Trace

Assessor Guide

Applicable for Sharpen360 Trace version 6.0.3+

Revision 3

02-04-2025

Table of Content

1 Introduction

Thank you for using our Process Assessment Tool, Sharpen360 *Trace*.

This document describes the configuration options of *Trace*. We try to use precise naming of concepts in *Trace*. Please see chapter 2 for our list of Terms and Definitions.

If you have questions, have ideas that you would like to discuss, or just need an introduction to specific parts of *Trace*, please contact us!

Also, we would very much appreciate it if you would report any bug or inconvenience you might find. Please use the email below, and add screenshots and descriptions as needed and we will immediately prioritize this.

Use support@sharpen360.com as much as you like. You are welcome!

The Sharpen360 Team.

PS: Please help us by sharing knowledge about Trace to your colleagues, network, family, friends, neighbors, mother, or anybody else interested 😊

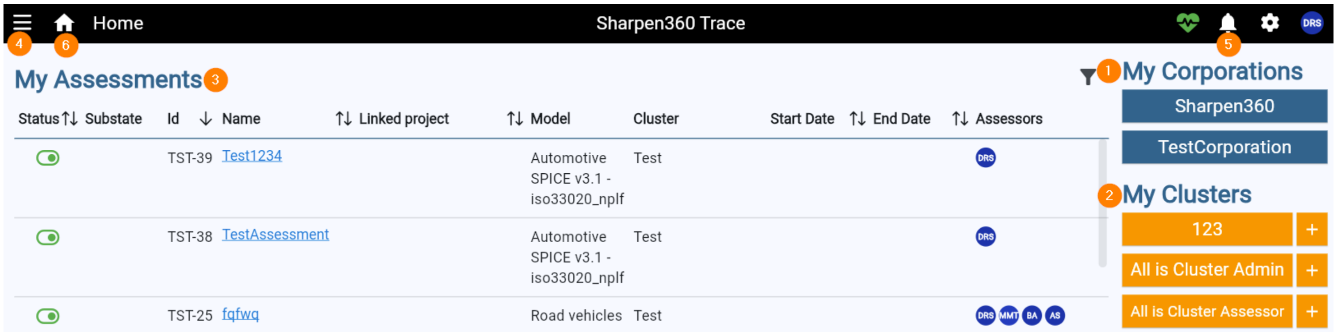
2 Terms and Concepts

Term	Definition
Attribute	"Attributes" are used to collect various data for the assessments, e.g., what standards the project complies to or the class of the assessment.
Cluster	"Clusters" are used to organize assessments in a group having different access levels for different Users.
Evaluation	Evaluation is used as a generic for all types of Assessments, Audits, and Checks that can be executed in *Trace*.
Evidence	"Evidence" is the term used for work products of any kind presented by the project. Examples are design documents, requirements, models, and issues. Evidence can be provided before or during interview sessions.
Evidence Inventory	"Evidence Inventory" is the mechanism in *Trace* supporting registration of Evidence. Evidence is assigned a unique id within the assessment and can be referred from Records. *Trace* keeps track of references to each individual Evidence, generates evidence lists per process for reporting, and maintains mappings from the Records where the Evidence is referred.
Grid view	The "Grid view" tab in *Trace* provides an "Excel like" view of Models, Evidences and Records. Alternative is "Tree view"
Indicator	Used as a common term for nodes in a model that can be rated. In ISO33000 models, Base Practices (BPs) and Generic Practices (GPs) are Indicators.
Indicator Annotation (IA)	"Indicator Annotation" is the term used for an annotation added to an Indicator, typically adding explanations or questions for the indicator. IAs are organized by "Overlays".
Schedule Tab	Schedule Tab is used to create interview sessions and associate interviewees to the interview sessions.
Instance	"Instance" is the term used when the same process is applied in different process instances within the same project, e.g. when one part of the project is doing agile development and the other part is not. *Trace* supports this scenario by being able to define one or more Instances within the same assessment. Defining Instances is done as part of "Plan Assessment".
Tree view	The "Tree view" tab in *Trace* provides an "Tree like" view of Models with Evidences and Records. Alternative is "Grid view"
Notepad	"Notepad" is a mechanism to handle unstructured notes, typically during interview sessions. Please note that creating references to Evidence will work from Notepads. The notes can be copied into Records after or during the interview sessions. Notepads are not shared across Assessors.
Guideline	"Guideline" is the term used for rules and recommendations specifying relations between nodes of a Model, typically indicators. Guidelines are only available for ISO33000 Models.
Overlay	An "Overlay" is a mechanism in *Trace* handling both "Indicator Annotations", "Record Templates", "Guidelines", "I2I", "Model Notes", and "Evidence linking". Visibility of Overlays is controlled by the individual Assessors and is not considered a part of the Evaluation as such.

Model	Models are structures that can be used in *Trace* to either • execute Evaluations or • represent e.g., standards and requirements. An example model of a Model is ASPICE having processes, attributes, outcomes, and Indicators which is used when performing Assessments.
Record	"Record" is the term used for any registration done by the assessor(s). Seven types of Records exist: "Strength", "Weakness", "Weakness, High", "Recommendation", "Observation", "Comment", and "Question". Records can refer to zero, one, or more "Evidences".
Record Template (RT)	"Record Template" is a mechanism to create standardized Records which may be reused (by copy) across multiple Assessments. RTs are a specific type of Overlay.
Report	"Report" is the term used when Assessment data is extracted into Word, PowerPoint, or Excel using a specific "Report Template".
Report Template	"Report Templates" are used for generating "Reports". *Trace* has several build-in "Report Templates" which can be tailored into customer-specific formats.
Scope	Scope Tab can be used to decide the scope of the assessment by creating instance, allocating Models, processes and guidelines.
Trace Assessor Assistant (TAA)	Trace Assessor Assistant (TAA) supports the Assessor by evaluating Guidelines based on a set of predefined evaluation rules. Sharpen360 has defined these evaluation rules for all VDA ASPICE Guidelines.
Workspace	"Workspace" is the mechanism in *Trace* making it possible to group Records into multiple "sets", e.g. by having one group or "mini team" of assessors registering Records in one Workspace and another group of Assessors registering Records in another Workspace. Also, the process of consolidating and agreeing on Records can be supported by having a "Consolidated" workspace.

3 Home Menu

Home menu allows users quick access to different parts of *Trace* by listing things the user have access to, including corporations, clusters, and assessments. You can come back to this menu by clicking on the home button (6).



The following numbers refer to the orange dots in image above:

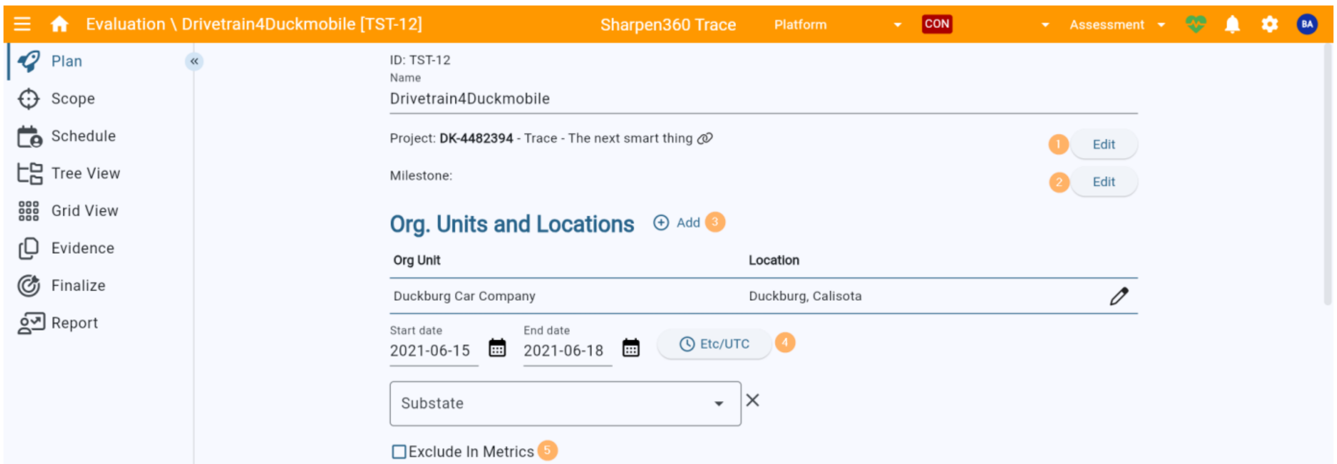
1. My Corporations: List of corporations that the user is assigned to.
2. My Clusters: List of Clusters that the user is assigned to.
    - The + button can be used to create new Assessments
3. My Assessments: List of Assessments that the user is assigned to. Users can apply filters on this list by using the filter button.
4. Opens a menu that contains:
    - Model Manager
    - Report Manager
    - Administration
    - Corporation(s)
5. Button to open messages to Assessors
6. Button to return to Home Menu.

4 Planning an Assessment

Create an Assessment:

Assessments are created from inside of a cluster, project or from my clusters on the home page. When the assessment is created, an Assessment Model must be selected with its profile, e.g. ASPICE 3.1 with Process Assessment (IS033020) NPLF profile, which determines what rating scales to use and where records can be created. Also, a name for the assessment, a cluster the assessment will be created in, and your participant role in the assessment must be entered/selected.

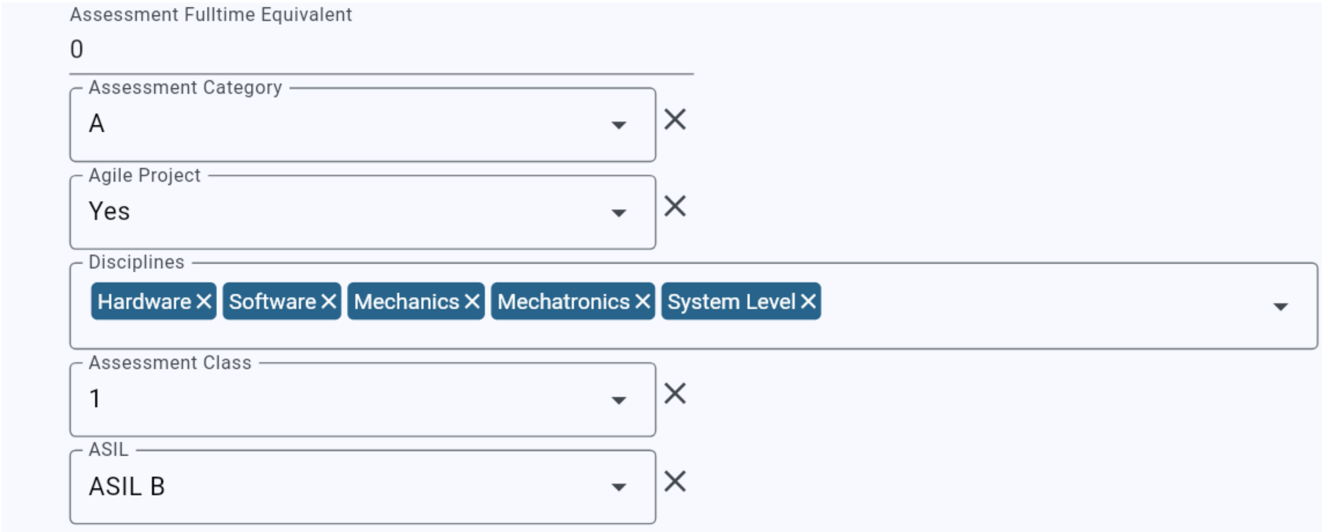
Planning an Assessment:



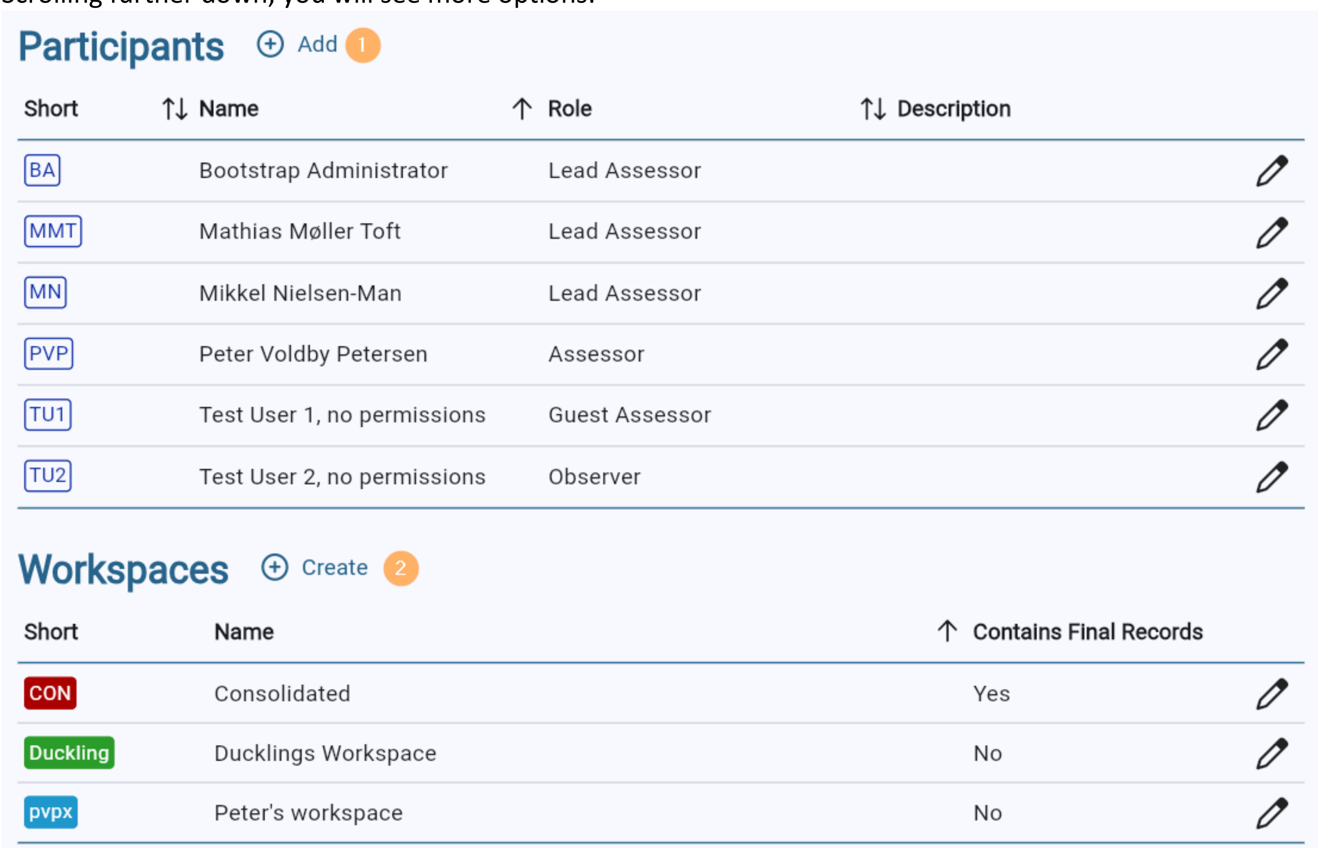
To plan a specific assessment, please take the following steps:

1. **Project**: Links the assessment into a Project (defined in Quality -> <Corporation> part of *Trace*). Pushing selected findings as nonconformances (See chapter 12) will make the NCs appear in the project. Furthermore, assessment results will be attributed to the project, for overviews go to the project (Again, in Quality -> <corporation> -> <project>) e.g., to extract the Project Assessment History report.
2. **Milestone:** Select predefined Milestones in the selected project.
3. **Org. Units and Locations:** Adding organizational units and locations for this assessment. This will link the assessment results to the organizational units and locations.
4. **Start/End date:** Set start date and end date of the assessment. Note: end date must be entered before closing the assessment. Here you can also set a time zone for the assessment.
5. **Exclude in Metrics:** select this to exclude this assessment from metrics reports in the project.

