The IAQG is a legally incorporated international not for profit association (INPA) with membership from the Americas, Europe and the Asia Pacific Region.
OASIS NG - Presentation Definitions

• **G1 Audit**
  • Audit performed to a standard based on ISO 9001:2008

• **G2 Audit**
  • Audit performed to a standard based on ISO 9001:2015
OASIS Next Gen Audit Entry Process (most common path) – G1 Audit Process (older standards)

- Start
  - Audit is complete and CB Technical Reviewer decision is done (outside of OASIS). Audit is ready to be entered into OASIS
  - Audit is a partial audit and the CB wants to publish what is done so far in OASIS

- Enter G1 audit data and upload PDF of forms

- Enter Cert Data (if applicable)

- CB Data Entry Access Type?
  - Direct
  - “Published”

- Indirect

- Submit for approval

- Audit/Cert OK?
  - Yes
  - No

- Reject. Returns to CB for action

- Audit is complete and CB Technical Reviewer decision is done (outside of OASIS). Audit is ready to be entered into OASIS

- CB Audit Entry Admin – OR – CB Technical Reviewer

- OASIS Approver for Indirect Data Entry
**OASIS NG – G2 Audit Entry Overview**

### OASIS Next Gen Audit Entry Process (most common path) – G2 Process (new standards)

<table>
<thead>
<tr>
<th>STEP 1 - CB Setup</th>
<th>STEP 2 - Implementation &amp; Lead Review</th>
<th>STEP 3 - CB Admin Review</th>
<th>STEP 4 - CB Technical Review</th>
<th>STEP 5 - Indirect Review</th>
</tr>
</thead>
<tbody>
<tr>
<td>Auditor</td>
<td>Perform audit and enter 9101 Form data in OASIS</td>
<td>Lead auditor confirms audit is done, NCR actions taken, all forms complete, and signs off for CB review</td>
<td></td>
<td></td>
</tr>
<tr>
<td>CB Audit Entry Admin</td>
<td>Set up audit Ex: Suppliers, standard, auditors, visit dates, etc</td>
<td>Update Audit setup info as needed</td>
<td>Reject Returns to Lead Auditor for action</td>
<td>Final audit cleanup. Update cert and upload printed cert (as needed) Submit for review</td>
</tr>
<tr>
<td>Supplier Representative</td>
<td>Review Supplier Site info and inform CB if incorrect</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>CB Certificate Decision (Technical Reviewer)</td>
<td></td>
<td>Enter &amp; Manage Supplier response to NCRs in Form 4</td>
<td></td>
<td></td>
</tr>
<tr>
<td>OASIS Approver for Indirect Data Entry</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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OASIS NG – Demonstration
Manage Organization Users for CB’s

• Manage Organization Users
  • Setting up CB users to enable data entry
    • CB Technical Reviewer
    • CB Audit Entry Admin
    • CB CSOC Admin

• [Demonstration]
• Creating a New Initial G1 Audit
  • Almost the same process as old OASIS except:
    • Now able to Add/Edit sites
    • Now able to Add/View Supplier Admins and Representatives
    • New process to create a cert from an audit entry

• [Demonstration]
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G2 Audit Entry Process Steps

Step 1
• CB Setup - CB Audit Entry Admin sets up audit (Suppliers, Standard, Auditors, Audit Dates, etc.)

Step 2
• Implementation & Lead Review – Auditors perform audit and enter results into 9101 Form 1 thru 6. Supplier Responds to NCR’s. Lead Auditor approves final audit package

Step 3
• CB Admin Review - CB Audit Entry Admin reviews audit package to confirm completeness, and enters certificate information

Step 4
• CB Technical Review - CB Technical Reviewer reviews audit package, confirms/updates certificate information, and publishes the audit/cert (or submits for indirect approval)

Step 5
• Indirect Review – Approver for CB reviews entry before publishing
• **Step 1: CB Setup Process**
  • Create a New G2 Audit (Initial)
    • Enter setup information
    • Mark CB Set up as complete
    • Review “Supporting Information” tab
    • Setting up Categories for Supporting Information
  • Create a New G2 Audit (Other types)
    • Recertification
    • Surveillance
  • Online help for the audit entry process
    • [Demonstration]
Step 2: Implementation & Lead Review

