



Pharmaceutical Supply Chain Initiative

# PSCI Audit Sharing Platform Member User Guide

November 2018

# 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 members.

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

Version	Date	Status/Changes
1	2016	First version
2	2017	Second version in compliance with the 2017 platform updates and training video

## 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 members.

It includes how to handle the following processes:

- How to upload an audit document
- How to share an audit document
- How to find and download an audit document
- How to view supplier progress in addressing audit findings

## REMINDER OF 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. When the audit is uploaded, if the supplier has already linked to members then the audit will be automatically shared with those members. If that supplier has not yet registered then the system will send a message to the supplier asking them to register, and begin the process of linking to members. The system includes an inbuilt Data Sharing Agreement.

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).

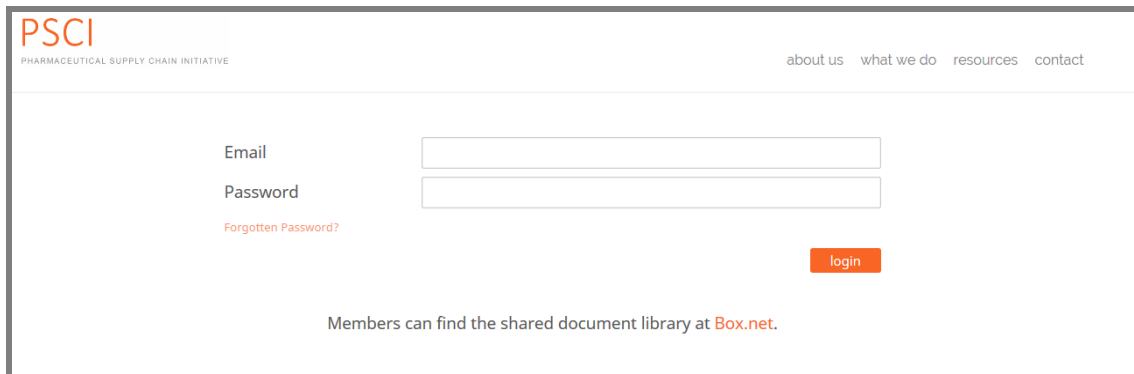
## Chapter 2: How to log-in

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.



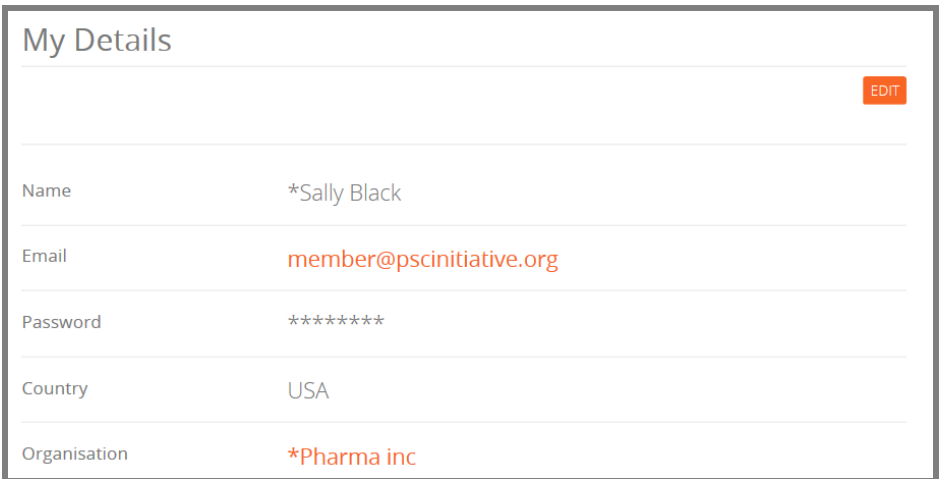
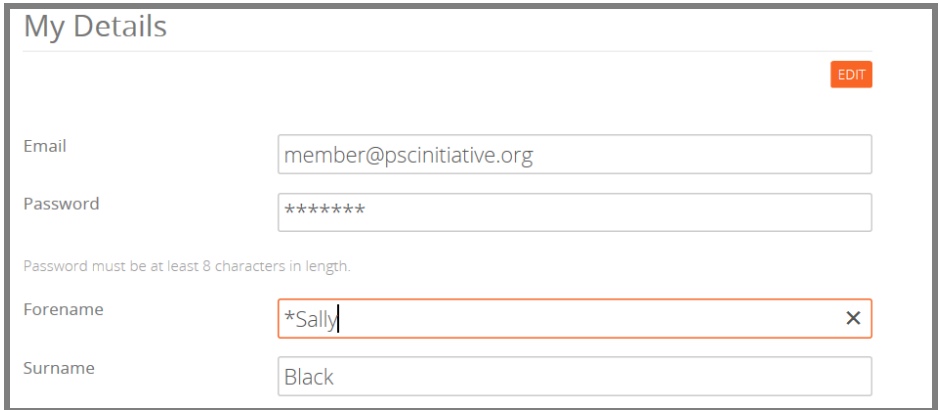
Step	Action
1	Enter your email address into the <b>Email</b> field
2	Enter your password into the <b>Password</b> field
3	Click the <b>Login</b> button