On this page you can also add a range of attributes to your Assessment to help with identifying its type and function:



Scrolling further down, you will see more options:



The following numbers refer to the orange dots in image above.

1. **Create Participants** including Lead Assessor, Assessor(s), and Interviewees/Interviewee groups. Please note that the participant's short name and color can be changed by the participants.
2. **Create Workspaces** for creating and managing workspaces. Please see description in "2: Terms and Concepts" for further explanation. Please note that when generating Word and PowerPoint

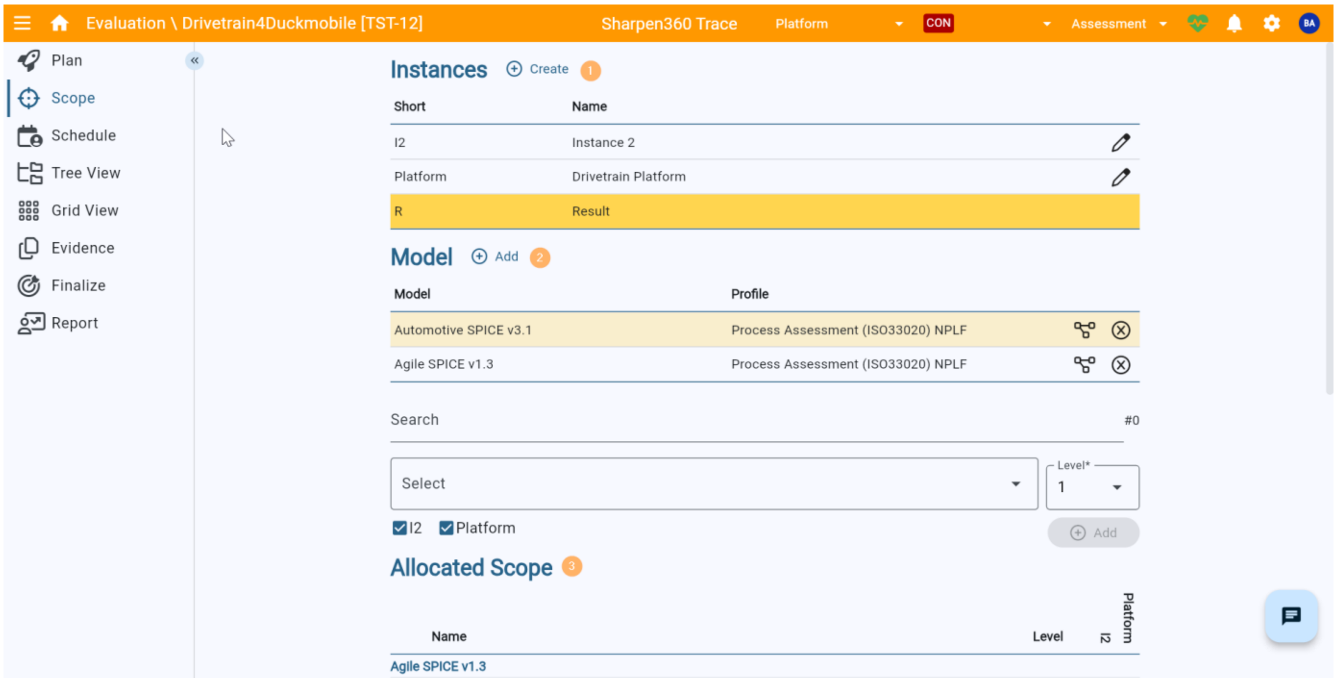
assessment reports, only the Records for the actual selected workspace will be extracted. This is useful for e.g. generating the consolidated and agreed set of Records.

Tips and Tricks

- Please note that in the top bar of *Trace* the Target Workspace is shown and can be changed. This will define the preselected workspace when creating a Record or moving the Record from one workspace into the Target workspace.
- The short name for assessor participants will be shown various places in *Trace*, e.g., in Records (who created, who modified), chat channel (who is online in the assessment) and various tables.

5 Scope

In this section, scope of the assessment such as allocated Models, allocated processes, instances can be changed



The following numbers refer to the orange dots in image above.

1. **Create Instances** as needed. "Main Project" is created by default.
2. **Allocate one or more Processes to each Instance**. Select a Model or add a Model to insert a process from, check the instance to allocate process to, and select the Target Capability Level for the process. Then press "Add" button to allocate the process. Also, processes can be searched from Search text box. Please note that this step is a prerequisite for creating Evidences and Records.
3. **Select Assessment Scope**. Modify assigned processes and their target capability levels. Note: allocated processes with ratings and records cannot be unallocated.

Scrolling further down reveals the **Guidelines** section, which lets you **Assign Mapsets** to use Map Sets for Overlay. Guideline(s) can be selected here if available, select applicable environments by checking the checkbox.

Tips and Tricks

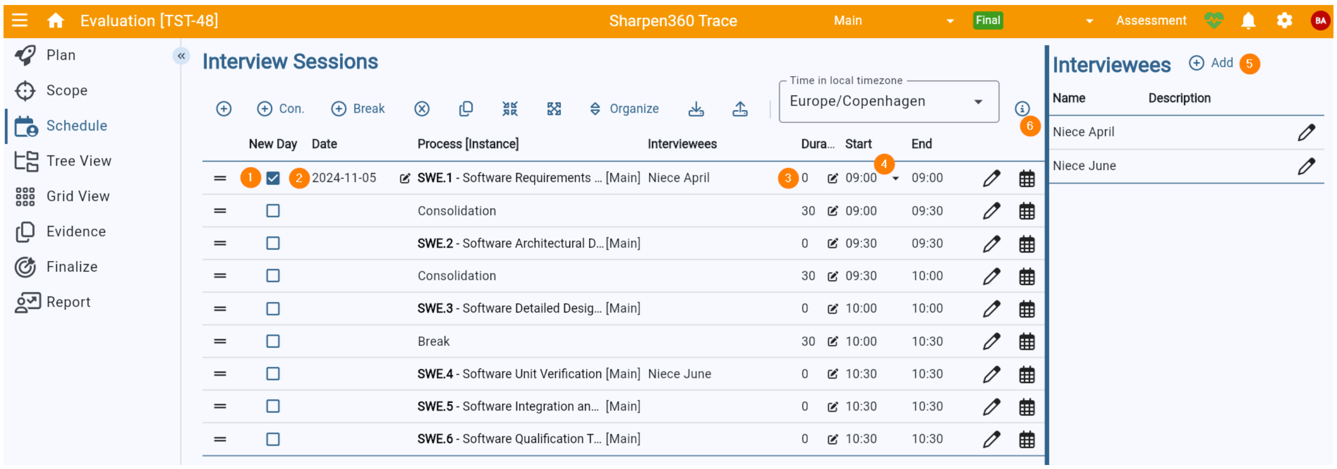
- Please note that the Instance "Main Project" instance is created by default. This instance may be renamed if feasible.
- Please note that the Target instance is shown in the top bar of *Trace*, as a selector. This will decide which instance is rated when using the rating selector, and which indicators are shown in tree view and grid view.

- Remember to allocate one or more processes to the instance(s). If not, no processes will appear in the other tabs of *Trace*.

6 Schedule

Schedule Page provides functionality to schedule interview sessions with interviewees.

Interview Sessions will be automatically pre-filled with each allocated processes from Scope Page.



PLEASE NOTE:

- Start date and assessment “Locale” must be selected before initiating the below steps.
- **Read and follow the description in (6)** to get the best usage of the scheduling mechanism in *Trace*.

Explanations of the UI: The following numbers refer to the orange dots in the above image.

1. Check the checkbox in “**New Day**” column to start new interview day
2. Click and change the **date** of the interview session
3. Edit the **duration** of the interview session
4. Set the **start time** of the session and all sessions below will be calculated according to their duration.
   a. Can only be done on “**New Day**” rows.
5. **Interviewee** can be added from the right Interviewees panel.
6. Click to see recommended sequence when using interview scheduler

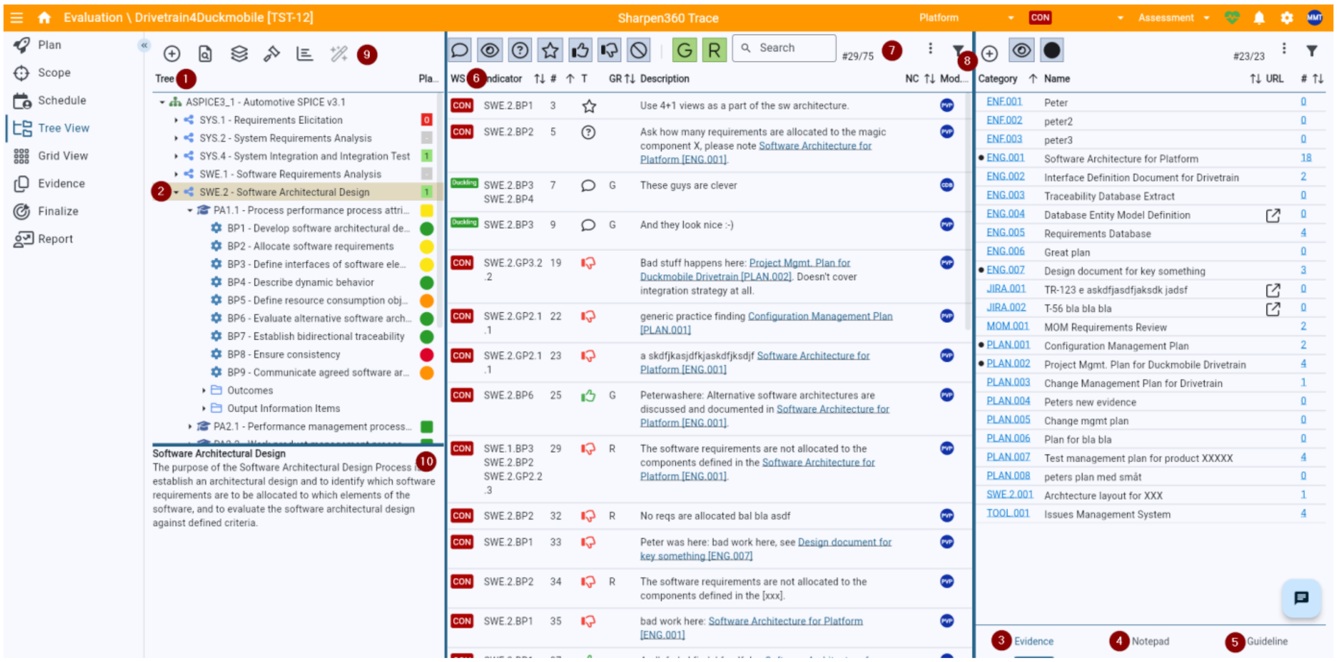
Interviewees can be assigned to Interview sessions by dragging them into the “interviewees” column.

Tips and Tricks

- Multiple sessions can be merged into one session and split into multiple sessions
- Break and consolidation can be inserted by buttons
- Orders of the session can be reordered by drag & drop

7 Tree view

The Tree view provides a list-oriented view of Model and Records.

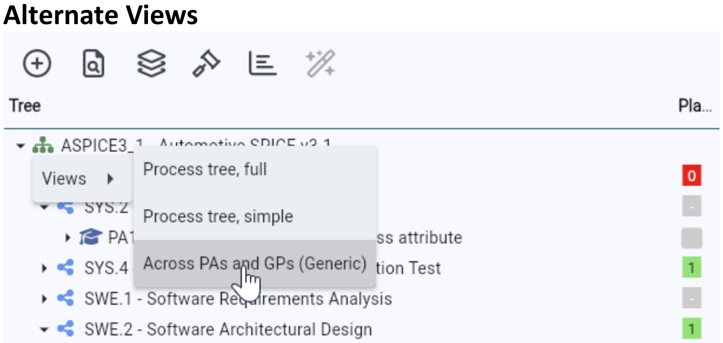


The following numbers refer to the orange dots in image above:

1. Window with tree structure of Models in the assessment.
    a. Models are only shown if they have any nodes scoped
    b. You can use the keyboard to navigate the tree
        i. <arrow up>: moves focus up,
        <arrow down>: moves focus down,
        <shift><arrow up> or <shift><arrow down>: multi select,
        <arrow right>: expands the node's children,
        <arrow left>: hides the node's Children,
        +: expands all the node's descendants,
        -: hides all the node's descendants,
        <space>: opens the context menu, where views for example can be changed
        <enter>: open the Rating dialog
2. Currently selected Node highlighted with yellow.
3. Evidence Inventory where documents are defined. (for more details see "9 Evidence Tab")
    a. Evidence with black dot indicates that they are referenced in the currently shown records
4. Notepad to write some text.
    a. You can create multiple separate notes
5. Guidelines window, if the Assessment has any guidelines assigned.
6. Records View, filtered by the selected Indicator in 1 (here SWE.2)

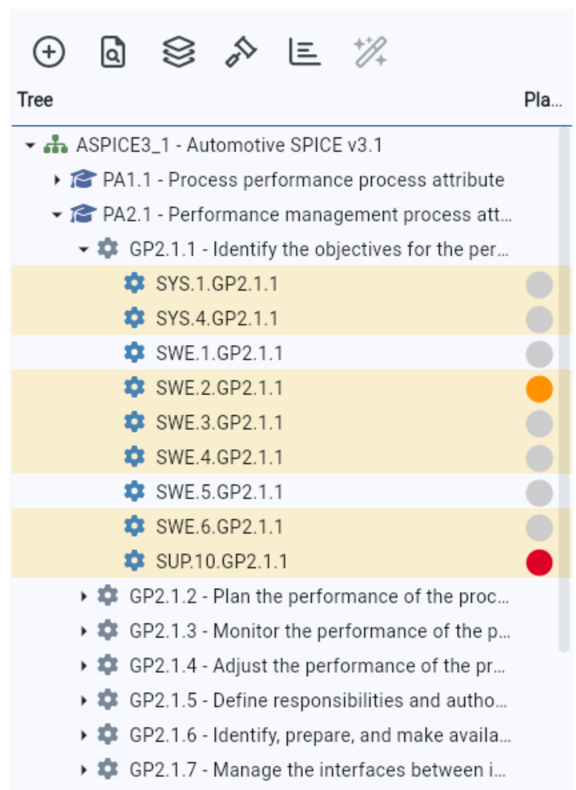
7. Filter mechanism for Records
8. Extra Filter Mechanism for Records
9. Various functions (hover in *Trace* to see explanation):
   - Create Record (alternative to pressing one of the record shortcuts)
   - Search Models work product characteristics
   - Configuring Overlays
   - Open window with all Guidelines in scope.
   - Show Rating Graph
     - The top node must be selected
     - The model must be an ISO33020 model
   - Calculate and Rate Result Instance (Only available in result instance)
10. Details of the selected node in the tree is shown here
    a. Including all relevant entries from enabled overlays

Alternate Views



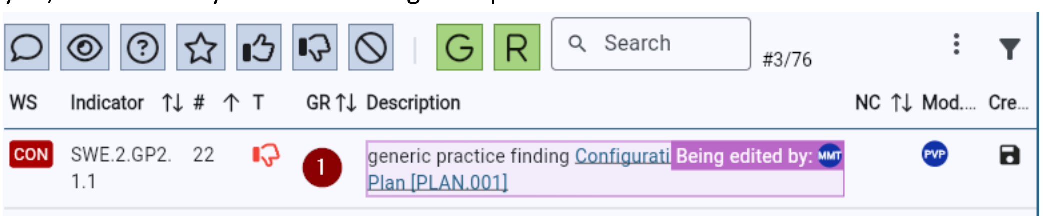
It's possible to change the "view" of some models by opening the context menu (<space> or right clicking a node).

