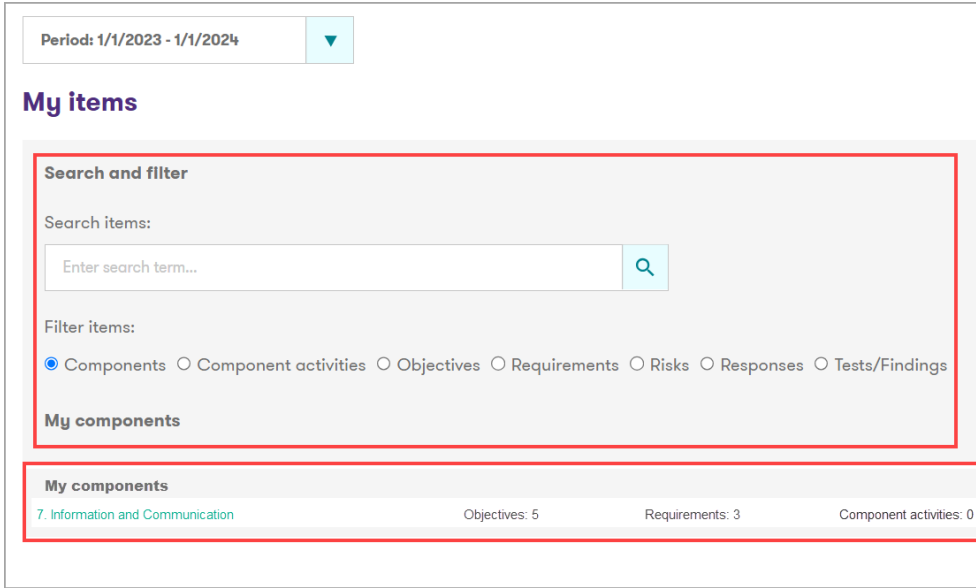
My Items Page Layout

From any page in the qm.x, in the navigation pane on the left, click **My Items**.

The **My items** page displays with two sections.

The upper section, **Search and filter** items, displays a search bar to search and view a particular item, and filters that can be checked as necessary to filter items assigned to you by item type, e.g., components, objectives, risks etc.

The lower section displays a list of items that meet the search and / or filter criteria selected. You can toggle and expand items to view information about that item, for example, descriptions, statuses, due dates, and hyperlinks to any directly related items.



Period: 1/1/2023 - 1/1/2024 ▼

My items

Search and filter

Search items:

Filter items:

☒ Components
 ☐ Component activities
 ☐ Objectives
 ☐ Requirements
 ☐ Risks
 ☐ Responses
 ☐ Tests/Findings

My components

My components	Objectives	Requirements	Component activities
7. Information and Communication	5	3	0

Figure 35: My items page

To Search and Filter My Items

The **Search** function is used to locate specific items within the SoQM that are assigned to you. A search will look for any item that includes the text entered in the **Search items** field.

Filters may be used independently to view all items of a specific type assigned to you, for example, all objectives assigned to you.

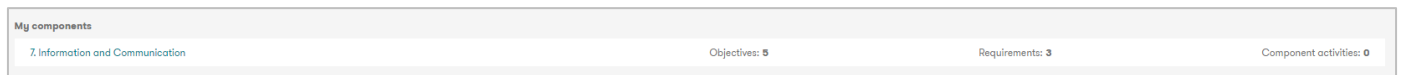
The search function may also be used in tandem with the filters to narrow the number of items displayed.

To perform a search, begin typing in the search bar and click the **search icon** . To filter items, click one or more checkboxes by the item type. If you search for an item that is not contained in the current filters selected, the item will not display.

My Components

The default filter for the My items page is components. The **My components** section displays an aggregate count of all related Objectives, Requirements, and Component activities for all components that you own.

Note that the Components display in **blue/green**. You can click the **Component** to view or edit that Component on its item page.



My components	Objectives	Requirements	Component activities
7. Information and Communication	5	3	0

Figure 36: My components

My Component Activities

To filter by **Component activities**, select the **Component activities** filter. At the top of the **My component activities** section are two color-coded bars with cumulative counts:

- Cumulative risks assessments by level. These levels are pre-determined by your System Administrator. In this case, there are three levels available of Lower, Normal, and Higher.
- Cumulative response types that address those risks. The available response types are Policy, Procedure and Control.

Hover over these bars for more information on the color-code.

Underneath the two color-coded cumulative count bars is a list of all the Component activities that you own. To view information about the component activity, click the **right arrow** ➤ at the far left.

Once expanded the description of the component activity displays along with the Cumulative risk assessments color-coded bar and the Cumulative response types color-coded bar for risks and responses related to that component activity. Hover over these bars for more information on the color-code

Underneath the Cumulative risk assessment bar is a color-coded list of these Risks. The colors indicate the assessed risk of each of the specific risks.

Underneath the Cumulative response types bar is a color-coded list of these Responses. The colors indicate the type of each of the responses specific to that component activity.

Note that Component activities, Risks and Responses display in **blue/green**. You can click **Component activities**, **Risks** and **Responses** to view or edit that Component activity, Risk or Response on its item page.

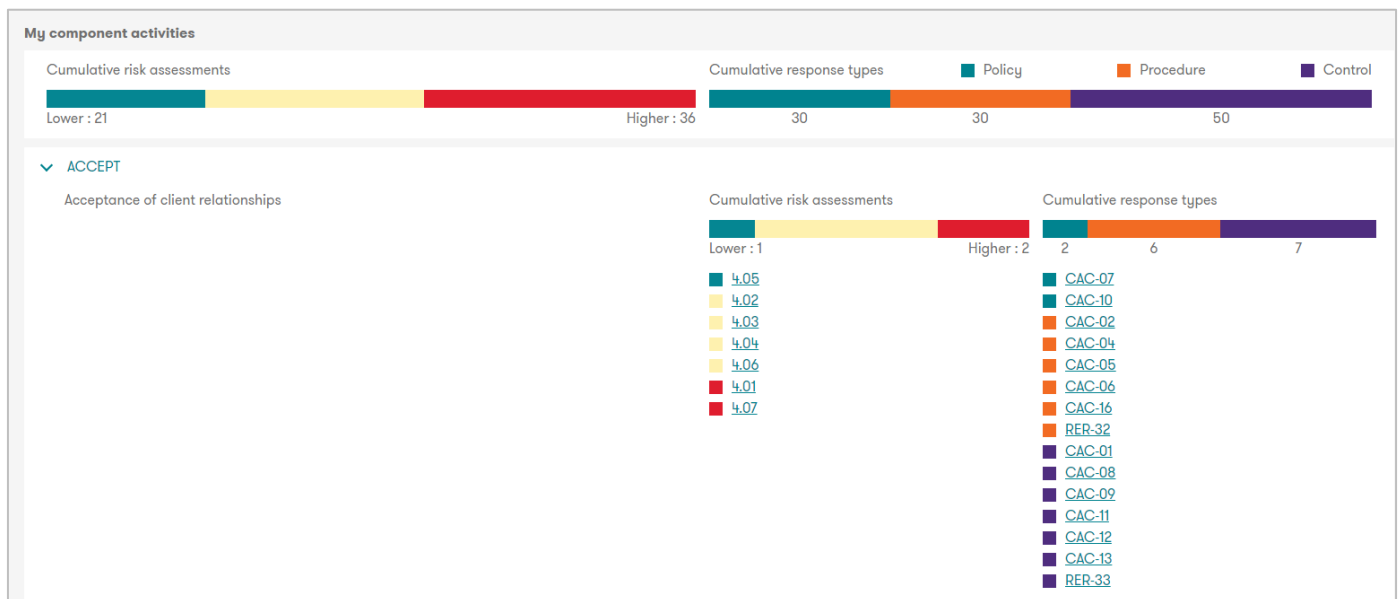


Figure 37: My component activities

My Objectives

To filter by **Objectives**, select the **Objectives** filter. At the top of the **My objectives** section are two color-coded bars with cumulative counts:

- Cumulative risks assessments by level. These levels are pre-determined by your System Administrator. In this case, there are three levels available of Lower, Normal, and Higher.

- Cumulative response types that address those risks. The available response types are Policy, Procedure and Control.

Hover over these bars for more information on the color-code.

Underneath the two color-coded cumulative count bars is a list of all Objectives that you own. To view information about the objective, click the **right arrow** ➤ at the far left.

Once expanded the description of the objective displays along with the Cumulative risk assessments color-coded bar and the Cumulative responses types color-coded bar for Risks and Responses related to that Objective. Hover over these bars for more information on the color-code.

Underneath the Cumulative risk assessments bar is a color-coded list of these Risks. The colors indicate the assessed risk of each of the specific risks.

Underneath the Cumulative response types bar is a color-coded list of these Responses. The colors indicate the type of each of the responses specific to that objective. Hover over each display bar to view the item type and / or total.

Note that the Objectives, Risks and Responses display in blue/green. You can click the **Objective, Risks** and **Responses** to view or edit that Objective, Risk or Response on its item page.

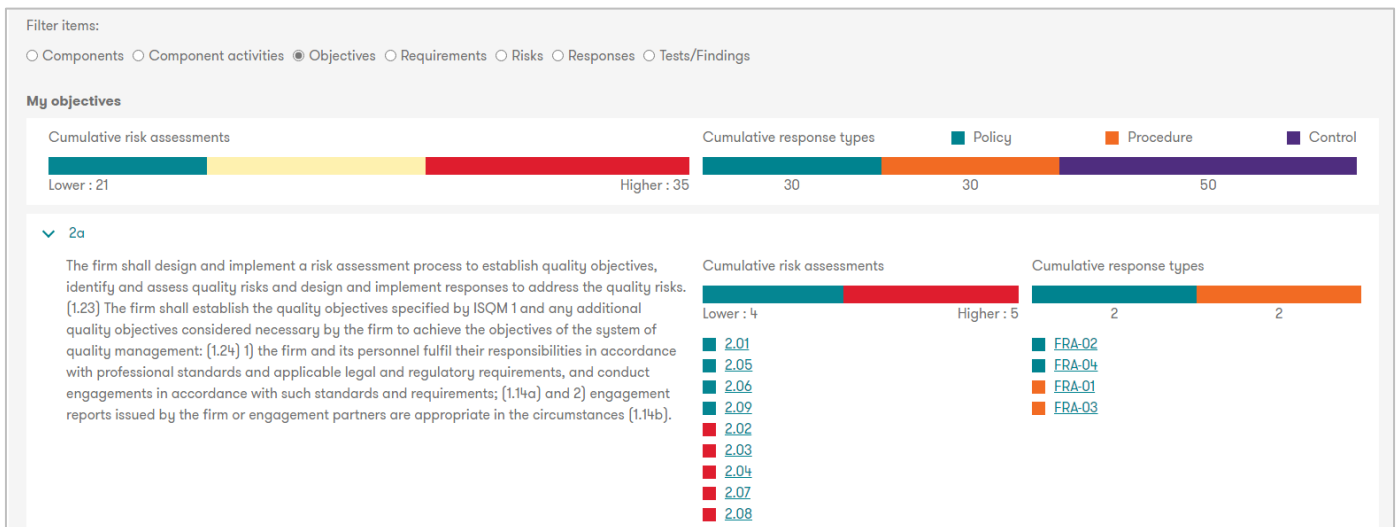


Figure 38: My objectives

My Requirements

To filter by **Requirements**, select the **Requirements** filter. At the top of the **My requirements** section is a color-coded bar that displays the Cumulative count of response types for your requirements. The available response types are Policy, Procedure and Control. Hover over this bar for more information on the color-code.

Underneath the color-coded Cumulative count of response types for your requirements bar is a list of the individual Requirements that you own. To view information about the requirement, click the **right arrow** ➤ at the far left.

Once expanded the description of the requirement and its related Cumulative responses by response type displays. Hover over this bar for more information on the color-code.

Underneath the Cumulative response type bar is a color-coded list of these Responses. The colors indicate the type of each of the responses specific to that requirement.

Note that the Requirements and Responses display in **blue/green**. You can click the **Requirements** and the **Responses** to view or edit that Requirement or Response on its item page.



Figure 39: My requirements

My Risks

To filter by **Risks**, select the **Risks** filter. At the top of the **My risks** section is a color-coded bar that displays of Cumulative assessments for your risk by level. These levels are pre-determined by your System Administrator. In this case, there are three levels available of Lower, Normal, and Higher. Hover over this bar for more information on the color-code.

Underneath the color-coded Cumulative assessments for your risks bar is a list of risks with the associated risk assessment that you own. To view information about the risk, click the **right arrow** ➤ at the far left.

Once expanded the description of the risk and the Cumulative response types color-coded bar displays. Hover over this bar for more information on the color-code.

Underneath the Cumulative response type bar is a color-coded list of these Responses. The colors indicate the type of responses specific to that risk.

Note that the Risks and Responses display in **blue/green**. You can click the **Risks** and **Responses** to view or edit the Risk or Response on its item page.

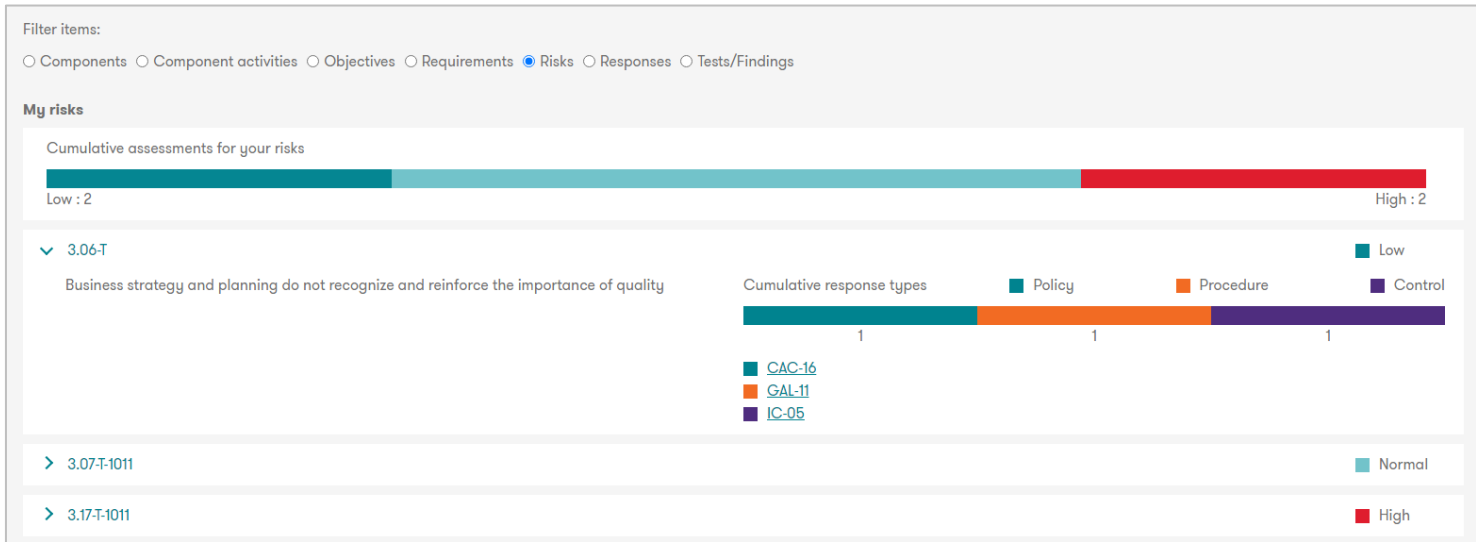


Figure 40: My risks

My Responses

To filter by **Responses**, select the **Responses** filter. At the top of the **My responses** section is a color-coded bar that displays the count of Cumulative response types for your responses by response type. The available response types are Policy, Procedure and Control. Hover over this bar for more information on the color-code.

Underneath the color-coded Cumulative response types for your responses is a list of the individual responses you own with a count of the number of Findings and the number of Remediated findings. To view information about the response, click the **right arrow** ➤ at the far left.

Once expanded the description of the response displays along with two color-coded cumulative bars for items that relate to that response:

- Cumulative test status, which indicates the number of related Tests by test status; and
- Cumulative finding type bar, which displays the number of related Findings by type and status.

Hover over this bar for more information on the color-code.

Underneath the color-coded Cumulative test status bar is a list of tests with their associated status. The colors indicate the status of each of the individual tests.

Underneath the color-coded Cumulative finding type bar is a list of findings and their associate type and status. The colors indicate the status of the finding.

Note that the Responses, Tests and Findings display in **blue/green**. You can click the **Responses, Tests** or **Findings** to view or edit the Response, Test or Finding on its item page

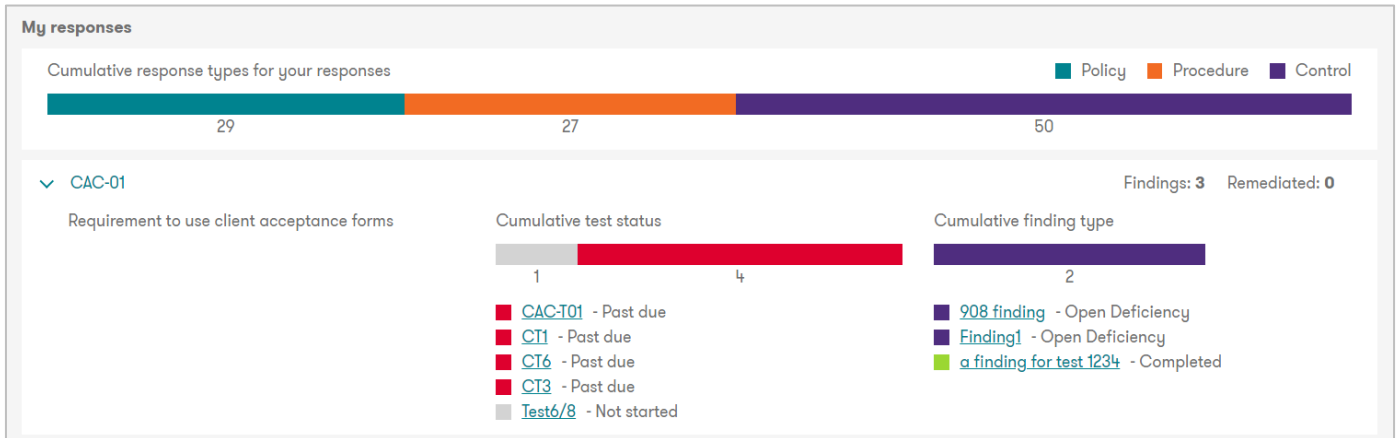


Figure 41: My responses

My Tests/Findings

Tests

To filter by Tests, select the **Tests/Findings** filter. At the top of the **My tests** section is a color-coded bar that displays the Cumulative status for your tests. The following test status are available:

- **Not started:** The Test item has been created, but the testing has yet to commence.
- **In progress:** Testing has commenced, and the Test item has been assigned a status of 'In progress'.
- **Ready for review:** Testing has been completed, and the Test item has been assigned a status of 'Ready for review'.
- **Reviewed:** Testing has been reviewed, and the Test item has been assigned a status of 'Reviewed'.
- **Completed:** Testing has been finalized and the Test item has been assigned a status of 'Completed'.
- **Closed:** Testing has been closed and cannot be edited.

To filter the tests by **Tester** or **Reviewer**, select "Tester" to display the tests assigned to you as a tester, or select "Reviewer" to display the tests assigned to you as a reviewer.

Hover over this bar for more information on the color-code. The total number of tests for each status is displayed beneath the bar chart. When you hover over the chart, the corresponding status should appear.

Underneath the color-coded cumulative status for your tests is a list of tests you own, along with the associated status and due date. Past due tests will be displayed in red text. To view information about the test, click the **right arrow** ➔ at the far left.

Once expanded the description of the test displays along with any related Findings and the Response being tested. The color indicates the status of the Finding and the type of the Response.

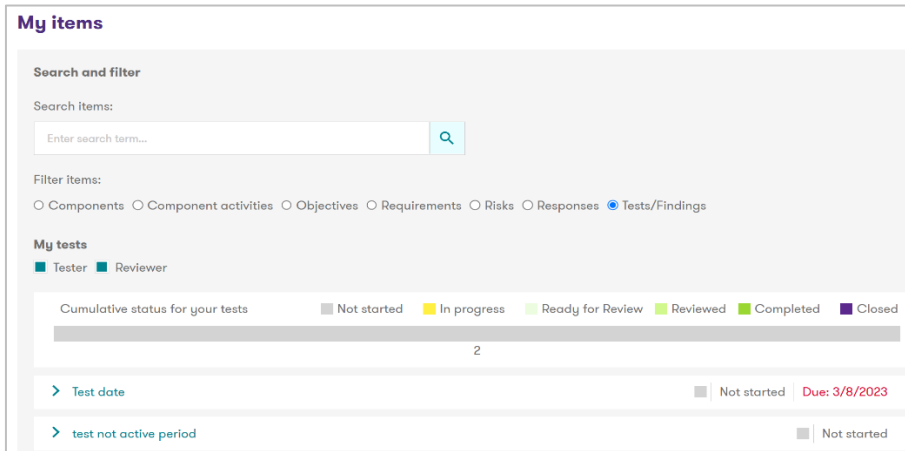


Figure 42: My Tests

Findings and Deficiencies

To filter by **Findings** and **Deficiencies**, select the **Tests/Findings** filter. The **My findings and deficiencies** section of the page displays after the **My tests** section. You may need to scroll down the page to find this section. At the top of the **My findings and deficiencies** section are two color-coded bars with cumulative counts:

- Cumulative Test status. The following status are available:
 - Not started: The Test item has been created, but the testing has yet to commence.
 - In progress: Testing has commenced, and the Test item has been assigned a status of 'In progress'.
 - Ready for review: Testing has been completed, and the Test item has been assigned a status of 'Ready for review'.
 - Reviewed: Testing has been reviewed, and the Test item has been assigned a status of 'Reviewed'.
 - Completed: Testing has been finalized and the Test item has been assigned a status of 'Completed'.
 - Closed: Testing has been closed and cannot be edited.
- Cumulative Finding types. The following Finding types are available:
 - Open Finding: Finding has been identified and its severity is in process of being evaluated.
 - Open Deficiency: Finding has been evaluated and rises to the level of a Deficiency. The root cause of the Deficiency is being assessed and the Deficiency still requires remediation.
 - Remediated: The Finding or Deficiency has been remediated.

Underneath the color-coded Test status bar and the color-coded Finding type bar is a list of findings you are associated with, along with their evaluation (Finding or Deficiency) and status. To view information about the findings, click the **right arrow** ➤ at the far left.

Findings can be expanded to display its description and related Responses.

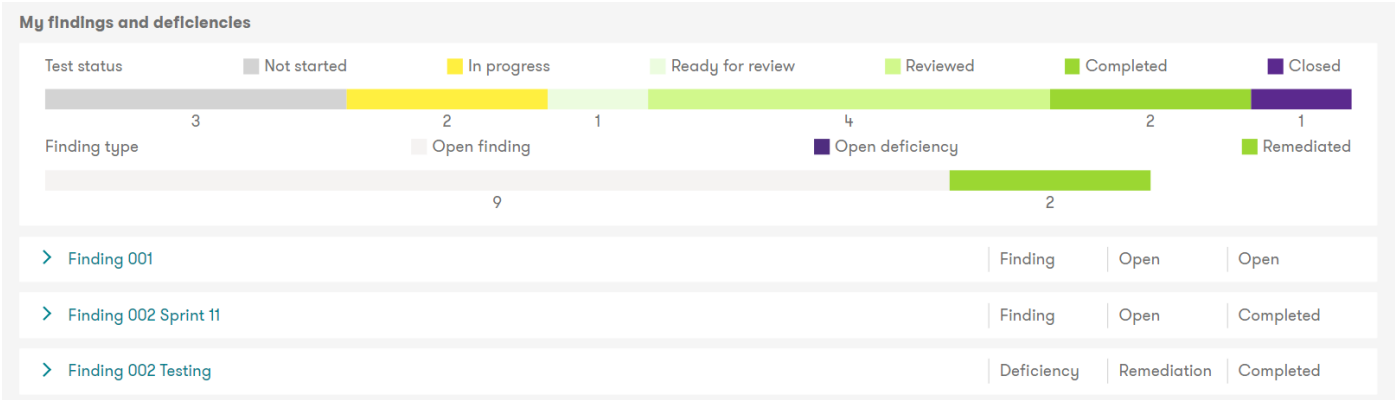


Figure 43: My findings and deficiencies

Note that the Tests, Responses and Findings display in blue/green. You can click the **Tests**, **Responses** or **Findings** to view or edit the Test, Response or Finding on its item page.

Items Page

Items are objects or elements that comprise the SoQM. Items include **Components, Component Activities, Objectives, Requirements, Risks, Responses, Tests, and Findings.**

Through the **Items** page, as your role allows, you can:

- Search items using various filters
- Select items to view and edit
- Create items and relationships

While it is likely that, initially, most items were imported when the SoQM was set up in qm.x, additional items can be manually added as needed.

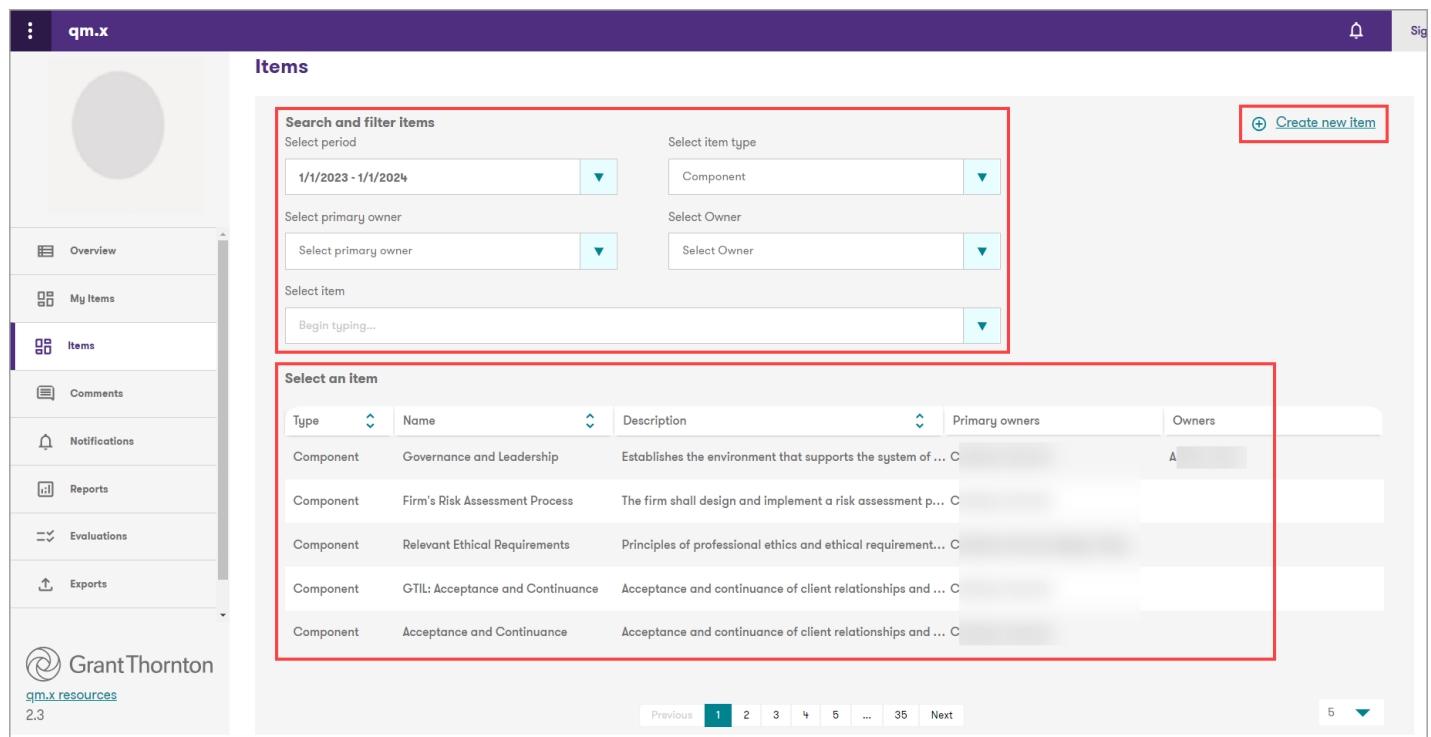
Items Page Layout

The **Items** page displays with two sections.

The upper section, **Search and filter Items**, displays filters that can be used to narrow your search and more easily locate items to be viewed and edited.

The lower section, **Select an Item**, displays a list of items that meet the search and filter criteria entered above. In this section, individual items can be selected for viewing and editing.

At the upper right of the page is a **Create new item** link used to create a new item record.



Items

[Create new item](#)

Search and filter items

Select period: 1/1/2023 - 1/1/2024

Select item type: Component

Select primary owner: Select primary owner

Select Owner: Select Owner

Select item: Begin typing...

Select an item

Type	Name	Description	Primary owners	Owners
Component	Governance and Leadership	Establishes the environment that supports the system of ...	C	A
Component	Firm's Risk Assessment Process	The firm shall design and implement a risk assessment p...	C	
Component	Relevant Ethical Requirements	Principles of professional ethics and ethical requirement...	C	
Component	GTIL: Acceptance and Continuation	Acceptance and continuation of client relationships and ...	C	
Component	Acceptance and Continuation	Acceptance and continuation of client relationships and ...	C	

Previous 1 2 3 4 5 ... 35 Next

Figure 44: Items Page

The bottom center of the page will display the number of pages for the current search results and the page displayed. For example, the number **1** is highlighted indicating that page 1 is currently displayed. The number **2** indicates that there is a page two. Click a number to go to that page. You can also click **Previous** and **Next** to go to the previous and next pages, respectively. If **Previous** or **Next** are shaded, it means that they are not an option on that page.

Select an Item					
Type	Name	Description	Primary owners	Owners	
Component	Governance and Leadership	Establishes the environment that supports the system of ... C		A	
Component	Firm's Risk Assessment Process	The firm shall design and implement a risk assessment p... C			
Component	Relevant Ethical Requirements	Principles of professional ethics and ethical requirement... C			
Component	GTIL: Acceptance and Continuance	Acceptance and continuance of client relationships and ... C			
Component	Acceptance and Continuance	Acceptance and continuance of client relationships and ... C			

[Previous](#)
[1](#)
[2](#)
[3](#)
[4](#)
[5](#)
[...](#)
[35](#)
[Next](#)

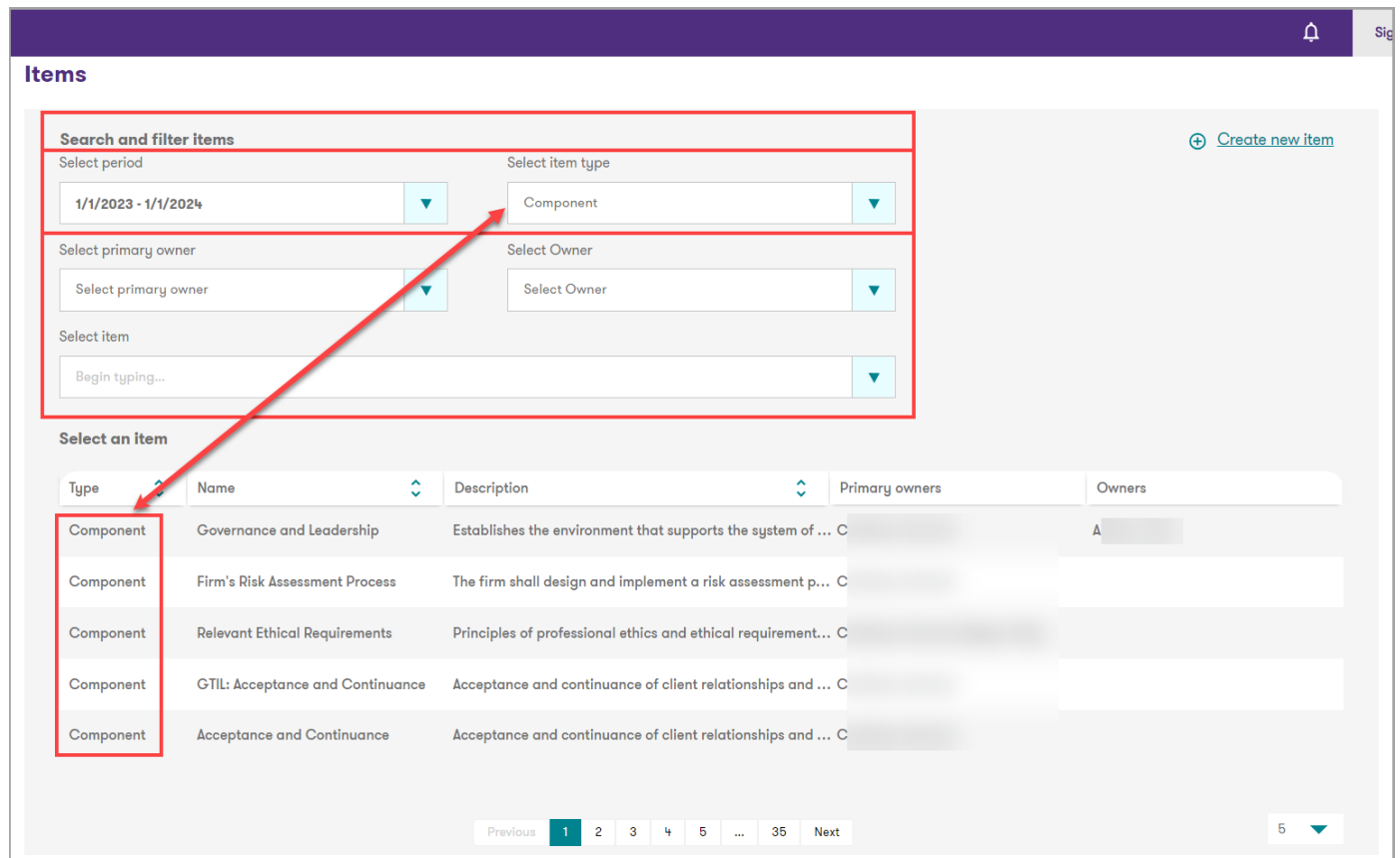
Figure 45: Search and filter – Multiple pages

To Search Items

The **Search and Filter Items** function is used to search for items in the SoQM. Filters are used to narrow your search results. A search will look for any item that includes all of the filters requested. While not all filters are required to be used, the more filters selected, the narrower the results. If multiple filters are being used, the period should be selected first followed by the item type.

When the **Items** page initially displays, the **Select Period** field defaults to the current period and the **Select item type** field defaults to **Component**. These are the default search filters. All the items listed in the **Select an Item** section of the page will match the **Period** and **Item type** filters. To perform a search, those filters can be changed, and additional filters can be used.

To perform a search, in the **Search and filter Items** section, select the filters that apply to your search request, as outlined below.



Items

[Create new item](#)

Search and filter items

Select period: 1/1/2023 - 1/1/2024

Select item type: Component

Select primary owner: Select primary owner

Select Owner: Select Owner

Select item: Begin typing...

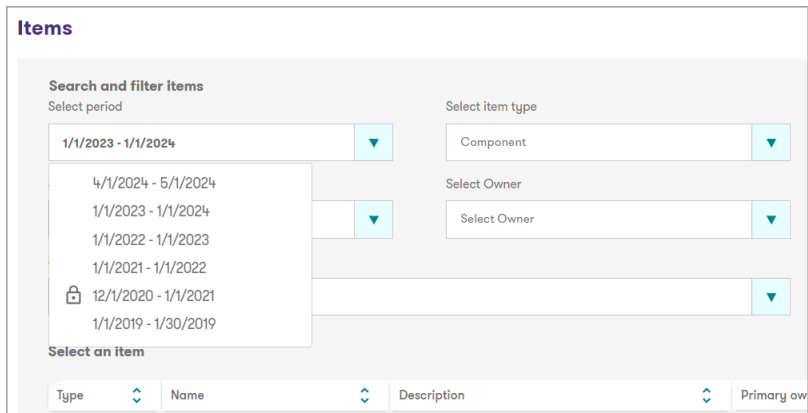
Select an item

Type	Name	Description	Primary owners	Owners
Component	Governance and Leadership	Establishes the environment that supports the system of ...	C	A
Component	Firm's Risk Assessment Process	The firm shall design and implement a risk assessment p...	C	
Component	Relevant Ethical Requirements	Principles of professional ethics and ethical requirement...	C	
Component	GTIL: Acceptance and Continuance	Acceptance and continuance of client relationships and ...	C	
Component	Acceptance and Continuance	Acceptance and continuance of client relationships and ...	C	

Previous 1 2 3 4 5 ... 35 Next

Figure 46: Search and filter Items section of Items page

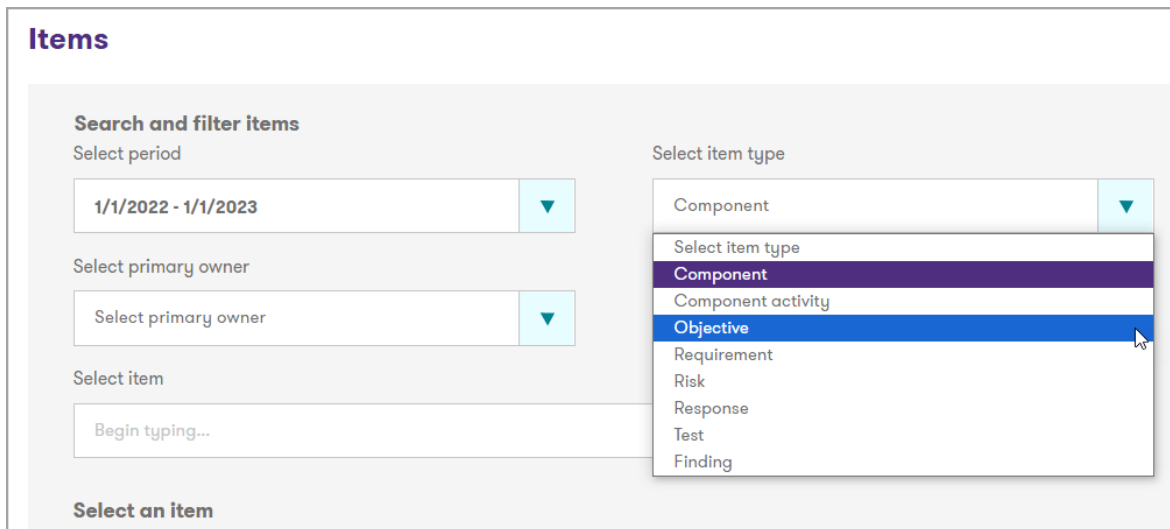
Click the **Select Period** field (Figure 47) and, in the menu, click to select the desired **Period**.



The screenshot shows the 'Items' page with a 'Search and filter items' section. The 'Select period' dropdown menu is open, displaying a list of date ranges: 1/1/2023 - 1/1/2024, 4/1/2024 - 5/1/2024, 1/1/2023 - 1/1/2024, 1/1/2022 - 1/1/2023, 1/1/2021 - 1/1/2022, 12/1/2020 - 1/1/2021, and 1/1/2019 - 1/30/2019. Below the dropdown is a 'Select an item' section with columns for Type, Name, Description, and Primary owner.

Figure 47: Select Period

Click the **Select item type** field (Figure 48) and from the menu, click to select the desired item type.

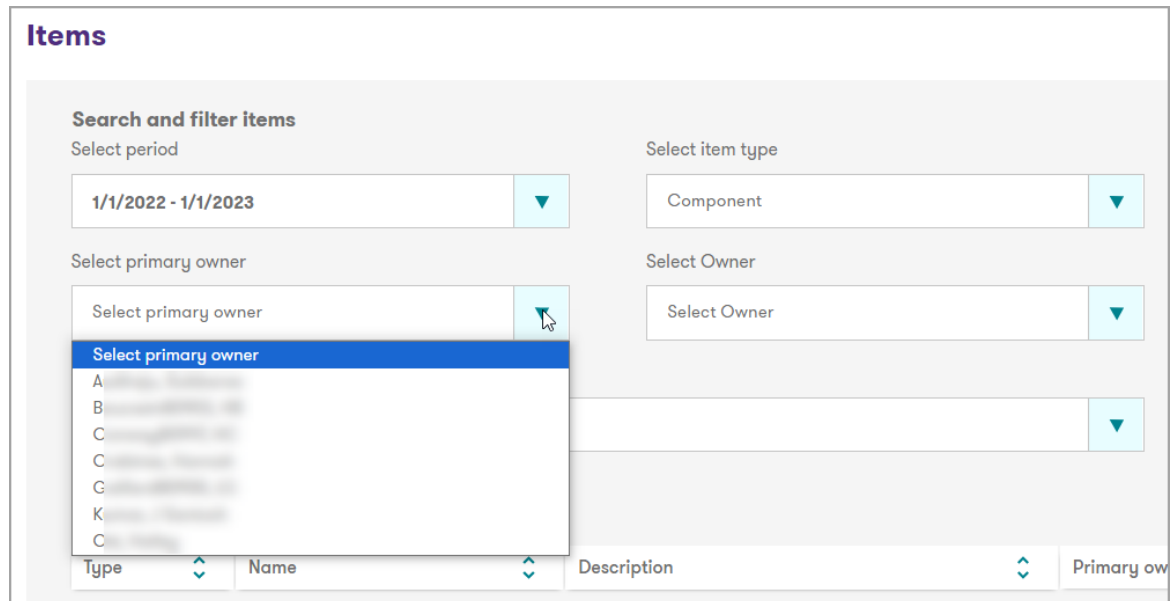


The screenshot shows the 'Items' page with a 'Search and filter items' section. The 'Select item type' dropdown menu is open, displaying a list of item types: Component, Component activity, Objective, Requirement, Risk, Response, Test, and Finding. The 'Objective' item type is highlighted. Below the dropdown is a 'Select an item' section with columns for Type, Name, Description, and Primary owner.

Figure 48: Select item type

The **Primary Owner** is the individual who is primarily responsible for the item.

Click the **Primary Owner** field (Figure 49) and, in the menu, click to select the desired **Primary Owner**.



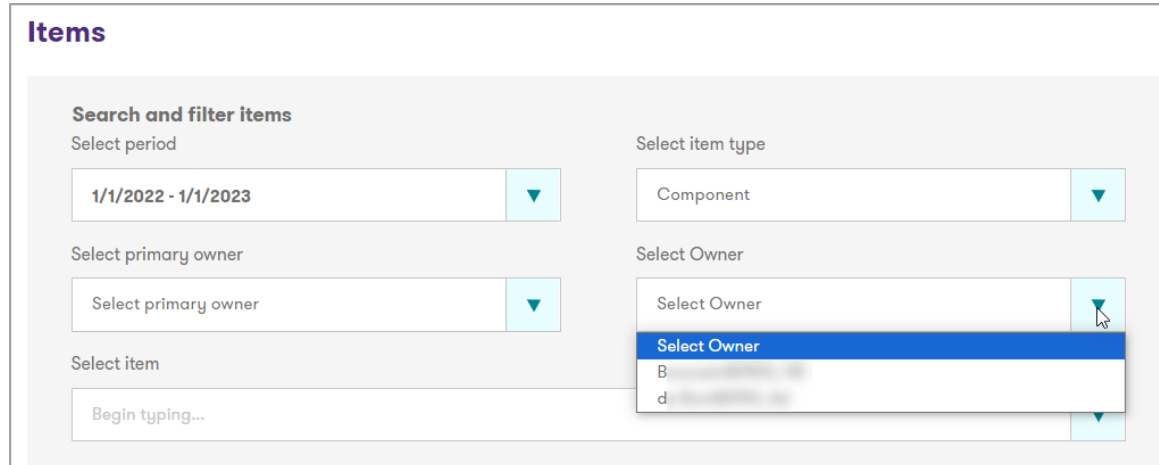
The screenshot shows the 'Items' form with the following fields and options:

- Search and filter items**
 - Select period: 1/1/2022 - 1/1/2023
 - Select item type: Component
- Select primary owner**: A dropdown menu is open, showing a list of names (A, B, C, C, G, K, C) with the first option 'Select primary owner' highlighted in blue.
- Select Owner**: A dropdown menu with the text 'Select Owner' and a downward arrow.

At the bottom, there are columns for 'Type', 'Name', 'Description', and 'Primary ow'.

Figure 49: Select Primary Owner

Click the **Select owner** field (Figure 50) and, in the menu, click to select the desired **owner**. An **owner** may be a delegate of the **primary owner** or an individual that also has responsibilities for the item.



The screenshot shows the 'Items' form with the following fields and options:

- Search and filter items**
 - Select period: 1/1/2022 - 1/1/2023
 - Select item type: Component
- Select primary owner**: A dropdown menu with the text 'Select primary owner' and a downward arrow.
- Select item**: A text input field with the placeholder 'Begin typing...'.
- Select Owner**: A dropdown menu is open, showing a list of names (B, d) with the first option 'Select Owner' highlighted in blue.

Figure 50: Select owner

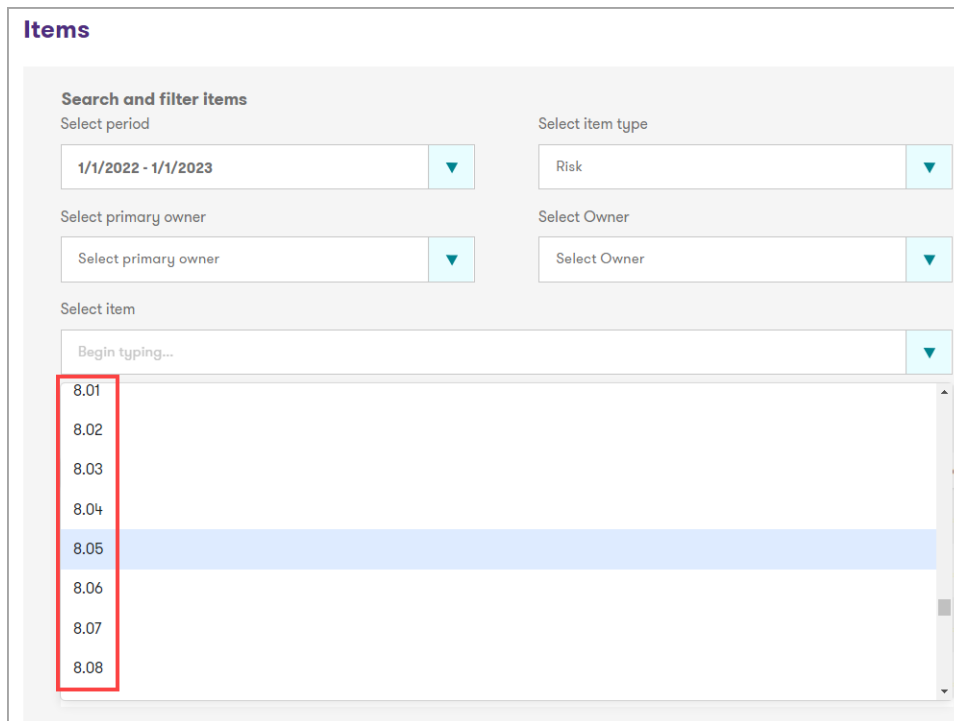
In the **Select Item** field, there are a couple of ways to filter your search results.

Click the **Select Item** field (Figure 51) to display the options for the **item type** selected in the **Select item type** field. In this example, the **item type** selected was **Risk**.

Notice that the menu list is rather long. You can tell because the dark tab at the top of the scroll bar is very small. The smaller the scroll bar tab, the longer the list. Likewise, the larger the scroll bar tab, the shorter the list.

To view additional menu options, with the menu displayed, click the scroll bar tab to the right of the menu and, using your mouse, move the tab up and down. You can also:

- Click the **up** and **down** arrows at the top and bottom of the scroll bar
- Use the up and down arrow keys on your keyboard
- Use the Page Up and Page Down keys on your keyboard.



Items

Search and filter items

Select period
1/1/2022 - 1/1/2023 ▼

Select item type
Risk ▼

Select primary owner
Select primary owner ▼

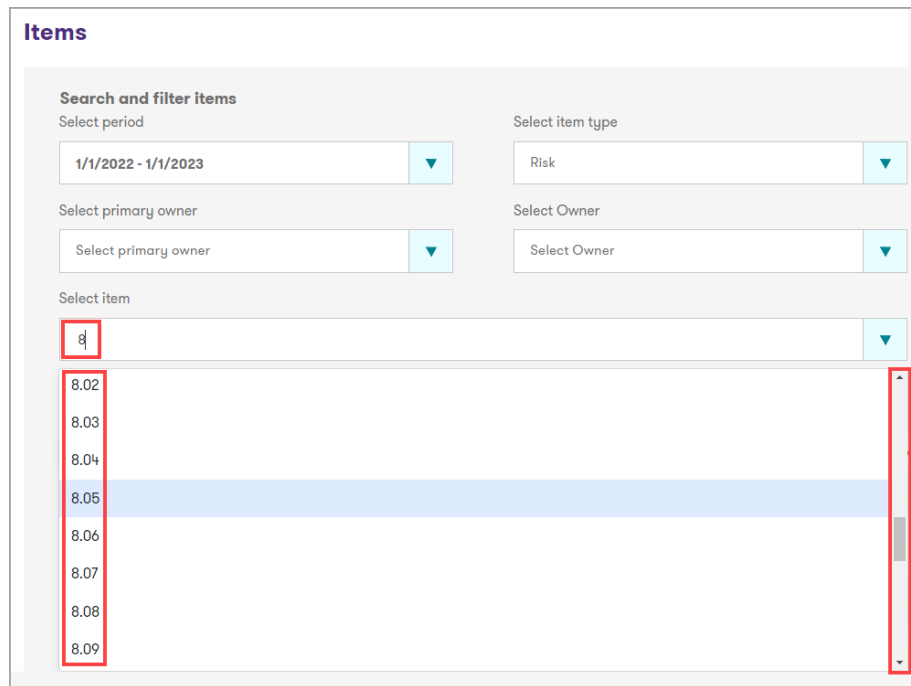
Select Owner
Select Owner ▼

Select item
Begin typing... ▼

- 8.01
- 8.02
- 8.03
- 8.04
- 8.05
- 8.06
- 8.07
- 8.08

Figure 51: Select Item options

To reduce the number of menu options and more easily filter your search results, start typing a name in the **Select Item** field (Figure 52). In this example, “8.” was entered, shortening the list of options in the menu (notice the scroll bar tab is much larger). In this example, only **Risk** (item type) item names starting with “8.” are displayed in the menu. Now you can scroll down the menu and click to select the desired **Item Name**, in this example “8.05”.

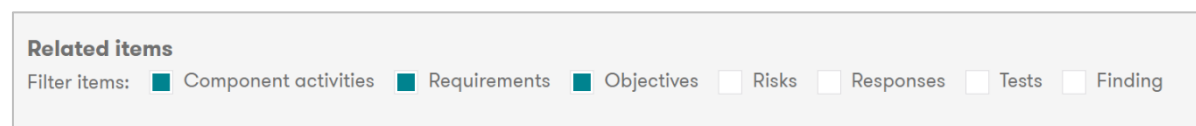


The screenshot shows the 'Items' page with a search and filter section. The 'Select item' dropdown menu is open, displaying a list of item names starting with '8.'. The item '8.05' is highlighted. A red box highlights the search input field containing '8.' and the list of items. A red box also highlights the scroll bar on the right side of the list.

Figure 52: Select Item field

Related Items

In the **Items** page, when you select a specific **Item name**, a row of small boxes will appear (Figure 53). This the related **Item types** exist for the **Item name** you just searched for. When related items exist, the boxes next to the **item types** will automatically fill-in.



The screenshot shows the 'Related items' section with a row of checkboxes for different item types. The checkboxes are labeled: Component activities, Requirements, Objectives, Risks, Responses, Tests, and Finding. The 'Component activities' checkbox is checked.

Figure 53: Related Items boxes

In addition, the related **Item type** records will automatically display in the table at the bottom of the page (Figure 54), along with the record for the **Item Name** you just searched for.

Items

Search and filter items

Select period

1/1/2022 - 1/1/2023

Select item type

Risk

Select primary owner

Select primary owner

Select Owner

Select Owner

Select item

Begin typing...

Select an item

Type	Name	Description	Primary owners
Risk	7.07	Information relevant to and changes to the system of qu...	C
Risk	11.04	Individuals are not assigned to an engagement/function...	C
Risk	13.02	Specific hiring needs are not identified timely for the co...	C
Risk	LEADERSHIP-R02	The firm does not have a designated leader responsible ...	C
Risk	11.28	The firm does not obtain individuals from external sourc...	C

Figure 54: Item Names search results with Related Items boxes

Only the items with the selected value in the **Name** column will display under **Select an Item** at the lower part of the **Items** page. The items will display in a list with multiple columns, in this case **Type**, **Name**, **Description**, **Primary owner**, and **Owner**. The data that is displayed in the **Select an Item** section of the page will vary, depending on what **Item type** you searched on. For example, the search results for the **item type** of **Test** will have the column headings of **Type**, **Name**, **Description**, **Primary owner**, and **Testers/Reviewers**.

If the list of items is long, the order of the items listed can be changed using the **up and down arrows** next to the first three column headings (Figure 55). Click the **up and down arrow icon** to toggle the order of that column's list between ascending and descending.

Select an item						
Type		Name		Description		Owners
Component		Governance and Leadership		Establishes the environment that supports the system of ... C		
Component		Firm Risk Assessment Process		Establishes quality objectives, identify and assess qual...		

Figure 55: Headings for specific Item Name

In the **Select an Item** section (Figure 56), click an **Item** to view or edit it.

Items

Search and filter items

Select period

1/1/2022 - 12/31/2022

Select item type

Risk

Select primary owner

Select primary owner

Select owner

Select owner

Select item

3.16

Related items

Filter items: ☒ Component activities ☐ Requirements ☒ Objectives ☒ Risks ☒ Responses ☐ Tests

Select an item

Type	Name	Description	Primary owners	Owners
Finding	Finding RER-T30			
Objective	3b	The firm and its personnel fulfil their responsibilities in		
Component activities	OER	Other ethical requirements		
Response	RER-30	Prohibited roles for audit clients		
Response	RER-31	External business interests		
Risk	3.16	Firm personnel have external roles/activities/business in...		

Previous

1

2

3

4

5

...

17

Next

10

Figure 56: Select item to view

The item's page will display (Figure 57).

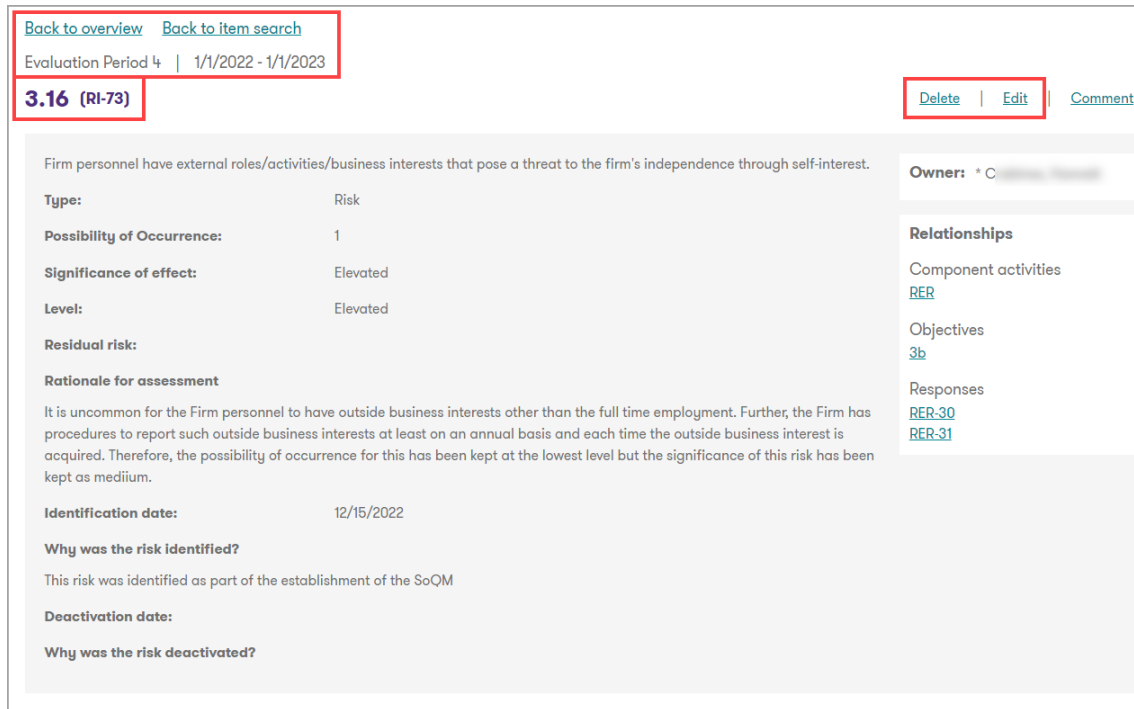
For all items, the item title will appear at the upper left of the page bolded.

Above the title will be a **Back to overview** and **Back to item search** link. Clicking on **Back to overview** link will redirect you to the overview page. Clicking on the **Back to item search** link will redirect you to the previous item search page, without resetting any filters you may have applied.

At the far right are the options to **Delete** and **Edit**. The ability to delete and edit will depend on your role. Only individuals assigned as primary owner or owner of an item will have the ability to **Delete** or **Edit** that item.

NOTE: You cannot delete an item that has sibling or child relationships. Those relationships or the related item must be individually removed before the item you are trying to delete may be deleted.

The format and content of the rest of the page will vary, depending on the **Item Type** (Figure 57), a Risk item.



Back to overview | Back to item search

Evaluation Period 4 | 1/1/2022 - 1/1/2023

3.16 (RI-73) | Delete | Edit | Comment

Firm personnel have external roles/activities/business interests that pose a threat to the firm's independence through self-interest.

Type: Risk

Possibility of Occurrence: 1

Significance of effect: Elevated

Level: Elevated

Residual risk:

Rationale for assessment

It is uncommon for the Firm personnel to have outside business interests other than the full time employment. Further, the Firm has procedures to report such outside business interests at least on an annual basis and each time the outside business interest is acquired. Therefore, the possibility of occurrence for this has been kept at the lowest level but the significance of this risk has been kept as medium.

Identification date: 12/15/2022

Why was the risk identified?

This risk was identified as part of the establishment of the SoQM

Deactivation date:

Why was the risk deactivated?

Owner: * C [redacted]

Relationships

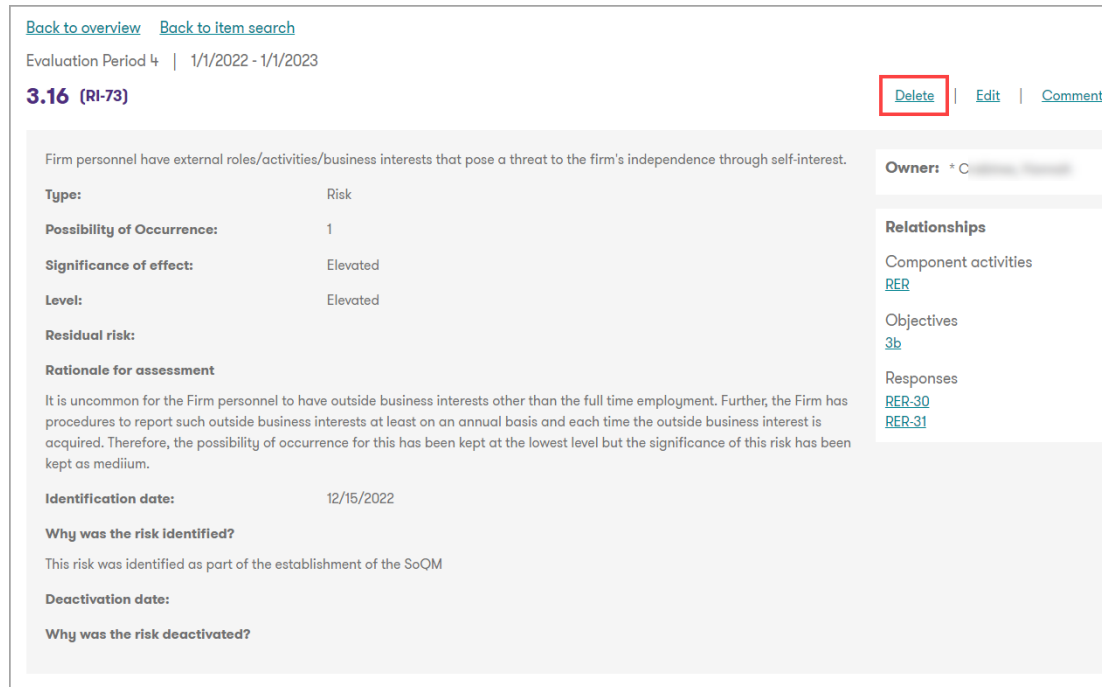
Component activities
[REF](#)

Objectives
[3b](#)

Responses
[REF-30](#)
[REF-31](#)

Figure 57: An item's page - Risk

To **Delete** an item, at the far right of the upper page, click **Delete**.



Back to overview | Back to item search

Evaluation Period 4 | 1/1/2022 - 1/1/2023

3.16 (RI-73)

[Delete](#) | [Edit](#) | [Comment](#)

Firm personnel have external roles/activities/business interests that pose a threat to the firm's independence through self-interest.

Type: Risk

Possibility of Occurrence: 1

Significance of effect: Elevated

Level: Elevated

Residual risk:

Rationale for assessment

It is uncommon for the Firm personnel to have outside business interests other than the full time employment. Further, the Firm has procedures to report such outside business interests at least on an annual basis and each time the outside business interest is acquired. Therefore, the possibility of occurrence for this has been kept at the lowest level but the significance of this risk has been kept as medium.

Identification date: 12/15/2022

Why was the risk identified?

This risk was identified as part of the establishment of the SoQM

Deactivation date:

Why was the risk deactivated?

Owner: * C [redacted]

Relationships

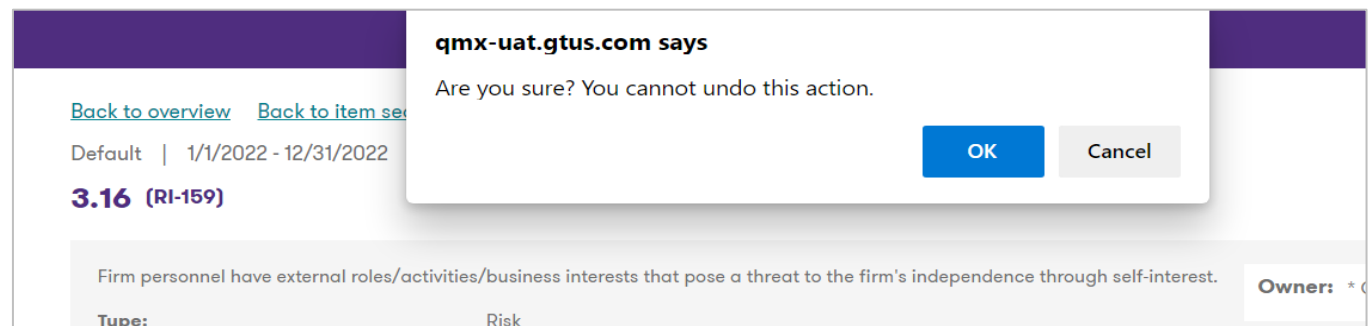
Component activities
[RER](#)

Objectives
[3b](#)

Responses
[RER-30](#)
[RER-31](#)

Figure 58: To delete Item

Anytime you choose to delete an item, a message will appear at the top of the page (Figure 59) asking if you are sure you want to delete.



qmx-uat.gtus.com says

Are you sure? You cannot undo this action.

[Back to overview](#) | [Back to item search](#)

Default | 1/1/2022 - 12/31/2022

3.16 (RI-159)

Firm personnel have external roles/activities/business interests that pose a threat to the firm's independence through self-interest.

Type: Risk

Owner: * C [redacted]

OK Cancel

Figure 59: Confirmation message

If you try to delete an item with a child or sibling relationship, you will get a message at the top of the page (Figure 60), "This item type has related items and cannot be deleted." The message will vary depending on the item type that you are trying to delete. Here are two examples.



qmx-uat.gtus.com says

This component has related items and cannot be deleted.

OK Cancel

qmx-uat.gtus.com says

This requirement has related items and cannot be deleted.

OK Cancel

Figure 60: "Cannot be deleted" messages

To Edit an Item

To edit an item, you will need to locate and display the item's page.

Locate Item to Edit

You can access and view an item's page in one of three ways. In this example, we'll look for a **Requirement** named **Test Standard** to edit.

Through the Hierarchy view:

Locate and expand the relationship hierarchy of the parent **Component** (Figure 61).

Under **Requirements**, click to select **Test Standard**.

