

Indicates items where more work is needed to fully document

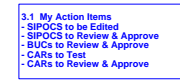
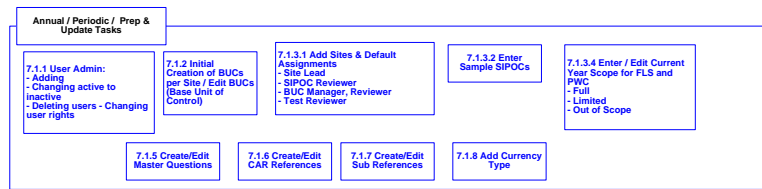
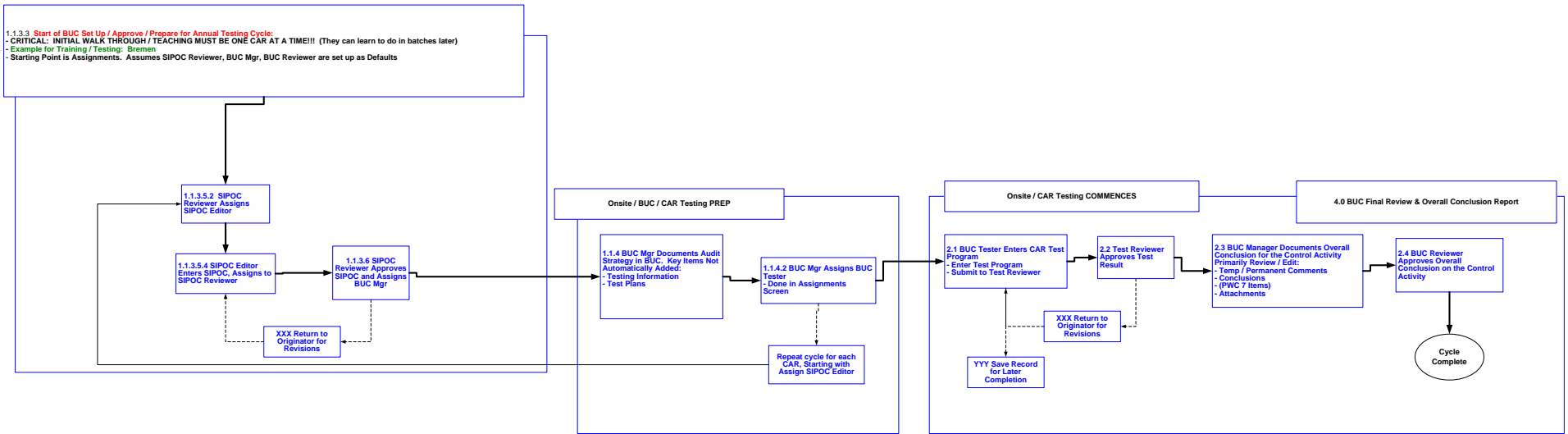
Indicates release items to be added to user instructions

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# SECTION A: OVERALL FLOWCHART

CIO Business Tool Software Process Flow v1.0



## SECTION B: RELEASE NOTES:

Indicates items not yet added to detailed documentation steps

### CHANGES IN RELEASES 1.10, 1.11, 1.12, 1.13 placed into Test 5/30/11 and Production 5/30/11

Added BUC Report.

BUC Managers can now delete tests that have already been approved.

BUC Managers can now reopen tests that have already been approved.

In the Add-Edit Test page, converted the "Evidence Date Prepared" and "Evidence Date Reviewed" date fields from calendars to drop boxes to avoid the problems with having to scroll down the page over and over as users change these dates.

1. User Admin: Allows assignment of users as members of the "Controls Group", a "Volunteer" or "Other" ... Can be viewed in list format in the admin Users list.
2. Count Report: Now displays all applicable search parameters for the following: Export to Excel, Full View, Print View
3. Added new data field for "General Test Plan" to document the generic test approach for auditing each control activity:
  - 3.1. Made this field editable in the admin section (Controls ... Reference Details / and in the Add-Edit Reference page)
  - 3.2. Also displayed this field in the Base Unit Control Review Details page
4. Fixed error that both Terri and Siew Lay were seeing when trying to approve certain SIPOCs.
5. Changed the password field for adding a new user ... to be a normal textbox type instead of a hidden-text type. This will help reduce errors when setting up new users.
6. Added ability for BUC Managers and Testers to delete control tests that are In Process (i.e. before approved).
7. Fixed problem that occurs when users copy-paste an email address or other contact info into the form and inadvertently copy a blank
8. Added option for "Inconclusive" in each of the 3 cases for: Initial Conclusion, Retest Conclusion, and Update Conclusion in the BUC Details page

### CHANGES IN RELEASES 1.07, 1.08, 1.09 placed into Test 5/17/11 and Production 5/17/11

1. Fixed problems related to properly saving test question information.
2. Added ability within the BUC Details page for BUC Managers to change the Tester or the Reviewer for a test In Progress.
3. Ability for authorized users (Controls Group members) to approve their own SIPOCs if they are the SIPOC Editors.