Such as to "Across PAs and GPs (generic)" as seen in the example to the right, that makes it easy to create records for and rate across generic practices.



Tips and Tricks

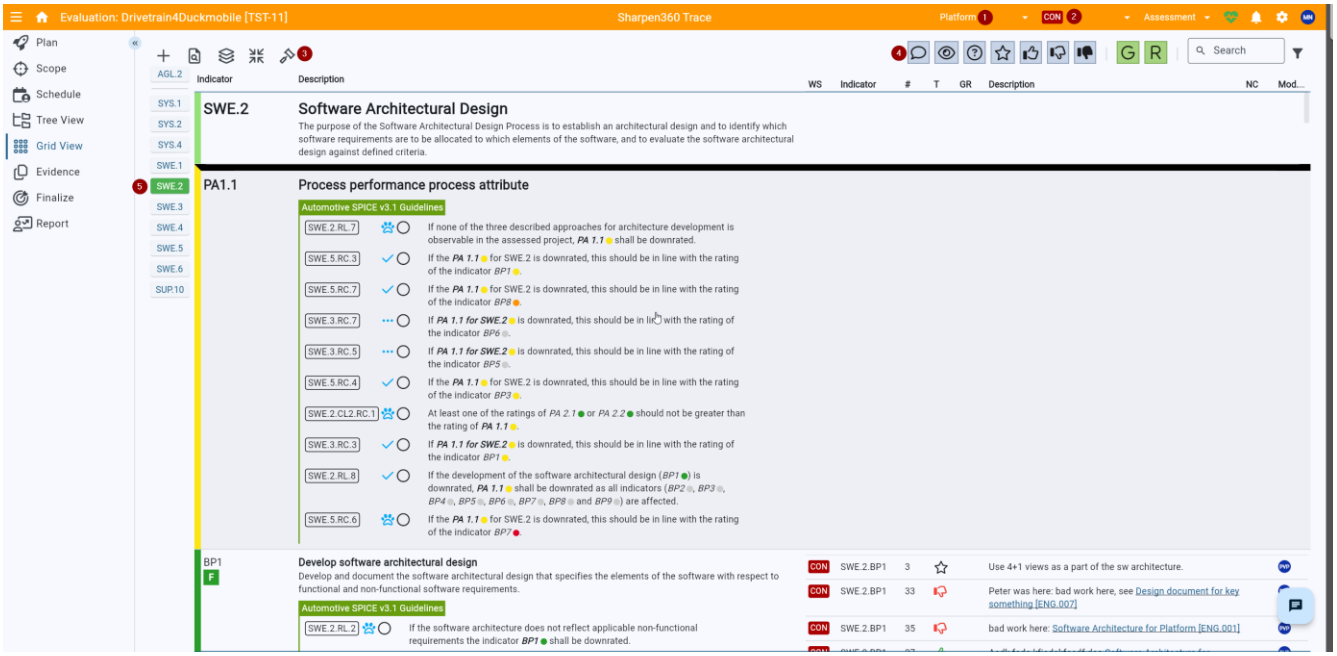
- You can toggle the “General” and “Presentation” attributes by selecting a Record and hitting shortcut: “g” or “p”.
- You can select all visible nodes between two nodes, by selecting one, then holding down <shift> and clicking another node further down or up
- You can multi select nodes by holding down <ctrl>
- Please note that the list of Records is filtered to show only Records for the selected instance.
- Select a specific indicator (BP) to show the associated model text (Assessment tree), the associated Guidelines (not shown), and Records.
- Rate BP’s and PA’s by selecting the node, press <enter>, and <arrow left> and <arrow right> to select a rating.
- Records in a specific Assessment are automatically synchronized across all assessors’ browsers, e.g. when a new Record is created, or a Record is deleted.
- When a Record is being edited by someone else, it will be shown as such. It can still be opened by you, however only the latest change will persist.



- When creating or editing a Record, you can add Indicators by dragging and dropping one or several Indicators from the tree. For a detailed explanation, see the “Tips and Tricks” section in chapter 14, “About Records”.

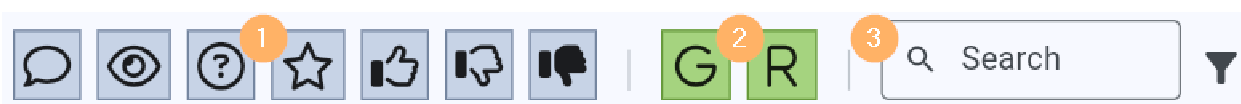
8 Grid View

The Grid view provides a list-oriented view of Models and Records.

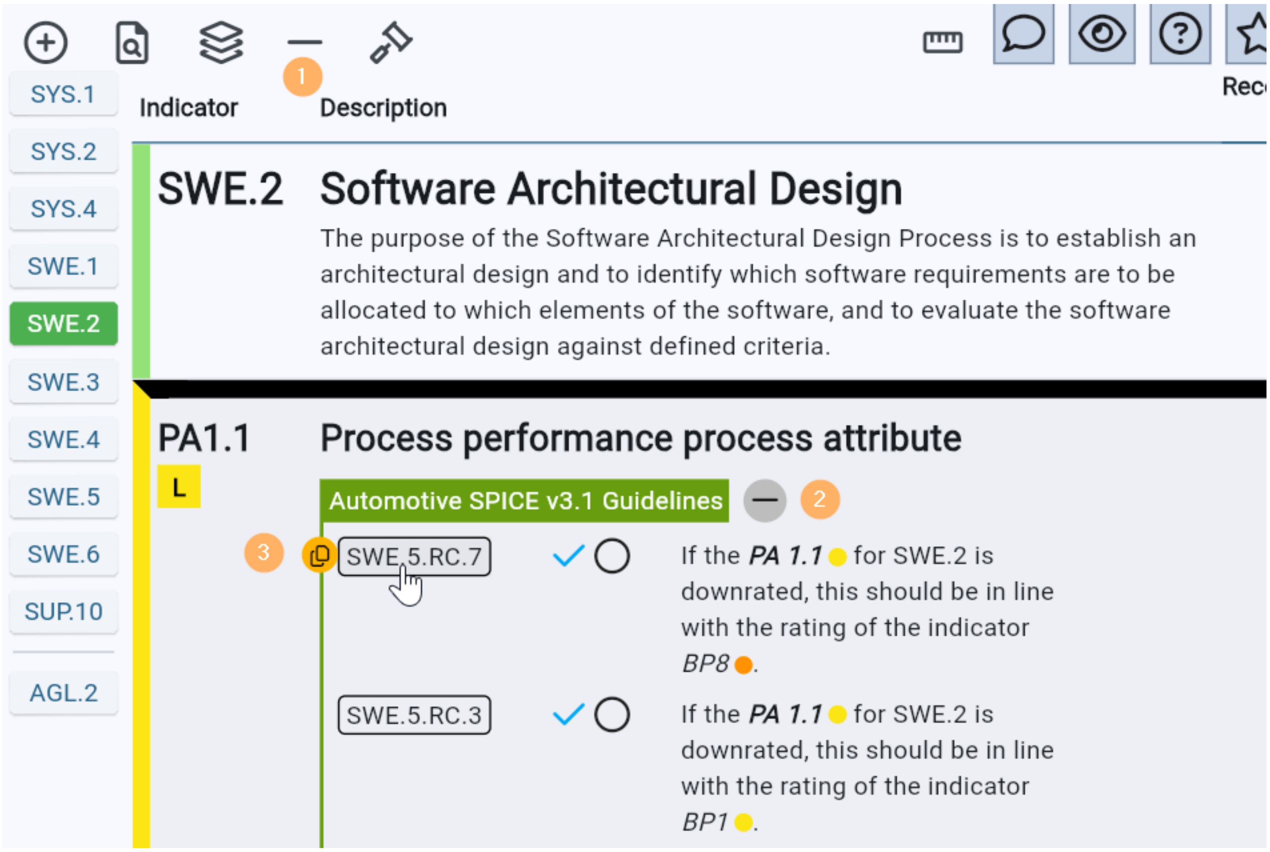


The following numbers refer to the orange dots in image above:

1. Select between Instances (if you have more than one).
2. Select Workspace to create Records in.
3. Various functions (hover in *Trace* to see explanation):
    - Create Record (alternative to pressing one of the record shortcuts)
    - Search Model's work product characteristics
    - Configuring Overlays
    - Open window with all Guidelines in scope
    - Expand/collapse all overlays
4. Filtering records to show in the Grid view. Available filters are :



    1. Record Types (e.g. Weakness, Comment, Observation)
    2. Records tagged with General and Report tags
    3. Search texts in records
5. List of Process Area selectors to switch the indicators shown in the Grid view.



Some quality-of-life functions are also available:

1. Expand/collapse all overlays
2. Expand/collapse an individual overlay
3. Copy the id and text of a Guideline

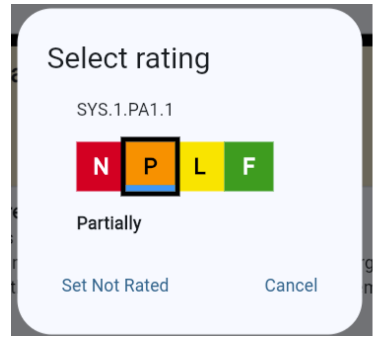
How do I create Records?

- Select a process using the left buttons, e.g. SWE.2
- Select an Indicator in table using arrow keys / mouse
- Create a Record by pressing one of the shortcut keys:
  - C – Comment
  - R – Recommendation
  - O – Observation
  - W – Weakness
  - <shift> + W – Weakness, High
  - S – Strength
  - Q – Question

How do I select and edit an existing Record?

- Select a Record by either clicking it. To start editing a record, click in that record’s description field.

How do I rate Indicators and Attributes?



- Select a row, press <enter>, and use <arrows left> and <arrows right> to select rating (blue underscore, see image)
- An indicative rating is shown when possible (i.e. if all Indicators below a PA are rated)
- Multiple Indicators can be rated at once by selecting multiple indicators while pressing <shift> or <ctrl> (rating multiple Pas are not supported)

How do I use Workspaces?

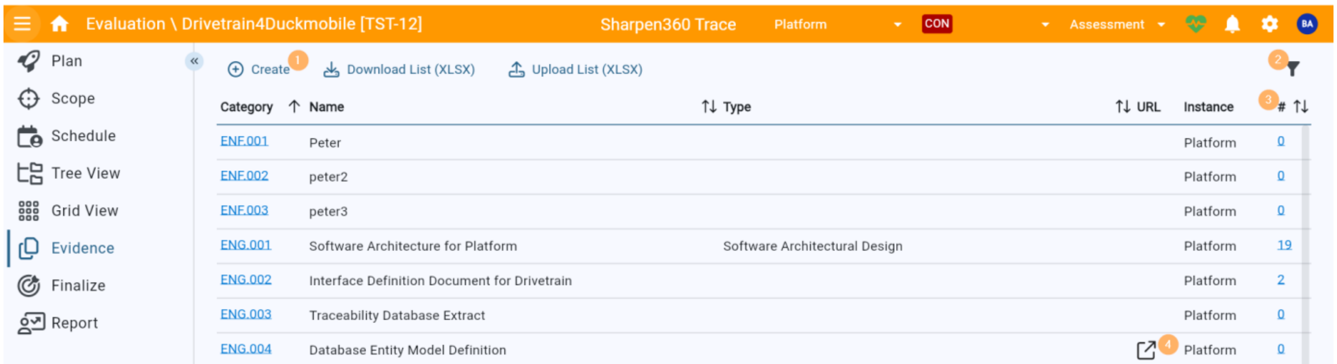
- The tag for each record shows Workspace where the record is saved.
- Records can be moved from their current Workspace to the target Workspace. Select the Record(s) and press "m".
- Create a copy of a Record Also, records can be copied to the target Workspace. To copy, select the relevant records, and press "d" key.

Tips and Tricks

- You can toggle the "General" and "Presentation" attributes by selecting a Record and hitting shortcut: "g" or "p".
- Guidelines are available by opening Guideline window from the button in 3. Updates when an Indicator is selected. Also see chapter 9.
- Instance can be selected in the top bar of *Trace*. This filters the view and decides the default target Instance.
- Target Workspace can be selected in the top bar of *Trace*. This decides the target Workspace when moving and copying Records.
- Records in a specific Assessment are automatically synchronized across all assessors' browsers, e.g. when a new Record is created, or a Record is deleted.

9 Evidence Tab

Evidence tab is dedicated tab for creating and updating evidence, which contains same functionality as Evidence Inventory in Tree view. See Evidence Inventory section for details.



1. Evidence can be created by pressing + button
2. Evidence can be filtered by clicking the filter button.
3. Number of records referred to evidence. Click here to see the records referring to this evidence.
4. Evidence with an URL will have a link to open the URL.

What are Evidences and how are they used?
Please read about “Evidence” and “Evidence Inventory” in the “Important Terms and Definitions”, Chapter 2.

How does the numbering of evidence work?
An Evidence is created by clicking “+” from the Evidence Inventory (1). This can be accessed from either the “Tree view”, “Grid View”, and “Evidence” tabs in *Trace*. Each Evidence is assigned an id (2). Each Id consists of a string representing a category and an integer separated by a “.”. The Id is unique within the assessment.

How do I refer to an Evidence from a Record?
One or more Evidence can be referred from a Record. Click the icon or pressing the shortcut **“**<ctrl><shift> + f” when being in the text field in a record to refer evidence from a Record.

Who refers which a specific Evidence?
The Evidence Repository list has a number showing the number of Records that are currently referring to an specific Evidence, please see (3) in the picture. To see a list of all Records which refer the specific Evidence, click the number in column in (3).

Can Evidence be deleted?
Edit the Evidence and select the “Delete” button. But if the Evidence is referred, the system will refuse to delete the evidence until all references from Records are deleted. This helps the Assessors to maintain consistency across Records and Evidence.

