TORQUE
SOFTWARE

Lighthouse User Guide
Non-Compliance Reporting

Version 6.0.7

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REPORTING NON-COMPLIANCES

What is a Non-Compliance

A Non-Compliance is any action not in compliance with the governance framework under which you work, such as the PGPA Act. The Non-Compliance may have been committed by yourself, or you may know of a Non-Compliance that has been committed by someone else.

When you submit a Non-Compliance the following people may be notified by email of the Non-Compliance:

- The person who committed the Non-Compliance,
- The Supervisor of the person who committed the Non-Compliance,
- The Non-Compliance Module Administrator (called the Administrator in this section).

Note: the Administrator may turn some or all of these emails off.

Who Administers Non-Compliances

Your Administrator is responsible for the following duties in this Module:

- setting categories and questions in the Report a Non-Compliance screen,
- setting permissions of who can see the Non-Compliance,
- setting up who receives notification emails when a Non-Compliance is reported,
- finalising Non-Compliances,
- reporting and collating information on Non-Compliances for management.

Note: Instructions for the Administrator is given in the Section -Global Non-Compliance Report Form Settings.

Who Can Report a Non-Compliance?

Any logged-in user can report a new Non-Compliance by either:

1. Select New > Non-Compliance from the menu.
2. Selecting the Non-Compliance Tile from the home page, and then clicking on the Report New Non-Compliance button at top of screen, or
3. Selecting the Report Non-Compliance option Non-Compliance tile.

Who Can See a Non-Compliance?

You will only be able to see those Non-Compliances that you have permission to view, where you are:

- the Committer,
- the Submitter,
- the Supervisor nominated in the Non-Compliance,
- an editor,
- have reporting permission for the organisation unit in the Non-Compliance, or
- an Administrator.

How to Report a Non-Compliance

Navigation: New > Non-Compliance

The FMCS can record Non-Compliances to the PGPA Act and other governance frameworks.

1. Enter the date the Non-Compliance occurred (use an approximate date if the exact date is not known), the FMCS will present a set of Category Non-Compliance options relevant to the framework in force at the time of the Non-Compliance.
2. Enter the date the Non-Compliance was identified.
3. Enter the details of the person who committed the Non-Compliance. The **Status of committing party** and **Committed By** fields will default to the person entering the Non-Compliance.

   To change who committed the Non-Compliance, firstly select the appropriate **Status of committing party**. According to the Status selected, an appropriate option for Selecting the individual or Organisation will appear.

   If the **Committed by** is a current or non-current official, use the search option in the field. Type, part, or the full name full name and select the Search button. Select the appropriate person from the list presented.

   If the **Committed by** is an external individual or organisation, complete the required fields presented.
4. The **Responsible Organisation Structure and Supervisor** will default to pre-set information entered into FMCS when the "Committed By" details are entered. To change the Responsible Organisation Structure select from the drop down options. Note: your Administrator may have configured the Responsible Organisation Structure field with a different name.

5. To change the Supervisor, click on the Search icon next to the Supervisor's name. Type, part, or the full name full name and select the Search button. Select the appropriate person from the list presented.

6. Select the relevant **Category of Non-Compliance** that has occurred. The screen will refresh and present a further set of questions relevant to that Category. Note: Non-Compliance categories and questions are configured by the administrator based on the applicable and relevant Australian Government Act/s, Rules, delegations or guidelines.

   If you know the Requirement that has not been complied with, select the Find Requirement link , located above the category of Non-Compliance line and enter the relevant Act and Section. This is a short cut to display only those questions to the relevant Requirement entered. This is particularly useful for those entering common or frequent Non-Compliances to which they know the specific Requirement.

   Note: If you have selected a Procurement Related Non-Compliance you may be prompted to enter specific information relating to the vendor, contract and invoices details.

7. Complete the **Question** Section. You may find the Help icon next to some questions. Further information regarding the question will be available by clicking on the icon.

8. Continue to enter information on the Non-Compliance in the "**How did the Non-Compliance occur**?" section.

9. Enter the appropriate response to **Resolution**. This may be a free text box or a list of options depending on how your Administrator has configured this section. Multiple resolutions may be selected.

   If "Other" is chosen, another text box will appear so that details of the corrective action can be recorded.

   Note: Resolution may not be available, depending on the configuration of the Compliance module.

10. Enter the appropriate **Corrective Action**. This may be a free text box or a list of options depending on how your Administrator has configured this section. Multiple resolutions may be selected.

    If "Other" is chosen, another text box will appear so that details of the corrective action can be recorded.

    Note: Corrective Action may not be available, depending on the configuration of the Compliance module.

11. The **Corrective Action Date** entered can be a future date. If the exact date is not known, enter the most likely date.

Note: Corrective Action Date may not be available, depending on the configuration of the Compliance module.

12. Relevant documents may be attached to the form by selecting Browse button in the attachments section.

13. The History Log is located at the bottom of the screen. This details the complete history the Non-Compliance has progressed: from its creation, through all actions until it is finalised. The most recent action appears at the top of the box, oldest action at the bottom. Use the scroll bar at the right side of the box to navigate up and down.

14. This form can be Deleted, Allocated, Saved as a Draft or Submitted.

Delete

To Delete before a new Non-Compliance has been Saved or Allocated, select the browsers back arrow to return to the Non-Compliance In-Tray. A confirmation message will appear that the entry has been Deleted. The originator can Delete a new Non-Compliance they have Saved as a Draft, but only if the record has not been Allocated. Once a new Non-Compliance has been Allocated or Submitted, only an Administrator can Delete the Non-Compliance.

To Delete a Saved Non-Compliance click on the Delete button on the bottom left of Screen. Select the reason from the drop down menu and record any appropriate comments. Click on the Delete button. A dialog box will appear asking for confirmation of Deletion. Select OK.

Allocate

The Allocate button on the bottom right of the screen sends this form to another person to complete it. Please see the Allocate Non-Compliance section for further details.

Save Draft

Saving the form as a Draft will save all the information you have entered and the form will remain in your In-tray for you to action at a later date.

Submit

Submitting the form will send it to your Administrator for action. Only a completed form can be submitted. Any incomplete items will be highlighted for completion. Once a Non-Compliance has been successfully Submitted a confirmation message will appear on the screen.

15. Once the Non-Compliance has been submitted, the Administrator will be notified of the submission and will either Finalise the Non-Compliance or Return it for Amendment.

16. You will receive an email from the Administrator of the outcome.

17. If the Administrator requires you to Amend the Non-Compliance, you will receive an email regarding the amendment required.

Note when submitting a Non-Compliance report during a survey you will not be able to save draft or allocate the Non-Compliance to others.

Sending a Non-Compliance to someone else for review or editing

A Non-Compliance may be sent to another editor for review or completion. One editor can fill out all, or some, of the details of a Non-Compliance and then send it to another editor for further information to be added. This process is called **Allocating** a Non-Compliance. Allocated Non-Compliances are in Draft status until submitted.

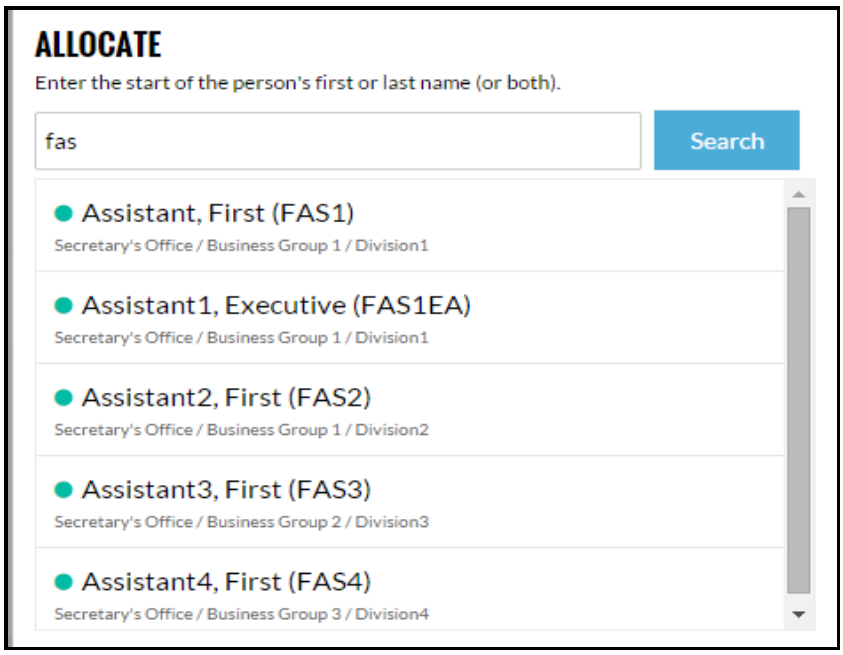
You may want to Allocate a draft Non-Compliance to another editor to complete, or to check the facts before finally Submitting the Non-Compliance to the Administrator.

A Non-Compliance can be Allocated to only one person at a time, but it can then be re-allocated multiple times.

An editor who has been Allocated a Non-Compliance can edit, save, re-allocate or submit the Non-Compliance.

How to Allocate a Non-Compliance

1. Once the Non-Compliance has been created, you can select the Allocate button at the bottom of the Report a Non-Compliance screen.
2. A dialog box will appear. Enter any part of the person's name, and select the Search button. A drop down list will appear with possible choices. Select the appropriate name.



3. A second dialog box will appear to allow you to enter an optional message to the recipient. This message will appear both in an email to recipient, and in the History Log of the Non-Compliance.
4. Select the **Allocate** button again and the Non-Compliance is sent to the recipient along with an email message informing them of the allocation.
5. A confirmation message will appear that the action was successful.

   Note: If you attempt to allocate a Non-Compliance to yourself, an error message will display advising that is not a possible action.

Finding a Non-Compliance

You will only be able to find Non-Compliances you have permission to view.

Finding a Non-Compliance can be performed by:

- using the Search Function,
- Viewing your In-Tray
- Running a Non-Compliance Report if you have permission to run reports.

Note: The keyword searches are performed on text entered by users not pre-entered data such as headings and category titles. If you wish to search on a Category you will need to run a Report on the Category.

Deleted Non-Compliances cannot be found using the Search Function, only by running a Report.

PROCESSING A SUBMITTED NON-COMPLIANCE (Administrator Functions only)

Once a Non-Compliance has been submitted, it will appear in the Administrator's In-Tray for action.