4. Added "Minimum Test Sampling Size" data field in the Test Count Report, the Full-View Test Count Report and the Test Count Report export to Excel. This is only displayed when a site has been selected.
5. Added "Control Activity Description" and "Control Activity Expectations" to the SIPOC export to Excel.
6. Prevented showing the following items if CAR is Out of Scope:
  - 6.1. My Action Items - Controls to Test
  - 6.2. My Action Items - Control Tests to Review
  - 6.3. My Action Items - BUCs to Review
  - 6.4. (but still display "My SIPOCs to be Edited" and "SIPOCs to Review")
  - 6.5. My Dashboard - BUCs that are out of scope
7. Fixed "BUC summary - Prior Year - shows 'REF!' on Desio SIPOC". This was actually just data that was carried over from the spreadsheet. The spreadsheet said 'REF!' too.
8. Changed the passwords (by appending a "t" to each password) in the new test server ... to reduce the chance of users entering data into the TEST system by mistake
9. Removed unwanted characters when SIPOCs are exported to Excel.
10. Added ability to add an additional question (to document evidence examined for substantive audit) for specific Questions. These show up as additional required questions underneath specific Questions in the Add-Edit Control Activity Test page. This is now configurable for each Question via the Questions Admin. Populated certain questions with "Additional Questions": Q9 / Q10 / Q46 / Q63 / Q84 / Q120 / Q123 Additional question: "Describe detail elements selected and examined"
11. Added ability to hide the 3 currency fields (Currency, Debit/Credit, and Amount) in the Add-Edit Control Activity Test page for specific CARs. This is now configurable for each CAR in the Controls Admin. Set these CARs to not require currency, amount or debit/credit: FA03 / FR01 through FR14 / I02 / I06 / I07 / I08 / OA04 / P02 / P03 / R04 / R05 / R06 / R07 / R08 / R10
12. Added drop box in the Add-Edit Control Activity Test page for Audit Type ... with options for "Preparer", "PWC" and "Internal Audit". And reflected this new field in the Individual Test Result Details page.
13. Temporarily removed the Lost My Login functionality
14. In the SIPOC excel export, added fields for: BUC Summary, Legacy GL Account, Hyperion Account GL Account, Temporary Comments and Permanent Comments.
15. Made several fields in the Add-Edit Test page larger: Comments for the questions / Evidence Comments / Temporary Comments / Permanent Comments
16. Added "Controls Portal" to the login page and the header section of each page
17. In My Action Items - changed the sorting for all 5 options to go by Site, then by Reference, then by Sub-reference.
18. Changed Test Count Report to default to "All Tests" (in the status drop box)

19. Created new user right in User Manager for "Modify Sites" ... so Site Leads can configure their own reviewers, etc.
20. EvidenceDatePrepared and EvidenceDateReviewed have been changed to unlimited length fields
21. "Test Environment" now displays on the test server's login page and in header of all pages to remind users they are in the test environment

### **CHANGES IN RELEASES 1.04, 1.05, 1.06, placed into Test 5/4/11 and Production 5/4/11**

1. Problem fixed: Getting a server error when SIPOC Editors edit a SIPOC.
2. "Lost My Login" page has been created. Allows users to have their logins emailed back to them if they've forgotten their logins.
3. "My Account" page has been created. Allows users to change their account information and passwords.
4. "Test Result ID" field added in the Add-Edit Test page ... to allow testers to label each test result as they desire. Now displaying this field in numerous pages
5. Hyperion GL Account Nos data field: In the BUC Details page, moved the Hyperion GL Acct. No(s) field to be in the SIPOC section ... this field is now unlimited length
6. Legacy GL Account Number and Description field and the Hyperion GL Acct. No(s) field have been added to the Add-Edit Test Page and Test Result Details page.
7. Problem fixed: Test records were showing up in the Count "Full View" report and Excel export ... if the user did not actually submit the test form (either to himself or to the test reviewer). These "unintended" records will still be in the database but are now excluded properly from the count report.
8. Count Report / Drill-Down Report: Server error fixed
9. BUC Managers can now edit the SIPOC data fields (and the Base Unit Control Summary and the Legacy GL Account Number and Description) but only if the SIPOC has already been certified. SIPOC Certification Log is updated whenever this action occurs.
10. SIPOCs per Site report created, with Excel export and Print View.
11. BUC Details Page, Conclusions Section, has been significantly altered. Moved the Result field to be inside the PWC boxes ... and renamed it as "Class", 3 different phase conclusions, log is updated with who made conclusions and when they were submitted.