Evidence list upload via Excel
It is possible to upload Evidence in bulk via the “Upload List (XLSX)” button.

The template Excel file can be obtained by clicking the “Download List (XLSX)” button. Opening this file in Excel looks like this:

Instance	Prefix	DisplayId	Name	Evidence Type	Version
Drivetrain Platform	VE.2	SWE.2.001	Archtecture layout for XXX		
Drivetrain Platform	PLAN	PLAN.008	peters plan med smått		
Drivetrain Platform	PLAN	PLAN.007	Test management plan for product XXXXX	Test Management Plan	
Drivetrain Platform	PLAN	PLAN.006	Plan for bla bla		
Drivetrain Platform	PLAN	PLAN.005	Change mgmt plan		
Drivetrain Platform	PLAN	PLAN.004	Peters new evidence		
Drivetrain Platform	JIRA	JIRA.002	T-56 bla bla bla		
Drivetrain Platform	JIRA	JIRA.001	TR-123 e askdfjasdfjaksdk jadsf		
Drivetrain Platform	ENG	ENG.007	Design document for key something		
Drivetrain Platform	ENG	ENG.006	Great plan		
Drivetrain Platform	ENF	ENF.003	peter3		1
Drivetrain Platform	ENF	ENF.002	peter2		v4
Drivetrain Platform	ENF	ENF.001	Peter		23
Drivetrain Platform	TOOL	TOOL.001	Issues Management System		
Drivetrain Platform	PLAN	PLAN.003	Change Management Plan for Drivetrain		
Drivetrain Platform	PLAN	PLAN.002	Project Mgmt. Plan for Duckmobile Drivetrain		
Drivetrain Platform	PLAN	PLAN.001	Configuration Management Plan		
Drivetrain Platform	MOM	MOM.001	MOM Requirements Review		
Drivetrain Platform	ENG	ENG.005	Requirements Database		
Drivetrain Platform	ENG	ENG.004	Database Entity Model Definition		
Drivetrain Platform	ENG	ENG.003	Traceability Database Extract		
Drivetrain Platform	ENG	ENG.002	Interface Definition Document for Drivetrain		
Drivetrain Platform	ENG	ENG.001	Software Architecture for Platform	Software Architectural Design	

Evidences | EvidenceTypes | Instances | Instructions

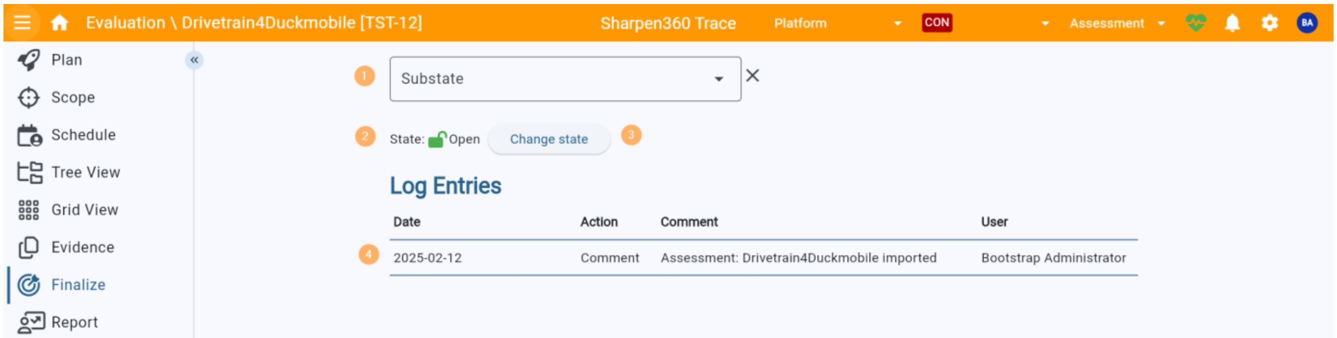
Please note that the columns in green are mandatory fields that must be filled out for the Excel sheet to be correctly parsed when uploading.

Tips and Tricks

- Evidence can be added from Tree view, Grid View, or Evidence tabs, and directly from the “Insert Evidence Reference” window.
- Evidence synchronization happens automatically, both between Tree view and Grid View tabs, and between different Assessors being logged into the same assessment.
- You may organize your number series as you like.
    - One example would be to use number series aligned with the assigned processes, e.g. “ACQ.4” which will result with Id beginning with “ACQ.4.01”.
    - Another example would be to use the number series for e.g. all system engineering documents (e.g. SYS), one for all planning documents (e.g. PLN) etc.
- When a new Evidence in a category is created, the evidence will be created and assigned the first, free number in the series (in this case 01).
- Evidence is registered for a specific instance but can be referred across instances (to allow for shared evidence).
- Create references to Evidence from Records by using the shortcut: “<ctrl><shift> + f”.

10 Finalize tab

Finalize tab is used to change status of the Assessment and see the log of the assessment.



The following numbers refer to the orange dots in image above:

1. Button to change the substate of the Assessment (avoids having to navigate back to Plan tab)
2. Shows status of the Assessment
3. Button to change the status of the Assessment. Select a status and click “Submit” to change status.
4. Shows the history log of the Assessment.

Why must Assessments be closed?

- Assessment State is used to generate and filter relevant overviews, e.g. the “My Assessments” page
- Closed Assessments are included in extracted metrics, Open and Cancelled Assessments are not.
- Note: End date in Plan Tab must be selected before closing an Assessment

What is the Assessment Log and how does it work?

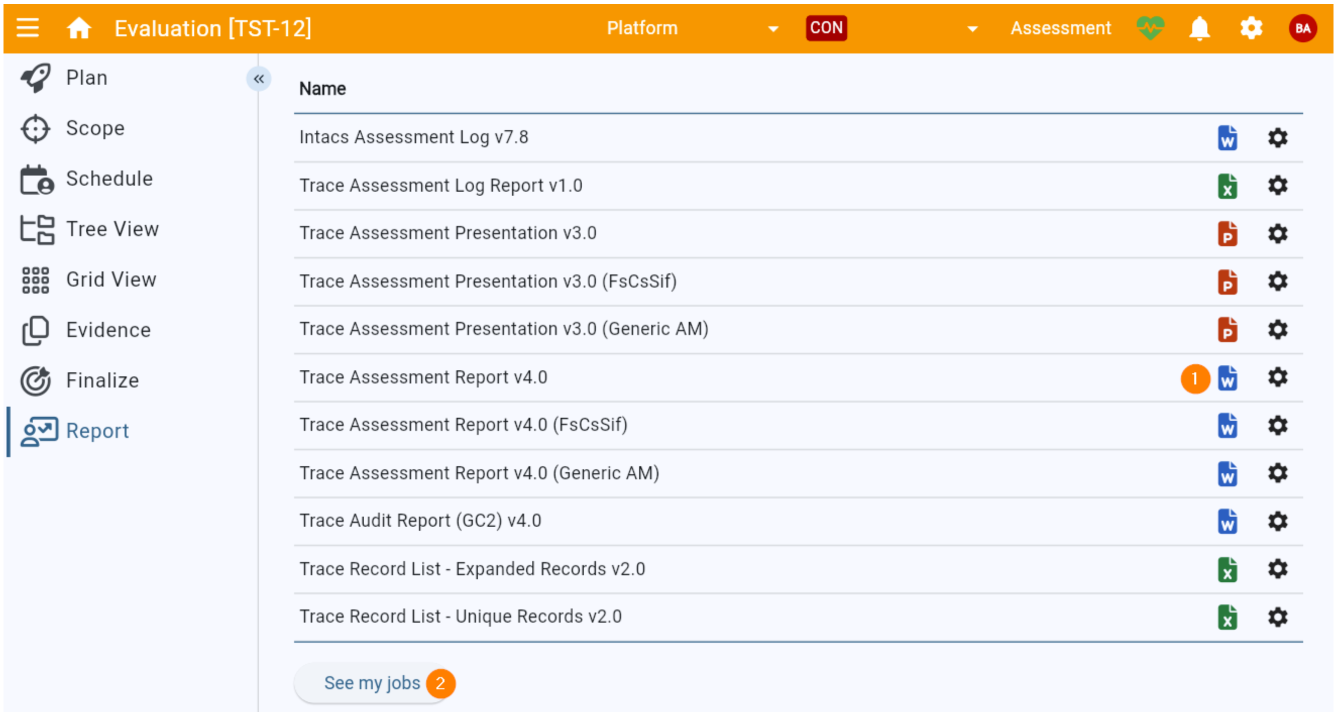
- The Assessment Log shows important actions during the assessment, including “Open” and “Close” events
- Comments can be made by the Assessor into the log. These comments cannot be changed at a later point in time.

What goes into the Assessment Log?

- **“Open”:** when the assessment is created
- **“Close”:** when the assessment is closed
- **“Comment”:** when the assessor adds a comment to the assessment log
- **“Import”:** when the assessment is imported (typically done when having performed an offline assessment)

11 Report

Report tab is used to access the reports for the assessment.



The following numbers refer to the orange dots in image above:

1. Download button to generate report.
2. Button to open previously generated reports. (Only show reports that are not downloaded. Downloaded reports are removed automatically)

What Reports and Presentations exist?

The following reports are available:

Report name	Description of content	Type
Trace Assessment Presentation v3.0	Detailed Presentation of the assessment where findings are presented per Instance -> Process -> Practice. Ratings are provided for all levels including CL/PA/BP/GP. Furthermore, the out briefing includes Scope, General Findings, Participants, Considered Evidence per Instance, Detailed Graphs, and Justification of Guidelines.	PPT
Trace Assessment Report v4.0	Detailed Report has an initial part where details about scope, participants, and general findings are presented. For each Instance a graph presents the rating results and then findings are presented by Process -> Practice. Higher levels are presented per process. Furthermore, referred Evidence is presented per Process as well.	Word
Trace Record List	List of all Records and Record attributes for easy sorting, grouping, and searching. Furthermore, the Report provides Pivots and Charts to understand the distribution of findings against processes, finding types, and assessors.	Excel

How does the reporting work?

MS Word and MS PowerPoint files are generated by inserting data from the assessment into template document.

Can different reporting templates be configured?
Yes, a different reporting template can be defined and uploaded into the system. This makes it possible to change the generic templates to customer specific templates including colors, styles, logos, structure. Please contact Sharpen360 to see how this works.

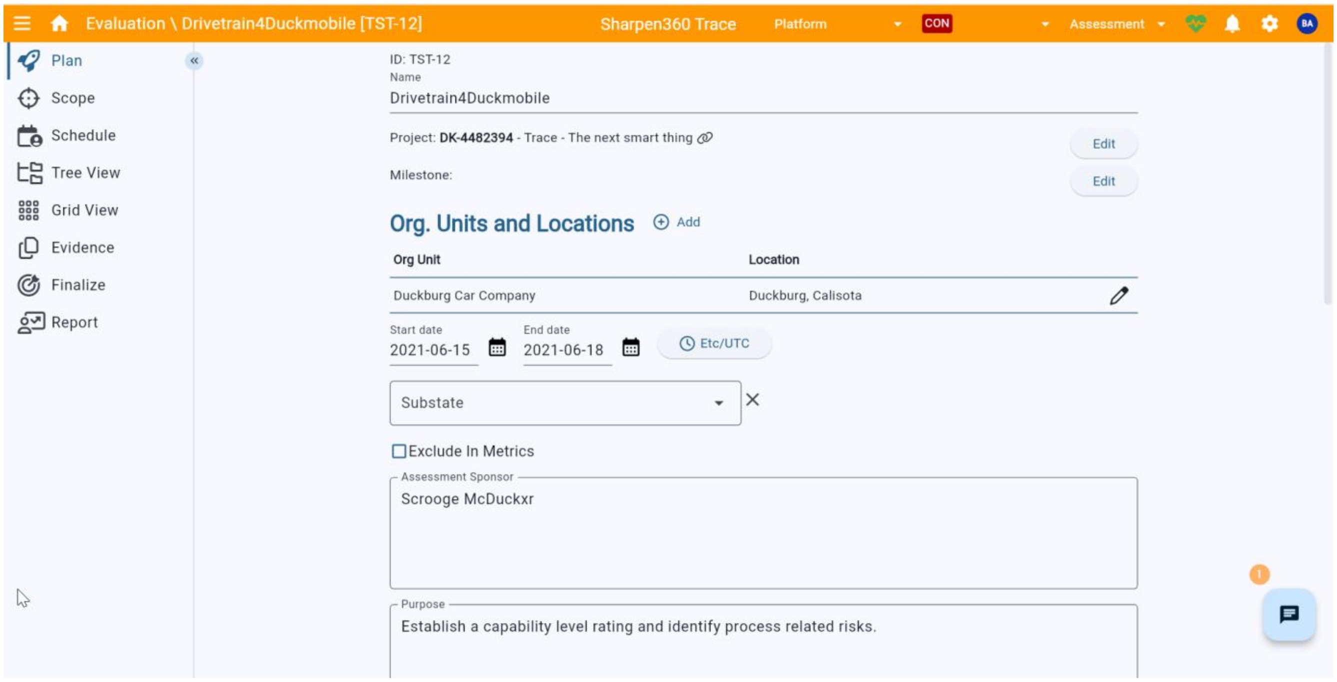
Tips and Tricks

- Please note that the generation of the reports might take some time, especially for Word report generation. The browser will wait until the report is generated and returned from the *Trace* server. For large reports (having many processes and findings) this could be a minute or two. Please have patience.
- Please note that this tab has a state/log mechanism where the assessment may be closed and reopened. Assessors may create log statements. Currently, the log is not extracted into the reports, but this will be an option later.
- Please note that Workspaces can be used to filter which Records go into the Reports.

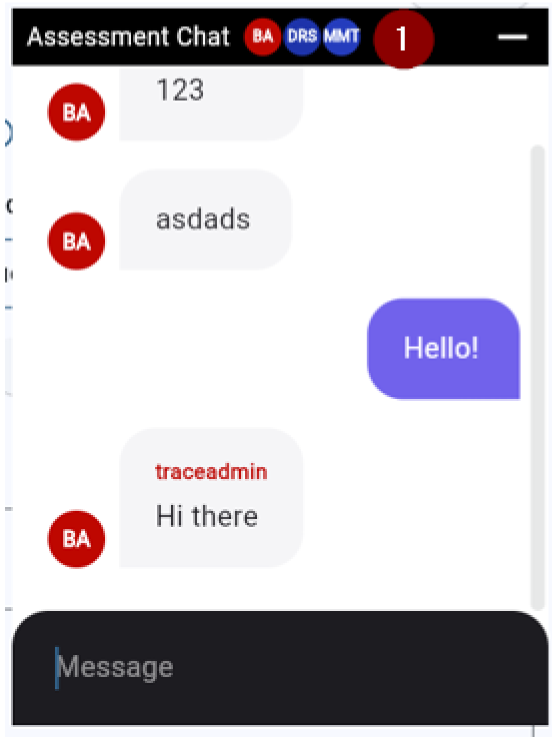
12 Chat between assessors

Users who are in the same assessment can communicate with other users currently opening the same assessment using the Chat functionality.