Open the Non-Compliance by selecting the desired Non-Compliance. Either select the arrow or the title of the Non-Compliance to open it. Upon opening the Non-Compliance, the Administrator is required to review the Non-Compliance and can make the following actions:

1. Save, or
2. Return for Amendment,
3. Finalise
4. Unlocking a Finalised Non-Compliance
5. Delete a Non-Compliance

Save the Non-Compliance

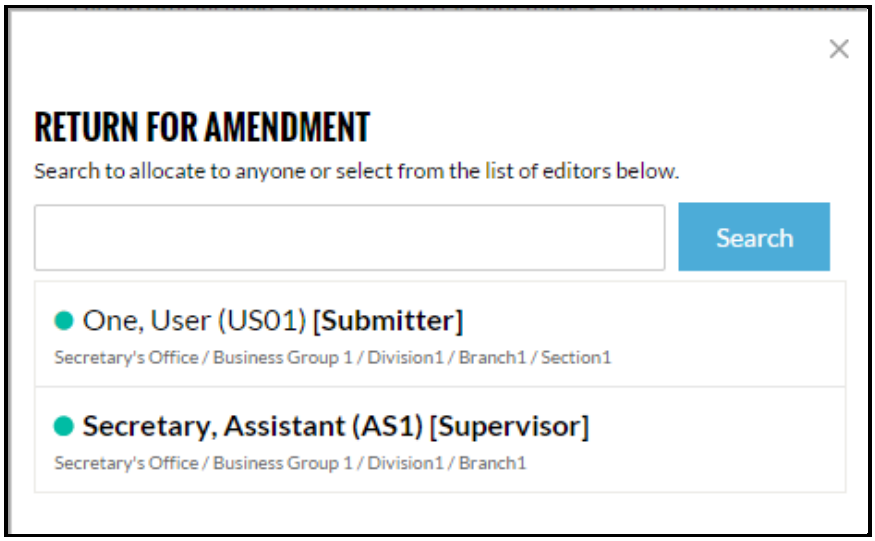
You can edit the Non-Compliance and Save it. This allows you to come back and work on the Non-Compliance later without losing any current editing.

Select the **Save** button at the bottom of the screen.

Return for Amendment

The Non-Compliance can be returned to any authorised person for amendment.

1. Select the **Return for Amendment** button at the bottom of the screen.
2. A dialog box will appear showing a list of all the users who have worked on, or are recorded in the Non-Compliance.



3. Select one of the users by clicking on the name. You may also return to any authorised person by typing any part of a name and selecting the Search button. Locate the person you require in the list and click on their name.

4. A message box will appear that gives you the option to type a message that will appear both in an email to the recipient and in the History Log of the Non-Compliance.

5. Select the Allocate button. The Non-Compliance is sent to the selected person for amendment.

Finalising the Non-Compliance

When finalising the Non-Compliance, the Administrator has the option of editing the Non-Compliance before finalisation. It is important that the Non-Compliance is accurately reported.

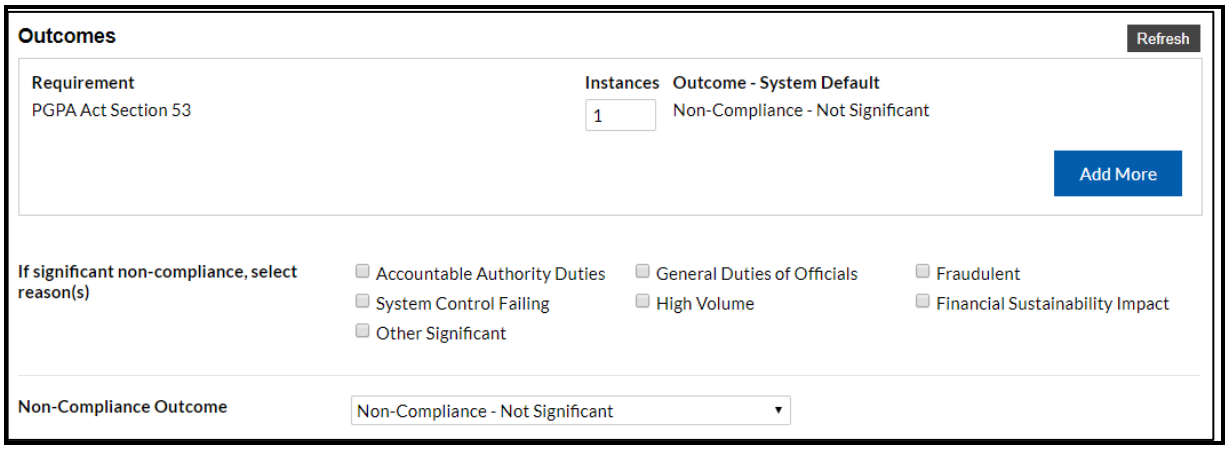
1. Open the Non-Compliance and review.

2. Administrators can change any information about the Non-Compliance. However, it is recommended if changes are required, the Non-Compliance be returned for amendment back to the submitter.

3. The Administrator Comments field is for Non-Compliance Administrator comments only. FMCS is designed to duplicate the comments the author enters in the "How did the Non-Compliance occur?" field as a default. However, the Non-Compliance Administrator can overtype these comments as required.

4. If you have made changes to the submitted Non-Compliance when finalising, you should select the Refresh button to ensure the list of Requirements not complied with are up to date.

5. Complete the Non-Compliance Outcomes section. This section identifies the requirements that have been not been complied with and the outcome for each Non-Compliance. The requirements displayed will depend on the answers to the category questions provided by the submitter, or altered by the Administrator.



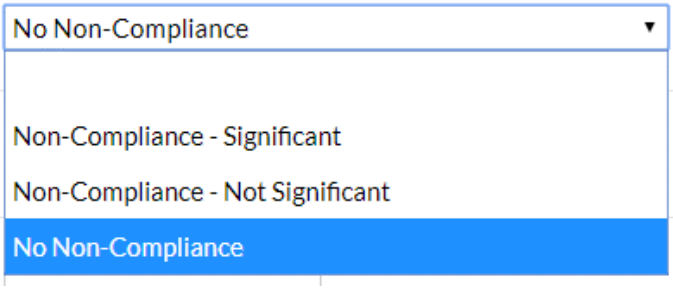
6. The Non-Compliance Outcome is defaulted based on the Outcome – System Default value for each of the requirements. If any of these are Non-Compliance -Significant, the Non-Compliance Outcome will default to Non-Compliance - Significant.

7. If a significant non-compliance has occurred a reason/s are required to be selected. You may indicate the Non-Compliance is significant by selecting one or more significant non-compliance reasons from the list. If any of these are selected, they will also set the Non-Compliance Outcome to Non-Compliance – Significant. Note: the list of significant non-compliance reasons will only display when there is at least one active significant non-compliance reason configured. If no significant non-compliance reasons are displayed, then selection is not required.

   Note: The Significant Non-Compliance Reasons may not be available, depending on the configuration of the Compliance module.

8. You may also override the Non-Compliance Outcome by selecting an alternative outcome from the lookup list. If you change the Non-Compliance Outcome you will be warned to include the reason why the Non-Compliance Outcome was changed. The reason needs to be documented in the Administrator Comments field.

9. If no Non-Compliance occurred, you may select "No Non-Compliance" as the outcome for the particular requirement.



10. Review Non-Compliance History.

    A Non-Compliance history showing all previous Non-Compliances of the same requirement(s) in the last twelve months is available to review when finalising a Non-Compliance.

    a) 12 months is the default Non-Compliance history time frame. This can be adjusted by selecting the required Non-Compliance time frame using the 'show from' and 'to' calendar boxes in the top right corner of the section.

    b) Review the Non-Compliances within the specified time frame.

    c) To review an individual Non-Compliance, select the identifier number (hyperlink) . The Non-Compliance record will open in a new window.

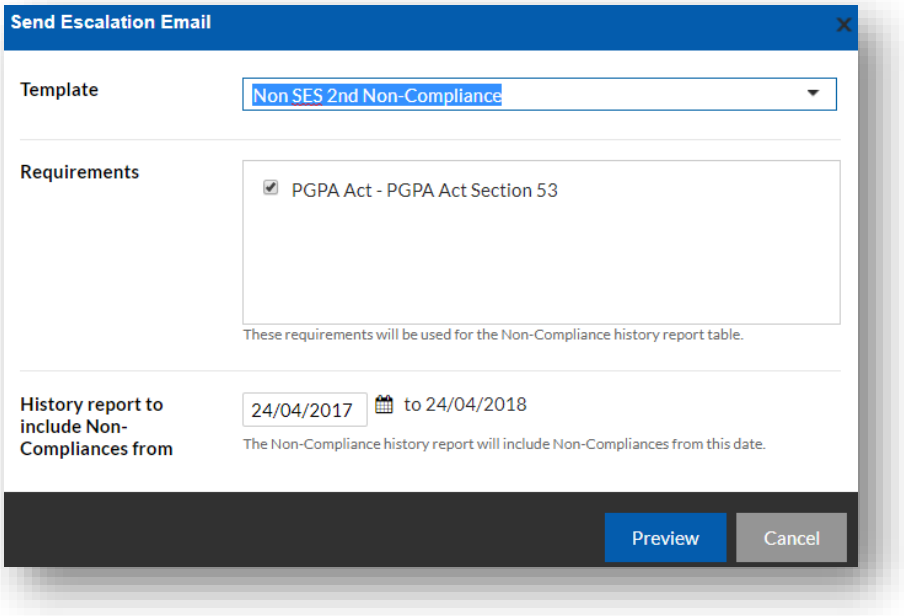
11. Sending a Non-Compliance Escalation Email.

    Predefined escalation emails can be sent to the Non-Compliance committer, the committer's supervisor and/or other interested parties when a Non-Compliance is finalised. This allows advice to be provided to appropriate people when a person has

committed multiple Non-Compliances of the same requirement. Email templates are created that are then selectable, depending on the escalation rules being applied, when finalising a Non-Compliance. An email can be sent to any number of recipients. The recipients can either be predefined in the template and/or selected at the time of finalisation.