### **CHANGES IN RELEASE 1.03, placed into Test 4/27/11 and Production 4/27/11**

1. Attachments can now be added, viewed and deleted in CAR Testing stage and BUC Evaluation Stage. Attachments can be added to CAR tests that have already been completed.

2. A default currency is now set in the site defaults and appears when a CAR Test program is created. The default can be changed.
3. When a "0" figure is entered in the currency field, it is now saved as a "0" instead of "-----"
4. If an amount is entered in the Amount field in the Add-Edit Test page, the user is now forced to select a currency and debit/credit before submitting it to the next user (or before approving the test.)
5. The BUC Manager and the Tester can now be changed in the Testing Information section in the BUC Details page
6. SIPOC Editing: Fields for both permanent and temporary comments to allow Reviewer to provide instructions to Editors for revisions
7. SIPOC details are now displayed at the top of the Add-Edit Test page so users can enter CAR tests without having to refer to a separate SIPOC document
8. Changed titles from "BUC Tester" to "Tester" in Assignments page and BUC Details page.
9. Fixed spelling for "Minimum" in BUC Details page.

## **CHANGES IN RELEASE 1.02, placed into Test 4/24/11 and Production 4/24/11**

### 1. Changes to Improve Management of Scope

#### 1.1. Affected Sections:

1.1.1. Enter or Edit Current Year Scope for XYZ CORP and PWC, item 7.1.3.4

1.1.1.1. Users now have a rights setting to allow them to modify scope

1.1.2. Create/Edit CAR References, item 7.1.6

1.1.2.1. Each CAR can now be set to High Risk if needed

1.2. Assignments page is now in two sections: In Scope and Out of Scope.

1.2.1. SEE SECTION J: RULES FOR HOW IN SCOPE / OUT OF SCOPE IS SET

1.2.2. Changes to Mass Assignment Buttons to Reduce Confusion:

1.2.2.1. The "Assign SIPOC Editors" and "Assign BUC Testers" buttons have been changed slightly. The word Assigned has been removed. When you click on these buttons, dropdowns appear for reassignment, as before, BUT a RED "ASSIGN" button now appears next to these two buttons. Click on ASSIGN to complete the assignment process.

## **CHANGES IN RELEASE 1.01, placed into Test 4/21/11 and Production 4/21/11**

1. Fixed code to reassign SIPOC Editors in the Assignments page.
2. Fixed code in BaseUnitControlDetails page and EditSIPOC page to properly display "Base Unit Control Summary - Prior Year"
3. Changed the sidebar button from "References" to "Controls"

## **SECTION C: CHANGES APPROVED FOR NEXT RELEASE**

## **SECTION D: SPECIAL INSTRUCTIONS TO TESTERS:**

1. **GOAL FOR THIS ROUND OF TESTING:**
  - a. Confirm screen names are referred to correctly in each reference step. **PLEASE HELP WITH THIS AND WRITE DOWN ANY DIFFERENCES BETWEEN SCREEN NAMES IN THIS DOCUMENT AND THE SOFTWARE** (things have evolved and changed – we need to catch up on this)
2. **If things start acting strangely, CALL JIM OR TOM. Press ahead with testing what you can**
3. **Some logins may be disabled** except for tom11111, dbartz11, sybarra1, kkidd111, Jeanette.  
Password for all is Test1111  
Go ahead and log in as whoever you need to get the job done

4. **BE EXTREMELY CAREFUL TO NOT ADD TEST DATA TO THE PRODUCTION SYSTEM** – IT IS VERY HARD TO REMOVE. THE PASSWORDS ARE DIFFERENT TO HELP PREVENT THIS MISTAKE
5. **Your initial tests will be as a normal user.** Below will be additional tests as an administrative user. THERE MAY BE SITUATIONS WHERE YOU WANT TO LOG IN AS AN ADMINISTRATIVE USER TO DIAGNOSE A PROBLEM, BUT GENERALLY, YOU SHOULD TEST AS A NORMAL USER.