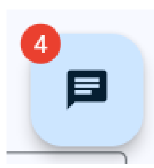
To open the Chat window, click on chat. This is only there if you have permission to chat (1) and it is found in the bottom right corner by default. It can be dragged into a different position if so desired.



Users currently inside the assessment that has access to chat, will be shown at the top of the chat window (1).



- When another user sends a message on the chat, the system notifies you with a red indicator if you don't have the window open. See below.



Tips and Tricks

- Please note that the messages in the chat are not persistent and will be removed when you refresh/close the page or navigate out of the assessment.
- The chat can be moved around, by long pressing the icon when minimized or long pressing the top bar (1) when maximized

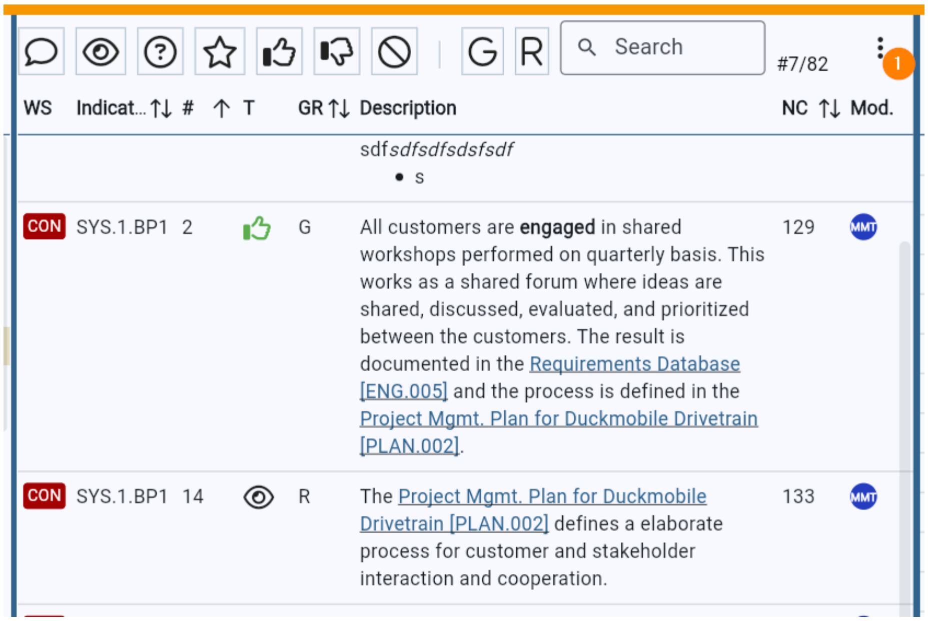
13 Creating project nonconformance (NC) from record

Prerequisites:

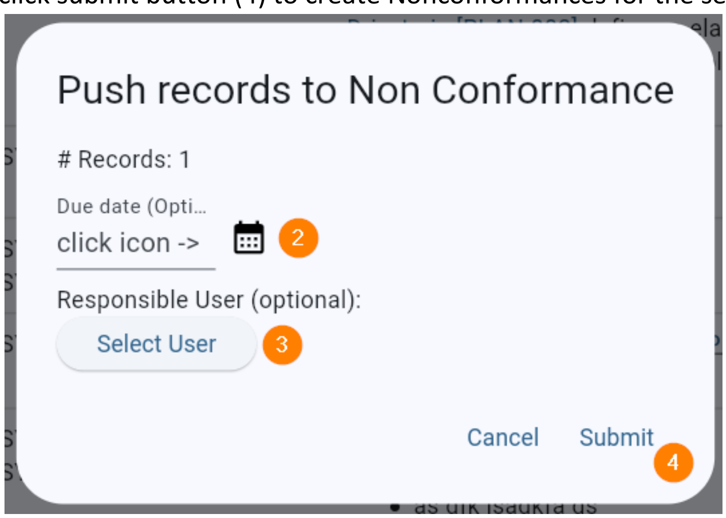
- The project must exist
- The assessment must be connected to the project (see the plan tab)

13.1 How to create NCs:

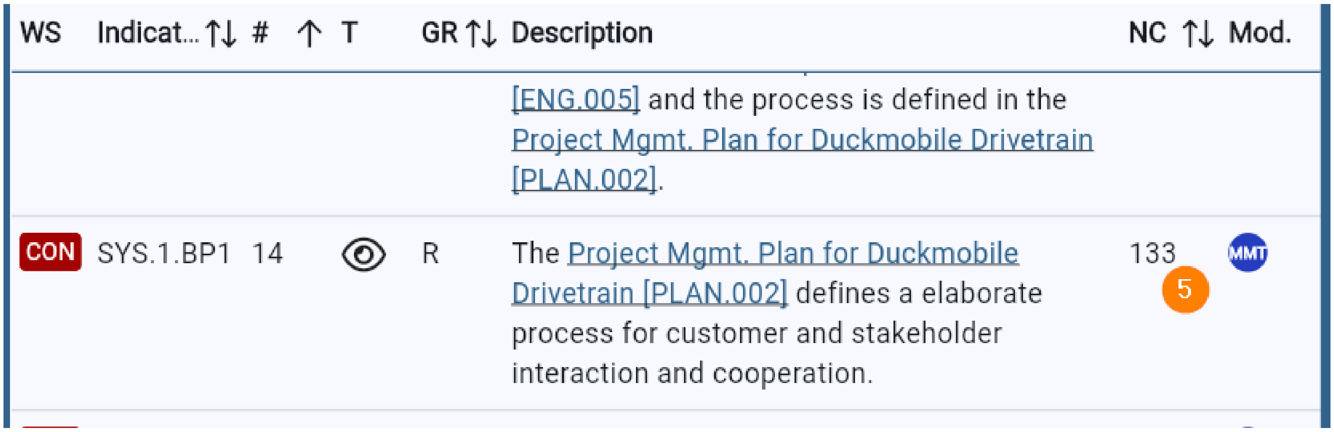
1. Select or filter records to show the relevant records in the center panel in the Tree view
2. Click Menu (1) and select push NC to push the record(s) as NCs into the linked project (see the planning tab) in *Trace*.



- Window will open to select a due date (Optional) (2) and a responsible user(Optional) (3) and click submit button (4) to create Nonconformances for the selected records.

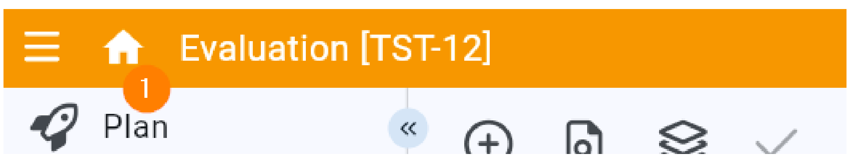


3. Verify that the records have an NC number (5).

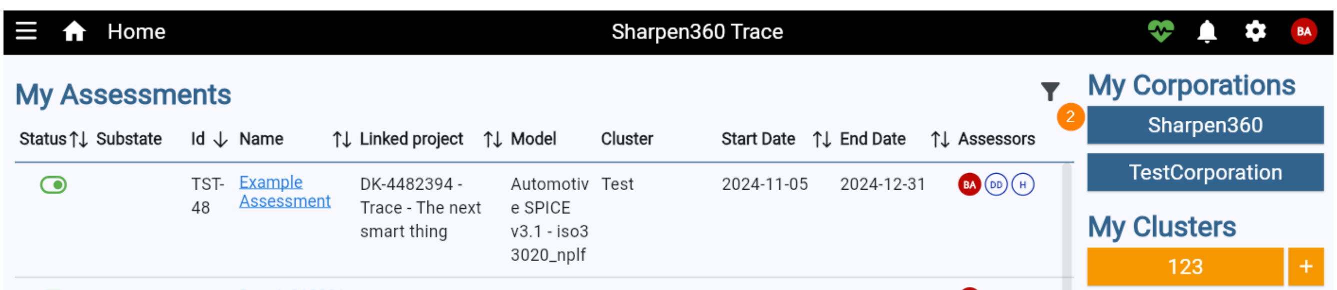


13.2 How to verify in "Quality" part of Trace:

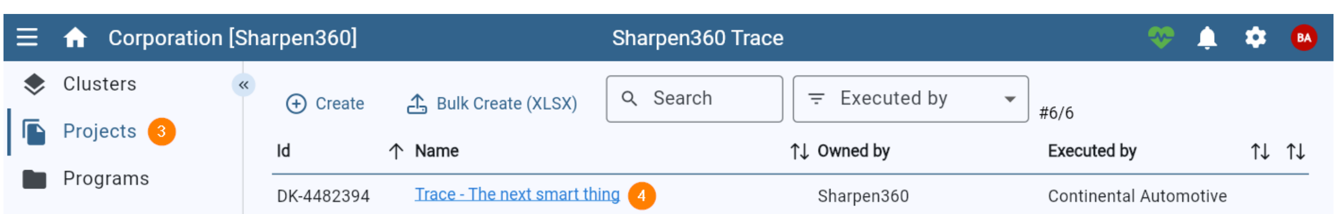
To see Nonconformances for projects, select home (1) to navigate to the home menu.



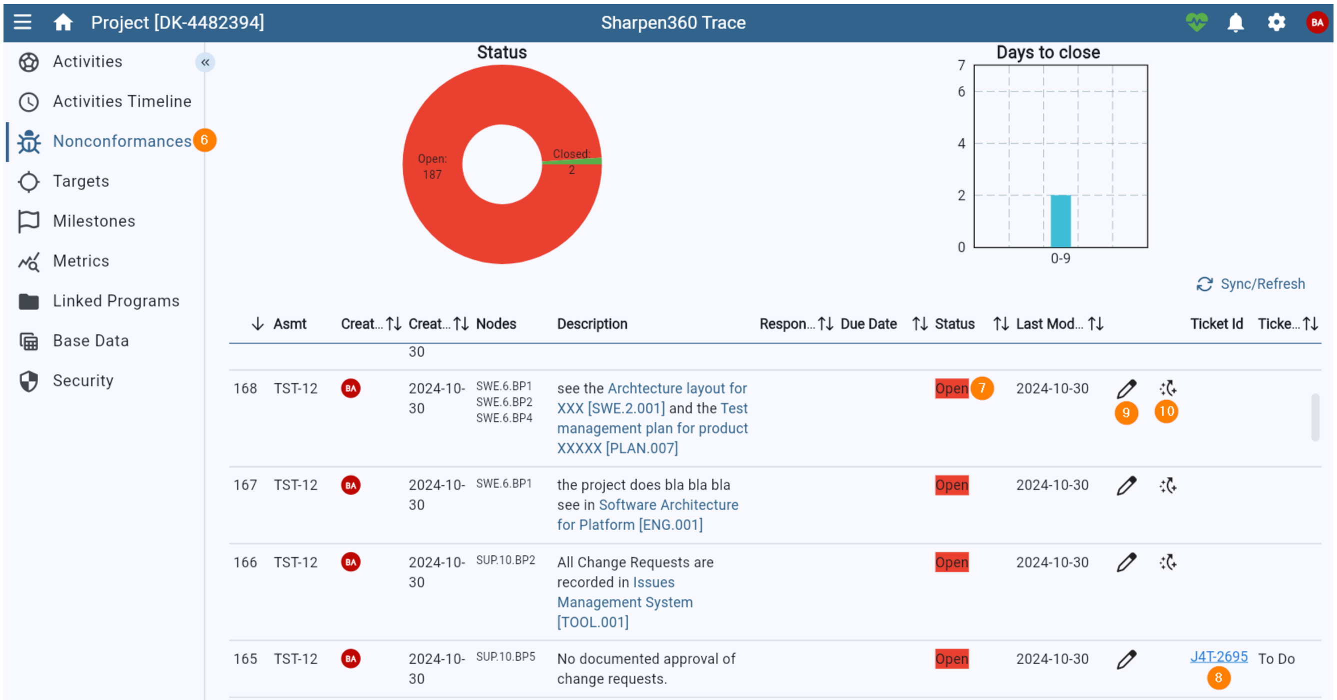
From My Corporations list in the right panel (2), select the corporation that contains the project that has the NCs.



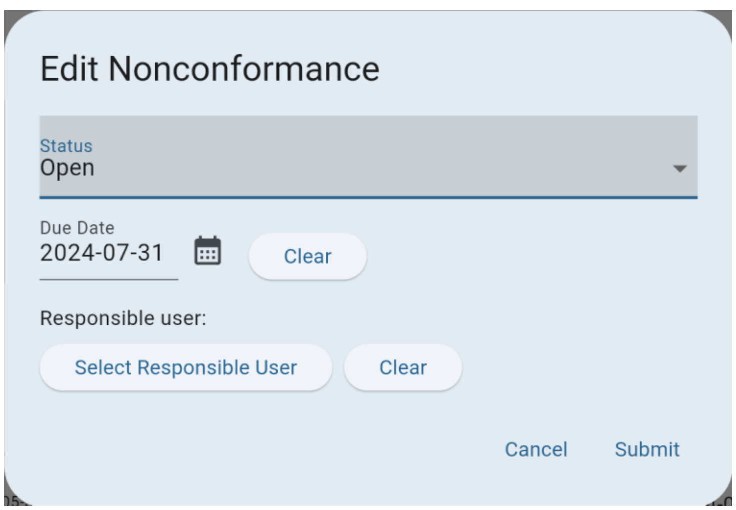
Select Projects from the left panel (3) to see list of projects for this corporation. Select the project that has the NCs(4).



When the project is opened, select Nonconformances in the left panel (6) to see list of nonconformances. Here, you can see the descriptions of nonconformances, and status of tickets (7) and link to tickets (8) if nonconformances are pushed to Jira. Nonconformances can be edited by button at (9) and can be pushed to Jira using button at (10).



When editing nonconformances from this view using the button at (9), the following window will open, and the same attributes can be edited as the ones in the execution part of *Trace*.



14 About Records

What are Records and how are they used?
Records are the generic term for the registrations done by the Assessor when performing an assessment. The records are written statements, often referring to one or more Evidence. Records can be created before, during, or after assessment Interviews.

What types of Records exists?