Non-Compliance escalation emails ensure people and their supervisors are aware of their obligations so that appropriate remedial action can be taken, particularly when multiple Non-Compliances have occurred.

a) To send an escalation email, select the 'Send Escalation Email' button located at the bottom of the screen to commence the escalation email.



b) Select the template you wish to use (You must have a template created prior to sending an email – refer section Escalation templates)

c) Select the date parameters for the Non-Compliance history to be included within the email

d) Select 'preview' and the email window will open in a pop up window. At this stage additional recipients and details can be added at this stage as you would normally perform in any email application.

e) Select the Send button – the email will send as per regular email correspondence

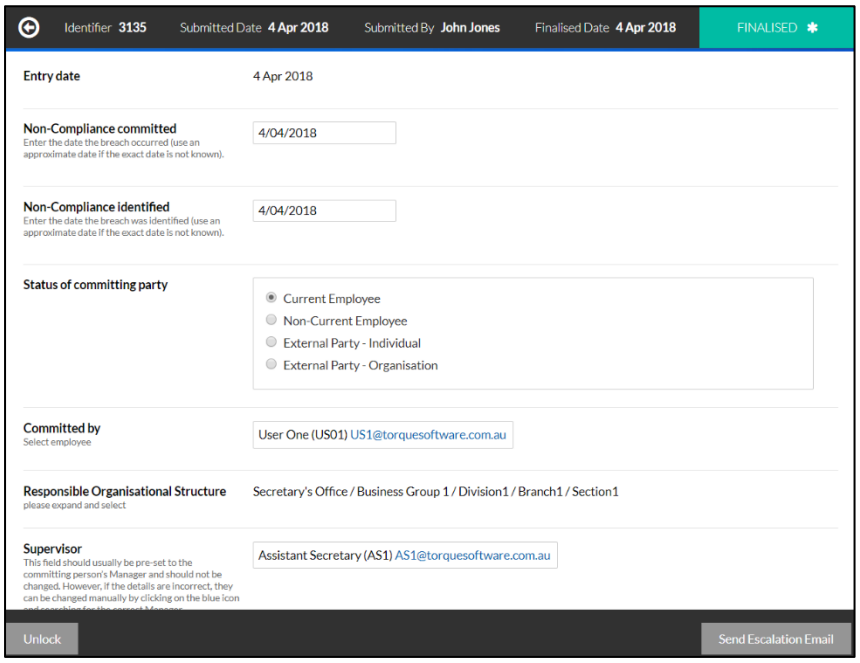
A history of previously sent escalation emails are also displayed upon finalisation of Non-Compliances.

12. Select the Finalise button at the bottom of screen.

Non-Compliances with an outcome of Non-Compliance – Significant will automatically be included in the Significant Non-Compliance Report.

Unlocking a finalised Non-Compliance

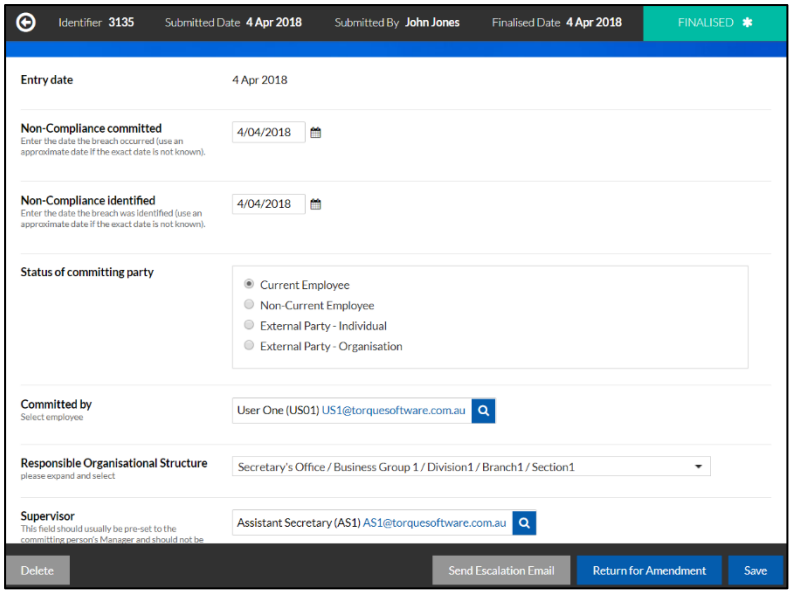
Unlocking a Non-Compliance allows a Finalised Non-Compliance to be modified, deleted, or returned for amendment.



Above is an example of a Finalised Non-Compliance – note the "Finalised" status in the top right corner and the only functions available are the Unlock and Send escalation email buttons.

Locate the Non-Compliance you wish to unlock. Administrators will need to Search for the Finalised Non-Compliance as described in the Section on Searching.

1. Select the **Unlock** button.
   All buttons become active and all fields become available again for editing.



2. Note that the status still appears as Finalised in the top right corner. However, if the Non-Compliance is **Returned for Amendment**, the subsequent user will see the status as Draft when they open it.
3. All these actions will be documented in the History Log of the Non-Compliance.

Delete a Non-Compliance

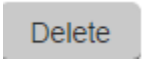
A Non-Compliance that has been entered by mistake may be deleted.

Deleting a Non-Compliance is a "soft" delete. This means it is not deleted from the system, it is just not visible under normal circumstances. Deleted Non-Compliances are not shown in In-Trays, but can be viewed by selecting the "Deleted" option in Non-Compliance Reports.

Non-Compliances can be deleted before and after a Non-Compliance is Finalised.

Users can Delete Non-Compliances until they are submitted. Once the Non-Compliance is submitted it requires action from the Administrator.

If the Non-Compliance has been submitted, but not finalised:

1. Open the Non-Compliance from your In-Tray.
2. Select the 

button.
3. A confirmation box will appear asking to confirm you would like to delete the record.
4. Select OK.
5. Emails may be sent to relevant users to inform them of the deletion.

If the Non-Compliance has been Finalised:

1. Search for the Non-Compliance using the Search Function,

2. Select the Non-Compliance to open it;
3. Unlock the Non-Compliance as per instructions in the previous section – Unlocking a Non-Compliance.
4. Select the Delete button.

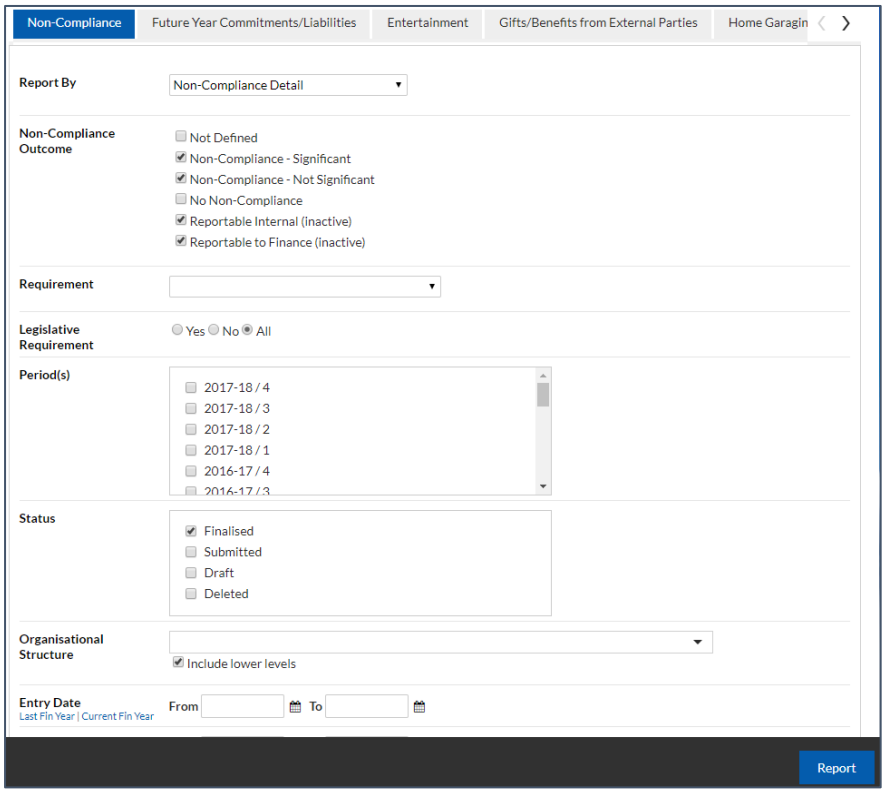
Note: Once a Non-Compliance has been Allocated to another editor, Submitted or Finalised only an Administrator can Delete the Non-Compliance.

RUNNING NON-COMPLIANCE REPORTS

Users with Reporting permissions can configure Non-Compliance Reports. The Administrator gives Reporting Permissions.

Go to the **Reports** Menu and select the Non-Compliances Tab.

Note: only the tabs you have permission to use or your organisation has a licence for will be displayed.



Select a Report Type to run

Standard reports can be categorised into 3 categories.

1. Reports that display a single Non-Compliance record per row
    a. Non-Compliance detail report - provides a listing of all Non-Compliance fields where each Non-Compliance is listed separately by filter options.
    b. Committer report – provides a listing of all Non-Compliances grouped by the person who committed the Non-Compliance by filter options.
    c. Non-Compliance committed report – provides a listing of all Non-Compliances grouped by Non-Compliance Committed date by filter options.
    d. Non-Compliance identified report – provides a listing of all Non-Compliances grouped by Non-Compliance Committed date by filter options.

e. Allocated to report - provides a listing of all Non-Compliances grouped by officer Allocated To by filter options.

f. Organisational structure report - provides a listing of all Non-Compliances grouped by organisational structure by filter options.

g. Significant non-compliance report - Generates a report specifically designed to meet the requirement to report Significant Non-compliance to the Finance Minister and the entity's responsible Minister. The report includes all Non-Compliances with an outcome which is reportable.

2. Reports that display a row for each non-complied requirement:

   a. Non-Compliance outcomes report - provides a listing of all non-complied requirements grouped by Non-Compliance outcomes by filter options.

   b. Requirement report - provides a listing of all non-complied requirements grouped by the requirement Non-Complianceed

3. Summary reports:

   a. Non-Compliance Summary report - generates a report grouped by Framework Group and Requirement, with the number of Non-Compliances of each requirement

   b. Appendix A - Non-compliance Schedule generates a report in the specific format required in Appendix A of the Compliance Report previously provided to the Department of Finance. This report is no longer used and cannot be performed for reporting periods after the 2014-15 financial year. If you wish to obtain a report in a similar format after the 2014-15 financial year, use the Non-Compliance Summary report

Select Filtering Options for the report

After selecting the report type, optional filtering options are available. All report criteria are cumulative and restrictive. The more you specify through filtering options, the more specific the displayed result will be to the reporting requirement. The following filtering options are available for all reports;

Non-Compliance Outcome - selecting one of more of these outcomes will restrict the report to only show Non-Compliances with one or more outcomes of the nominated type.

Note: When creating a Non-Compliance report, Non-Compliance outcomes that are NOT 'No Non-Compliance' are selected by default.

- **Requirement** - selecting an option from this list will restrict the report to only show Non-Compliances of the nominated requirement.