## SECTION E: USER TRAINING NOTES:

- a) **MOST USER WORK WILL BE SECTIONS 1.0 THROUGH 3.0.** Administrator rights are required for Section 7.0
- b) It helps to close all other SharePoint and Internet Explorer instances. **(This is helpful, but not mandatory.)**
- c) **If system not behaving correctly, try closing all open browsers, logging out and logging back in.**
- d) **DO NOT TRY TO HAVE MULTIPLE SESSIONS ON SAME COMPUTER** – THE SOFTWARE CAN GET CONFUSED.
- e) **IF YOU FIND A BUG IN THE SOFTWARE, PLEASE HELP US BY DOCUMENTING IT SO WE CAN RE-CREATE THE ERROR AND FIX THE PROBLEM.** This is usually best done with screen shots and emails. If you are in a time crunch, call Tom and give a verbal description

## SECTION F: USER TRAINING TIPS:

1. **BEST ON INITIAL TRAINING TO LIMIT ROLES TO TWO PEOPLE – JUST USE THE SOFTWARE, DON'T GET HUNG UP ON ROLES**
2. **BEST TO HAVE TWO COMPUTERS SIDE BY SIDE**
3. **Very helpful to print the instructions below and write in people's names for the roles**

## SECTION G: USER TIPS, KNOWN PROBLEMS, ISSUES, ITEMS THAT SOMETIMES CONFUSE PEOPLE:

1. **Assignments Page:** Items that are GRAYED OUT are default items that are not formally assigned. Will not work unless formally assigned
2. **Items not showing up in Action Items or Dashboard when they should:** We are tracking this down. Making sure no other Internet Explorer instances are open and logging out and logging back in seem to help



3. **Word Search Is a Great Way to Answer Questions Quickly:** For example, the software has many “rules” for how it behaves, what it allows certain users to do, etc. Searching for “rule” will allow you to quickly find the applicable rule, even though it might be in Section 7.2 on page 18.
4. **Action Items vs Dashboard:** at the moment it is not completely clear when items appear in either place. Until we can clarify this, it is easiest to simply look in both places for your desired task.

## SECTION H: DEFINITIONS:

1. **BUC** (Base Unit Control) is a combination of a site, a CAR reference and (optionally) a sub reference. e.g. Bremen has 30 BUCs > Bremen + C01
2. **SIPOC** (Supplier, Input, Processing, Output, Customer) used to specifically define what is tested in the BUC. e.g. SIPOC for CO1:
  - 2.1. Suppler- AR Clerk
  - 2.2. Input- Unreconciled A/R Journal
  - 2.3. Process- Reconcile Cash Receipts
  - 2.4. Output- Reconciled A/R Journal
  - 2.5. Customer- A/R Supervisor
3. **CAR: Control Activity Reference, BEING CHANGED TO “CONTROLS”:** (sometimes referred to as Reference. This is a recent change. PLEASE LET US KNOW IF YOU FIND PLACE IN THE SOFTWARE WHERE WE HAVE NOT MADE THIS CHANGE. OR THE WORDING IS CONFUSING.)
4. **Question:** One of the standard questions listed in the Questions Menu, which make up the standard test questions for all test programs
5. **Test Program:** The set of standard questions selected to test a CAR

## SECTION I: ROLES, DEFINITIONS, RESTRICTIONS

Role	Definition	Restrictions
SIPOC Reviewer	Assigns SIPOC Editor and Approves initial SIPOC per CAR	

SIPOC Editor	Create initial SIPOC per CAR	Cannot be same as SIPOC Reviewer unless person is member of CIO team
BUC Manager	Responsible for overall Test Program for the BUC (Site + CAR). Default is Site Lead	Cannot be same as BUC Reviewer
BUC Tester	Performs CAR Testing	Cannot be same as Test Reviewer or BUC Reviewer
Test Reviewer	Reviews and Approves CAR Test	Cannot be same as BUC Tester
BUC Reviewer	Reviews and Approves the Final BUC (Site + CAR)	Cannot be same as BUC Manager

## SECTION J: RULES FOR HOW IN SCOPE / OUT OF SCOPE IS SET:

1. The software will automatically set the BUC to In Scope if:
  - 1.1. The Site is full scope (or)
  - 1.2. the Site is limited scope and the CAR for that BUC is a High Risk CAR
2. A BUC can be manually set to In Scope or Out of Scope. MANUAL SETTING OVERRIDES THE SOFTWARE