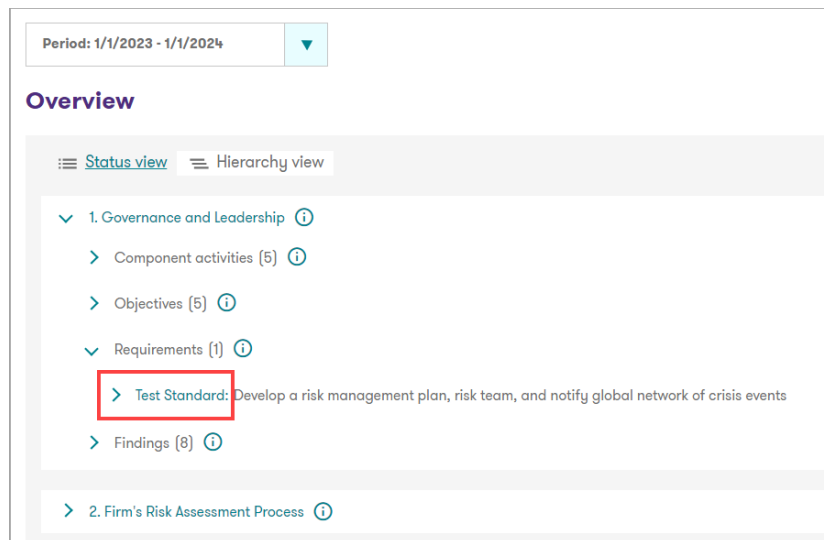


Figure 61: Locate in Hierarchy view and select

In the **Test Standard** page, click to **Edit** (Figure 62).

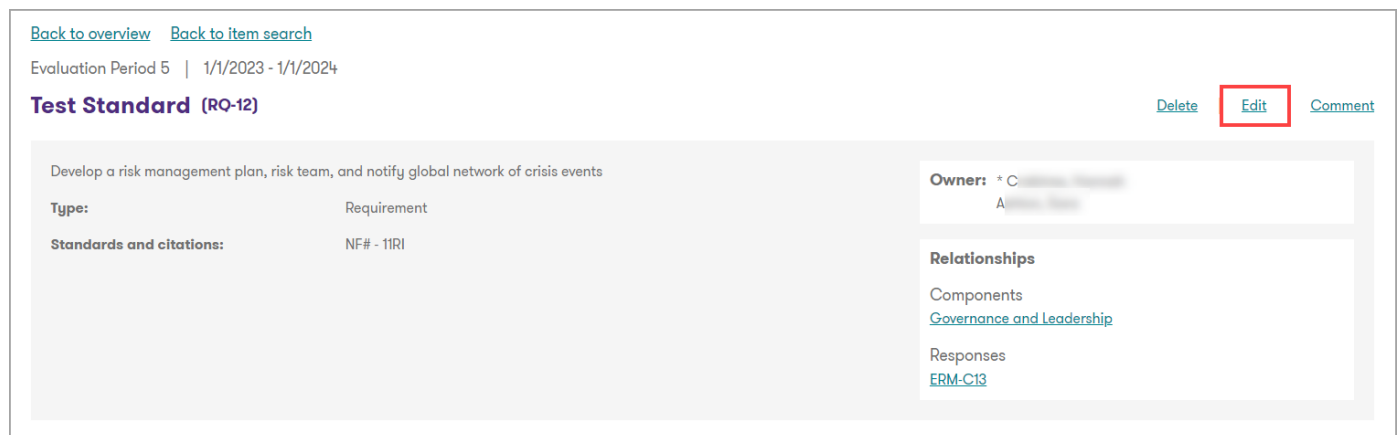


Figure 62: click Edit

In this case, a page will display (Figure 63) where you can edit the **Requirement**.

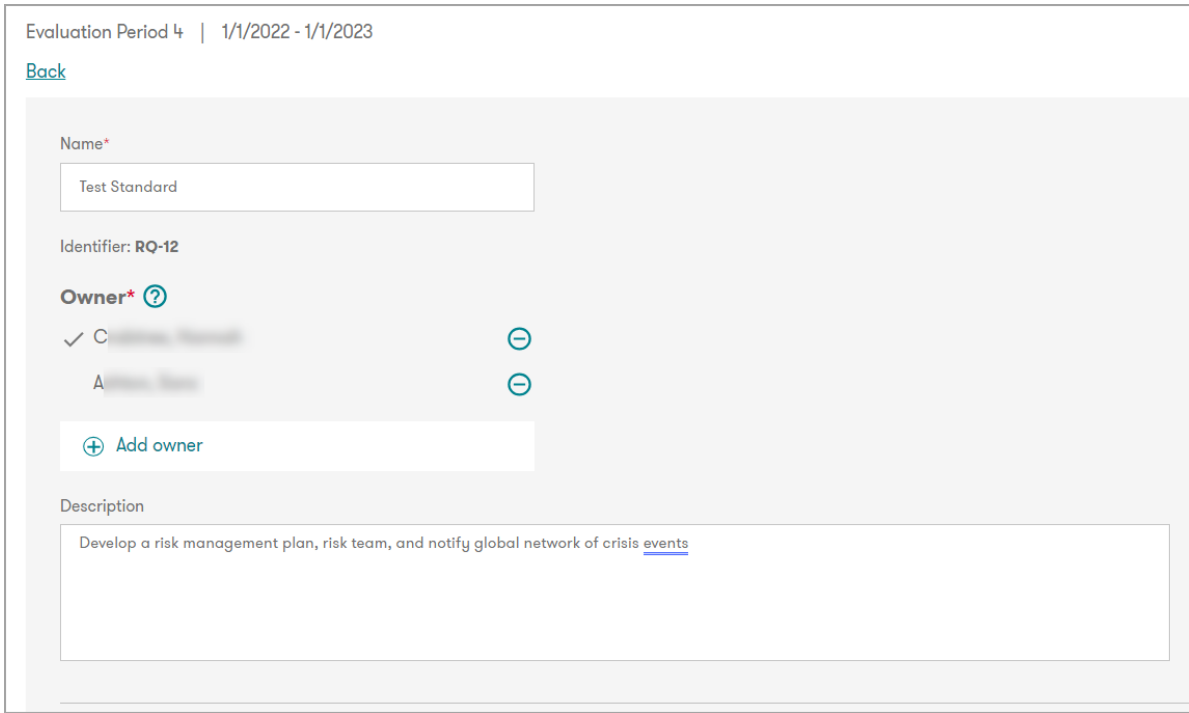


Figure 63: Item's Edit page will display

For more information about how to view an item in Hierarchy view, go to: [To View an Item in Hierarchy view](#).

Through the Items page Search:

In the **Items** page, in the **Select item type** field (Figure 64), select **Requirement** from the menu.

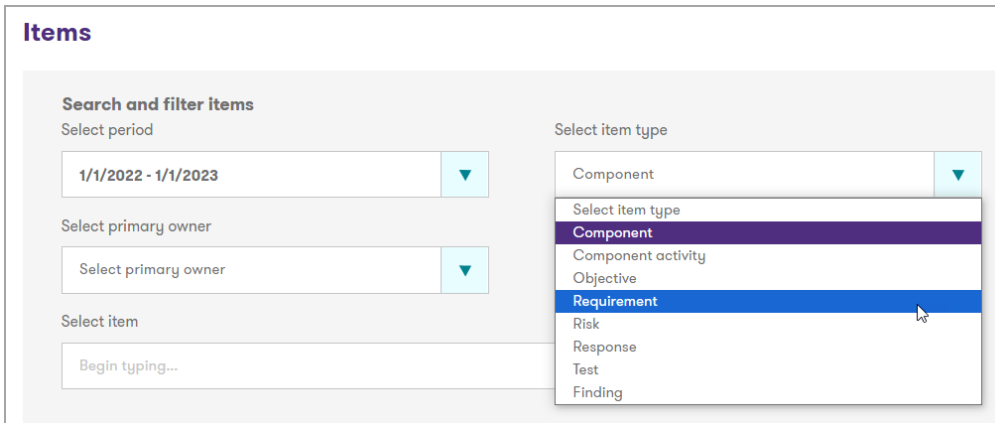
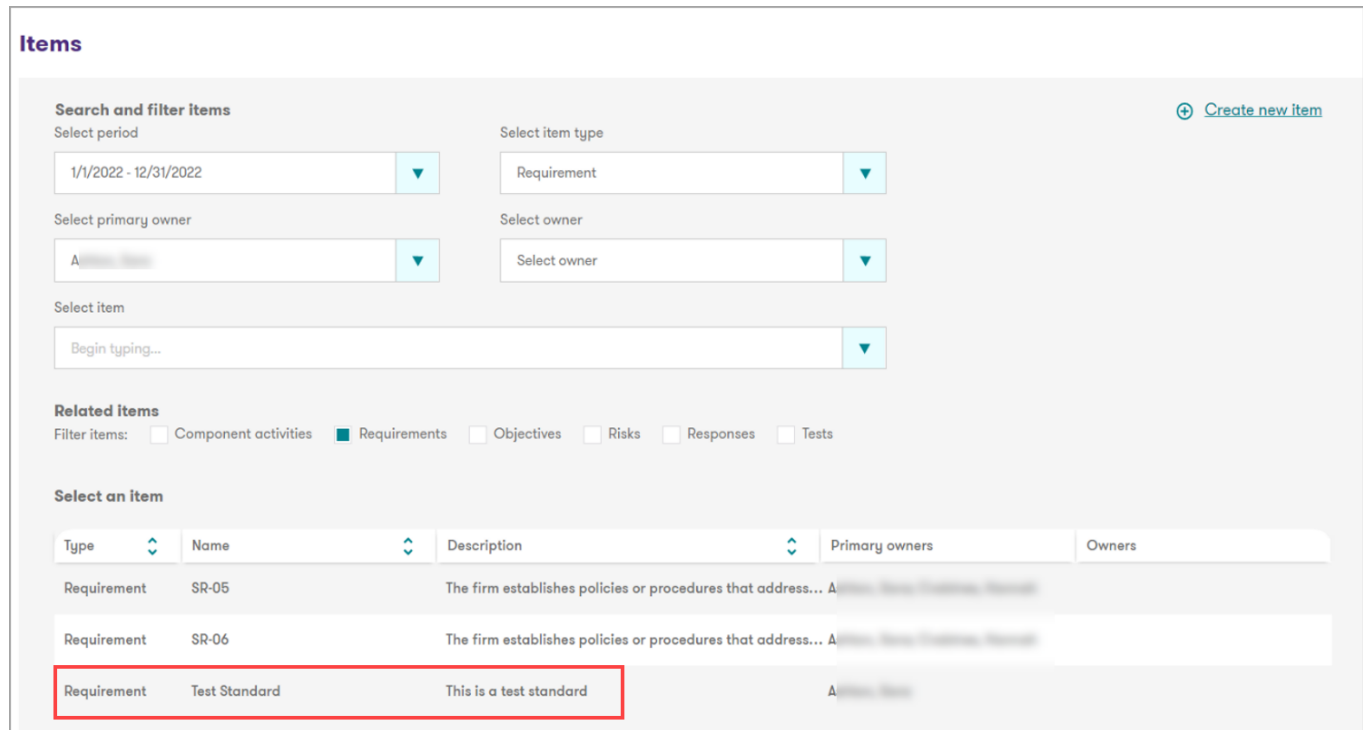


Figure 64: Select item type

All the requirement records will display in the **Select an Item** section.

In the **Select an Item** section of the page (Figure 65), click to select the **Requirement** with the **Name** of **Test Standard**.



Items

[Create new item](#)

Search and filter items

Select period: 1/1/2022 - 12/31/2022

Select item type: Requirement

Select primary owner: A...

Select owner: Select owner

Select item: Begin typing...

Related items

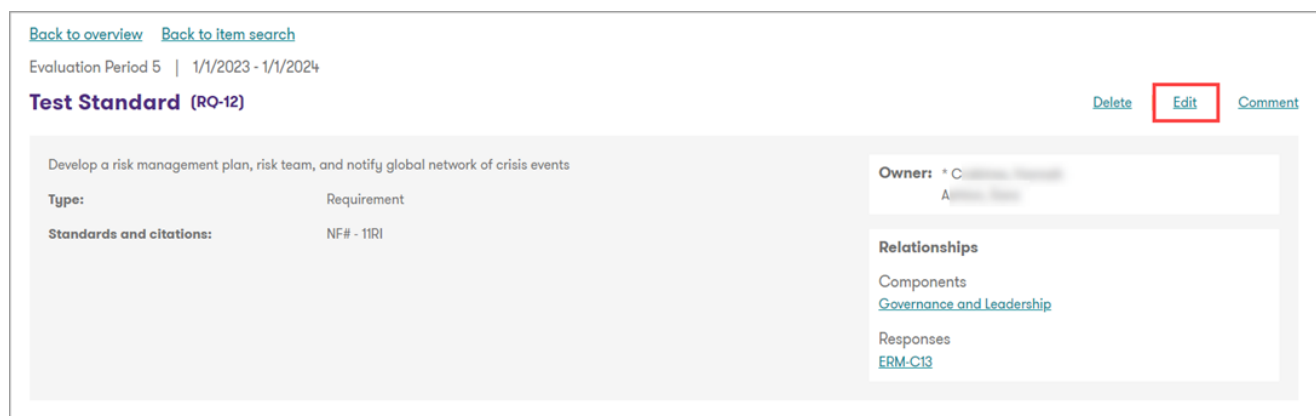
Filter items: ☐ Component activities ☒ Requirements ☐ Objectives ☐ Risks ☐ Responses ☐ Tests

Select an item

Type	Name	Description	Primary owners	Owners
Requirement	SR-05	The firm establishes policies or procedures that address... A...		
Requirement	SR-06	The firm establishes policies or procedures that address... A...		
Requirement	Test Standard	This is a test standard	A...	

Figure 65: Select item from list

The item page for the selected item, **Test Standard**, will display (Figure 66). Click **Edit**.



[Back to overview](#) [Back to item search](#)

Evaluation Period 5 | 1/1/2023 - 1/1/2024

Test Standard (RO-12)

[Delete](#) [Edit](#) [Comment](#)

Develop a risk management plan, risk team, and notify global network of crisis events

Type: Requirement

Standards and citations: NF# - 11RI

Owner: * C... A...

Relationships

Components

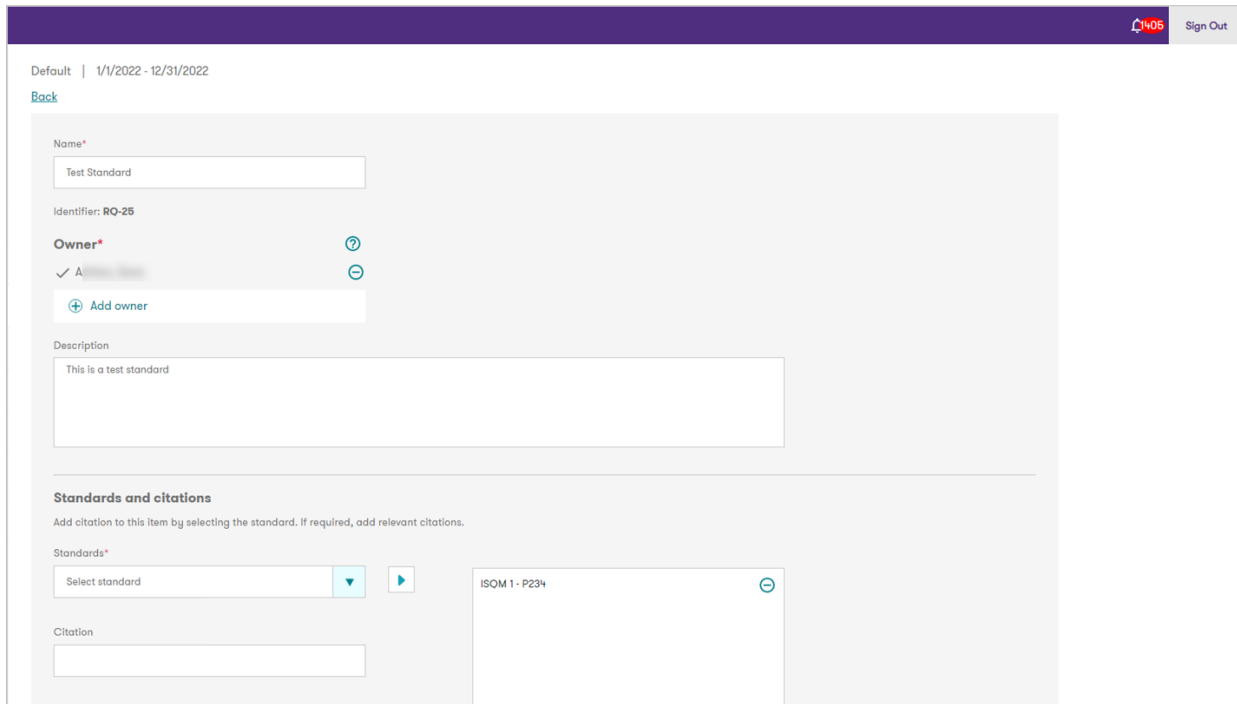
[Governance and Leadership](#)

Responses

[ERM-C13](#)

Figure 66: Item page

The **Requirement** page displays (Figure 67) and the item is ready to **edit**.



Default | 1/1/2022 - 12/31/2022

[Back](#)

Name*

Test Standard

Identifier: RQ-25

Owner*

✓ A

+ Add owner

Description

This is a test standard

Standards and citations

Add citation to this item by selecting the standard. If required, add relevant citations.

Standards*

Select standard

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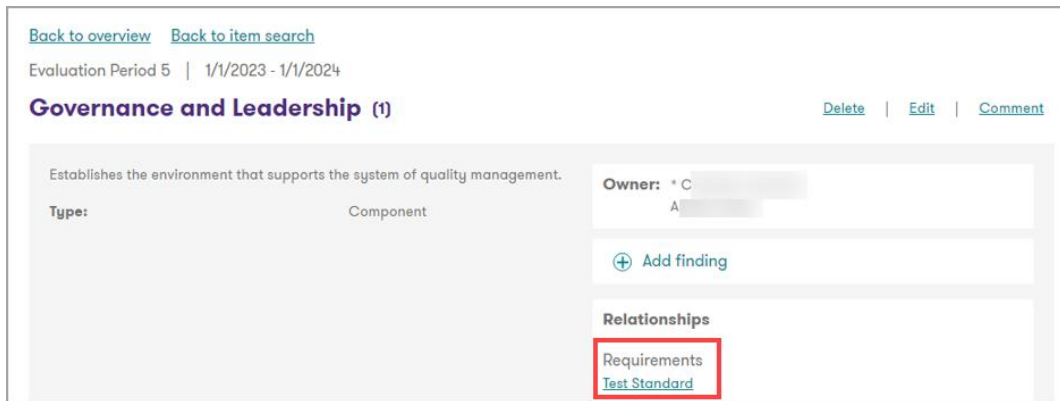
Citation

Figure 67: Edit requirement page

For more information on how to search items, refer to the following sections, [Search My Items](#).

Through a related item:

In the page of a **Component** (Figure 68), in the **Relationship** section, click to select **Test Standard**.



[Back to overview](#) [Back to item search](#)

Evaluation Period 5 | 1/1/2023 - 1/1/2024

Governance and Leadership (1) [Delete](#) | [Edit](#) | [Comment](#)

Establishes the environment that supports the system of quality management.

Type: Component

Owner: * C [redacted]
A [redacted]

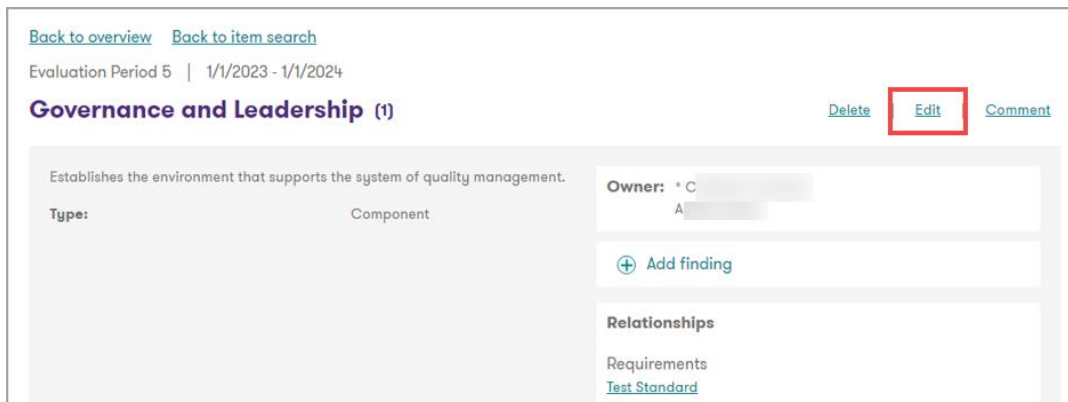
[+ Add finding](#)

Relationships

[Requirements](#)
[Test Standard](#)

Figure 68: Select related Requirement

In the **Test Standard** page (Figure 69), click **Edit**.



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Evaluation Period 5 | 1/1/2023 - 1/1/2024

Governance and Leadership (1) [Delete](#) | [Edit](#) | [Comment](#)

Establishes the environment that supports the system of quality management.

Type: Component

Owner: * C [redacted]
A [redacted]

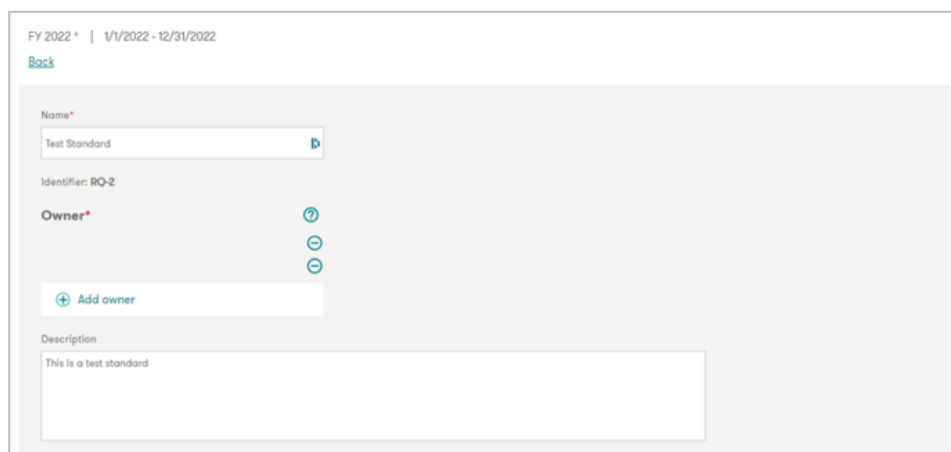
[+ Add finding](#)

Relationships

[Requirements](#)
[Test Standard](#)

Figure 69: Click Edit

The **Requirement** page for the item **Test Standard** will display (Figure 70). If your role allows, you can edit this item in this page.



FY 2022 * | 1/1/2022 - 12/31/2022

[Back](#)

Name*

Test Standard

Identifier: RQ-2

Owner*

[+ Add owner](#)

Description

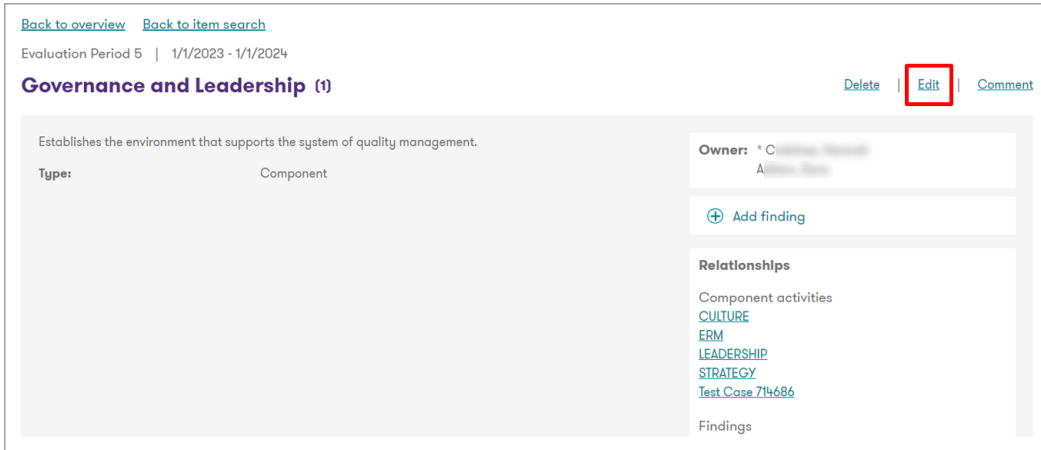
This is a test standard

Figure 70: Edit Requirement page

Edit the Item

Most item pages will have an edit option, usually at the upper right of the page. You will only be able to edit if your role allows.

Once you locate the page of the item to be edited, click **Edit**, as in this example of a component page (Figure 71).



Back to overview | Back to item search

Evaluation Period 5 | 1/1/2023 - 1/1/2024

Governance and Leadership (1) Delete | **Edit** | Comment

Establishes the environment that supports the system of quality management.

Type: Component

Owner: * C. [redacted]
A. [redacted]

+ Add finding

Relationships

Component activities
CULTURE
ERM
LEADERSHIP
STRATEGY
Test Case 714686

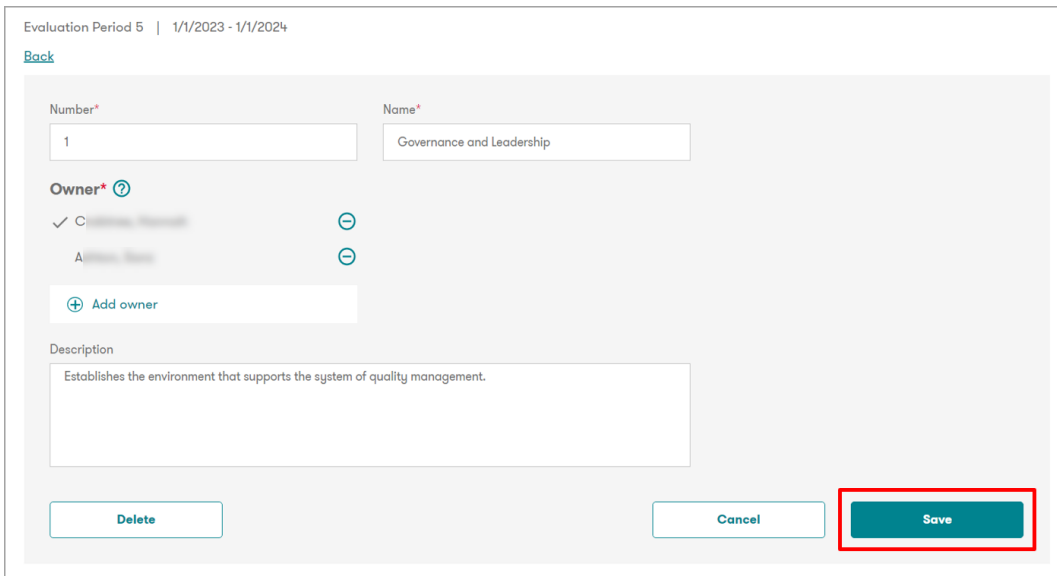
Findings

Figure 71: Click Edit

The edit page for the **Item** will display (Figure 72), in this case the **component** page.

In the edit page, make the desired changes and click **Save** at the lower right of the page.

Be sure to always save your changes.



Evaluation Period 5 | 1/1/2023 - 1/1/2024

[Back](#)

Number* 1 Name* Governance and Leadership

Owner* ?
✓ C. [redacted] -
A. [redacted] -
+ Add owner

Description
Establishes the environment that supports the system of quality management.

Delete Cancel **Save**

Figure 72: Edit Component page.

For guidance as to what fields can be edited and what the requirements are, refer to the instructions for creating new items (**Components, Component Activities, Objectives, Responses, Tests**, etc.) To locate those instructions, use the **Table of Contents** at the beginning of this guide.

To Create a New Item

To create a new item, go to the **Items** page (Figure 73) and click the **Create new item** link at the upper right of the page.

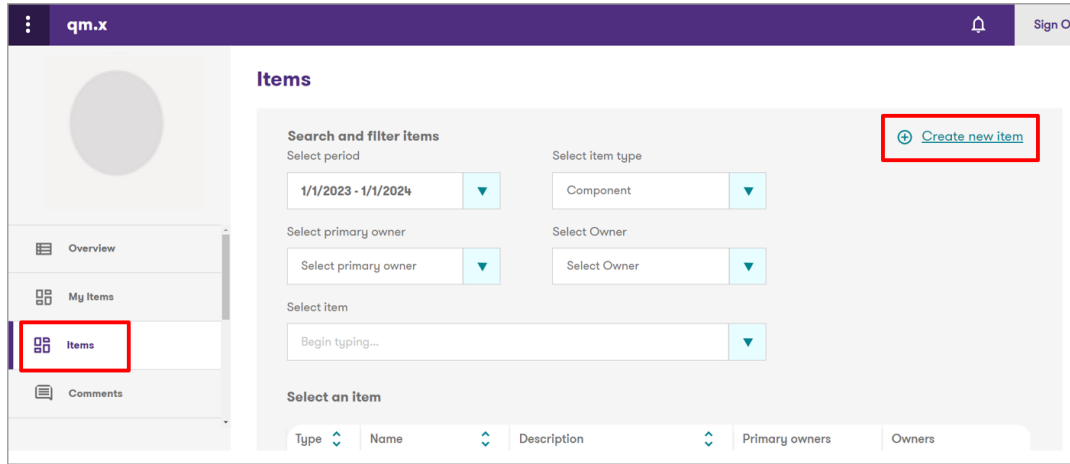


Figure 73: To Create new Item

The default page for **Create a new item** is the **Create new component** page (Figure 74).

At the upper left of the page is the current evaluation period, which is the default period. The item will be created in this period, unless another unlocked evaluation period is selected from the **Overview** page before **Create new item** is selected.

NOTE: An item can be created for any unlocked evaluation period.

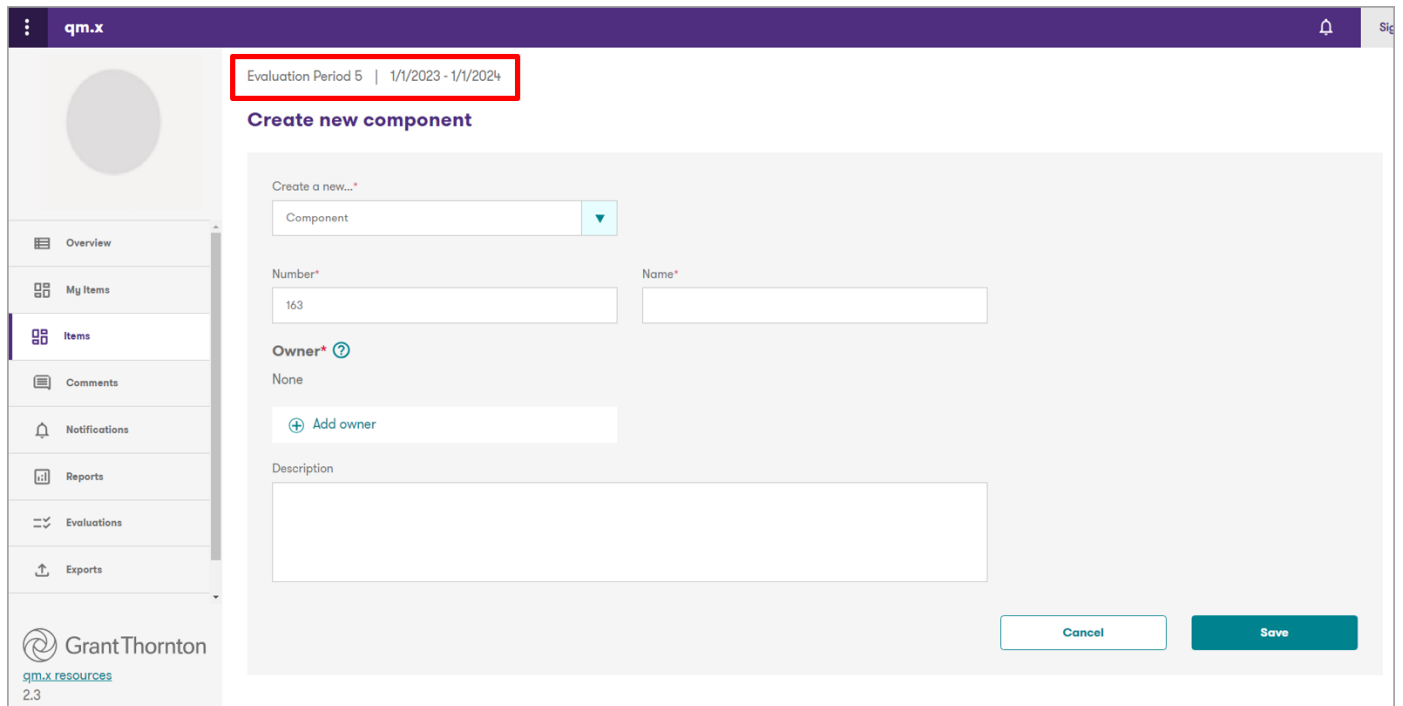


Figure 74: Create new component

Components, Component Activities, Objectives, Requirements, Risks, Responses, and Tests can all be created beginning on this page. However, the format and content for each item will vary.

To select a different item to create, click the field **Create a new...** and, in the menu (Figure 75), click to select the item to create.

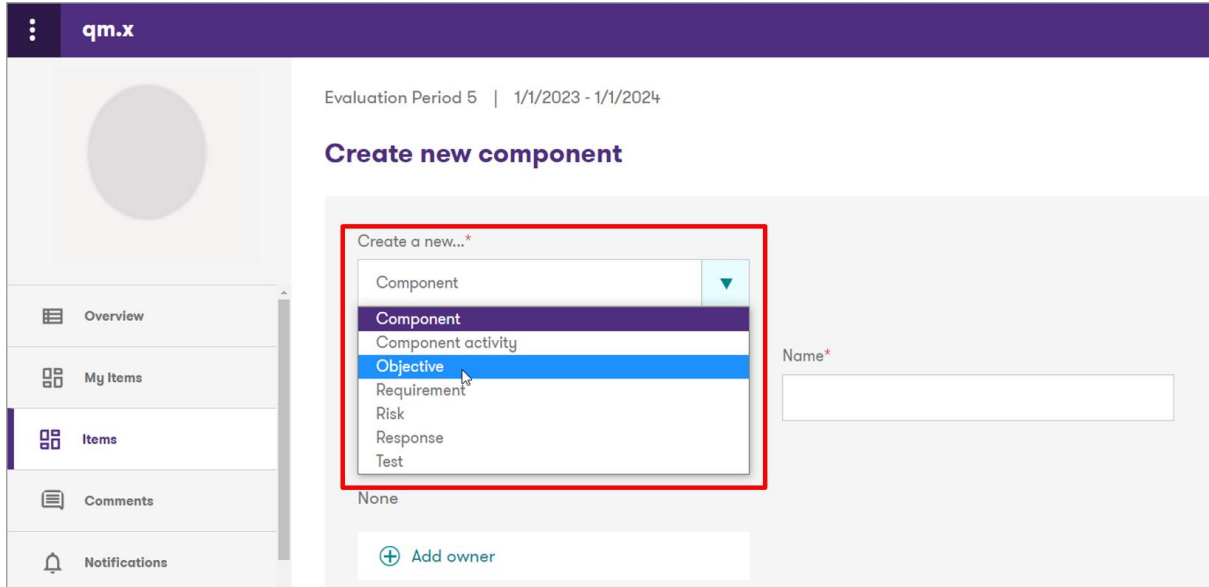


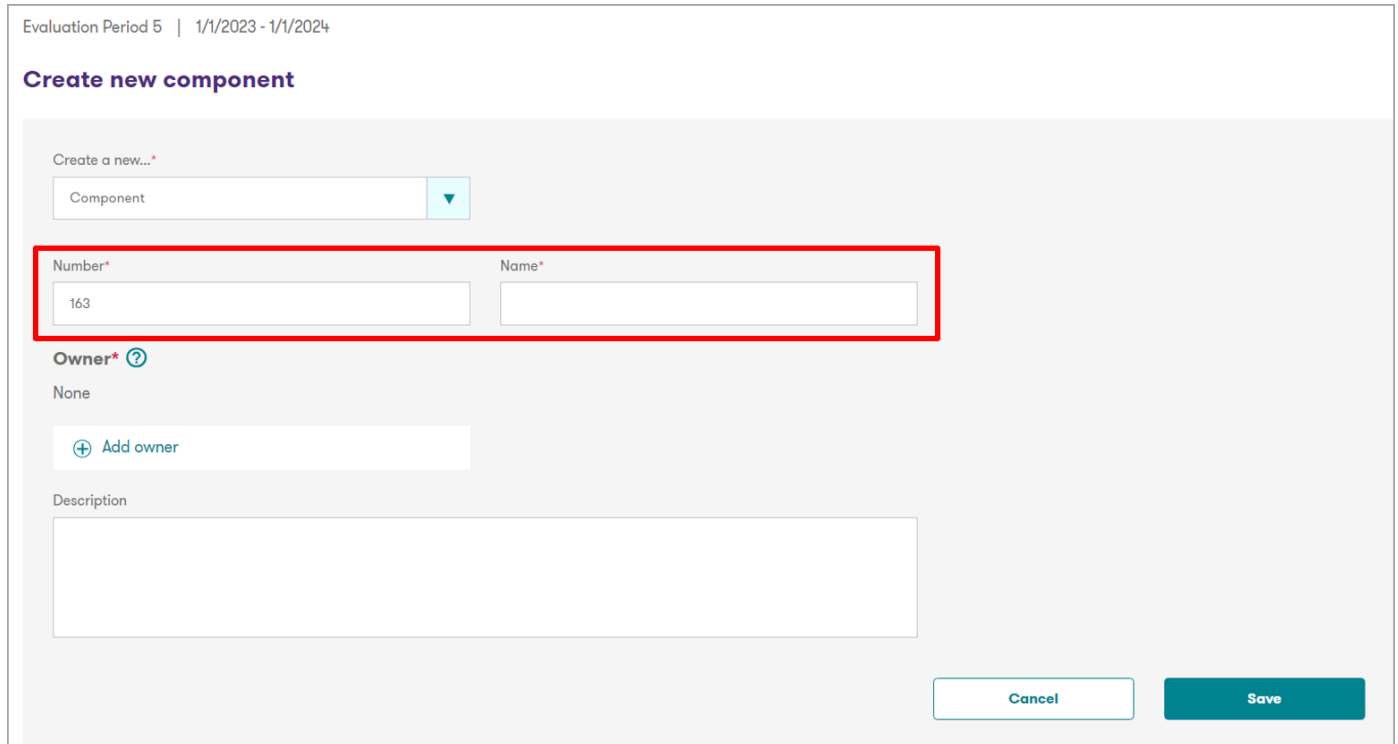
Figure 75: Select item to create

To Create a New Component

To create a new Component:

In the **Number*** field, type in a number. If there are components already in this evaluation period of the SoQM, the **Number** field will auto-populate with the next sequential number. In this example, “163.”

In the **Name*** field, type in the name of the component.



Evaluation Period 5 | 1/1/2023 - 1/1/2024

Create new component

Create a new...*

Component ▼

Number* Name*

163

Owner* ?

None

+ Add owner

Description

Cancel Save

Figure 76: Create new component page

Owner

Under the **Owner** heading should be **None**. As owners are added, the names will be listed under the **Owner** heading

To add an owner (Figure 77), click the **Add owner** field.

Start typing a name in the **Select owner field** and, in the menu, click a **name** to select it.

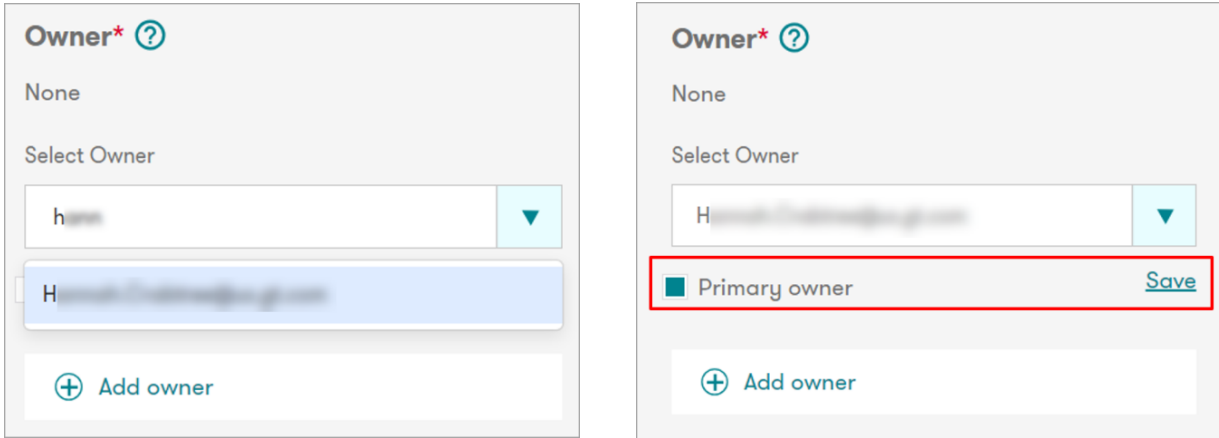
If the displayed name is to be the primary owner, click the **box** next to **Primary owner**.

Click **Save** to save the selected name.

To add additional owners, click the **Add owner**. Start typing a name in the **Select owner field** and, in the menu, click a **name** to select it.

If the displayed name is to be the primary owner, click the **box** next to **Primary owner**.

Click **Save** to save the selected name.



The figure consists of two side-by-side screenshots of a web application's 'Owner' field. Both screenshots show a dropdown menu with 'None' selected and a search bar containing 'H'. The right screenshot shows a red box highlighting the 'Primary owner' checkbox and the 'Save' button.

Figure 77: Select owner field

You must add at least one primary owner. You can have multiple primary owners and multiple owners.

Owners should be the person responsible for the item (primary owner) and others with responsibility for the item or designees of that person (owner). A primary owner is indicated with a check mark once added.

In the **Description** field, type a brief description of the component and any useful information about the component. It can also be added after the component has been created.

To save the component item, click **Save** at the lower right of the page.

Click **Cancel** to discard the entire item and clear the page.

To Create New Component Activity

To create a new Component Activity:

In the **Name*** field (Figure 78), type in the name of the **component activity**.

The **Identifier** is auto populated or assigned sequentially by the application. It is primarily a means of keeping track of items given the naming is free text.

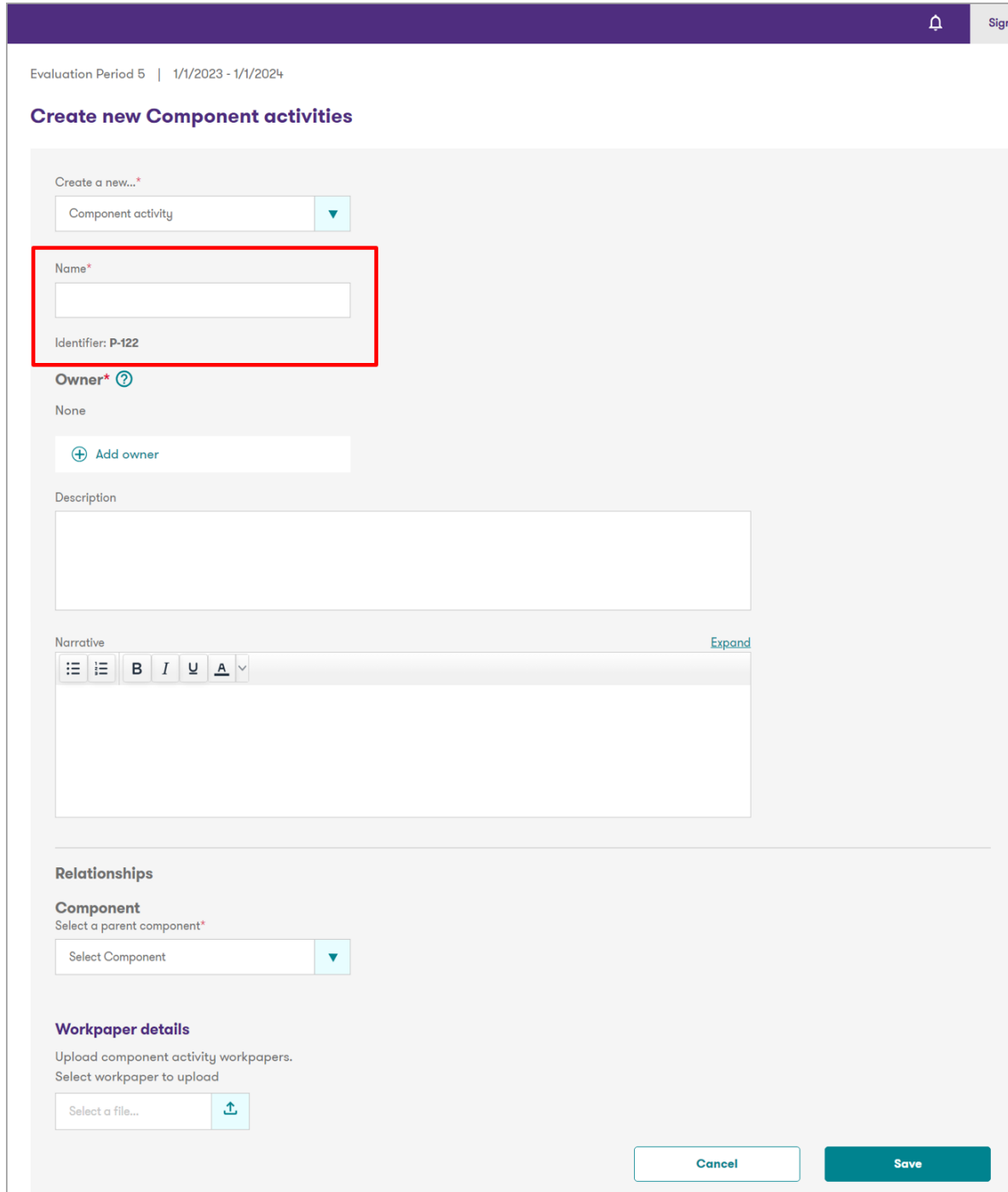


Figure 78: Create new component activity page

Owner

Under the **Owner** heading should be **None**. As owners are added, the names will be listed under the **Owner** heading

To add an owner (Figure 79), click the **Add owner** field.

Start typing in the **Select owner** field and, in the menu, click a **name** to select it.

If the displayed name is to be the primary owner, click the **box** next to **Primary owner**.

Click **Save** to save the selected name.

To add additional owners, click the **Add owner** and **Select owner** fields and repeat the process.

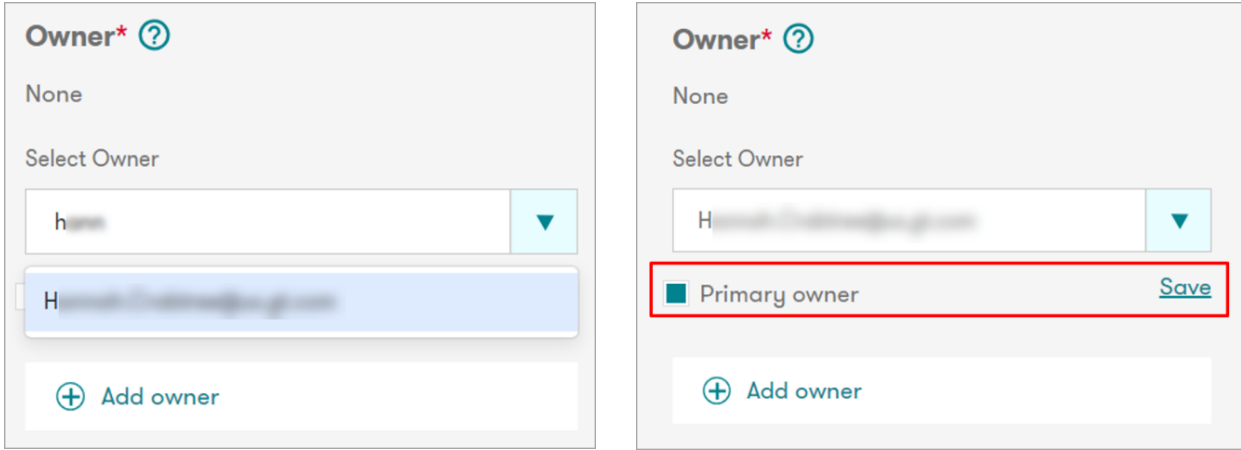


Figure 79: Select owner field

You must add at least one primary owner and can have multiple primary owners and multiple owners.

Owners should be the person responsible for the item (primary owner) and others with responsibility for the item or designees of that person (owner). A primary owner is indicated with a check mark once added.

In the **Description** field, type a brief description of the component activity and any useful information about the component activity. Descriptions can be added after the component activity record has been created.

The **Narrative** field (Figure 80) is used to describe component activities from the beginning of the activity to the end. This is the flow of how the individual responsible for that activity performs the associated actions and the documents used in performing those actions.

Because some of these component activity narratives can be long, the **Expand** function, at the upper right above the **Narrative** field, allows more text to be displayed on the screen.

At the upper left of the **Narrative** field are text formatting options. Text formatting, similar to Word, can make extensive amounts of text easier to read. Some ways to use text formatting:

- use colors to highlight responses
- use bold for titles
- use bullets to list multiple items that comprise an activity.



Figure 80: Component activity narrative field

If you already have documented narratives or process flow charts, you can also upload these into the **Component activities** page through the upload capability in the Workpaper details section.

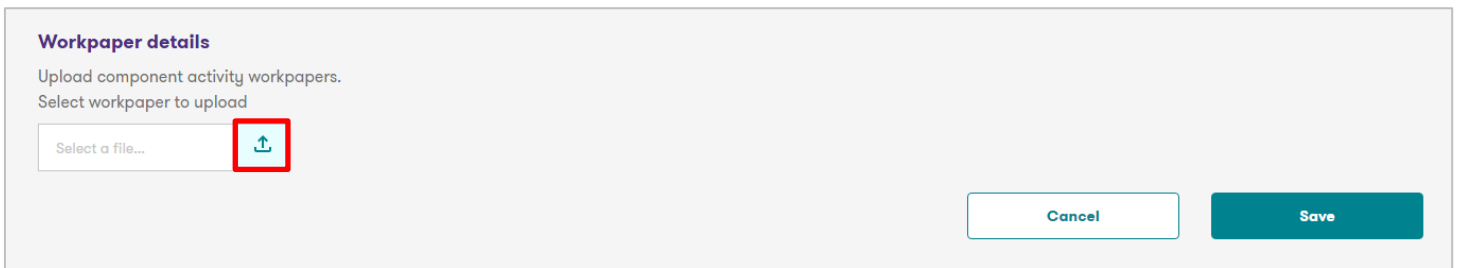


Figure 81: Adding workpapers to a component activity

To upload a workpaper, click the **upload** icon  next to the **Select a file** field to display a file browser screen.

While you can upload multiple documents to qm.x, you can only upload one document at a time.

In the file browser locate and highlight the document file on your computer to be uploaded. In the bottom right corner, click **Open**.

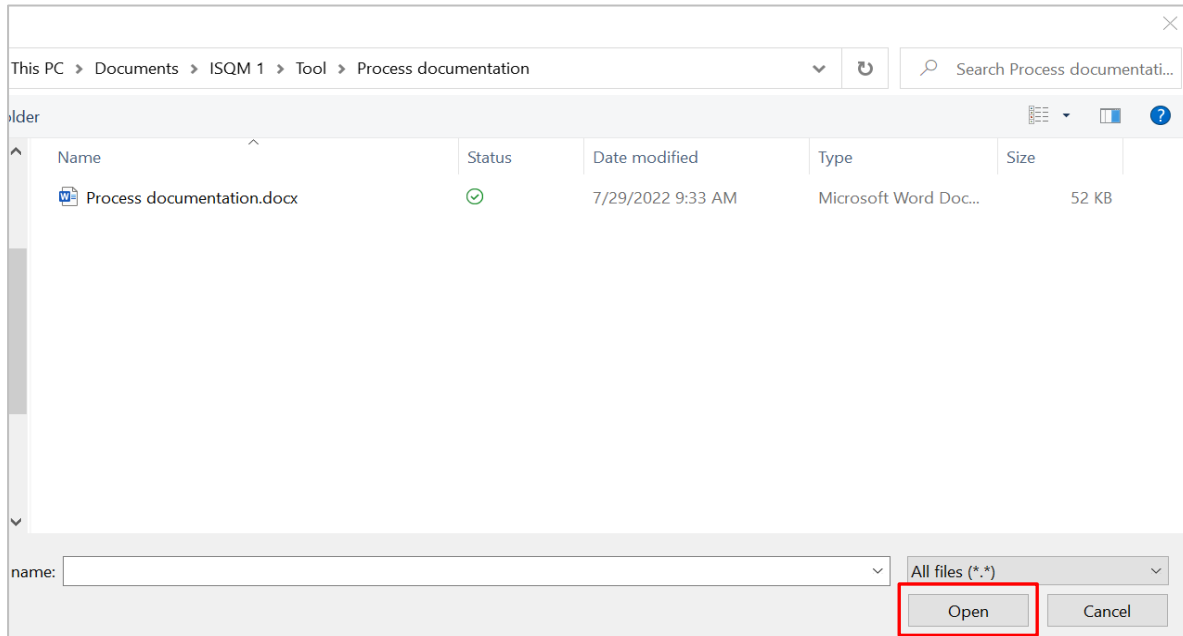


Figure 82: Selecting workpaper to add

The file name will appear in the field under Select workpaper to upload.

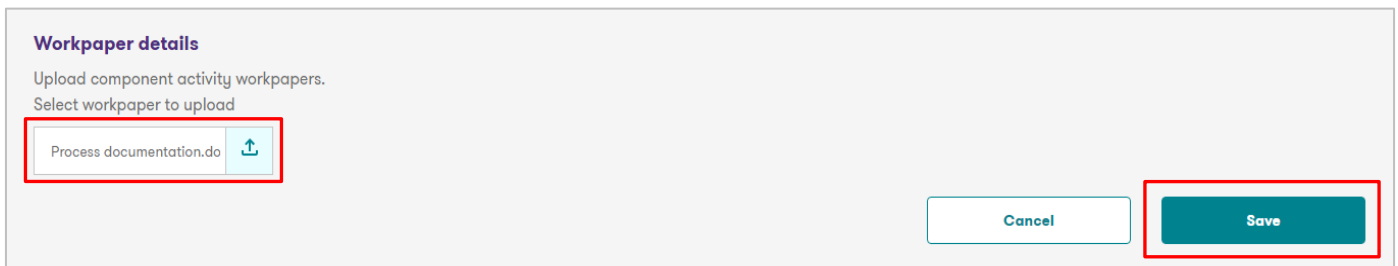


Figure 83: Upload workpaper

Select **Save** to save the new Component activity or **Cancel** to discard all changes.

When the Component activity is viewed, the file uploaded will then display in the upload log.

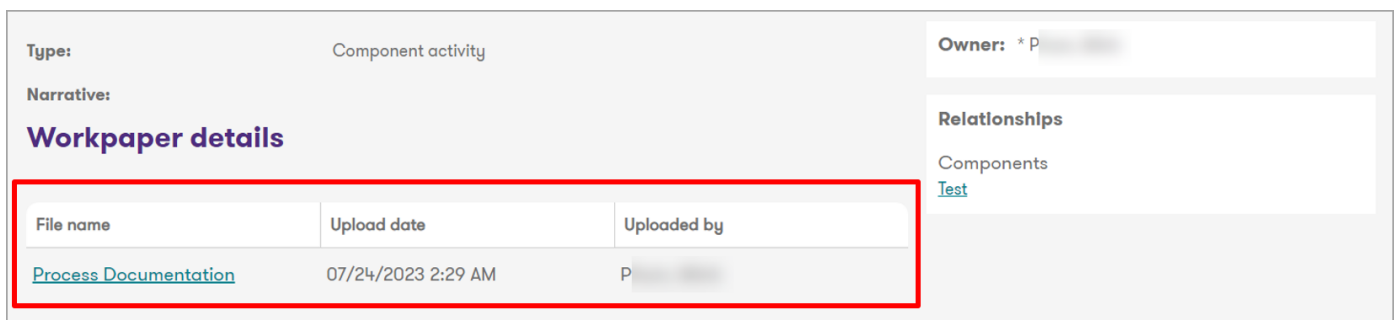
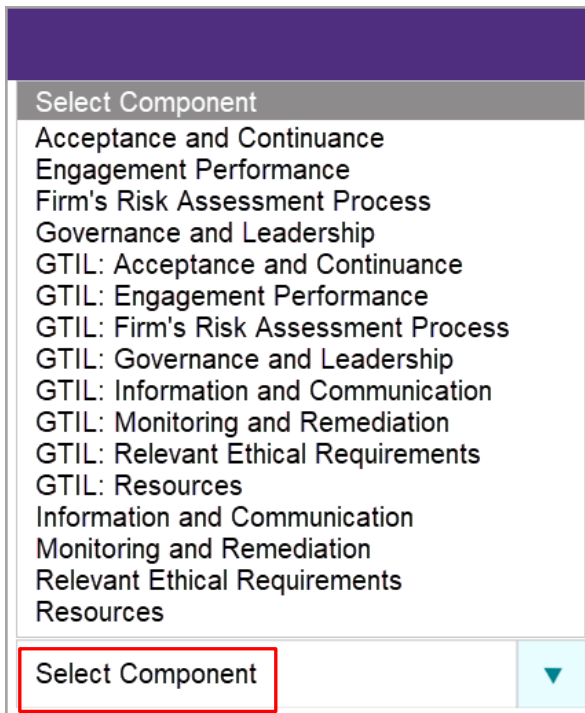


Figure 84: Upload log

Relationships

A component activity can only reside in one component.

To select a parent **Component**, click the **Select component** field to display a list of options, scroll down and click the appropriate **option**.



Select Component

- Acceptance and Continuanace
- Engagement Performance
- Firm's Risk Assessment Process
- Governance and Leadership
- GTIL: Acceptance and Continuanace
- GTIL: Engagement Performance
- GTIL: Firm's Risk Assessment Process
- GTIL: Governance and Leadership
- GTIL: Information and Communication
- GTIL: Monitoring and Remediation
- GTIL: Relevant Ethical Requirements
- GTIL: Resources
- Information and Communication
- Monitoring and Remediation
- Relevant Ethical Requirements
- Resources

Select Component ▼

Figure 85: Adding relationships

To save the component activity item, click **Save** at the lower right of the page

Click **Cancel** to discard the entire item and clear the page.

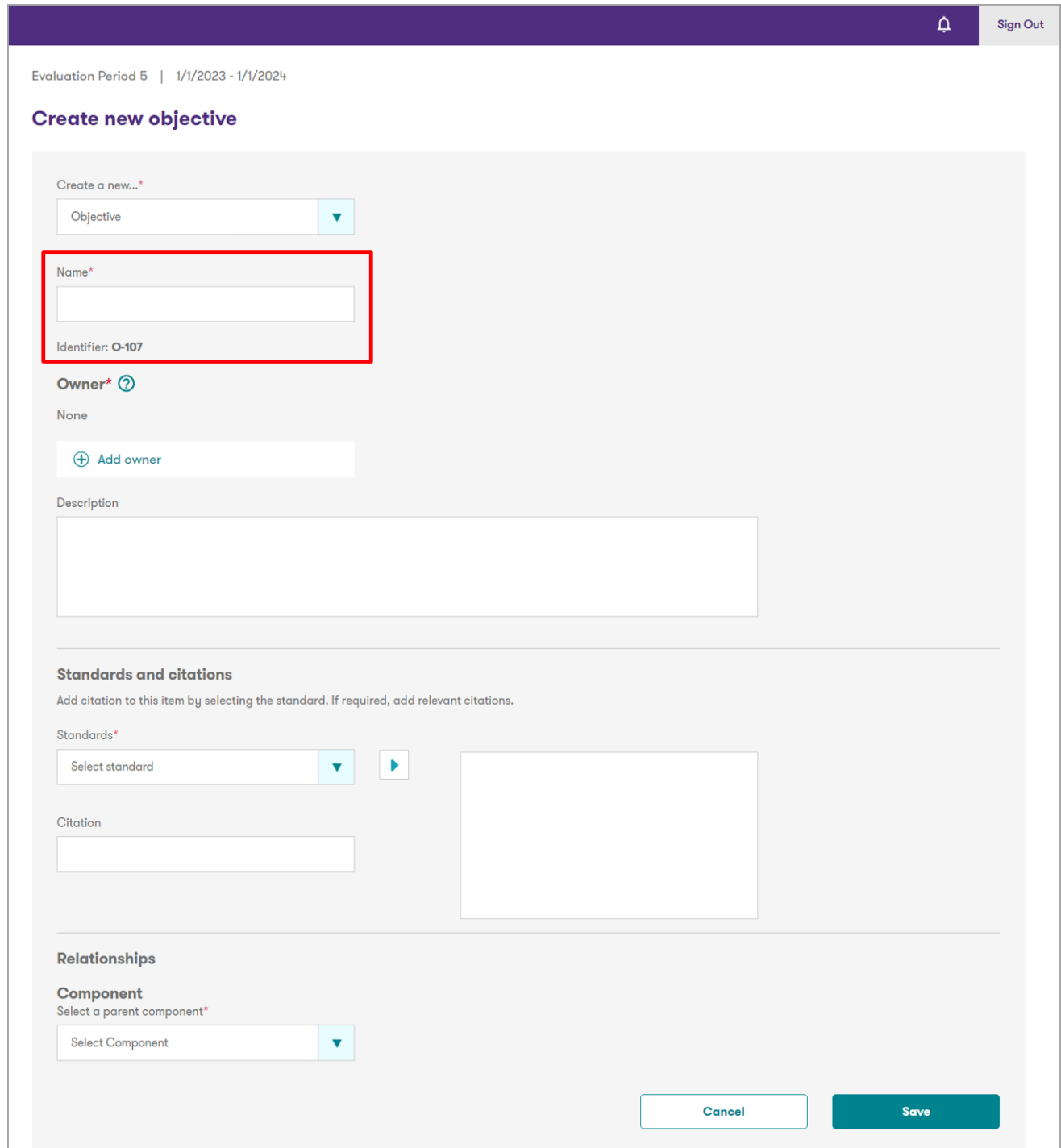
NOTE: If the desired option is not available in the menu, the necessary component will need to be created either through using the **Create an item** capability in the application or via the **Import template**.

To Create a New Objective

To create a new Objective:

In the **Name*** field (Figure 86) type in the name of the **Objective**.

The **Identifier** is auto populated or assigned sequentially by the application. It is primarily a means of keeping track of items given the naming is free text.



Sign Out

Evaluation Period 5 | 1/1/2023 - 1/1/2024

Create new objective

Create a new... *

Objective ▼

Name*

Identifier: O-107

Owner* ?

None

+ Add owner

Description

Standards and citations

Add citation to this item by selecting the standard. If required, add relevant citations.

Standards*

Select standard ▼ ▶

Citation

Relationships

Component

Select a parent component*

Select Component ▼

Cancel Save

Figure 86: Create new objective page

Owner

Under the **Owner** heading should be **None**. As owners are added, the names will be listed under the **Owner** heading

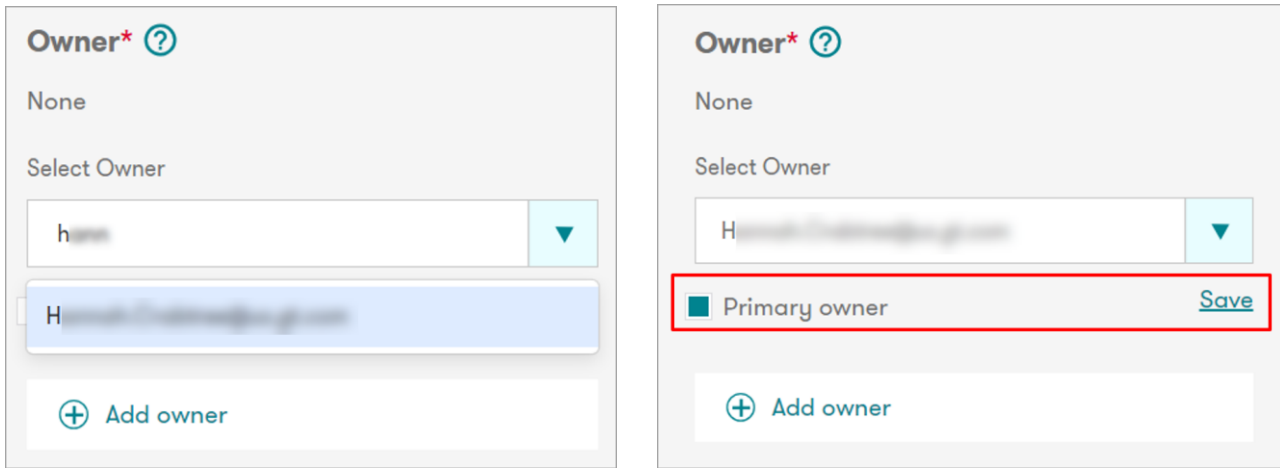
To add an owner (Figure 87), click the **Add owner** field.

Start typing in the **Select owner** field and, in the menu, click a name to select it.

If the displayed name is to be the primary owner, click the **box** next to **Primary owner**.

Click **Save** to save the selected name.

To add additional owners, click the **Add owner** and **Select owner** fields and repeat the process.