- **Legislative Requirement** - selecting one of these options will restrict the report to only show Non-Compliances of legislative requirements, non-legislative requirements or both.
- **Period(s)** - select one or more reporting periods.
- **Status** - this check box list allows you to restrict the report to show only those Non-Compliances with particular statuses.
- **Organisational Structure** - select an element here to restrict. Check Include lower levels to include all levels below the one selected.
- **Entry Date** - this date range restricts to only those Non-Compliances entered between the dates given. To select To and From range as Last financial or current financial year select the 'Last Fin Year' or 'Current Fin Year' links.
- **Non-Compliance Committed Date** - this date range restricts to only those Non-Compliances committed between the dates given. To select To and From range as Last financial or current financial year select the 'Last Fin Year' or 'Current Fin Year' links.
- **Non-Compliance Identified Date** - this date range restricts to only those Non-Compliances identified between the dates given. To select To and From range as Last financial or current financial year select the 'Last Fin Year' or 'Current Fin Year' links.
- **Non-Compliance Finalised** – this date range restricts results displayed to only included Non-Compliances that were finalised within the selected date range. To select To and From range as Last financial or current financial year select the 'Last Fin Year' or 'Current Fin Year' links.
- **Committer** – allows the report to be refined to just include Non-Compliances by committer/s.
- **Editing User** - click on Click here to load users to bring up the list of users in the system, then select one or more to report on Non-Compliances reported by them. If All users are to selected, leave this field blank.
  Clicking Show Inactive will also offer those users who have been deactivated.
- **Supervisor** - Click the link to load the list, then select one or more options to report against those users nominated as the supervisor in a Non-Compliance. Clicking Show Inactive will also offer those users who have been deactivated.
- **Legal Entity** - select a legal entity to restrict report to only show data for the selected entity.
  Note: only applicable when system is configured for multiple legal entities.

Generating and exporting the selected report

Once you have identified the criteria you wish to report on, click the **Report** button. The system will display the reported information in an interactive grid. Note: reports are often too large to display in entirety on a screen. Use the scroll bar at bottom and right side to shift the view.

Information can be **Grouped** by column by clicking on the column heading and dragging it above the column headings (as indicated on the screen). Undo the Grouping by dragging it back down into the column headings row.

Information in the columns can be sorted in the display by clicking the column heading. Undo the sort by clicking on the arrow next to the column heading.

Filters can be applied to columns using at the top of each column.

Individual Non-Compliance forms can be viewed by clicking on the arrow in the left column. Go back to the report by clicking the browser Back Arrow.

To display individual additional fields in the report display grid select 'Select Columns' and select the field needed.

To display all fields available select 'Show All Columns'

Report results can be exported in either PDF or MS Excel format.

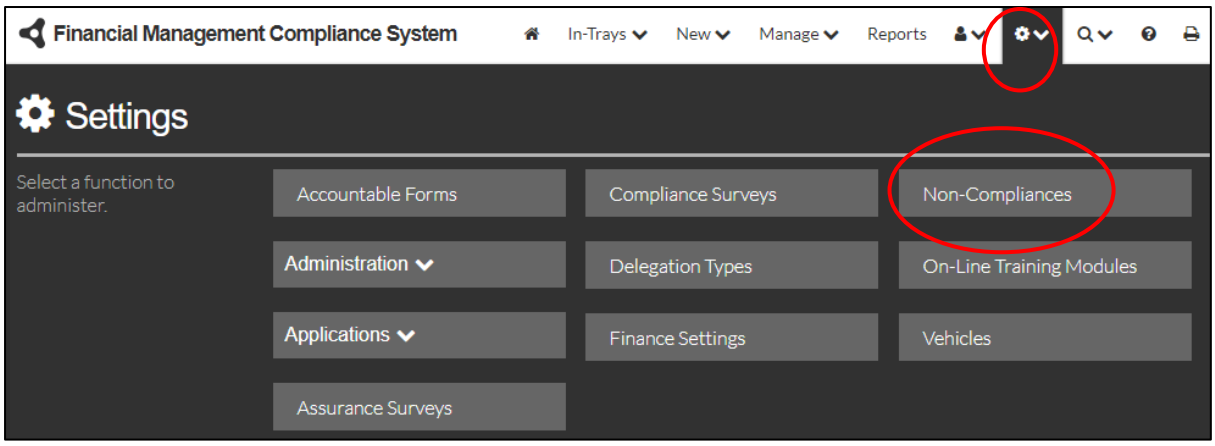
- **Select the Adobe Icon** – Exports the report to Adobe.
- **Select the Excel Icon** – Exports the report to Microsoft Excel

Note that when exporting the Appendix A: Non-compliance Schedule report to Excel, the system will automatically insert the **Circumstances of Non-Compliance** column.

GLOBAL NON-COMPLIANCE SETTINGS (Administrator Function only)

The overall structure of the Non-Compliance Reporting Form is predefined to maintain logic and integrity of the FMCS system. However, much of the content of the Non-Compliance Form is highly configurable by the Non-Compliance Administrators to suit each organisation's specific content and workflow requirements. FMCS is installed with initial settings that will suit most organisations. However, Non-Compliance Administrators are able to design their own categories, questions, resolutions and corrective solutions, as well as designating the timing of reports and who receives notifications to suit their organisation's specific requirements.

To design the Non-Compliance Form, Select the Non-Compliance Option from the Settings menu.



Setting Up Non-Compliance reporting functions

System Administration > Non-Compliances > Settings

The Settings Tab is the first tab in the series of configurable Non-Compliance settings. The settings tab enables you to modify the Non-Compliance Module general settings. Items in the settings tab include:

Default supervisor - check this box to indicate that the supervisor of the committing person should bet set as the default in the supervisor field. Supervisor will not default if unchecked.

Can allocate supervisor - check this box to indicate that normal users can override the system-derived supervisor.

Allow any supervisor - check this box to indicate that normal users can select any user as supervisor. If this is not ticked only users who are nominated as supervisors for any organisation unit may be selected. Only available when **Can allocate supervisor** is checked.

Note: A user nominated as supervisor for a Non-Compliance will not be granted reporting permission like a normal supervisor, but they will have access to view the non-compliance.

Mandatory Supervisor - check this box to indicate that normal users must select a supervisor before submitting their Non-Compliance.

Default org unit - check this box to have the org Selector always default to the current user's branch.

Non-Compliance response - define what answer indicates a Non-Compliance has occurred. This flows from the way you ask your survey and Non-Compliance questions.

Default compliance questions to compliant – all questions will initially default to the compliant response. The user then only needs to select an answer for the non-compliant question.

Reporting periods - indicates the normal number of reporting periods per year for your agency. Note: Reporting periods may be changed at any time. However, the system will never generate a reporting period where the start and end dates cross a financial year. Instead, if required, a filling period will be created. The filling period may not be match the selected reporting period.

Include invoice details - when checked, this function prompts the user to enter the invoice details for all Non-Compliance reports where the category requests vendor details.

Vendor / Supplier Title - modify this to change the label for the field in procurement-related Non-Compliance reporting.

Disable user entry - when selected, this disables the free-text entry for Current and Non-Current Users on-screen, forcing the user to select the user via the look-up function.

Non-Compliance Resolutions mandatory - when switched on, Non-Compliance resolutions must be identified prior to submission. Switch this off to make Non-Compliance resolutions optional prior to submission.

Corrective Actions mandatory - when switched on, corrective actions must be identified prior to submission. Switch this off to make corrective actions optional prior to submission.

Show "Upload Additional Vendors" – Switch off to hide the message prompting users to report the first vendor and upload a list of all additional vendors, when reporting procurement-related Non-Compliances.

Allow Find Requirement – Allows user to select their category and Non-Compliance question by finding the relevant requirement in the report Non-Compliance form.

Show Non-Compliance Requirement in List - Displays on-screen the requirement impacted by this question in the report Non-Compliance form.

Reporting Periods

Non-Compliances are grouped into reporting periods based on when the Non-Compliance was committed and when it was finalised. A Non-Compliance is normally reported in the period it was committed unless the period was closed when the Non-Compliance was finalised. In this case the Non-Compliance is reported in the earliest period open at the time of finalisation.

The reporting periods grid holds the list of all valid reporting periods available in the system.

Click **Add next period** text to create a new period.

To edit a period, click on the (Edit) button.

Name - the name of the period in sequence within the financial year.

Start - the start date for the period.

End - the end date for the period.

Close Date - this is the date that this period will close - Non-Compliances finalised after this date for this period will appear in the next period's results.

Deleted Reasons

Create selectable Delete reasons for Module administrators to choose from. Edit or create using the standard Grid Management functions.

Compliance Survey Settings

These settings modify the behaviour of Non-Compliance-related survey questions.

Disallow Non-Compliance category change - when selected, Non-Compliances reported via the survey process will be fixed to the category selected in the survey. Recommend this be set to **No**.

Show Non-Compliances in own org unit - Select to allow user to visibility of all Non-Compliances within their own org unit via the survey process.

Show Non-Compliances in own org unit children - Select to allow user to visibility of all Non-Compliances within all child nodes of their own org unit via the survey process.

Provide full Non-Compliance details in survey - when selected, non-privileged users (i.e. users without explicit reporting permission, non-supervisors, etc) will be able to view complete Non-Compliance report details for all Non-Compliances they can normally see through the survey process.

Show Non-Compliance Requirement Help - Shows all Non-Compliance requirements impacted by the selected category/question linked to the survey question.

Select 'Save' to activate any new / changed settings.

How to Setup Lookup Lists in the Non-Compliance Module

System Administration > Non-Compliances > Lookup Lists

Lookup Lists are predefined selection options to be displayed to users when they enter information about a Non-Compliance. Using lookup lists allows an organisation to gather information in pre-set groups to be collated into meaningful information and data processing.

Within the look up lists page are separate tabs for each look up list type. Navigate to the required tab.

There are many levels of information contained in the Lookup List section of FMCS. Use the More Detail , Expand and Contract buttons to drill down levels of data.

The standard Grid Management functions apply. Each element also contains a **Sort Order**, which denotes the order the items will appear when presented to the user; and an **Active** flag which allows you to disable old elements so they can no longer be selected without affecting existing records that use them.

Suggested Order to Set Up Lookup Lists

The following tabs are explained in the order in which they should be set up, not the order in which they displayed in the FMCS. Many of the Non-Compliance Category lookup lists require the Master Lists to be set up first. It is therefore, suggested that the Lookup lists be set up in the following order.

1. Framework Groups – are legislative and internal policy frameworks which contain one or more requirements. ie: PGPA Act, Commonwealth Procurement Rules, and other internal and policy guidelines and rules.
2. Categories – these are broad categories Non-Compliances are grouped by.

