About This Document

THE PSCI AUDIT SHARING PLATFORM USER GUIDE

This PSCI Audit Sharing User Guide explains how to use the Audit Sharing Platform for suppliers.

The platform underpins the PSCI Audit Sharing Program. It is the platform for sharing audits with the PSCI membership.

Please refer to the PSCI Shared Audit Program Guidance available on the PSCI website (http://pscinitiative.org/resources) for more information about the PSCI Audit Sharing Program.

DOCUMENT HISTORY

<table>
<thead>
<tr>
<th>Version</th>
<th>Date</th>
<th>Status/Changes</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>2016</td>
<td>First version</td>
</tr>
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</table>

ABOUT THE PHARMACEUTICAL SUPPLY CHAIN INITIATIVE

The Pharmaceutical Supply Chain Initiative (PSCI) is a group of major pharmaceutical and healthcare companies who share a vision of better social, economic, and environmental outcomes for all those involved in the pharmaceutical supply chain. This includes improved conditions for workers, economic development, and a cleaner environment for local communities. Find out more on the PSCI website: http://pscinitiative.org/home
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Chapter 1: Introduction

The PSCI Audit Sharing Platform has been developed as the platform for sharing audits with the PSCI membership. The platform underpins the PSCI Audit Sharing Program. Please refer to the PSCI Shared Audit Program Guidance available on the PSCI website (http://pscinitiative.org/resources) for more information about the PSCI Audit Sharing Program and process.

PLATFORM OVERVIEW

This guide gives an introduction to the basic functions of the PSCI Audit Sharing Platform for suppliers. It includes how to handle the following processes:

- How to upload an audit document
- How to upload supporting documents
- How to share an audit document
- How to record actions taken to address audit findings

REMEMBER THE AUDIT SHARING PROCESS

SHARING AUDIT DOCUMENTS

Completed Self-Assessment Questionnaires (SAQs), Audit Reports and Correct Action Plan Reports (CAPRs) can be uploaded to the system and shared with PSCI members. The audit should be uploaded by the party who paid for the audit ("audit sponsor"), or with their permission.

More detail on how to share an audit can be found in Chapter 3.

REDACTION

The audit sponsor must ensure that all audit related documents are redacted before upload. For details on how to carry out a proper redaction, please refer to the PSCI Audit Guidance. A redaction check is built into the system. When a document is uploaded an alert is sent to the PSCI. The PSCI downloads the document, checks the redaction, and then uploads the approved document. Any PSCI member linked to the supplier is then able to view the document.

RECORDING THE MAIN FINDINGS

As part of the approval process the PSCI will capture the main findings of the audit and put them into the system against the supplier. Suppliers can then log in and update the status of their corrective actions and provide the required evidence (e.g. descriptions, documents, pictures).
Chapter 2: How to log-in

Open a browser and type the URL link into the address field and click the Enter key. The URL link is:

http://pscinitiative.org/login

Add the URL to your ‘Favourites’ for ease of access later.

Once you have entered the URL successfully the login screen appears.

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
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</thead>
<tbody>
<tr>
<td>1</td>
<td>Enter your email address into the <strong>Email</strong> field</td>
</tr>
<tr>
<td>2</td>
<td>Enter your password into the <strong>Password</strong> field</td>
</tr>
<tr>
<td>3</td>
<td>Click the <strong>Login</strong> button</td>
</tr>
</tbody>
</table>

If you do not have login details, contact the secretariat: info@pscinitiative.org
# Chapter 3: How to operate the system

## CHANGE YOUR USER DETAILS

When you log in (see Chapter 2), you will be on the **My Details** page. To edit your details:

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
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</thead>
<tbody>
<tr>
<td>1</td>
<td>Click on the orange <em>Edit</em> button. You will be presented with user detail fields.</td>
</tr>
<tr>
<td><img src="image1.png" alt="My Details" /></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Click into the field box that you wish to edit and edit as appropriate.</td>
</tr>
<tr>
<td><img src="image2.png" alt="My Details" /></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Click <em>Save</em>.</td>
</tr>
</tbody>
</table>

## UPLOAD AN AUDIT AND/OR SAQ

When a supplier is ready to share an audit document (SAQ and/or audit) they can do so by following this procedure:

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Log on to the platform.</td>
</tr>
<tr>
<td>2</td>
<td>Scroll down to the <strong>Suppliers</strong> section and click on your site name. This will take you to the <strong>Supplier Details</strong> page</td>
</tr>
</tbody>
</table>
3 Scroll down to the **Assessments** section.