The figure consists of two side-by-side screenshots of a web form labeled 'Owner* ?'. Both screenshots show the 'None' status and a 'Select Owner' dropdown menu. The left screenshot shows the dropdown menu open with a list of names, including 'H. [redacted]'. The right screenshot shows the 'Primary owner' checkbox selected and the 'Save' button highlighted.

Figure 87: Select owner field

You must add at least one primary owner and can have multiple owners and primary owners. Owners should be the person responsible for the item (primary owner) and others with responsibility for the item or designees of that person (owner). A primary owner is indicated with a check mark once added.

Click **Save** to save the selected name as an owner of the **Objective**.

In the **Description** field, type a brief description of the objective and any useful information about the objective. Descriptions can be added after the objective has been created.

Standards and citations

Standards are setup in the **Defaults** tab by the **System Administrator**.

Citations allow you to call out a specific paragraph within the standard that demonstrates where and how particular requirements of the standards are being addressed.

Multiple standards and citations can be selected.

To add a standard, in the **Standards** field, click to display a list (Figure 88) and select the desired option.

Standards and citations

Add citation to this item by selecting the standard. If required, add relevant citations.

Standards*

▼
▶

Select standard

ISQM 1

ISQM 2

NF#

Figure 88: Adding standards

With the selected standard in the **Standards*** field (Figure 89), click the **right arrow** to move the standard from the **Standards** field to the box to the right.

Standards and citations

Add citation to this item by selecting the standard. If required, add relevant citations.

Standards*

▼
▶

Citation

Figure 89: Selecting standards

Repeat this process to add additional standards, if desired, to the box at the right.

Standards and citations

Add citation to this item by selecting the standard. If required, add relevant citations.

Standards*

▼
▶

Citation

ISQM 1-

⊖

ISQM 1 -

ISQM 2 -

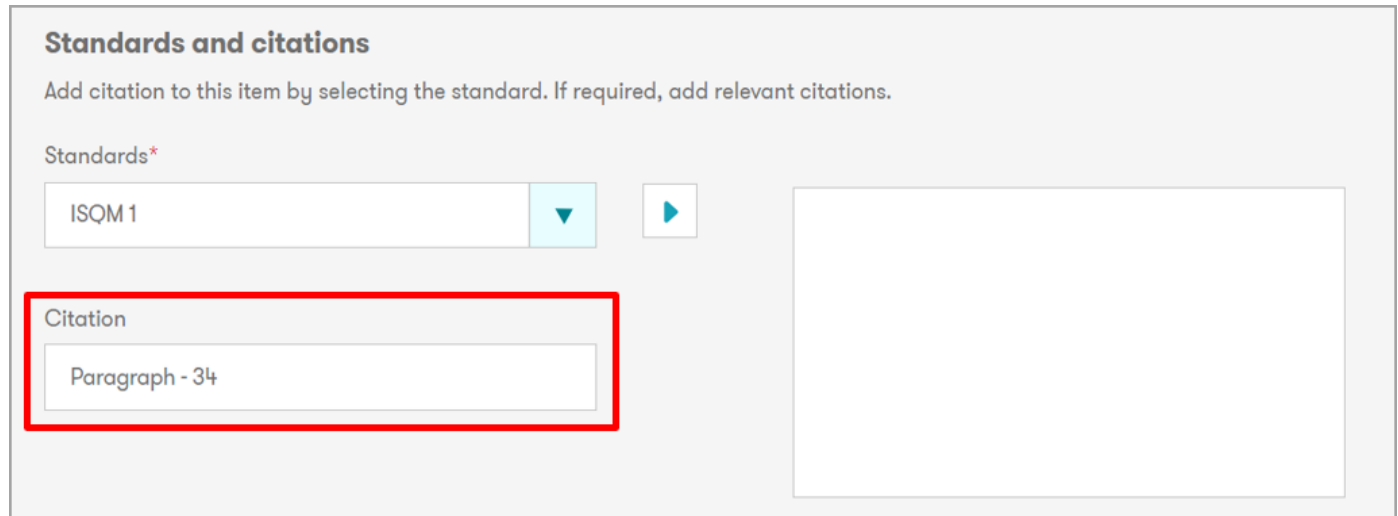
⊖

⊖

Figure 90: Removing standards

To remove a standard from the box on the right, click the **minus** icon **⊖** to the right of the standard to be removed.

Standards is a required field and must be selected when adding a citation. To add a citation, in the **Citation** field (Figure 91), type or paste a citation reference.



Standards and citations

Add citation to this item by selecting the standard. If required, add relevant citations.

Standards*

ISQM 1 ▼ ▶

Citation

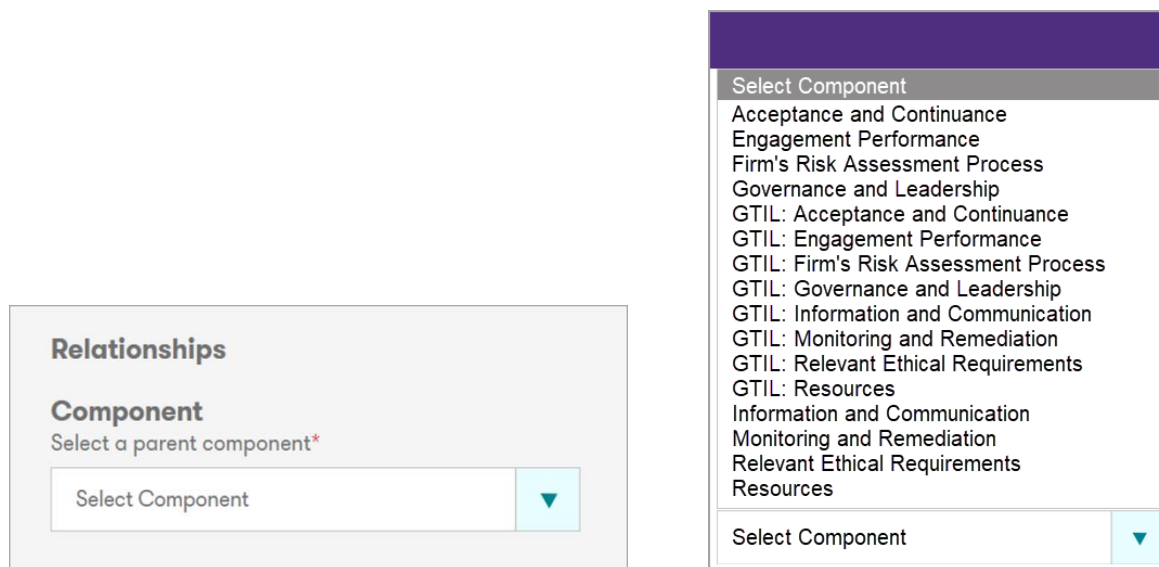
Paragraph - 34

Figure 91: Citation reference

If a standard and a specific citation are required, the **Standards** box and the **Citation** field must be completed before the **right arrow** is selected to move the standard and citation into the box to the right.

Relationships

To select a parent component, click the **Select Component** field to display a list of options. If necessary, scroll down and click the appropriate option.



Relationships

Component

Select a parent component*

Select Component ▼

Select Component

- Acceptance and Continuanace
- Engagement Performance
- Firm's Risk Assessment Process
- Governance and Leadership
- GTIL: Acceptance and Continuanace
- GTIL: Engagement Performance
- GTIL: Firm's Risk Assessment Process
- GTIL: Governance and Leadership
- GTIL: Information and Communication
- GTIL: Monitoring and Remediation
- GTIL: Relevant Ethical Requirements
- GTIL: Resources
- Information and Communication
- Monitoring and Remediation
- Relevant Ethical Requirements
- Resources

Select Component ▼

Figure 92: Adding relationships

To save the objective item, click **Save** at the lower right of the page

Click **Cancel** to discard the entire item and clear the page.

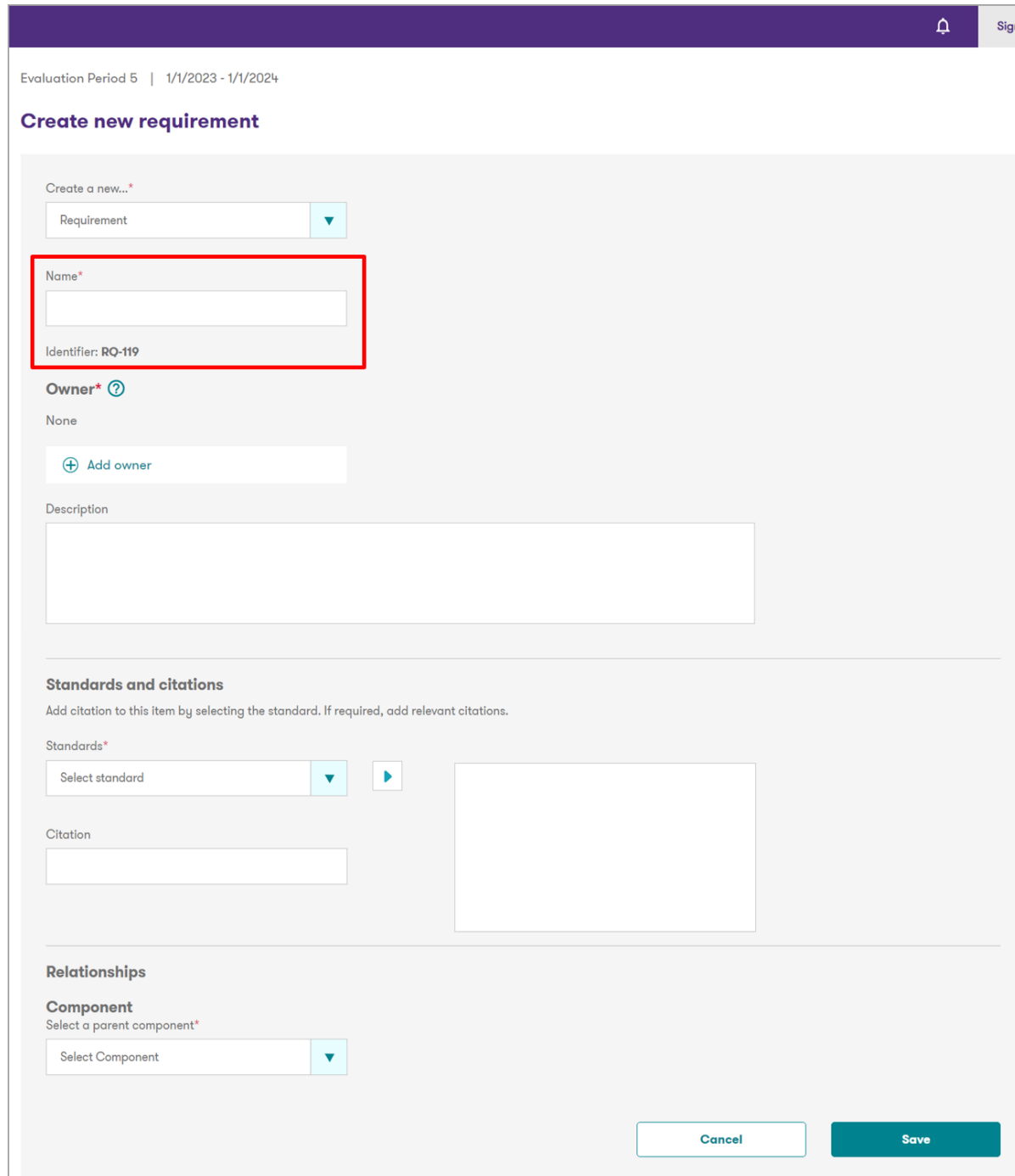
NOTE: If the desired option is not available as a **Parent item**, the component can be created through the **Create an item** function of the application or through the **Import template**.

To Create a New Requirement

To create a new Requirement:

In the required **Name*** field, type in the name of the **Requirement**.

The **Identifier** is auto populated or assigned sequentially by the application. It is primarily a means of keeping track of items given the naming is free text.



The screenshot shows the 'Create new requirement' form. At the top, there is a purple header bar with a bell icon and a 'Sign' button. Below the header, the text 'Evaluation Period 5 | 1/1/2023 - 1/1/2024' is displayed. The main heading is 'Create new requirement'. The form contains several sections:

- Create a new...***: A dropdown menu with 'Requirement' selected.
- Name***: A text input field, highlighted with a red box.
- Identifier**: A text input field with the value 'RQ-119'.
- Owner***: A text input field with a question mark icon, currently showing 'None'.
- + Add owner**: A button to add a new owner.
- Description**: A large text area for describing the requirement.
- Standards and citations**: A section with the instruction 'Add citation to this item by selecting the standard. If required, add relevant citations.' It includes a 'Standards*' dropdown with 'Select standard' and a 'Citation' text input field.
- Relationships**: A section with the heading 'Component' and the instruction 'Select a parent component*'. It includes a 'Select Component' dropdown.

At the bottom right, there are two buttons: 'Cancel' and 'Save'.

Figure 93: Create new requirement

Owner

Under the **Owner** heading should be **None**. As owners are added, the names will be listed under the **Owner** heading

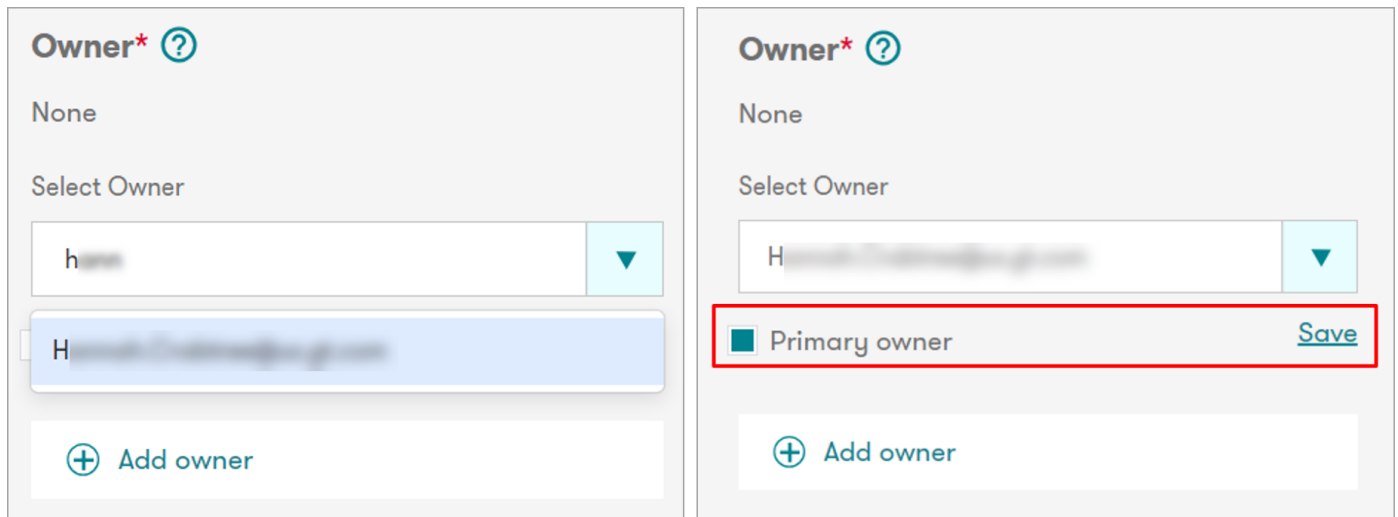
To add an owner (Figure 94), click the **Add owner** field.

Start typing in the **Select owner** field and, in the menu, click a name to select it.

If the displayed name is to be the primary owner, click the **box** next to **Primary owner**.

Click **Save** to save the selected name.

To add additional owners, click the **Add owner** and **Select owner** fields and repeat the process.



The figure consists of two side-by-side screenshots of a web form labeled 'Owner* ?'. Both screenshots show the 'None' option selected in the 'Select Owner' dropdown. The left screenshot shows the dropdown menu open, displaying a list of names, with 'H. [redacted]' highlighted. The right screenshot shows the 'Primary owner' checkbox selected and the 'Save' button highlighted with a red box.

Figure 94: Select owner field

You must add at least one primary owner and can have multiple owners and primary owners. Owners should be the person responsible for the item (primary owner) and others with responsibility for the item or designees of that person (owner). A primary owner is indicated with a check mark once added.

In the **Description** field, type a brief description of the requirement and any useful information about the requirement. It can be added after the component has been created.

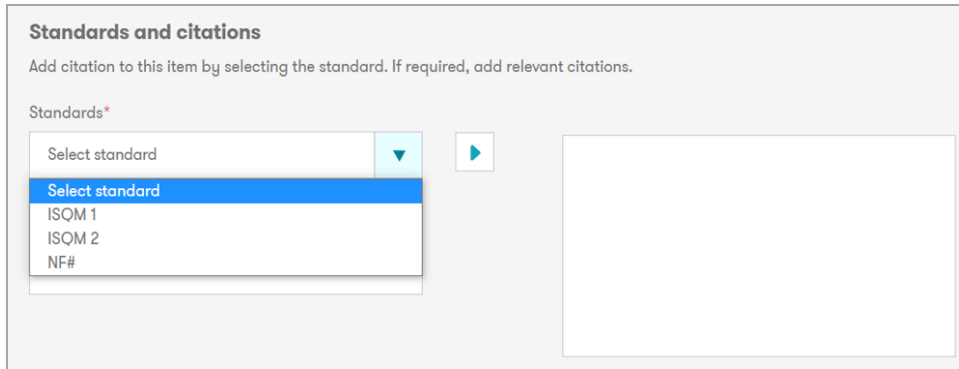
Standards and citations

Standards are setup in the **Defaults** tab by the **System Administrator**.

Citations allow you to call out a specific paragraph within the standard that demonstrates where and how particular requirements of the standards are being addressed.

Multiple standards and citations can be selected.

To add a standard, in the **Standards** field, click to display a list (Figure 95) and click to select the desired option.



Standards and citations

Add citation to this item by selecting the standard. If required, add relevant citations.

Standards*

Select standard ▼

Select standard

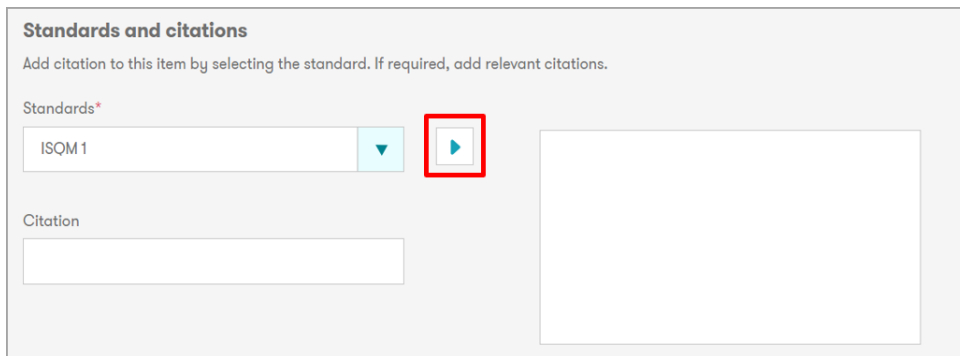
ISQM 1

ISQM 2

NFI#

Figure 95: Adding standards

With the selected standard in the **Standards** field (Figure 96), click the **right arrow** to move the standard from the **Standards** field to the box to the right.



Standards and citations

Add citation to this item by selecting the standard. If required, add relevant citations.

Standards*

ISQM 1 ▼

Citation

Figure 96: Selecting standards

Repeat this process to add additional standards, if desired, to the box at the right.



Standards and citations

Add citation to this item by selecting the standard. If required, add relevant citations.

Standards*

Select standard ▼

ISQM 1 -

ISQM 2 -

Citation

Figure 97: Removing standards

To remove a standard from the box on the right (Figure 97), click the **minus** icon  to the right of the standard to be removed.

To add a citation, in the **Citation** field (Figure 98), type or paste a citation reference.

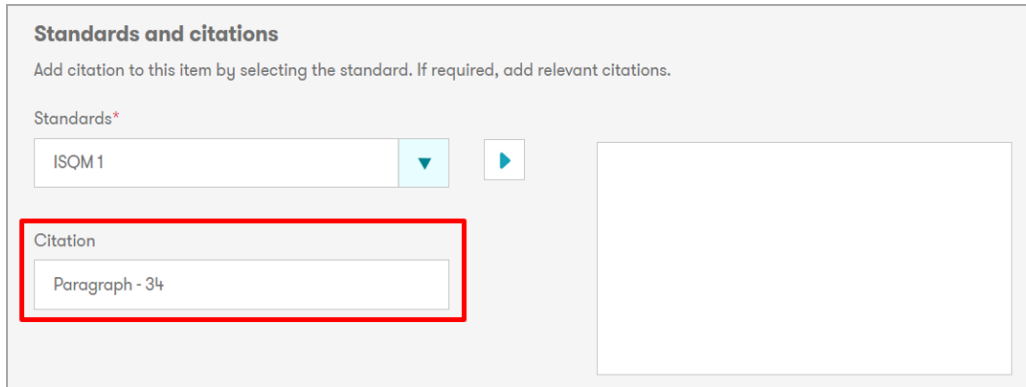


Figure 98: Adding citations

Standards is a required field and must be filled out. If a standard and a specific citation are required, the **Standards** box and the **Citation** field must be completed before the **right** arrow is selected to move the standard and citation to the box on the right.

Relationships

A requirement can only reside in one component.

To select a parent component, click the **Select Component** field to display a list of options. If necessary, scroll down and click the appropriate option.

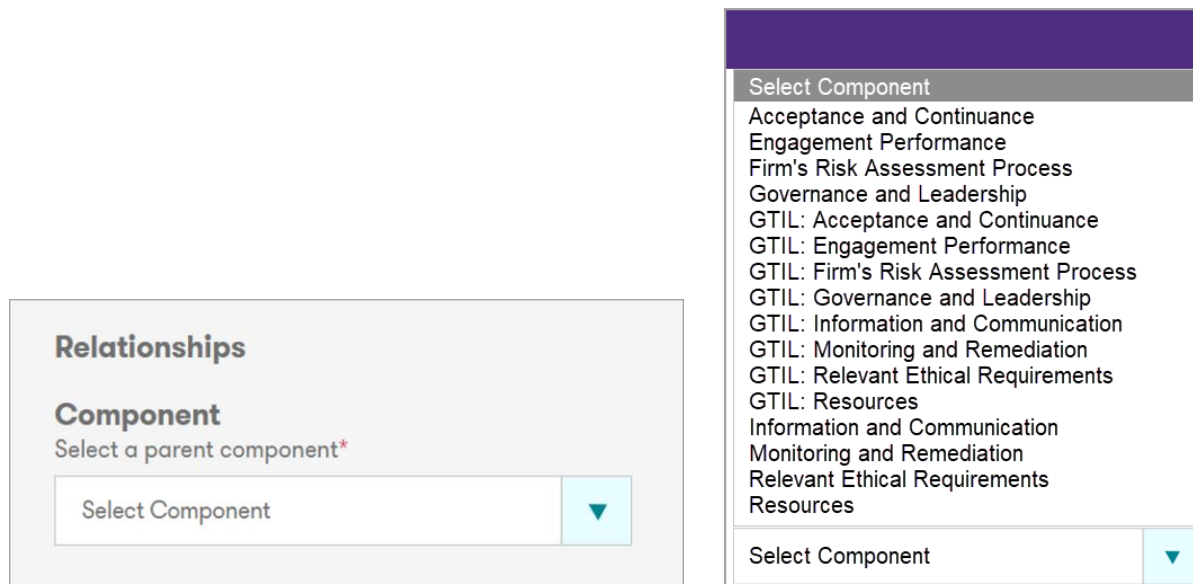


Figure 99: Adding relationships

To save the requirement item, click **Save** at the lower right of the page.

Click **Cancel** to discard the entire item and clear the page.

NOTE: If the desired option is not available as a **Parent item**, the component can be created through the **Create an item** function of the application or through the **Import template**.

To Create a New Risk

The System Administrator will customize the number of risk levels and label the levels when configuring qm.x for your firm. Simple risk levels are configured to apply the firm's risk assessment process and perform an assessment of the risks to meeting the quality objectives. Optionally, complex risk levels can be configured for use where a separate assessment of the possibility of occurrence of the risk and the significance of its effect is performed. Another available option in the risk configuration is the inclusion of residual risk. Complex risk levels and residual risk will appear on the **Create new risk** page only if qm.x has been configured to use these options.

To create a new Risk

In the required **Name*** field, type in the name of the **Risk**.

The **Identifier** is auto populated or assigned sequentially by the system. It is primarily a means of keeping track of items given the naming is free text.

Evaluation Period 5 | 1/1/2023 - 1/1/2024

Create new risk

Create a new...*

Risk ▼

Name*

Identifier: RI-224

Owner* ?
None

+ Add owner

Description

Possibility of Occurrence*

Select Possibility of Occurrence ▼

Significance of Effect*

Select Significance of Effect ▼

Residual risk

Select Residual risk ▼

Rationale for assessment*

Figure 100: Create new risk page – shown configured with simple risk levels

Rationale for assessment*

Identification date*

mm/dd/yyyy

Why was the risk identified?*

Deactivation date

mm/dd/yyyy

Why was the risk deactivated?

Relationships

Component activities
Select a parent component activity*

Select Component activities

Objective
Select a related objective

Select Objective

Cancel

Save

Figure 100: Create new risk page – shown configured with simple risk levels (continued)

While the **Create a New Risk** page is longer than can display on your screen, it is displayed above as one continuous page. To view the rest of the page on your screen, scroll down.

Owner

Under the **Owner** heading should be **None**. As owners are added, the names will be listed under the **Owner** heading

To add an owner (Figure 101), click the **Add owner** field.

Start typing in the **Select owner** field and, in the menu, click a **name** to select it.

If the displayed name is to be the primary owner, click the **box** next to **Primary owner**.

Click **Save** to save the selected name.

To add additional owners, click the **Add owner** and **Select owner** fields and repeat the process.

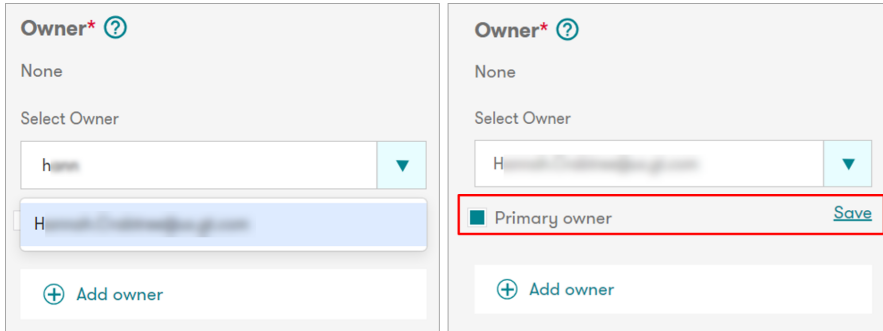


Figure 101: Select owner field

You must add at least one primary owner and can have multiple owners and primary owners.

Owners should be the person responsible for the item (primary owner) and others with responsibility for the item or designees of that person (owner). A primary owner is indicated with a check mark once added.

Click in the **Description** field and type a brief description of the risk along with any useful information about the risk. It can be added after the component has been created.

In the **Possibility of occurrence** and **Significance of effect** fields (Figure 102), click to display a list of options and click an **option** to select. The options available for selection are customizable and will be pre-set by the System Administrator. To set up the default values for Possibility of occurrence and Significance of effect, refer to the configuration guide.

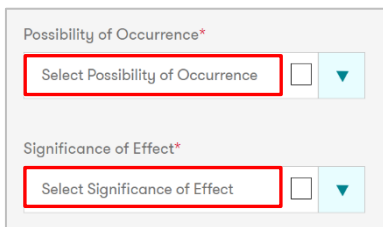


Figure 102: Setting simple risk level

Residual Risks

The decision to include residual risk is made by the System Administrator. The options available for selection are consistent with the risk levels set by the System Administrator. Residual risk is optional. If you choose to select the Residual risk, click the **down arrow** in the **Residual Risk** field to display a list of options and click an **option** to select.



Figure 103: Selecting the Residual Risk

In the **Rationale for assessment** field, type a brief **description** of why that particular level of risk was assigned to the risk addressing both the possibility of the risk occurring and the significance of its effect on the achievement of the quality objective.

Click the **Identification date** field and, in the calendar popup, select the **date** the risk was identified

Click in the **Why was the risk Identified?** field and type in the reason(s) the risk was identified. This may be, for example, on implementation of the SoQM or if a risk was subsequently identified as part of monitoring and remediation activities.

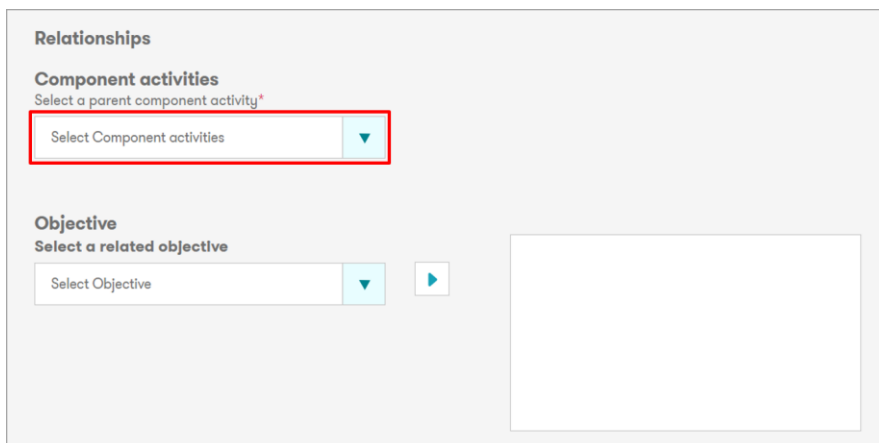
When a risk is no longer needed or relevant, in the **Deactivation date** field click the **date picker** and, in the calendar popup, select the **date** that the risk was deactivated.

Click in the **Why was the risk deactivated?** field and type in the reason for deactivation. This may be, for example, that the risk no longer meets the threshold under ISQM 1 to be assessed as a risk to meeting a quality objective.

Once a risk is deactivated, it cannot be edited, and it will not be rolled forward to a future evaluation period if the roll forward functionality is used. The deactivated risk will be removed from the current evaluation and can be downloaded from the Exports section.

Relationships

To select a parent component activity, click the **Select Component activity** field (Figure 104) to display a list of options, scroll down and click to select the appropriate option.



The screenshot shows a form titled "Relationships". Under the heading "Component activities", there is a prompt "Select a parent component activity*" and a dropdown menu labeled "Select Component activities" which is highlighted with a red rectangular box. Below this, under the heading "Objective", there is a prompt "Select a related objective" and a dropdown menu labeled "Select Objective". To the right of the "Select Objective" dropdown is a small blue arrow button. Further to the right is a large, empty rectangular box.

Figure 104: Setting relationships

Objective

To select an objective, click the **Select Objective** field (Figure 105) to display the list of options, scroll down and click to select the appropriate option.

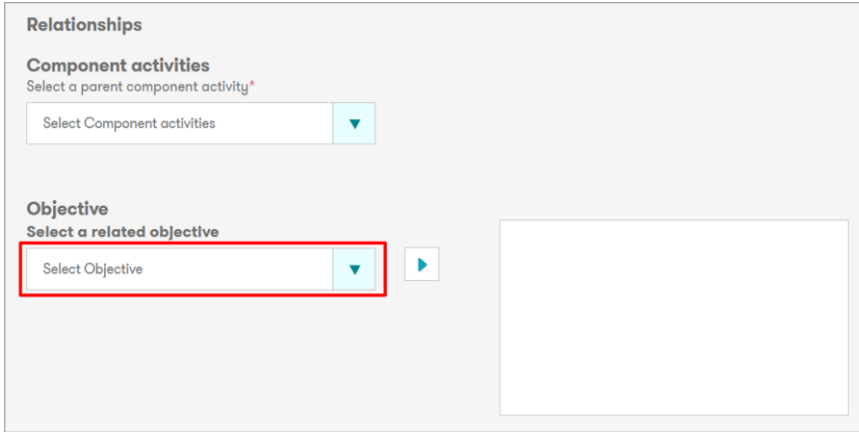


Figure 105: Selecting additional relationships

When the selected objective displays (Figure 106), click the **right arrow** to move the objective to the box on the right. Repeat the process as often as needed.

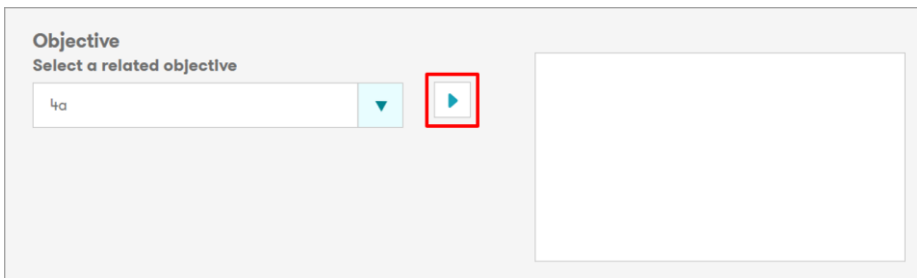


Figure 106: Selecting additional relationships (continued)

NOTE: If the desired option is not available in the menu to create the relationship, the **Component activity** or **Objective** can be created through **Create an item** or through the **Import template**.

To remove an objective from the box on the right (Figure 107), click the **minus** icon  to the right of the objective to be removed.



Figure 107: Removing relationships:

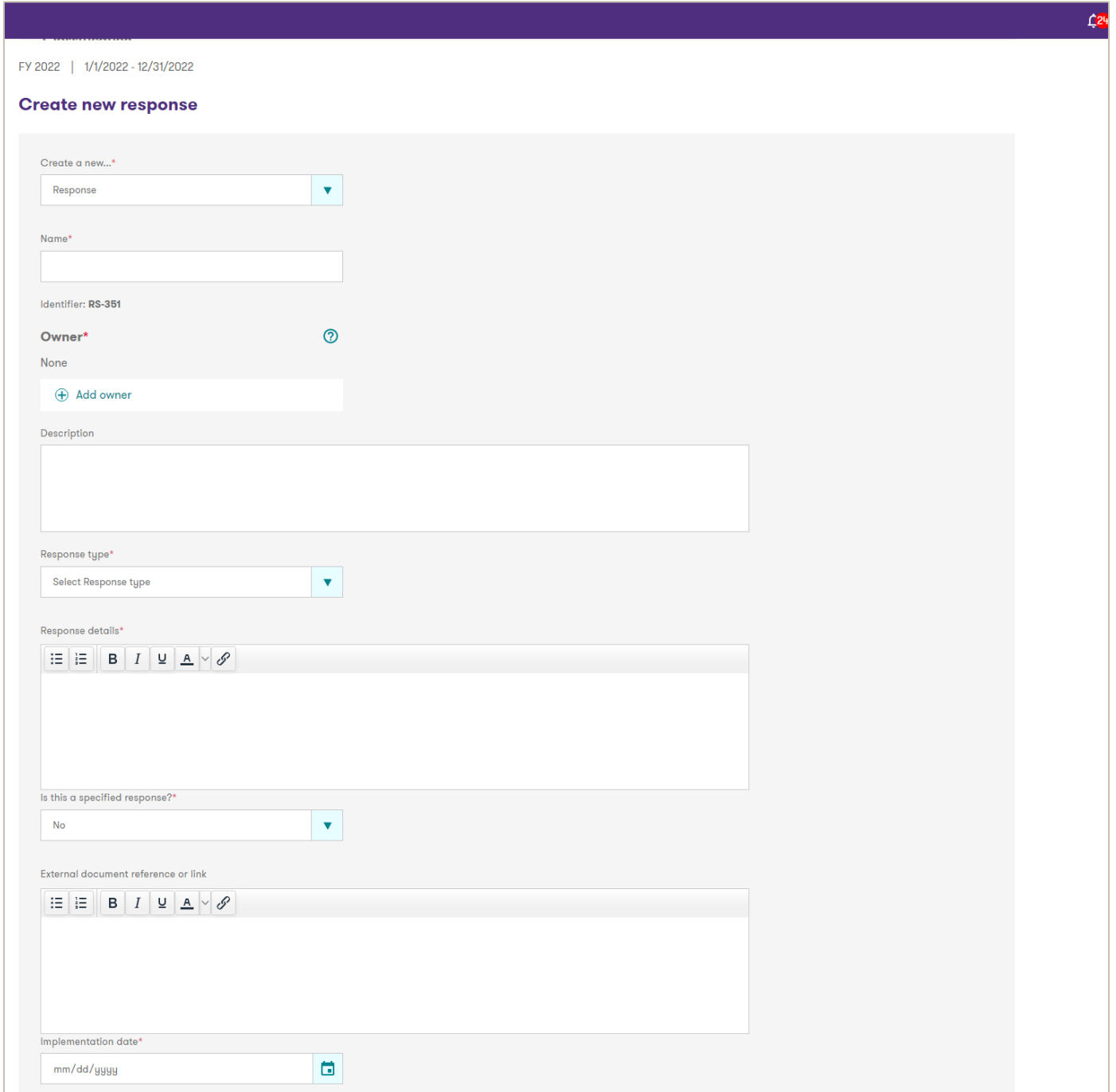
To save the risk item, click **Save** at the lower right of the page. Click **Cancel** to discard the entire item and clear the page.

To Create a New Response

To create a new Response

In the required **Name*** field, type in the name of the new **response**.

The **Identifier** is auto populated or assigned sequentially by the application. It is primarily a means of keeping track of items given the naming is free text.



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Create new response

Create a new...*

Response ▼

Name*

Identifier: RS-351

Owner* ⓘ

None

+ Add owner

Description

Response type*

Select Response type ▼

Response details*

☰ ☷ **B** *I* U A ▼ [Link](#)

Is this a specified response?*

No ▼

External document reference or link

☰ ☷ **B** *I* U A ▼ [Link](#)

Implementation date*

mm/dd/yyyy 

Figure 108: Create response page

Why was response implemented?*

Deactivation date

mm/dd/yyyy

Why was the response deactivated?

Additional procedure or control fields

Information produced by an IT system used in the response

IT systems producing the information

Frequency

Manual or automated

Select Manual or automated

Preventative or detective

Select Preventative or detective

Relationships

Risks

Select a related risk

Select Risk

Requirement

Select a related requirement

Select Requirement

Cancel

Save

Figure 109: Create response page (continued)

Owner

Under the **Owner** heading should be **None**. As owners are added, the names will be listed under the **Owner** heading

To add an owner (Figure 110), click the **Add owner** field.

Start typing in the Select owner field and, in the menu, click a **name** to select it.

If the displayed name is to be the primary owner, click the **box** next to **Primary owner**.

Click **Save** to save the selected name.

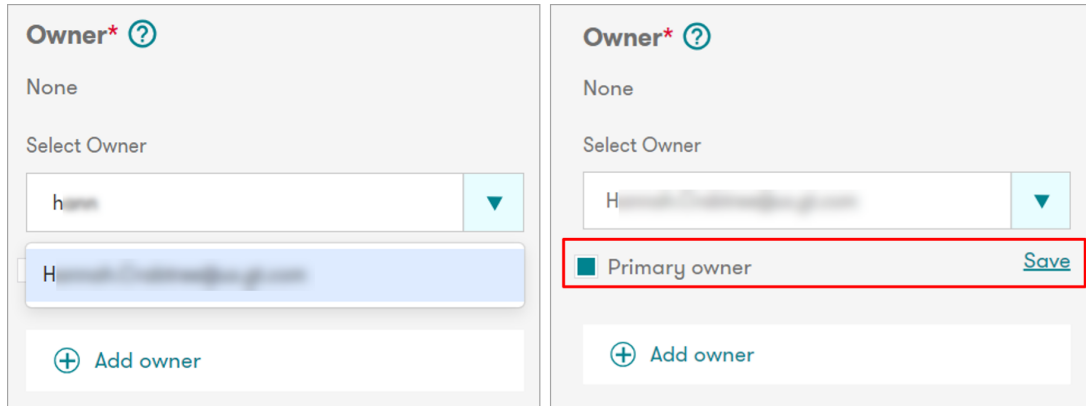


Figure 110: Select Owner field

To add additional owners, click the **Add owner** and **Select owner** fields and repeat the process.

You must add at least one primary owner and can have multiple owners and primary owners.

Owners should be the person responsible for the item (primary owner) and others with responsibility for the item or designees of that person (owner). A primary owner is indicated with a check mark once added.

In the **Description** field, type a brief description of the response and any useful information about the response. It can be added after the response record has been created.

In the **Response type** field, click the field and, in the menu, click to select the best option.

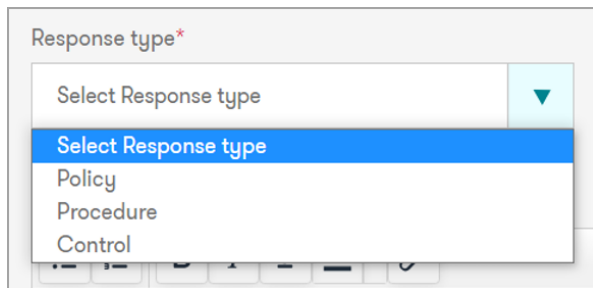


Figure 111: Response type

The **Response details** field (Figure 112) is used to describe the response. This may include a narrative of a policy, the actions or steps taken to address the risk or details of, or links to, where more information on the response may be found.

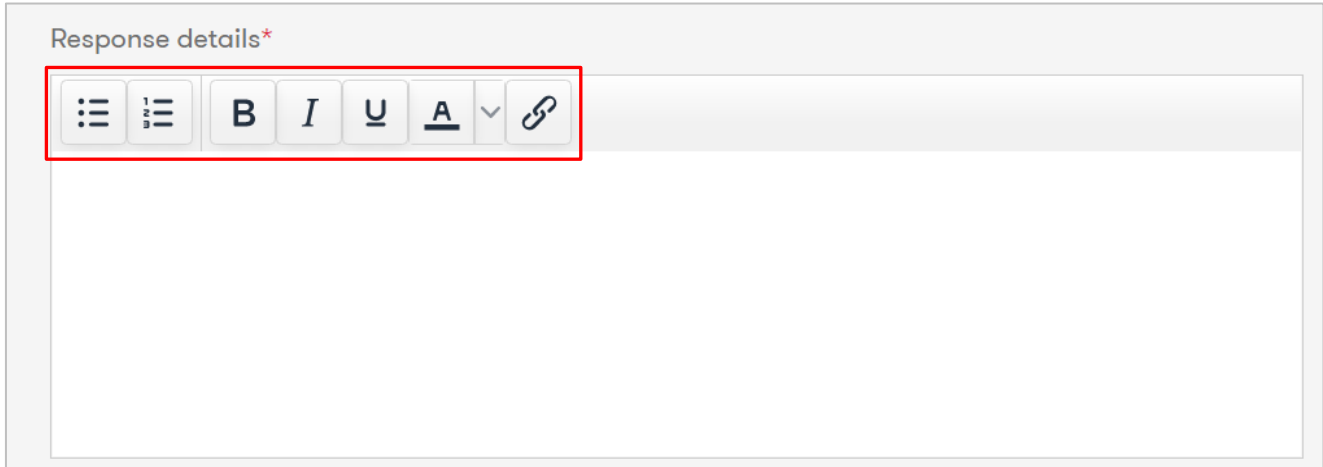


Figure 112: Response type

At the upper left of the **Response details** field are text formatting options. Text formatting, similar to Word, can make the extensive amount of text easier to read. Some ways to use text formatting:

- use colors to highlight actions or documents used
- use bold for titles
- use bullets to list multiple items that comprise an activity

Response details: Linking to external files or websites

You can also create links to external files or websites by selecting . When the link icon is selected a pop-up box will display.

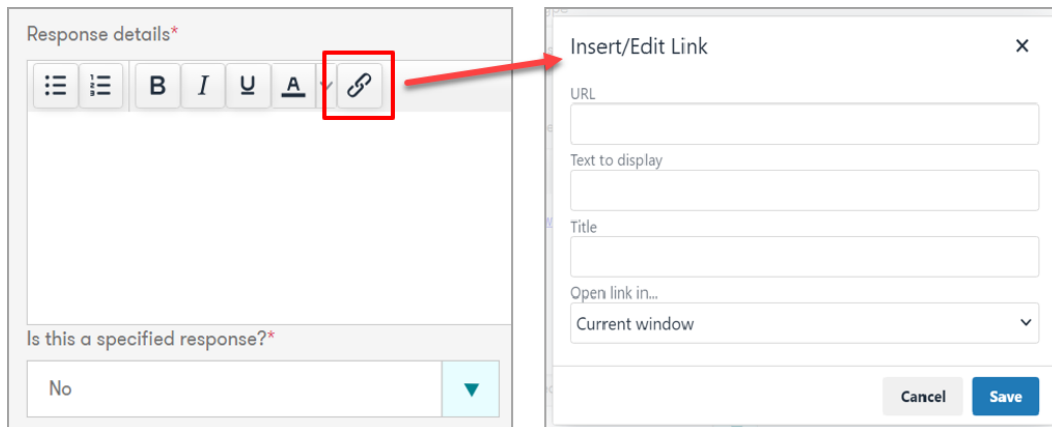


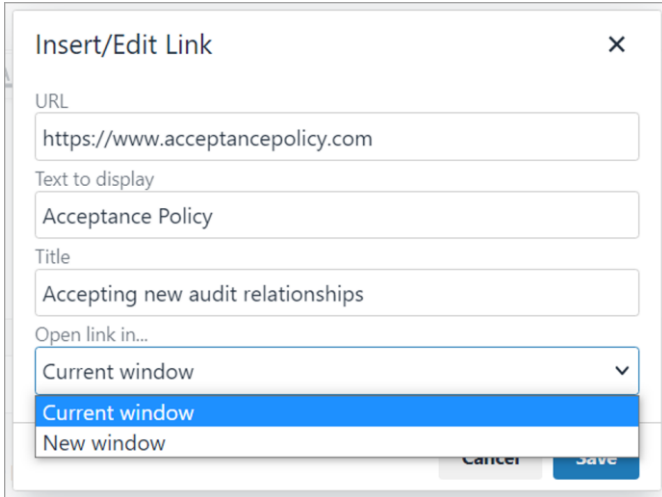
Figure 113: Add link

In the URL field, type or paste the destination URL of the website or document you want to link to.

In the Text to display field, type the text as you want it to appear in the Response.

In the Title field, type the title of the document or page.

In the Open link in... field, select whether you would like the link to open in the current window or in a new window.

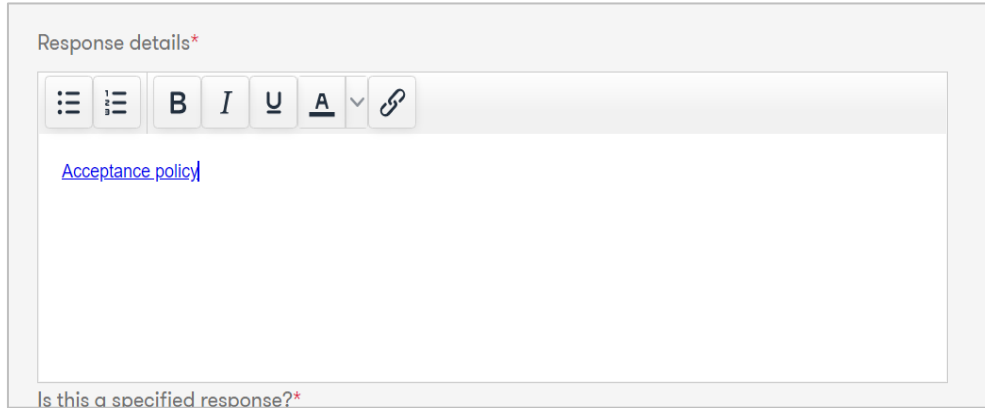


The 'Insert/Edit Link' dialog box contains the following fields and options:

- URL:**
- Text to display:**
- Title:**
- Open link in...:** A dropdown menu with 'Current window' selected and 'New window' as an option.
- Buttons:** 'Cancel' and 'Save' buttons at the bottom right.

Figure 114: Complete link details

Select **Save** to save the information entered or **Cancel** to discard the information.



The 'Response details' dialog box includes:

- Rich Text Editor:** A toolbar with icons for bulleted list, numbered list, bold (B), italic (I), underline (U), text color (A), and a link icon. Below the toolbar, the text 'Acceptance policy' is displayed as a blue hyperlink.
- Field:** 'Is this a specified response?'

Figure 115: Completed link

NOTE: External files or documents can only be linked via the link functionality if they are stored in a location with a URL address such as SharePoint.

Click the **Is this a specified response?** field and select **Yes** or **No**.

Click in the field for **External document reference or link** and type in details of, or link to, external documents as necessary. If the link functionality is used, refer to **Response details: Linking to external files or websites** above, for details on how to create a link.

Click the **Implementation date** field and select the date from the calendar popup.

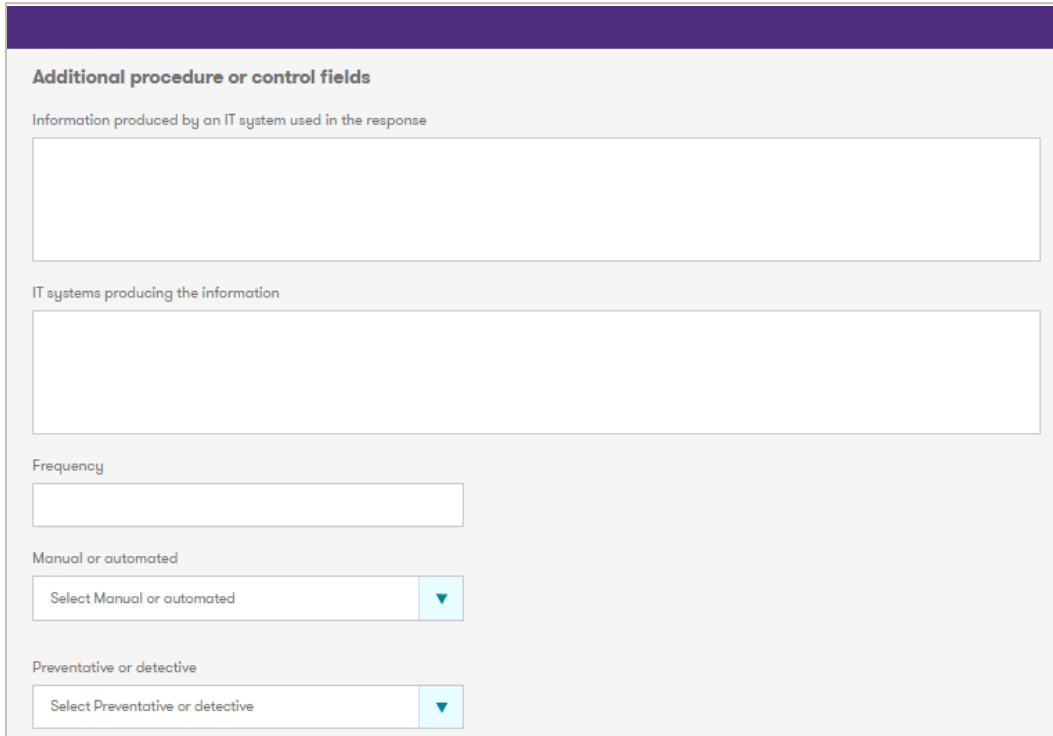
Click in the **Why was response implemented?** field and type in the reason for the implementation of the response. This may be, for example, on implementation of the SoQM or a new response implemented to address a deficiency identified as part of monitoring and remediation activities.

When a response is no longer relevant or needed, click the **Deactivation date** field and select the **date** from the popup calendar.

Click in the **Why was the response deactivated?** field and type in the reason for the deactivation of the response. This may be for example, because the response did not appropriately address the risk to meeting the quality objective and has been replaced with an appropriately designed response.

Once a response is deactivated, it cannot be edited, and it will not be rolled forward to a future evaluation period if the roll forward functionality is used. The deactivated response will be removed from the current evaluation and can be downloaded from the Exports section.

Additional procedure or control fields



Additional procedure or control fields

Information produced by an IT system used in the response

IT systems producing the information

Frequency

Manual or automated

Select Manual or automated ▼

Preventative or detective

Select Preventative or detective ▼

Figure 116: Additional procedure or control fields

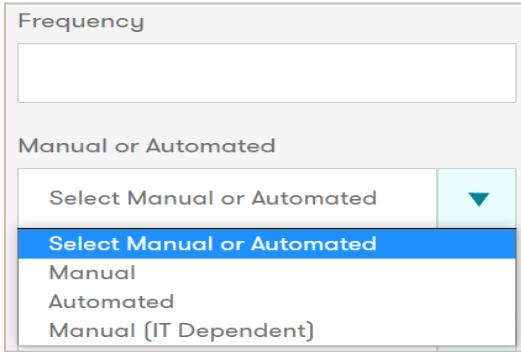
In the **Information produced by an IT system used in the response**, enter details reports or other information produced by an IT system, if any, used in performing the response.

IT systems producing the information, enter details of IT systems, if any, used to perform the response,

Frequency, enter details of the frequency that the response is performed. This may be, for example, daily, monthly, quarterly etc.

Manual or Automated, from the menu, click to select the appropriate option of **Manual**, **Automated**, or **Manual (IT Dependent)**.

NOTE: "Manual (IT Dependent)" is for a response this is manually performed but is dependent on information that is derived from an IT system.



Frequency

Manual or Automated

Select Manual or Automated ▼

Select Manual or Automated

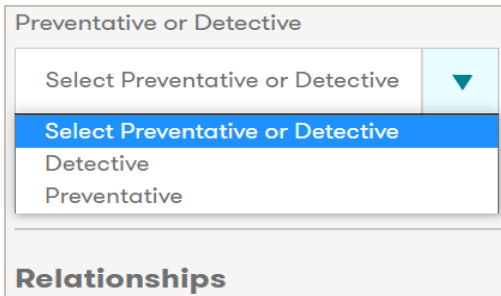
Manual

Automated

Manual (IT Dependent)

Figure 117: Manual or automated control

Click the **Preventative** or **Detective** and from the menu, scroll down and click to select the appropriate option depending on whether the response prevents a risk from occurring or detects the issue after it has occurred.



Preventative or Detective

Select Preventative or Detective ▼

Select Preventative or Detective

Detective

Preventative

Relationships

Figure 118: Preventative or Detective

Relationships

Risks

Click the **Select Risk** field and, in the menu, scroll down and click to select the appropriate option. Click the **right arrow** to move the selected option into the box on the right.



Relationships

Select Risk ▼

Select Risk

1.01

1.02

1.03

1.04

1.05

1.06

1.07

1.08

1.09

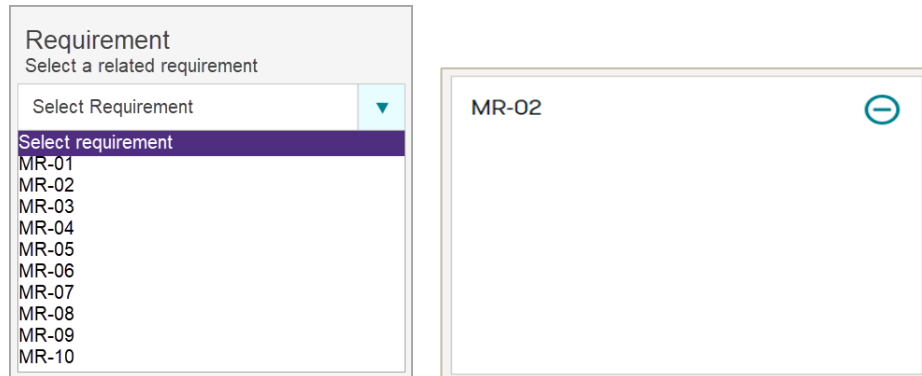
1.10

1.03

Figure 119: Add risk relationships

Requirement

Click the **Select Requirement** field (Figure 120) and, in the menu, click to select the desired option. Click the **right arrow** to move the option into the box on the right.



The figure illustrates the process of adding requirements relationships. On the left, a 'Requirement' section contains a dropdown menu labeled 'Select Requirement' with a downward arrow. Below the dropdown is a list of requirements: MR-01, MR-02, MR-03, MR-04, MR-05, MR-06, MR-07, MR-08, MR-09, and MR-10. On the right, a box contains the text 'MR-02' and a minus icon (⊖) in the top right corner, indicating that this requirement has been added to the right-hand box.

Figure 120: Add requirements relationships

To remove a risk or a requirement from the box on the right, click the **minus** icon ⊖ to the right of the risk or requirement to be removed.

To save the response item, click **Save** at the lower right of the page.

Click **Cancel** to discard the entire item and clear the page.

NOTE: If the desired **Risk** or **Requirement** option is not available in the menu, the **Risk** or **Requirement** can be created through the **Create an item** function of the application or through the **Import template**.

To Create a New Test

To create a new Test

In the **Create new Test** page (Figure 121), fields marked with an asterisk are required to create this record. The other fields can be completed at another time.

In the **Name*** field, type the name of the test.

Under the **Name** field is an **Identifier**. The **Identifier** is auto populated or assigned sequentially by the application and cannot be modified. It is primarily a means of keeping track of items given the naming is free text.

In the **Description** field, type a brief description of the test.

In the **Testing Phase** field, click the **down arrow**  and, in the menu, click to select a **Testing phase**. Testing Phase options are Interim and Evaluation period end.

In the **Classification*** field, click the **down arrow**  and, in the menu, click to select a related **parent response**. For tests that have more than one associated response, select multiple responses from the dropdown menu.

In the **Key dates** field, click to select the **Test due date** from the calendar popup. The date will display in a format determined by your local jurisdiction

In the **Users** section, if the test will be performed by the individual responsible for the response, click to move the toggle switch to **Yes** in response to the question **Will this test be self-monitored?** Otherwise, the default selection of **No** will remain.

If the test will be performed using the work of others, click to move the toggle switch to **Yes** in response to the question **Using the work of others?** Otherwise, the default selection of **No** will remain.

While in the test page, you can:

- Assign and remove **Testers**.
- Assign and remove **Reviewers**.
- Add and edit **Additional information**.
- Update the status of **Design effectiveness** and **Operating effectiveness**.
- Upload and delete **Workpapers**.
- **Sign off** on the performance and review of the test
- Add a **Finding**

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Create new test

Create a new...*

Test

Name*

Identifier: T-276

Description

Testing phase

Select a Testing phase*

Select Testing phase

Classification

Response

Select a related response*

Select Response

Key dates

Test due date

mm/dd/yyyy

Users

Will this test be self-monitored?*

Yes ☒ No ☐

Using the work of others?*

Yes ☒ No ☐

Assigned tester*

W

+

Add tester

Assigned reviewer*

W

+

Add reviewer

Cancel

Save

Figure 121: Create new Test page

The **Assigned tester*** and the **Assigned reviewer***, will be pre-populated with the individual that creates the test. Both the Assigned tester and the Assigned reviewer can be modified in the same way by selecting Add tester or Add reviewer.

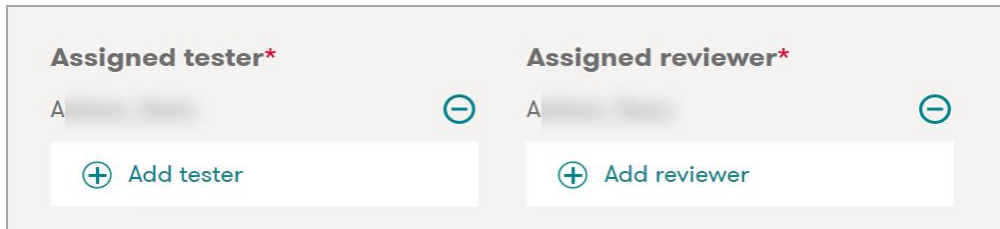


Figure 122: Add tester and reviewer

Begin typing the name in the **Select tester** or **Select reviewer** box. If the name is in the system, a list of names matching what you typed will display. Click the desired name to select, scrolling down if necessary. Otherwise, click the **down arrow**  to display a list of names and scroll down and click to select the desired name.

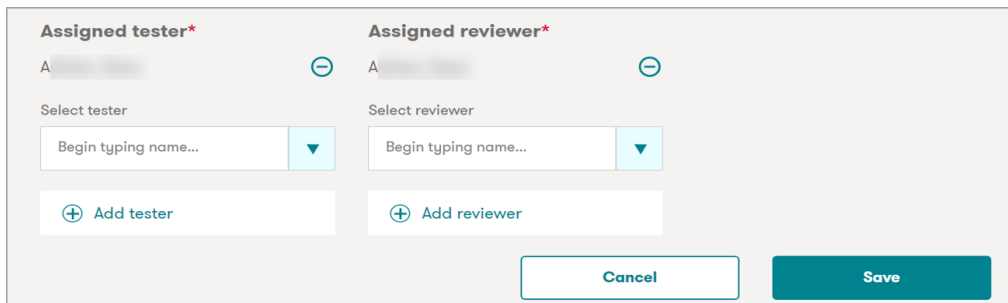


Figure 123: Select tester and reviewer

You can assign more than one tester and more than one reviewer. Tester and Reviewer are required fields. A test will not be saved if either testers, reviewers, or both are not assigned.

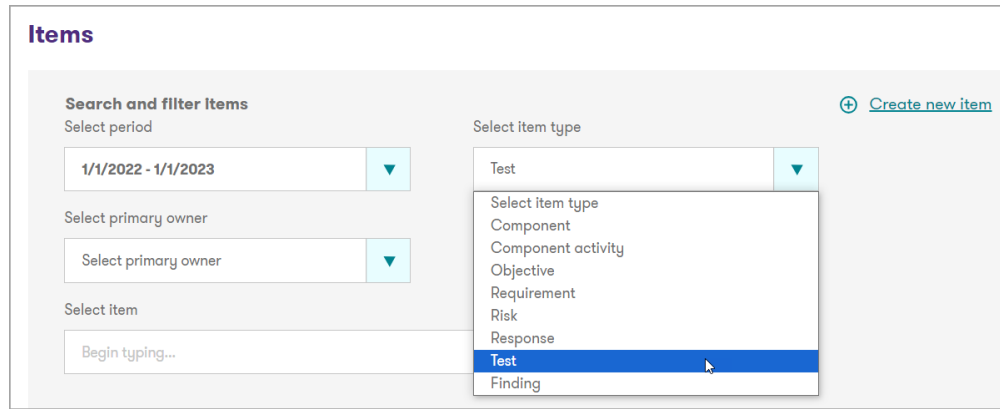
In the lower right corner click **Save** to save the **Test** item.

To Complete a Test

To complete an existing test, you'll need to access the test item.

To access an existing test item:

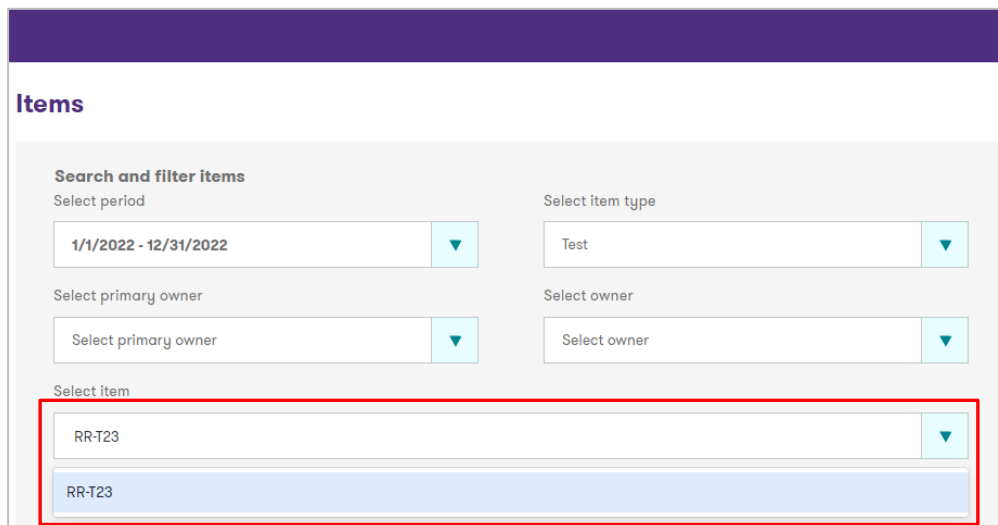
In the **Items** page (Figure 124), click the **Select item type** field, scroll down and click to select **Test**.



The screenshot shows the 'Items' page with a search and filter section. The 'Select item type' dropdown menu is open, displaying a list of item types: Select item type, Component, Component activity, Objective, Requirement, Risk, Response, **Test** (highlighted), and Finding. The 'Test' option is selected.

Figure 124: Select Test

To narrow the number of items returned in the **Select an item** table, in the **Item Names** field (Figure 125), start typing any part of the name of the test item you want to access. If the name is in the system, it will display in the menu. Click the **name** to select it.



The screenshot shows the 'Items' page with search and filter fields. The 'Select item' dropdown menu is open, displaying a list of item names: RR-T23. The 'RR-T23' option is selected.

Figure 125: Select Item Name

The test and any related items will display in the lower section of the screen (Figure 126) in the **Select an item** table.