   The Non-Compliance Categories lookup list contains 4 sub lists, all sub lists are linked to the Non-Compliance category;

   The Questions sub lookup list allows you to create, define and assign questions and related information to the Non-Compliance category.
   The Resolutions sub lookup list allows you to add a list of all the possible resolutions to mitigate any impacts of a Non-Compliance. They are linked to Non-Compliance category.
   The Corrective Actions sub lookup list allows you to set up a list of all the possible corrective actions to help prevent a Non-Compliance from occurring again. They are linked to the Non-Compliance category.
   The Requirements sub lookup list allows you to create a list of requirements to be selected within the create new Non-Compliance function.

   You can define the view to only show current categories, all (past and present) categories or categories from a specific date by entering or selecting the desired date in

the 'Show only categories that apply on '. Select 'Clear' to remove the date. Note: The date defaults to the current date.

3. Resolution (Master List) – a list of all the possible resolutions to mitigate any impacts of a Non-Compliance.
4. Requirements (Master List) – the requirements contained in legislation or guidelines within each Framework. E.g. PGPA Act Section 58 is a requirement of the PGPA Act. Note: Non-Compliances are reported against these requirements.
5. Corrective Actions (Master List) – a list of all the possible corrective actions to help prevent a Non-Compliance from occurring again.
6. Outcomes – Possible outcomes after review of a Non-Compliance report.
7. Significant Reasons – Reason why a Non-Compliance has been reported as significant.

Framework Groups (Master List)

Financial Framework Groups categorise the various framework requirements (see **Requirements**, above).

This list allows you to define or extend the framework groups for which you are reporting Non-Compliances.

Note: the code field is required, and allows you to uniquely identify this framework group for importing and exporting.

You are able to **import** framework groups provided by others. This function does not delete any data, only updates and adds.

Requirements (Master List)

Requirements are used to identify the requirement in a compliance framework that has not been complied with. This is the master list where you define requirements once, to be used in one or more Non-Compliance Categories and on the Non-Compliance Reporting form.

Note: Framework Groups (Master List) must be set up prior to completing this section,

The **Code** field is required, and allows you to uniquely identify this requirement for importing and exporting.

Requirement is the description of the requirement within the framework.

The **Financial Framework Group** column is the framework group the requirement belongs to. (Also used to group requirements in the Non-Compliance Summary report.)

The **Legislative** checkbox indicates the requirement is a legal requirement.

Outcomes (Master List)

Outcomes denote where a Non-Compliance is reportable: to the Department of Finance; internally; or not at all.

Checking the **Reportable** box will report all Non-Compliances with this outcome in the Significant Non-Compliance Report.

Checking the **Non-Compliance** box will report all Non-Compliances with this outcome in all reports, but will not show them on the Significant Non-Compliance Report (unless the **Reportable** box is also checked).

Resolutions (Master List)

Resolutions populate the checkbox list **How was the Non-Compliance resolved**? in the Non-Compliance reporting form. This is the master list where you define resolutions once, to be used in one or more Non-Compliance Categories.

Checking the **Other Response** box will prompt the user to enter additional information when this resolution is selected on the Non-Compliance reporting form.

To inactivate a resolution, select the required resolution master record by selecting the 'edit' function and uncheck the Active check box. A resolution cannot simply be deleted because the resolution may have been previously used and is required to be viewed or reported on. Inactivating the record will stop it from being displayed as a selectable value when selecting resolutions.

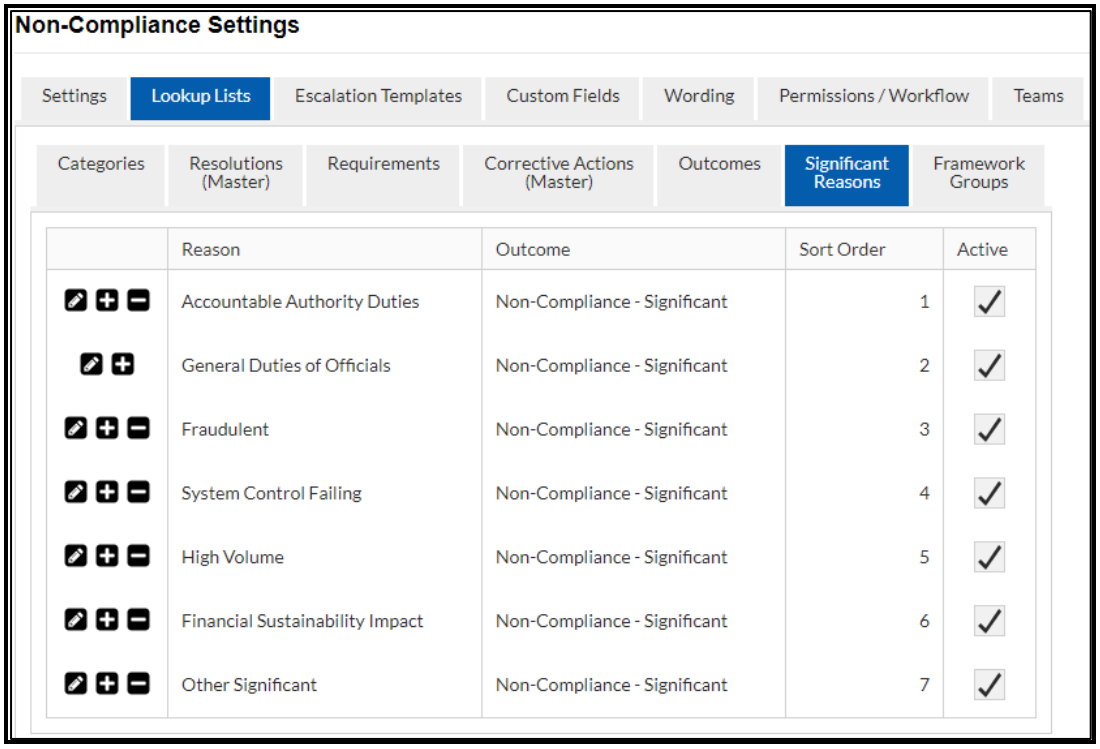
Corrective Actions (Master List)

Corrective Actions populate the checkbox list **Corrective Action Taken** in the Non-Compliance reporting form. This is the master list where you define actions once, to be used in one or more Non-Compliance Categories.

Checking the **Other Response** box will prompt the user to enter additional information when this action is selected on the Non-Compliance reporting form.

Significant Reasons

This setting allows entry of reasons why a Non-Compliance is considered Significant Non-Compliance.



Each reason includes the associated Non-Compliance outcome to be used when the reason is selected when finalising a Non-Compliance. Note: if there are no active Significant Reasons, this section will not display in the Non-Compliance report.

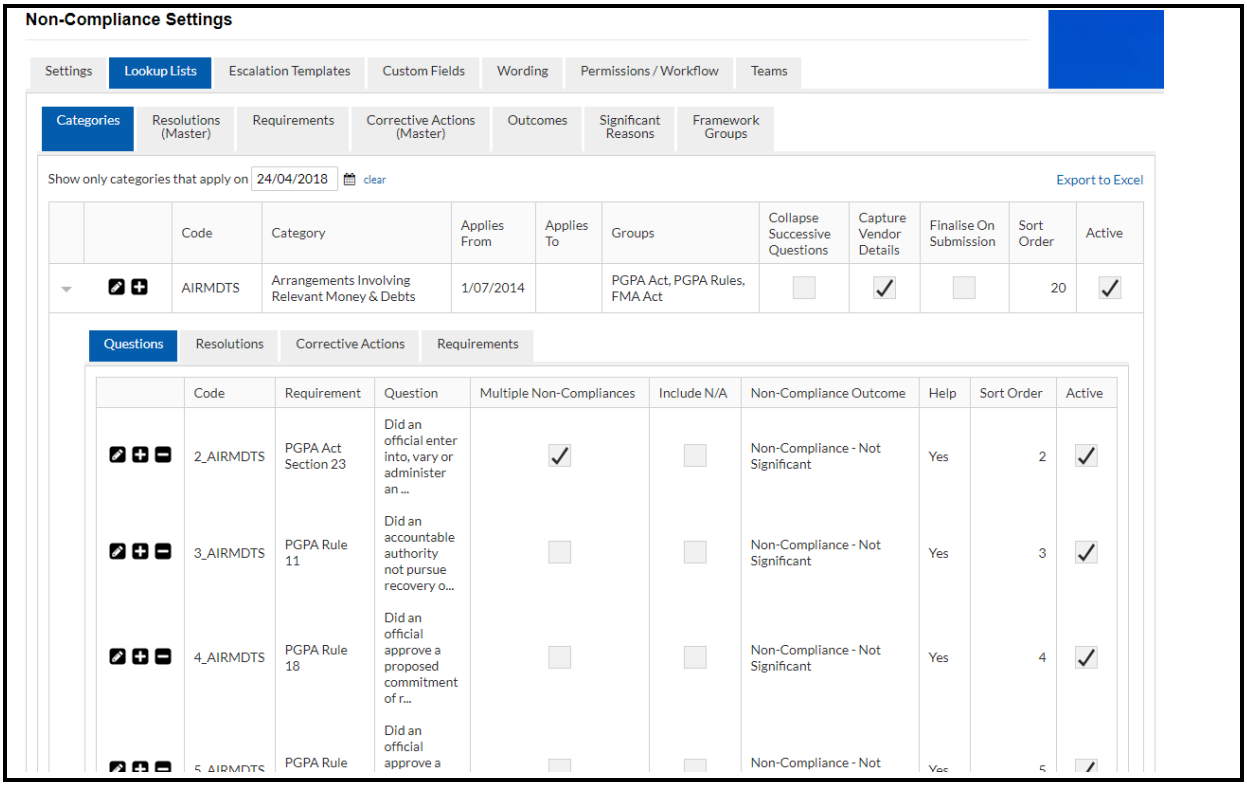
Note: If there are no active Significant Reasons, the Significant Reasons question will not be available when finalising a non-compliance. I.e. to hide the Significant Reasons question in the non-compliance report form, make all Significant Reasons inactive.

Categories

Categories are used to group similar or related requirements. Categories assist with the identification of the non-complied requirement and related actions within the Non-Compliance reporting framework. They are also used to represent groups of Non-Compliances, grouped under a single question, when users are responding to surveys.

When a user is reporting a Non-Compliance, one category must be selected. This category then configures the rest of the Non-Compliance form, including the display of appropriate questions to identify the specific non-complied requirement.

To set up Categories the following Master Lists must be set up first: Framework Groups, Requirements (Master List), Requirements (Master List), Non-Compliance Outcome (Master List), Significant Reasons and Corrective Actions (Master List).



When viewing the Categories screen the following methods will aid displaying information.

Show only categories that apply on – Filters the displayed categories based on the Applies From and Applies To dates.

Export to Excel –Exports all categories and related information to a spreadsheet.