If you do not have login details, contact the secretariat: [info@pscinitiative.org](mailto:info@pscinitiative.org)

## Chapter 3: How to operate the system

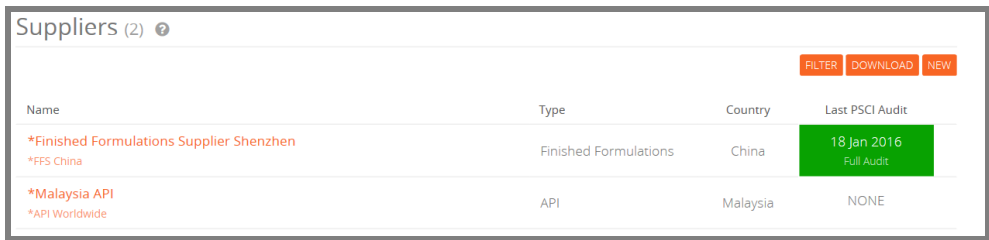
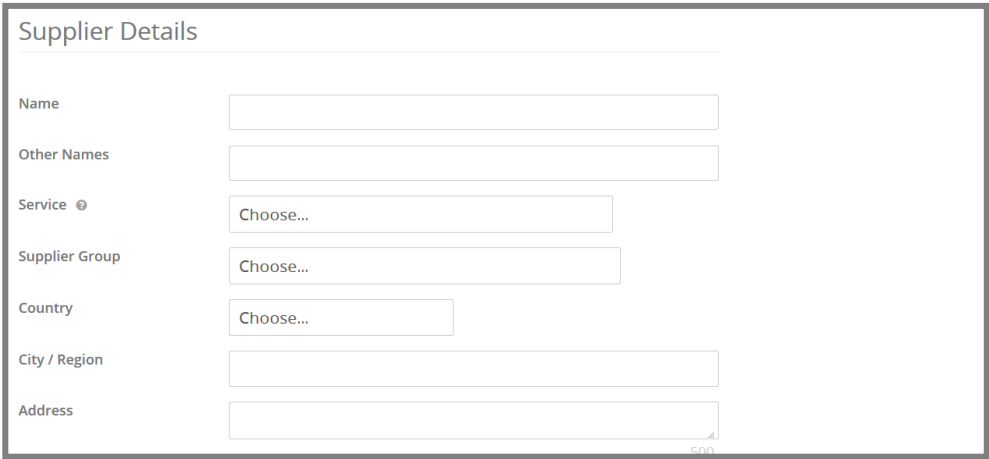
### CHANGE YOUR USER DETAILS

When you log in (see Chapter 2), you will be on the **Organisation Details** page. To edit your personal details, use the following procedure:

Step	Action
1	Click on your username in the <b>Users</b> section, half way down the page or on your name in the top right hand corner of the page. You will be taken to your <b>My Details</b> page.
2	Click on the orange <b>Edit</b> button. You will be presented with user detail fields. 
3	Click into the field box that you wish to edit and edit as appropriate. 
4	Click <b>Save</b> .