Items

Search and filter items

Select period

1/1/2022 - 12/31/2022

Select item type

Test

Select primary owner

Select primary owner

Select owner

Select owner

Select item

RR-T23

Related items

Filter items:

☐ Component activities
 ☐ Requirements
 ☐ Objectives
 ☐ Risks
 ☒ Responses
 ☒ Tests

Select an item

Type	Name	Description	Primary owners	Testers/Reviewers
Response	RR-23	Register of qualifications and continuing professional d...	A	
Test	RR-T23	Test of RR-23	A	R

5

Figure 126: Related items displayed

In the **Select an Item** section, click the **test item** to display the test item page.

[Back to overview](#)
[Back to item search](#)

RR-T23 (T-77)
[Edit](#) | [Comment](#)

Test of RR-23
Self-monitored: No
Using the work of others: No
Response: [RR-23](#)
Start date:
Due date: 12/15/2022
Completed date:

Testing Phase: Interim
Status: Not started

Assign tester*
☐ R
+ Add tester

Assign reviewer*
☐ S
+ Add reviewer

Related finding
None
+ Add finding

Design effectiveness
Is the response appropriately designed to address the risk to meeting the quality objective?
Select response... ▼

Operating effectiveness
Is the response operating effectively?
Select response... ▼

Additional information
Document any additional testing information ?

Workpaper details
Upload testing workpapers.
Select workpaper to upload

Select a file...

Upload

Upload log

File name	Upload date	Uploaded by

Delete

Save

Figure 127: Test page

In the selected test page, test procedures can be completed in the **Additional Information** section or may be performed on work papers external to qm.x and uploaded in the **Workpaper Details**.

The **Additional Information** section can also be used to document results or conclusions of test procedures.

To upload test procedures and other test related documents,

In the **Workpaper Details** section, click the **upload** icon  next to the **Select file** field to display a file browser screen (Figure 128).

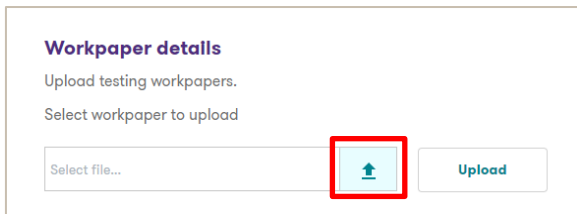


Figure 128: Workpaper details

While you can upload multiple documents to the qm.x, you can only upload one document at a time.

In the file browser (Figure 129), locate and highlight the document file on your computer to be uploaded. In the bottom right corner, click **Open**.

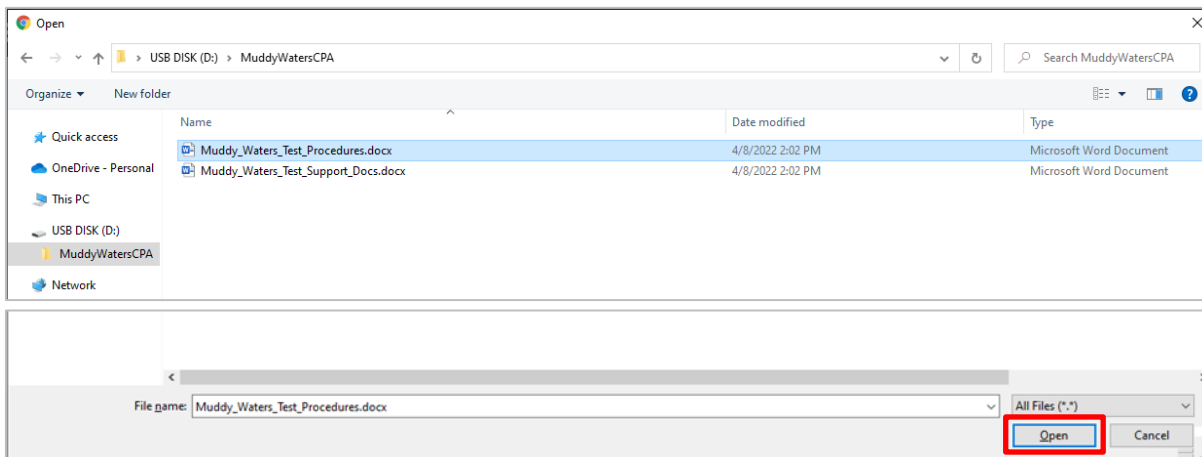


Figure 129: File browser

The name of the selected file will display in the **Workpaper details** section (Figure 130).

To upload the file, click the **Upload** button next to the file name.

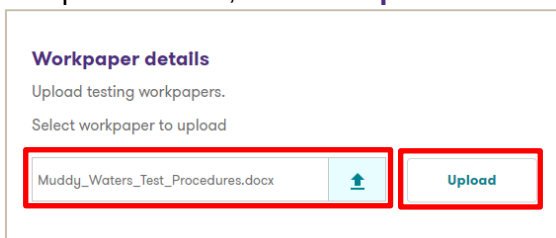


Figure 130: Workpaper details file to upload

When the file upload has successfully completed, a message will pop-up at the top of your screen (Figure 131) with the message, “*Upload has completed successfully.*”

To close the popup, click **OK**.

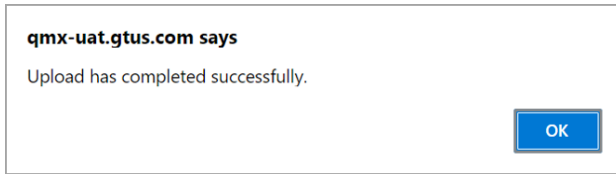


Figure 131: Upload confirmation message

The file name and link will be added to the **Upload log** at the bottom of the page (Figure 132).

Additional Information
Document any additional testing information

Workpaper details
Upload testing workpapers.
Select workpaper to upload

Select file...



Upload

Upload log

File name	Upload date	Uploaded by	
Muddy_Waters_Test_Procedures	04/08/2022 2:15 PM	A	Delete

Delete

Save

Figure 132: Upload log

To view a document in the **Upload log**, click the **file name**. The document will download to your computer.

To open the file, click the **download tab**.

To delete a document in the **Upload log**, click **Delete** to the right of the file name.

The status section at the top of the page can be used to manage the progress of your testing. To select a test status, click **Edit** at the top right-hand side of the screen. In the Status field click the **down arrow** and select the appropriate test status.

A default Status of Not started will display when the test is created. The status can be updated as the testing progresses towards completion by repeating the steps detailed above.

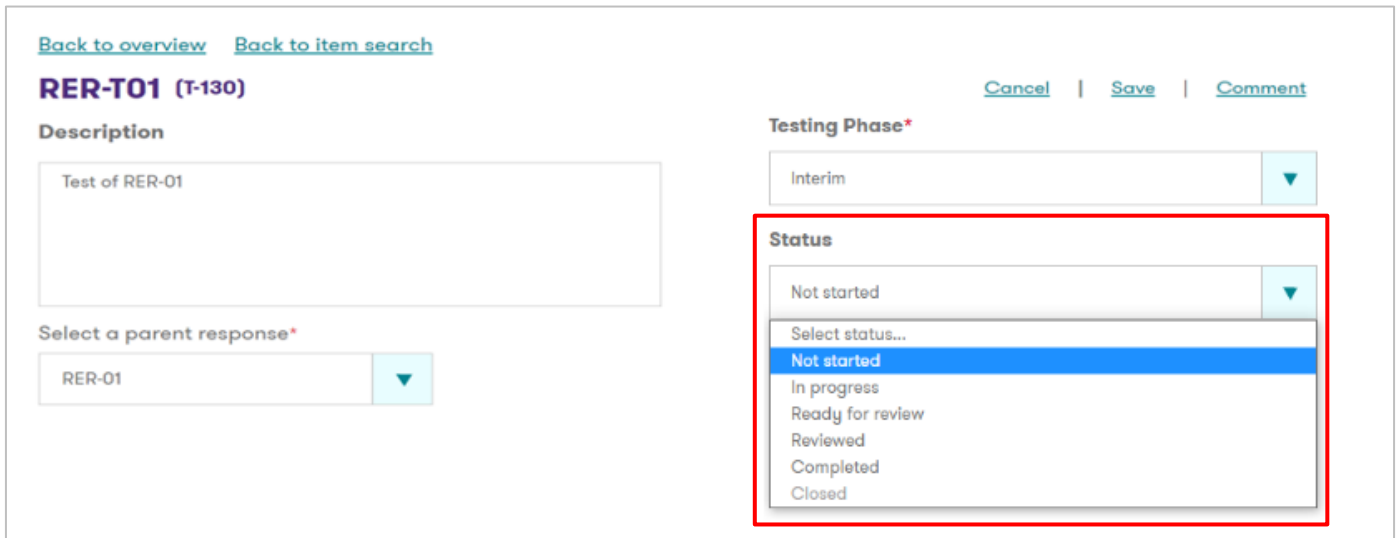


Figure 133: Set test status

The available test status are as follows:

Table 3 outlines the **Status** options and when to use them.

Table 2: Status options

Status	Guidance
Not started	Test item has been created, work has yet to be performed.
In Progress	Test procedures have been started, but testing is still being completed; or Test has been reviewed and further work is needed by the tester.
Ready for review	Testing has been signed off by all testers and is ready to be reviewed.
Reviewed	Test has been successfully reviewed and signed off by the reviewer; no further action is required by the tester.
Completed	Testing item has been completed. A finding or deficiency has been created where necessary.
Closed	Testing is completed and changes can no longer be made.

The test status section also includes:

- The response that is being tested - to view the response, click the [link](#) in the **Response** field. This will open the response in a new tab.
- The due date by which the test is to be completed. When a test has not been completed before its due date, the **Due date** will be highlighted in **red**.
- For tests in the 'Closed' status, this section will also display the linked findings and deficiencies

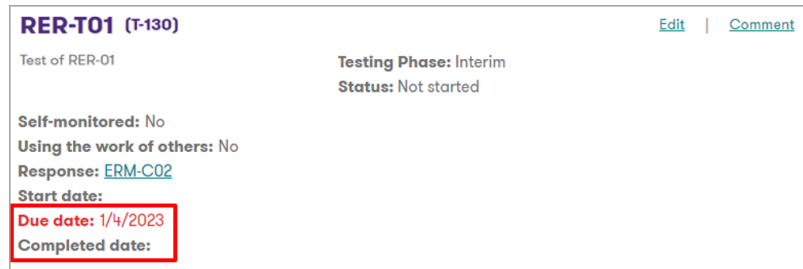


Figure 134: Test not completed before the due date

Once the testing procedures have been completed, the conclusion on the **Design effectiveness** and on the **Operating effectiveness** is entered into the test page.

In the **Design effectiveness** field (Figure 135), respond to the question, “Is the response appropriately designed to address the risk to meeting the quality objective?”

Click the [down arrow](#) and click to select **No**, **Yes** or **Not applicable**.

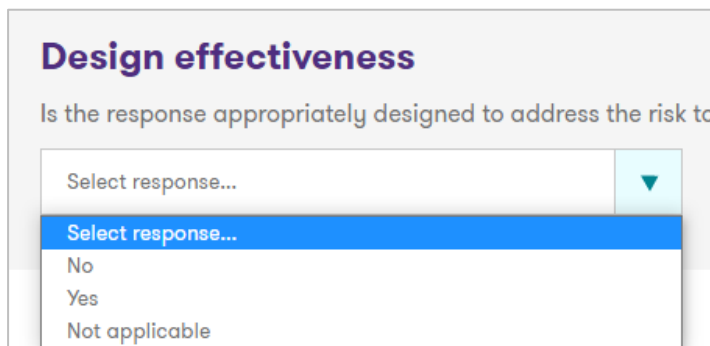


Figure 135: Design effectiveness

If the response is **No**, a message will display that says, “Selecting No requires a finding.”

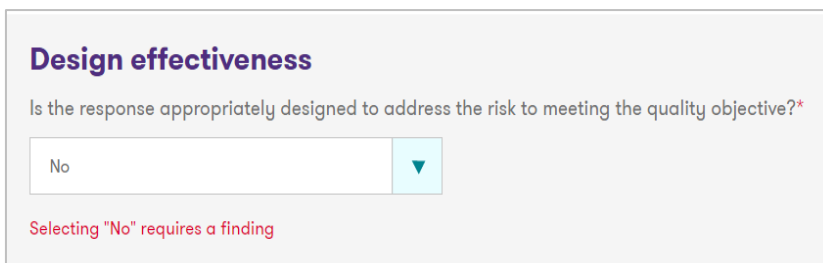
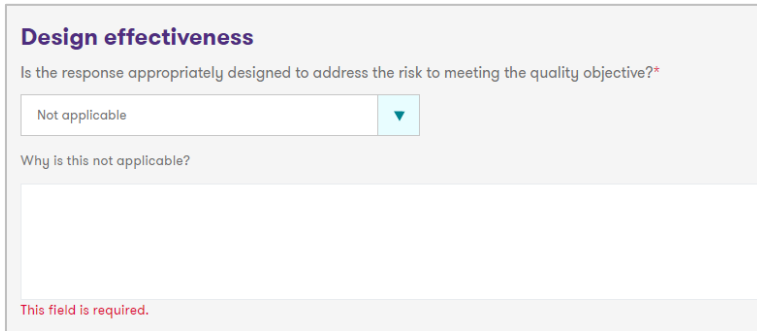


Figure 136: Notification to prompt the creation of a finding

To add a finding, go to the section of this guide called [To Add a Finding](#) below.

If the response is **Yes**, continue with the next step, **Operating Effectiveness** (Figure 137).

If the answer is **Not applicable**, a required text box will be displayed. Use this box to describe why this is not applicable.



Design effectiveness

Is the response appropriately designed to address the risk to meeting the quality objective?*

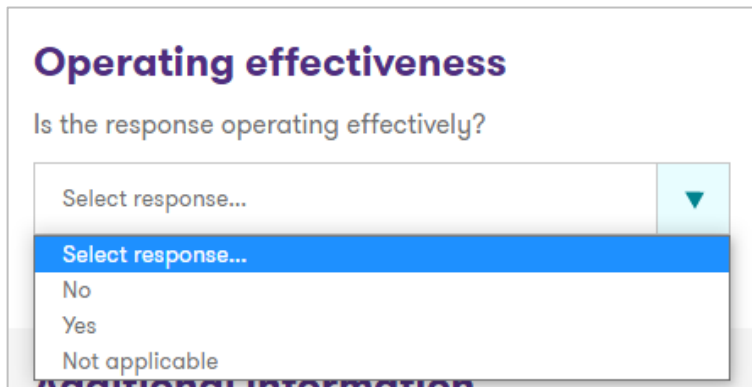
Not applicable ▼

Why is this not applicable?

This field is required.

Figure 137: Design effectiveness

In the **Operating Effectiveness** field (Figure 138), respond to the question, “Is the response operating effectively?” Click the down arrow and click to select **No**, **Yes** or **Not applicable**.



Operating effectiveness

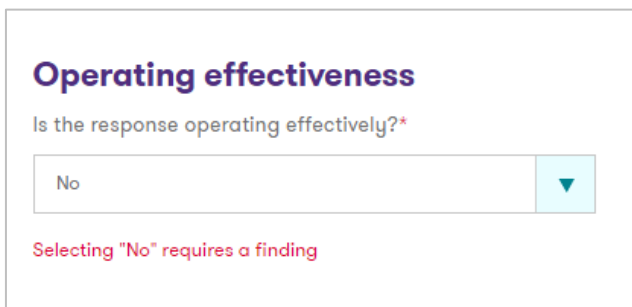
Is the response operating effectively?

Select response... ▼

- Select response...
- No
- Yes
- Not applicable

Figure 138: Operating effectiveness

If the response is not operating effectively, a finding is required to be created. To add a finding, go to the section of this guide called [Add a Finding](#) (see below).



Operating effectiveness

Is the response operating effectively?*

No ▼

Selecting "No" requires a finding

Figure 139: Operating effectiveness

If the response is not applicable, a required text box will be displayed. Use this box to describe why this is not applicable.

Operating effectiveness

Is the response operating effectively?

Not applicable

▼

Why is this not applicable?

This field is required.

Figure 140: Operating effectiveness

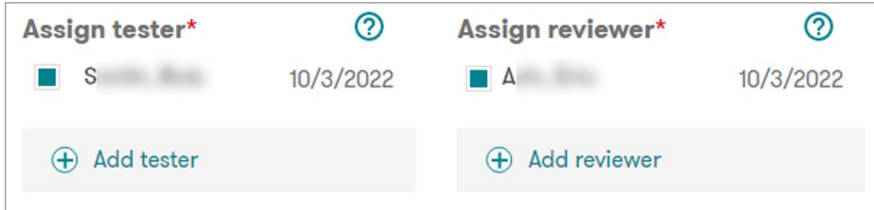
If the response is designed effectively and operating effectively, the test may be saved.

Click **Save** at the lower right of the page.

To Sign off a Test

Testers and reviewers are required to sign off their test items to confirm completion of their test or review. **To sign off on your test item**, once you've completed your work click the **checkbox** next to your name.

The assigned tester or reviewer will only have the ability to click their own **checkbox**. Once the box is checked, the **date** will display.



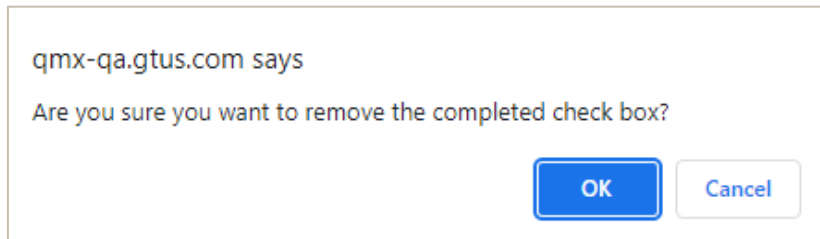
Assign tester*	Assign reviewer*
☒ S 10/3/2022	☒ A 10/3/2022
+ Add tester	+ Add reviewer

Figure 141: Tester and Reviewer sign off checkbox

Testers:

A tester who has checked their sign off box can uncheck the box only if the work item status is In Progress. When unchecking the sign off box a popup will appear asking “Are you sure you want to remove the reviewed check box?”

To confirm, click **OK**.



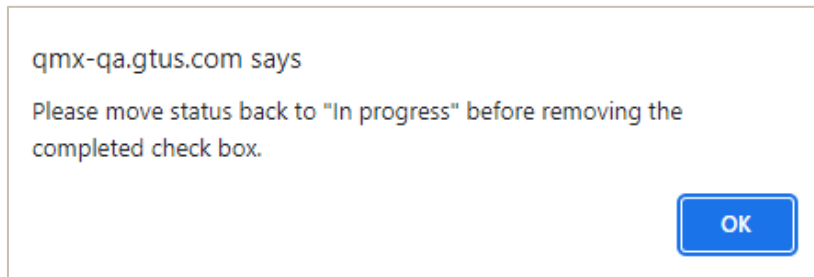
qmx-qa.gtus.com says

Are you sure you want to remove the completed check box?

OK Cancel

Figure 142: Confirmation popup

If the work item status is Ready for review and the tester attempts to uncheck their sign off box, a popup will then appear with instructions to “Please move the status back to In Progress before removing the reviewed check box.”



qmx-qa.gtus.com says

Please move status back to "In progress" before removing the completed check box.

OK

Figure 143: Instructional popup

Click **OK** to close the popup and move the status back to In Progress before unchecking the sign off box.

All assigned testers must check their sign off box before the work item status can be moved to Ready for review. If an attempt is made to move the work item to Ready for review status before all assigned testers

have checked their sign off box, a popup will appear alerting that *“All testers must check indicating sign off before status can be moved to Ready for review.”*

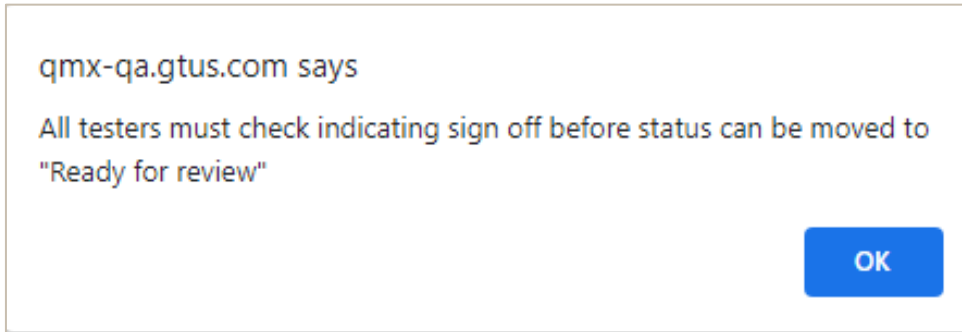


Figure 144: Popup alerting all testers must sign off

Click **OK** to close the popup.

Similarly, if an attempt is made to move the work item to Completed status before all assigned testers have signed off, a popup will appear alerting that *“All testers and reviewers must check indicating sign off before status can be moved to Completed.”*

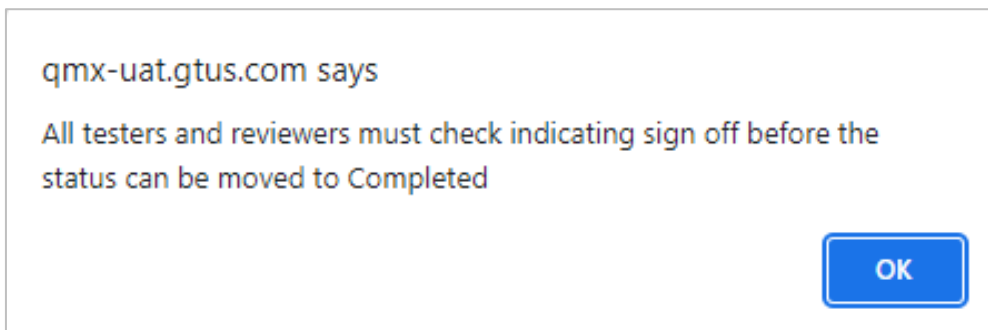


Figure 145: Popup alerting all testers or reviewers must sign off before status moves to Completed

Click **OK** to close the popup.

A tester cannot uncheck their sign off box if any reviewer has completed their sign off. Also, a tester cannot uncheck their sign off box if the work item status is Completed or Closed.

Reviewers:

The reviewer will receive a notification once all testers have signed off and the status has been moved to Ready for review. A reviewer cannot sign off until the work item status is moved to Ready for review.

A reviewer who has checked their sign off box can uncheck the box only if the work item status is Ready for review. When unchecking the sign off box a popup will appear asking *“Are you sure you want to remove the reviewed check box?”*

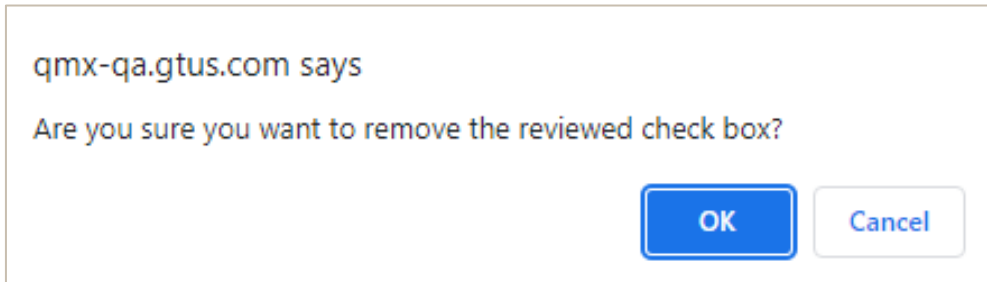


Figure 146: Confirmation popup

To confirm, click **OK**.

If the work item status is Reviewed and the reviewer attempts to uncheck their sign off box, a popup will then appear with instructions to *"Please move the status back to Ready for review before removing the reviewed check box."*

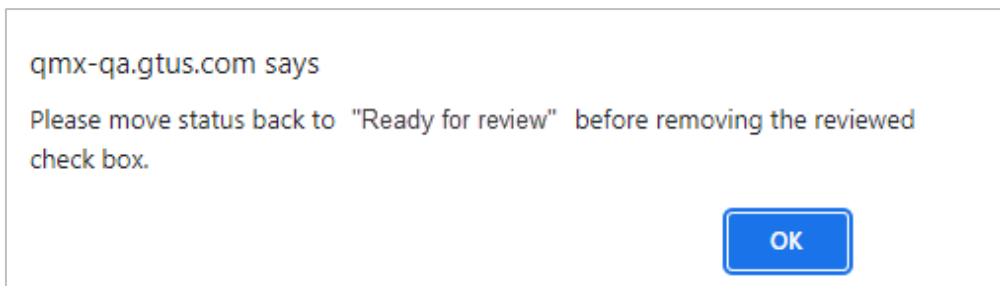


Figure 147: Instructional popup

Click **OK** to close the popup and move the status back to Ready for review before unchecking the sign off box.

All assigned reviewers must check their sign off box before the work item status can be moved to Reviewed. If an attempt is made to move the work item to Reviewed status before all assigned reviewers have checked their sign off box, a popup will appear alerting that *"All reviewers must check indicating sign off before status can be moved to Reviewed."*

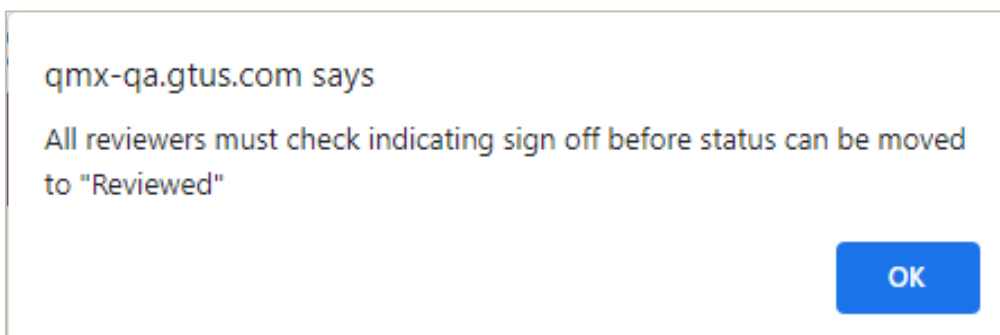


Figure 148: Popup alerting all reviewers must sign off

Click **OK** to close the popup.

Similarly, if an attempt is made to move the work item to Completed status before all assigned reviewers have signed off, a popup will appear alerting that *“All reviewers must check indicating sign off before status can be moved to Completed.”*

Click **OK** to close the popup,

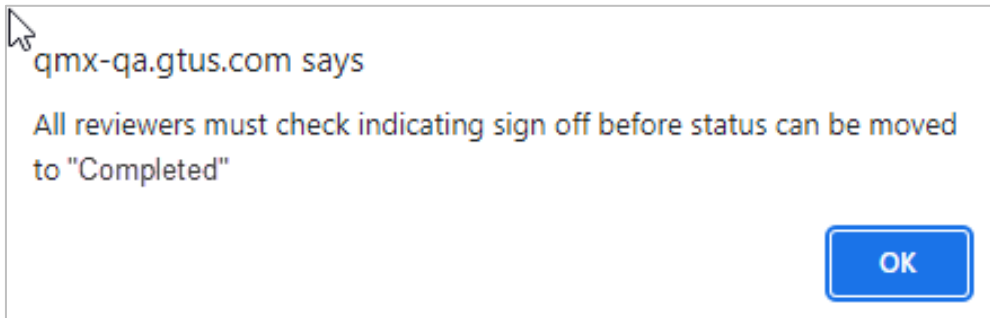


Figure 149: Popup alerting all reviewers must sign off before status moves to Completed

A reviewer can not uncheck their sign off box if the work item status is Complete or Closed.

NOTE: A tester cannot be deleted once the tester has signed off and a reviewer cannot be deleted once the reviewer has signed off.

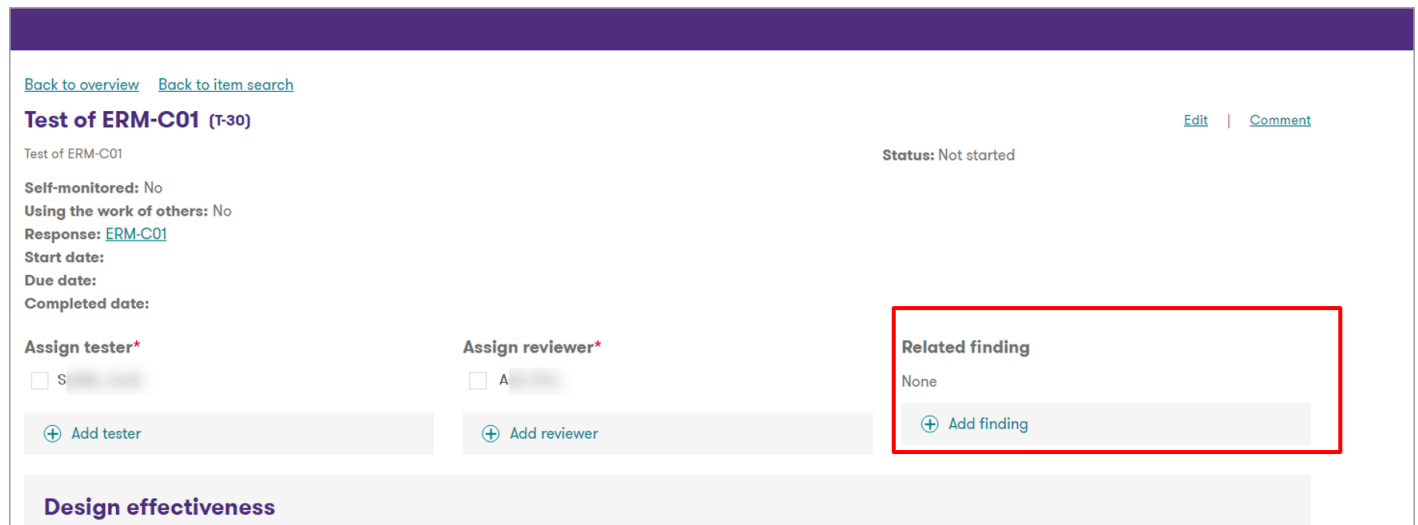
To Add a Finding

Findings relate to objectives, risks, and responses in the SoQM. They may be identified from performing tests (see below) or created directly at the component level when identified from other sources. (Refer to [To add a finding not identified through testing procedures.](#))

A finding can be generated when the test is completed without going back to the **Items** page and navigating back to the **Test**. A finding may also be added at a later time by using the search function to navigate to the test to which you want to add a finding.

To add a finding to a test:

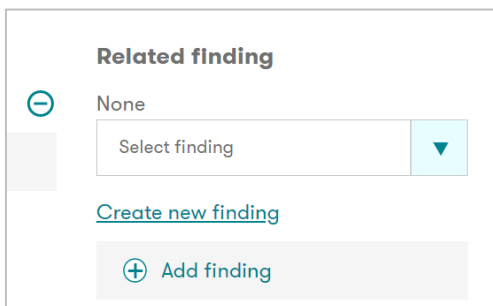
In the **Related finding** field of the displayed test page, click the **plus** icon next to **Add finding**.



The screenshot shows the 'Test of ERM-C01' page. At the top, there are links for 'Back to overview' and 'Back to item search'. The test title is 'Test of ERM-C01 (T-30)' with 'Edit' and 'Comment' links. Below this, it says 'Test of ERM-C01' and 'Status: Not started'. There are fields for 'Self-monitored: No', 'Using the work of others: No', 'Response: ERM-C01', 'Start date:', 'Due date:', and 'Completed date:'. There are also sections for 'Assign tester*' and 'Assign reviewer*' with checkboxes and 'Add tester'/'Add reviewer' buttons. The 'Related finding' section is highlighted with a red box, showing 'None' and an 'Add finding' button with a plus icon.

Figure 150: Related finding option

When you click **Add finding**, two options display (Figure 151), one to select a **Related finding** and one to **Create a new finding**.



The screenshot shows a dialog box titled 'Related finding'. It has a minus icon in a circle on the left. The main content area has 'None' at the top, followed by a search bar with the placeholder text 'Select finding' and a dropdown arrow. Below the search bar is a link 'Create new finding'. At the bottom, there is an 'Add finding' button with a plus icon in a circle.

Figure 151: Two add finding options

To add a Related finding:

In the **Name** field, start typing the name of a finding. Findings that match what you typed will display in a menu. Scroll down to select the desired finding.

To create a new finding

Click **Create new finding**. A **Create new Finding** page will display (Figure 152).

Evaluation 04 | 1/1/2023 - 12/31/2023

Create new finding

Name*

Identifier: F-1
Evaluation: Finding
Remediated: NA

Status*

Select Status▼

Description

B I U A ▼ ↗

How Identified, timing of occurrence and identification

B I U A ▼ ↗

Created by

M

1/3/2023

Owners*

None

+ Add owner

Reviewed and Approved By*

None

+ Add reviewer

Finding details

Nature of finding

Select nature of finding...▼

Finding type

Select finding type...▼

Finding instance

Select finding instance...▼

Is this finding aggregated with other findings?

Yes No

Quantitative and qualitative factors

B I U A ▼ ↗

Factors that may be appropriate include the nature of the finding and its pervasiveness, the nature of the related quality risk and the extent to which that risk is not addressed, the relative importance of the item to which the finding relates...

Other responses that address the same risk

B I U A ▼ ↗

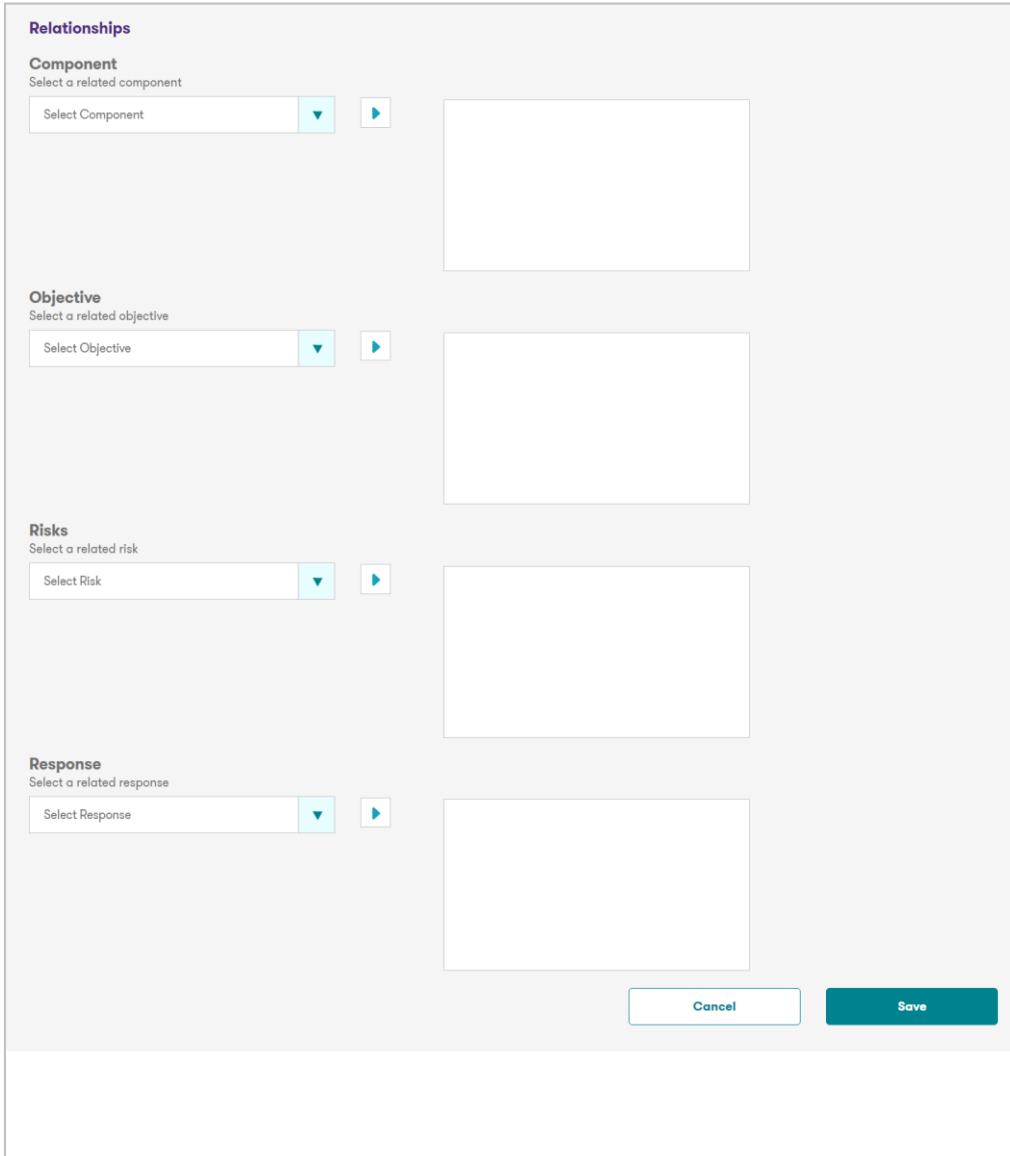
Factors that may be appropriate include other responses that address the same quality risk, whether there are findings for those responses...

Other supporting information

B I U A ▼ ↗

Factors that may be appropriate include extent of monitoring activities from which the finding arose, the extent of findings in relation to the selection, other information relevant to the evaluation of the finding.

Figure 152: Create new Finding page



Relationships

Component
Select a related component

Select Component ▼ ▶

Objective
Select a related objective

Select Objective ▼ ▶

Risks
Select a related risk

Select Risk ▼ ▶

Response
Select a related response

Select Response ▼ ▶

Cancel Save

Figure 153: Create new Finding page (continued)

In the **Create a Finding** page, fill out the asterisked fields, which are required to be completed before the finding can be saved.

In the **Name*** field, type in the name of the finding.

The **Remediated** field is not editable, and **NA** will appear as the default. This indicates this is a finding with no remediation added.

Once a Finding has been saved/created, a Remediation section can be added for the finding. To add a remediation, go to the section of this guide called [To Add a Remediation](#).

- **No** will display in the **Remediated** field when a Remediation section has been started for the finding but not completed.
- **Yes** will display in the **Remediated** field when a Remediation section has been completed for the finding and the finding status has been changed to **Completed**.

In the **Status*** field, click the **field** or the **down arrow** to display a menu, scroll down and click to select the desired **Status**.

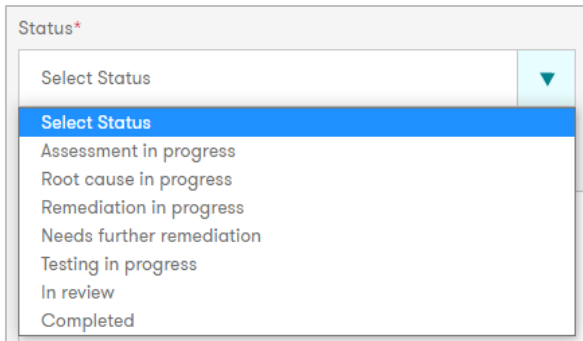


Figure 154: Status field



Figure 155: Status selected

Table 3 outlines the **Status** options and when to use them.

Table 3: Status options

Status	Guidance
Assessment in progress	Finding has been identified and the assessment of its severity is being considered
Root Cause in progress	Finding determined to be a deficiency and the required root cause analysis of the reason for the deficiency is being identified
Remediation in progress	Root cause has been determined, a remediation plan developed, and remediation is underway
Needs further remediation	Remediation was not successful; a finding or deficiency still exists
Testing in progress	Testing of the remediated item is underway
In review	The following matters are being reviewed by the reviewer and item owner: • evaluation of the finding • root cause of the deficiency • remediation plans • testing of remediated item
Completed	For a deficiency, or a finding that is to be remediated, remediation plans have been executed and the item has been reviewed and approved

When a finding is initially created, a status of **Assessment in Progress** will usually be selected. This is when the finding is being evaluated to determine whether it rises to the level of a deficiency or whether it remains with the evaluation of finding.

In the **Description** field, type a description of the finding.

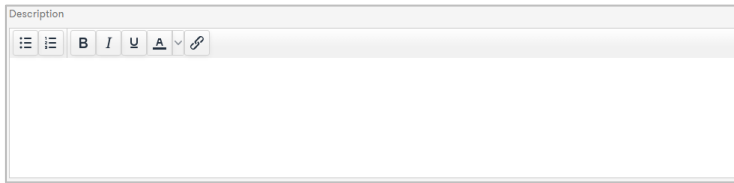


Figure 156: Description

In the **How identified, timing of occurrence and identification** field, type the details to describe how the finding was identified as well as the timing of the identification.

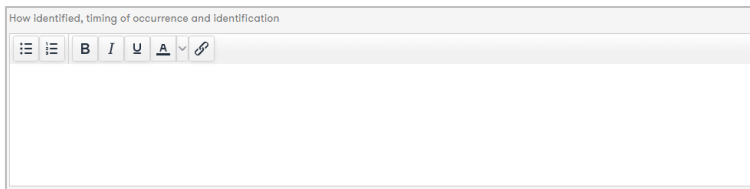


Figure 157: How identified, timing of occurrence and identification

In the **Owners*** field, to add an owner, click **+ Add owner**.

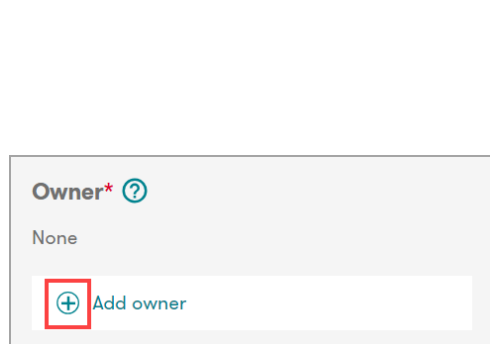
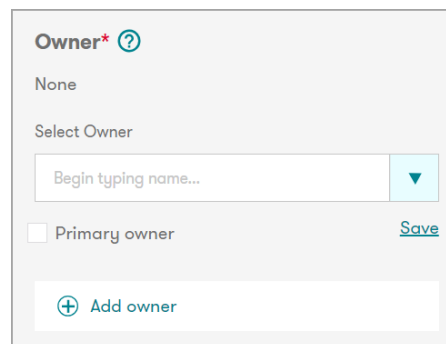



Figure 158: Owners field

Figure 159: Select owner

The owner is the individual who owns the item to which the finding relates. Multiple individuals may be selected as owners if applicable.

In the **Reviewed and approved by*** field, to add a reviewer, click **+ Add reviewer**.

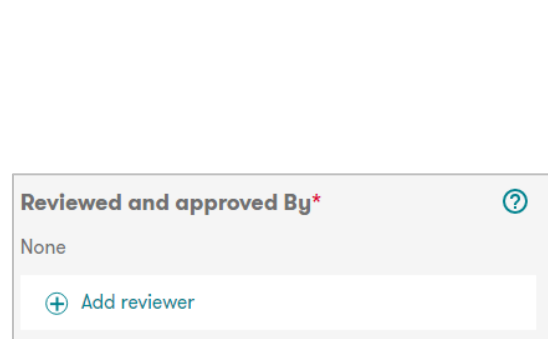
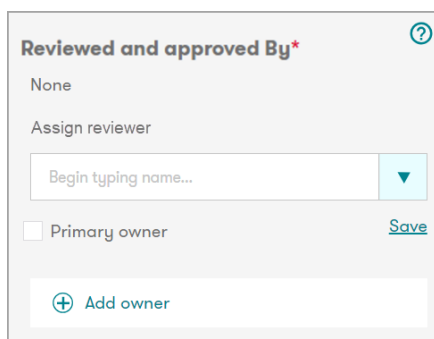



Figure 160: Reviewer and approved by field

Figure 161: Select reviewer

Multiple individuals may be selected to review and approve the finding and will usually include the owners of the item to which the finding relates, and others involved in the operation and monitoring of the SoQM.

To remove an owner or a reviewer, select the **minus**  next to the name of the owner or the reviewer.

In the **Nature of finding** section, click the **down arrow**  to the right of the Select nature of finding field to select from the menu. A finding will be associated with an **objective**, a **risk**, or a **response**.

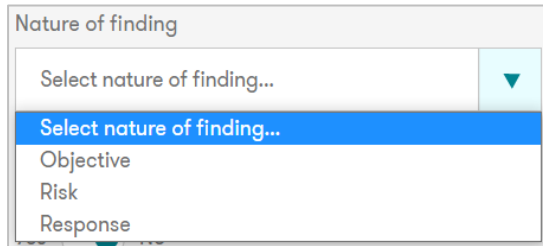


Figure 162: Nature of finding

In the **Finding type** section, click the **down arrow**  to the right of the Select finding type field to select either **Design** or **Operating**.

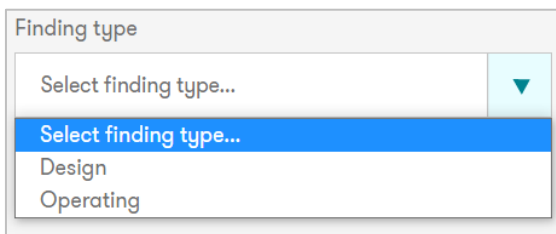


Figure 163: Finding Type

In the **Finding instance** section, click the **down arrow**  to the right of the Select finding instance field to select either **Recurring finding** or **New finding**.

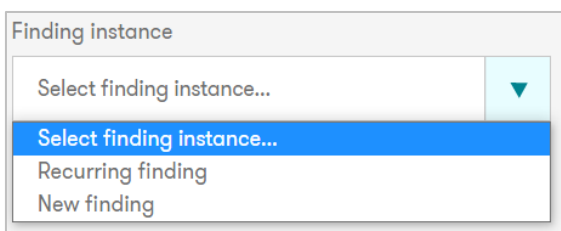


Figure 164: Finding instance

Select **Yes** or **No** to indicate whether the finding is aggregated with other findings.

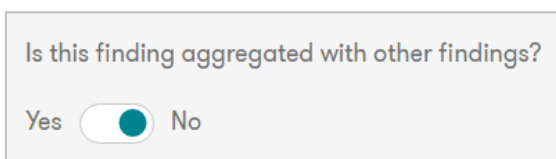


Figure 165: Is finding aggregated with other findings

To record the evaluation of the finding, add the relevant information in the labeled comment boxes. The **Quantitative and qualitative factors** comment box should always be completed to describe the nature of the finding and its pervasiveness or magnitude. Other comment boxes are completed as appropriate to the finding being evaluated.

Finding details

Nature of finding

Select nature of finding... ▼

Finding type

Select finding type... ▼

Finding instance

Select finding instance... ▼

Is this finding aggregated with other findings?

Yes

☒

No

Quantitative and qualitative factors

☰

☷

B

I

U

A ▼

🔗

Factors that may be appropriate include the nature of the finding and its pervasiveness, the nature of the related quality risk and the extent to which that risk is not addressed, the relative importance of the item to which the finding relates...

Other responses that address the same risk

☰

☷

B

I

U

A ▼

🔗

Factors that may be appropriate include other responses that address the same quality risk, whether there are findings for those responses...

Other supporting information

☰

☷

B

I

U

A ▼

🔗

Factors that may be appropriate include extent of monitoring activities from which the finding arose, the extent of findings in relation to the selection, other information relevant to the evaluation of the finding...

Figure 166: Finding details

The findings record could be saved at this point by clicking **Save** at the lower right of the page.

Otherwise, continue to the **Relationships** section of the finding and add all the relationships that apply to the finding. Not all relationship fields need to be completed. Select only those relationships that apply.

For each of the relationship types down the left side (**Component**, **Objective**, **Risks**, and **Response**), click the **down arrow** ▼ and click to select the **related item** from the menu.

For each item selected, click the **right arrow** ➡ to move it to the box to the right.

Multiple items may be selected from each category of relationship. To add another related item to the box at right, repeat the two steps above.

When finished, click **Save** at the far right.

Relationships
Component
Select a related component

Select Component ▼ ▶

Firm's Risk Assessment Process ⊖

Objective
Select a related objective

Select Objective ▼ ▶

TA Objective101 ⊖
TA Objective103 ⊖
TA Objective109 ⊖

Risks
Select a related risk

Select Risk ▼ ▶

Response
Select a related response

Select Response ▼ ▶

ERM-C02 ⊖

Cancel

Save

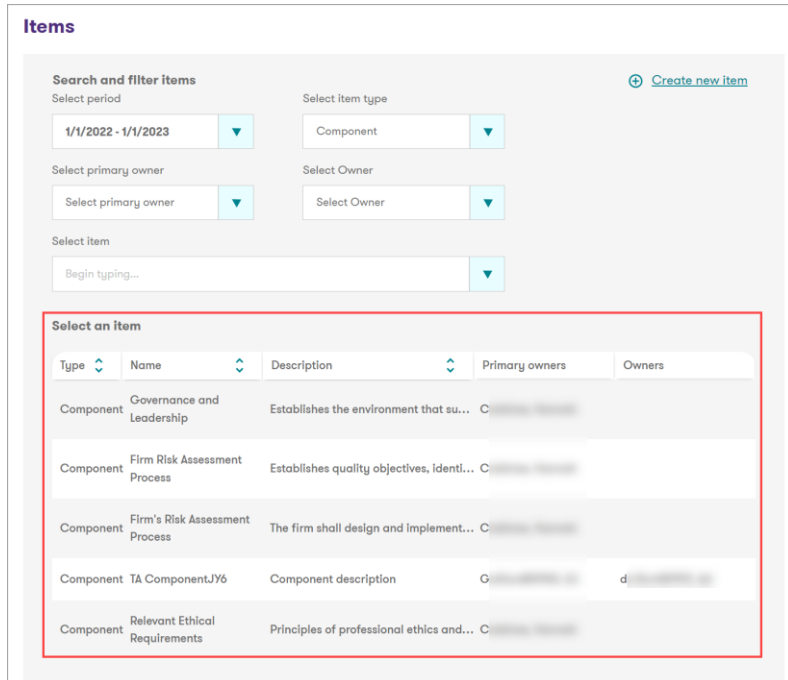
Figure 167: Finding relationships

To add a finding not identified through testing procedures:

NOTE: Findings may be identified from performing tests (refer to [To Add Finding to a Test](#)) or created directly at the component level when identified from other sources as per below.

In the **Items** page, select **Component** in the **Select item type** field and add other search parameters as needed.

Click to select the desired component from the list at the bottom of the page. If needed, scroll down the list to find the right component.



Items

[Create new item](#)

Search and filter items

Select period: 1/1/2022 - 1/1/2023

Select item type: Component

Select primary owner: Select primary owner

Select Owner: Select Owner

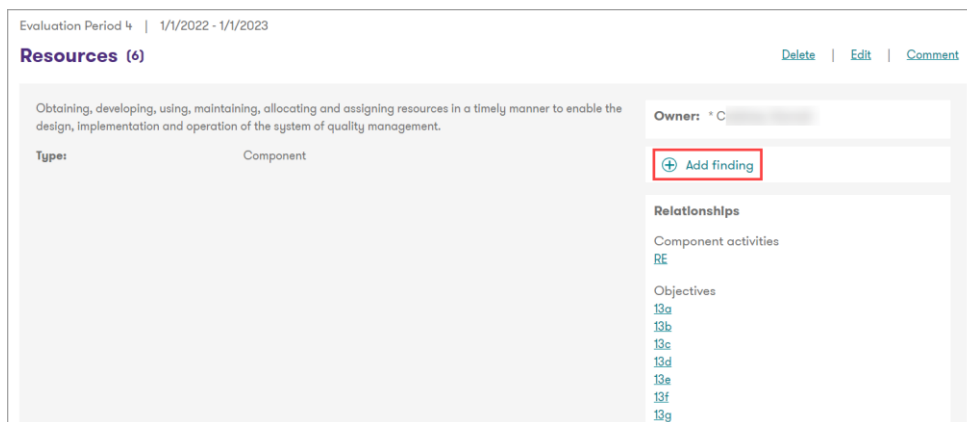
Select item: Begin typing...

Select an item

Type	Name	Description	Primary owners	Owners
Component	Governance and Leadership	Establishes the environment that su...	C	
Component	Firm Risk Assessment Process	Establishes quality objectives, identi...	C	
Component	Firm's Risk Assessment Process	The firm shall design and implement...	C	
Component	TA Component.JY6	Component description	G	d
Component	Relevant Ethical Requirements	Principles of professional ethics and...	C	

Figure 168: Component search

In the **Component** page, click [Add finding](#) at the right of the page.



Evaluation Period 4 | 1/1/2022 - 1/1/2023

Resources (6) [Delete](#) | [Edit](#) | [Comment](#)

Obtaining, developing, using, maintaining, allocating and assigning resources in a timely manner to enable the design, implementation and operation of the system of quality management.

Type: Component

Owner: * C

[Add finding](#)

Relationships

Component activities

RE

Objectives

13a

13b

13c

13d

13e

13f

13g

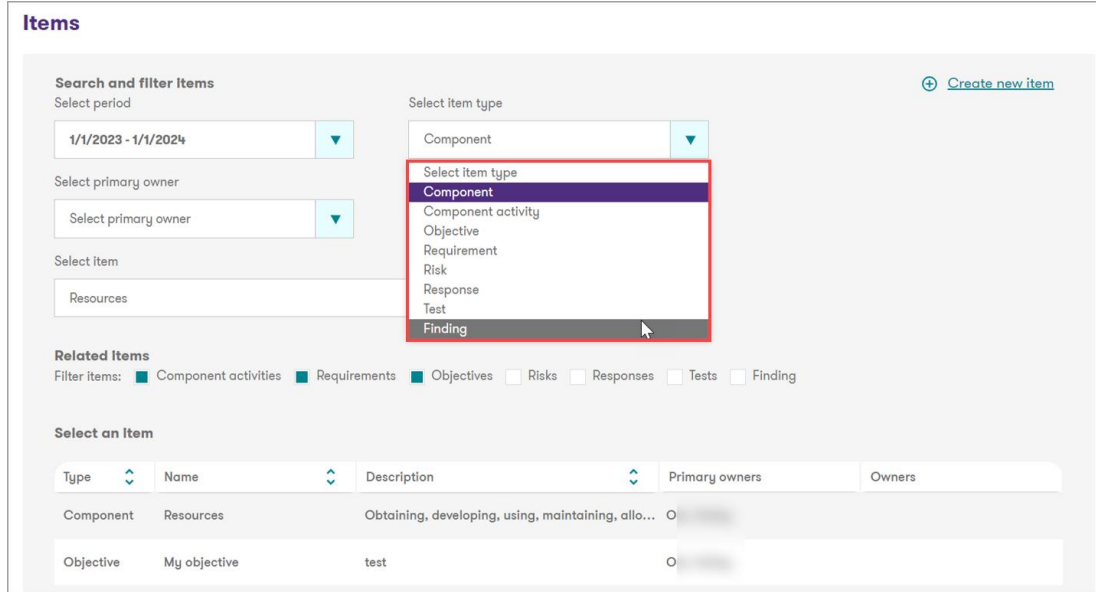
Figure 169: Click to Add Finding

The **Create new Finding** page will display. Follow the instructions above to complete and save this item.

To Edit a Finding

To edit a finding:

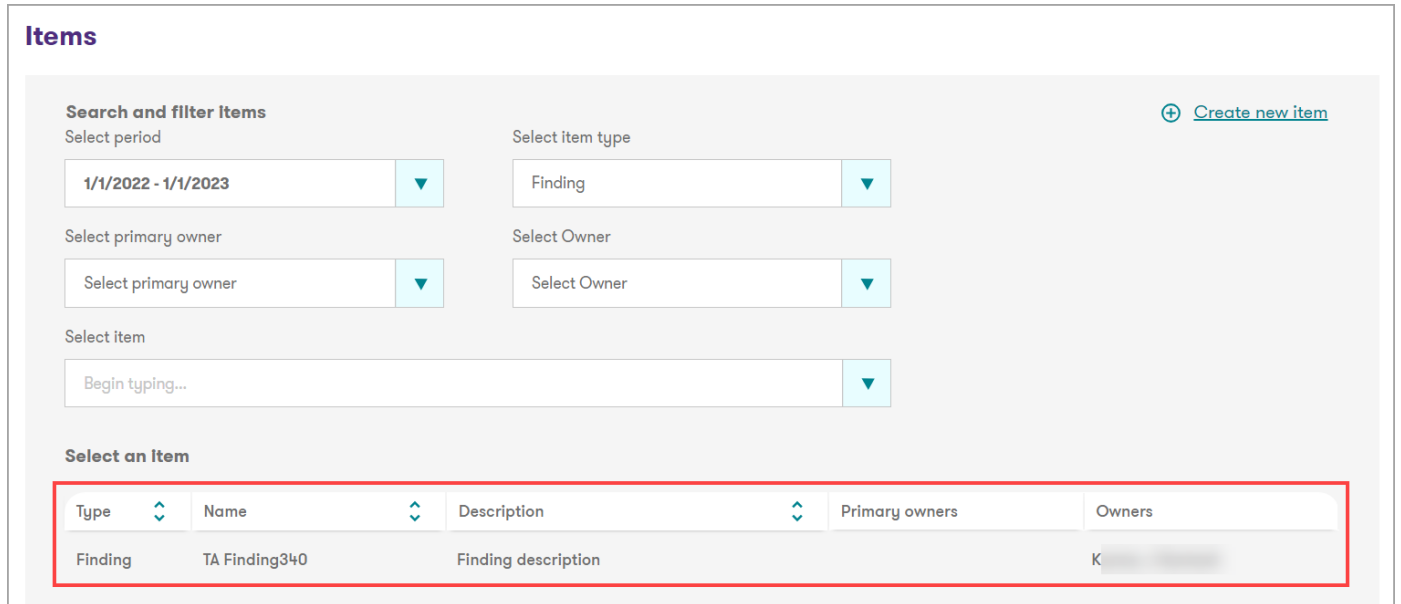
In the **Items** page, in the **Select item type** field (Figure 170), click to select **Finding**.



The screenshot shows the 'Items' page interface. On the left, under 'Search and filter Items', there are fields for 'Select period' (1/1/2023 - 1/1/2024), 'Select primary owner' (Select primary owner), and 'Select item' (Resources). On the right, the 'Select item type' dropdown menu is open, showing a list of options: Component, Component activity, Objective, Requirement, Risk, Response, Test, and Finding. The 'Finding' option is highlighted at the bottom. Below the dropdown, there are 'Related Items' checkboxes for Component activities, Requirements, Objectives, Risks, Responses, Tests, and Finding. At the bottom, the 'Select an Item' table is visible, showing two rows: one for 'Component' with 'Resources' and one for 'Objective' with 'My objective'.

Figure 170: Select Item Type - Finding

In the **Select an Item** section (Figure 171), click to select the finding to edit.



The screenshot shows the 'Items' page interface. On the left, under 'Search and filter Items', there are fields for 'Select period' (1/1/2022 - 1/1/2023), 'Select primary owner' (Select primary owner), and 'Select item' (Begin typing...). On the right, the 'Select item type' dropdown menu is open, showing 'Finding' selected. Below the dropdown, there are 'Select Owner' fields (Select Owner). At the bottom, the 'Select an Item' table is visible, showing one row for 'Finding' with 'TA Finding340' and 'Finding description'. The table is highlighted with a red border.

Figure 171: Select a Finding to edit

The **Finding** page will display.

[Back to overview](#)
[Back to item search](#)

TA Finding340 (F-8)
[Edit](#) | [Comment](#)

Finding description

Status
Assessment in progress

Evaluation: Finding
Remediated: NA

Created by [?](#) **Owners*** [?](#)

K 12/24/2022 K ☐ K

Reviewed and approved by* [?](#)

Finding details [Edit](#)

Nature of finding: **Objective** Finding type: Finding instance:

Is this finding aggregated with other findings?: **No**

Quantitative and qualitative factors
Other qualitative factors

Other responses that address the same risk
Describe any compensating responses

Other supporting information
Other supporting information

Relationships and workpapers [Edit](#)

Tests	Component	Objectives	Risks
TA Test340	No related components.	No related objectives.	No related risks.
Responses	Findings and deficiencies		
No related responses.	No related findings.		

Workpapers

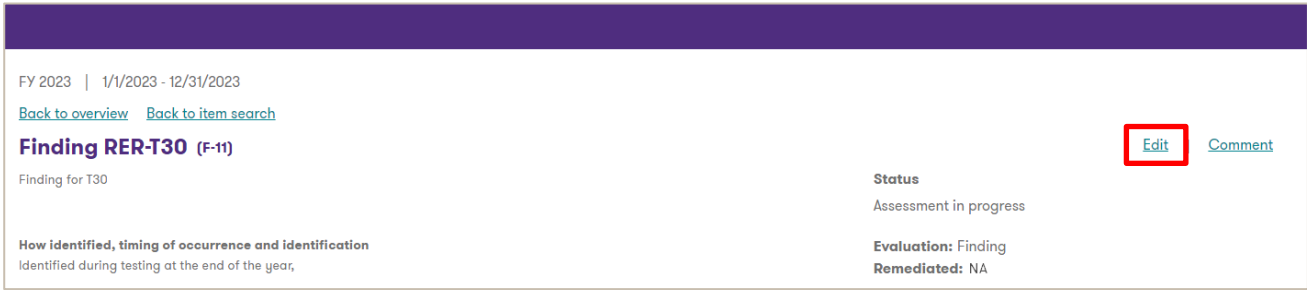
File name	Type	Upload date	Uploaded by	Actions
Delete Add deficiency Add remediation				

Figure 172: Edit finding page

In the **Edit finding** page, you can make edits to the finding. You can also add relationships, workpapers, a deficiency and a remediation.

To edit in the Edit finding page:

To edit general finding information, click **Edit** at the far right (Figure 173).



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[Back to overview](#) [Back to item search](#)

Finding RER-T30 (F-11)

Finding for T30

[Edit](#) [Comment](#)

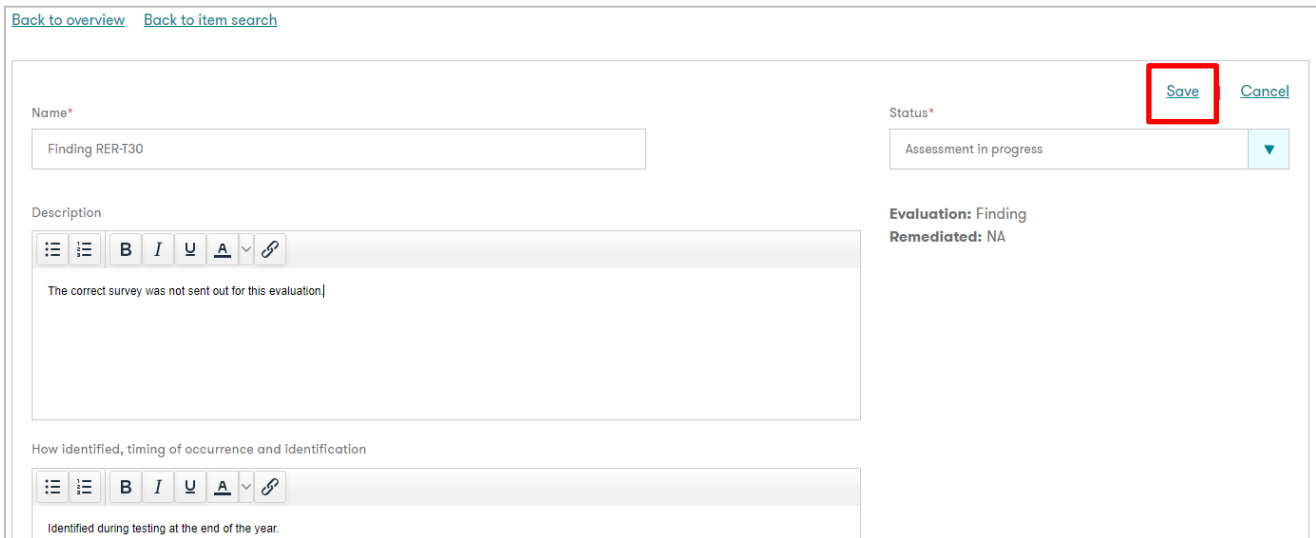
Status
Assessment in progress

Evaluation: Finding
Remediated: NA

How identified, timing of occurrence and identification
Identified during testing at the end of the year,

Figure 173: To edit finding

In the form that displays (Figure 174), add or edit general finding information such as the finding **Name***, **Description**, **How identified, timing of occurrence and identification** and **Status***. When finished, click **Save** at the far right.



[Back to overview](#) [Back to item search](#)

Name*

Finding RER-T30

Status*

Assessment in progress

[Save](#) [Cancel](#)

Description

The correct survey was not sent out for this evaluation

How identified, timing of occurrence and identification

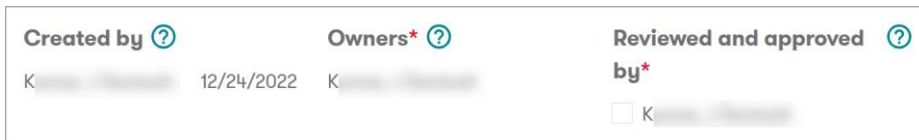
Identified during testing at the end of the year.

Evaluation: Finding
Remediated: NA

Figure 174: Edit general finding information

In the assignment section (Figure 175):

As needed, add, or remove **Owners** and **Reviewers**.