## SECTION K: USER TRAINING AND TESTING STEP BY STEP INSTRUCTIONS

Number	Item	Guidance / Expected Results for Tester ===== Comments by Testers	Pass / Fail
1.1.0	<b>PREPARATION:</b> Log in to SharePoint Test Site <a href="https://www.XYZ Corptest.net">https://www.XYZ Corptest.net</a>		N/A

	<p>(or)</p> <p>SharePoint Production Site <a href="https://www.XYZ_Corpci.net">https://www.XYZ_Corpci.net</a></p> <p>Under Links on right, click on CIO Business Tool to begin testing</p> <p><b>BE EXTRA CAREFUL WITH THE PRODUCTION SYSTEM!!!</b> Do not enter test data into production system – it is very hard to remove</p>		
1.1.3.3	<p><b>1.1.3.3 Start of BUC Set Up / Approve / Prepare for Annual Testing Cycle:</b></p> <ul style="list-style-type: none"> <li>- <b>CRITICAL: INITIAL WALK THROUGH / TEACHING MUST BE ONE CAR AT A TIME!!!</b> (They can learn to do in batches later)</li> <li>- <b>Example for Training / Testing: Bremen</b></li> <li>- <b>Starting Point is Assignments. Assumes SIPOC Reviewer, BUC Mgr, BUC Reviewer are set up as Defaults</b></li> </ul>		N/A
1.1.3.5	<p><b>Review and Certify SIPOC – OVERALL PROCESS –</b></p> <p><b>THINK OF ALL SUB-ITEMS UNDER THIS HEADING AS ONE MAJOR PROCESS</b></p> <p>Sign in as SIPOC Reviewer (CONFIRM THAT SIPOC REVIEWER HAS NEEDED RIGHTS IN USERS SCREEN: Assign SIPOC Editors, Assign BUC Tester, Tester/Reviewer, Active)</p>		
1.1.3.5.2	<p><b>SIPOC Reviewer Assigns SIPOC Editor</b></p> <p>Click on Assignments</p> <p>Select a Site, (Generally use a new site because previously tested sites can be corrupted.)</p> <p>Click Search</p> <p>Note that some CAR References are In Scope and some are Out of Scope.</p> <p>Note button at top of Assignments page that allows the Site Lead or BUC manager to</p>	<p>Confirm that in scope assignments follow rules in section J.</p> <p>Able to enter and save a new SIPOC</p>	

	<p>change In Scope / Out of Scope</p> <p>See SECTION J: RULES FOR HOW IN SCOPE / OUT OF SCOPE IS SET:</p> <p>Click on SIPOC Editors button</p> <p>(PLEASE DO ONE CAR AT A TIME FOR INITIAL TRAINING)</p> <p>For desired CAR, click drop down under Assign button and choose person desired to be SIPOC editor</p> <p>Click Red Assign button (next to BUC Tester button at top)</p>		
1.1.3.5.4	<p><b>SIPOC Editor Enters SIPOC, Assigns to SIPOC Reviewer</b></p> <p>Log in as SIPOC editor</p> <p>Click on My Action Items, will bring up <b>My SIPOCs to be Edited</b> screen.</p> <p>Click on CAR FOR SIPOC TO BE EDITED, <b>Base Unit Control Review Details</b> screen will be displayed.</p> <p>Click pencil next to SIPOC (<b>SIPOC screen will be displayed</b>) to enter SIPOC info, follow prompts, save. <b>Base Unit Control Review Details</b> screen will be displayed.</p> <p>Select SIPOC Reviewer</p> <p>Click Submit to SIPOC Reviewer button</p>		
1.1.3.5.6	<p><b>SIPOC Reviewer Approves SIPOC and Assigns BUC Manager</b></p> <p>Log in as SIPOC Reviewer,</p> <p>Click on My Action Items.</p> <p>Click on CAR FOR SIPOC to be Reviewed, will bring up <b>Base Unit Control Review Details</b> screen.</p>		