Column Definitions

First Column – editing buttons to allow drill down to lower levels and editing categories.

Code- the code field is required, and allows you to uniquely identify this category for importing and exporting.

Category - the text shown to the user when asking them to select a Non-Compliance category

Applies From & To – Categories are only displayed in the Non-Compliance form if the Committed Date is within the Applies From and To dates.

Groups – Contains the frameworks that questions within the category belong to.

Collapse Successive Questions - when checked, all Non-Compliance questions in this category will be presented to the user one at a time until a positive response has been selected, at which time no further questions will be asked. When unchecked, the user will be presented with all Non-Compliance questions at once and can select a positive response to more than one.

Capture Vendor Details - if this category is procurement related, check this box to also capture vendor and procurement information about the Non-Compliance.

Finalise On Submission – If turned on for a category, non-compliance reports of the category will be finalised automatically when submitted and will not require review or finalisation by the administrator.

Sort Order – The order in which the Category is displayed on screens.

Active – tick indicates that this category is active for use and will be displayed in the Non-Compliance form for users to select. If not ticked, this category will not be displayed for users to select. This is a way to archive a category without losing the integrity of the data linked to it.

Additional Columns

The following columns may also be configured, but do not appear on the list.

How did the non-compliance occur default – allows a default value for the How did the non-compliance occur field, depending on the category selected.

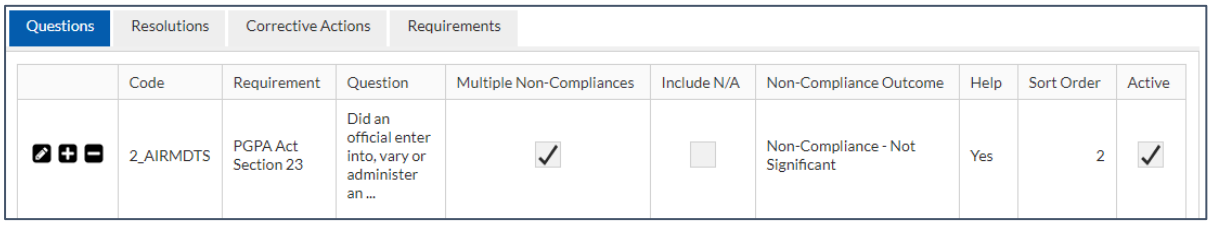
Administrator's comments addition – text is appended to the administrator comments.

How to Add a Category - Click on any of the Add icons and enter the required information.

How to Edit a Category – Click on the Edit button of the category to be edited. Make the required changes and click the Save button.

How to Set Questions in a Category

Clicking the expand icon and contract icon shows or hides the Question sub-lists for each Non-Compliance category as described below.



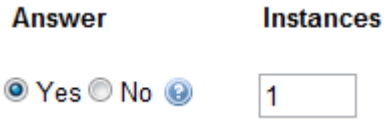
Questions are displayed in the Non-Compliance form after they have selected a Category when reporting a Non-Compliance.

Code - the code field is required, and allows you to uniquely identify this question for importing and exporting.

Requirement – the Requirement the question relates to.

Question - the question presented to a user in the Non-Compliance reporting form. **Note** you can change what response (Yes or No) indicates a Non-Compliance in System Settings.

Multiple Non-Compliances - check this box to indicate that a positive Non-Compliance response for this question can have multiple instances. The Non-Compliance reporting form will automatically present the user with a box to capture the number of instances as per below:



Quick Tip: If you create a category with no questions (e.g. "Other") the user will be prompted to specify the number of instances of the Non-Compliance reported, and administrators will be required to identify any non-complied requirement and the outcome.

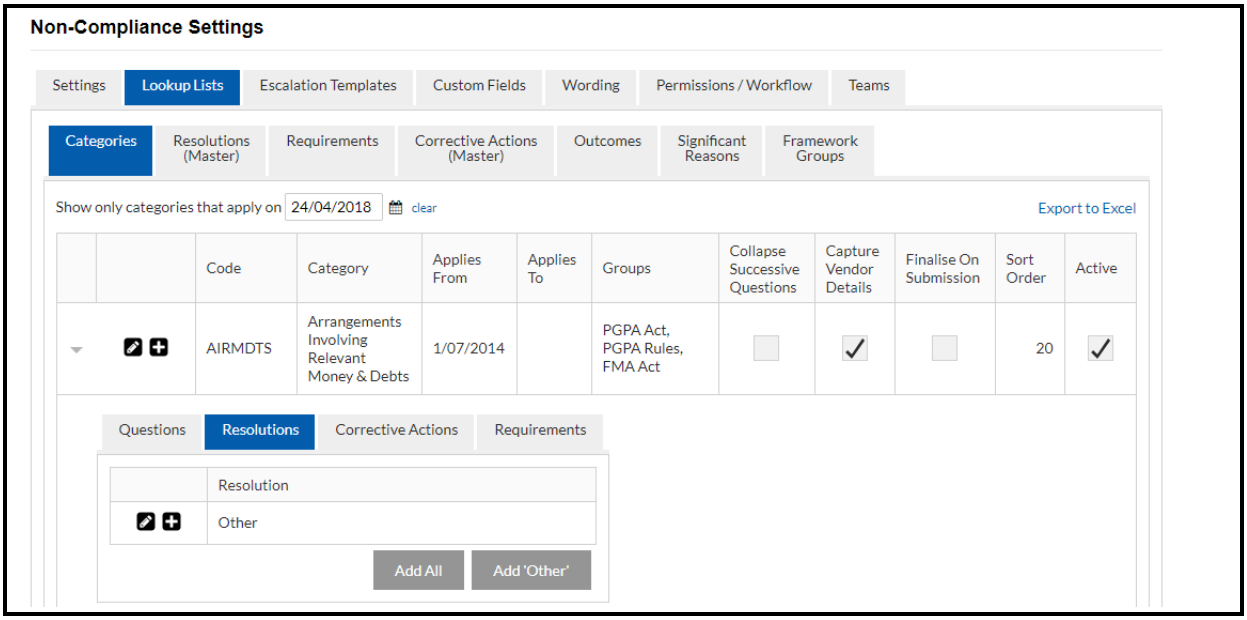
Include N/A: For each question where this option is selected, the allowed response will include N/A, in addition to Yes and No. An N/A response always indicates an outcome of no Non-Compliance.

Non-Compliance Outcome - if this question is answered such that a Non-Compliance has been identified, this outcome will be used as the default when finalising a Non-Compliance.

Help - additional help offered when the user clicks the help icon in the survey for this question.

How to Link Resolutions to a Category

Note: The Resolution Master List must be set up before the link to Category can be created.



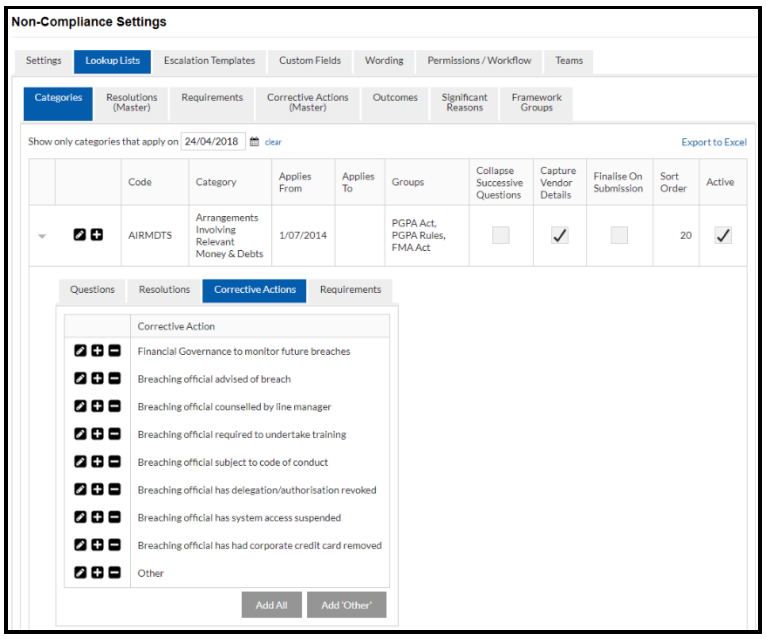
Here you can select, from the Resolutions master list, all the relevant resolutions applicable when the user selects this category while reporting Non-Compliance. Select the Edit Icon to editing an existing Non-Compliance Resolution, or the Add Icon to create a new link to another Non-Compliance Resolution.

Add All – Adds all Non-Compliance Resolutions from the master List.
Add "Other" – Adds the "Other" Non-Compliance Resolution from the master list.

Note: If there are no active Resolutions for a category, the Resolutions question will not be available for the category when reporting a non-compliance. I.e. to hide the Resolutions question for a category in the non-compliance report form, make all resolutions inactive for the category.

How to Link Corrective Actions to a Category

Note: The Corrective Actions Master List must be set up before the link to Category can be created.

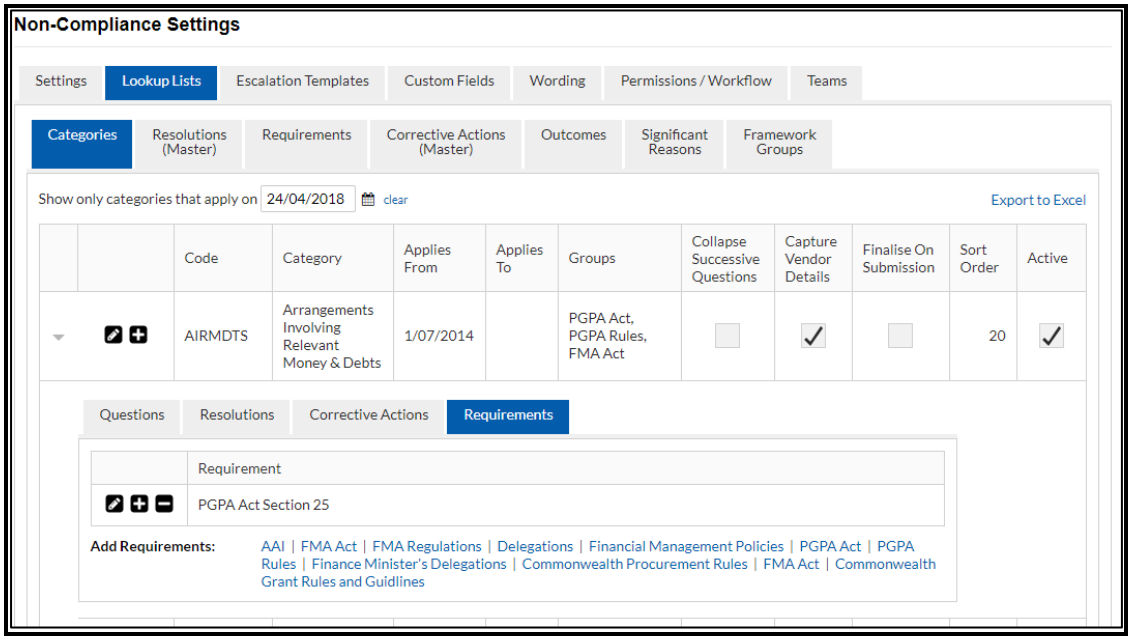


Here you can select, from the Corrective Actions master list, all the relevant actions available when the user selects this category while reporting Non-Compliance. Select the Edit Icon to editing an existing Corrective Action, or the Add Icon to create a new link to another Corrective Action.