Created by [?](#)

K 12/24/2022

Owners* [?](#)

K

Reviewed and approved by* [?](#)

☐ K

Figure 175: Modify Owners and Reviewers

In the **Finding details** section (Figure 176), to the far right, click **Edit**.

Finding details
Edit

Nature of finding: **Objective**
Finding type:
Finding instance:

Is this finding aggregated with other findings?: **No**

Quantitative and qualitative factors

Other responses that address the same risk

Other supporting information

Figure 176: Finding details

The **Finding details** section will expand (Figure 177).

Edit the desired **Finding details** fields and once complete, at the far right, click **Save**.

Finding details
Save Cancel

Nature of finding*
Finding type*
Finding instance*

Objective
Select finding type...
Select finding instance...

Is this finding aggregated with other findings?*

Yes ☒ No

Quantitative and qualitative factors*

B
I
U
A

Factors that may be appropriate include the nature of the finding and its pervasiveness, the nature of the related quality risk and the extent to which that risk is not addressed, the relative importance of the item to which the finding relates...

Other responses that address the same risk*

B
I
U
A

Factors that may be appropriate include other responses that address the same quality risk, whether there are findings for those responses...

Other supporting information

B
I
U
A

Factors that may be appropriate include extent of monitoring activities from which the finding arose, the extent of findings in relation to the selection, other information relevant to the evaluation of the finding...

Figure 177: Finding details

In the **Relationships and workpapers** section (Figure 178), click **Edit** at the far right.

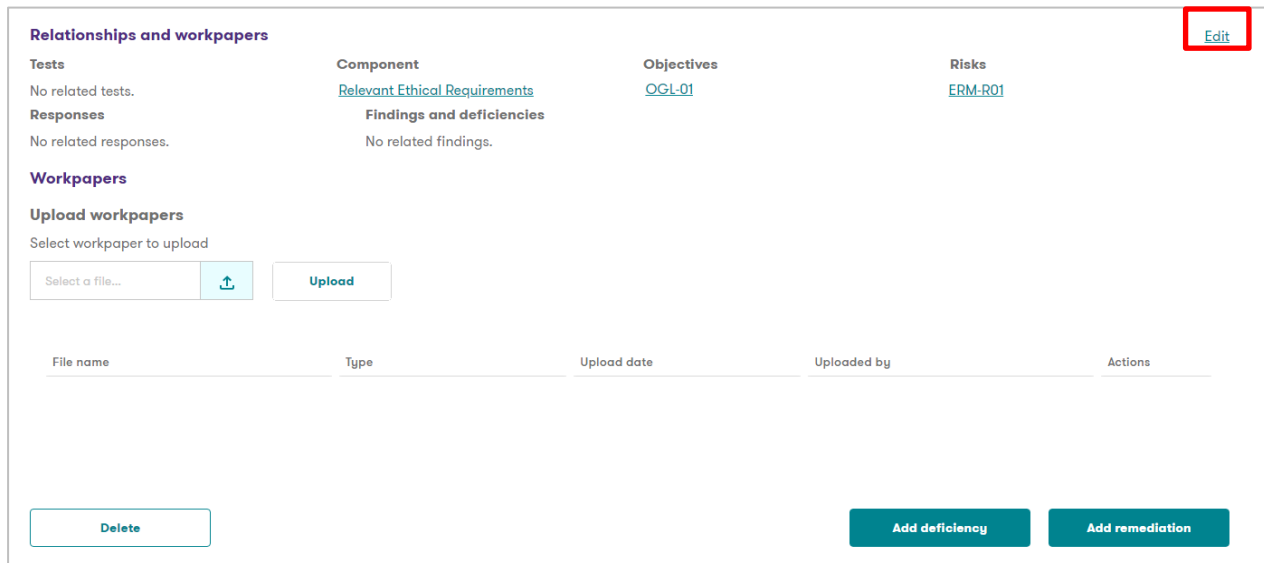


Figure 178: Relationships and workpapers section

The **Relationships and workpapers** section will expand (Figure 179). In this section, any applicable relationship(s) can be added. Not all relationship fields need to be completed. Select only those relationships that apply. Also, workpapers can be uploaded in this section.

For each of the applicable relationship types down the left side (**Component**, **Objective**, **Risks**, and **Response**), click the **down arrow** and click to select the related item from the menu.

For each item selected, click the **right arrow**  to move it to the box to the right.

To add another related item to the box at right, repeat the two steps above.

To remove a relationship for any of the relationship types down the left side (**Component**, **Objective**, **Risks**, and **Response**), select the **minus sign** next to the relationship to be removed.

When finished, click **Save** at the far right or **Cancel** to discard all changes.

Relationships and workpapers [Save](#) [Cancel](#)

Component
Select a related component

Select Component ▼ ▶

Relevant Ethical Requirements ⊖

Objective
Select a related objective

Select Objective ▼ ▶

OGL-01 ⊖
OCI-06 ⊖

Risks
Select a related risk

Select Risk ▼ ▶

ERM-R01 ⊖

Response
Select a related response

Select Response ▼ ▶

ERM-C03 ⊖

Figure 179: Edit/add related items

Selected Components, Objectives, Risks and Responses relationships will display in the **Relationships and workpapers** section.

Relationships and workpapers [Edit](#)

Tests	Component	Objectives	Risks
No related tests.	Relevant Ethical Requirements	4a	4.01
Responses	Findings and deficiencies		
ERM-C02	No related findings.		

Figure 180: Saved Component, Objective, Risk and Response relationships

In the **Workpapers** section, workpaper documents can be uploaded to provide support for the finding, deficiency or remediation and remediation testing support.

Workpapers

Select a file... ⬆ Upload

File name	Type	Upload date	Uploaded by	Actions
-----------	------	-------------	-------------	---------

Figure 181: Workpapers section

To upload a workpaper, click the **upload** icon  next to the **Select a file** field to display a file browser screen.

While you can upload multiple documents to qm.x, you can only upload one document at a time.

In the file browser locate and highlight the document file on your computer to be uploaded. In the bottom right corner, click **Open**.

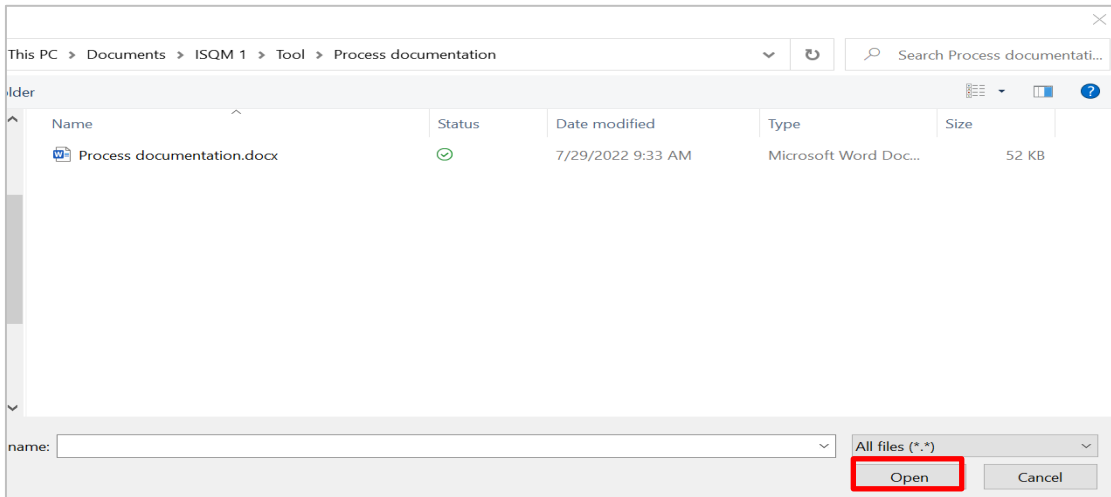


Figure 182: Select workpaper to add

The file name will appear in the field under **Select workpaper to upload**.

Click the **Upload** button.

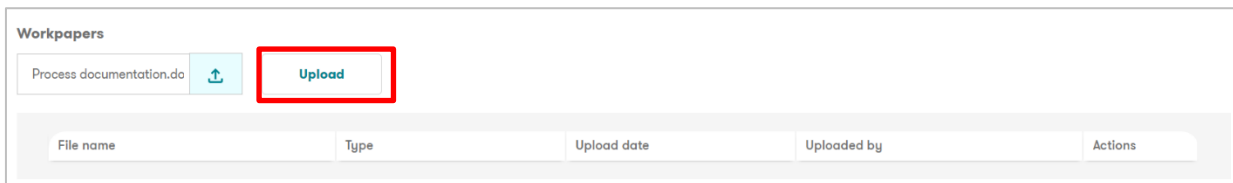
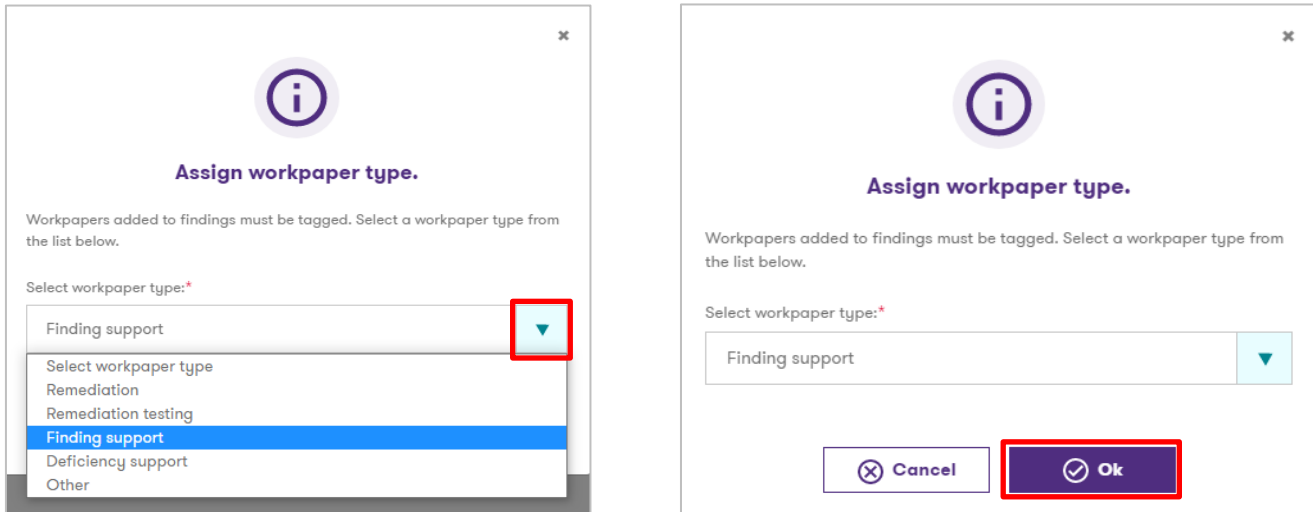


Figure 183: Upload workpaper

A popup will appear where the workpaper type can be assigned. To assign the workpaper type click on the **down arrow** , click to select the desired **workpaper type** and click **OK**.



Assign workpaper type.

Workpapers added to findings must be tagged. Select a workpaper type from the list below.

Select workpaper type:*

Finding support

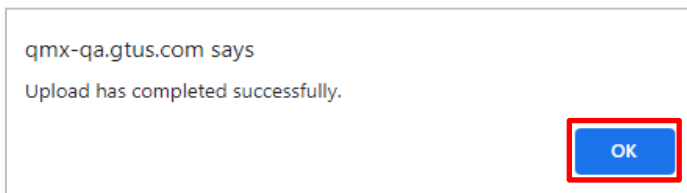
- Select workpaper type
- Remediation
- Remediation testing
- Finding support**
- Deficiency support
- Other

Cancel Ok

Figure 184: Select workpaper type

When the file upload has successfully completed, a message will pop-up at the top of your screen, “*Upload has completed successfully.*”

To close the popup and complete the workpaper upload, click **OK**.



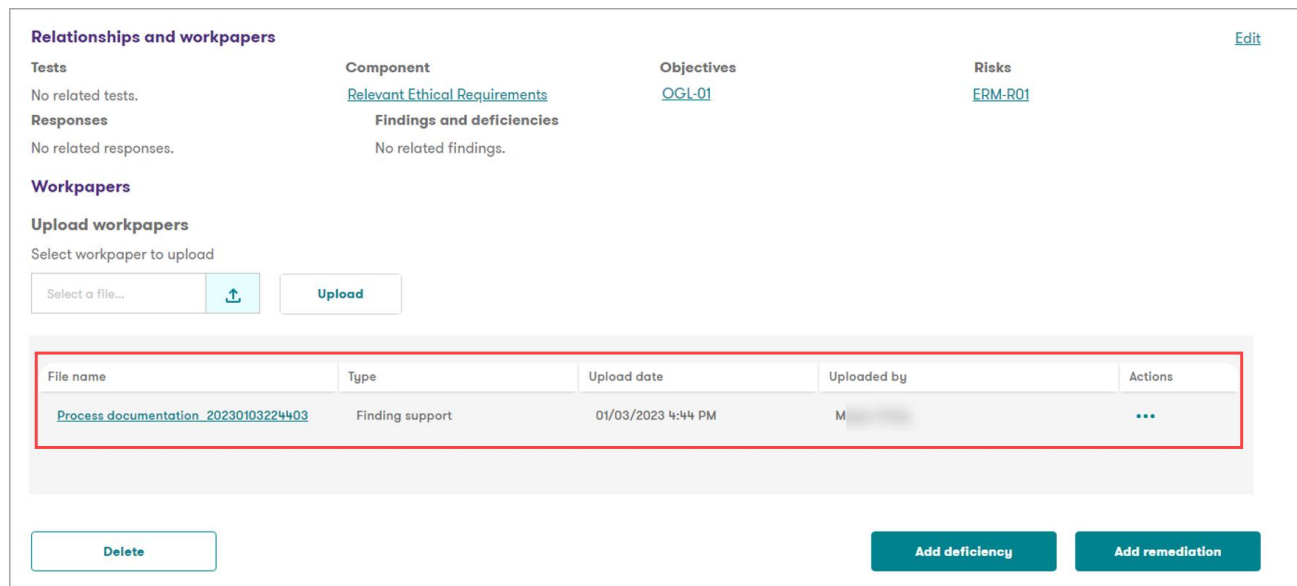
qmx-qa.gtus.com says

Upload has completed successfully.

OK

Figure 185: Upload confirmation message

The **Relationships and workpapers** section will update displaying any edits that were made.



Relationships and workpapers [Edit](#)

Tests	Component	Objectives	Risks
No related tests.	Relevant Ethical Requirements	OGL-01	ERM-R01
Responses	Findings and deficiencies		
No related responses.	No related findings.		

Workpapers

Upload workpapers

Select workpaper to upload

Select a file...  **Upload**

File name	Type	Upload date	Uploaded by	Actions
Process documentation_20230103224403	Finding support	01/03/2023 4:44 PM	M [redacted]	...

Delete **Add deficiency** **Add remediation**

Figure 186: Relationships results

To view a document in the **Upload workpapers section**, click the **file name**. The document will download to your computer.

Once uploaded, a document may be deleted, or the document type may be changed.

To remove a workpaper, click the **ellipsis (...)** in the **Actions** column and click on **Delete**. A message will pop-up at the top of your screen asking, “Delete workpaper? Are you sure you want to delete the workpaper? This cannot be undone.”

To close the popup and delete the workpaper, click **OK**.

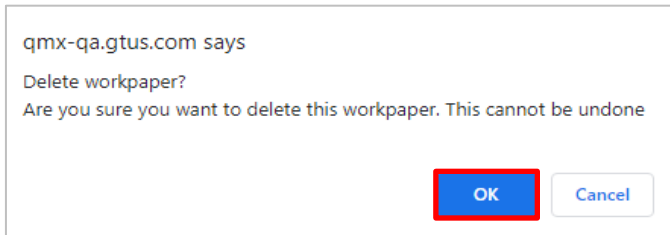


Figure 187: Confirmation to delete workpaper

To change the workpaper type for a workpaper, click the **ellipsis (...)** in the **Actions** column and click **Change type**. A popup will appear where the workpaper type can be changed.

To change the workpaper type click on the **down arrow** , click the desired **workpaper type** and click **OK**.

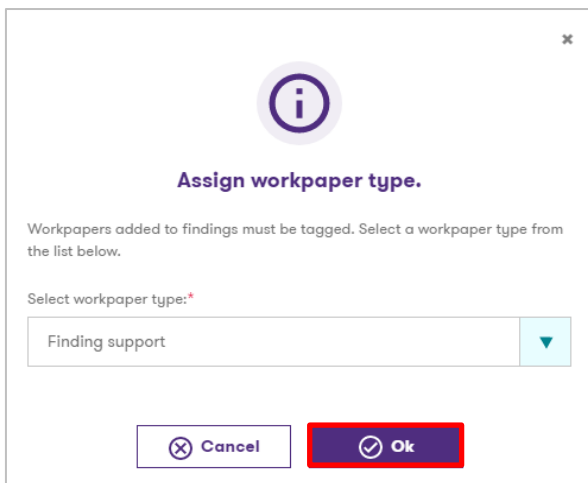


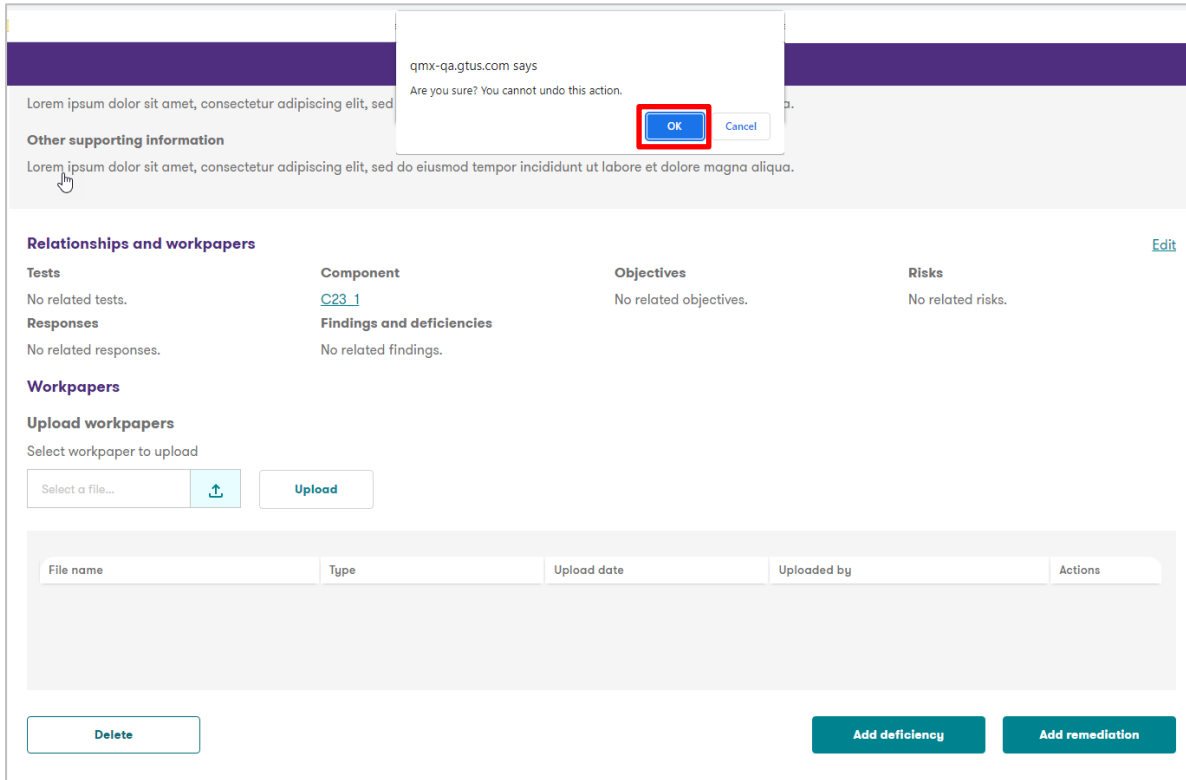
Figure 188: Change workpaper type

To Delete a Finding

To delete the finding, click the **Delete** button at the lower left of the page.

A confirmation message will ask, “Are you sure? You cannot undo this action.”

Select **OK** to complete the deletion.



qmx-qa.gtus.com says
Are you sure? You cannot undo this action.

OK Cancel

Other supporting information

Relationships and workpapers [Edit](#)

Tests	Component	Objectives	Risks
No related tests.	C23_1	No related objectives.	No related risks.
Responses	Findings and deficiencies		
No related responses.	No related findings.		

Workpapers

Upload workpapers

Select workpaper to upload

Select a file...  **Upload**

File name	Type	Upload date	Uploaded by	Actions
-----------	------	-------------	-------------	---------

Delete **Add deficiency** **Add remediation**

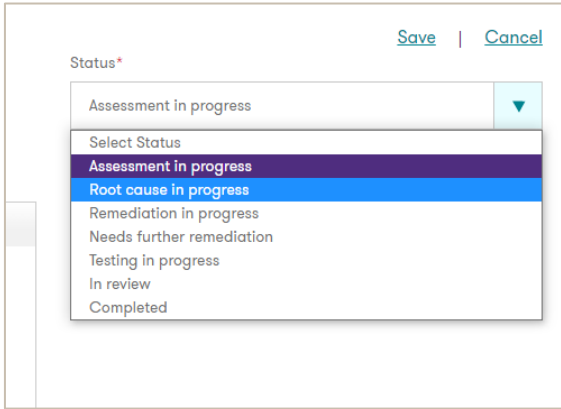
Figure 189: Delete finding confirmation message

To Add a Deficiency

A deficiency is a more severe finding. A deficiency is added when a finding has been evaluated as rising to the level of a deficiency.

When the evaluation of a finding is completed, and the finding rises to the level of a deficiency, a deficiency is added to the finding in qm.x.

When the deficiency is added, the status of the finding should be updated. In the first section of the **Finding** page, select **Edit** to change the status to **Root Cause in Progress** and click **Save**.



Save | Cancel

Status *

Assessment in progress ▼

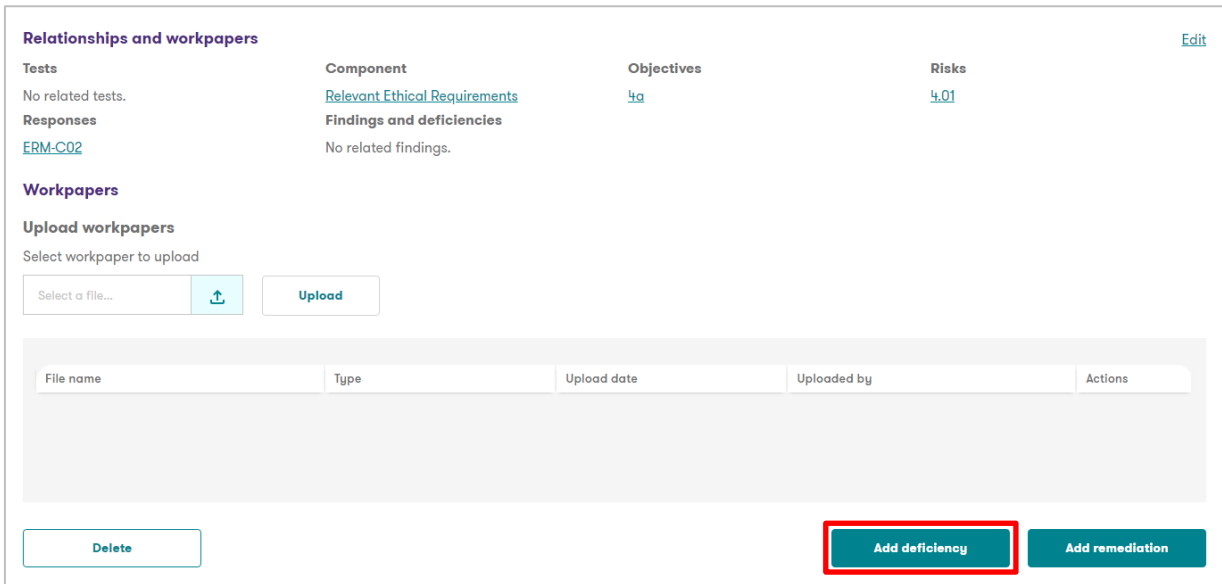
Select Status

- Assessment in progress
- Root cause in progress
- Remediation in progress
- Needs further remediation
- Testing in progress
- In review
- Completed

Figure 190: Status selection

To add a deficiency:

To add a deficiency, at the bottom of the **Finding** page, click the **Add deficiency** button.



Relationships and workpapers [Edit](#)

Tests
No related tests.

Responses
[ERM-C02](#)

Component
[Relevant Ethical Requirements](#)
Findings and deficiencies
No related findings.

Objectives
[4a](#)

Risks
[4.01](#)

Workpapers

Upload workpapers
Select workpaper to upload

Select a file...  [Upload](#)

File name	Type	Upload date	Uploaded by	Actions
-----------	------	-------------	-------------	---------

[Delete](#) [Add deficiency](#) [Add remediation](#)

Figure 191: Add deficiency

The **Deficiency details** section will appear on the **Finding** page.

[Back to overview](#)
[Back to item search](#)

TA Finding340 (F-8)

[Edit](#) | [Comment](#)

Finding description

Status

Assessment in progress

Evaluation: Deficiency

Remediated: NA

Created by [?](#)

K 12/24/2022

Owners* [?](#)

K

Reviewed and approved by* [?](#)

☐ K

Finding details [Edit](#)

Nature of finding: **Objective** Finding type: Finding instance: **New finding**

Is this finding aggregated with other findings?: **No**

Quantitative and qualitative factors

Other qualitative factors

Other responses that address the same risk

Describe any compensating responses

Other supporting information

Other supporting information

Deficiency details [Save](#) | [Cancel](#) | [Remove](#)

Causal factors*

- ☰
- ☷
- B**
- I*
- U
- A
- ▼
- 🔗

Factors that may be appropriate include results of investigations performed as part of the root cause analysis, identifying the reason(s) for the deficiency...

Severity of deficiency*

- ☰
- ☷
- B**
- I*
- U
- A
- ▼
- 🔗

Factors that may be appropriate include whether the deficiency occurred in the design, implementation or operation of the system of quality management, whether compensating responses exist...

Figure 192: Deficiency details section

Pervasiveness of deficiency*

B

I

U

A

Factors that may be appropriate include the magnitude of the deficiency, its frequency, how quickly it occurred, the duration of time it existed and had an effect on the system of quality management...

Other supporting information

B

I

U

A

Factors that may be appropriate include other information relevant to the evaluation of the deficiency

Is the deficiency severe?

Select yes or no...

Is the deficiency pervasive?

Select yes or no...

Select an aggregated finding

Select Finding

Relationships and workpapers

Tests

No related tests.

Responses

No related responses.

Component

[Component1](#)

Findings and deficiencies

No related findings.

Objectives

No related objectives.

Risks

No related risks.

[Edit](#)

Workpapers

Upload workpapers

Select workpaper to upload

Select a file...

Upload

File name	Type	Upload date	Uploaded by	Actions
-----------	------	-------------	-------------	---------

Delete

Add remediation

Figure 193: Deficiency details section (continued)

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To record the required root cause analysis, type information in the applicable text boxes. **Causal factors**, **Severity of deficiency** and **Pervasiveness of deficiency** are required fields. The other fields may be completed as determined necessary for the deficiency identified.

Select **Yes** or **No** to respond to the questions “Is the deficiency severe?” and “Is the deficiency pervasive?”.

Deficiency details

[Save](#) | [Cancel](#) | [Remove](#)

Causal factors*

B

I

U

A

Factors that may be appropriate include results of investigations performed as part of the root cause analysis, identifying the reason(s) for the deficiency...

Severity of deficiency*

B

I

U

A

Factors that may be appropriate include whether the deficiency occurred in the design, implementation or operation of the system of quality management, whether compensating responses exist...

Pervasiveness of deficiency*

B

I

U

A

Factors that may be appropriate include the magnitude of the deficiency, its frequency, how quickly it occurred, the duration of time it existed and had an effect on the system of quality management...

Other supporting information

B

I

U

A

Factors that may be appropriate include other information relevant to the evaluation of the deficiency

Is the deficiency severe?

Is the deficiency pervasive?

Select yes or no...

Select yes or no...

Select an aggregated finding

Select Finding

Figure 194: Expanded Deficiency details

A finding alone may not always rise to the level of a deficiency. However, multiple findings, when considered in combination, may rise to the level of a deficiency. If applicable, select one or more findings to indicate an aggregated finding. Click the **down arrow** ▼ at the right of the **Select Finding** field and select the desired **Finding**. Only completed findings, with a status of Completed and evaluation of Finding, are available for selection. With the selected finding in the **Select Finding** field, click the **right arrow** ► to move the finding from the **Select Finding** field to the box to the right.

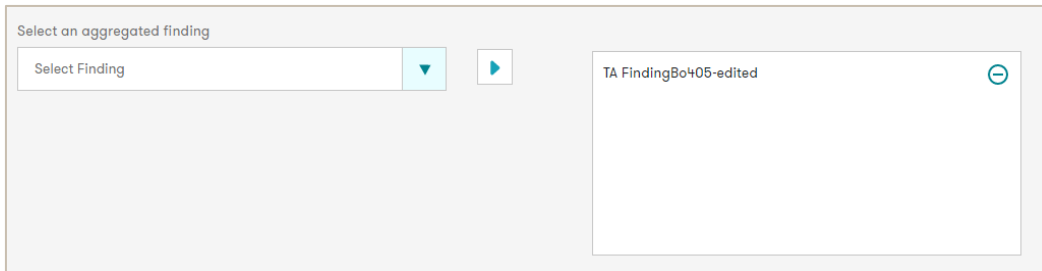


Figure 195: Select aggregated finding

If applicable, repeat this process to add additional findings to the box at the right.

To remove a finding from the box on the right, click the **minus** icon ⊖ to the right of the finding to be removed.

Once the Deficiency details have been completed, click **Save** at the far right.

Notice that the aggregated, related findings will show as a hyperlink under the Finding and deficiencies heading in the **Relationships and workpapers** section of the page.

Relationships and workpapers Edit			
Tests	Component	Objectives	Risks
No related tests.	Relevant Ethical Requirements	4a	4.01
Responses	Findings and deficiencies		
ERM-C02	Test 733593		
	test 720207		

Figure 196: Related Findings and deficiencies

Also, notice that when the deficiency is being added (Figure 197), the **Evaluation** automatically changes to **Deficiency**.

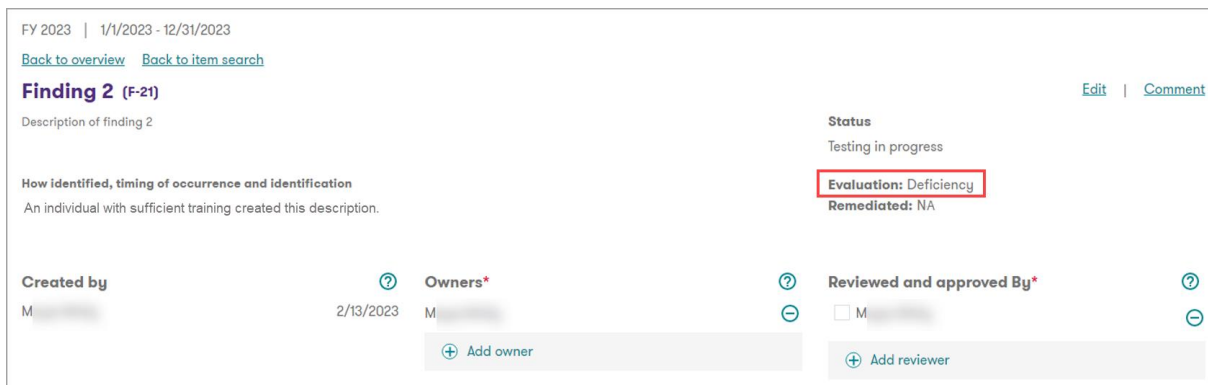


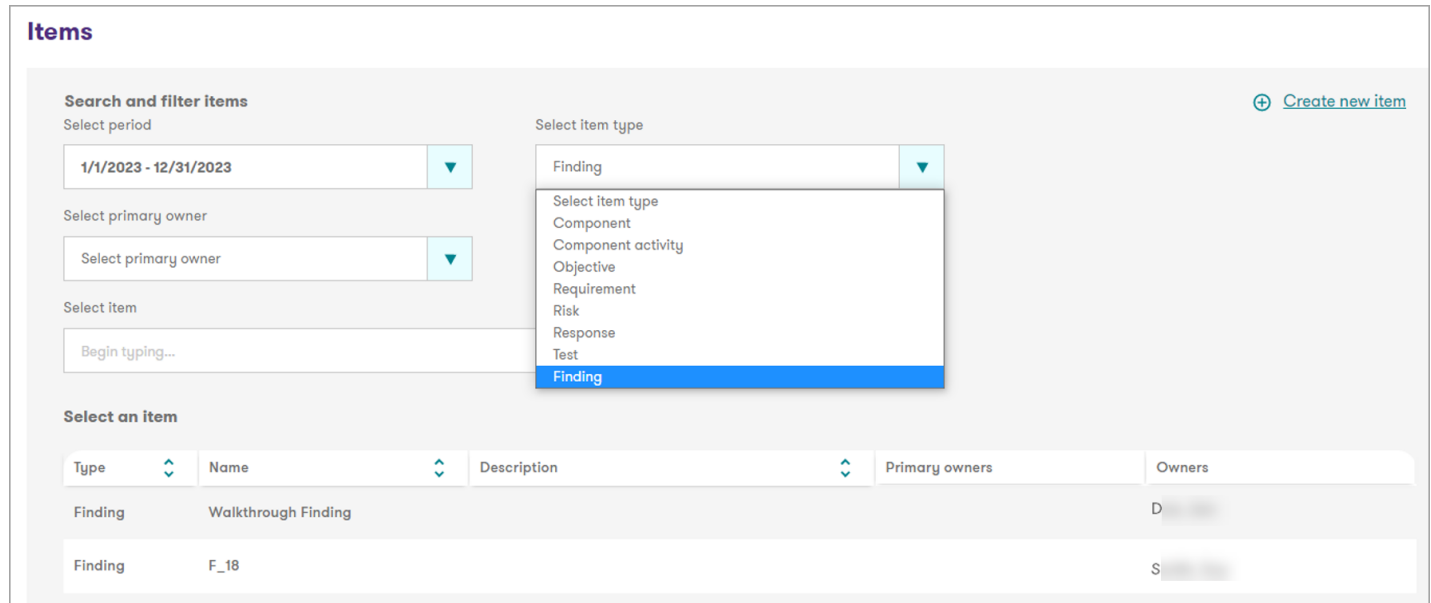
Figure 197: Evaluation - Deficiency

To Edit a Deficiency

To edit a deficiency:

In the **Items** page, in the **Select item type** field, click to select **Finding**.

In the **Select an Item** section, click on the **row** with the desired Finding.



The screenshot shows the 'Items' page interface. On the left, under 'Search and filter items', there are three filters: 'Select period' (1/1/2023 - 12/31/2023), 'Select primary owner' (Select primary owner), and 'Select item' (Begin typing...). On the right, the 'Select item type' dropdown menu is open, showing a list of options: 'Select item type', 'Component', 'Component activity', 'Objective', 'Requirement', 'Risk', 'Response', 'Test', and 'Finding' (which is highlighted in blue). In the top right corner, there is a '+ Create new item' link. Below the filters, the 'Select an item' section contains a table with columns: Type, Name, Description, Primary owners, and Owners. The table has two rows: one for 'Finding Walkthrough Finding' and another for 'Finding F_18'.

Type	Name	Description	Primary owners	Owners
Finding	Walkthrough Finding			D
Finding	F_18			S

Figure 198: Select a Finding to edit

The **Finding** page will display.

[Back to overview](#)
[Back to item search](#)

Finding 001 (F-151)

[Edit](#) | [Comment](#)

Status
Assessment in progress

Evaluation: Deficiency
Remediated: NA

Created by [?](#)
S

Owners* [?](#)
4/17/2023 S

Reviewed and approved by* [?](#)
☐ S

Finding details

Nature of finding: **Objective**

Finding type: **Design**

Finding instance: **New finding**

Is this finding aggregated with other findings?: **No**

Quantitative and qualitative factors
ABC

Other responses that address the same risk

Other supporting information

Deficiency details

Causal factors

Severity of deficiency

Pervasiveness of deficiency

Other supporting information
ABC

Is the deficiency severe?

Is the deficiency pervasive?

Relationships and workpapers

Tests	Component	Objectives	Risks
Test 001	No related components.	No related objectives.	No related risks.
Responses No related responses.	Findings and deficiencies No related findings.		

Workpapers

Select a file...



Upload

File name	Type	Upload date	Uploaded by	Actions
Delete Add remediation				

Figure 199: Finding page

Navigate to the **Deficiency details** section of the page and click **Edit** in the top right corner of that section.

Deficiency details
[Edit](#)

Causal factors
Severity of deficiency
Pervasiveness of deficiency
Other supporting information
ABC
Is the deficiency severe?
Is the deficiency pervasive?

Figure 200: Edit Deficiency details

Make the necessary updates to the deficiency details and click **Save** or **Cancel** to discard all changes.

Deficiency details
[Save](#) | [Cancel](#) | [Remove](#)

Causal factors*

B
I
U
A

An individual with sufficient training created the response.

Severity of deficiency*

B
I
U
A

This deficiency is low in severity.

Figure 201: Save Deficiency details

To Remove a Deficiency

To remove a deficiency, navigate to the **Deficiency details** section of the page and click **Edit** in the top righthand corner of that section.

Deficiency details
[Edit](#)

Causal factors
An individual with sufficient training created the response.

Severity of deficiency
This deficiency is low in severity.

Pervasiveness of deficiency
This deficiency is not pervasive.

Other supporting information
ABC

Is the deficiency severe?
No

Is the deficiency pervasive?
No

Figure 202: Deficiency details

When the deficiency details expand, click **Remove** at the top right-hand corner of the section.

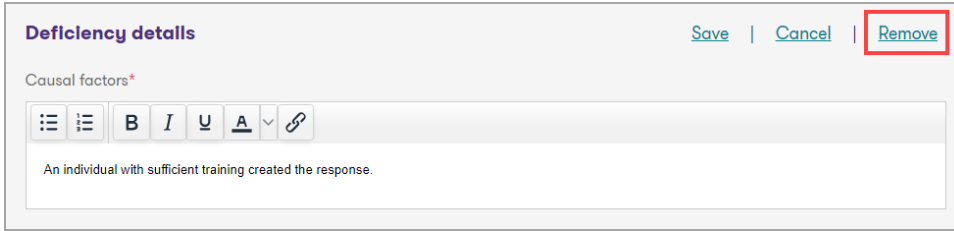


Figure 203: Deficiency details

NOTE: Selecting **Remove** from the top right-hand side of the **Deficiency details** section only removes the added deficiency details. The initial **Finding** and the information added to the **Finding** will remain.

If you attempt to remove the **Deficiency details** section and there is a relationship established with a Finding, a popup message will display "All relationships to findings must be removed before this deficiency can be downgraded to a finding". Click **OK** to close the popup.

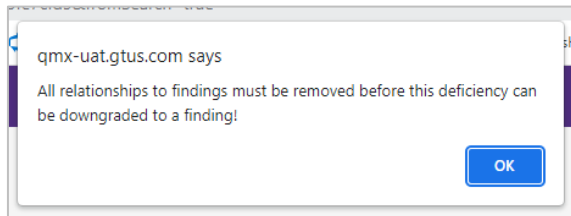


Figure 204: Message to alert all relationships must be removed in order to remove deficiency

Proceed with removing the related findings from the **Deficiency details** section where aggregated findings were selected.

To remove a finding from the aggregated finding box, click the **minus** icon  to the right of the finding to be removed. Once all relationships to findings are removed, the deficiency can be removed by clicking **Remove** at the top right-hand corner of the **Deficiency details** section.

To Add a Remediation

A **Remediation** is optional for an item that is evaluated as a finding but is required when a deficiency is added. Follow the same process for adding a remediation to a finding or to a deficiency.

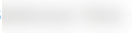
At the bottom of the **finding** page, click the **Add remediation** button.

[Back to overview](#)
[Back to item search](#)

Finding 001 (F-151)
[Edit](#) | [Comment](#)

Status
 Assessment in progress

Evaluation: Deficiency
Remediated: NA

Created by [?](#)
 S 

Owners* [?](#)
 4/17/2023 S 

Reviewed and approved by* [?](#)
☐ S 

Finding details [Edit](#)

Nature of finding: **Objective**
 Finding type: **Design**
 Finding instance: **New finding**

Is this finding aggregated with other findings?: **No**

Quantitative and qualitative factors
 ABC

Other responses that address the same risk

Other supporting information

Deficiency details [Edit](#)

Causal factors

Severity of deficiency

Pervasiveness of deficiency

Other supporting information
 ABC

Is the deficiency severe?

Is the deficiency pervasive?

Relationships and workpapers [Edit](#)

Tests Test 001	Component No related components.	Objectives No related objectives.	Risks No related risks.
Responses No related responses.	Findings and deficiencies No related findings.		

Workpapers

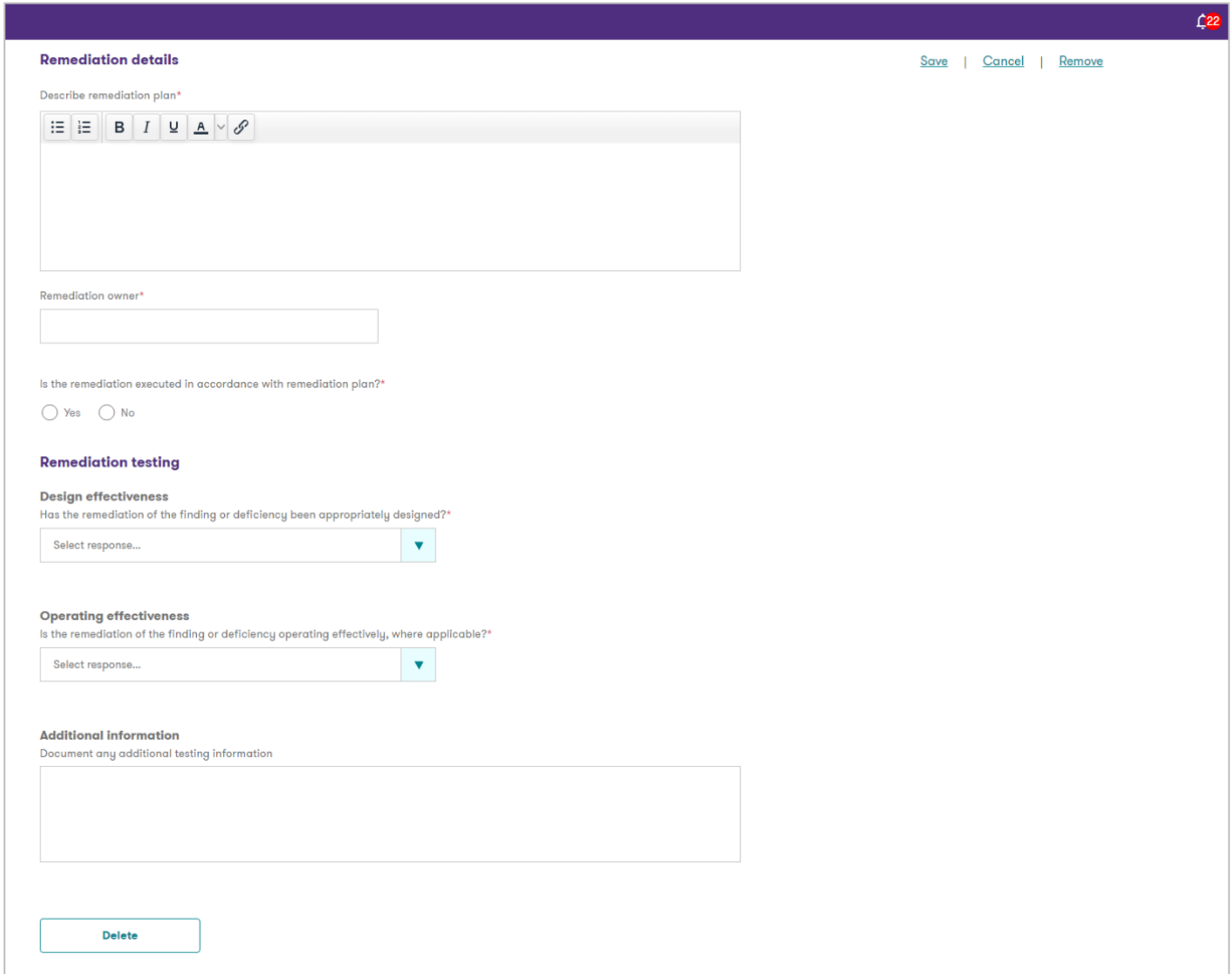
Select a file... 

Upload

File name	Type	Upload date	Uploaded by	Actions
Delete Add remediation				

Figure 205: Finding page / Add remediation

The **Remediation details** will expand to edit.



The screenshot shows a web form titled "Remediation details" with a purple header bar. In the top right corner of the header, there is a red notification icon with the number "22". Below the header, the form contains several sections:

- Remediation details**: A section with a "Save | Cancel | Remove" link set in the top right. It includes a required field "Describe remediation plan*" with a rich text editor toolbar (bulleted list, numbered list, bold, italic, underline, text color, link) and a large text area.
- Remediation owner***: A required text input field.
- Is the remediation executed in accordance with remediation plan?***: A question with two radio button options: "Yes" and "No".
- Remediation testing**: A section containing two sub-sections:
 - Design effectiveness**: A required question "Has the remediation of the finding or deficiency been appropriately designed?*" followed by a dropdown menu labeled "Select response..." with a downward arrow.
 - Operating effectiveness**: A required question "Is the remediation of the finding or deficiency operating effectively, where applicable?*" followed by a dropdown menu labeled "Select response..." with a downward arrow.
- Additional information**: A section with the label "Document any additional testing information" and a large text area.
- Delete**: A button located at the bottom left of the form.

Figure 206: Remediation details

Describe the remediation plan is a required field and provides details of the proposed remediation of the item to which the deficiency relates. Alternatively, a detailed remediation plan may be uploaded from the **Upload workpapers** section at the bottom of the Finding page, and this field may be used to provide an overview of that plan.

In the **Remediation owner** field, add the name of the individual or individuals responsible for ensuring that the remediation is executed in accordance with the remediation plan.

A response is required to the question "**Is the remediation executed in accordance with remediation plan?**". Indicate the response by clicking either the **Yes** or **No** button.

If **No** is selected, a text box will be displayed. Use this box to describe the changes and to confirm that the remediation procedures remain appropriate or to document further remediation procedures necessary.

Is the remediation executed in accordance with remediation plan?*

☐ Yes
 ☒ No

If no, what changed in the remediation plan?*

Figure 207: Remediation plan change field

When the **Remediation details** section has been completed, click **Save** at the top right corner of the **Remediation details** section or continue by scrolling to the **Remediation testing** section.

In the **Finding** section of the item at the top of the page (Figure 208), click **Edit** to change the **Status** to **Remediation in Progress**.

Default | 1/1/2022 - 12/31/2022

[Back to overview](#)
[Back to item search](#)

Name*

Finding GAL-01

Description

Comment/review note box

Save | Cancel

Status*

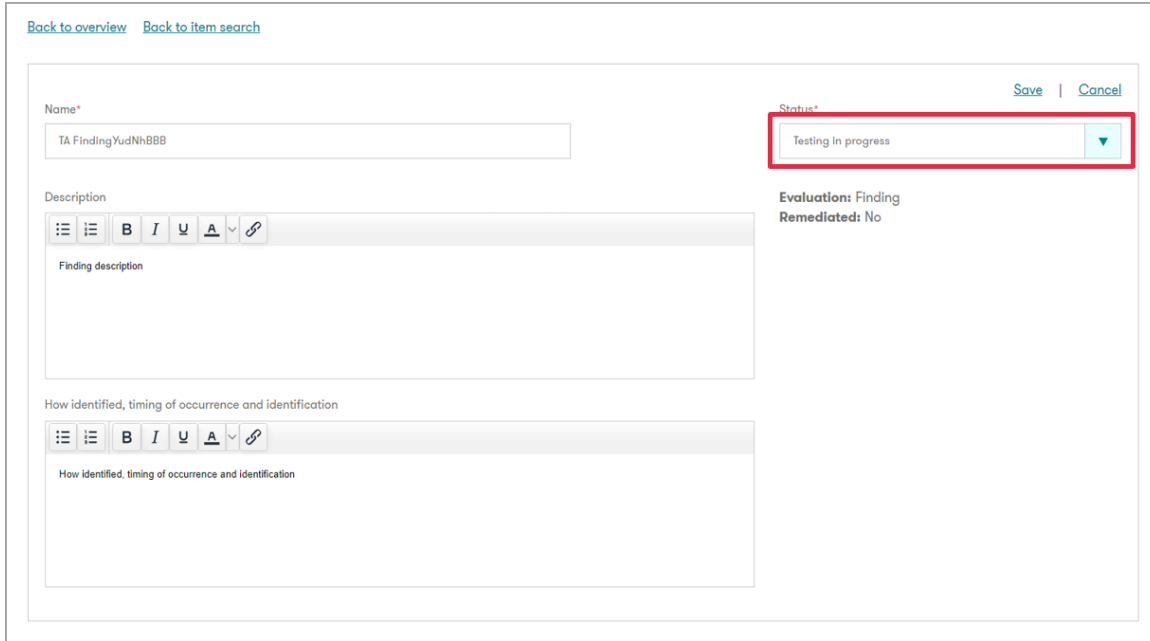
Remediation in progress ▼

Evaluation: Finding

Figure 208: Change Status on the Finding page

Remediation testing

When testing is underway, click **Edit** to change the **Status** to **Testing in Progress** in the **Finding** section at the top of the page (Figure 209).



Back to overview | Back to item search

Name*
TA FindingYudNhBB8

Status*
Testing in progress

Save | Cancel

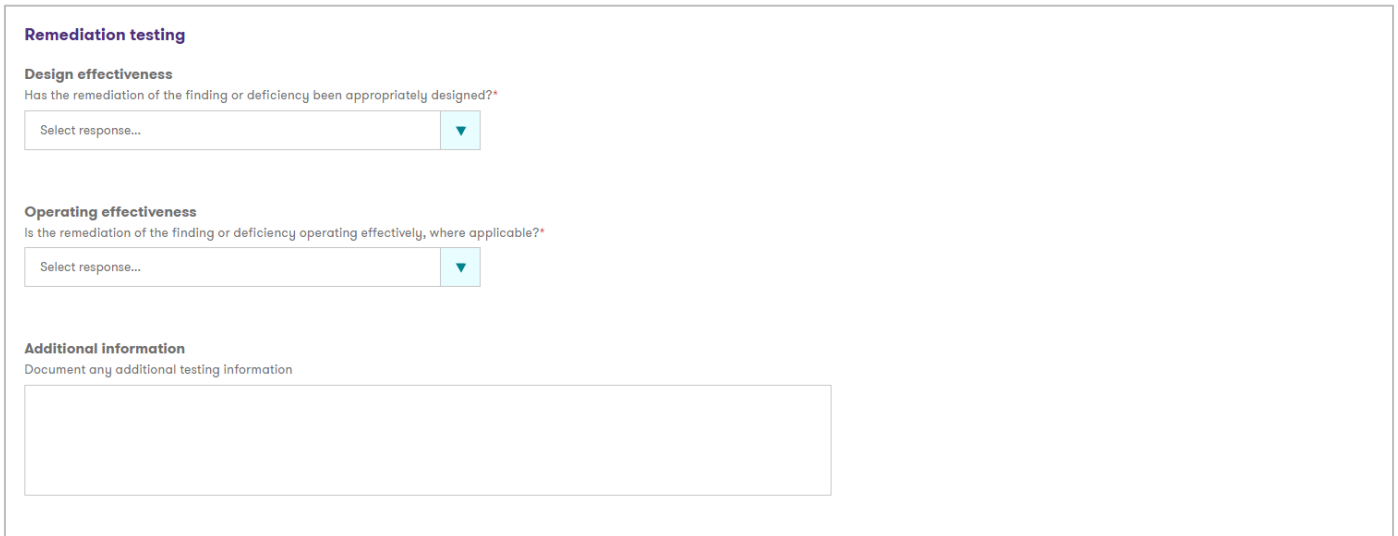
Description
Finding description

How identified, timing of occurrence and identification
How identified, timing of occurrence and identification

Evaluation: Finding
Remediated: No

Figure 209: Change Status on the Finding page

Once the remediation testing has been completed, the **Remediation testing** section is used to record the results of the testing of the remediation.



Remediation testing

Design effectiveness
Has the remediation of the finding or deficiency been appropriately designed?*

Select response...

Operating effectiveness
Is the remediation of the finding or deficiency operating effectively, where applicable?*

Select response...

Additional information
Document any additional testing information

Figure 210: Remediation Testing

In the **Remediation testing** section, the **Design effectiveness** field indicates the appropriate response based on whether the remediated item is now appropriately designed. Click on the field and select **Yes**, **No** or **Not applicable**.

If No is selected, a message will show to remind you that *Another finding needs to be created by clicking "Add Finding" again on either the related test or related component.*

Remediation testing

Another finding needs to be created by clicking “Add Finding” again on either the related test or related component.

Design effectiveness

Has the remediation of the finding or deficiency been appropriately designed?*

No

Operating effectiveness

Is the remediation of the finding or deficiency operating effectively, where applicable?*

Select response...

Additional information

Document any additional testing information

Figure 211: Message on selecting No for Design effectiveness

Select the appropriate **Operating effectiveness** response based on whether the remediated item is now operating effectively. Click on the field and select **Yes**, **No** or **Not applicable**.

If No is selected, a message will show to remind you that *Another finding needs to be created by clicking “Add Finding” again on either the related test or related component.*

Remediation testing

Another finding needs to be created by clicking “Add Finding” again on either the related test or related component.

Design effectiveness

Has the remediation of the finding or deficiency been appropriately designed?*

Select response...

Operating effectiveness

Is the remediation of the finding or deficiency operating effectively, where applicable?*

No

Additional information

Document any additional testing information

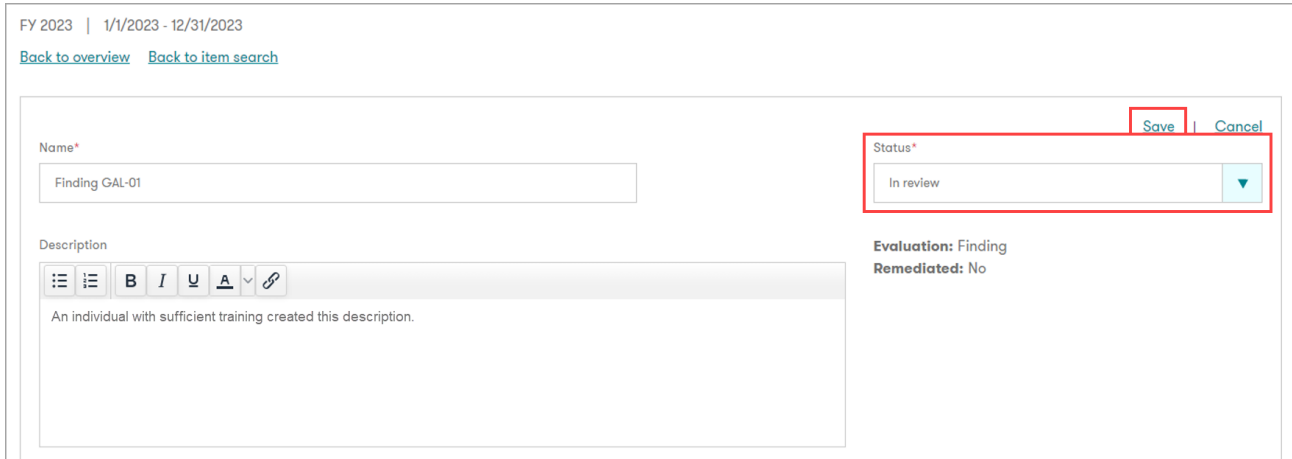
Figure 212: Message on selecting No for Operating effectiveness

The **Additional information** field can be used to document any other information relevant to the remediation testing, including, for example, details of remediation testing, results or conclusions of the

remediation test procedures or commentary on the appropriateness of any new quality objectives or newly identified or assessed risks.

If the remediation is being reviewed, change the status to **In Review**.

To save the remediation, click **Save** at the top right corner of the **Remediation details** section.



FY 2023 | 1/1/2023 - 12/31/2023
[Back to overview](#) [Back to item search](#)

Name*
 Finding GAL-01

Description
 An individual with sufficient training created this description.

Status*
 In review

Save Cancel

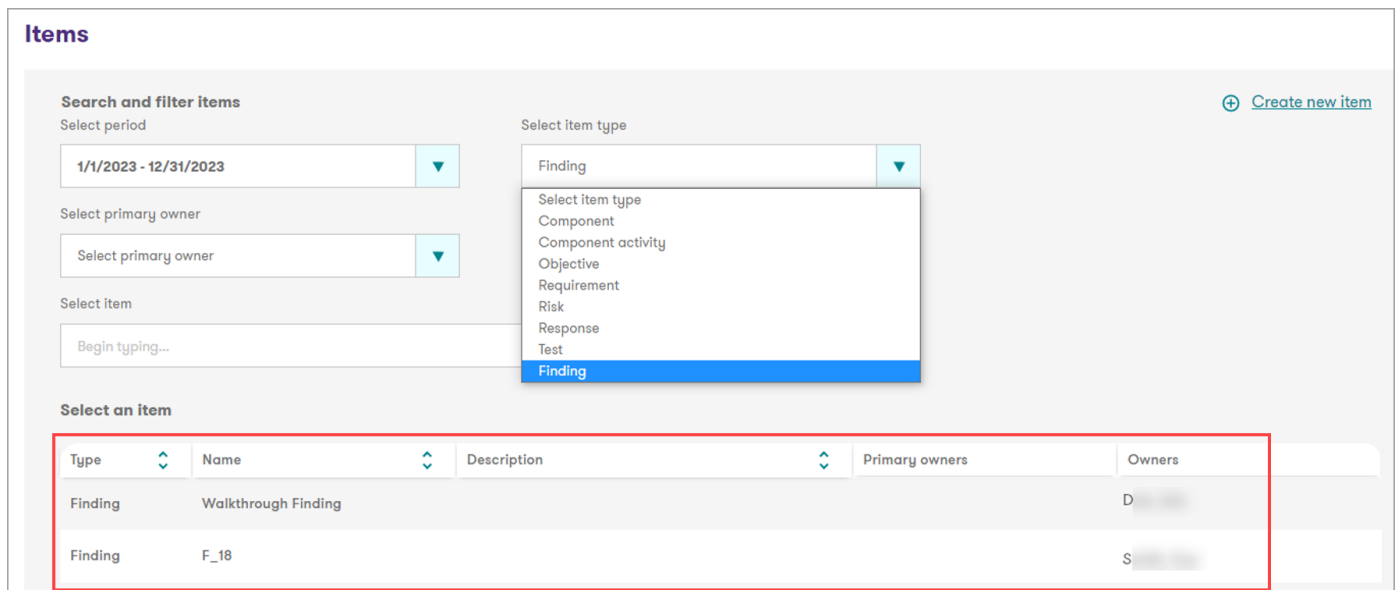
Evaluation: Finding
 Remediated: No

Figure 213: Save remediation

To Edit a Remediation

To edit a remediation:

In the **Items** page, in the **Select item type** field (Figure 214), click to select **Finding**.



Items

Search and filter items

Select period
 1/1/2023 - 12/31/2023

Select primary owner
 Select primary owner

Select item
 Begin typing...

Select item type
 Finding

Select item type
 Component
 Component activity
 Objective
 Requirement
 Risk
 Response
 Test
 Finding

Select an item

Type	Name	Description	Primary owners	Owners
Finding	Walkthrough Finding			D
Finding	F_18			S

Figure 214: Select a Finding to edit

The **Findings** page will display.

[Back to overview](#)
[Back to item search](#)

Finding 001 (F-151)
[Edit](#) | [Comment](#)

Status
 Assessment in progress

Evaluation: Deficiency
Remediated: No

Created by ⓘ
 S ██████████

Owners* ⓘ
 4/17/2023 S ██████████

Reviewed and approved by* ⓘ
☐ S ██████████

Finding details [Edit](#)
 Nature of finding: **Objective** Finding type: **Design** Finding instance: **New finding**
 Is this finding aggregated with other findings?: **No**
Quantitative and qualitative factors
 ABC
Other responses that address the same risk
Other supporting information

Deficiency details [Edit](#)
Causal factors
 An individual with sufficient training created the response.
Severity of deficiency
 This deficiency is low in severity.
Pervasiveness of deficiency
 This deficiency is not pervasive.
Other supporting information
 ABC
Is the deficiency severe?
 No
Is the deficiency pervasive?
 No

Relationships and workpapers [Edit](#)

Tests	Component	Objectives	Risks
Test 001 Responses No related responses.	No related components. Findings and deficiencies No related findings.	No related objectives.	No related risks.

Workpapers

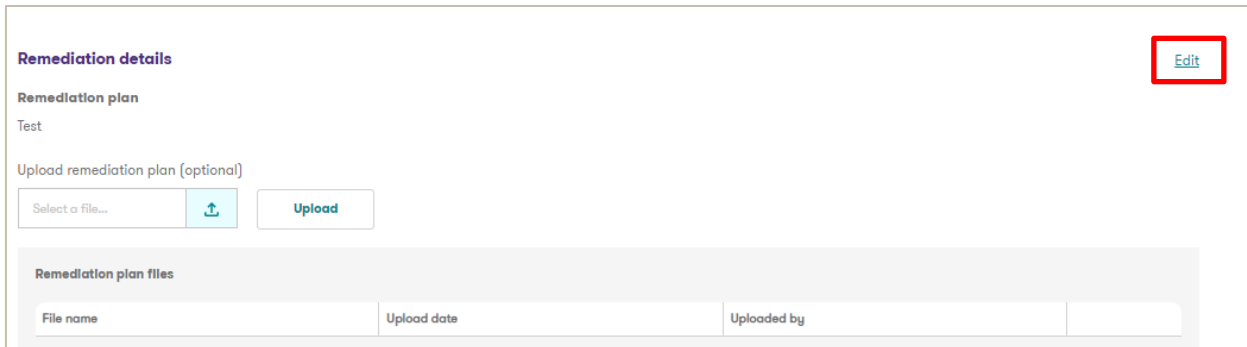
Select a file...

File name	Type	Upload date	Uploaded by	Actions
-----------	------	-------------	-------------	---------

Remediation details [Edit](#)
Remediation plan
 An individual with sufficient training created this description.
 Owner: T
 Is the remediation executed in accordance with remediation plan? **Yes**
Remediation testing
Design effectiveness
 Is the response appropriately designed to address the risk to meeting the quality objective? **Yes**
Operating effectiveness
 Is the response operating effectively? **Yes**
Additional information
 Document any additional testing information.
 Documentation of additional testing information.

Figure 215: Edit finding page

Scroll down the Findings page to the **Remediation details** section of the page and select **Edit** in the top righthand corner of that section.



Remediation details [Edit](#)

Remediation plan

Test

Upload remediation plan (optional)

Select a file...  **Upload**

Remediation plan files

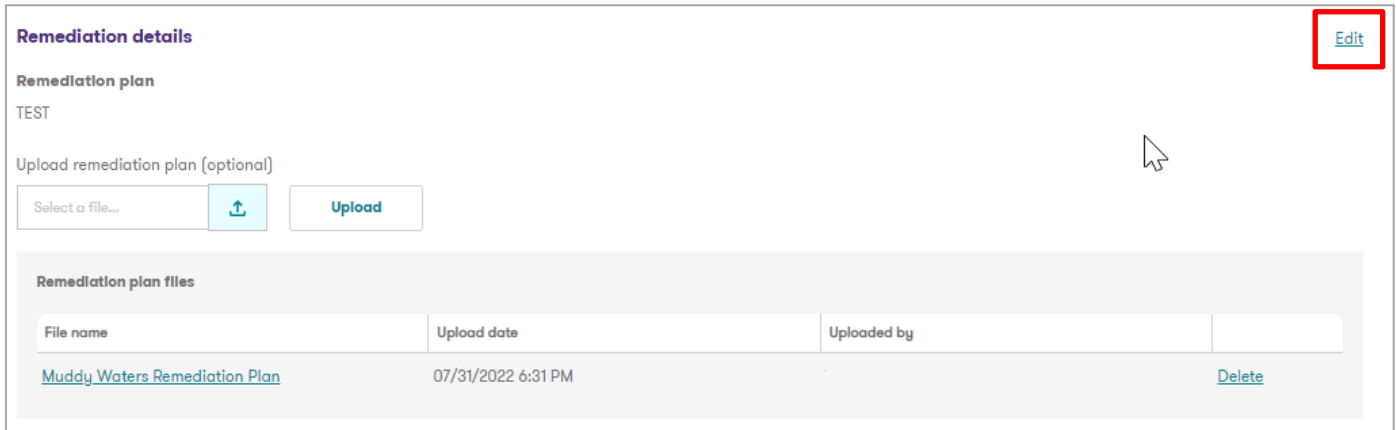
File name	Upload date	Uploaded by
-----------	-------------	-------------

Figure 216: Edit remediation details

Make any necessary updates to the section and click **Save**.