## ADD A NEW SUPPLIER

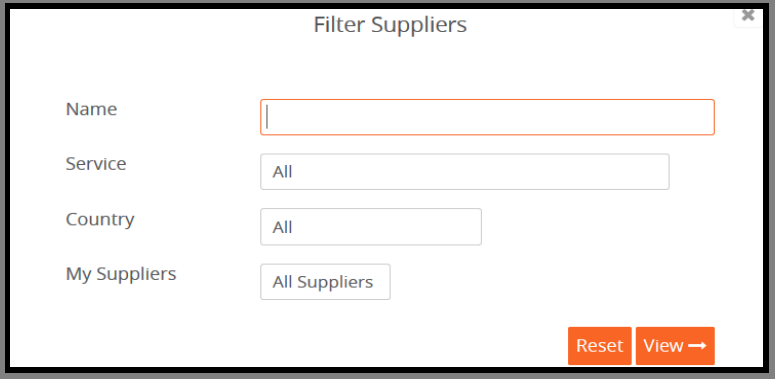
Members are able to add a new supplier to the system, giving basic information including email contact details. The system then automatically sends an email to that contact asking them to register on the system. Use the following procedure:

Step	Action
1	Click on the <b>Suppliers</b> tab near the top of the page. This will bring up a list of the suppliers on the platform.
2	Click on the orange <b>New</b> button. You will be on the <b>Supplier Details</b> page. 
3	Fill out the Supplier Details form. 
4	Click <b>Create</b> .

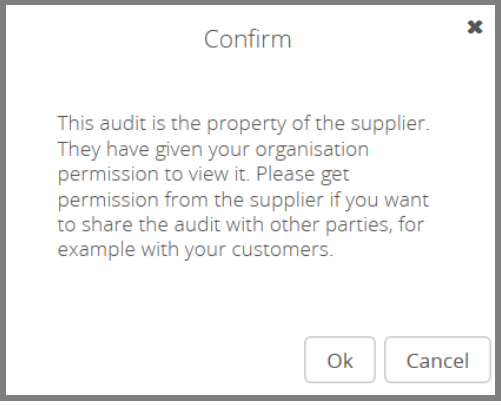
## FIND A SUPPLIER

This feature is used to search by supplier name, service, country and your list of suppliers. Use the following procedure:

Step	Action
1	Click on the <b>Suppliers</b> tab. This will bring up a list of the suppliers on the platform.
2	Click on the orange <b>Filter</b> button.
3	Type in the name of the supplier you are looking for and/or search by service, country location and your suppliers.

	
4	Click on the orange <b>View</b> button to see the search results.

### FIND AND DOWNLOAD AN AUDIT AND/OR SAQ

Step	Action
1	Log on to the platform.
2	Click on the <b>Suppliers</b> tab.
3	Select the supplier from the <b>Suppliers</b> list and click on its name.
4	On the <b>Supplier Details</b> page, scroll down to <b>Assessments</b> . Click on the type of the assessment that you want to view. This will take you to the <b>Assessment Details</b> page.
5	<p>Scroll down to the SAQ or Audit section. Click on the download icon for the document you want to download (SAQ or Audit). You will see a pop up box which alerts you to the fact that this audit is the property of the supplier and they have given your organisation permission to view it. You are asked to seek permission from the supplier if you want to share the audit with other parties, for example with your customers.</p> <p>Click <b>Ok</b> to confirm</p> 



6 On the next page, **Audit details**, you can download the audit document by clicking on the orange **Download** button

### Audit Details

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Supplier Finished Formulations Supplier Shenzhen \*

