DESIGN - RESPONSIBILITIES

The following describes the functionality and features included in SQM.

Objective

The objective of this page in SQM is to ensure that the firm allocates the SoQM responsibilities to individuals in the firm.

The following key responsibilities are allocated in this page:

- Individual(s) ultimately responsible and accountable for the firm's system of quality management (UR)
- Individual(s) operationally responsible for the firm's system of quality management (OR)
- Individual(s) with operational responsibility for independence in the firm's system of quality management (IND)
- Individual(s) with operational responsibility for the firm's monitoring and remediation process (MON)

Page position

RESPONSIBILITIES can be found in the DESIGN module.

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Objectives	۹	Q									
Risks							No data				
Policy responses											

Page content

This page includes a table that must be completed to indicate the allocation of each of the responsibilities to at least one individual.

1. Add responsibility

Select 'Add' to allocate a responsibility to a new individual.

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In the dialog for assigning responsibilities, complete the following:

- Select the individual from the list of users on Caseware Cloud;
- Select the responsibilities that the person will be allocated (more than one can be selected);
- Include a link to any additional appointment letter (if used); and
- Select 'OK'.

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Risks			Operationally responsible for monitoring and remediation (MON) Operationally responsible for independence (IND)			
Policy responses			Appointment Letter Enter URL			
Procedure responses			CANCEL OK IN			
Tasks						

2. Edit responsibility

The responsibilities added can be edited when selecting the 'edit' button.

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RISKS												

Responsibilities can only be edited in 'draft' status. If responsibilities have been accepted or reviewed, the sign-off must be removed before the responsibilities can be edited.

3. Delete responsibility

Allocated responsibilities can be deleted by selecting the 'delete' button. If responsibilities have been accepted or reviewed, the sign-off must be removed before the responsibilities can be deleted.

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Policy responses	5												

After selecting the 'delete' button, a new dialog will appear to confirm whether the responsibility can be deleted.

Select 'DELETE' to confirm and delete the responsibility.

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Policy responses											

4. Approval of responsibility

Each individual must accept the obligations linked to the responsibilities allocated to them. This is achieved by clicking on the 'sign-off button in the table.

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The responsibilities are then reflected in a new dialog, where the individual must click on 'Accept' to sign-off the 'acceptance'.

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DR Operationally Responsible	
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have the appropriate experience, knowledge, influence and ufficient time, to fulfil my assigned responsibility.	authority within the firm, and
have a direct line of communication to the individual(s) with accountability for the firm's system of quality management.	n ultimate responsibility and
understand my assigned roles and that I am accountable for	r fulfilling them.
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NISKS			 I accept my role as the person with operational responsibility for the firm's system of quality management. 				
Policy responses			 I have an understanding of the applicable standards, including the application and other explanatory material, to understand the objectives of these standards and to comply with the requirements. 				
Procedure responses			 I have the appropriate experience, knowledge, influence and authority within the firm, and sufficient time, to fulfil my assigned responsibility. 				
Tasks			 I have a direct line of communication to the individual(s) with ultimate responsibility and accountability for the firm's system of quality management. 				
			I understand my assigned roles and that I am accountable for fulfilling them.				
Review & Publish			CANCEL				
Monitor Reports							

The responsibilities table will then show the individual's avatar in the button and reflect the status as 'Accepted'.

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A similar process is followed to review the allocation of responsibilities until the table reflects all users as 'reviewed'.

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Understanding	Firstname	1 Lastname	assignment in his/her role(s) within the firm's system of quality management.				
Objectives Risks	Q. Joe	Q. Josephs	The person has the appropriate understanding of the applicable standards, including the application and other explanatory material, to understand the objectives of these standards and to comply with the	0	0	Accepted	/ =
Policy responses	Juane	Schreuder	requirements. The person has the appropriate experience, knowledge, influence and authority within the firm, and sufficient time, to fulfil his/her assigned	0	0	Accepted	/ =
Procedure responses			responsibility.				
Tasks			assigned ultimate responsibility and accountability for the firm's system of quality management (and to other individuals in the same role).				
Review & Publish			The person understands his/her assigned role(s) and that he/she is accountable for fulfilling them.				
Monitor Reports							
Monitoring activities			CANCEL Accept				

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Page outcomes

Before continuing the rest of the design of the firm's system of quality management, at least one individual must be allocated to each of the 4 responsibilities.

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Policy responses												

Each of these allocations must also be accepted and reviewed.

Features

The following features are available on the page:

- Working with tables, which includes filter, sort, group, column chooser, expand, see page XXX;
- Export all data, see page XXX;
- Include a link/URL, see page XXX; and
- Add a new item, see page XXX.