To Remove a Remediation

To remove a remediation, navigate to the **Remediation details** section of the page and select **Edit** in the top righthand corner of that section.



Remediation details [Edit](#)

Remediation plan

TEST

Upload remediation plan (optional)

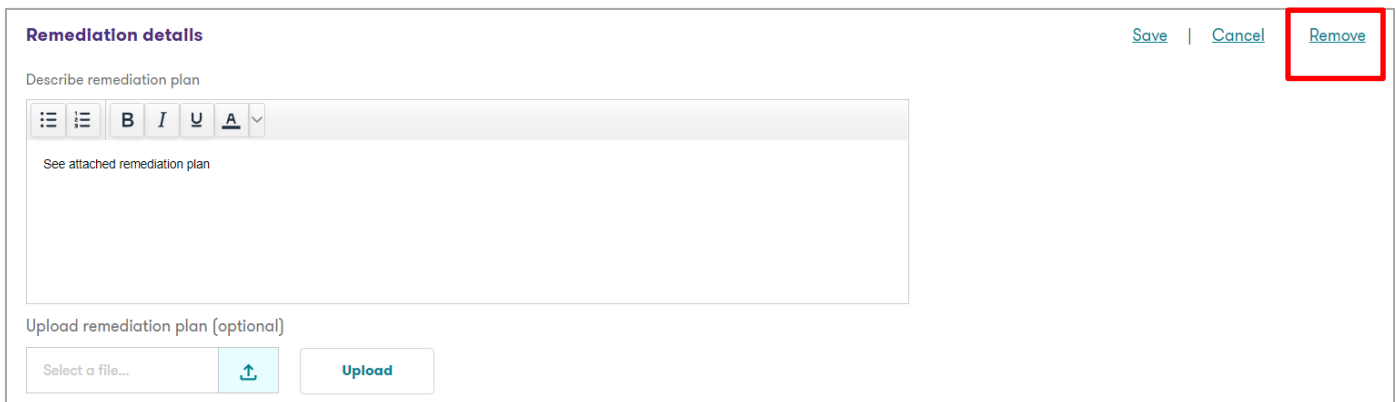
Select a file...  [Upload](#)

Remediation plan files

File name	Upload date	Uploaded by	
Muddy Waters Remediation Plan	07/31/2022 6:31 PM		Delete

Figure 217: Edit a remediation

When the remediation details expand, select **Remove** at the top right-hand corner of the section.



Remediation details [Save](#) | [Cancel](#) [Remove](#)

Describe remediation plan

  **B** *I* U  ▼

See attached remediation plan

Upload remediation plan (optional)

Select a file...  [Upload](#)

Figure 218: Remove a remediation

NOTE: Selecting **Remove** from the top right-hand side of the **Remediation section** only deletes the Remediation section. The initial **Finding** and / or **Deficiency** and the information added to the **Finding** and or **Deficiency** will not be deleted.

Comments

Comments can be added to all items in qm.x. Any user in qm.x can comment on any item. Comments are used as a means of communication between item owners, testers, reviewers and others involved in the maintenance and operation of the SoQM. Comments facilitate the management of, and updates to items in the SoQM and are required to be deleted from the Evaluation period before the evaluation is completed and the period is locked.

To Create a Comment

A comment is created in the same manner for all of the items in the qm.x application. If you are not already in the desired item, navigate to the item using either the [Item search or the Hierarchy view](#) as described earlier in the User Guide.

To create a comment, click on the **Comment** button (Figure 219) located at the top right-hand side of the items for which you want to raise the comment.

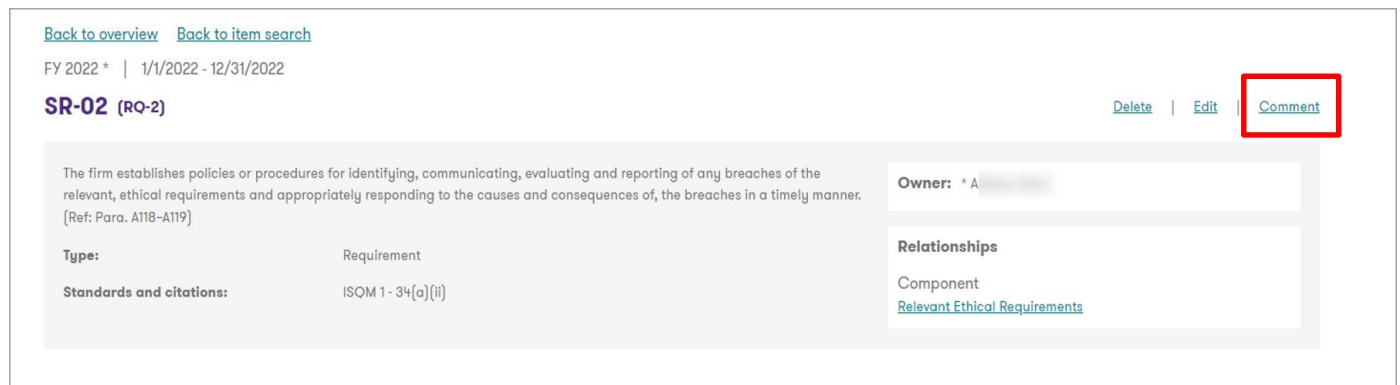


Figure 219: To create a comment

A “comment pane” will open with a comment box on the right-hand side of the page. The title at the top of the comments pane indicates the item within qm.x that the comment pertains to. Underneath the title are the filters **All**, **Open** and **Resolved**. These can be used to filter the comments displayed.

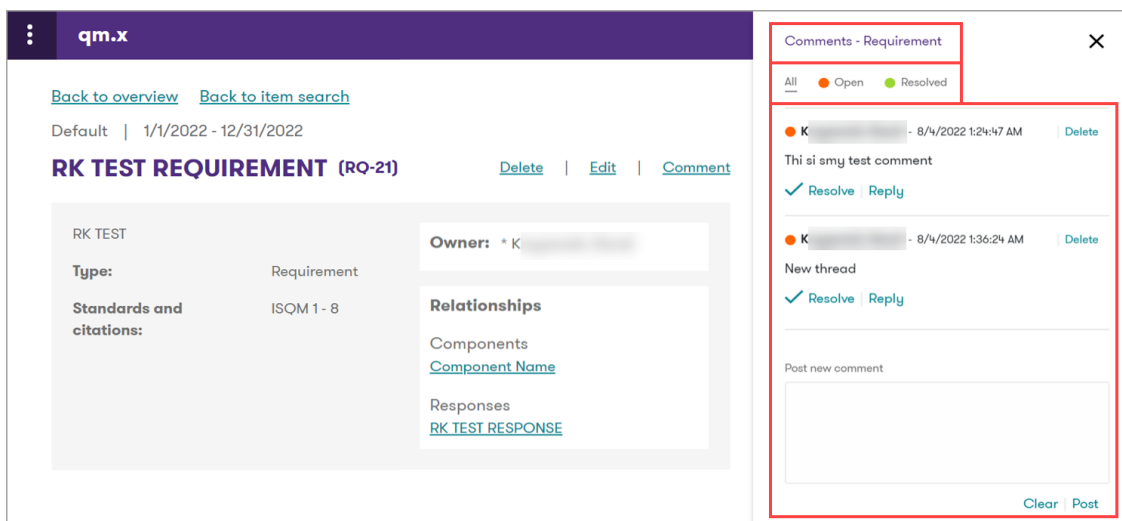


Figure 220: Comment pane

The available filter options are:

- **All** – Shows all comments.
- **Open** – Shows all the comments that are in Open status. These are comments that are newly added or that have not been addressed.
- **Resolved** – Shows all the comments that are in Resolved status. These are comments that have been satisfactorily addressed.

When a comment is **open** an **orange circle** will display next to the comments tab, the item page, and the individual's name (Figure 221). When a comment is resolved that **circle** will be **green**.

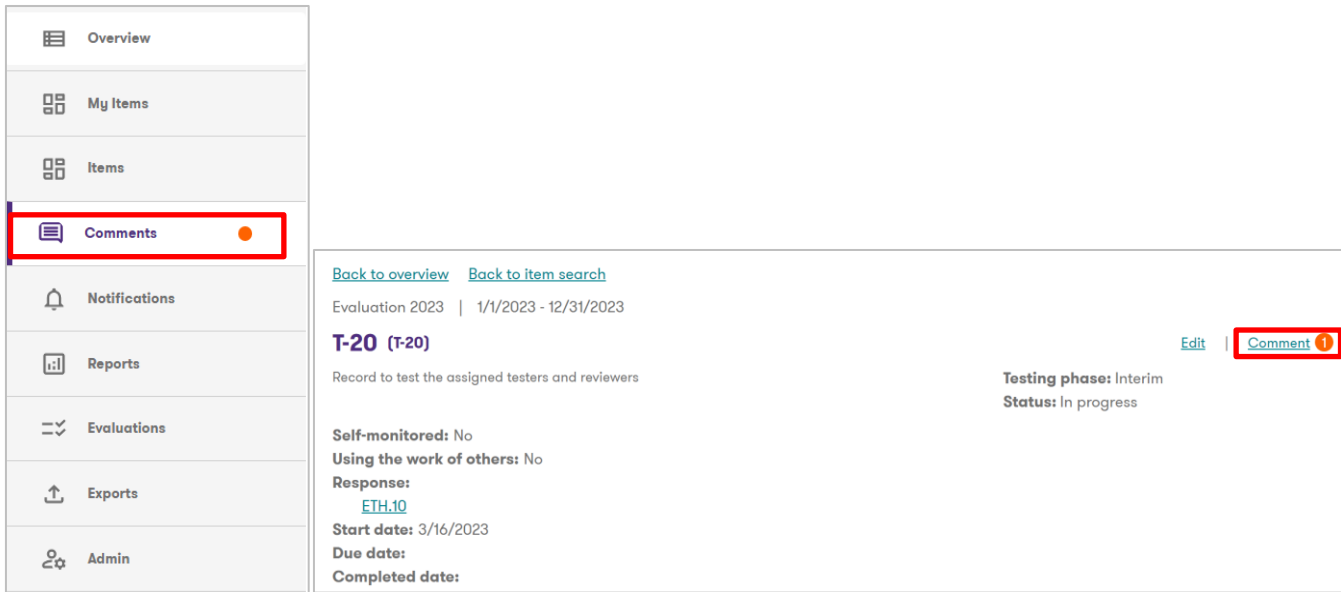
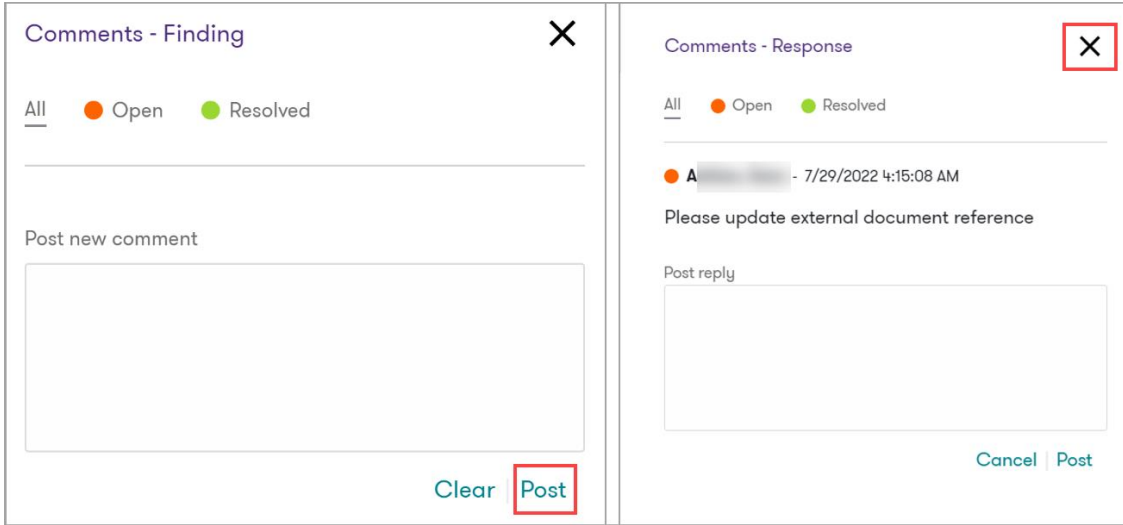


Figure 221: Open comments

When the comment pane is opened, an open text box is displayed. If this is the first comment written, the text box will display directly under the filtering options. For subsequent comments, the open text box will display directly under the previous comment.

To leave a comment for another user of qm.x, click in the **Post new comment** field and begin typing. To direct the comment to a specific qm.x user, use @ in conjunction with the name of that user.

Underneath the text box are two options: Clear and Post. Select **Clear** if you no longer want to leave a comment. Select **Post** to leave the comment.



Comments - Finding ✕

All ● Open ● Resolved

Post new comment

Clear Post

Comments - Response ✕

All ● Open ● Resolved

● A - 7/29/2022 4:15:08 AM

Please update external document reference

Post reply

Cancel | Post

Figure 222: To post a comment and posted comment

Clicking **X** at the top right-hand corner will close the comment pane.

Once a comment has been posted, the name of the individual will display along with the full date and time that the comment was left.

Next to the time and date the comment was created are the options to **Edit** or **Delete** the comment. Select **Edit** if you want to make changes to the comment. Note: You will only have the ability to edit comments that you created. If the comment was created by another qm.x user, **Edit** will not display on the comment. Select **Delete** if you want to remove the comment completely from the item. Note: You will only have the ability to delete comments that you created.

Once a comment has been posted the options to **Resolve** the comment or to **Reply** to the comment display. **Resolve** may be selected if the comment has been satisfactorily resolved. **Reply** may be selected to allow others to respond to the comment using the comment functionality.

The options to **Reply** or **Resolve** are only available for comments that are in Open status.

To reply to an existing comment, click on the **reply** button right below the existing comment that is in **Open status**. A comment box will appear right below original comment.

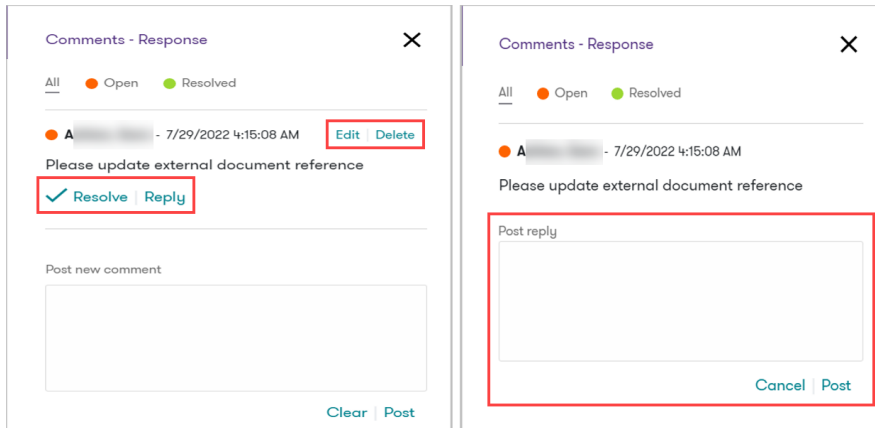


Figure 223: To reply to an existing comment

Click in the **Post reply** field to type in the response to the comment and click **Post**.

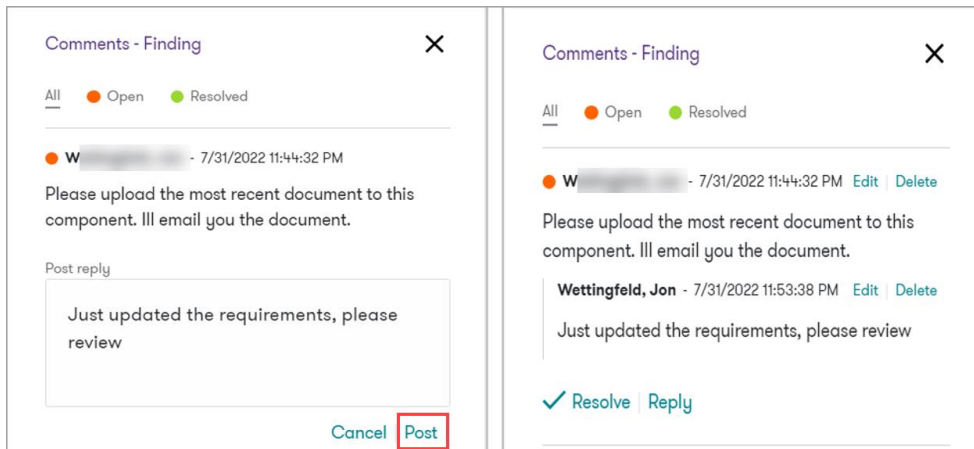


Figure 224: Post reply

If you decide not to post any reply and want to close the “**Post reply**” comment box, click **Cancel**. The “Post reply” comment box will disappear.

To Edit or Delete a Comment

Comments may be edited or deleted by the individual who created the comment.

To edit to your own comment, click **edit**. A comment box will appear with the original comment.

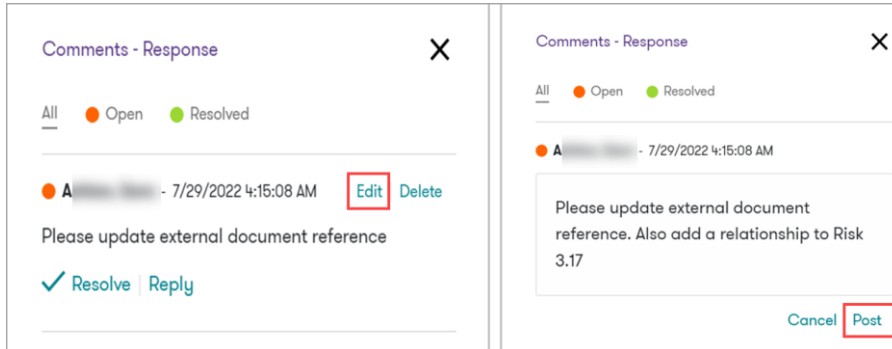


Figure 225: To edit own comment and post

Make the necessary changes to the comment in the comment box and click **Post**.

To delete to an existing comment, click **delete**.

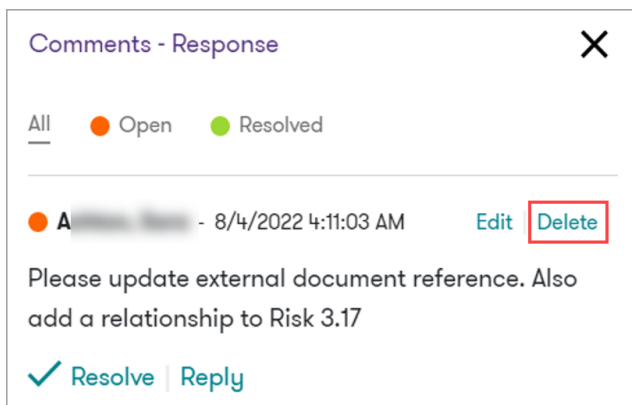


Figure 226: To delete an existing comment

A confirmation message will ask, “Are you sure you want to delete this comment?”

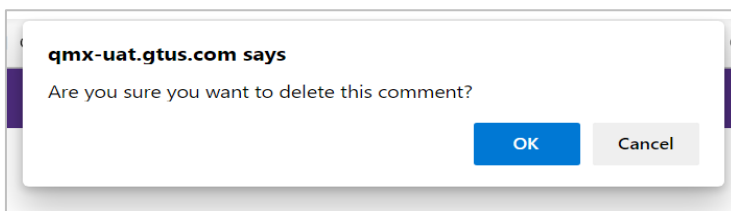


Figure 227: Delete comment confirmation message

To complete the delete, click **OK**.

NOTE: Before an evaluation period can be locked and rolled forward, all comments raised during the evaluation period must be deleted. The System Administrator can delete all comments as part of the process to close the evaluations period. All comments must be resolved and marked as resolved before the System Administration can perform this function.

To Resolve an Existing Comment

Any user can resolve any comment or comment thread that is in an Open status. Resolving means marking the comment as addressed.

To resolve an existing comment, click **Resolve**.

The resolution details (resolved by and date and time resolved) will be shown right below the resolved comment.

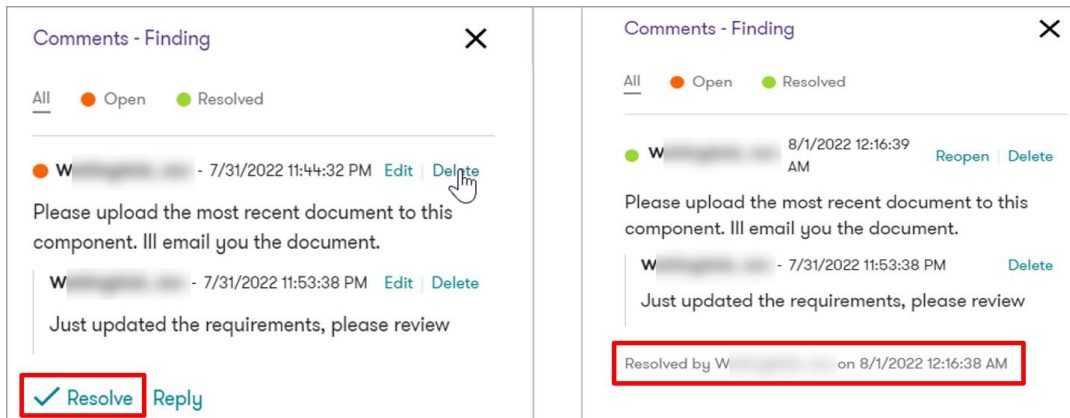


Figure 228: To resolve an existing comment

Once a comment has been marked as resolved, it will be displayed when the **All** or **Resolved** filter is used. To locate the resolved comment, select the **Resolved** filter at the top of the comment pane.

If a comment has been marked as resolved in error, the comment may be reopened. **To reopen a resolved comment**, click **Reopen** which is located next to the date and time that the comment was originally created.

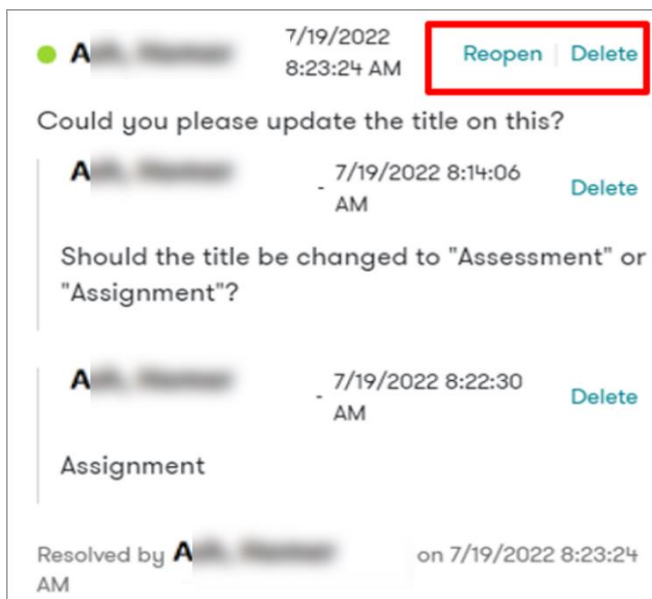


Figure 229: To reopen a resolved comment

A confirmation message will ask, "Are you sure you want to reopen this comment thread?"

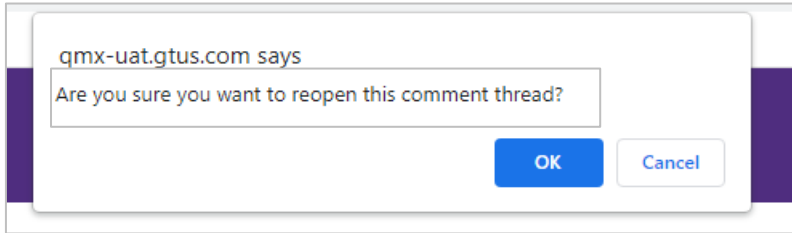


Figure 230: Confirmation message (reopen comment)

To confirm, click **OK**.

The comment will revert to open status with the new timestamp (Figure 231). Once the comment is reopened, it may be edited, deleted, resolved or a new reply may be created. **To close the comment pane**, click **X** at the top right-hand corner of the comment box.

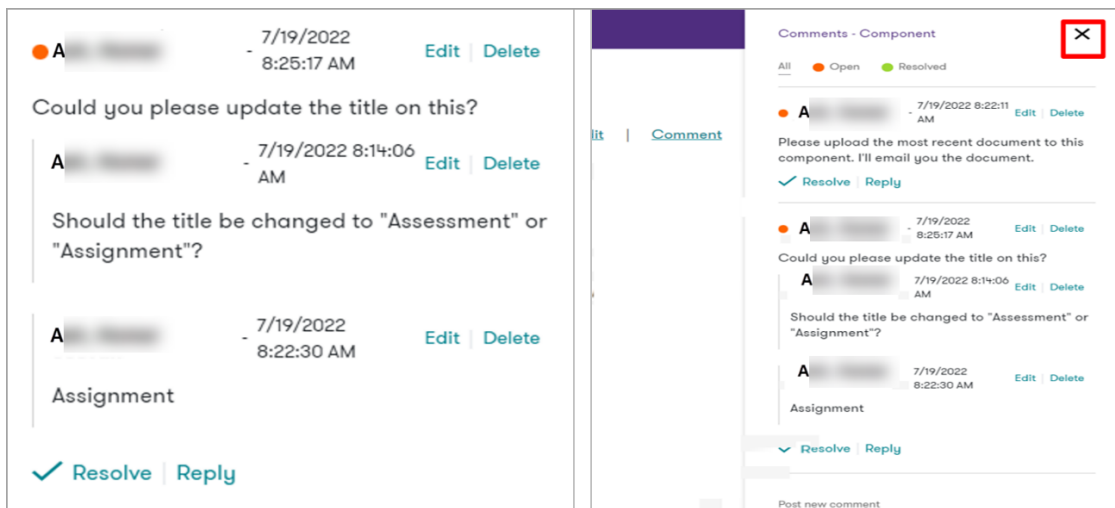


Figure 231: Comment is reopened

Comments View

The **Comments view** provides a summary of all comments that have been created by all users in respect to all item types in the SoQM. This view facilitates the management of, and easy navigation to specific comments within qm.x.

To Display Comments view

From any page in qm.x, in the navigation pane on the left click **Comments** (Figure 232).

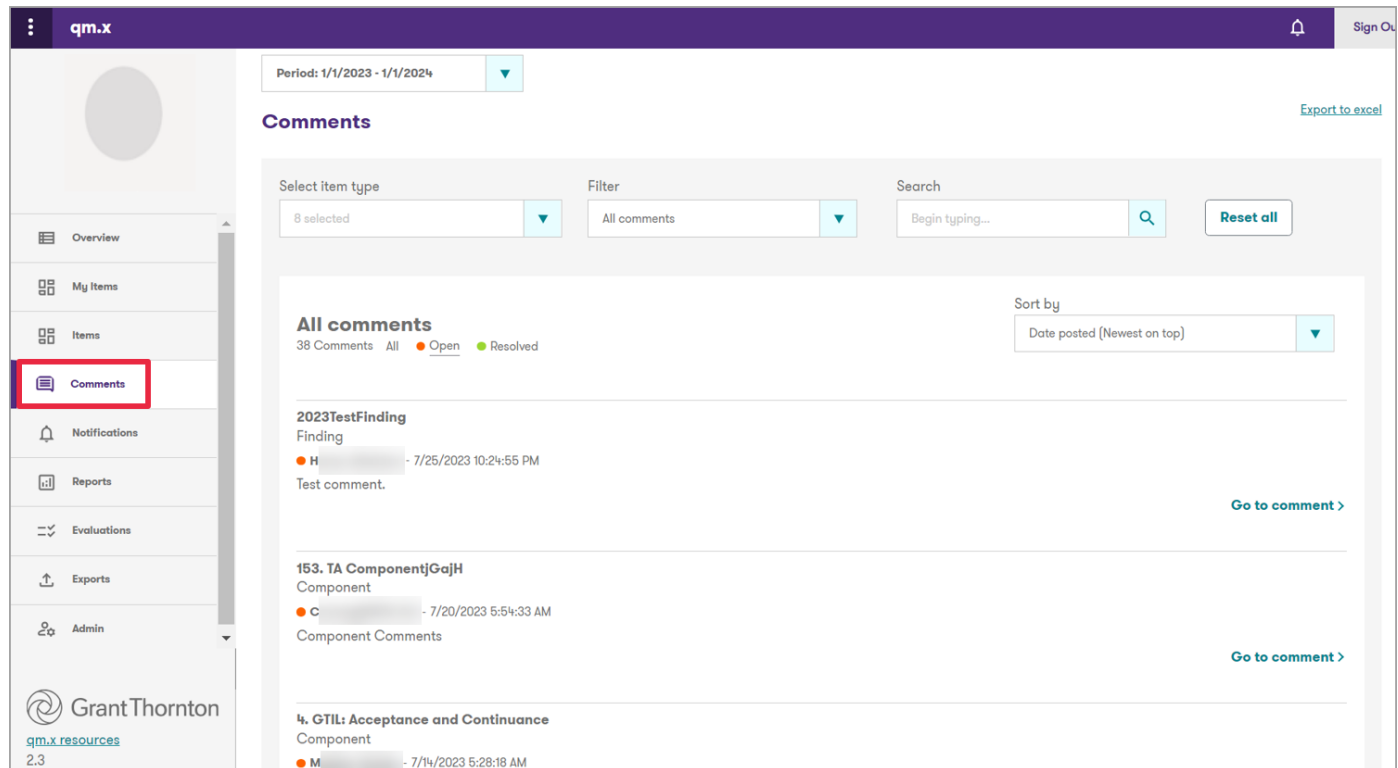


Figure 232: Comments menu and page

At the top left-hand side of the page is the period in which the comments have been raised. Although you can change the period displayed, all comments are deleted from the application before a period is locked and rolled forward. Comments will therefore only be displayed for the current period and where more than one period is open, a future period.

There are several ways to filter the comments. Comments can be filtered by item type and mentions, or you can search for specific words. Additionally, comments can be sorted by the posted date or alphabetically based on the item title. These filters may be used individually or in combination.

To reset all filters, click **Reset all** located next to the filters.

To download the comments, click **Export to excel** at the top right corner of the page.

Filter by Item Type

When the Comment page is opened, the **Select item type** defaults to **Select All**.

To filter comments based on item type, click **Select item type**, deselect **Select All** and select the desired item type(s). One item type or multiple item types may be selected as desired.

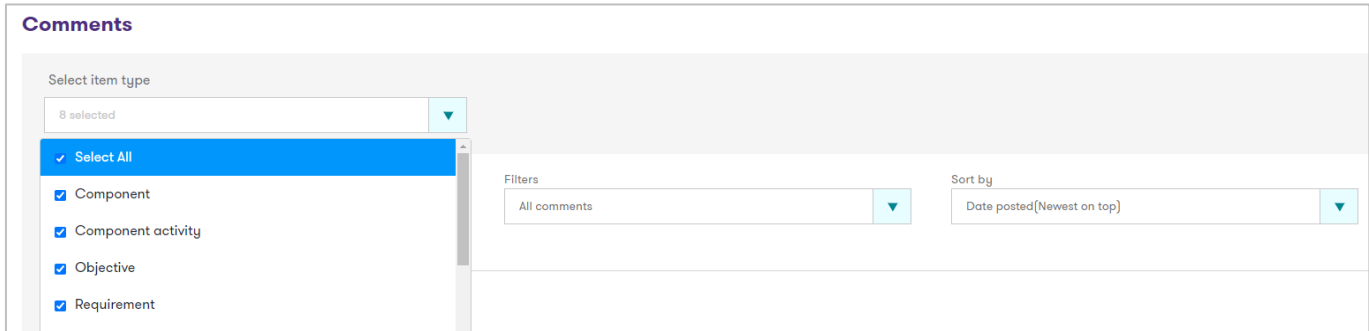


Figure 233: Item type filter

The comments displayed on the page will correspond to the filtering options selected.

Filter by Comment Status

Comments may also be filtered on the Comments page by **All**, **Open** or **Resolved**.

- **All** – Shows all comments.
- **Open** – Shows all the comments that are in Open status. These are comments that are newly added or that have not been addressed.
- **Resolved** – Shows all the comments that are in Resolved status. These are comments that have been satisfactorily addressed.

Open comments are indicated by an **orange circle**. Resolved comments are indicated by a **green circle**.

To filter comments between **All**, **Open** or **Resolved**, click **All** or **Open** or **Resolved** below **All comments**.

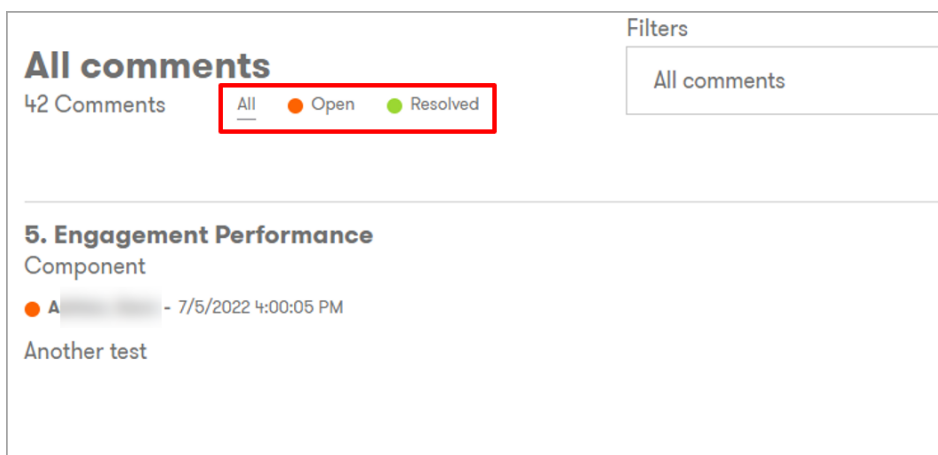


Figure 234: All, Open or Resolved filters

Filter by Author and Mentions

Comments may also be filtered to locate comments that you have authored or comments with specific mentions.

To filter comments by author or mentions, click **Filters**, and select the desired filter.

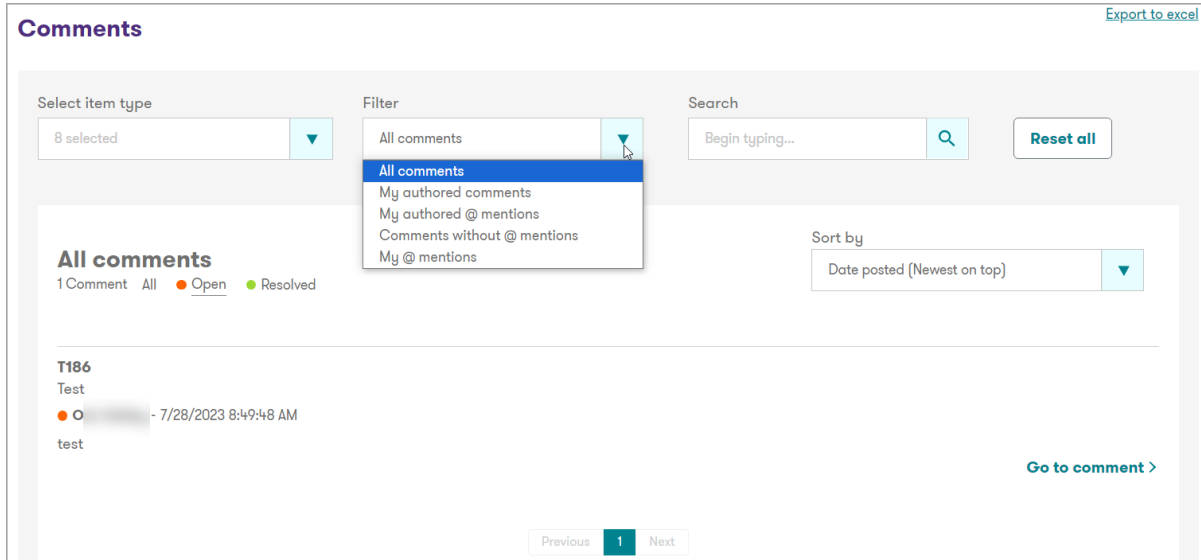


Figure 235: Comment filters

Comments may be filtered on the Comments page using the following options:

- All comments – This is the default filter. All comments will display.
- My authored comments – Filters for all comments that you have authored.
- My authored @ mentions – Displays comments that you have authored and that @ mentions any user.
- Comments without @ mentions – Displays all comments where there is no @ mentioned user
- My @ mentions – Display all comments where you have been @ mentioned in the comment

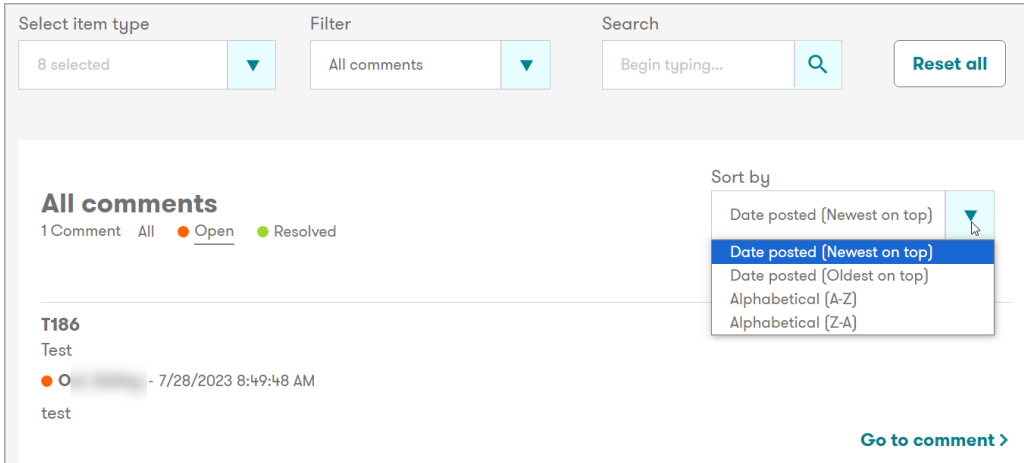
Sort Comments

Comments may be sorted by date and time of posting. Comments may be sorted to show the newest comment first or the oldest comment first.

The following options sort the comments accordingly:

- Date posted (Newest on top) – will display newest comments on top
- Date posted (Oldest on top) – will display oldest comments on top.

To sort comments, click **Sort by**, and select the desired filter.



The screenshot shows a web interface for managing comments. At the top, there are three main sections: 'Select item type' with a dropdown showing '8 selected', 'Filter' with a dropdown showing 'All comments', and 'Search' with a text input 'Begin typing...' and a magnifying glass icon. A 'Reset all' button is to the right. Below these is a section titled 'All comments' with '1 Comment' and status filters 'All', 'Open' (selected), and 'Resolved'. A comment card for 'T186' is shown with the text 'Test' and a timestamp '7/28/2023 8:49:48 AM'. A 'Sort by' dropdown menu is open, showing options: 'Date posted (Newest on top)' (selected), 'Date posted (Oldest on top)', 'Alphabetical (A-Z)', and 'Alphabetical (Z-A)'. A 'Go to comment >' link is at the bottom right.

Figure 236: Comments sort by options

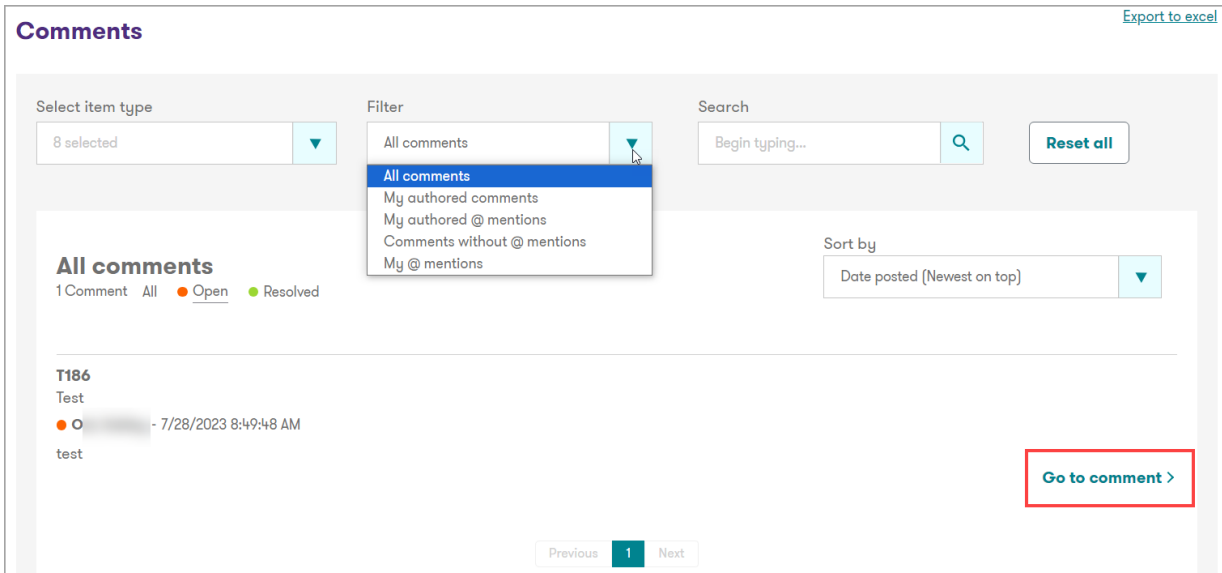
When the filter **Newest on top** is selected the last (or newest) comment in a comment thread will display first. When **Oldest on top** is selected the first (or oldest) comment in a comment thread will display first.

Comment filters may be used individually or in combination.

To View a Specific Comment

You can navigate from the Comments page to view a comment in the context of its related Item and the comment thread.

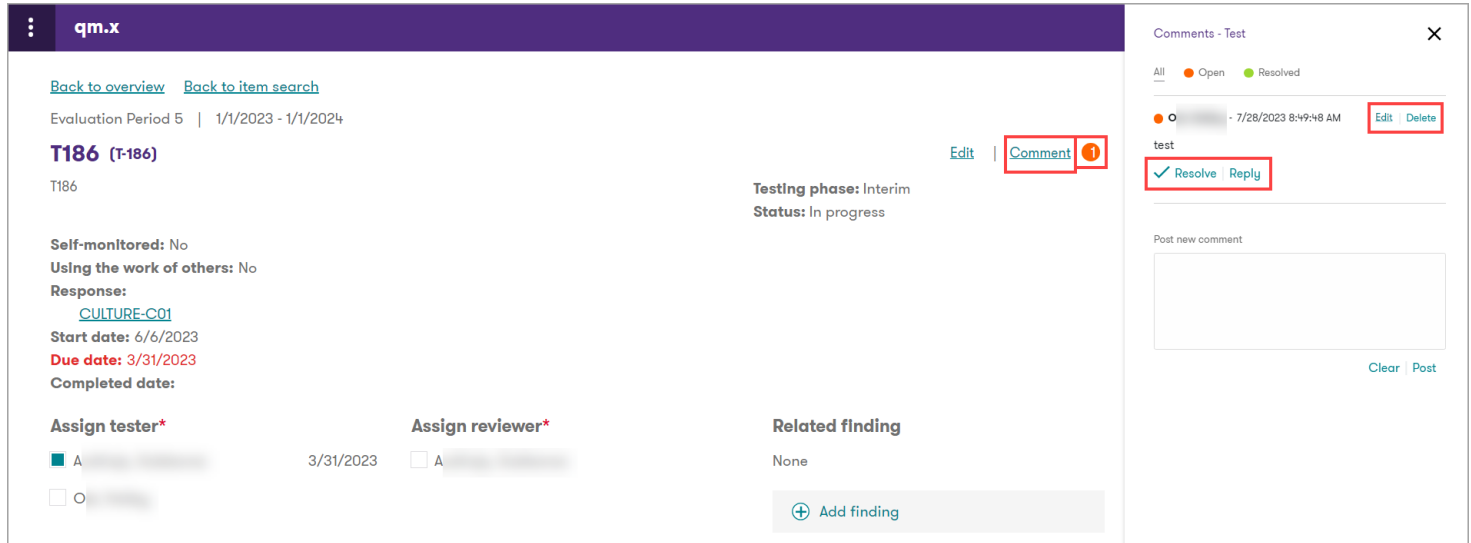
To view a specific comment, navigate to the desired comment and click **Go to comment**.



This screenshot shows the 'Comments' page with an 'Export to excel' link in the top right. The 'Filter' dropdown is open, showing options: 'All comments' (selected), 'My authored comments', 'My authored @ mentions', 'Comments without @ mentions', and 'My @ mentions'. The 'Sort by' dropdown is set to 'Date posted (Newest on top)'. The 'Go to comment >' link is highlighted with a red rectangle. At the bottom, there are 'Previous', '1', and 'Next' navigation buttons.

Figure 237: Go to comments

This will open the relevant Item page along with the associated Comment pane.



The screenshot displays the QM.X interface for item T186. The main content area shows item details including the evaluation period (1/1/2023 - 1/1/2024), testing phase (Interim), and status (In progress). A sidebar on the right, titled 'Comments - Test', shows a list of comments. The 'test' comment is highlighted, and the 'Resolve' and 'Reply' buttons are visible. The 'Comment' button on the main page is also highlighted, indicating that there is one open comment for this item.

Figure 238: Go to comments

From this page, you can create a new comment, delete or edit existing comments, reply to comments, or mark comments as resolved. An orange circle with a number next to the "Comment" button indicates the total number of open comments for the item. Refer to the **Comments** section above ([Comments](#)) for details on how to perform these actions. If necessary, you may also make edits to the associated item by selecting **Edit** at the top right-hand side of the Item page.

Notifications

The users will receive notifications within the qm.x application when certain specified events occur. For details of events that trigger notifications refer to [Appendix B](#). Notifications may be viewed either by clicking the **Bell icon** or by selecting **Notifications** in the Navigation pane.

Access Notifications Using the Bell Icon

To view the notifications, click the **Bell icon** at the top right corner of the application. This will open the notification pane and display a list of all notifications. The most recent notification will be at the top of the list.

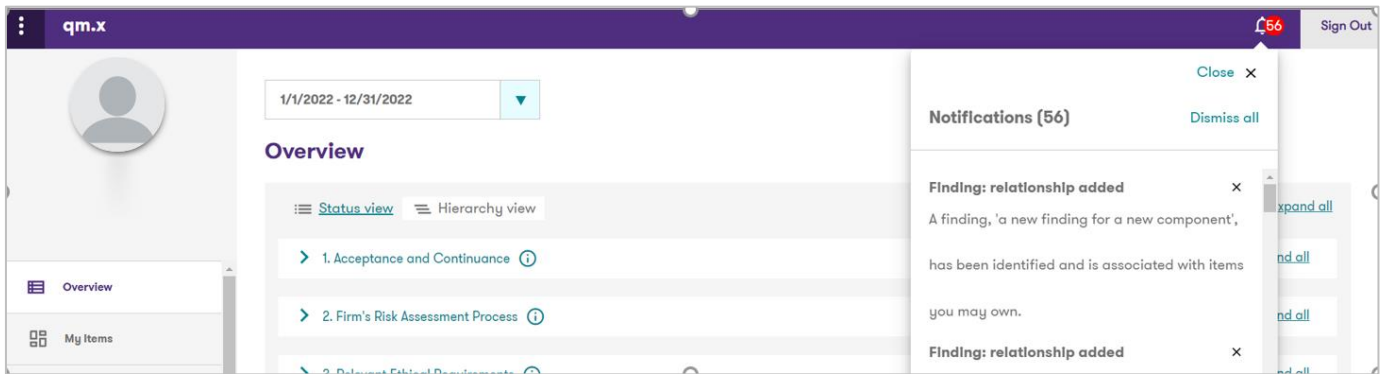


Figure 239: Bell icon opens the notification pane

If you wish to **clear a single notification from the notification pane**, click the **X** at the top right-hand side of the notification.

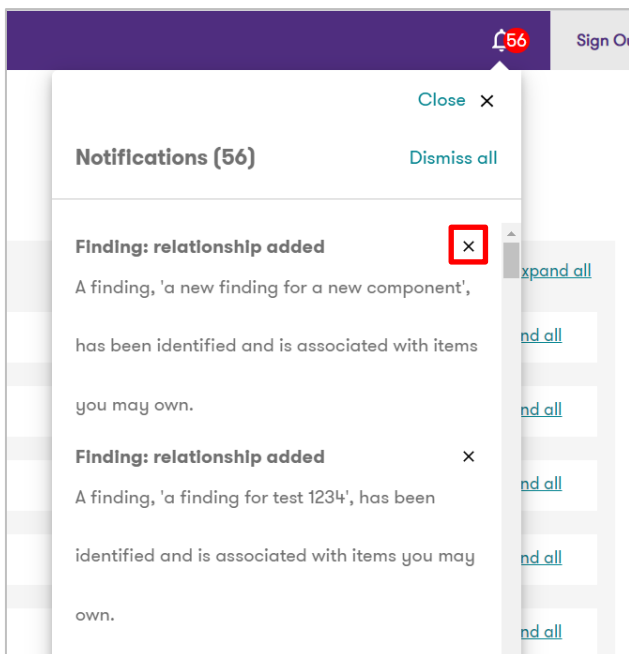


Figure 240: Clear a single notification

To clear all notifications from the notification pane, click **Dismiss all**. This will clear all notifications; however, the notifications may still be accessed through the **Notifications** left navigation menu by using the **Read** filter. Refer to **Access Notifications Using the Navigation Pane** below for more information on using the filters.

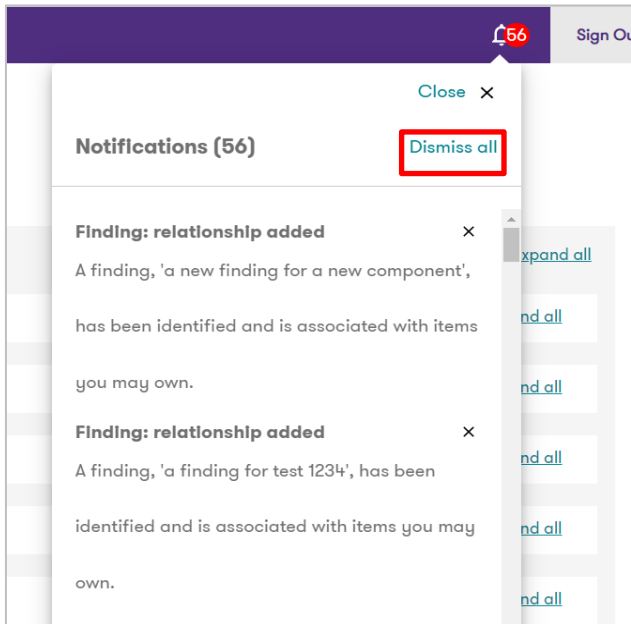


Figure 241: Clear all notifications from the notification pane

To close the Notifications pane, select **Close** at the top right-hand corner of the Notification pane or click the **Bell icon**.

Access Notifications Using the Navigation Pane

To access **Notifications** using the Navigation pane, select the **Notifications tab** to open the Notifications page.

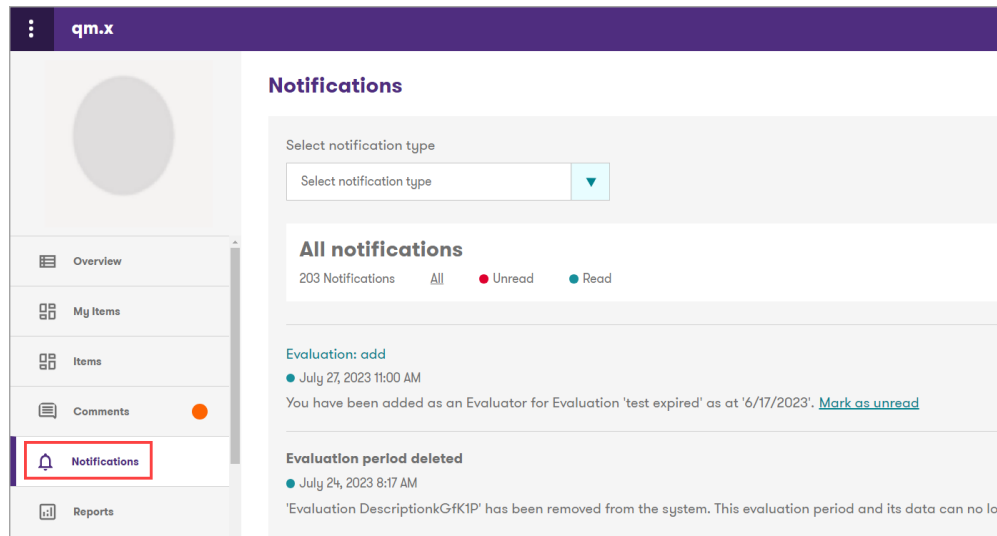


Figure 242: Notification Menu

At the top of the Notifications page are the filtering options. Notifications may be filtered based on the notification type and / or notification status. Underneath the filtering options is the list of notifications. The newest notification will display at the top of the list.

To filter notifications based on notification type, click **Select notification type** and select the desired notification type. The notification type filters can be used individually or in combination with the status filter.

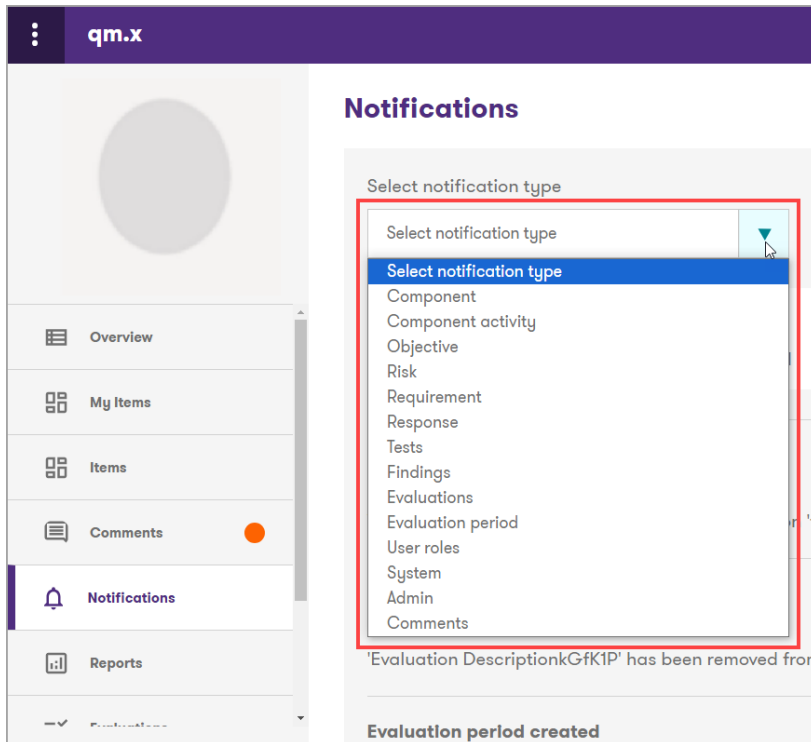


Figure 243: Filter based on notification type

Notifications may also be filtered between **All**, **Unread** or **Read**. When you click on one of the following options below, the notifications filter accordingly.

- **All** – Shows all notifications.
- **Unread** – Shows all the notifications that have not yet been read or that have not been dismissed from the Notifications pane
- **Read** – Shows all the notifications that are in Read status. Notifications that are dismissed from the Notification pane will also show as Read on the Notifications page.

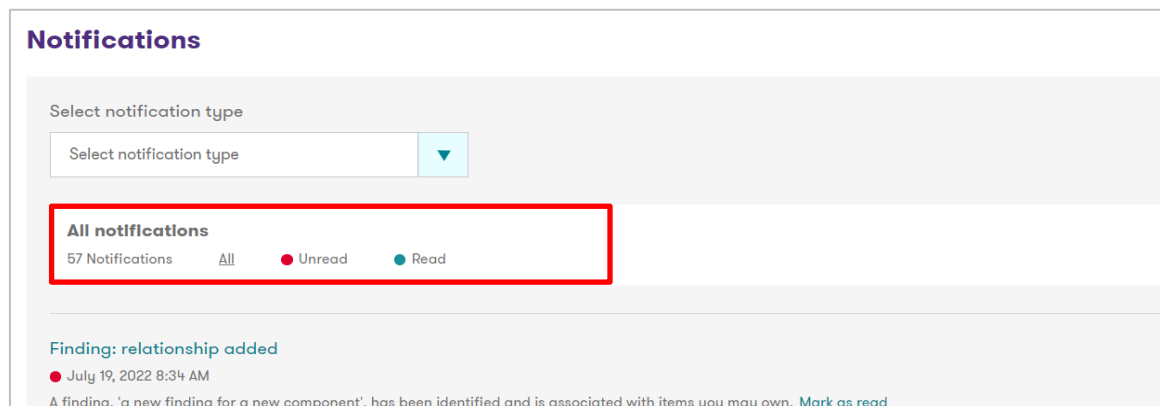


Figure 244: All, Unread or Read filters (Notifications)

When the Notification is in respect of an item in your SoQM, you may navigate directly to that item by clicking **“Title”** of the notification. This will take you to the corresponding item page.

Notifications

Select notification type

Select notification type
▼

All notifications

58 Notifications
All
Unread
Read

User role: created

● July 19, 2022 9:17 AM

You have been assigned the role of 'System administrator' in the qm.x application. [Mark as read](#)

Finding: relationship added

● July 19, 2022 8:34 AM

A finding, 'a new finding for a new component', has been identified and is associated with items you may own. [Mark as read](#)

Figure 245: Viewing notification

FY 2022 * | 1/1/2022 - 12/31/2022

[Back to overview](#)
[Back to item search](#)

a new finding for a new component (F-35)

abc123zzz

Status
Assessment in progress

Evaluation: Finding

Comment/review note box:

Created by
A

Owners*
A

+ Add owner

Reviewer and approved by*
A

+ Add reviewer

Finding details

Nature of finding:

Figure 246: Related item page

Once you have read the Notification you can mark it as read.

To mark a notification as read, click **Mark as read** button next to the notification.

Notifications

Select notification type

Select notification type ▼

All notifications

58 Notifications [All](#) ● Unread ● Read

User role: created

● July 19, 2022 9:17 AM

You have been assigned the role of 'System administrator' in the qm.x application. [Mark as read](#)

Finding: relationship added

● July 19, 2022 8:34 AM

A finding, 'a new finding for a new component', has been identified and is associated with items you may own. [Mark as read](#)

Figure 247: Mark notification as read

All notifications

974 Notifications [All](#) ● Unread ● Read

Item: updated

● August 2, 2022 5:43 AM

'5.12' has been updated. [Mark as unread](#)

Figure 248: Notification marked as read

If you have marked the Notification as Read in error, you can unmark the Notification. **To mark a read notification as unread**, click **Mark as unread** button next to the notification.

Notifications

Select notification type

Select notification type▼

All notifications

58 Notifications [All](#) ● Unread ● Read

User role: created

● July 19, 2022 9:17 AM
You have been assigned the role of 'System administrator' in the qm.x application. [Mark as read](#)

Finding: relationship added

● July 19, 2022 8:34 AM
A finding, 'a new finding for a new component', has been identified and is associated with items you may own. [Mark as unread](#)

Figure 249: Mark read notifications as unread

Email Prompt

When Notification events have occurred that are relevant to you, you will receive an email at the start of the business day indicating that changes have been made in qm.x that are relevant to you.

Reports Page

Through the **Reports** page, you can view and download detailed reports as they relate to items created within the SoQM. The reports are a visual means of viewing certain information pertaining to **Risks**, **Responses**, **Tests**, **Objectives**, **Requirements**, **Findings**, **Deficiencies** and **Remediation details**.

To access the **Reports** page, from anywhere in the qm.x application, in the navigation pane to the left click the **Reports** tab.

Above the **Reports** heading, at the upper left of the page, is the period the reports pertain to.

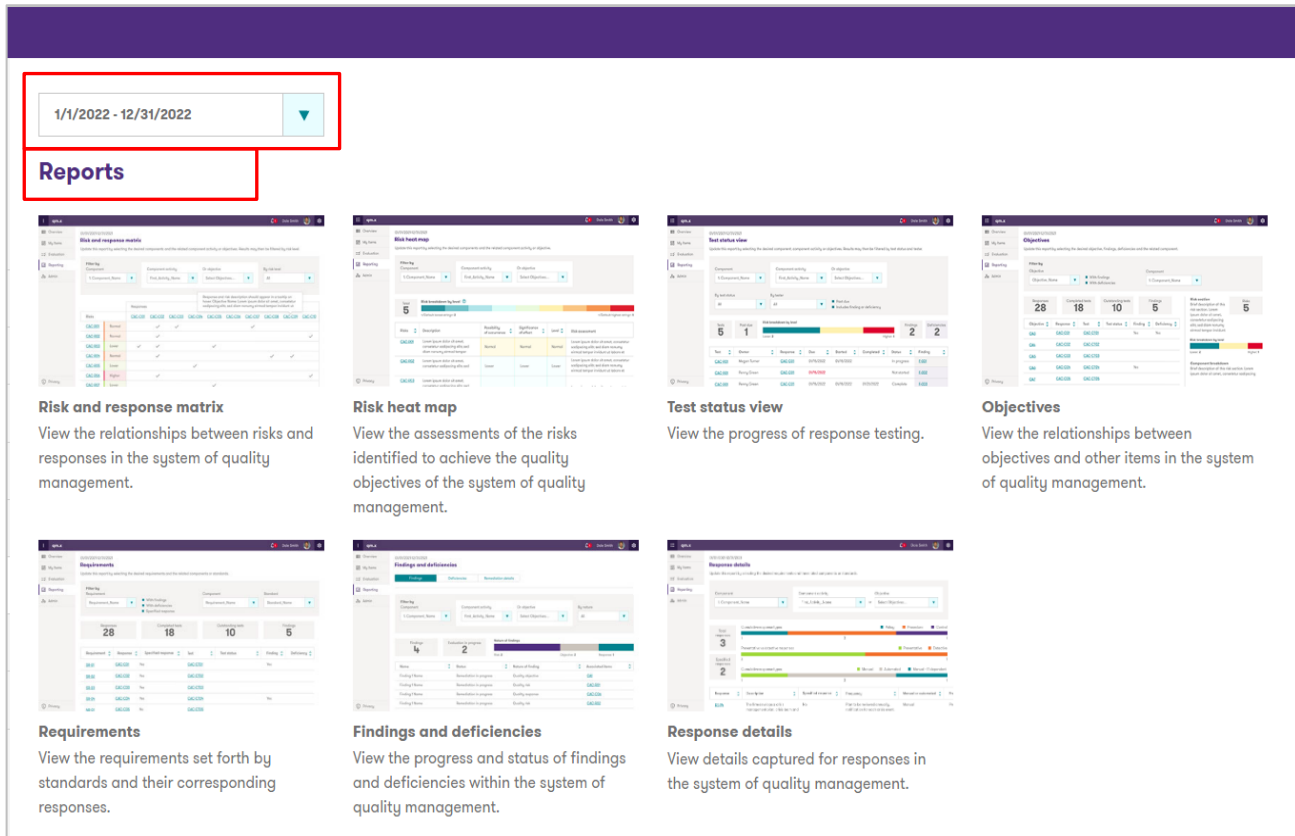


Figure 250: To Select Reports

About the Reports

The **Reports** page displays seven standard report options. The table below outlines the report options with a brief description of each.

Table 4: Report Options

Report	Description
Risk and response matrix	This report shows the responses that address each of the risks and the assessment of the risk. It can be filtered by component and component activity or by objective and risk level.
Risk heat map	This report shows the risks, a description of the risk, the assessed risk level and the reason for that assessment. It can be filtered by component and component activity or objective.
Test status view	This report provides information on the owner of the response being tested, the status of the testing being performed and related findings. It can be filtered by component and component activity or objective. It can also be filtered by test status and tester.
Objectives	This report provides information about items associated with an objective, such as risks, responses and tests. It can be filtered by objective and by component.
Requirements	This report details the requirements in the SoQM, the responses associated with the requirements and the details of testing performed, including findings and deficiencies. It can be filtered by requirement, component and by the applicable quality management standards.
Findings and deficiencies Findings Deficiencies Remediation	This report separately details information relevant to findings, deficiencies, and remediation. It shows the status, nature of the finding and associated items, and other information relevant to the evaluation to each of the item types. It can be filtered by component, component activity or objective and by nature.
Response details report	This report provides information about the responses implemented to address risks to achieving quality objectives. It includes a description of the response and information about its design and the frequency with which it operates. It can be filtered by component and by component activity or objective.

To Access Reports

To view a report, in the **Reports** page, click anywhere on the report picture, title or description of the desired report.