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Date Audited 1 Sep 2015

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Type PSCI HSE Audit

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Identification No. 002

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Audit Company SGS

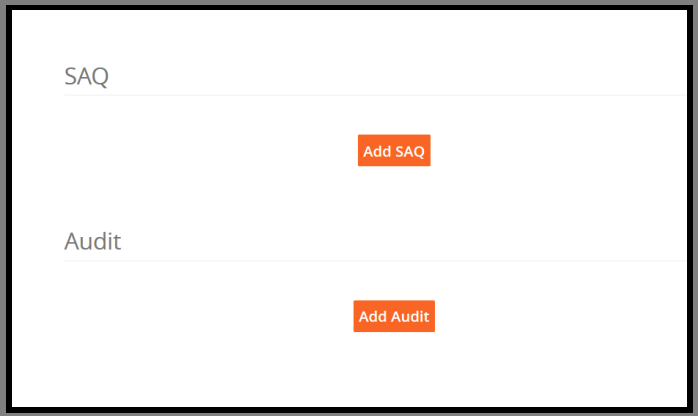
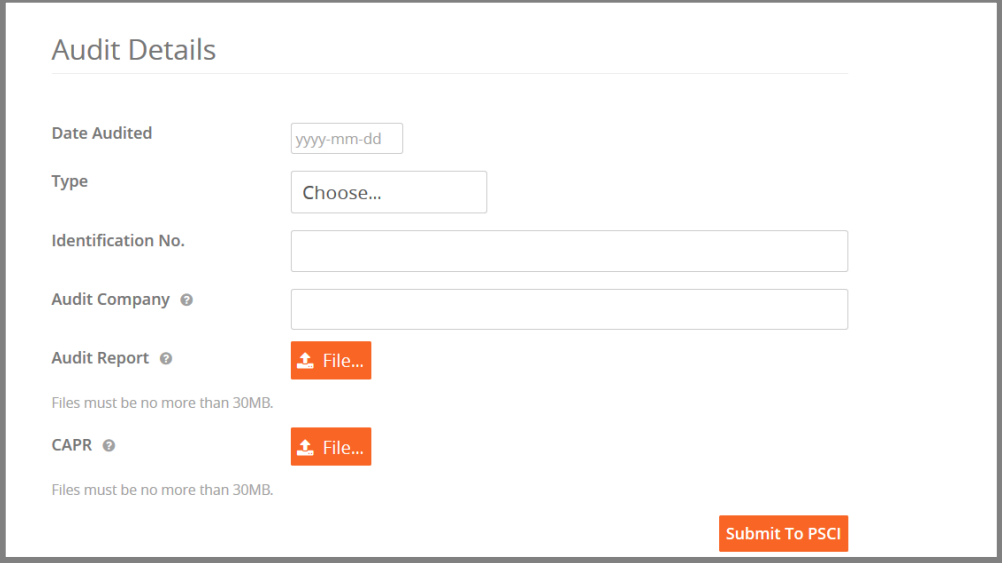
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Audit Report [Download](#)

### UPLOAD AN AUDIT AND/OR SAQ

For a PSCI member owned audit the PSCI member will either upload it themselves or ask the secretariat to upload the audit. To upload the audit document use the following procedure:

Step	Action																				
1	Log on to the platform.																				
2	Click on the <b>Suppliers</b> tab.																				
3	Select the supplier from the <b>Suppliers</b> list. Alternatively create a new supplier.																				
4	<p>On the <b>Supplier Details</b> page, scroll down to <b>Assessments</b>.</p> <div style="border: 1px solid gray; padding: 10px; margin: 10px auto; width: 80%;"> <h3 style="text-align: left;">Assessments <span style="float: right;">⌵</span></h3> <p style="font-size: small;">Last upload on 19 Oct 2015. <span style="float: right;"><a href="#">ADD</a></span></p> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 20%;">Type</th> <th style="width: 20%;">SAQ</th> <th style="width: 10%;"></th> <th style="width: 20%;">Audit</th> <th style="width: 10%;"></th> </tr> </thead> <tbody> <tr> <td>PSCI</td> <td style="background-color: #f1c40f;">1 Oct 2015</td> <td style="background-color: #27ae60; color: white; text-align: center;">✓</td> <td>1 Sep 2015 HSE Audit</td> <td style="background-color: #27ae60; color: white; text-align: center;">✓</td> </tr> <tr> <td>PSCI</td> <td>16 Oct 2014</td> <td style="background-color: #f1c40f; text-align: center;">✗</td> <td>2 Jun 2014 Full Audit</td> <td style="background-color: #27ae60; color: white; text-align: center;">✓</td> </tr> <tr> <td>PSCI</td> <td>16 Oct 2013</td> <td style="background-color: #f1c40f; text-align: center;">💬</td> <td>12 Oct 2013 Labour Rights Audit</td> <td style="background-color: #f1c40f; text-align: center;">💬</td> </tr> </tbody> </table> </div>	Type	SAQ		Audit		PSCI	1 Oct 2015	✓	1 Sep 2015 HSE Audit	✓	PSCI	16 Oct 2014	✗	2 Jun 2014 Full Audit	✓	PSCI	16 Oct 2013	💬	12 Oct 2013 Labour Rights Audit	💬
Type	SAQ		Audit																		
PSCI	1 Oct 2015	✓	1 Sep 2015 HSE Audit	✓																	
PSCI	16 Oct 2014	✗	2 Jun 2014 Full Audit	✓																	
PSCI	16 Oct 2013	💬	12 Oct 2013 Labour Rights Audit	💬																	
5	<p>Click on the orange <b>Add</b> button. This will take you to the <b>Assessment Details</b> page.</p> <div style="border: 1px solid gray; padding: 10px; margin: 10px auto; width: 80%;"> <h3 style="text-align: left;">Assessment Details</h3> <hr/> <p>Type <span style="float: right;"><input type="text" value="Choose..."/></span></p> <hr/> <p style="text-align: right;"><a href="#">Create</a></p> </div>																				