	<p>Choose BUC manager to assign to and click Approve SIPOC and Assign to BUC Manager button</p> <p>(Or click Send Back to SIPOC Editor button If needs further work)</p> <p>Note: Fields for both permanent and temporary comments to allow Reviewer to provide instructions to Editors for revisions</p>		
1.1.4	<p><b>BUC Manager Documents Audit Strategy In BUC Details Page.</b></p> <p>BUC Manager logs in, BUC Task is in Dashboard</p> <p>Clicks on CAR Reference for desired task, will bring up <b>Base Unit Control Review Details</b> screen.</p> <p>BUC Manager documents info in Testing Information section (Click on pencil – brings up <b>Testing Info</b> screen), enter, save – goes back to <b>Base Unit Control Review Details</b> screen.</p> <p>Note: BUC Manager, BUC Tester and BUC Reviewer can now be changed in this section</p> <p>BUC Manager documents info in Test Plans section (Click on pencil <b>Test Plans</b> screen opens), enter, save - goes back to <b>Base Unit Control Review Details</b> screen.</p>		
1.1.4.2	<p><b>BUC Manager Assigns BUC Tester</b></p> <p>BUC Manager logs in, Clicks Assignments</p> <p>Select a Site, (Bremen)</p> <p>Click Search</p> <p>Click BUC Testers button at top</p> <p>Choose person to assign as BUC tester from dropdown list</p>	<p>BUC tester name should be updated</p> <p>After attempting to update one at a time, attempt to assign</p>	

	Click Red Assign button (next to BUC Tester button at top)	several BUC testers in a batch	
2.0	<b>Onsite / CAR Testing COMMENCES</b>		N/A
2.1	<p><b>BUC Tester Enters CAR Test Program, Add-Edit Test page</b></p> <p><b>BUC Tester Logs In</b>, Task should be in My Dashboard</p> <p>For CAR from which test is to be created, click <b>Add Test button on right side</b> – brings up <b>Base Unit Control Review Details</b> screen.</p> <p><b><u>COMPLETE CAR TEST PROGRAM BASED ON THE FOLLOWING GENERAL GUIDELINES, ATTEMPTING TO TEST AND EXERCISE THE SOFTWARE AS USERS MIGHT MAKE REASONABLE MISTAKES OR ERRORS:</u></b></p> <p><b>EVIDENCE EXAMINED SECTION:</b></p> <ul style="list-style-type: none"> <li>- Enter information as requested, checking boxes in some cases</li> <li>- Confirm that the software requires you to enter Evidence Comments if any of the No Evidence Available boxes are checked</li> </ul> <p><b>IF CURRENCY REQUESTED (NOTE THAT NOT ALL CARS INCLUDE CURRENCIES. THIS FEATURE IS ENABLED OR DISABLED BY CAR IN THE CONTROLS ADMIN SCREEN):</b></p> <ul style="list-style-type: none"> <li>- A default currency for each site is presented</li> <li>- Confirm that user can chose a different currency</li> <li>- Confirm that the currency remains set correctly after the record is saved</li> <li>- Enter debit or credit</li> </ul> <ul style="list-style-type: none"> <li>- Enter amount: <b>(Rule for Entering amounts: IF USER ENTERS AMOUNT, CURRENCY AND DEBIT/CREDIT FIELD MUST BE SELECTED. User is allowed to enter a record with no amount entered.)</b></li> <li>- When a “0” figure is entered in the currency field, it is now saved as a “0” instead of “-----“</li> </ul>	<p>Any dropdown selection of “Pending” prevents the test program from being submitted to the reviewer</p> <p>Q6, Q9 and some other questions will allow only NUMBERS (No Letters)</p>	

- - Enter a symbol, commas and decimals and negative numbers to confirm software errors will handle correctly. (Confirm able to enter commas as expected in normal formatting – 1,000)

**FOR ALL QUESTIONS ASKED IN TEST PROGRAM:  
QUESTIONS WITH MULTIPLE CHOICE DROPDOWNS:**

- Select one of each drop down
- Enter comments for all items that do not

**SELECT “PENDING” FOR ONE OF THE DROP SELECTIONS. NOTE THAT THE TEST PROGRAM CANNOT BE SUBMITTED TO REVIEWER.**

- Click the Save & Close button at bottom to save the record (so it can be worked on later)

**Test Result ID field:** allows testers to label each test result as they desire.

**QUESTIONS WITH TEXT FIELDS:**

- Enter text

**QUESTIONS WITH YES/NO:**

- alternate between yes and no

**NOTE THAT SOME QUESTIONS MAY HAVE A “RELATED QUESTION” TO BE COMPLETED. This feature is used to document evidence examined for substantive audit.** This is configured in the Questions page.