- All Audit Results Data is entered by the Auditors
  - Form1 – Stage1
    - Form1/Stage1 audit is entered as part of the applicable audit
    - Identify “Stage1” in the auditor days during visit setup
  - Form2 – Process Matrix
  - Form3 - Pear
  - Form4 – NCR
    - Each role fills in their data (Auditors, Suppliers)
    - Lead auditor is the only one who can close an NCR
  - Form5 & Form 6 – Audit Reports

- [Demonstration]
• Audit Workflow/Approval
  • Step 3: CB Admin Review
  • Step 4: CB Technical Review
  • Step 5: Indirect Review
• G1 Audit Modification Process

  • Similar to previous OASIS audit modification process
    • CB makes all changes

• What’s New
  • “NCR Closure Updates Only” changes don’t need Sector Representative approval to publish

• [Demonstration]
• G2 Audit Modification Process

• Different from the G1 Audit Modification Process
  • All roles involved in the audit entry will participate in the audit modification (where applicable)

• Similar to G1 Process
  • Audit modifications are started by the CB
  • “NCR Closure Updates Only” changes don’t need Sector Representative approval to publish

• [See Diagram]
• [Demonstration]
Modifying or Deleting Published Audits [G2 Audits]

**Auditor**
- Start Modification
- Change status to deleted
- Make any changes needed to 9101 Forms data in OASIS
- NCR’s?
  - Yes
  - Lead auditor confirms audit modification is done and signs off for CB review
  - No
  - Revert to Data Entry Mode for modifications

**CB Audit Entry Admin**
- OASIS makes a working copy of the audit and notifies Auditors and Supplier Reps the audit is being modified
- Action?
  - Deleting Audit
  - Changing Data
  - Cancel Modification
- Notify Auditors/Reps & Remove Copy
- Done
- Enter/Manage Supplier response to NCRs in Form 4 (if needed)

**Supplier Rep**
- Select NCR ONLY Changes?
  - Yes
  - Reject. Returns to CB Tech Reviewer
  - No
  - Direct
  - What is the CB Audit Data Entry Access Type?
    - Direct
      - “Published”
    - Indirect
      - Audit OK?

**CB Certificate Decision Admin (Technical Reviewer)**
- Reject Returns to CB for action
- OK?
  - Yes
  - “Published”
  - No
  - Selected “NCR ONLY” Changes?
    - Yes
    - Direct
    - No
    - Reject Returns to CB Tech Reviewer

**Sector Rep for CB’s Sector**
- CB Audit Data Entry Access Type will be the same for new audit entry and audit modifications. This will be either direct (does not need approval) or indirect (needs approval)

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There are two ways to update a published certificate

1. “Manage Audits” application
   a. Enter a new audit and publish a new or updated certificate (that was the result of the audit)

2. “Manage Published Certificates” application
   a. Uses
      • Fix certificate data entry errors
      • Change certificate status
      • Make changes not associated with an audit
      • Simply view published certificates

   b. Notes
      • Cert modification process is similar to current OASIS
      • All cert modifications need Sector Rep approval

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### What’s new - Cert Modification or Deletion –

#### Modifying or Deleting Published Cert [From any Audit Type G1/G2]

<table>
<thead>
<tr>
<th>Role</th>
<th>Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td>CB Audit Entry Admin</td>
<td>CB Audit Entry Admin (Access auditor profiles)</td>
</tr>
<tr>
<td>Supplier Rep</td>
<td>CB Certificate Decision Admin (Technical Reviewer)</td>
</tr>
</tbody>
</table>

**Diagram:***

- **Start Modification**
- OASIS makes a working copy of the Cert
- **Action?**
- **Change status to deleted**
- **Modify Cert Data**
- **Remove Copy**
- **Done**
- **Reject. Returns to CB for action**
- **Cert OK?**
  - **Yes** → Published
  - **No** → **Enter reason for change and Submit for Approval**

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New Process for CSOC Requests

“Manage CSOC Requests” application

• [Demonstration]
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