6	Choose the <b>Type</b> and click <b>Create</b>
7	<p>If you want to add a SAQ, click on the orange <b>Add SAQ</b> button. If you want to add an audit, click on the orange <b>Add Audit</b> button.</p> 
8	<p>Complete the <b>SAQ/Audit Details</b> page, upload the file by clicking on the orange <b>File</b> button.</p> 
9	When you are ready to submit, click on <b>Submit to PSCI</b>

If the supplier has already linked to members then this will be automatically shared with those members. If that supplier has not yet registered then the system will send a message to the supplier asking them to register, and begin the process of linking to members.

### VIEW THE CAPR AND SUPPLIER RESPONSE FOR AN AUDIT

Step	Action
1	Log on to the platform.
2	Click on the <b>Suppliers</b> tab.
3	Select the supplier from the <b>Suppliers</b> list and click on its name.

4 On the **Supplier Details** page, scroll down to **Assessments**. Click on the type of the assessment you want to view. This will take you to the **Assessment Details** page.

5 Scroll down to the **Audit** section. Click on the date of the audit.

Audited	Type	Audit Company	Created	Redacted
✓ 16 Jan 2016	PSCI Full Audit	SGS 11	27 Jan 2016	27 Jan 2016

You will see a pop up box which alerts you to the fact that this audit is the property of the supplier and they have given your organisation permission to view it. You are asked to seek permission from the supplier if you want to share the audit with other parties, for example with your customers.

Click **Ok** to confirm

Confirm ✕

This audit is the property of the supplier. They have given your organisation permission to view it. Please get permission from the supplier if you want to share the audit with other parties, for example with your customers.

6 On the next page, **Audit Details**, scroll down to the **CAPR** section where, for each finding, the area, risk status, suggested type of follow-up and timescale will be listed. Any written supplier responses are displayed below.

Area	Risk Status	Follow Up	Timescale
Health & Safety Compliance & Risk Management - Emergency Preparedness & Response Detailed description of the issue...	Other	Audit	30 days
Health & Safety Compliance & Risk Management - Hazard Information Detailed description of the issue...	Other	Desk Based	30 days
Health & Safety Compliance & Risk Management - Hazard Information Detailed description of the issue...	Other	Desk Based	30 days
Health & Safety Compliance & Risk Management - Worker Protection Detailed description of the issue...	Other	Desk Based	90 days

## Audit documents

Audit Program Guidance (<http://pscinitiative.org/resource?resource=3>)

PSCI Audit Report and Self-Assessment Questionnaire (SAQ)

- [SAQ and Audit Report Template: API, Dosage Formulation, Chemicals and Intermediate Chemical Manufacturers](http://pscinitiative.org/resource?resource=32) (<http://pscinitiative.org/resource?resource=32>)
- [SAQ and Audit Report Template: Service Providers and Suppliers of Non-Supply Chain Goods](http://pscinitiative.org/resource?resource=31) (<http://pscinitiative.org/resource?resource=31>)

Data Sharing Agreement (DSA) (<http://pscinitiative.org/resource?resource=283>)

## Chapter 4: Glossary of system terminology

<b>Assessments</b>	Each PSCI Assessment consists of a completed SAQ and an Audit.
<b>Assessment Details</b>	The <b>Assessment Details</b> section shows the sponsor and type of the assessment
<b>Audit Details</b>	The <b>Audit Details</b> page shows the details of the audit including auditing company, sponsor, and date.
<b>Audit Status</b>	On the <b>Supplier Details</b> page, <b>Audit Status</b> section, the colours in the <b>Last Audit</b> column represent how recently the audits have taken place: <ul style="list-style-type: none"><li>• Green (Current) - an audit of this type has been conducted within the past 12 months.</li><li>• Yellow (Due) - an audit of this type has not been conducted within the past 12 months.</li><li>• 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: <a href="mailto:info@PSCInitiative.org">info@PSCInitiative.org</a></li></ul>
<b>CAPR</b>	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.
<b>SAQ</b>	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.
<b>Update History</b>	The <b>Update History</b> 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@PSCIinitiative.org](mailto:info@PSCIinitiative.org)