**ATTACH A DOCUMENT:**

- Attach the document with the button
- View the document by clicking on the file name
- Delete the document by clicking on the blue x

**ENTER TEMPORARY COMMENTS**

**ENTER PERMANENT COMMENTS**

**TESTING PHASE:**

- Rotate between Initial, Retest and Update

**ASSIGN TO REVIEWER (PICK FROM DROPDOWN)**

	<p><b>CLICK SUBMIT TO REVIEWER</b> – goes to <b>Base Unit Control Review Details</b> screen.</p> <p><b>CONFIRM THAT RECORD SAVE and ERROR RECOVERY LOGIC are WORKING CORRECTLY:</b></p> <ul style="list-style-type: none"> <li>- If any question answered is other than pass and does not have an explanation in the comments, an error is presented and the user must correct before the test result can be submitted to Reviewer</li> <li>- If a user is given an error, <b>THE USER MUST NOT LOSE THE WORK THEY HAVE ENTERED.</b> User must be able to correct the error and continue with submitting without having to re-enter information</li> </ul>		
2.2	<p><b>Test Reviewer Approves Test Result</b></p> <p>Test Reviewer logs</p> <p>Clicks on My Actions Items</p> <p>Clicks on desired CAR reference</p> <p>Clicks Approve button at bottom</p> <p>Or Clicks Send back to Test button for revisions</p>		
2.3	<p><b>BUC Manager Documents Overall Conclusion for the Control Activity</b></p> <p>BUC Manager signs in, task will be in Action Items</p> <p>Click CAR for desired task, brings up <b>Base Unit Control Review Details</b> screen.</p> <p>Review report</p> <p>Enter information needed in Conclusions section by clicking on pencil (<b>Testing Info</b> screen will open), completing entries, clicking save. Key items entered include:</p> <ul style="list-style-type: none"> <li>- Initial, Restest or Update conclusion</li> <li>- PWC 7 questions and Class</li> <li>- Result – goes back to <b>Base Unit Control Review Details</b> screen</li> </ul>		



	Assign to BUC reviewer by picking from dropdown, click Submit to Reviewer button.		
2.4	<p><b>BUC Reviewer Approves Overall Conclusion on the Control Activity</b></p> <p>BUC Reviewer signs in, task will be in Dashboard</p> <p>Click CAR for desired task</p> <p>Review report</p> <p><b>ATTACH A DOCUMENT:</b></p> <ul style="list-style-type: none"> <li>- Attach the document with the button</li> <li>- View the document by clicking on the file name</li> <li>- Delete the document by clicking on the blue x</li> </ul> <p>Approve</p> <p>Or Clicks Send back to BUC Manager button for revisions</p> <p><b>CYCLE COMPLETE</b></p>		
3.1	<p><b>My Action Items</b></p> <p>Need examples for testing:</p> <p>SIPOC Editor</p> <p>SIPOC Reviewer</p> <p>CAR Tester</p> <p>CAR Reviewer</p> <p>Peer Review for Final Sign Off</p>		HOLD TESTING FOR NOW
3.2	<p><b>My Dashboard</b></p>		HOLD TESTING FOR NOW
4.1	<p><b>Report Exports to Excel</b></p>		HOLD

			TESTING FOR NOW
4.2	Activity log tracking all changes as it should. Confirm that tester and reviewer are identified correctly		HOLD TESTING FOR NOW
4.3	User is able to exit application gracefully and return to SharePoint		HOLD TESTING FOR NOW
5.0	<b>REPORTS</b>		
5.1	<b>COUNT REPORT (TEST RESULT):</b>		HOLD TESTING FOR NOW
5.2	<b>SIPOCs per Site Report</b>		
6.0	<b>Miscellaneous</b>		
7.1.1	<p><b>User Admin Functions:</b></p> <p>Click on Users. Most functions are self evident from this screen</p> <p>Add a user</p> <p>Change a user from active inactive and back</p> <p>Set a user as inactive</p> <p>Change a user's rights – select from following list:</p> <ul style="list-style-type: none"> <li>- Administrator: All rights</li> <li>- Modify Sites: (allows Site Leads to configure their own SIPOC, Test and BUC Reviewers, or BUC Manager)</li> <li>- Tester / Reviewer</li> <li>- Assign SIPOC Editors</li> <li>- Assign Testers</li> <li>- Modify Scope</li> <li>- Approve Own SIPOCs</li> <li>- Active</li> </ul>	Jim is working on changes to allow users to change their own words	