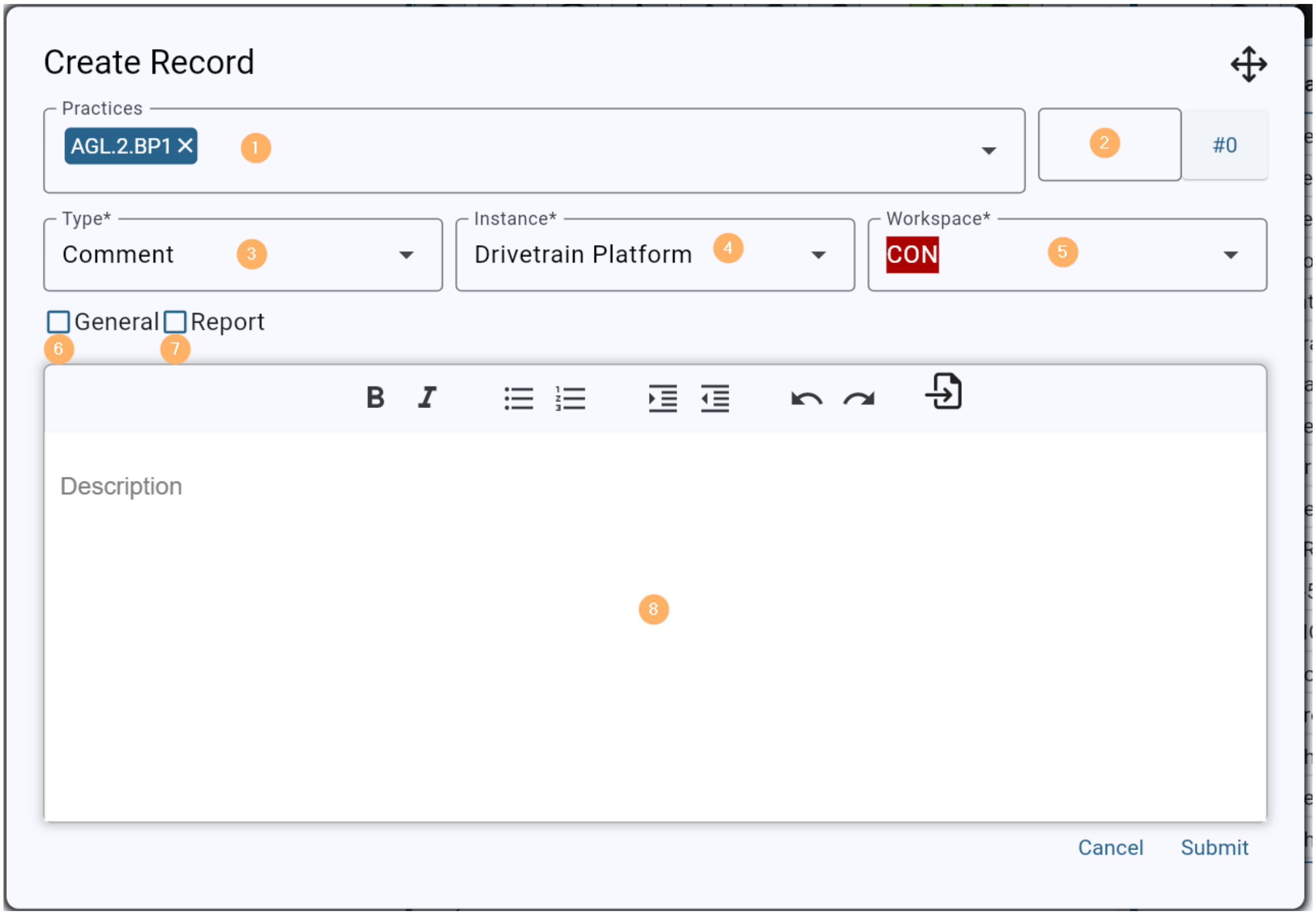
Symbol	Name	Used to
	Comment	Assessor notes / comments. Typically, not exported into reports.
	Recommendation	Document actions or suggestions which would help the organization.
	Observation	Document any observations during the Assessment.
	Weakness	Document a weakness (important when an Indicator is rated less than “F”).
	Weakness, High	Same as Weakness, but with higher priority.
	Strength	Emphasize a practice exceeding the expectations of the Model.
	Question	Question to interviewees. Typically identified during document review.

How do I create a Record?

- Select a BP or GP node in the assessment tree and click “Create Record”. Or use one of the keyboard shortcuts:
  - C – Comment
  - R – Recommendation
  - O – Observation
  - W – Weakness
  - <shift> + W – Weakness, High
  - S – Strength
  - Q – Question

The “Edit Record” window will open.

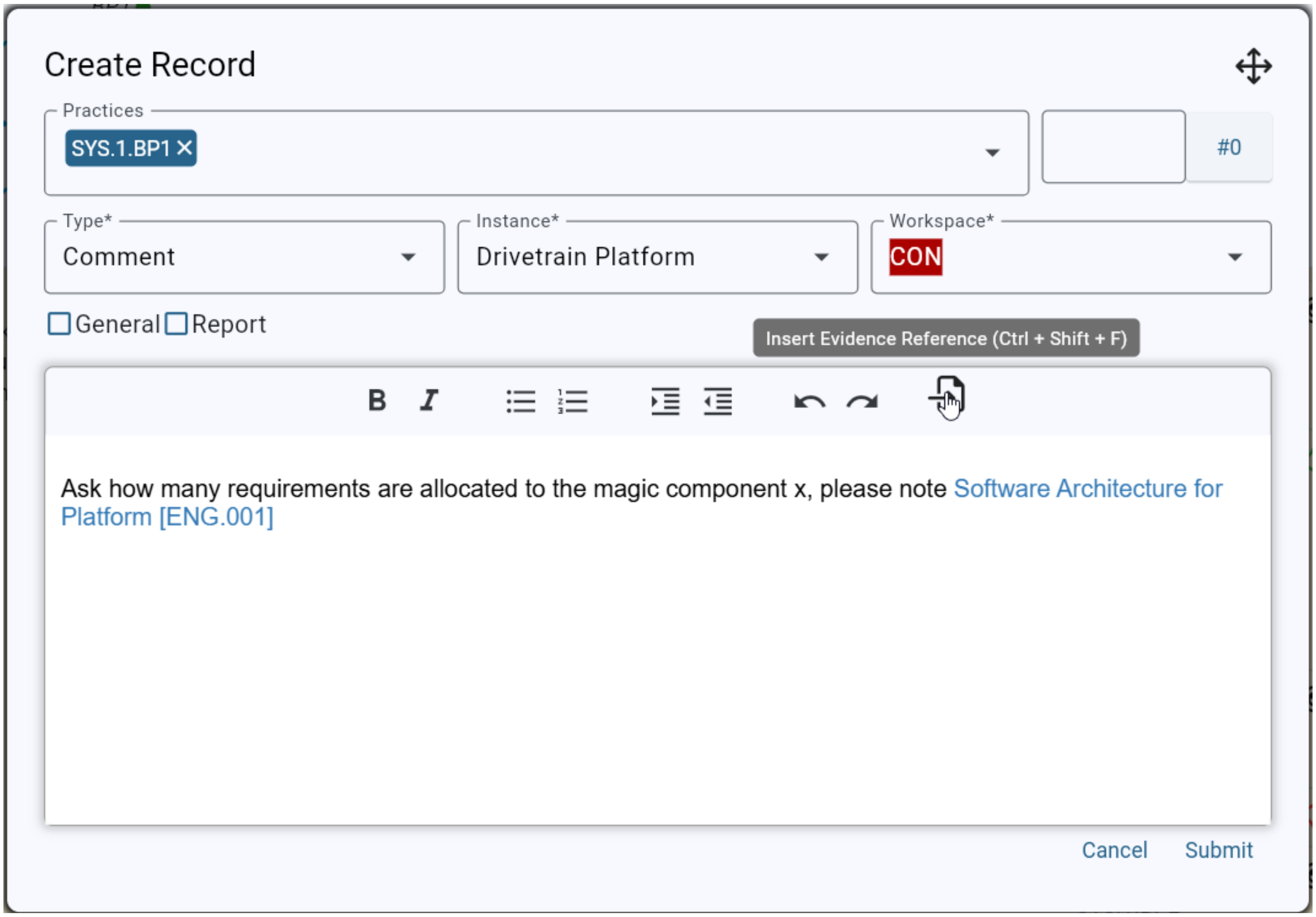
Record fields:



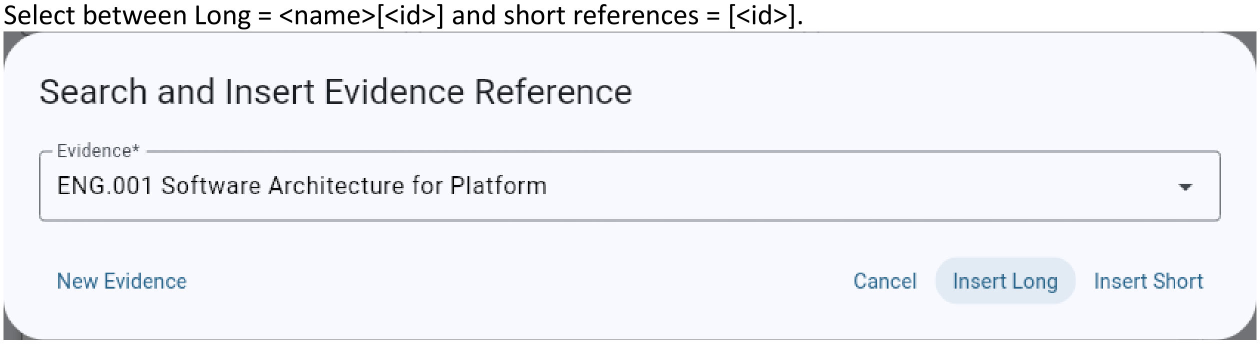
Field	Explanation
1	The related Indicators (BPs/GPs). Functions as a combined drop-down and search field to multi-select Indicators, typically e.g. GP2.2.1
2	Bulk indicator search field. The number to the right indicates how many indicators match the search criteria. Hitting <enter> adds them all to Practices (1).
3	Record type. See the previous table, e.g. Weakness or Observation.
4	The Instance for which this Record was created.
5	Workspace where Record is stored.
6	Tags this Record with the General tag. These findings will be printed in the beginning of assessment report.
7	Tags this Record with the Report tag. These findings can be filtered out for overview presentations.
8	Description of Assessment findings with references to Evidences.

Creating references to Evidence from Records

- Refer to Evidence from the Record text by clicking the icon (1) or the shortcut "**<ctrl><shift> f**" while being in the text field. This will result in a pop-up window: "Search and Insert Evidence Reference".

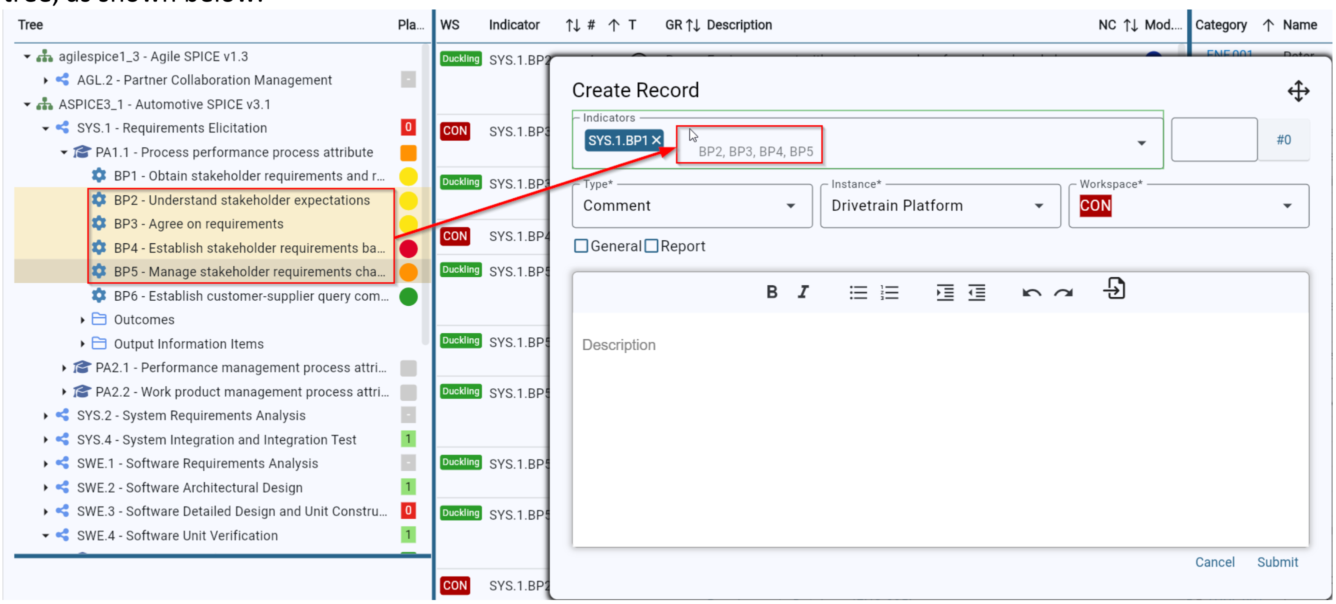


- The reference mechanism will dynamically match and suggest Evidence based at both evidence id and name. Use **Arrow Keys** to navigate and **<enter>** to select.
- If evidence does not exist, it can be created by clicking new evidence, and it will be automatically selected once done.
- Select between Long = <name>[<id>] and short references = [<id>].



Tips and Tricks

- While editing a Record, you can drag the Record window around to reposition it by clicking and holding anywhere on its “top bar”.
- You can still interact with items in the larger view, including navigating between the Tree view and Grid view, while the Record window remains open.
- You can quickly add Indicators to a Record by dragging and dropping one or several Indicators from the tree, as shown below.



15 About Notepads

What are Notepads and how are they used?

- Notepads can be used to write down notes during an Interview session.
- It is possible to work with zero, one or multiple Notepads

The following numbers refer to the orange dots in image above:

1. Currently selected notepad
2. Create a new notepad
3. Delete note
4. Button to change notepad name
5. Button to insert evidence link into the text field.
6. Green indicates that the notepad content is saved

Tips and Tricks

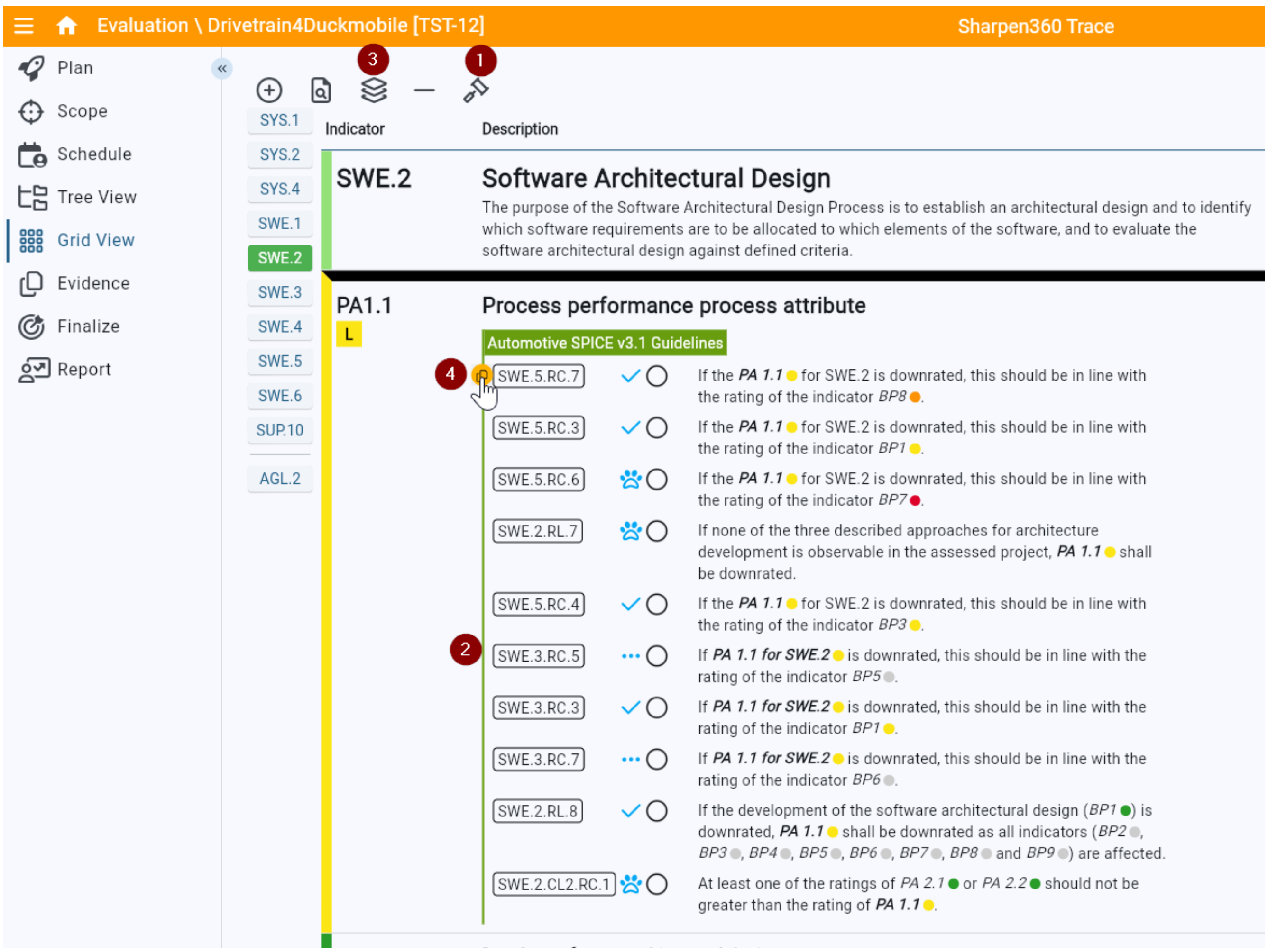
- Typically, Notepads are useful in interviews where it is not possible to create Records directly. Then, after the Interview, the notes can be used when creating Records.