4 Click on the orange **Add** button to add an assessment. This will take you to the **Assessment Details** page.

5 Choose the **Type** and click **Create**

6 If you want to add a Self-Assessment Questionnaire (SAQ), click on the orange **Add Questionnaire** button. If you want to add an audit, click on the orange **Add Audit** button.
7 Complete the **Questionnaire/Audit Details** page, upload the file by clicking on the orange **File** button.

![Audit Details](image)

8 When you are ready to submit, click on **Submit to PSCI**

### UPLOAD SUPPORTING DOCUMENTS

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>On the <strong>Audit Details</strong> page, scroll down to the <strong>Supporting Documents</strong></td>
</tr>
<tr>
<td>2</td>
<td>Type the name of the document into the <strong>Name</strong> free text box and upload the document by clicking on the orange <strong>File</strong> button, then click on the orange + to add the document.</td>
</tr>
</tbody>
</table>

![Supporting Documents](image)

You can upload Word Documents or PDFs of no more than 30MB.
SHARE AN AUDIT DOCUMENT

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>On the Assessment Details page, scroll down to the Audit section</td>
</tr>
<tr>
<td>2</td>
<td>Open the audit that you want to share by clicking on the orange magnifying glass.</td>
</tr>
<tr>
<td>3</td>
<td>On the Audit Details page, scroll down to the Sharing section, where you will see two options – to share with all existing and future members of the PSCI and alternatively to share only with specific members.</td>
</tr>
</tbody>
</table>

Select your preferred option. If you chose to share only with specific members when you click on that option you will be taken back to the Audit Details page. Scroll down to the Sharing section and use the drop down list to add the member companies that you want to share the audit with.

Select the member company name, and click on the orange + button to add that company.

PSCI members will only be able to view the documents that suppliers have shared with them.
ADD RESPONSE TO AN AUDIT FINDING

Suppliers are able to record progress on resolving audit findings. If a CAPR report is uploaded the audit, the PSCI will record the CAPR findings on the audit details page.

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>On the Audit Details page, scroll down to the CAPR section</td>
</tr>
<tr>
<td>2</td>
<td>Click on the orange speech bubble button to record a written response against an individual action. There is also the option to upload supporting evidence. Click on the orange File button to upload a file. Then click on the orange + button to complete the response.</td>
</tr>
</tbody>
</table>

Audit documents


PSCI Audit Report and Self-Assessment Questionnaire (SAQ)


Chapter 4: Glossary of system terminology

Assessments Each PSCI Assessment consists of a completed SAQ and an Audit.

Assessment Details The Assessment Details section shows the sponsor and type of the assessment.

Audit Details The Audit Details page shows the details of the audit including auditing company, sponsor, and date.

Audit Status On the Supplier Details page, Audit Status section, the colours in the Last Audit column represent how recently the audits have taken place:

- Green (Current) - an audit of this type has been conducted within the past 12 months.
- Yellow (Due) - an audit of this type has not been conducted within the past 12 months.
- None (Historic) - the last audit of this type took place more than 24 months ago (or has never been conducted).

Questions related to the PSCI Audit Sharing Platform should be directed to the PSCI Secretariat at the following email address: info@PSCInitiative.org

CAPR CAPR stands for Corrective Action Plan Report and is the report issued by the auditing company which records findings and suggests actions and timescales for completion.

SAQ SAQ stands for Self-Assessment Questionnaire. PSCI member companies ask suppliers to complete an SAQ to give them more information on the supplier and their management practices.

Update History The Update History section shows when the Audit or SAQ was created in the system, and whether it is pending redaction or redacted.

Chapter 5: Contact Details

Questions related to the PSCI Audit Sharing Platform should be directed to the PSCI Secretariat at the following email address: info@PSCInitiative.org.