	<p>NOTE: AT PRESENT, ALL USER NAMES MUST HAVE A TOTAL OF 8 CHARACTERS AND USE THE STANDARD WORD OF Test1111</p> <p>NOTE: You cannot change a user's password</p>		
<p>7.1.2</p>	<p><b>Initial Creation of BUCs Per Site /Edit BUCs (Base Unit of Control) (Also where we add CARs for testing at Sites)</b></p> <p>(NOTE: PAY CLOSE ATTENTION TO COLOR OF CAR BUTTONS AND INSTRUCTIONS – BLUE vs GRAY makes a difference)</p> <p>Select BUC Admin</p> <p>Select Site, click search</p> <p>Review CAR references. See if all needed are included</p> <p>Add a new CAR to create a new BUC: Click add Base Unit of Control button at top of screen, click any BLUE Add button to add any CAR reference (WRITE DOWN CAR NUMBER)</p> <p>(Complete)</p> <p>Add a new CAR and Sub Reference to create a new BUC: Click add Base Unit of Control button at top of screen, select Sub Reference from drop down, click any BLUE Add button to add any CAR reference (WRITE DOWN CAR NUMBER)</p> <p>(Complete)</p> <p>Add a new CAR and Sub Reference to create a new BUC: Click add Base Unit of Control button at top of screen, select Sub Reference from drop down, click any GRAY Add button to add any CAR reference (WRITE DOWN CAR NUMBER)</p> <p>(Complete)</p> <p>Delete all Base Unit Controls just added: Click on BUC Admin, click red X for each CAR Reference / BUC just created</p>	<p>Able to add a new CAR reference to the BUC for the site</p> <p>Able to add a new CAR reference with Sub Reference to the BUC for the site</p> <p>Able to add a new CAR reference with Sub Reference to the BUC for the site</p> <p>MUST DELETE ANY CAR REFERENCE /</p>	

		BUCS ADDED –CRITICAL TO NOT CHANGE XYZ CORP'S DATA	
7.1.3.1	<p><b>Add Sites in Default Assignments for SIPOC, Reviewers, Editors, BUC Manager, Tester</b></p> <p>Must have administrative rights.</p> <p>Click on Sites</p> <p>Add Site Name</p> <p>Use drop downs to set defaults assignments</p> <p>Click add to save</p>		
7.1.3.2	<p><b>Enter Sample SIPOC</b></p> <p>Click on Controls,</p> <p>Click on desired CAR reference</p> <p>Click pencil icon at top, paste from spreadsheet (data source)</p> <p>Click save</p>		

7.1.3.4	<p><b>Enter or Edit Current Year Scope for XYZ CORP and PWC</b></p> <p>Must have right to Modify Scope set in Users section</p> <p>Click on Sites</p> <p>Add Site Name</p> <p>Use drop downs to set scope</p> <p>Click add to save</p>		
7.1.5	<p><b>Create/Edit Master Questions</b></p> <p>Click on Questions,</p> <p>Click add Question, follow prompts</p> <p>To edit a question, click on question number and follow prompts</p>		
7.1.6	<p><b>Create/Edit CAR References</b></p> <p>Click on Controls,</p> <p>Click add Reference, follow prompts</p> <p>To edit a reference, click on the CAR reference code, click on pencil icon and follow prompts</p> <p>Check "High Risk" box if needed</p>		

7.1.7	<p><b>Create/Edit Sub References</b></p> <p>Click on Sub References,</p> <p>Click add Sub Reference, follow prompts</p> <p>To edit a Sub Reference, click on the sub reference code, click on pencil icon and follow prompts</p>		
7.1.8	<p><b>Add Currency Type</b></p> <p>Click on Currency Types,</p> <p>Click add Add Currency Type, follow prompts</p>		
7.1.9	<p><b>"Lost My Login" page</b></p> <p>This option is displayed when logging in.</p> <p>Enter your email to receive your login and password</p>		
7.1.10	<p><b>"My Account" Page</b></p> <p>Change your account information or password here.</p>		



## SECTION L: SPECIAL TESTING PROTOCOLS

### 1.0 Full BUC Cycle Training Exercise:

- 1.1 Create SIPOC & BUC for COI – Steps 1.1.3.5 – 1.14
- 1.2 In Step 1.1.4 in BUC Review Details Screen, Testing in Formation, Click on pencil, enter 5 occurrences and save (goal is to have minimum test sampling size = 3. This varies by CAR)
- 1.3 Finish Step 1.1.4 – enter data in Test Plans Section
- 1.4 Do Step 1.1.4.2 – Assign tester
- 1.5 Do Step 2.1 – Enter 3 CAR Tests
- 1.6 Do Step 2.2 – Test Reviewer Approves Test Results
- 1.7 Do 2.3 – BUC Manager documents overall conclusion
- 1.8 Do 2.4 – BUC Reviewer approves - overall complete