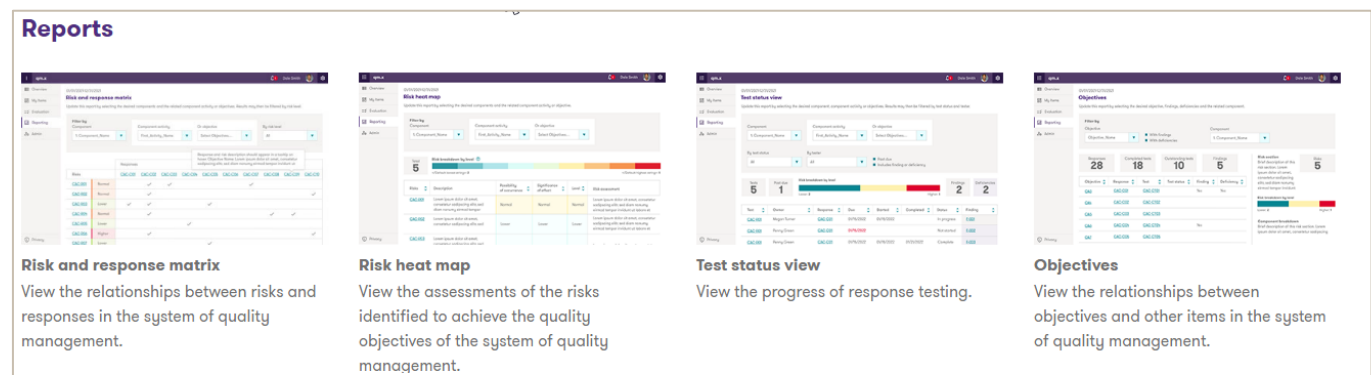


Figure 251: Reports

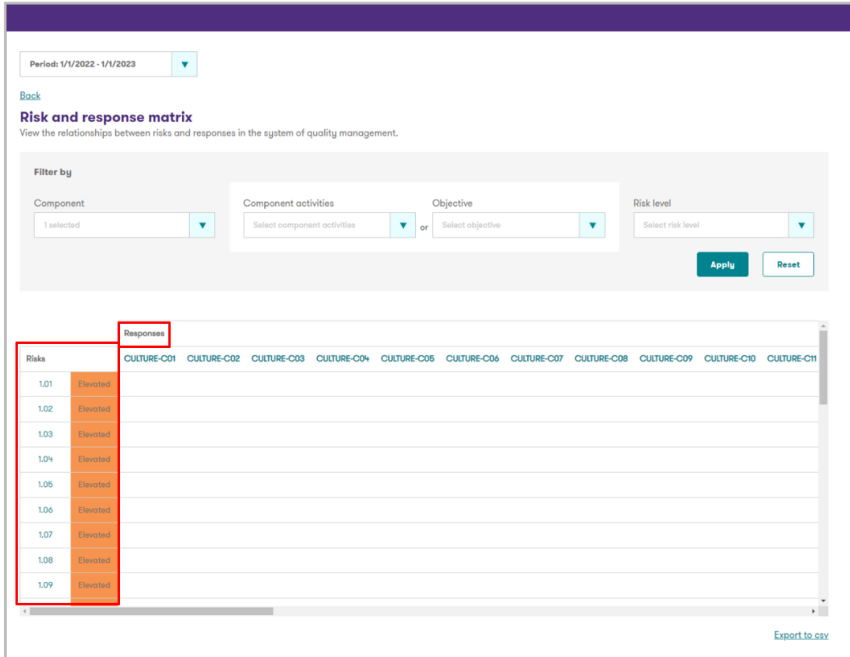
To Customize Reports

Risk and response matrix Report

In this report, you can view the relationships between risks and responses in the SoQM.

An example of the **Risk and response matrix** report is shown below.

If the report is too large to view on the screen, you can scroll down with your mouse, or use the scroll bars across the bottom to scroll left and right and the scroll bar on the right side to scroll up and down.



Risks	Responses
1.01 Elevated	CULTURE-C01 CULTURE-C02 CULTURE-C03 CULTURE-C04 CULTURE-C05 CULTURE-C06 CULTURE-C07 CULTURE-C08 CULTURE-C09 CULTURE-C10 CULTURE-C11
1.02 Elevated	
1.03 Elevated	
1.04 Elevated	
1.05 Elevated	
1.06 Elevated	
1.07 Elevated	
1.08 Elevated	
1.09 Elevated	

Figure 252: Risk and response matrix report

Each of the risks and responses in the report may be selected to navigate directly to the **Item page** associated with that risk or response.

This report can be customized. **To customize this report**, select the filters across the top of the report page (Figure 253). You can filter by **Component**, **Component activity** or **Objective**, and by **Risk level**. These filters may be used individually or in combination to return the desired information. Multiple components, component activities, objectives or risk levels may be selected. To filter the report, click on the **arrows** next to the filters to open the menus and choose the desired option(s). Once the filters have been selected, click the **Apply** button to apply the filters and run the report. Click the **Reset** button if you wish to reset to the default reporting view and filters or re-run the report using different filters.

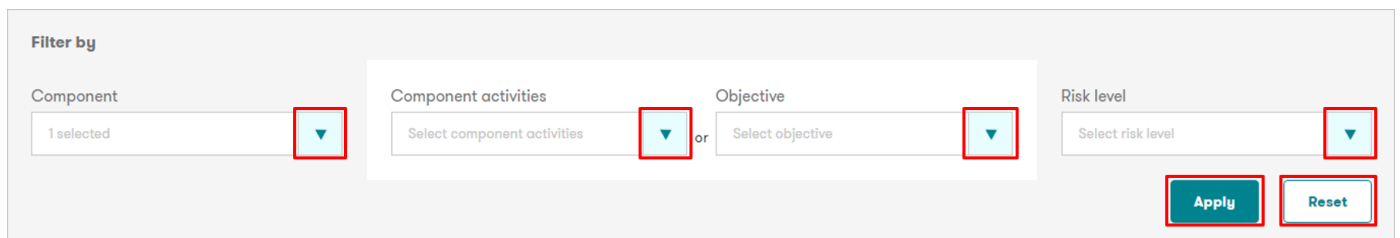
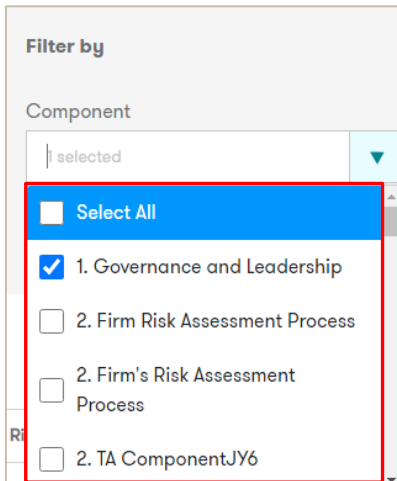


Figure 253: Risk and response matrix filters

To filter by component, click the **arrow** next to the component filter to open the menu and choose the desired component.



Filter by

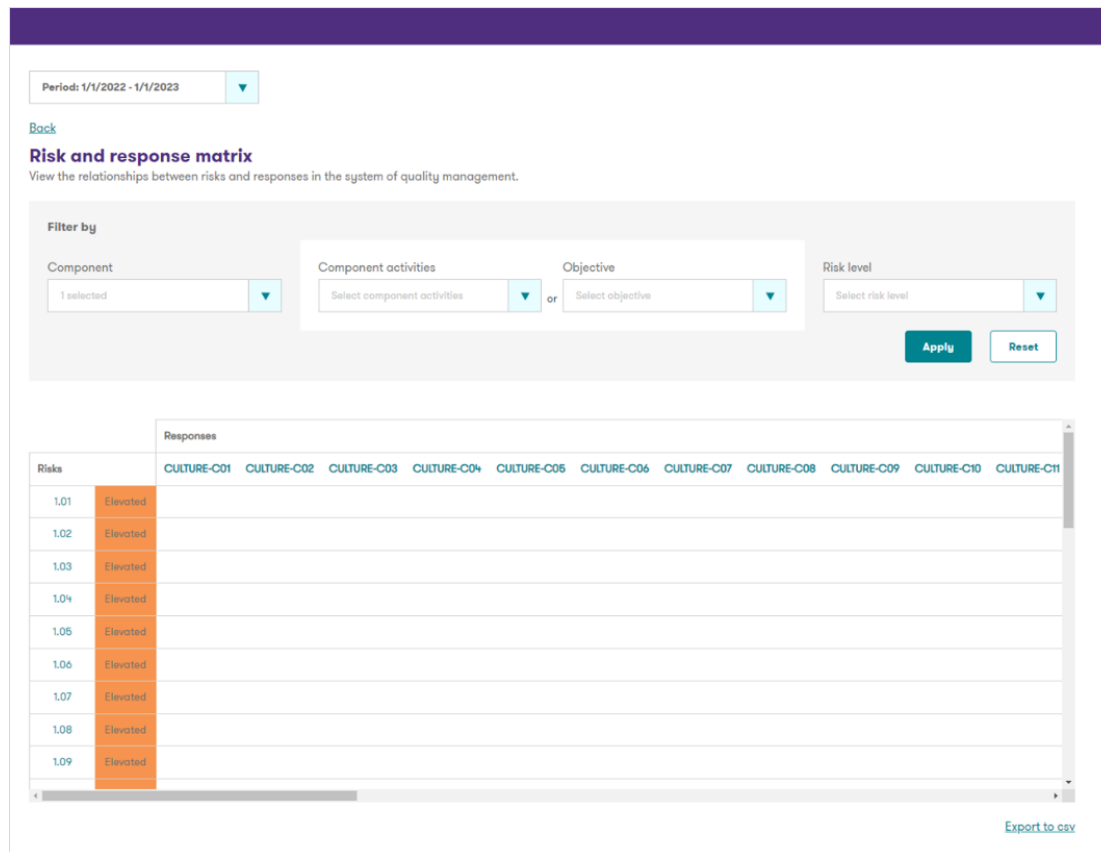
Component

selected ▼

- ☐ Select All
- ☒ 1. Governance and Leadership
- ☐ 2. Firm Risk Assessment Process
- ☐ 2. Firm's Risk Assessment Process
- ☐ 2. TA ComponentJY6

Figure 254: Filter risk and response matrix report by component

In this case, the component **1. Governance and Leadership** was selected. The report displayed shows all the risks mapped to that component, the assessment of those risks and all the responses associated with each of the risks.



Period: 1/1/2022 - 1/1/2023 ▼

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Risk and response matrix
View the relationships between risks and responses in the system of quality management.

Filter by

Component: 1 selected ▼

Component activities: Select component activities ▼ or Objective: Select objective ▼

Risk level: Select risk level ▼

[Apply](#) [Reset](#)

Risks	Responses
	CULTURE-C01 CULTURE-C02 CULTURE-C03 CULTURE-C04 CULTURE-C05 CULTURE-C06 CULTURE-C07 CULTURE-C08 CULTURE-C09 CULTURE-C10 CULTURE-C11
1.01	Elevated
1.02	Elevated
1.03	Elevated
1.04	Elevated
1.05	Elevated
1.06	Elevated
1.07	Elevated
1.08	Elevated
1.09	Elevated

[Export to csv](#)

Figure 255: Risk and response matrix report filtered by Component

To filter by component activities, component(s) need to be selected to view the related component activities in the dropdown option. click the **arrow** next to the component activities filter to open the menu and select the desired component activity, then select **Apply**.

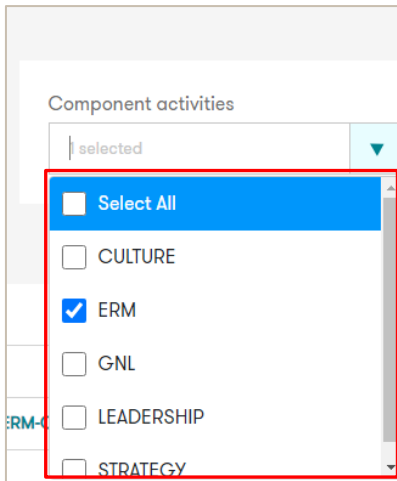


Figure 256: Filter risk and response matrix report by component activities

In this case, the component activity of **ERM** was selected. The report displayed shows all the risks mapped to that component and component activity, the assessment of those risks and all the responses associated with each of the risks.

Period: 1/1/2022 - 1/1/2023

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Risk and response matrix

View the relationships between risks and responses in the system of quality management.

Filter by

Component

1 selected ▼

Component activities

1 selected ▼

Objective

Select objective ▼

Risk level

Select risk level ▼

or

Apply

Reset

Risks		Responses										
		ERM-C01	ERM-C02	ERM-C03	ERM-C04	ERM-C05	ERM-C06	ERM-C07	ERM-C08	ERM-C09	ERM-C11	ERM-C13
ERM-R01	Normal	✓										
ERM-R02	Normal		✓	✓								
ERM-R04	Normal				✓	✓	✓	✓				
ERM-R05	Normal						✓		✓			
ERM-R07	Normal									✓		
ERM-R09	Normal							✓				
ERM-R10	Normal										✓	
ERM-R11	Normal							✓				✓

[Export to csv](#)

Figure 257: Risk and response matrix report filtered by Component and Component Activities

To filter by objective, component(s) need to be selected to view the related objectives in the dropdown option. click the **arrow** on the filter box and select the desired objective, then select **Apply**.

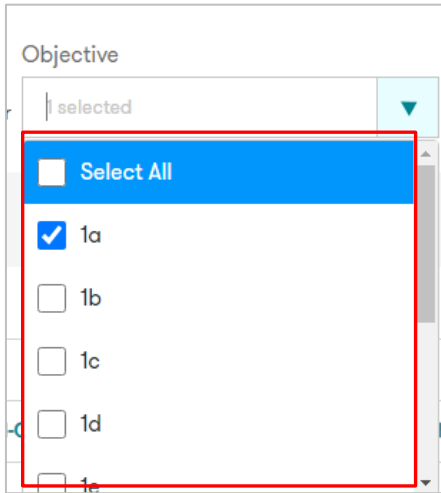
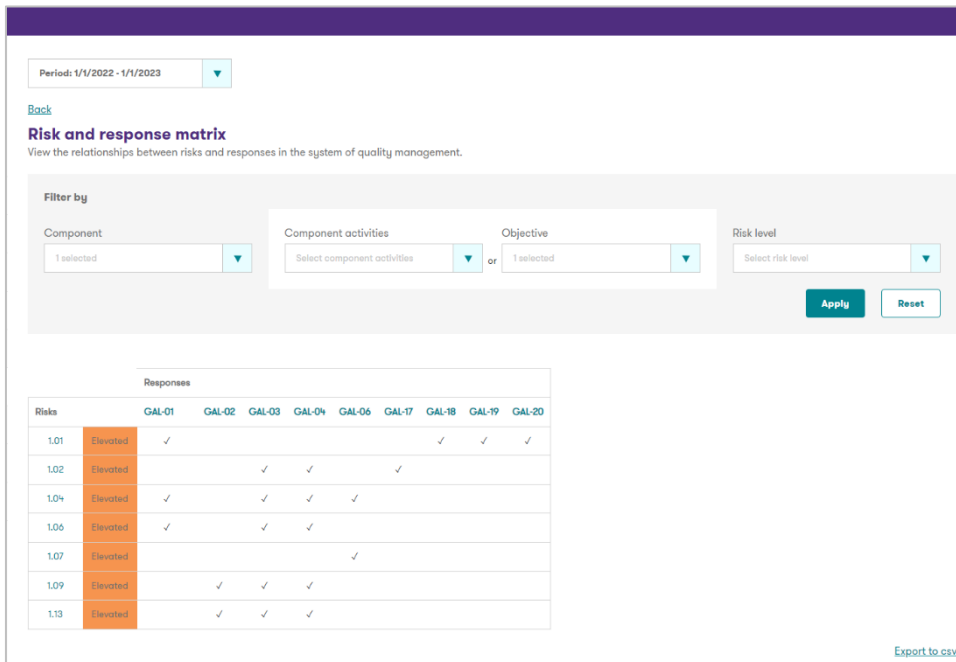


Figure 258: Filter risk and response matrix report by Component and Objective

In this case, the objective **1a** was selected. The report displayed shows all the risks mapped to that component and objective, the assessment of those risks and all the responses associated with each of the risks.



Period: 1/1/2022 - 1/1/2023

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Risk and response matrix

View the relationships between risks and responses in the system of quality management.

Filter by

Component: 1 selected

Component activities: Select component activities

Objective: 1 selected

Risk level: Select risk level

Apply **Reset**

Risks	Responses	GAL									
		GAL-01	GAL-02	GAL-03	GAL-04	GAL-06	GAL-17	GAL-18	GAL-19	GAL-20	
1.01	Elevated	✓						✓	✓	✓	
1.02	Elevated		✓	✓			✓				
1.04	Elevated	✓		✓	✓	✓					
1.06	Elevated	✓		✓	✓						
1.07	Elevated					✓					
1.09	Elevated		✓	✓	✓						
1.13	Elevated		✓	✓	✓						

[Export to csv](#)

Figure 259: Risk and response matrix report filtered by Objective

To filter by risk level, click the **arrow** on the filter box and select the desired risk level, then select **Apply**. To filter by risk level only, first make sure that all the other filter boxes are blank.

Risk level

☐ Select All

☒ Elevated

☐ High

☐ Low

☐ Normal

Figure 260: Filter risk and response matrix report by Risk level

In this case, the risk level of **Elevated** was selected. The report displayed shows all the risks assessed as higher and all the responses associated with each of the risks.

Period: 1/1/2022 - 1/1/2023

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Risk and response matrix

View the relationships between risks and responses in the system of quality management.

Filter by

Component: 1 selected

Component activities: Select component activities or Objective: Select objective

Risk level: 1 selected

[Apply](#) [Reset](#)

Risks		Responses																	
		GAL-01	GAL-02	GAL-03	GAL-04	GAL-05	GAL-06	GAL-07	GAL-08	GAL-09	GAL-10	GAL-11	GAL-12	GAL-13	GAL-14	GAL-15	GAL-16	GAL-17	GAL-18
1.01	Elevated	✓																	✓
1.02	Elevated			✓	✓													✓	
1.03	Elevated		✓					✓											
1.04	Elevated	✓		✓	✓			✓											
1.05	Elevated					✓		✓											
1.06	Elevated	✓		✓	✓														
1.07	Elevated							✓											
1.08	Elevated		✓	✓	✓														
1.09	Elevated		✓	✓	✓														

[Export to csv](#)

Figure 261: Risk and response matrix report filtered by Risk level

To download the report, click **Export to csv** at the lower right corner of the page.

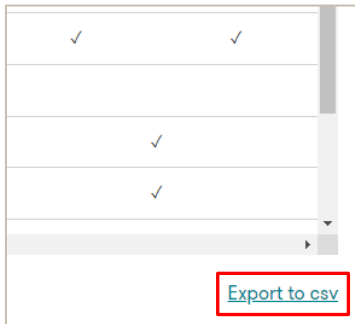


Figure 262: Export to csv

Open the file from the download to view the report. Because this is a csv format, the standard Excel warning will show: “*POSSIBLE DATA LOSS Some features might be lost if you save this workbook in the comma delimited (.csv) format. To preserve these features, save it in an Excel format.*”

The message is a warning to users that edits made to the file may not be saved as csv files do not support formatting and other typical excel functions. If you would like to edit the file and save the file, click **Save As** and choose **Excel Workbook (*.xlsx)** as the type to maintain the typical Excel functions.

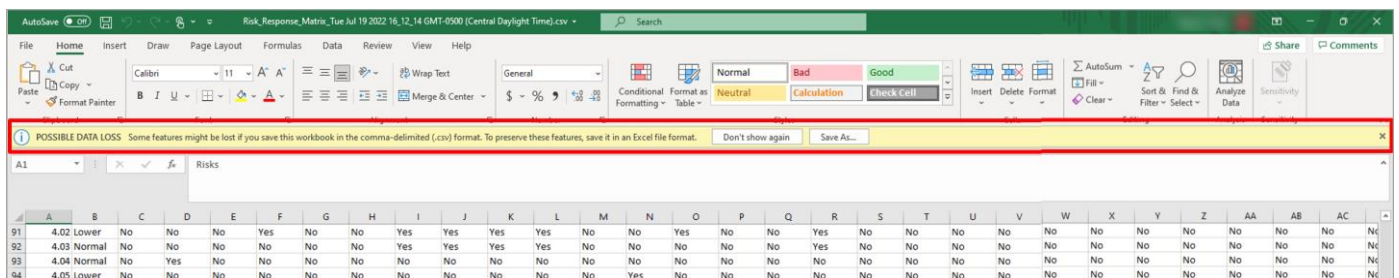


Figure 263: Excel csv warning message

The Excel file has one tab that displays the risks down the left-hand side with the corresponding controls that address those risks.

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	
1	Risks	RiskLevel	CAC-01	CAC-02	CAC-03	CAC-04	CAC-05	CAC-06	CAC-07	CAC-09	CAC-10	CAC-11	CAC-12	CAC-13	CAC-14	CAC-15	CAC-16	CAC-17	CAC-18	CA
2	4.01	Higher	Yes	No	No	No	No	No	No	No	No	Yes	No	No	No	No	Yes	No	No	Nc
3	4.02	Normal	No	No	No	Yes	No	No	Yes	Yes	Yes	No	No	Yes	No	No	Yes	No	No	Nc
4	4.03	Normal	No	No	No	No	No	No	Yes	Yes	Yes	No	No	No	No	No	Yes	No	No	Nc
5	4.04	Normal	No	Yes	No	No	No	No	No	No	No	No	No	No	No	No	No	No	No	Nc
6	4.05	Lower	No	No	No	No	No	No	No	No	No	No	Yes	No	No	No	No	No	No	Nc
7	4.06	Normal	No	No	No	Yes	Yes	No	Yes	Yes	Yes	No	No	No	No	No	No	No	No	Nc
8	4.07	Higher	No	No	No	No	No	Yes	No	No	No	No	No	No	No	No	No	No	No	Nc
9	4.08	Higher	No	No	No	No	No	No	Yes	Yes	Yes	Yes	No	No	No	No	No	No	No	Nc
10	4.09	Normal	Yes	No	Yes	No	No	No	No	No	No	No	No	Yes	No	No	No	No	No	Nc
11	4.1	Lower	Yes	No	Yes	No	No	No	No	No	No	No	No	Yes	No	Yes	No	No	No	Nc
12	4.11	Higher	No	No	No	No	No	No	No	No	No	No	No	No	Yes	No	No	No	No	Nc
13	4.12	Higher	No	No	No	Yes	No	No	No	No	No	Yes	No	No	Yes	No	No	No	No	Nc
14	4.14	Lower	No	No	No	No	No	No	No	No	No	No	No	No	No	No	No	Yes	No	Nc
15	4.15	Lower	Yes	No	No	No	No	No	No	No	No	No	No	Yes	No	Yes	No	No	No	Nc
16	4.16	Higher	No	No	No	No	No	No	No	No	No	No	No	No	No	No	No	No	Yes	Ye
17																				
18																				
19																				
20																				
21																				
22																				

Figure 264: Risk and response matrix report downloaded into Excel

Risk heat map Report

In this report, you can view the assessments and details of the risks identified to achieve the quality objectives of the SoQM.

An example of the **Risk heat map Report** is shown below.

If the report is too long to view on your screen, scroll down with your mouse or use the scroll bar to the right.

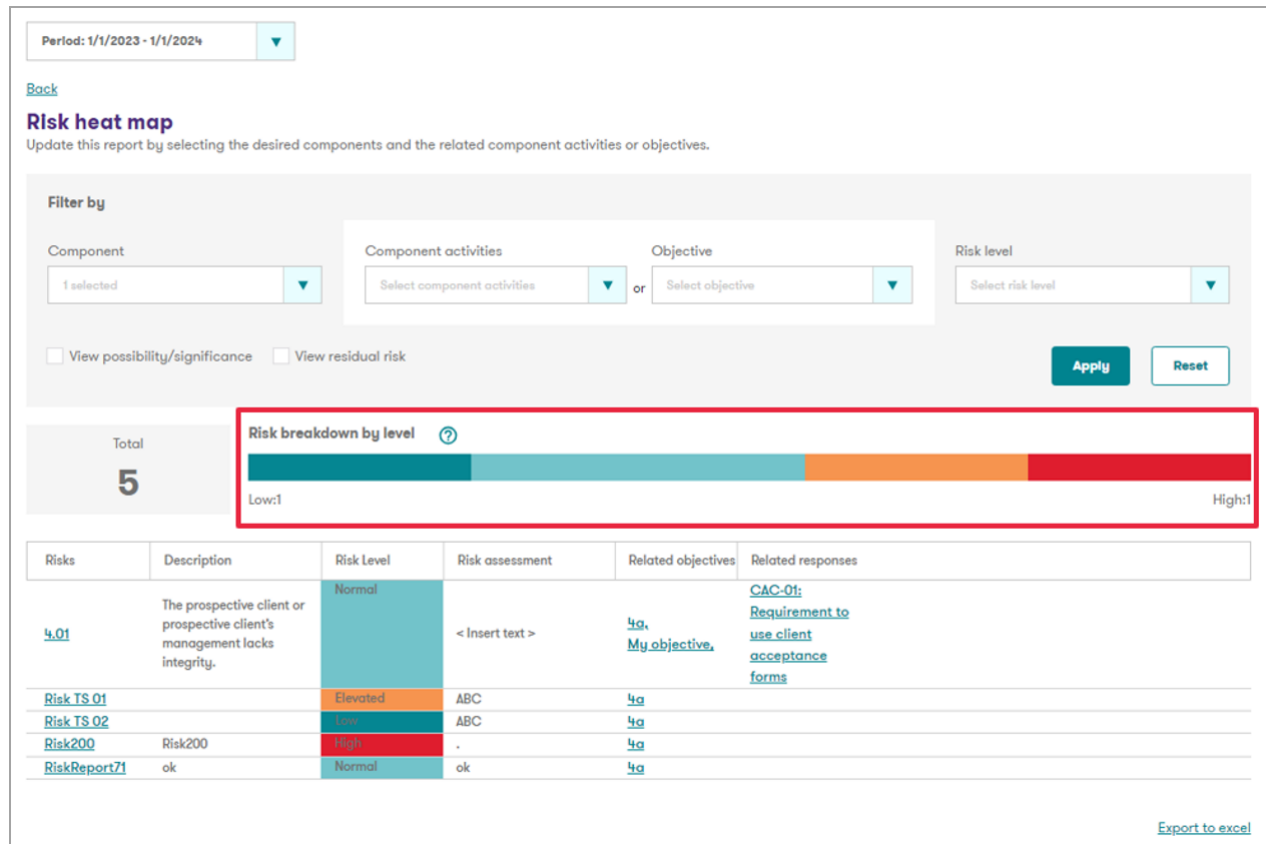


Figure 265: Risk heat map Report

The summary bar across the top shows the total number of risks, an analysis of the assessed level of those risks and the number of risks in each of the assessed levels. The detail of those risks is then displayed underneath the summary bar.

Each of the risks in the report may be selected to navigate directly to the **Item page** associated with that risk.

To customize this report, you can filter by **Component**, **Component activity or Objective**, and **by Risk level**. These filters may be used individually or in combination to return the desired information.

Component(s) need to be selected to view the related Component Activities and Objectives in the dropdown option. Multiple components, component activities, objectives or risk levels may be selected. Select the filters across the top of the report page and click **Apply**. Refer to the Risk and response matrix report above for details on using the filters.

If complex risks have been configured and assigned to risk items, the "View Possibility/Significance" and "View Residual risk" checkboxes will be visible in the Filter Box. Clicking the **box** will display the Possibility of occurrence, Significance of effect or Residual risk for each risk.

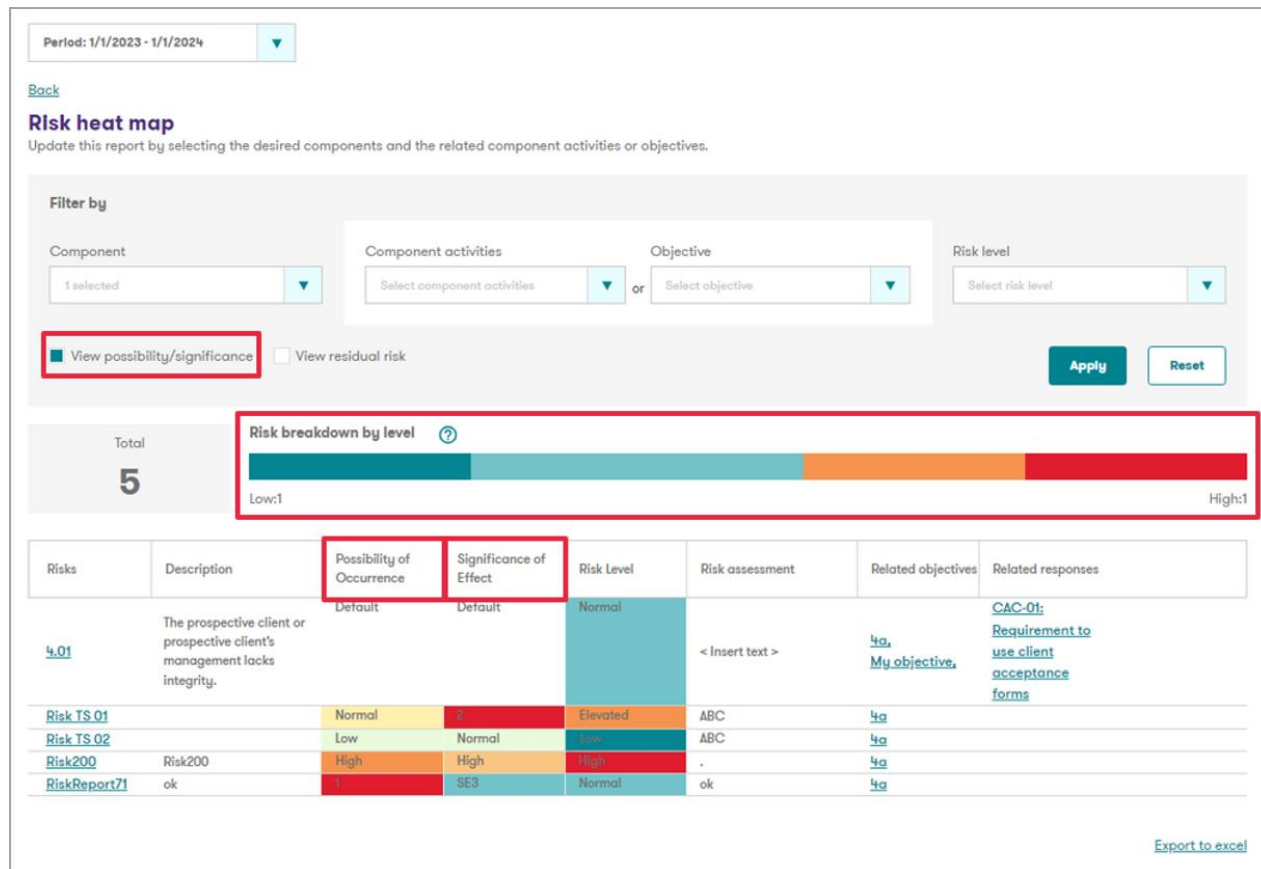


Figure 266: Risk heat map – view possibility/significance

The Risk breakdown by level status bar displays information about the combined risk assessment, that is the combination of the assessment of the possibility of occurrence and of the significance of effect.

The complex risk report may be filtered in the same way as the Risk report.

To download the report as an Excel file, click **Export to Excel** at the lower right corner of the page. If complex risks have been configured and assigned to risk items, the Possibility of Occurrence and Significance of Effect columns will appear in the Excel file whether or not the View Possibility/Significance box is checked as a filter. If residual risk has been configured in the default section, the residual risk column will be included in the Excel file.

Open the file from the download to view the report. The Excel file has two tabs, the first tab displays the **Report Totals** (summary information from the report), and the second tab displays the detailed **Risk Heat Map**.

Name	Description	Possibility Of Occurrence	Significance Of Effect	Risk Level	Assessr
4.01	The prospective client or prospective client's management lacks integrity.	Higher	Elevated	Higher	Risk assessed as
4.02	The firm lacks the industry or technical ability to sufficiently complete the engagement - the qualifications of team members do not match resource requests in terms of competence, experience or grade.	Lower	Higher	Normal	Risk assessed as
4.03	The firm lacks the resources (number of or time available) to perform sufficient appropriate procedures to address the engagement risks.	Normal	Normal	Normal	Risk assessed as
4.04	The firm has inadequate systems and information processes to support the identification and assessment of business and quality risks of potential clients or specific engagement related risk conditions.	Elevated	Lower	Normal	Risk assessed as
4.05	The firm lacks access to information, such as predecessor auditor communications to the company or information regarding management personnel, to determine risk of potential client engagement.	Higher	Minimal	Lower	Risk assessed as
4.06	The firm accepts an engagement despite	Lower	Elevated	Normal	Risk assessed as

Report Risk Heat Map +

Figure 267: Risk heat map filters downloaded into Excel

Test status view Report

In this report, you can view the progress of response testing.

An example of **Test status view** report is shown below.

If the report is too long to view on your screen, scroll down with your mouse or use the scroll bar to the right.

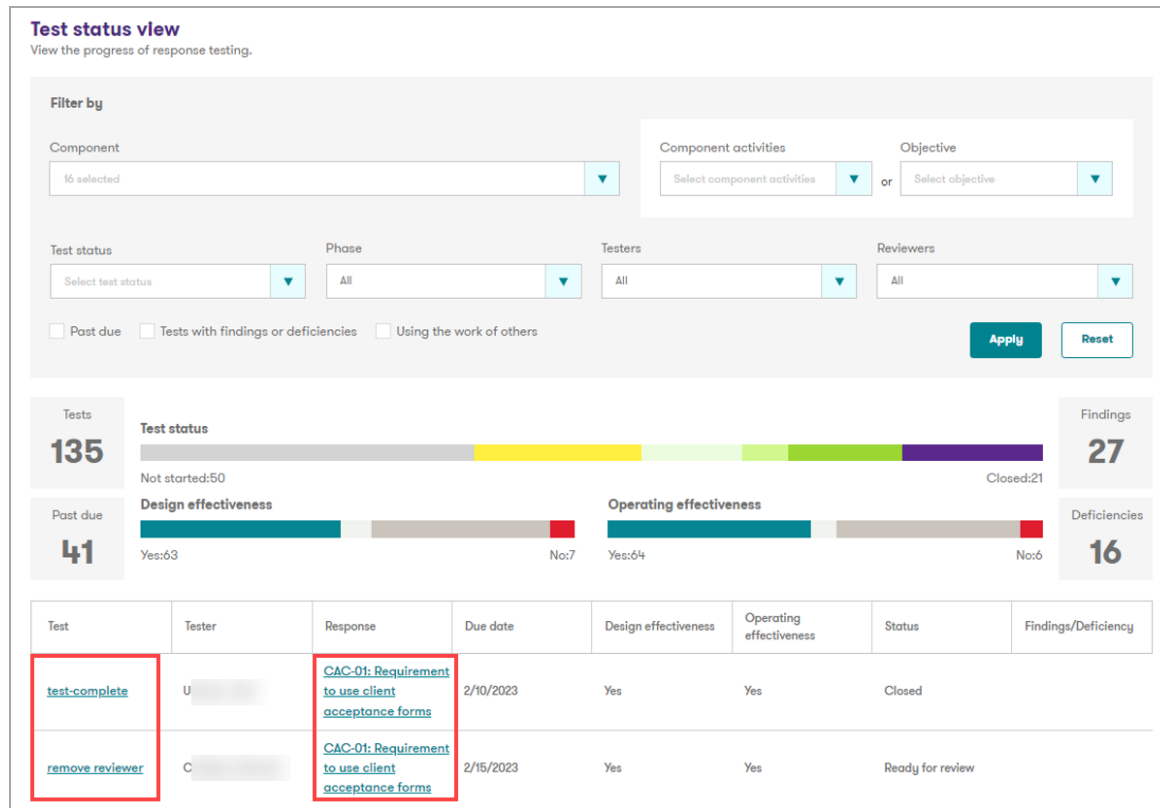


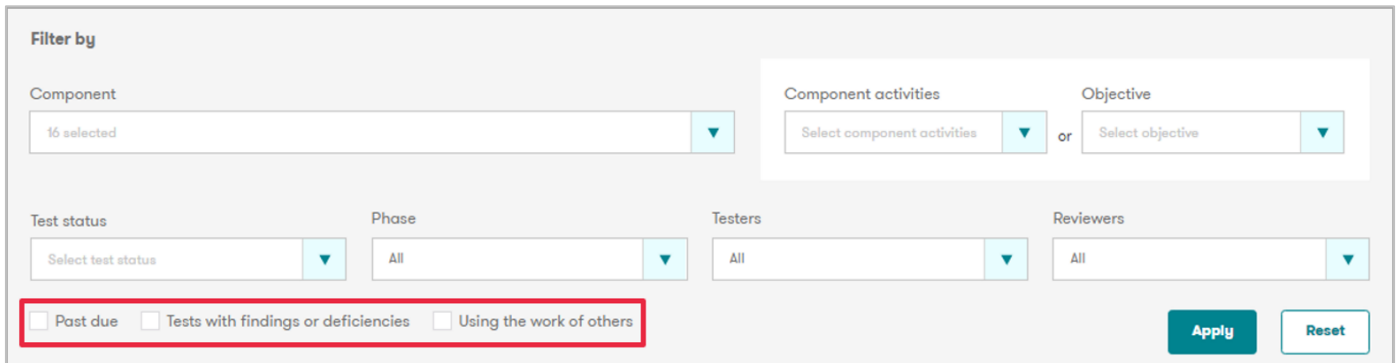
Figure 268: Test status view

The Test status, Design effectiveness and Operating effectiveness bars provide details of the number of tests in each status related to the applied the filters.

The **Test item page** and the **Response item page** can be viewed directly from the report by selecting the test or response you would like to view.

This report can be customized by using the **Component**, **Component activity**, **Objective**, **Test status**, **Phase**, **Testers**, and **Reviewers** filters. Component(s) need to be selected to view the related Component Activities and Objectives in the dropdown option. These filters may be used individually or in combination to return the desired information. Multiple components, component activities, objectives or test status may be selected.

To customize this report, select the filters across the top of the report page (Figure 269) and click **Apply**. Refer to the Risk and response matrix report above for details on using the filters.



Filter by

Component: 16 selected ▼

Component activities: Select component activities ▼ or Objective: Select objective ▼

Test status: Select test status ▼

Phase: All ▼

Testers: All ▼

Reviewers: All ▼

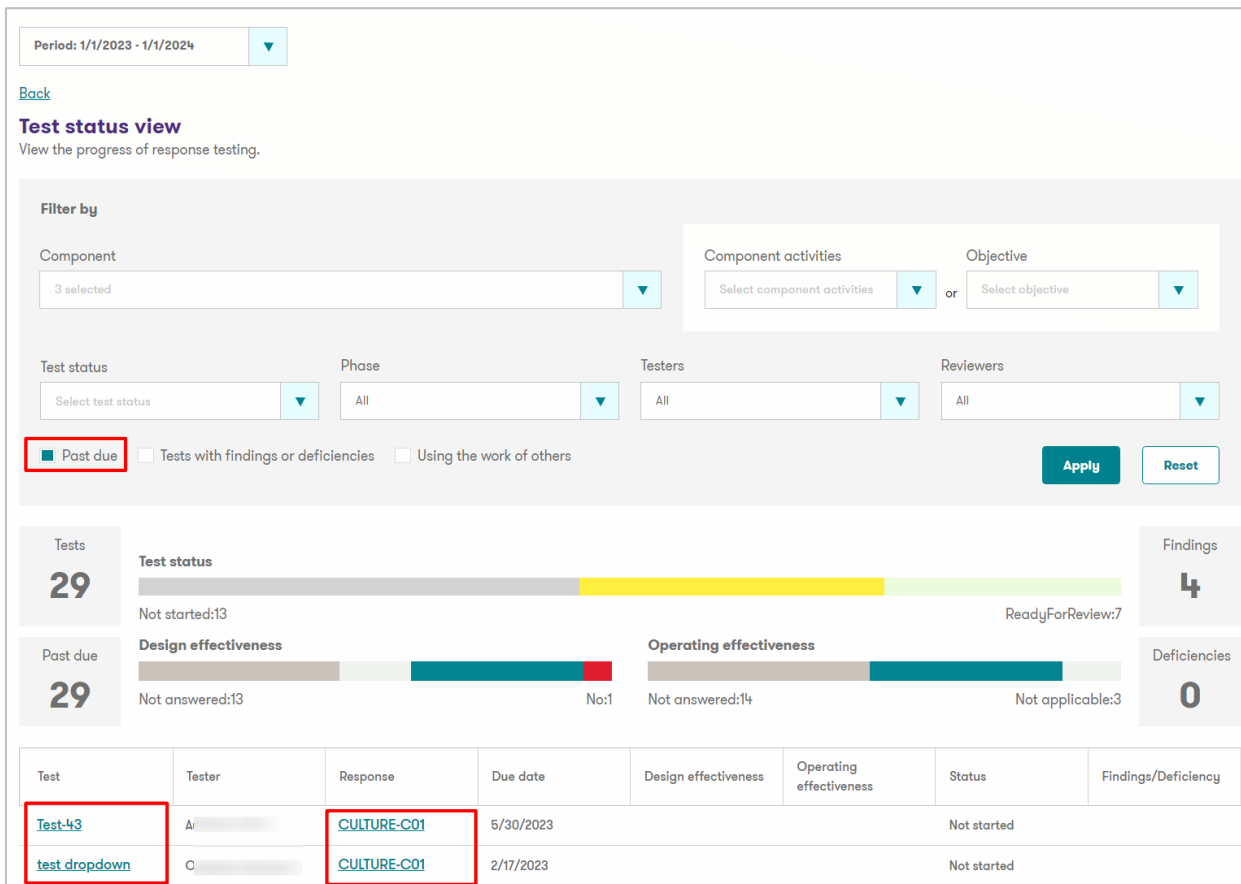
☐ Past due ☐ Tests with findings or deficiencies ☐ Using the work of others

Apply **Reset**

Figure 269: Test status filters

The filtering options also allows filtering by tests that are **Past due**, tests that have resulted in a **finding or deficiency** being identified, or by tests that are **using the work of others**. Select the **box** next to the desired filter to activate that filter.

The **Past due** filter may be used to indicate which of the tests have a date that is past due (Figure 270).



Period: 1/1/2023 - 1/1/2024 ▼

[Back](#)

Test status view
View the progress of response testing.

Filter by

Component: 3 selected ▼

Component activities: Select component activities ▼ or Objective: Select objective ▼

Test status: Select test status ▼

Phase: All ▼

Testers: All ▼

Reviewers: All ▼

☒ Past due ☐ Tests with findings or deficiencies ☐ Using the work of others

Apply **Reset**

Tests
29

Past due
29

Test status

Not started:13

ReadyForReview:7

Design effectiveness

Not answered:13

No:1

Operating effectiveness

Not answered:14

Not applicable:3

Findings
4

Deficiencies
0

Test	Tester	Response	Due date	Design effectiveness	Operating effectiveness	Status	Findings/Deficiency
Test-43	A:	CULTURE-C01	5/30/2023			Not started	
test dropdown	C:	CULTURE-C01	2/17/2023			Not started	

Figure 270: Tests filtered by past due status

The **Tests with finding or deficiency** filter may be used to display which of the tests have an associated finding or deficiency (Figure 271).

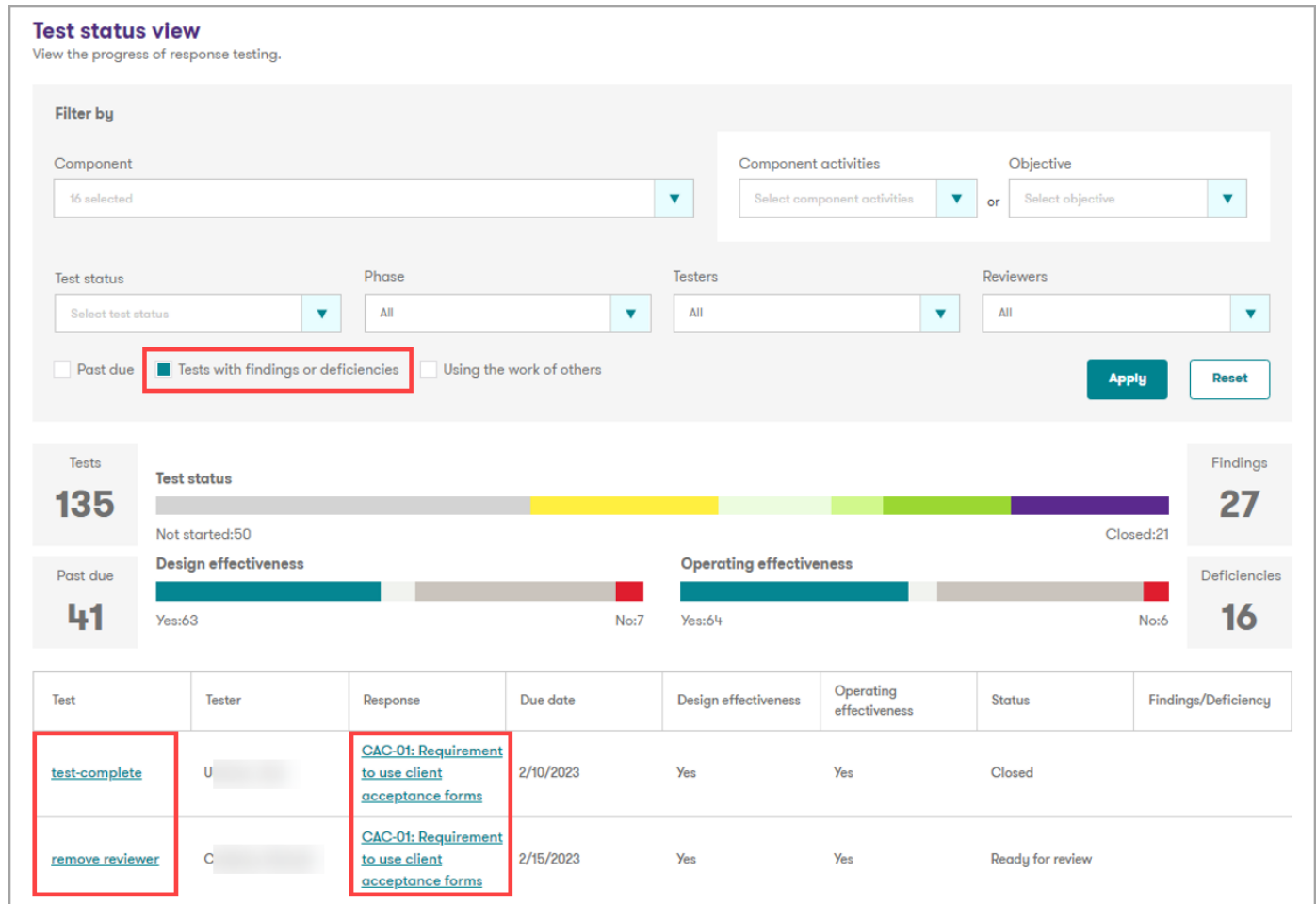


Figure 271: Tests filtered by Includes finding or deficiency

The **Using the work of others** filter may be used to display which tests involve work performed outside of direct testing by the quality management team (Figure 272).

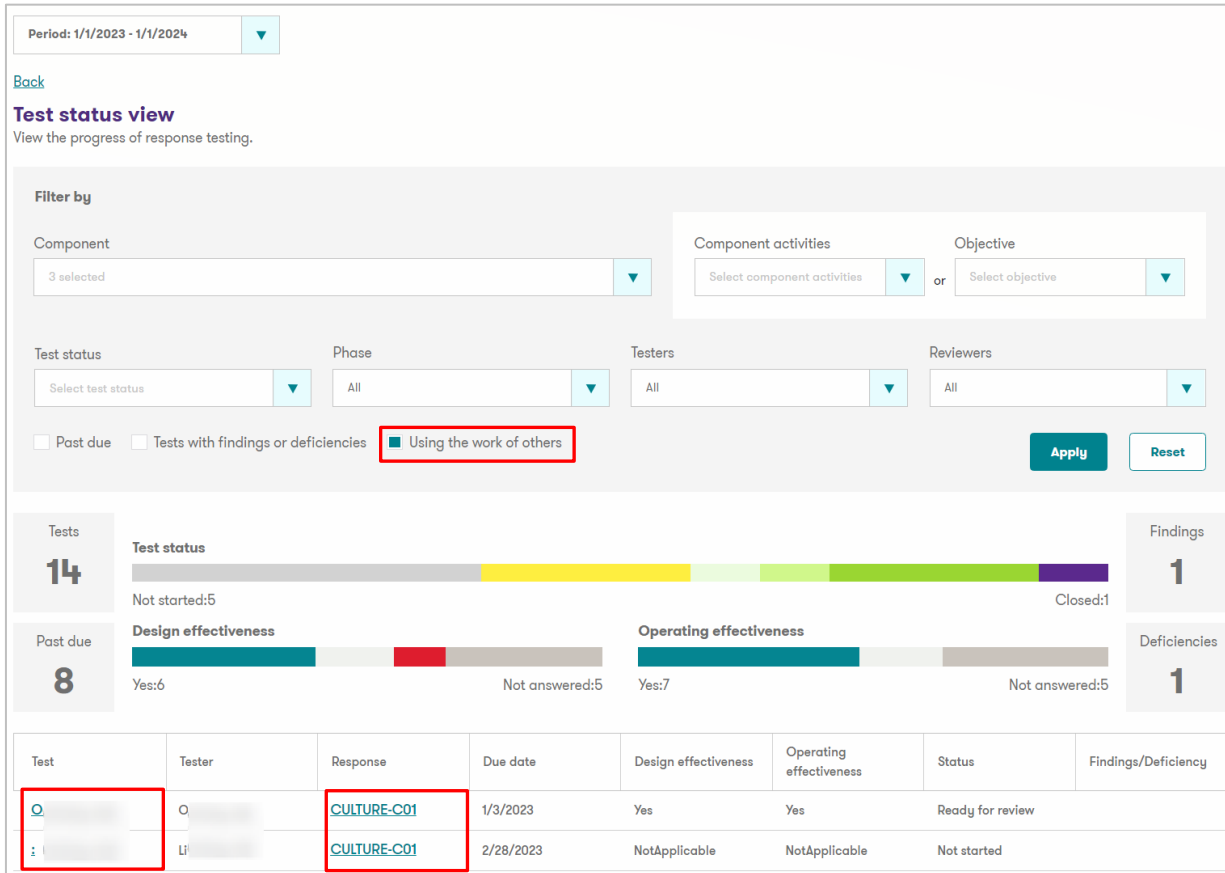


Figure 272: Tests filtered by Using the work of others

To download the report as an Excel file, click **Export to excel** at the lower right corner of the page.

The Excel file has two tabs, the first tab displays the **Report Totals** (summary information from the report), and the second tab displays the detailed **Test Status View**.

1	Test	Owner	Response	Due
2	463096 Example Test	R	New Response Comp 1	4/13/2022 12:00:00 AM
3	463419 Example 2 Test	R	RR-42	4/16/2022 12:00:00 AM
4	463419 Example Test	R	RR-44	4/15/2022 12:00:00 AM
5	CAC-T01	D	CAC-01	
6	CAC-T02	D	CAC-02	
7	CAC-T03	D	CAC-03	
8	CAC-T04	D	CAC-04	
9	CAC-T05	D	CAC-05	
10	CAC-T06	D	CAC-06	
11	CAC-T07	D	CAC-07	
12	CAC-T08	D	CAC-08	
13	CAC-T09	D	CAC-09	
14	CAC-T10	D	CAC-10	
15	CAC-T11	D	CAC-11	
16	CAC-T12	D	CAC-12	
17	CAC-T13	D	CAC-13	
18	CAC-T14	D	CAC-14	
19	CAC-T15	D	CAC-15	

Report Totals Test Status View

Figure 273: Test status view report downloaded into Excel

Objectives Report

In this report, you can view the relationships between objectives, responses, tests, findings and deficiencies and risks.

An example of the **Objectives** report is shown in the figure below.

If the report is too long to view on your screen, scroll down with your mouse or use the scroll bar to the right.

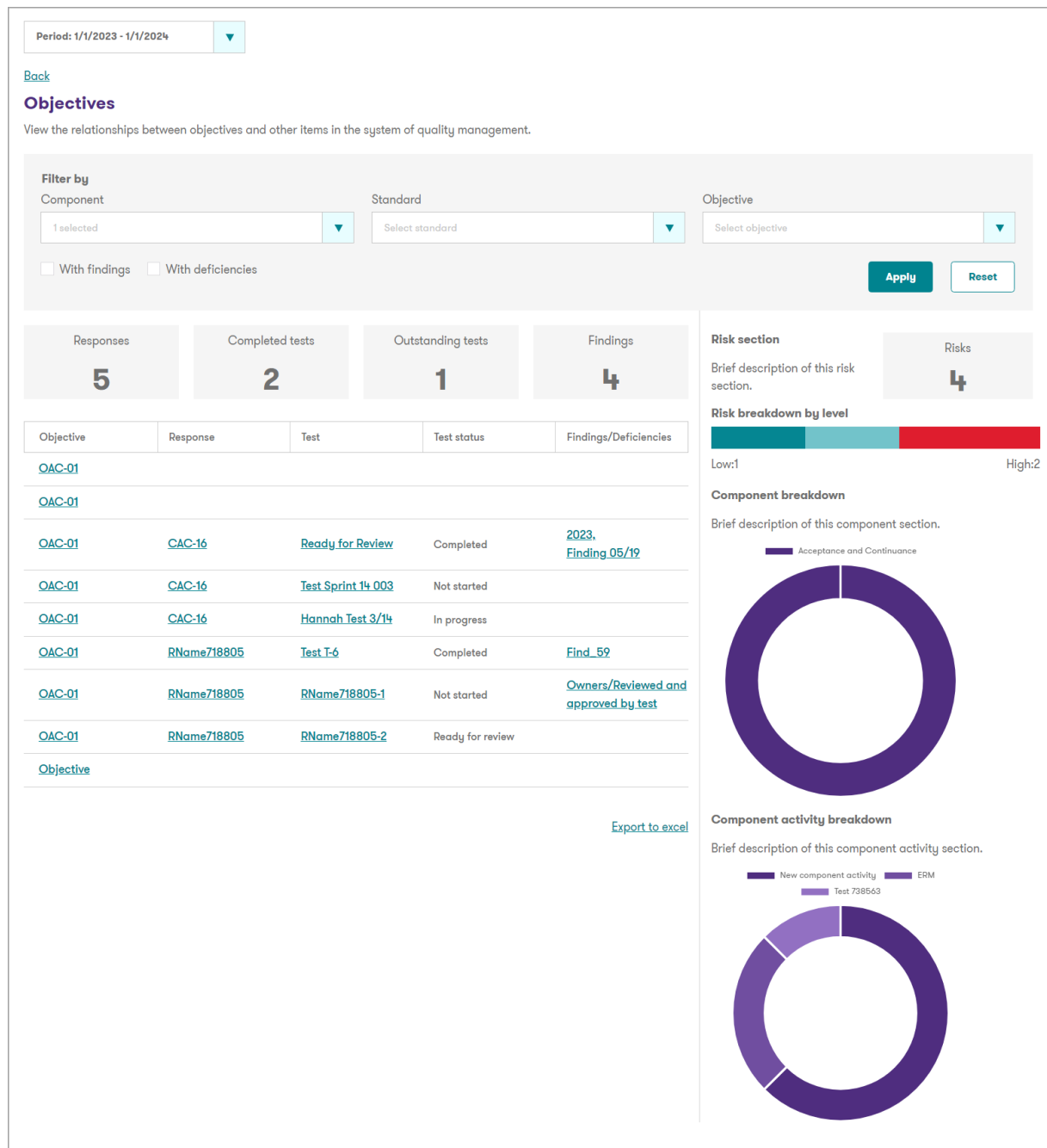


Figure 274: Objectives Report

The summary bar provides details of the number of responses, the number of completed tests, the number of outstanding tests and the number of findings. The detail of those objectives, responses and tests is then displayed underneath the summary bar.

The **Objective item page**, **Response item page** and the **Test item page** can be viewed directly from the report by selecting the objective, response or test you would like to view.

To the left of the screen is a risk section, which shows details of the number of associated risks, the assessment of those risks, by component and by component activity.

This report can be customized by **Component**, by **Standard** and by **Objective**. These filters may be used individually or in combination to return the desired information. Multiple components, standards or objectives may be selected.

To customize this report, select the **filters** across the top of the report page (Figure 275) and click **Apply**. Refer to the Risk and response matrix report above for details on using the filters.

Filter by

Component

Select component

▼

Standard

Select standard

▼

Objective

Select objective

▼

☐ With findings

☐ With deficiencies

Apply

Reset

Figure 275: Objectives report filters

Additional filters can be used to indicate where a finding or deficiency is associated with an objective. Select the check box next to the desired filter to activate that filter and click **Apply**.

To download the report as an Excel file, click **Export to excel** at the lower right corner of the report.

The Excel file has two tabs, the first tab displays the **Report Totals** (summary information from the report) and the second tab displays the detailed **Objective Report**.

[illegible]

Figure 276: Objective report downloaded into Excel

Requirements Report

In this report, you can view requirements, their corresponding responses, information about tests and findings / deficiencies.

An example of the **Requirements** report is shown below.

If the report is too long to view on your screen, scroll down with your mouse or use the scroll bar to the right.

Period: 1/1/2023 - 1/1/2024

[Back](#)

Requirements

View the requirements set forth by standards and their corresponding responses.

Filter by

Component
1 selected

Requirement
Select requirement

Standard
Select standard

☐ With findings
☐ With deficiencies
☐ Specified response

Apply
Reset

Responses
3

Completed tests
9

Outstanding tests
25

Findings
9

Requirement	Responses	Specified response	Test	Test status	Findings/Deficiency
Ethical 1	ETH.15	Yes			
Ethical 1	ETH.16	Yes			
Ethical 2		No			
SR-01	CULTURE-C01	Yes	i	Not started	
SR-01	CULTURE-C01	Yes	Auditest1	Ready for review	

Figure 277: Requirements Report

The summary bar provides details of the total number of responses, the total number of completed tests, the total number of outstanding tests and the total number of findings. The detail of those requirements, responses and tests is then displayed underneath the summary bar.

The **Requirement item page**, **Response item page** and the **Test item page** can be viewed directly from the report by selecting the requirement, response or test you would like to view.

This report can be customized by **Component**, **by Requirement** and **by Standard**. These filters may be used individually or in combination to return the desired information. Multiple components, standards or requirements may be selected.

To customize this report, select the **filters** across the top of the report page (Figure 278) and click **Apply**. Refer to the Risk and response matrix report above for details on using the filters.

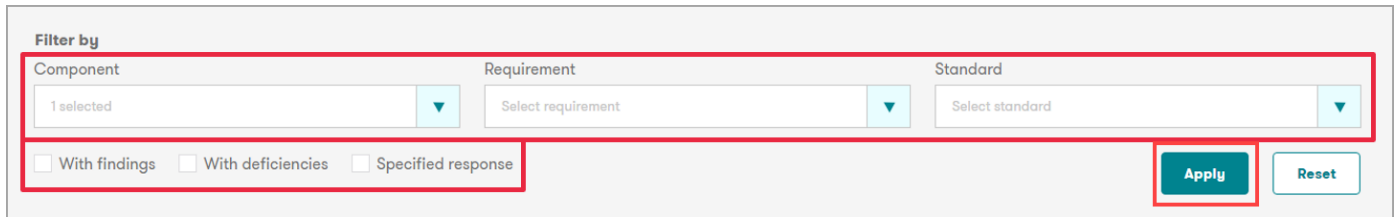


Figure 278: Requirements report

Additional filters can be used to indicate where a finding or deficiency is associated with the requirement or whether the requirement is associated with a specified response. Select the **check box** next to the desired filter to activate that filter and click **Apply**.

To download the report as an Excel file, click **Export to excel** at the lower right corner of the page.

The Excel file has two tabs, the first tab displays the **Report Totals** (summary information from the report), and the second tab displays the detailed **Requirements Report**.

	Requirement	Response	Specified Response	Test
1				
2	MR-01			
3	MR-02	IC-12	No	IC-T12
4	MR-03			
5	MR-04			
6	MR-05			
7	MR-06			
8	MR-07			
9	MR-08			
10	MR-09			
11	MR-10			
12	MR-11			
13	MR-12			
14	MR-13			
15	MR-14			
16	New Requirement Component 1	New Response Comp 1	Yes	463096 Example Test
17	New Requirement Component 1	New Response Comp 1	Yes	Test for risk 1
18	New Requirement for Test UAT			
19	SR-01			

Figure 279: Requirements report downloaded into Excel

Finding and deficiencies Report

In this report, you can view the status of findings, deficiencies, and remediations within the SoQM.

An example of the **Findings and deficiencies** report is shown in the figure below.

This report is in three parts, as reflected in the three tabs across the upper part of the report: **Findings**, **Deficiencies**, and **Remediation details**. Click a tab to view that part of the report.

If a report is too long to view on your screen, scroll down with your mouse or use the scroll bar to the right.

The Finding item page, and associated items page(s) can be viewed directly from the each of the **Findings**, **Deficiencies**, and **Remediation details** reports by selecting the item you would like to view.

Findings tab

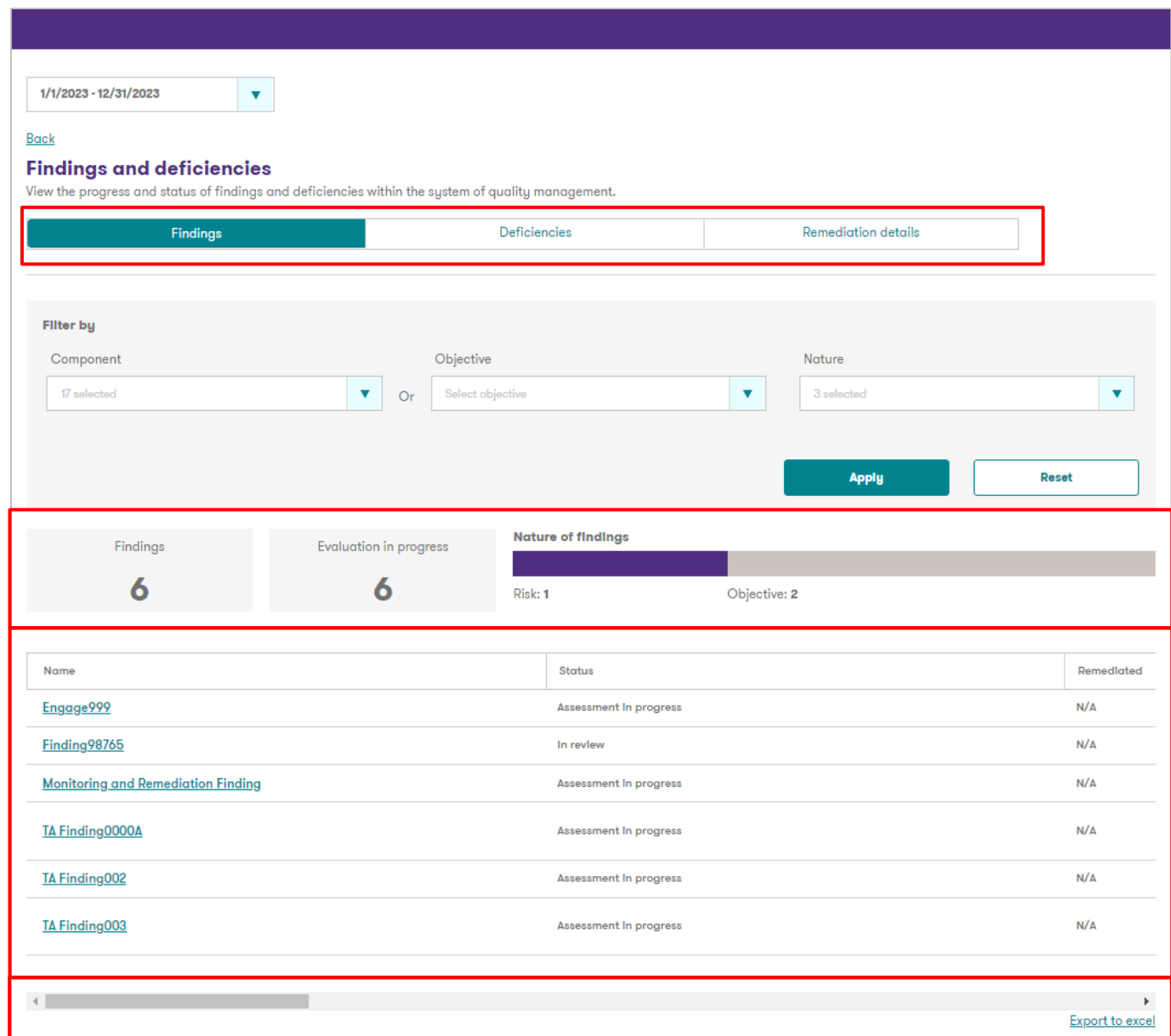


Figure 280: Finding and deficiencies report – Findings Page

The summary bar provides details of the number of findings, the number of findings for which an evaluation is in progress and the nature of those findings. The detail of the findings is displayed underneath the summary bar. Use the scroll bar at the bottom to scroll to the right and view the additional columns.