- Evidence References can be used in Notepads (Use the shortcut: “<ctrl><shift> + f”). Please note that the Evidence References will “survive” a copy of the text to a Record.

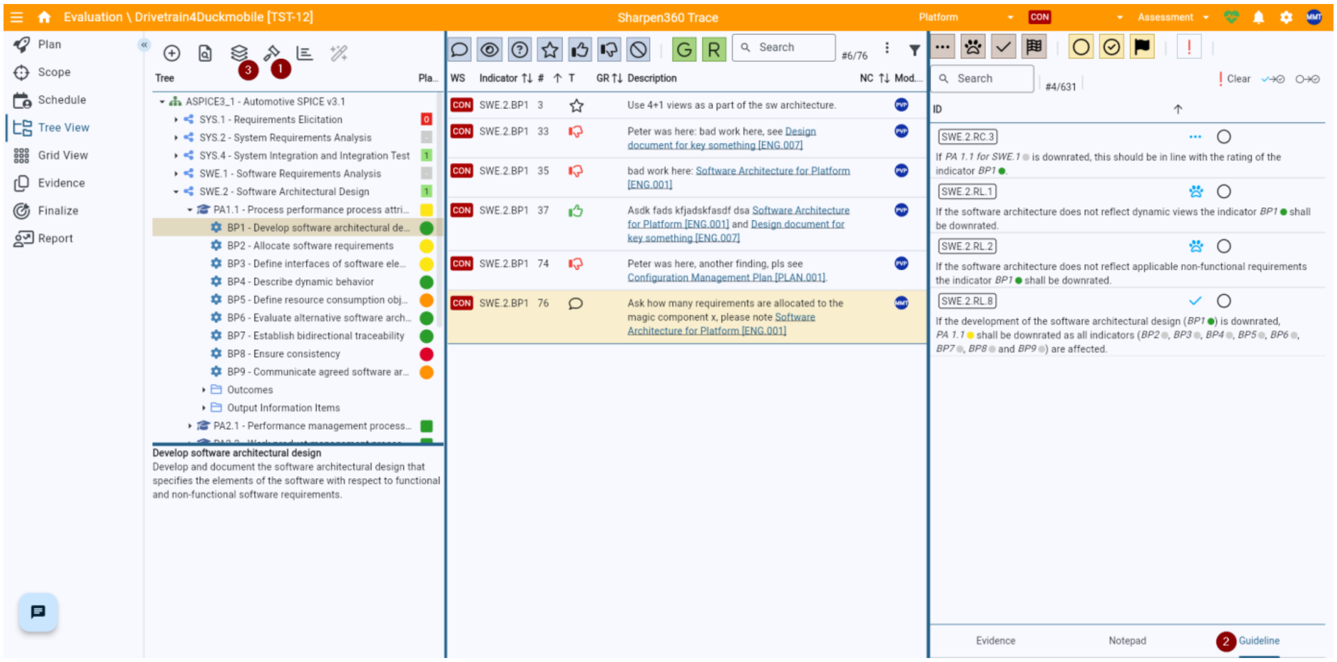
16 About Guidelines and Trace Assessor Assistant (TAA)

Guidelines can be displayed in Tree view and Grid view.

In **Grid view and Tree view**, floating guideline grid can be opened from button at (1). By default, guideline rules and recommendations are displayed as overlay for each indicator or node (2) and can be turned off from the overlay menu at (3) or minimized by clicking the header. The content (“<id>: <text>”) of an guideline can be copied in to the clipboard (4), See Chapter 18 for details on Overlays.



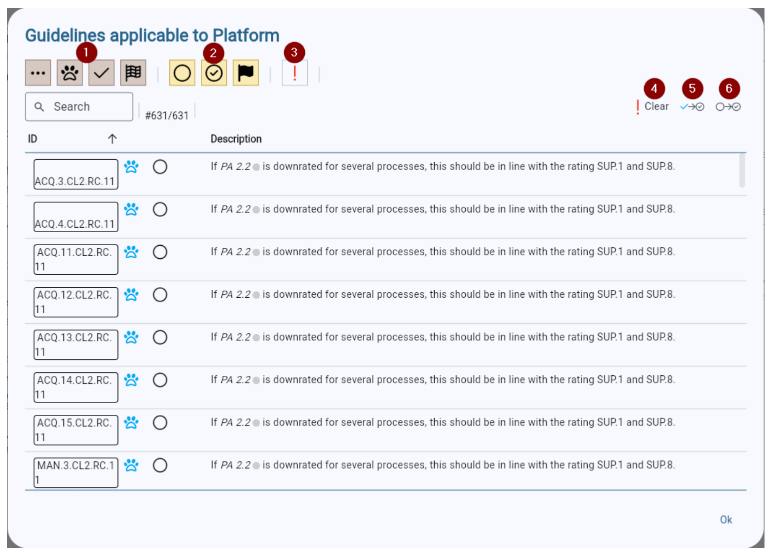
In **Tree view**, guidelines grid can be opened from button at (1) or open stationary window on the right panel (2). Overlays can be configured from the button (3).



How does the automatic evaluation of Guidelines work?

A Guideline can be associated with zero, one, or more Indicators (BPs/GPs). When clicking at a specific node the "Guidelines" tab shows the corresponding Guidelines. Each time an Indicator is saved, the associated Guidelines are evaluated by Trace Assessor Assistant. In the example to the right, SUP.10.BP2 is selected, and the associated Guidelines are shown.

Guidelines can be filtered by evaluation (1), status (2) and suspect (3)



How do I register a broken Rule?

Select a specific Guideline and press **"b"**. also opens the dialog to add a comment to all guidelines marked broken with this operation. The Guideline is marked as broken in the table and will appear in the assessment report.

Can I mark a Rating Rule as "handled"?

To avoid that the same Guideline is manually evaluated more than once, a Guideline can be marked as "handled" by pressing **"h"**. or all guidelines evaluated to "met" can be marked handled by clicking (5), or all unhandled by clicking (6)

How do I toggle a "Suspect" warning?

Select the Guideline and press **"s"**, or clear all by clicking (4).

Trace Assessor Assistant and Visualization:

Evaluation	Explanation	Visualization in Guideline tab *(example from SUP.10)*
Not ready	One or more associated BPs/GPs are not rated yet	SUP.10.CL3.RC.1 If roles, responsibilities and authorities are assigned and the assignment is available for all project members but there is no evidence for an active communication of the assignment, the indicator *GP 3.2.2* should not be downrated.
Met	The Guideline is met	SUP.10.RC.12 If the rating of establishing bidirectional traceability (*BP8*) is downrated due to missing dependencies between CRs and affected work products, the indicator (*BP4*) should be downrated.
Manual	All associated BPs/GPs are rated. The Guideline is ready to handle manually	SUP.10.RC.10 If the review of the implementation of the CRs (*BP6*) is downrated, it should have no influence on the rating (*BP3*).
Broken	The Guideline is evaluated to broken	SUP.10.RL.10 If CR status recording (*BP3*) is rated P or N, the indicator (*BP7*) shall be downrated.

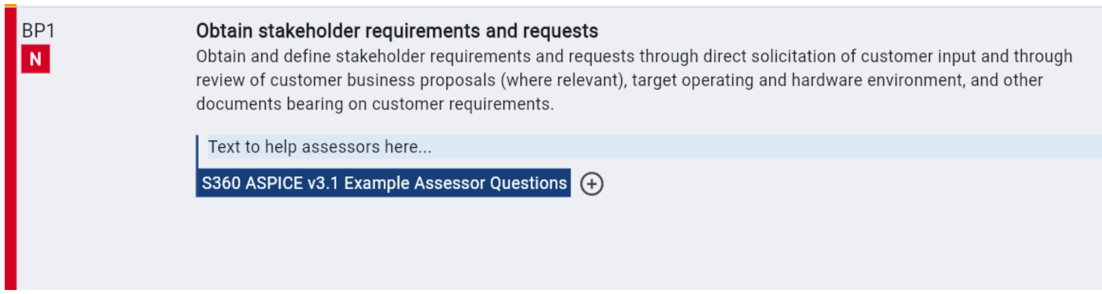
Tips and Tricks

- Please note if TAA indicates "broken", the Guideline must still be manually registered as "Broken".
- Please note that any Guideline can be registered as broken.
- Please note that several filters can be used when displaying the rules, e.g. Type, Broken, or Impacts (direction). Please see the above screenshot.
- You can multi select guidelines and register multiple as handled, unhandled or broken
- You can edit comments by clicking the conversation bubble
- Hover the Indicator status (BP dots) in Guidelines to see Model text, notes, and Weaknesses, if any. Three "bulk operations" are available (4, 5, 6), please hover buttons in *Trace* to see explanations.

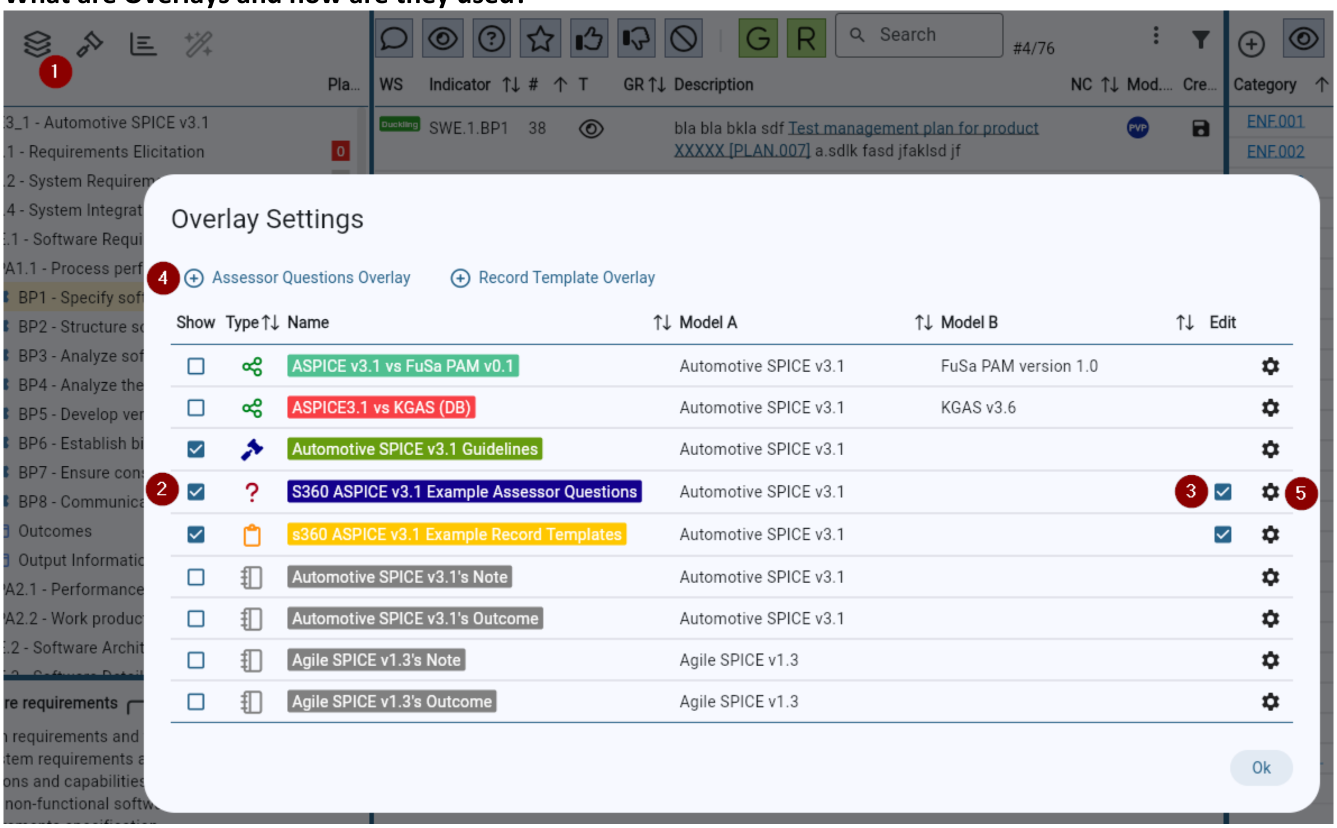
17 About Indicator Annotations (IAs) and Overlays

What are IAs and how are they used?

- IAs are notes added to Model Indicators. IAs are intended to support the Assessor(s) when assessing a specific Indicator. Example in image



What are Overlays and how are they used?