Add All – Adds all Non-Compliance Resolutions from the master List
Add "Other" – Adds the "Other" Non-Compliance Resolution from the master list.

Note: If there are no active Corrective Actions for a category, the Corrective Actions and Corrective Action Date questions will not be available for the category when reporting a non-compliance. I.e. to hide the Corrective Actions and Corrective Action Date questions for a category in the non-compliance report form, make all resolutions inactive for the category.

How to Link Requirements to a Category



Here you can select, from the Requirements master list, all the relevant requirements available when the user selects this category while reporting their Non-Compliance. Select the Edit Icon to edit existing Requirements, or the Add Icon to create a new link to another Requirements.

Escalation Templates

Escalation Templates allow an Administrator to set up template emails to be sent from FMCS for users that are having repeat Non-Compliances of the same requirement recorded against them.

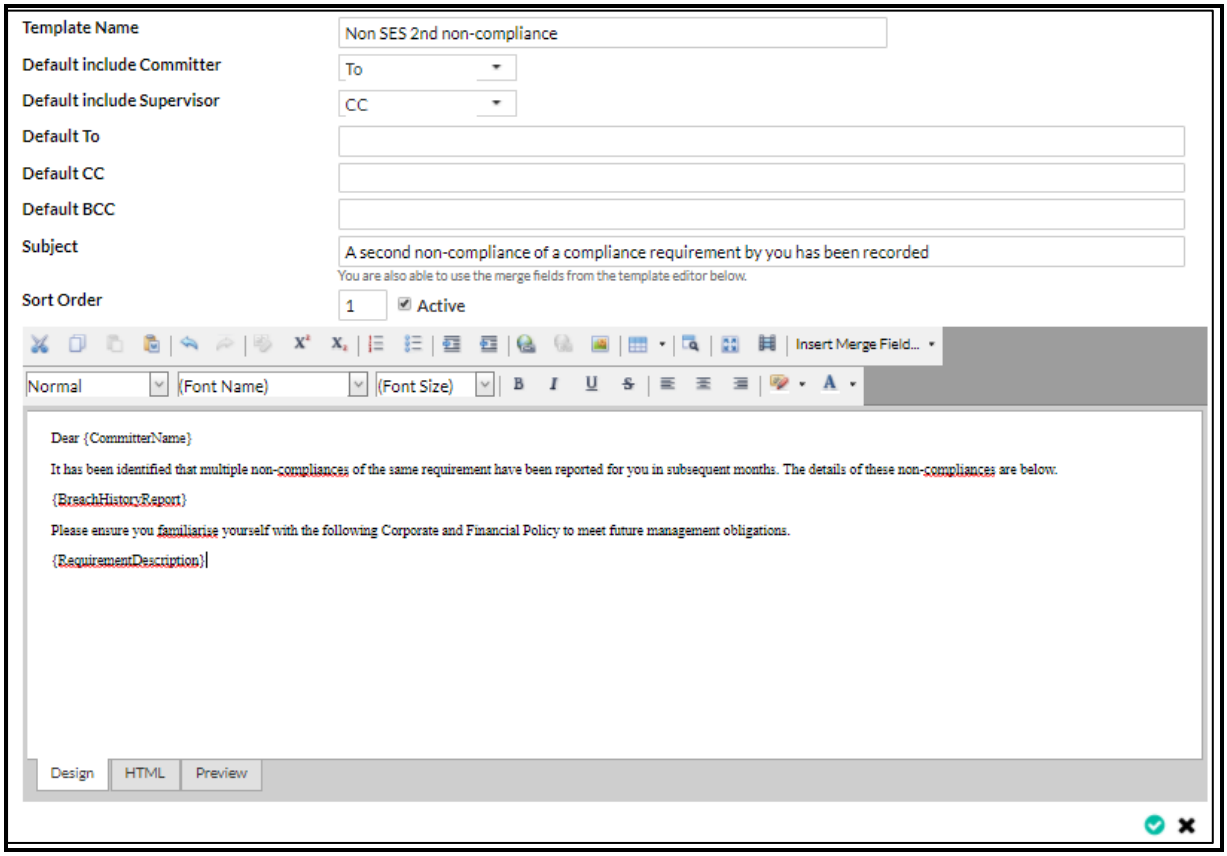
To create a new email escalation template select System Administration > Non-Compliance > Escalation templates.

Note: Only the first template needs to be created, after this initial creation templates can be copied using the clone function.

Select the '+' icon to create the first template.

The template page displays. Enter the following information to create the template.

1. Enter the Template Name – this field will be used to locate the template.
2. Select the default email inclusion settings for the Committer, Supervisor and other people that will be required to review this email.
    a. Default include Committer – defines how the escalation email will be sent to the Committer of the Non-Compliance. Options include: Send 'To', 'CC' or 'Do not include'
    b. Default include Supervisor - defines how the escalation email will be sent to the Committers' supervisor. Options are the same as for Committer.
    c. Default To, CC, BCC – Type the actual email address/es of the person/s the email will be sent to.
3. Enter the default subject of the email template (this can be overridden once the email is generated).
4. Select the sort order – the sort order indicates the order in which the template will display in the main list.
5. The 'active' checkbox defaults to 'Y' and it allows for templates to be archived if no longer required whilst still maintaining data integrity if they have been used in the past.



6. Type your salutation as seen in the example above, followed by selecting the 'Insert Merge Field' button. Once selected, select the email element you wish to default. For

example 'Committer Name' will populate the Committer Name from the Non-Compliance and populate into the email.

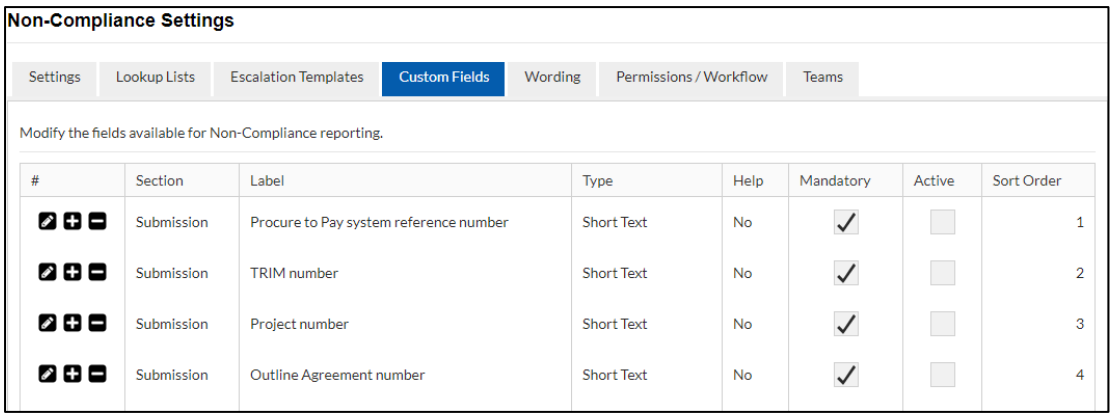
7. Continue to build the escalation email template by typing in desired text and using the available Merge fields as desired. Above screen shot is a guide only.
    a. Committer Name populates the email with the Committer name listed in the Non-Compliance.
    b. Supervisor Name populates the email with the Committers Supervisors Name.
    c. Non-Compliance history report populates the email with the details of each of the Non-Compliances within the set time frame and displays in a table format.
    d. Requirements description displays the detailed description of the non-complied requirement.
8. Select the Save icon

The following options are available once a template has been created:

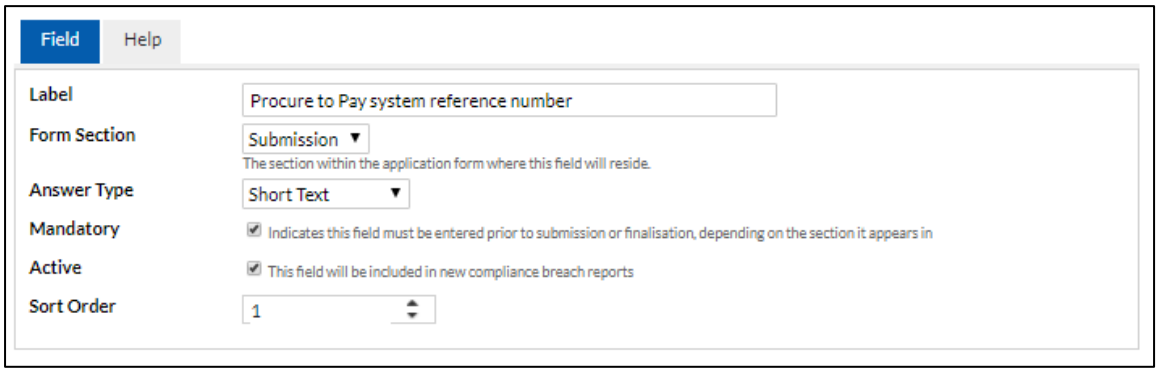
1. Edit – Allows modification of the escalation email template.
2. New – Displays a blank email template to allow new email template to be created.
3. Delete – Deletes a template from view.
4. Clone –Allows copying and then modification of a template.

Custom Fields

Customs fields allows fields to be configured for entry when submitting and/or finalising a non-compliance report. Go to System Administration > Non-Compliances > Custom Fields.



When configuring custom fields, the following options are available;



Label – Caption for the field that will appear to the left of the field.

Form Section – Section where the field is available. If Submission is selected the field will be available when submitting the report. If Finalisation is selected the field will display in the section completed by the administrator when finalising the report.

Answer Type – The type of information to be entered for the field. Options are Short text, Long Text, Yes/No, Single Select List, Multi Select List, Date and Numeric.

Mandatory – Check to make the completion of the field mandatory.