Deficiencies tab

1/1/2023 - 12/31/2023

Back

Findings and deficiencies

View the progress and status of findings and deficiencies within the system of quality management.

Findings

Deficiencies

Remediation details

Filter by

Component

17 selected

Or

Objective

Select objective

Nature

3 selected

Apply

Reset

Deficiencies

5

Nature of findings

Risk: 1

Objective: 2

Response: 2

Name	Status	Remediated
2023	Assessment In progress	No
CULTURE - FINDING - Survey not released	In review	No
FY23 Finding_08	Assessment In progress	N/A
FY23 Finding_22	In review	No
TA Finding0000	Assessment In progress	N/A

Export to excel

Figure 281: Finding and deficiencies report – Deficiencies Page

The summary bar provides details of the number of findings evaluated as deficiencies and the nature of those findings. The detail of the findings evaluated as deficiencies is displayed underneath the summary bar. Use the scroll bar at the bottom to scroll to the right and view the additional columns.

Remediation details tab

1/1/2023 - 12/31/2023

Back

Findings and deficiencies

View the progress and status of findings and deficiencies within the system of quality management.

Findings

Deficiencies

Remediation details

Filter by

Component

17 selected

Or

Objective

Select objective

Nature

3 selected

Apply

Reset

Remediation details

3

Nature of findings

Risk: 1

Objective: 1

Response: 1

Name	Status	Remediated	Reviewed and approved By	Nature of finding	F
2023	Assessment In progress	No		Quality risk	C
CULTURE - FINDING - Survey not released	In review	No	Crabtree, Hannah	Quality response	C
FY23 Finding_22	In review	No		Quality objective	D

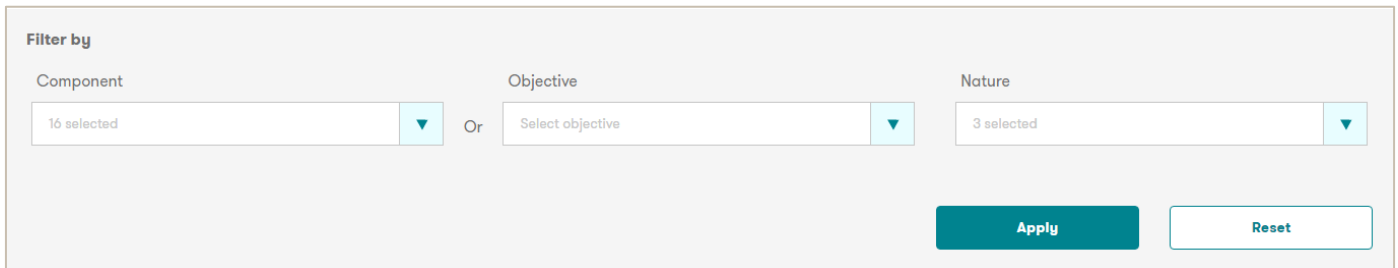
Export to excel

Figure 282: Finding and deficiencies report – Remediations Page

The summary bar provides details of the number of remediations and the nature of the findings to which the remediations relate. The detail of the findings is displayed underneath the summary bar. Use the scroll bar at the bottom to scroll to the right and view the additional columns.

All three tabs in this report can be customized by **Component**, or **Objective** and by **Nature**. These filters may be used individually or in combination to return the desired information. Multiple components, objectives or natures may be selected.

To customize this report, select the filters across the top of the report page and click **Apply**. Selecting a filter in one tab of the report will apply it to the other two tabbed sections of the report. Refer to the Risk and response matrix report above for details on using the filters.



Filter by

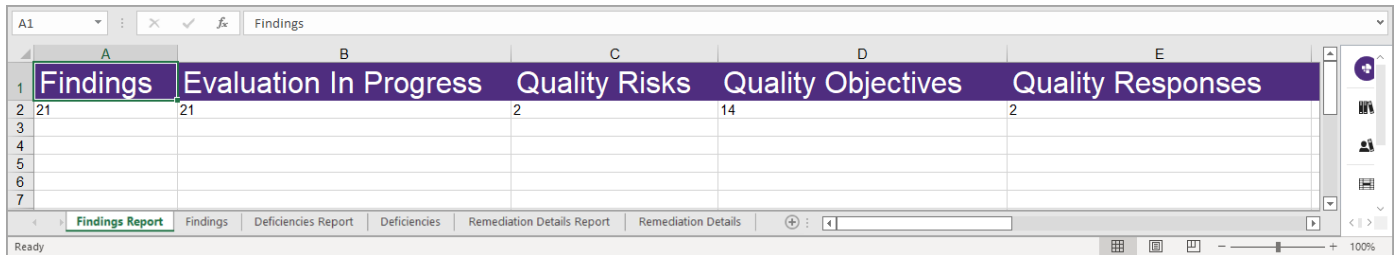
Component: 16 selected ▼ Or Objective: Select objective ▼ Nature: 3 selected ▼

Apply **Reset**

Figure 283: Findings and deficiencies filters

All three tabbed sections of this report are included in the same downloadable file.

To download the report as an Excel file, click **Export to excel** at the lower right corner of any of the three tabbed report pages.



	A	B	C	D	E
1	Findings	Evaluation In Progress	Quality Risks	Quality Objectives	Quality Responses
2	21	21	2	14	2
3					
4					
5					
6					
7					

Excel tabs: Findings Report, Findings, Deficiencies Report, Deficiencies, Remediation Details Report, Remediation Details

Figure 284: Findings and deficiencies filters

The Excel file has two tabs for findings, the first tab displays the **Findings Report** totals (summary information from the report), and the second tab displays the detailed **Findings**. The third tab displays the **Deficiencies Report** totals (summary information from the report), and the fourth tab displays the detailed **Deficiencies**. The fifth tab displays the **Remediation Details Report** totals (summary information from the report) and the sixth tab displays the **Remediation Details**.

Response Details Report

In this report, you can view information on responses developed to address identified and assessed risks in the SoQM.

An example of the **Response details report** is shown below.

If the report is too large to view on the screen, you can scroll down with your mouse, or use the scroll bars across the bottom to scroll left and right and the scroll bar on the right side to scroll up and down.

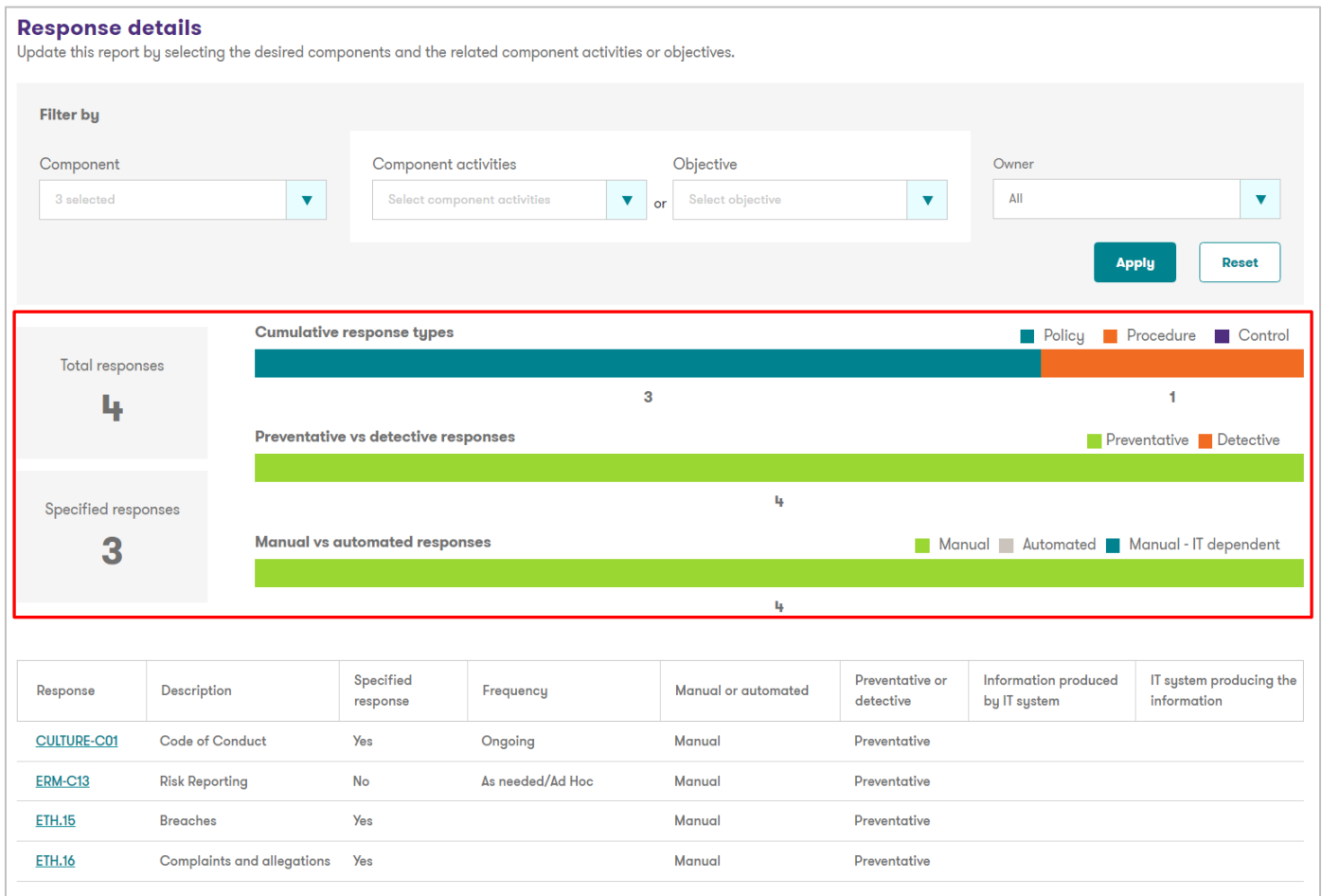


Figure 285: Response details report

The report shows the total number of responses and the total number of specified responses.

The summary bars provide details of the total number of responses by type, whether the response is designed to prevent or to detect a risk from occurring and the total number of manual and automated responses. The detail of each of those responses is then displayed underneath the summary bar. This includes, the description of the response, whether it is a specified response, its frequency of operation, its nature and details of IT systems or reports used in the operation of the response.

The **Response item page** can be viewed directly from the report by selecting the response you would like to view.

This report can be customized by **Component**, **Component activity** or **Objective and Owner**. Component(s) need to be selected to view the related Component Activities and Objectives in the dropdown option. These filters may be used individually or in combination to return the desired information. Multiple components, component activities or objectives may be selected.

To customize this report, select the **filters** across the top of the report page (Figure 286) and click **Apply**. Refer to the Risk and response matrix report above for details on using the filters.

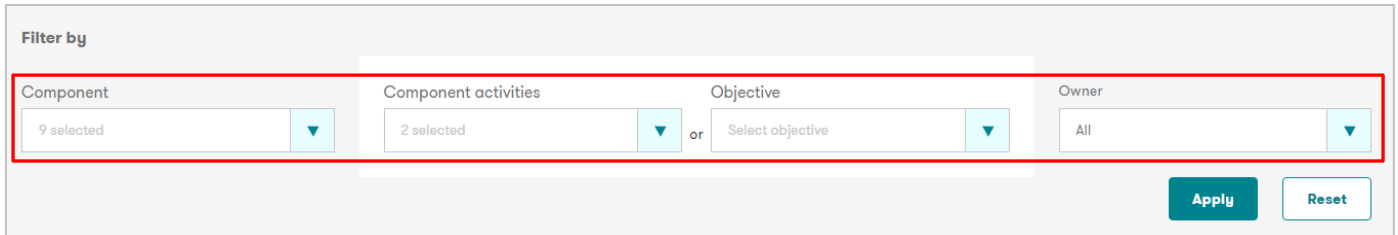
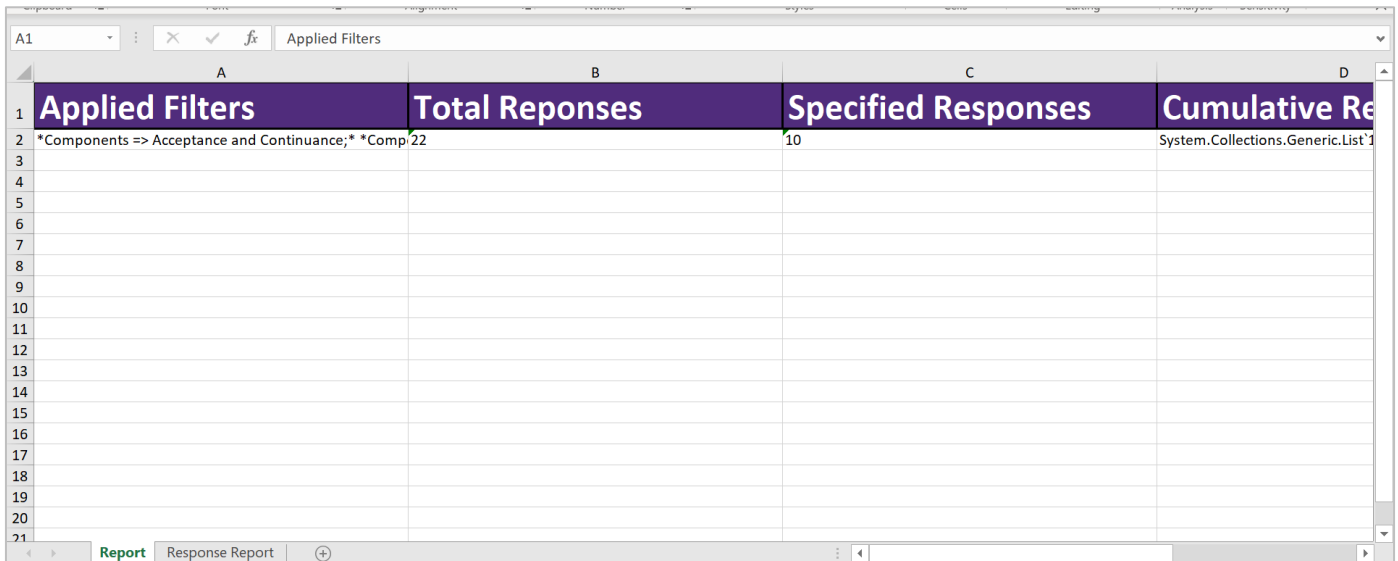


Figure 286: Response details report filters

To download the report as an Excel file, click **Export to excel** at the lower right corner of the page.



	A	B	C	D
1	Applied Filters	Total Responses	Specified Responses	Cumulative Re
2	*Components => Acceptance and Continuan...	22	10	System.Collections.Generic.List
3				
4				
5				
6				
7				
8				
9				
10				
11				
12				
13				
14				
15				
16				
17				
18				
19				
20				
21				

Figure 287: Response details report downloaded into Excel

The Excel file has two tabs, the first tab displays the **Report Totals** (summary information from the report), and the second tab displays the detailed **Response Report**.

Evaluation Periods

ISQM 1 requires a firm to evaluate its SoQM at least annually. Although, a firm may choose to evaluate more frequently, for example, semi-annually. This evaluation is facilitated through the use of **Evaluation periods (Periods)** in qm.x. The first **Period** will be set up by the System Administrator as part of the initial set up of your SoQM. The System Administrator is also responsible for setting up subsequent **Periods**. (Refer to the Configuration Guide for details on how to set up **Periods**).

At the end of an Evaluation period, items can be rolled forward into the next Evaluation period. Items typically rolled forward include objectives, requirements, component activities, risks, responses, deficiencies and test plans.

Evaluations Page

The **Evaluations** page is used to **create, edit and perform evaluations** of individual components and the SoQM as a whole.

Within each Evaluation period, Evaluations are conducted to determine and conclude whether the SoQM provides reasonable assurance that the objectives of the SoQM are being achieved, i.e., that it is designed and operating effectively. The individual or individuals assigned ultimate accountability and responsibility for the SoQM are required to conclude with reasonable assurance that the quality objectives of the SoQM have been achieved.

About Evaluations

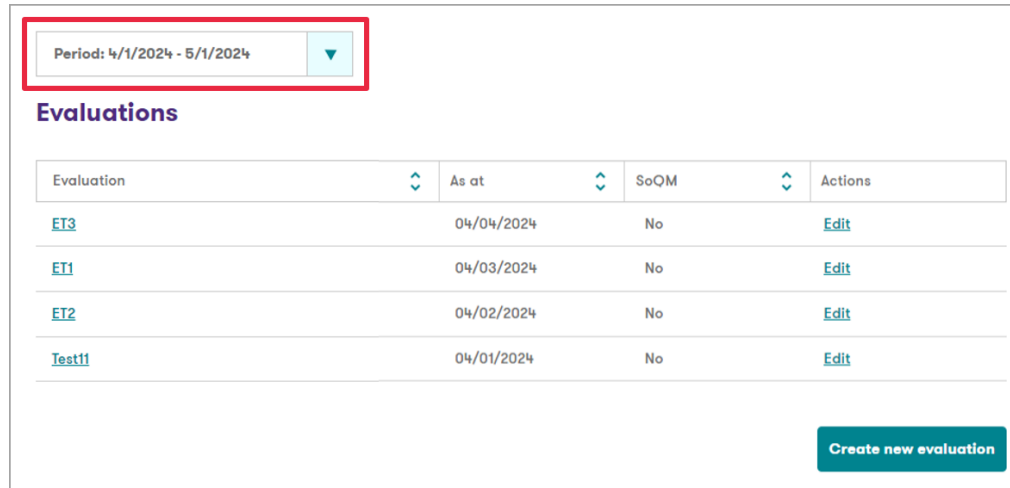
- An evaluation can be for any specified period up to one year.
- Multiple evaluations can be performed in an Evaluation period. However, the last Evaluation performed must have an 'as at' date that is the same date as the end of the Evaluation period.

Evaluations Page Layout

The **Evaluations** page (Figure 288) provides a list of one or more evaluations with status information about each evaluation in the columns to the right.

The Evaluation period at the top of the page will default to the last selected period. To change the Evaluation period, click the **down arrow** next to the Evaluation period field and select the desired Evaluation period **start – end dates**.

NOTE: An Evaluation can be created for any unlocked period.



Period: 4/1/2024 - 5/1/2024 ▼

Evaluations

Evaluation	As at	SoQM	Actions
ET3	04/04/2024	No	Edit
ET1	04/03/2024	No	Edit
ET2	04/02/2024	No	Edit
Test11	04/01/2024	No	Edit

[Create new evaluation](#)

Figure 288: Evaluations Page

Descriptions of the **Evaluations** page columns are listed and described in Table 5.

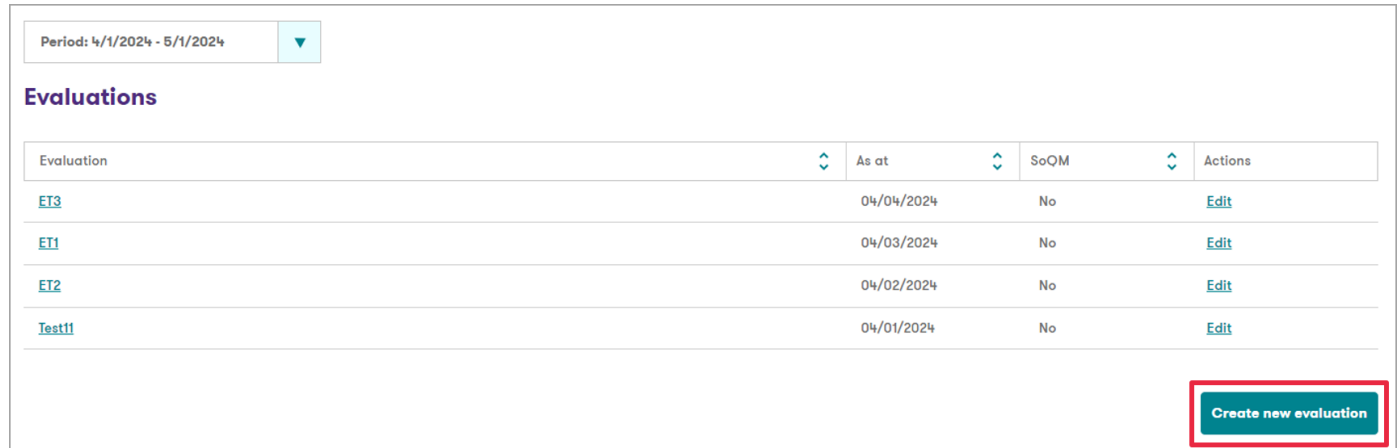
Table 5: Evaluation columns

Column Headings	Description
Evaluation	The title of the evaluation Click the title to display more detailed information about the evaluation.
As at	The date at which the evaluation has been performed. Multiple evaluations may be performed in an Evaluation period, however, one evaluation needs to be performed that has an 'as at' date that is the last day of the evaluation period.
SoQM	Yes or No Indicates if the evaluation has been completed by the SoQM owner(s).
Actions	If blank, the evaluation has been completed. If Edit link is displayed, click to continue or complete the evaluation.

To Create a New Evaluation

To create a new evaluation:

At the lower right of the **Evaluations** page (Figure 289), click **Create new evaluation**.



Period: 4/1/2024 - 5/1/2024 ▼

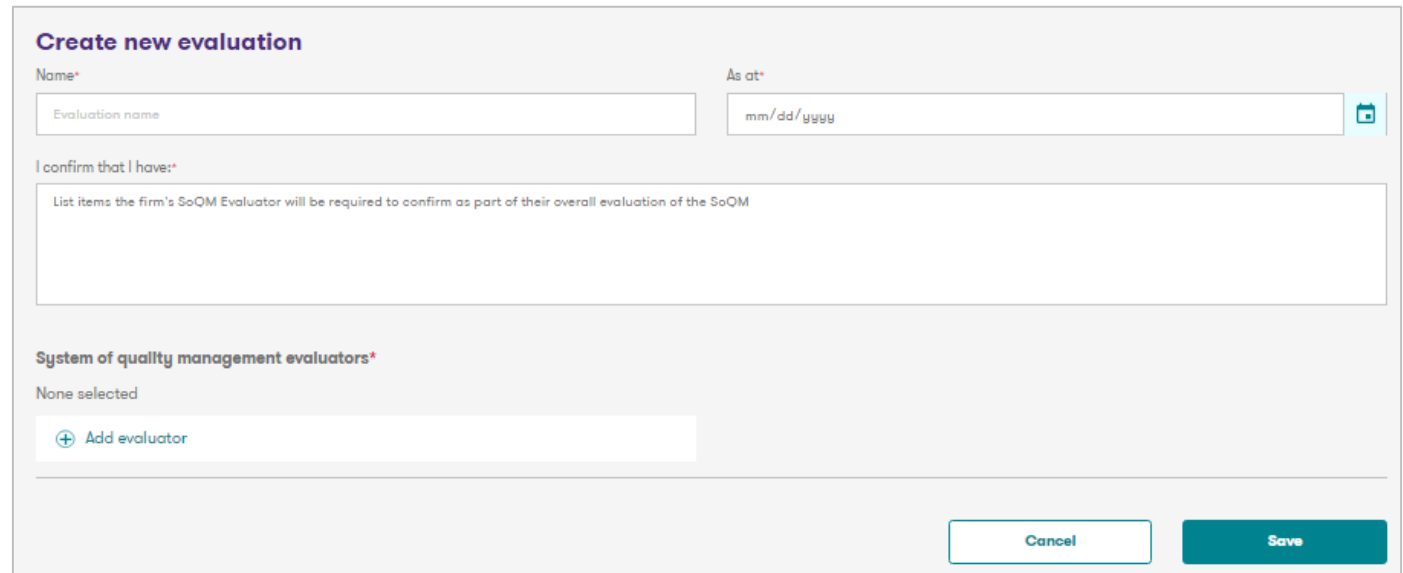
Evaluations

Evaluation	As at	SoQM	Actions
ET3	04/04/2024	No	Edit
ET1	04/03/2024	No	Edit
ET2	04/02/2024	No	Edit
Test11	04/01/2024	No	Edit

Create new evaluation

Figure 289: Create new evaluation

The **Create new evaluation** page will display the "I confirm that I have: " section for firms to list items that the firm's SoQM Evaluator will be required to confirm as part of their overall evaluation of the SoQM. (Figure 290).



Create new evaluation

Name* As at*

I confirm that I have:*

List items the firm's SoQM Evaluator will be required to confirm as part of their overall evaluation of the SoQM

System of quality management evaluators*

None selected

[+ Add evaluator](#)

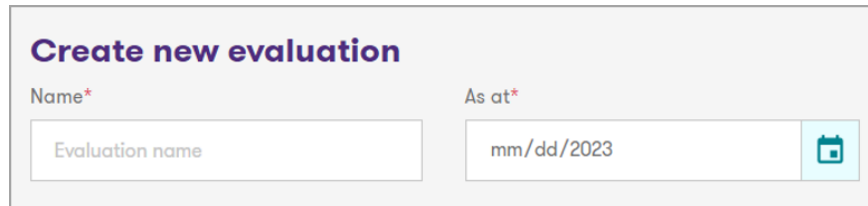
[Cancel](#) [Save](#)

Figure 290: Create new evaluation page

In the **Name** field, type in the **title** of the evaluation.

In the **As at** field, click the **calendar field** or icon  at the far right and, in the calendar popup, click to **select the day** the evaluation period will end.

The selected day, month, and year will populate the field in the date format adopted in your jurisdiction.



Create new evaluation

Name*

As at* 

Figure 291: Evaluation Name and As at date

To add a SoQM evaluator:

Click the  in the **Add evaluator** field.

In the blank field, start typing the name of the evaluator.

In the menu, scroll down and click the evaluator's name to select.

To remove an evaluator from the component, click the **minus** icon  next to the name to be removed.



System of quality management evaluators*

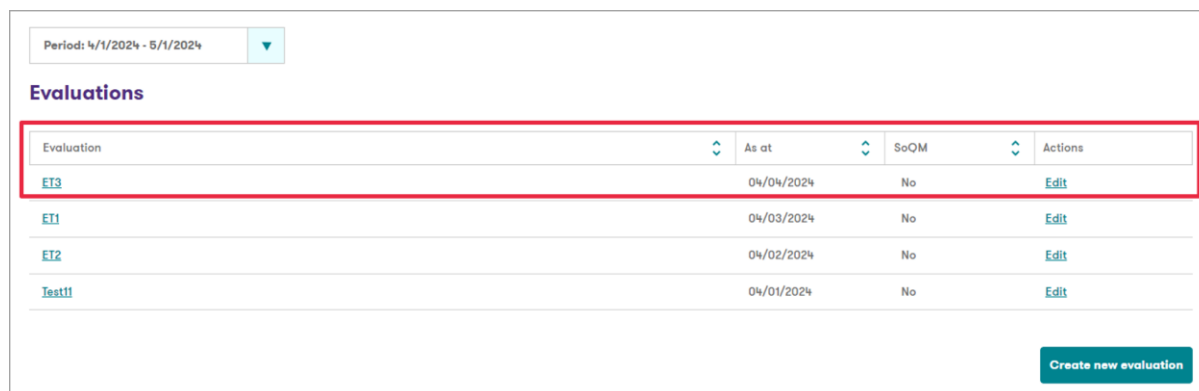
C 

 Add evaluator

Figure 292: Add SoQM evaluators

When finished, click **Save** at the bottom right of the page.

The new evaluation will appear on the **Evaluations** page (Figure 293).



Period: 4/1/2024 - 5/1/2024 

Evaluations

Evaluation	As at	SoQM	Actions
ET3	04/04/2024	No	Edit
ET1	04/03/2024	No	Edit
ET2	04/02/2024	No	Edit
Test11	04/01/2024	No	Edit

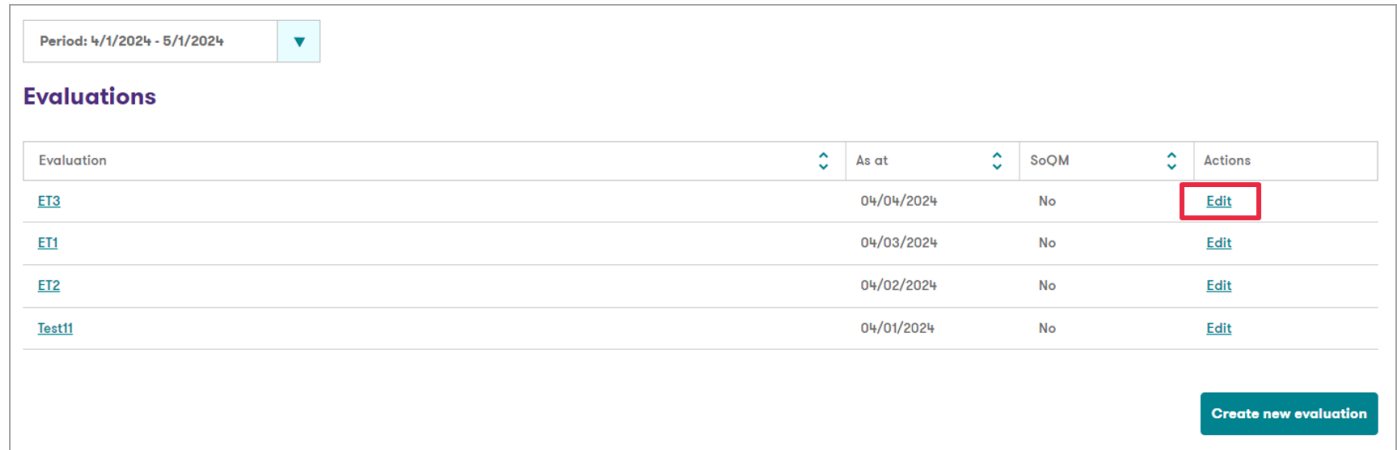
[Create new evaluation](#)

Figure 293: New Evaluation

To Edit an Evaluation

To edit an evaluation, on the **Evaluations** page, click **Edit** at the far right of the evaluation to be edited (Figure 294).

Only System Administrators can edit all evaluations.



Period: 4/1/2024 - 5/1/2024 ▼

Evaluations

Evaluation	As at	SoQM	Actions
ET3	04/04/2024	No	Edit
ET1	04/03/2024	No	Edit
ET2	04/02/2024	No	Edit
Test11	04/01/2024	No	Edit

[Create new evaluation](#)

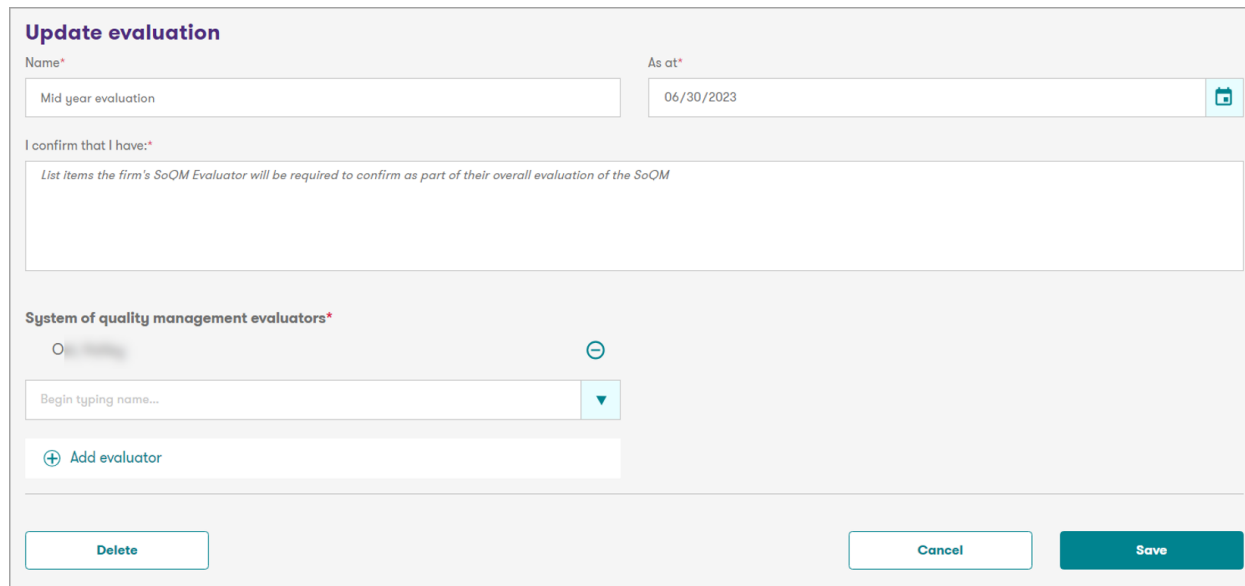
Figure 294: Edit Evaluation

In the **Update evaluation** page (Figure 295), if your role allows, you can:

Revise the **Name** of the evaluation.

Change the **As at** date.

Add or remove the evaluator for the **SoQM**.



Update evaluation

Name*

As at* 

I confirm that I have:*

List items the firm's SoQM Evaluator will be required to confirm as part of their overall evaluation of the SoQM

System of quality management evaluators*



[+ Add evaluator](#)

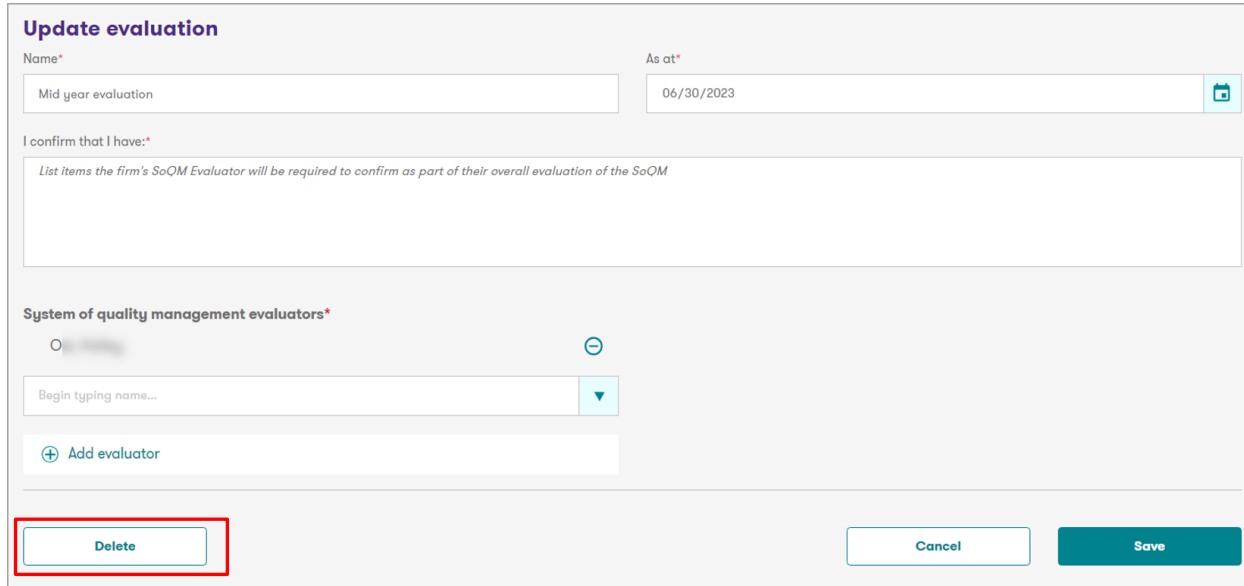
[Delete](#) [Cancel](#) [Save](#)

Figure 295: Edit Evaluation page

Click **Save** at the lower right of the page to save changes.

To Delete an Evaluation

To Delete the evaluation, click the **Delete** button at the bottom of the Edit evaluation page. A message will pop-up at the top of your screen asking, “Are you sure? You cannot undo this action.”



Update evaluation

Name* As at*

I confirm that I have:*

System of quality management evaluators*

[+ Add evaluator](#)

Delete **Cancel** **Save**

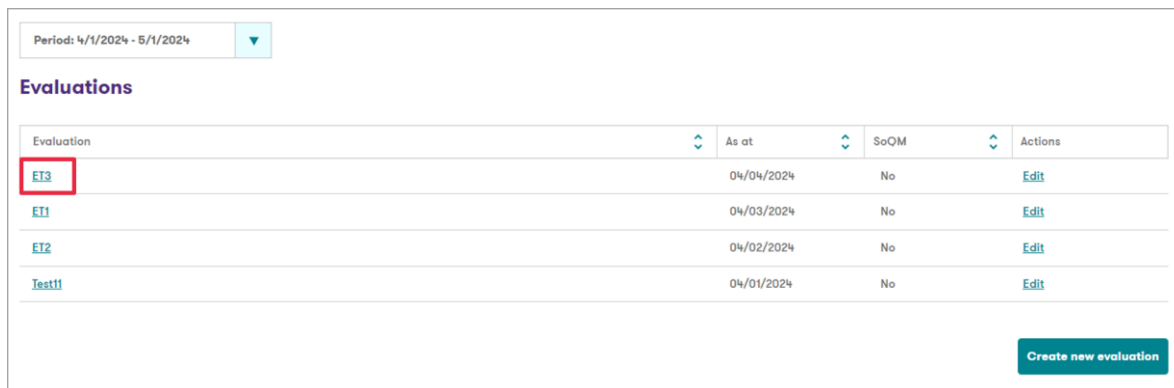
Figure 296: Delete Evaluation

To close the popup and delete the evaluation, click **OK**.

Once an evaluation is deleted; it cannot be restored.

To View Evaluation Details

To view details of an evaluation, in the **Evaluations** page (Figure 297) in the far-left column, click the **title** of the evaluation to be viewed.



Period: 4/1/2024 - 5/1/2024

Evaluations

Evaluation	As at	SoQM	Actions
ET3	04/04/2024	No	Edit
ET1	04/03/2024	No	Edit
ET2	04/02/2024	No	Edit
Test11	04/01/2024	No	Edit

[Create new evaluation](#)

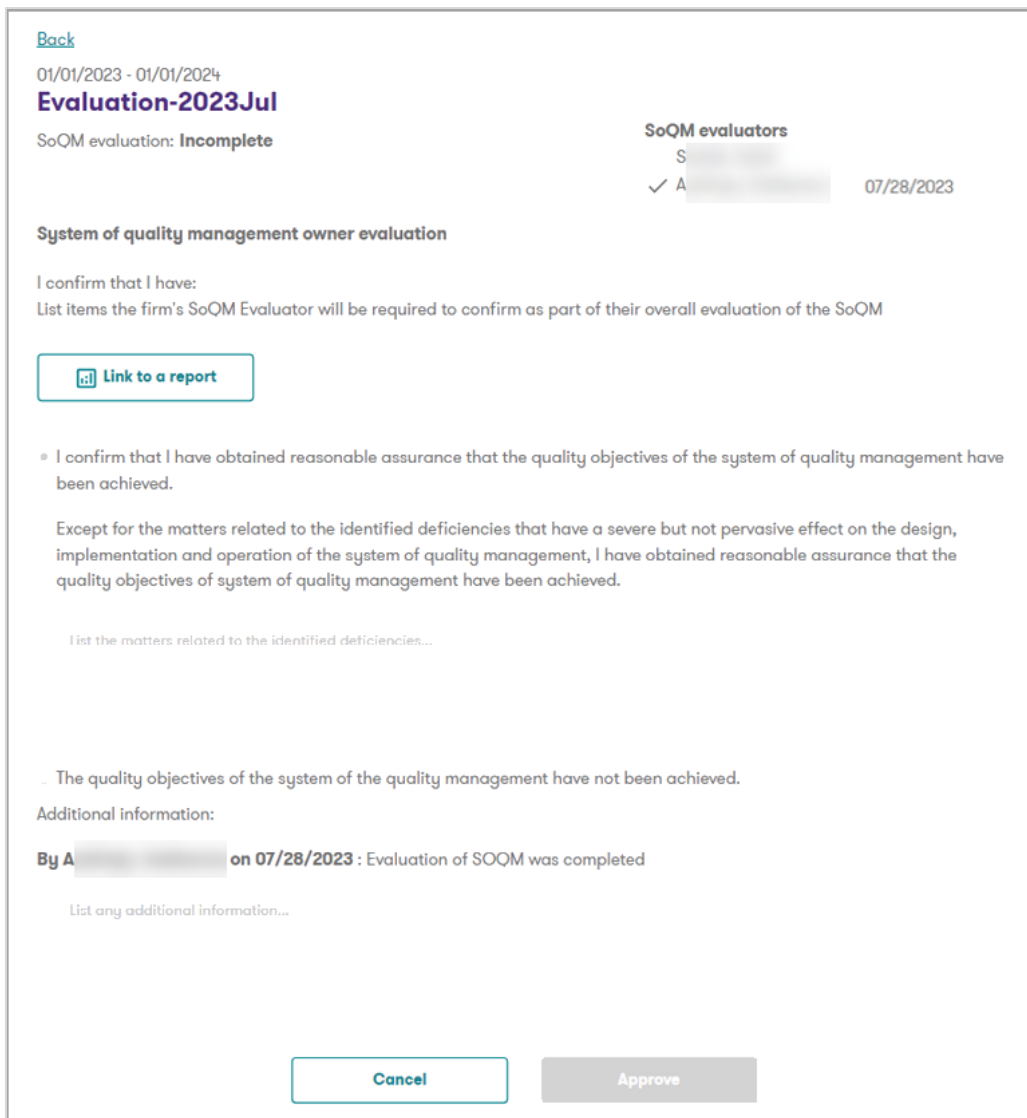
Figure 297: Evaluation table

System of Quality Management Evaluator Page

The evaluation details will display (Figure 298) for the evaluation level that the evaluation is currently in. At the upper left of the page will display:

- The **Period** of this evaluation
- The evaluation **Name**
- The status (**Incomplete** or **Complete**) of the System of quality management evaluation.

The SoQM evaluator is the person or persons assigned to conclude on behalf of the firm whether reasonable assurance has been obtained that the quality objectives of the SoQM have been achieved.



The screenshot shows the 'System of Quality Management Evaluator' page. At the top left, there is a 'Back' link. Below it, the period '01/01/2023 - 01/01/2024' and the evaluation name 'Evaluation-2023Jul' are displayed. The status 'SoQM evaluation: Incomplete' is shown. On the right, under 'SoQM evaluators', there is a list with a checked entry 'A' and a date '07/28/2023'. The main section is titled 'System of quality management owner evaluation' and contains a confirmation statement: 'I confirm that I have: List items the firm's SoQM Evaluator will be required to confirm as part of their overall evaluation of the SoQM'. Below this is a button labeled 'Link to a report'. A paragraph follows: 'I confirm that I have obtained reasonable assurance that the quality objectives of the system of quality management have been achieved. Except for the matters related to the identified deficiencies that have a severe but not pervasive effect on the design, implementation and operation of the system of quality management, I have obtained reasonable assurance that the quality objectives of system of quality management have been achieved. I list the matters related to the identified deficiencies...'. Another paragraph states: 'The quality objectives of the system of the quality management have not been achieved. Additional information: By A on 07/28/2023 : Evaluation of SOQM was completed. List any additional information...'. At the bottom, there are 'Cancel' and 'Approve' buttons.

Figure 298: SoQM Evaluation page

The **System of Quality Management Evaluator** page is used to record the procedures performed and documents or reports reviewed and considered by the **System of Quality Management Evaluator** in

determining whether the quality objectives of the SoQM have been achieved. This conclusion is also recorded on the System of Quality Management Evaluator page.

After performing the necessary procedures, to approve the evaluation, in the **System of Quality Management Evaluator** page, click the **small circle to the left** of the appropriate conclusion.

If the second option is selected, list the deficiencies that remain unremediated at the end of the evaluation period in the white text box displayed underneath the option.

Additional information section is provided for each evaluator for additional input.

Evaluators will be able to link the findings and deficiencies report via **Link to a report**.

01/01/2023 - 01/01/2024

Eval_1

SoQM evaluation: **Incomplete**

System of quality management owner evaluation

I confirm that I have:

 **Link to a report**

☐ I confirm that I have obtained reasonable assurance that the quality objectives of the system of quality management have been achieved.

☐ Except for the matters related to the identified deficiencies that have a severe but not pervasive effect on the design, implementation and operation of the system of quality management, I have obtained reasonable assurance that the quality objectives of system of quality management have been achieved.

List the matters related to the identified deficiencies...

☐ The quality objectives of the system of the quality management have not been achieved.

Additional information:

List any additional information...

Cancel

Approve

Figure 299: Link to a report

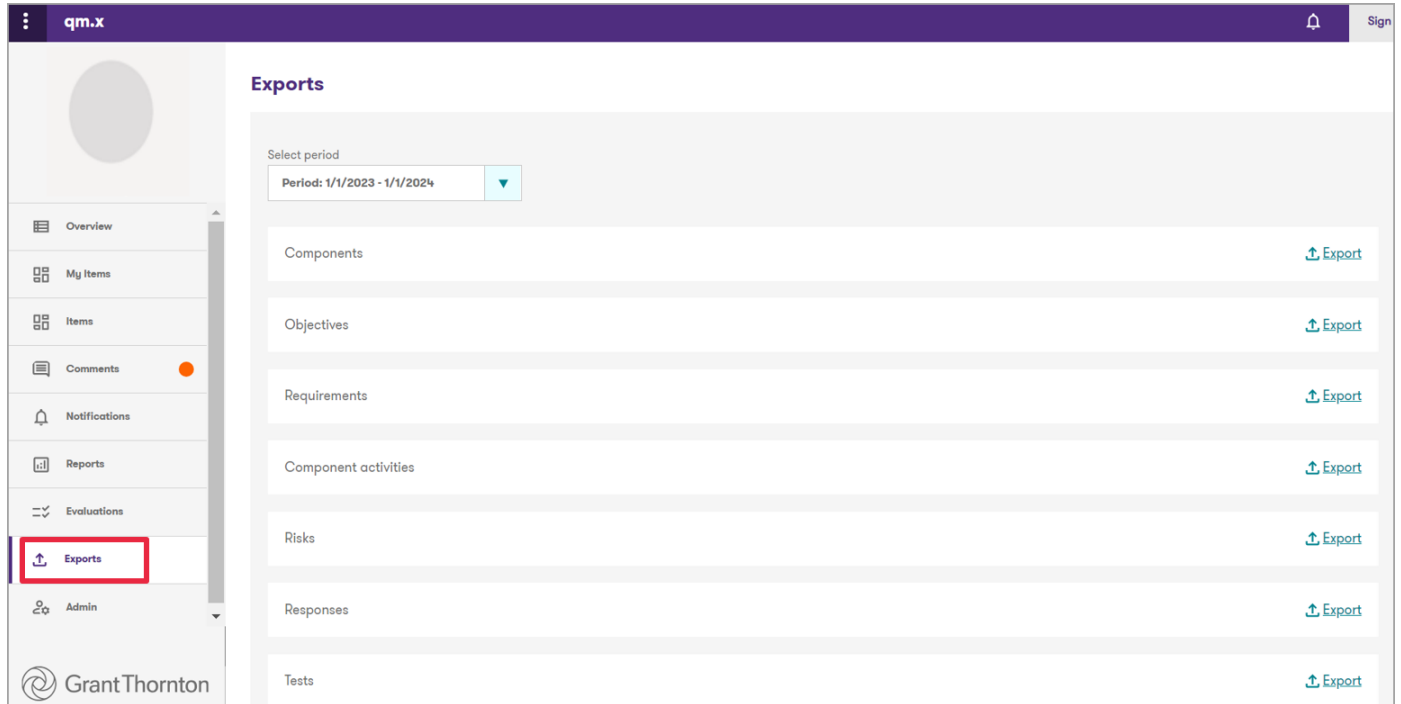
When finished, click **Approve** to finalize the evaluation of the system of quality management for that evaluation period. Selecting **Cancel** will delete any information entered into the item.

Export Page

The **Export** page can be used to download data from the SoQM. Data can be downloaded in Excel files by item type or by items where the necessary relationships have not been created.

In the left column of the **Export** page are SoQM item types or relationship types (Figure 300).

In the right column are **Export** links.



The screenshot displays the 'qm.x' application interface. On the left, a vertical navigation menu lists various functions, with 'Exports' highlighted by a red rectangular box. The main area, titled 'Exports', features a 'Select period' dropdown menu currently showing 'Period: 1/1/2023 - 1/1/2024'. Below the menu is a table-like structure listing seven item types: Components, Objectives, Requirements, Component activities, Risks, Responses, and Tests. Each item type has a corresponding 'Export' link (represented by a blue upward arrow icon) to its right.

Figure 300: Export Item Types

To Export Data

In the **Export** tab, click **Export** at the far right of the item type to be exported (Figure 301). In this example, it is **Components**.

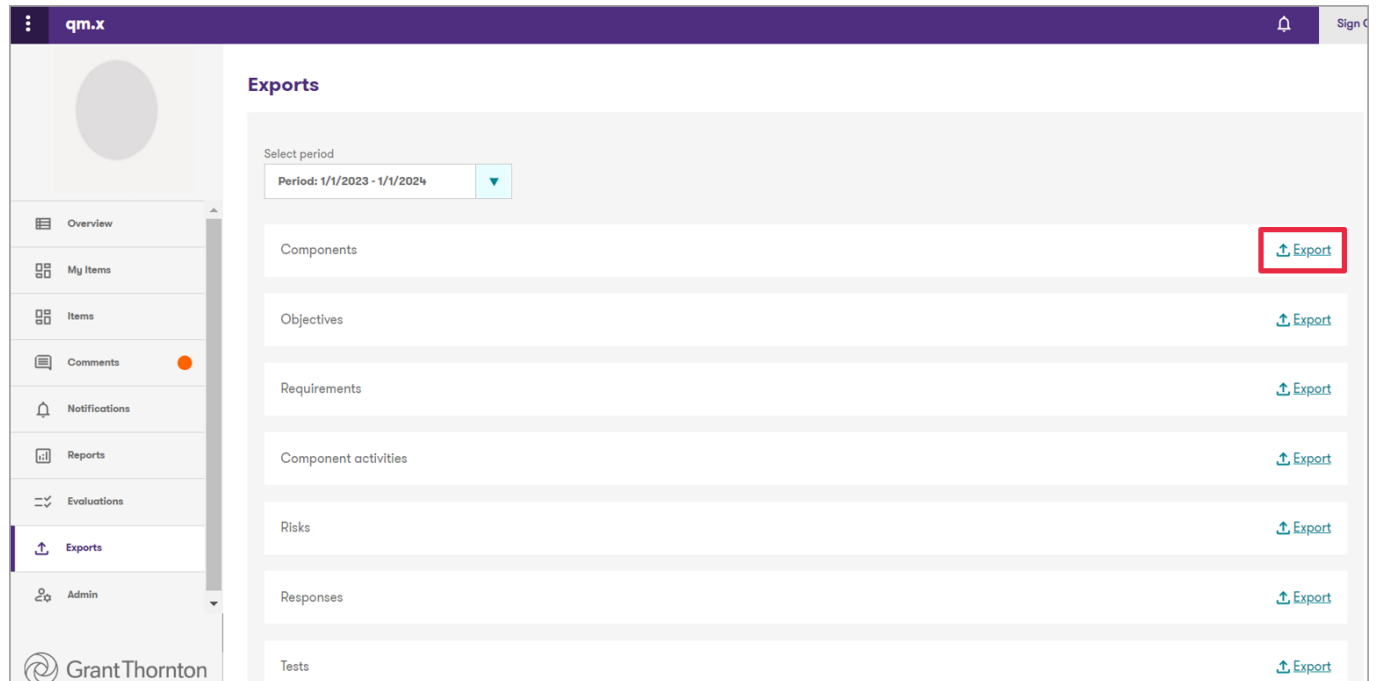
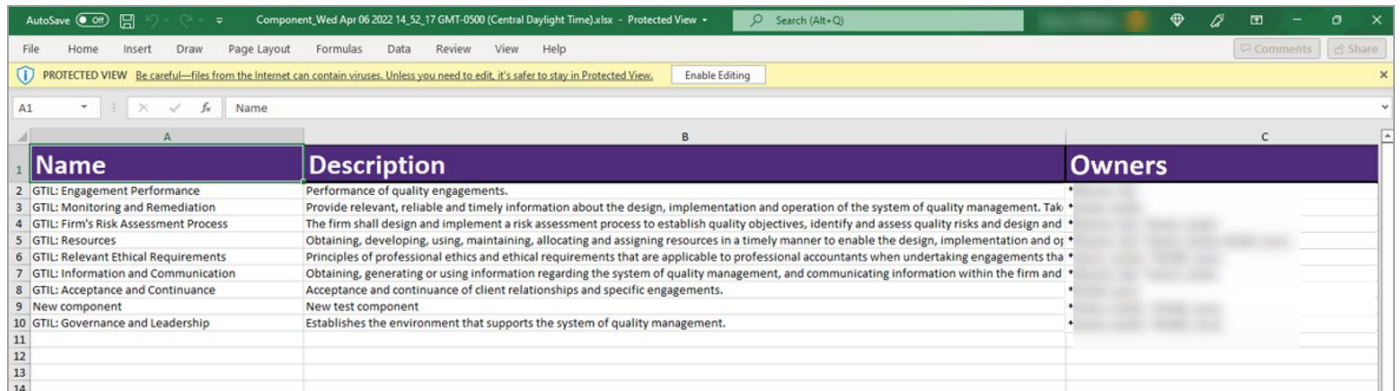


Figure 301: Export selected Item Type

Data for the selected item type will be exported as an Excel file (Figure 302).



Name	Description	Owners
2 GTIL: Engagement Performance	Performance of quality engagements.	
3 GTIL: Monitoring and Remediation	Provide relevant, reliable and timely information about the design, implementation and operation of the system of quality management. Tak	
4 GTIL: Firm's Risk Assessment Process	The firm shall design and implement a risk assessment process to establish quality objectives, identify and assess quality risks and design and	
5 GTIL: Resources	Obtaining, developing, using, maintaining, allocating and assigning resources in a timely manner to enable the design, implementation and op	
6 GTIL: Relevant Ethical Requirements	Principles of professional ethics and ethical requirements that are applicable to professional accountants when undertaking engagements tha	
7 GTIL: Information and Communication	Obtaining, generating or using information regarding the system of quality management, and communicating information within the firm and	
8 GTIL: Acceptance and Continuance	Acceptance and continuance of client relationships and specific engagements.	
9 New component	New test component	
10 GTIL: Governance and Leadership	Establishes the environment that supports the system of quality management.	
11		
12		
13		
14		

Figure 302: Export Data file

To view and use the data in the Excel file (Figure 303) click **Enable Editing** at the top center of the screen.

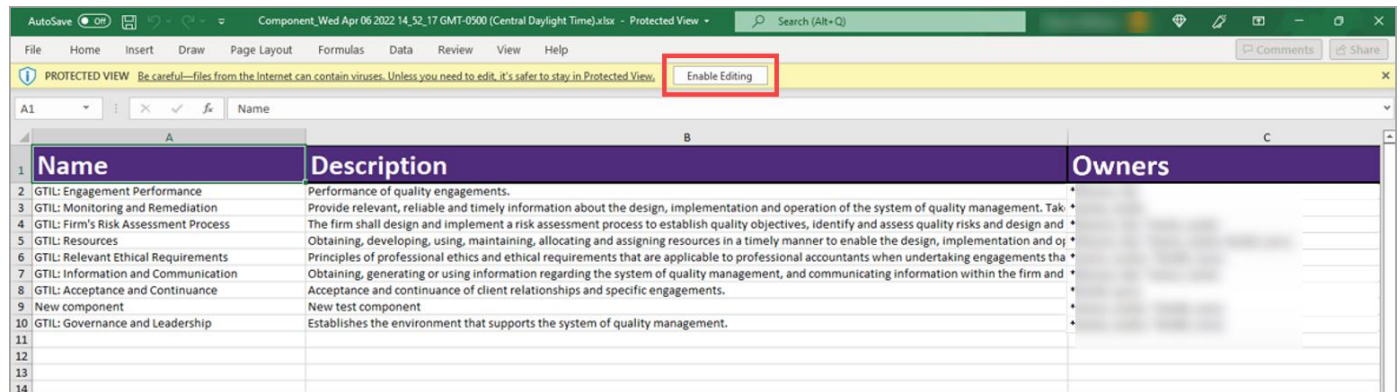


Figure 303: Enable editing

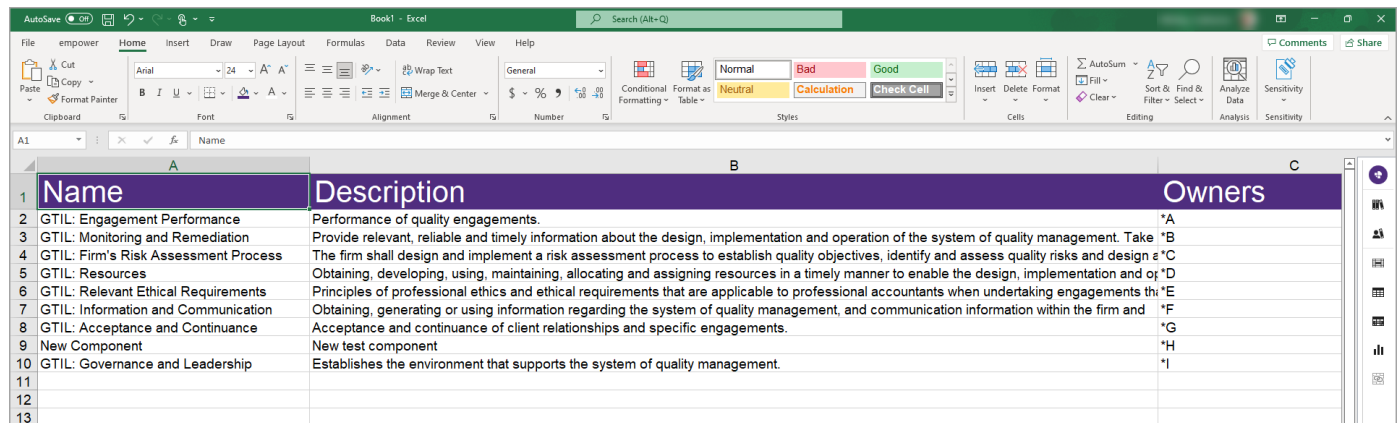


Figure 304: Export spreadsheet

Appendix A: Glossary

This appendix outlines key terms, in alphabetical order, and their meanings.

Complex Risks	Complex risks may be used to capture the separate evaluation of the possibility of a risk occurring ('Possibility of occurrence') and, should it occur, the significance of its effect ('Significance of effect'). Performing this separate evaluation is optional in qm.x.
Component	A means by which a firm can organize its SoQM. They are essentially a collection of activities that can be combined to address similar objectives of the firm's SoQM. For example, ISQM 1 suggests that the SoQM is organized into eight components, with <i>governance and leadership</i> as one of those components. The governance and leadership component encompasses all the activities that a firm might have in place to manage itself, including its strategic decisions and actions and its role in serving the public interest.
Component activities	Allows users to break their components down into activities or process that occurs within that component. For example, the component of <i>governance and leadership</i> may include activities around how the firm: • Develops and promotes its culture • Communicates and implements its commitment to quality • Assigns responsibilities for management and leadership of the firm • Develops and implements its strategic and operational budgets • Addresses complaints and allegations
Component owner	An individual or individuals assigned operational responsibility for the activities undertaken within the component, including the operation of the firm's risk assessment process.
Deficiencies	Deficiencies arise from findings and exist when: • A quality objective, required to achieve the objective of the SoQM, is not established • A quality risk, or combination of quality risks, is not identified or properly assessed • A response, or combination of responses, does not reduce to an acceptable level the likelihood of a related quality risk occurring because the response is not properly designed, implemented or operating effectively • Other aspects of the SoQM are not properly designed, implemented or operating effectively.
Findings	Information about the design, implementation and operation of the SoQM derived from the performance of monitoring activities, external inspections and other sources. Findings may arise from monitoring activities performed at the engagement level and monitoring activities performed over the SoQM.
Item	An item is an object or element that comprise the SoQM. Items include Components, Component Activities, Objectives, Requirements, Risks, Responses, Tests, and Findings .

Item owner	An item owner is an individual or individuals assigned responsibility for an Item within the SoQM. An item owner may be a delegee of the primary owner.
Primary owner	The primary owner is the individual who is primarily responsible for the item.
Period	The period or Evaluation period is the designated time period over which a firm assesses whether its SoQM provides reasonable assurance that the objectives of the SoQM are being achieved in accordance with the quality management standards.
Quality Objectives or Objectives	The desired outcomes in relation to the components of the SoQM to be achieved by the firm. They are the outcomes that the firm believes it needs to achieve for its SoQM to be effective in the firm's management of quality. Quality objectives can also help a firm identify its quality risks.
Remediation	Actions taken to address findings or deficiencies identified in the SoQM. This may include, amongst other actions, correcting the operation of a response, adding a missing response or identifying and assessing a missing risk.
Requirements	Actions required by standards, such as specified responses or other obligations in relation to the firm's system of quality management. Requirements may also include obligations imposed on the firm where that firm belongs to a larger network of firms.
Residual Risk	The risk that remains after the responses to address the risk have been put in place.
Responses	Policies or procedures designed and implemented by the firm to address one or more quality risks. Policies are statements of what the firm requires to be done to address a quality risk. Procedures are actions to implement policies. A common procedure is a control.
Risks to meeting Quality Objectives or Risks	Risks that have a reasonable possibility of occurring and individually, or in combination with other risks, adversely affecting the achievement of one or more quality objectives. These risks reflect that nature and circumstances of the firm and the environment in which it operates.
Specified Response	A response required to be designed, implemented and operated by a firm as part of its SoQM.
Test	A test is an action taken to confirm that a response is designed, implemented and operating effectively.
Test plans	The monitoring procedures planned by a firm during an evaluation period to determine whether its SoQM is designed, implemented, and operating effectively.
Test work	The execution of the testing plan.

Appendix B: Notifications

This appendix outlines the different types of notifications.

Users (the associated users) will be notified within the qm.x application for the following events:

Action or Event	Items Affected	Users Notified
Items – General		
A new item is created	Component Component activities Objectives Risks Responses Tests	Primary owners Owners Testers Reviewers
An existing item is updated or deleted	Component Component activities Objectives Risks Responses Tests	Primary owners Owners Testers Reviewers
Ownership of an item is changed - a new owner or primary owner is added - an existing owner or primary owner is deleted	Component Component activities Objectives Risks Responses	New primary owners New owners Existing primary owners New primary owner
Tests		
Testers or reviewers are changed - a new tester or reviewer is added - an existing tester or reviewer is deleted	Tests	New tester New reviewer Existing tester Existing reviewer
Test is due to be completed - due date of the test is approaching (one month before and one week before) - date test is due	Tests	Tester Reviewer

Action or Event	Items Affected	Users Notified
Completion of a test is past due - one day past due - one week past due - one month past due	Tests	Tester Reviewer Primary owner of related response Owner of related response
Completion of a test is over one month past due	Tests	Individual or individuals assigned operational responsibility for the system of quality management
Test status changes to <i>Ready for review</i>	Tests	Reviewer
Test status changes to <i>In Process</i> from <i>Ready for review</i>	Tests	Tester
Findings		
A new finding is created	Finding Tests	Finding owner Component owner (where Finding is created directly from the Component) Primary owner of any item related to the finding Owner of any item related to the finding
An owner, reviewer or approver is added to a finding	Finding	New owner New reviewer / approver
A finding is classified as a deficiency	Finding	Owner Reviewer / approver
Evaluations		
A new evaluation is created	Evaluations	System of quality management evaluators
Evaluation is due to be completed - two weeks before the close of the evaluation period - last day of evaluation period - one month after the end of the evaluation period	Evaluations	System of quality management evaluators
First System of quality management evaluators has completed the evaluation and multiple System of quality	Evaluations	System of quality management evaluators (yet to approve the evaluation)

Action or Event	Items Affected	Users Notified
management evaluators assigned to the component		
The System of quality management evaluators evaluation has been completed	Evaluations	System of quality management evaluators
Evaluation periods		
A new evaluation period has been created and is available for use	Evaluation period Component Component activities Objectives Risks Responses Test plans	All individuals assigned a role in the system of quality management
Data in the evaluation period has been successfully rolled forward into a subsequent evaluation period	Evaluation period Evaluations Component Component activities Objectives Risks Responses Test plans	All individuals assigned a role in the system of quality management
The evaluation period has been locked and is no longer available for use	Evaluation period Evaluations Component Component activities Objectives Risks Responses Tests Findings	All individuals assigned a role in the system of quality management
The evaluation period has been permanently deleted	Evaluation period Evaluations Component Component activities	All individuals assigned a role in the system of quality management

Action or Event	Items Affected	Users Notified
	Objectives Risks Responses Tests Findings	
User roles		
A user is assigned a role in the system of quality management	User roles	Individual assigned the role
A user is assigned a different role within the system of quality management	User roles	Individual assigned the new role
A user is removed from the system of quality management	User roles	Individual removed from the system of quality management
System or administration notifications		
Service pack or system update	Notifications page Notifications pane	All individuals assigned a role in the system of quality management
Notification created by the system administrator	Notifications page Notifications pane	Individuals effected by the notification