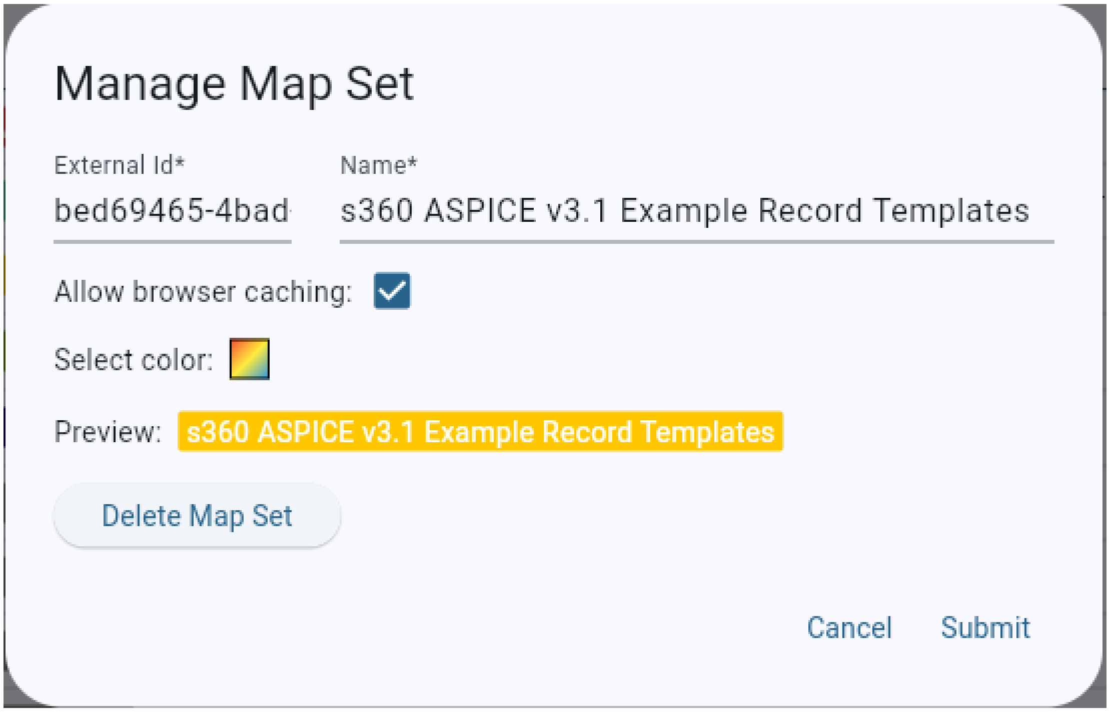
- IAs are organized into groups, called “Overlays”. Typically, an Overlay has multiple associated IAs whereas a specific IA belongs to one and only one Overlay.

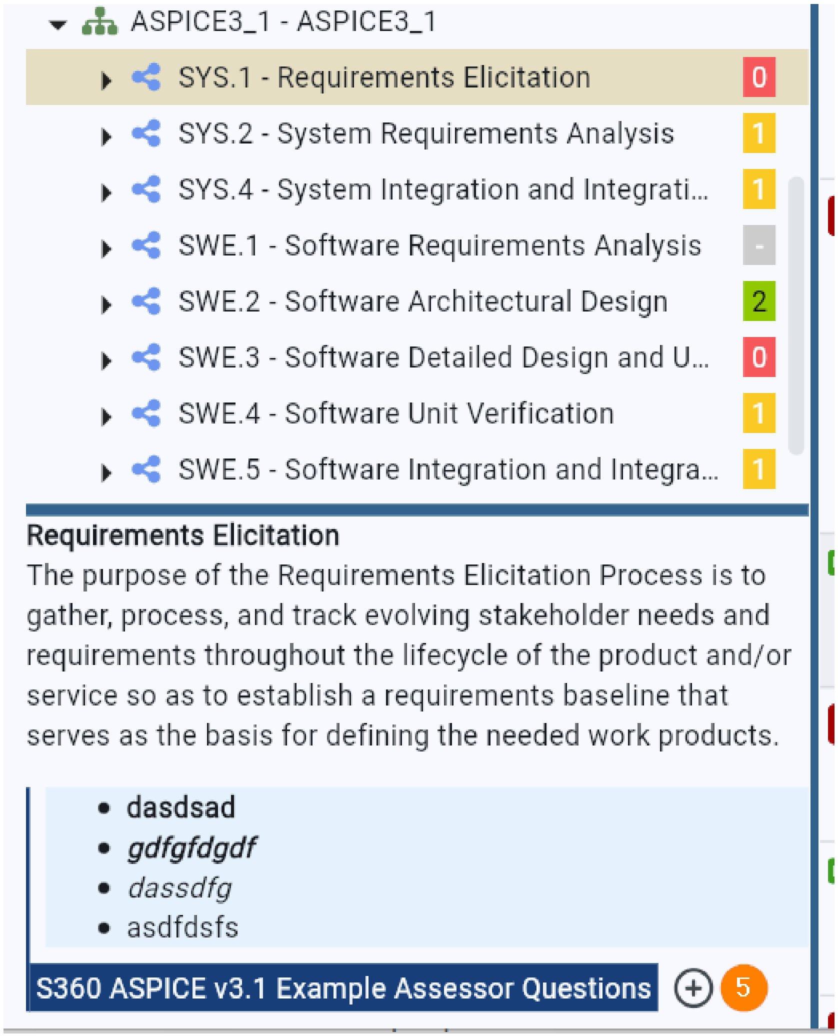
How do I create an IA?

- Open Overlay Settings from Overlay button (1) and create a new overlay (4) and/or select an overlay that you wish to create an IA in (2).
- Click on Edit checkbox for the selected overlay (2) to enable editing on the Overlay and close the Overlay Setting window.
- Select the relevant Indicator (BP/GP) in List or Grid view and click (+) to open a window.

How do I Delete an IA?

- Open Overlay Settings from Overlay button (1) and click on the gear (5) for the overlay you wish to delete, then "Manage Map Set"
- In the dialog opened you can edit a few things concerning the overlay, including deleting it





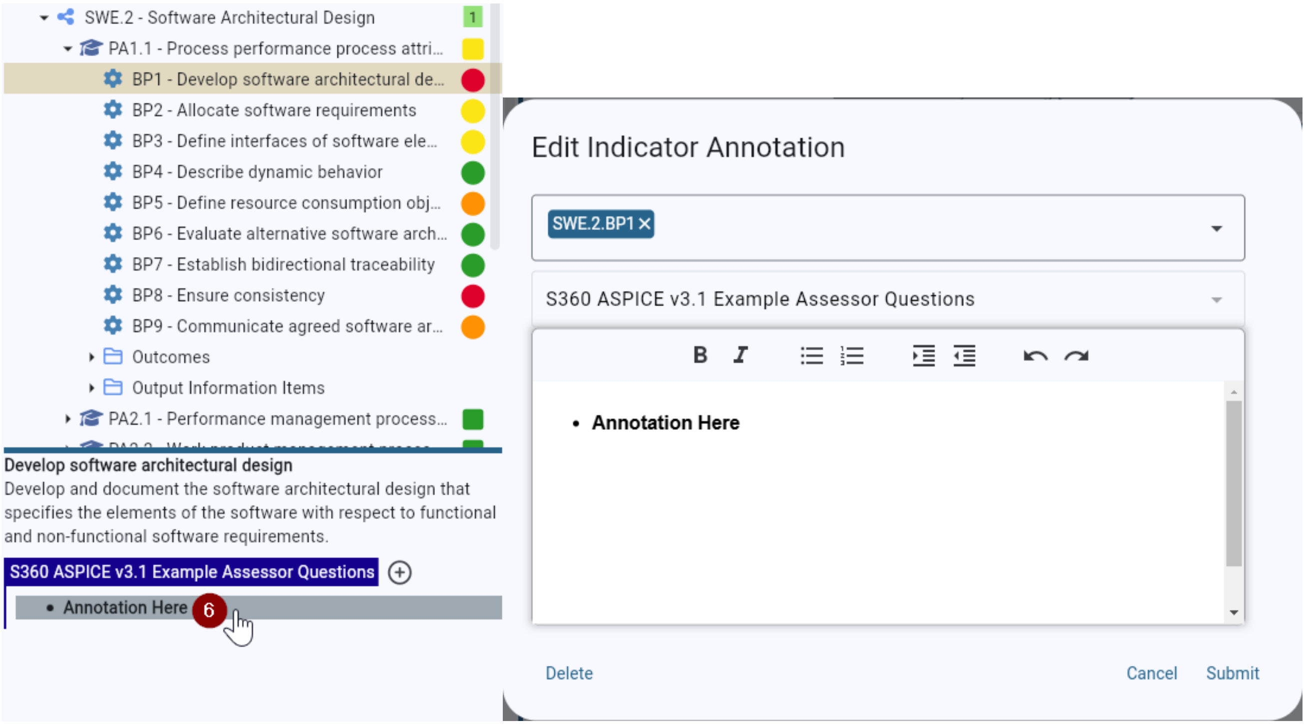
- Add Practice if you wish to add another Practice (6), enter the description of IA and Click Save.

How do I select which IAs to show?

- Select: Configure Overlay button from Tree view or Grid View, “Overlay Settings”. Window opens (1)
- Select Overlay(s).
    - To create new, click “+” (4) to create a Personal Overlay.

How do I edit an IA?

- Open Overlay Settings from Overlay button (1) and click on Edit check box that contains the IA (3).
- For each IA, editing is possible by clicking the description of the IA (Grid view or Tree view) (6)



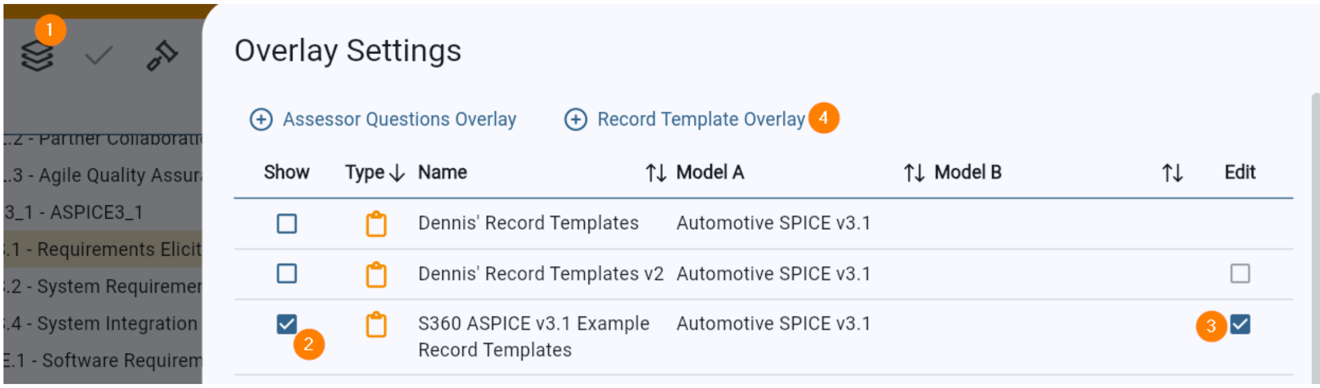
Tips and Tricks

- Typically, Indicator Annotations are used for questions to ask or things to consider when understanding the implementation of a practice.

18 About Record Templates (RTs)

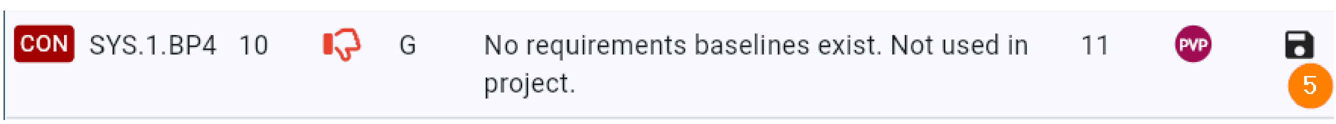
What are RTs and how are they used?

- RTs are templates for Records making it easy to create high quality Records having a standardized description, Record Type and relations to one or more Indicators.
- RTs are organized by Overlays like IAs



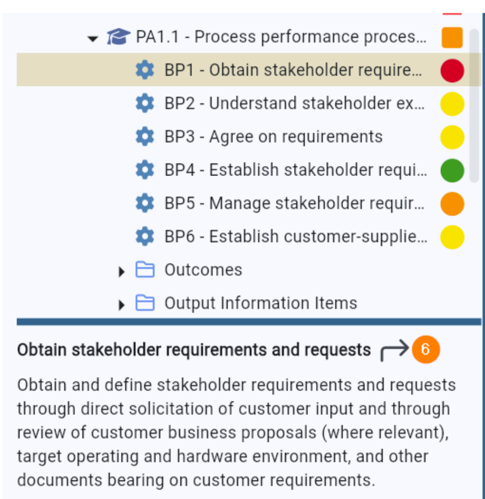
How do I create an RT?

- Open Overlay Settings (1), select an overlay (2) if Record Template overlay already exists, if not create new overlay with Record Template from button (4), click on Edit check box (3).
- Open an existing Record or create a new
- To create from Record, click save icon button (5). This opens the Record Template Editor.

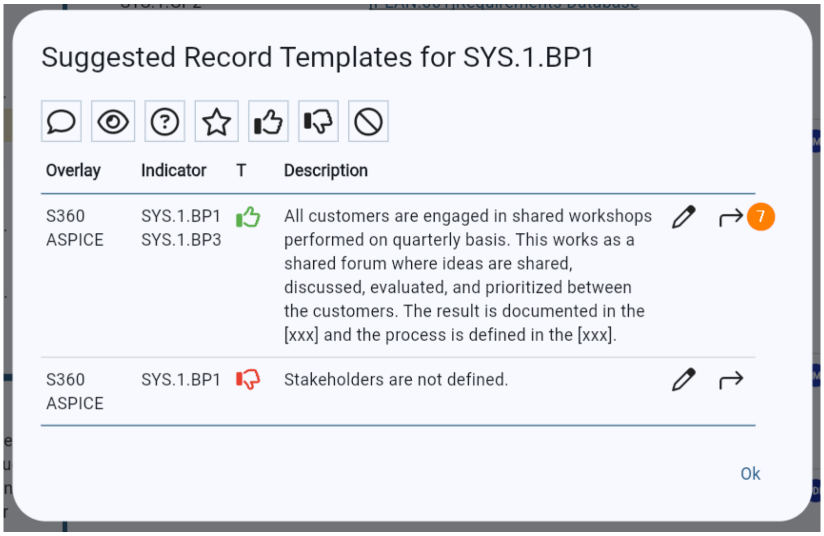


How do I find and use a Record Template?

- Select the relevant Indicator (BP/GP) in List or Grid view and click arrow right button (6).



- Suggest Record Template Window opens.



- Search / Filter Record Templates, if needed
- Click arrow-icon (7) to copy Record Template to Record Editor.
- Modify if needed and save to create Record.

How do I edit a TR?

- Open Overlay Settings (1), select the overlay containing the RT (2), click on Edit check box (3).
- Select the relevant Indicator (BP/GP) in List or Grid view and click arrow right button (6) to open the "Suggested Record Template"
- Click the edit button to edit
- Save when done.

Tips and Tricks

- When creating Record Templates from Records having Evidence References, the Evidence Name and number will be substituted with a text string representing the Evidence Type, e.g. [Design Document] or [Project Plan]. If the referred Evidence has no type, the string will be [XXX] in the Record Template.
- Start building your repository of great Assessor Records now opening and reviewing old assessments and selecting and creating Record Templates from the relevant Records.

19 Document information

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Rev.	Date	Changed by	Description of changes
3	2/4 2025	MNM	• Screenshots and descriptions updated to Trace v6.0.3.
2	14/2 2025	DRS	• First complete version
1	1/7 2025	PVP	• Initial version