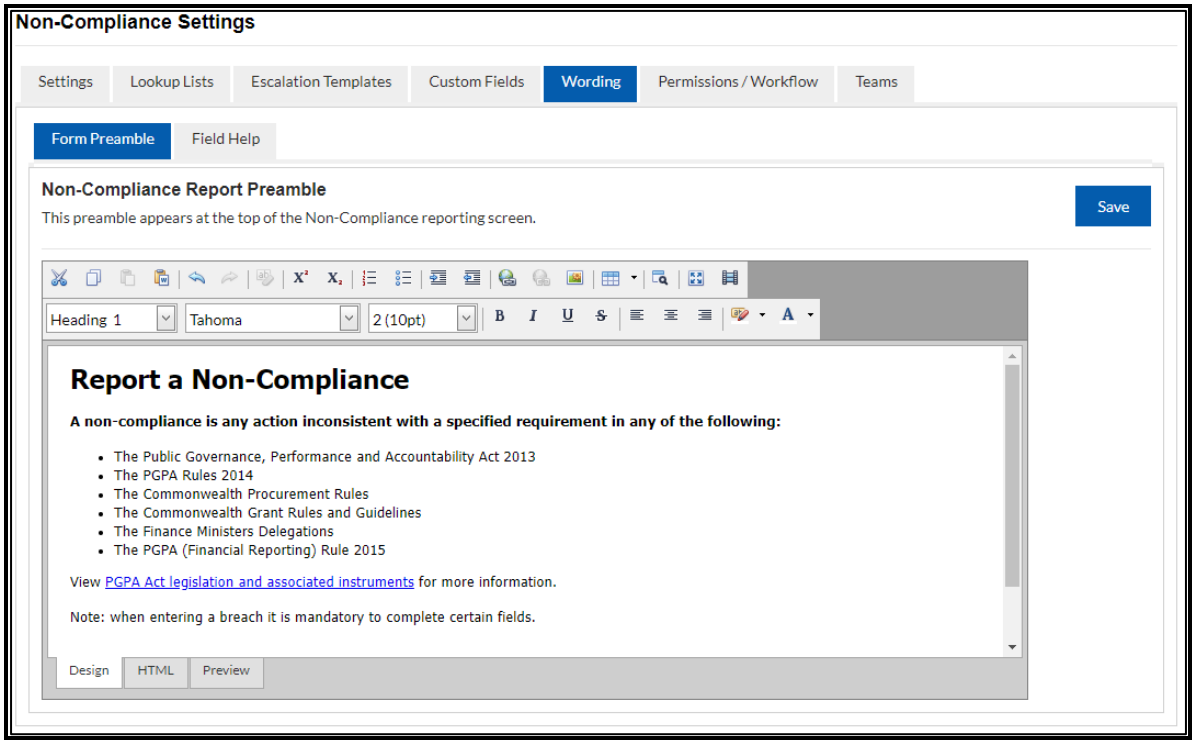
Active – Uncheck to make inactive. This will hide the field from new non-compliance reports. However, the field will still be available for previously submitted non-compliance reports.

Sort Order – When there is more than one field, identifies the order the fields are to display in within either the submission of finalisation sections.

Help – Help text for the field. Help text may be configured to appear under the label of the field or as a pop-up after selection of a help button.

Wording Tab

The Wording tab allows the form preamble and field help to be configured.



The **Form Preamble** is text that is displayed at the top of the Non-Compliance Reporting form and provides instruction on how to proceed.

Design – view at the bottom is to allow you to add and edit the text in a standard MS Word editing style.

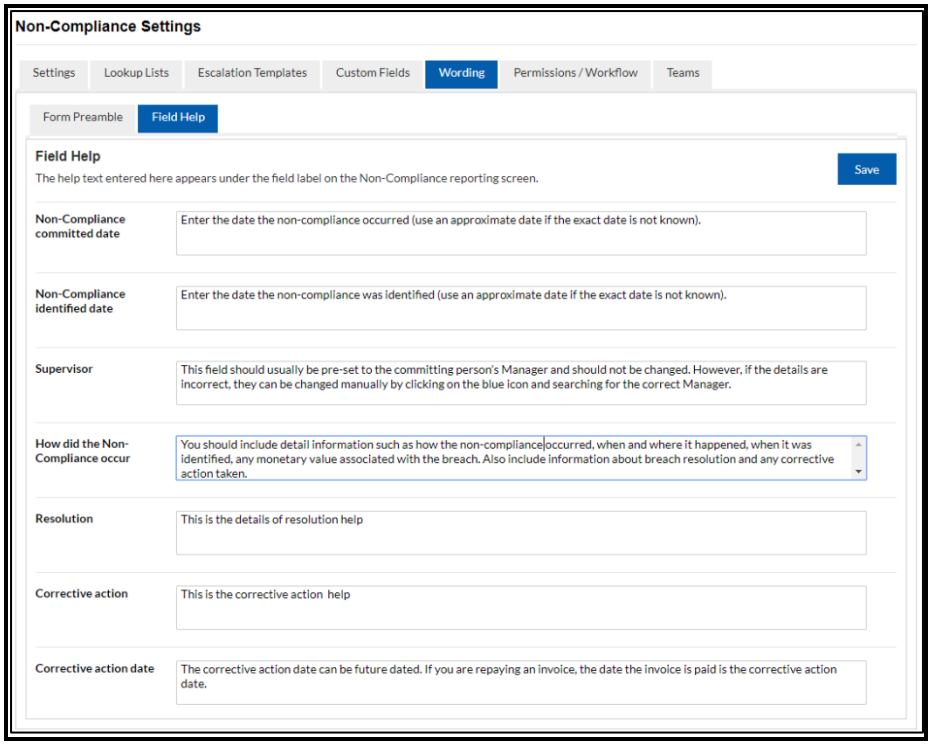
HTML –allows you to view the text in HTML format. Text in HTML format can be copied into this view.

Preview – allows you to view what the text will look like on the screen in the Non-Compliance Reporting screen.

The **Field Help** is text that is displayed below the relevant fields in the Non-Compliance Report form to help users to populate the field.

Permissions / Workflow tab

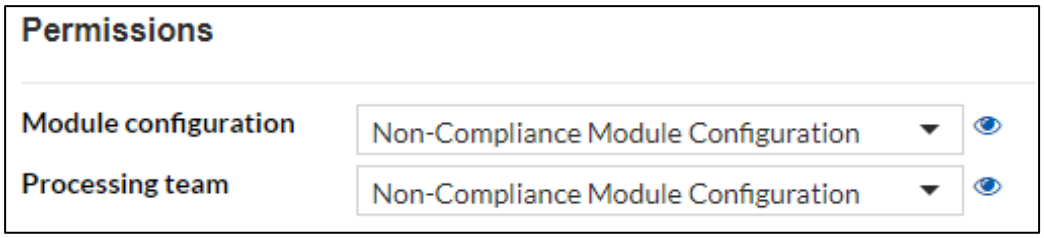
The permissions / workflow tab controls both user permissions and workflow notification setup for the Non-Compliance module.



Permissions

In this section permissions are assigned to allow users to either configure Non-Compliance settings or to finalise Non-Compliances. Permissions are assigned by first creating a group then assigning the group to the relevant function.

Module configuration allows the group of users to administer the Non-Compliance module configuration and Processing team allows the groups of users to process and finalise Non-Compliances.



1. Before you can assign users to perform configuration or processing roles you will need to setup the relevant group (one or more users that perform the same tasks). For information on setting up Groups see Managing Group.
2. Assign the group to the function by selecting the drop down box and select the group to be assigned as the group that will be responsible for configuring the module and again for the group processing the Non-Compliances.

Once the groups have been selected, select the icon at the end of the field to display the users that make up the selected group.

A Systems Administrator can give other users (or groups of users) permission to be System Administrators and/or the Process Non-Compliances recording in the module

Managing Automatic Emails and Notifications

FMCS can be configured to send automatic emails as reported Non-Compliances are work flowed through the organisation. Go to the Permissions/Workflow Tab under Non-Compliance Settings to turn on/off these emails and to edit the content of the emails.

Many of the notification emails can be turned off. To do this, uncheck the relevant box and click **Save**. To edit the template for an email, click the (**edit**) link next to its description.

Update the subject and body (remembering that the generic **Email signature**, specified above, will be appended to the bottom of all emails); put the cursor in the email body box and select a merge field from the drop-down list to insert it at that location. When you're done, click **Save**. To cancel, click the X in the top right hand corner.

Send notification to administrators on submission - administrators will be sent this notification every time a Non-Compliance is submitted.

Send receipt to editors on submission - all editors will be sent this email whenever a Non-Compliance they have edited is submitted.

Notify committing person on submission - if the person committing the Non-Compliance is not an editor, they will be sent this notification when the Non-Compliance is submitted for review.
When switched on, you can choose to notify only on Legislative or non-Legislative Non-Compliances, or both.

Notify supervisor on submission - Supervisors will be sent this notification when Non-Compliances are submitted.
When switched on, you can choose to notify only on Legislative or non-Legislative Non-Compliances, or both.

Notify editor when allocated - the user the Non-Compliance is being allocated to will receive this notification telling them they have a Non-Compliance for which they are now responsible.

Notify editors of outcome - all editors will be sent this notification when the Non-Compliance is finalised.

Notify committing person of outcome - if the person committing the Non-Compliance is not an editor, they will be sent this notification when the Non-Compliance is finalised.

When switched on, you can choose to notify only on Legislative or non-Legislative Non-Compliances, or both.

Notify supervisor of outcome - Supervisors will be sent this notification when Non-Compliances are finalised.
When switched on, you can choose to notify only on Legislative or non-Legislative Non-Compliances, or both.

Notify processing team when supervisor cannot be located – The nominated Processing Team will be sent this email when a supervisor cannot be located. Note that the system will search up the branch hierarchy in an attempt to find an appropriate supervisor (only available when supervisors are notified of outcome)

Send periodic Non-Compliance reports to nominated users - users nominated will receive a Non-Compliance report containing Non-Compliances they have reporting permission to view for all Non-Compliances finalised in the period. Set when to start the cycle and the cycle frequency.

Teams Tab

Creating a team is similar to creating a group. Creating teams and adding users to those teams will mask their name in the log file (use this functionality when you want the reporter / editor to remain anonymous and the team name to be displayed instead).

Note: the user's real name will appear - even when they are in a team - if the viewer:

- Has module administration or module processing permission, or
- Is in the same team, or
- Is the user noted in the log file (i.e. they are looking at themselves).

To create a team;

1. Select the plus icon
2. Enter a name for the team (this is the value that will be displayed as the masked name)
3. Enter an email address for the team
4. Select the save icon
5. Select the drop down for the group
6. Select the 'Add' icon to add the team members
7. Enter the team members name
8. Select the group the team member belongs to.
9. Select the save icon.