OASIS Next Gen Project
NCR Management

April 27, 2018
V5
Instructions

• This guidance material was created to provide user instructions for the creation and management of the on-line Non Conformance Report (NCR) report within the OASIS database, including:
  – High Level Path - process flow
  – AQMS Auditor Steps
    • NCR generation
    • Response review
    • Acceptance
  – Supplier Organization Steps
    • Acknowledgement
    • Corrective action input
  – NCR Notification
    • Step by Step instructions
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### OASIS Next Gen NCR Management (High-Level Path)

<table>
<thead>
<tr>
<th>NCR Management</th>
<th>STEP 1</th>
<th>STEP 2</th>
<th>STEP 3</th>
<th>STEP 4</th>
<th>STEP 5</th>
<th>STEP 6</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>CB Audit Entry Admin</strong></td>
<td>Audit Set-up</td>
<td>Access Audit Number</td>
<td>Enter details, define Due Date and Sign-off (NCR Opened)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Auditor</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Verification and NCR Closure</td>
</tr>
<tr>
<td><strong>Supplier Representative</strong></td>
<td></td>
<td>Access Audit Number</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Lead Auditor</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Verification and NCR Closure</td>
</tr>
</tbody>
</table>

- **Access Audit Number**
- **Enter details, define Due Date and Sign-off (NCR Opened)**
- **Review of Organization Planned Actions**
- **Define & Submit Organization Planned Actions and Sign-off**
- **Verification and NCR Closure**
- **OK?**
- **Reject**
- **Accepted & Sign-off**
- **Aknowledge and Sign-off receipt of NCR**
AQMS Auditor Steps

After logging in to OASIS, click “Manage Audits”
Select Status: “New WIP” or “Any” 

Then click “Search”

Work in Process (WIP)
# AQMS Auditor Steps

The IAQG is a legally incorporated international not for profit association (INPA) with membership from the Americas, Europe and the Asia Pacific Region.
In conjunction with other audit package entries, click Form 4 arrow then click “Add New”
Add discussion data and notes as applicable

Click “Import” to select and upload supplier site information

Enter Section 1 Nonconformity Details
AQMS Auditor Steps

Click “Add New” to add Discussion and Notes
AQMS Auditor Steps

Enter Subject and message details

Click to add attachment

Click “Add Row” to add other attachment(s)

Click “Post” to publish Discussion
AQMS Auditor Steps

Posted discussion and Note
AQMS Auditor Steps

Then click to sign for Section 1 entries

Click to save changes
Supplier Organization Steps

After logging in to OASIS, click “Manage Audits”
Supplier Organization Steps

Select Status: “New WIP” or “Any”

Then click “Search”
Supplier Organization Steps

Click on applicable audit reference number
Supplier Organization Steps

Click Form 4 arrow

Then click applicable NCR number
Supplier Organization Steps

Click to view and enter discussion data and notes as applicable

View nonconformity details
Supplier Organization Steps

Click to access designated organizational representative name(s)
Supplier Organization Steps

Select organizational representative name from drop-down list

Enter NCR receipt date

Click to save entry acknowledging receipt of NCR
Supplier Organization Steps

Enter Section 2 planned action details (Containment (when required in box 14), Correction, Root Cause, Corrective Action and dates)

Enter the Cause Code by clicking on the box to edit the Cause Code Table
Supplier Organization Steps

Thick the appropriate Cause Code

Click on “Save Cause Code Selection”
Supplier Organization Steps

After saving data, click to access designated organizational representative name(s)

Click to add attachments as applicable

Click to save data entries
Supplier Organization Steps

1. Select organizational representative name from drop-down list.
2. Enter Section 2 completion date.
3. Click to save entry acknowledging completion of Section 2.
After logging in to OASIS, click “Manage Audits”
Select Status: “New WIP” or “Any”  

Then click “Search”
### AQMS Auditor Steps

**Click on applicable audit reference number**

<table>
<thead>
<tr>
<th>Audit Reference #</th>
<th>Supplier(s)</th>
<th>Type / Standard</th>
<th>Start / End</th>
<th>CB</th>
<th>Status</th>
</tr>
</thead>
</table>
| 11111222222BB     | OIN: 6121291527  
Demonstration Supplier  
1 Sunny Drive, Phoenix, CO 11111, United States | Special | Demonstration CB 2 | New WIP | Implementation & Lead Review |
| 11112222BB        | OIN: 6121291527  
Demonstration Supplier (1)  
1 Sunny Drive, Phoenix, CO 11111, United States | Initial | Demonstration CB 2 | Published | Published |
| 11112222BB3       | OIN: 6140258965  
Demonstration Supplier (8)  
123 Test St, Testville, MN 12345, United States | Special | Demonstration CB 2 | New WIP | Implementation & Lead Review |
AQMS Auditor Steps

Click Form 4 arrow

Then click applicable NCR number
Review Section 2 information

Click to add attachment as applicable

Click applicable button to either sign (accept) or reject Section 2 information
Supplier Organization Steps

After logging in to OASIS, click "Manage Audits"
Supplier Organization Steps

Select Status: “New WIP” or “Any”

Then click “Search”
Supplier Organization Steps

Click on applicable audit reference number

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Supplier Organization Steps

Click Form 4 arrow

Then click applicable NCR number
Supplier Organization Steps
(With Rejected Stage 2 Response)

Click to access designated organizational representative name(s)

Review rejection reason

Add attachment as applicable
Supplier Organization Steps (With Rejected Stage 2 Response)

Section 2 - Organization’s Planned Actions
- Containment Action(s)
  - Applicable containment action(s) noted...
- Correction(s)
  - Applicable correction(s) noted...
- Root Cause
  - Applicable root cause noted...
- Corrective Action(s)
  - Revised root cause corrective action noted...
- Organization Representative: Bryan Blunt / 03/09/2017
  - Note: Revised corrective action information noted...

Attachments
Viewing 1 to 1 of 1
1. NCR Attachment Example
   - Associated Auditor (Americas) 03/29/2017 14:45 EST

Click to edit planned actions
Click to save changes
AQMS Auditor Steps

After logging in to OASIS, click “Manage Audits”
AQMS Auditor Steps

Select Status: “New WIP” or “Any”

Then click “Search”
AQMS Auditor Steps

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AQMS Auditor Steps

1. Click Form 4 arrow
2. Then click applicable NCR number
AQMS Auditor Steps

- Click to add attachment as applicable
- Review Section 2 information
- Click applicable button to either sign (accept) or reject Section 2 information
AQMS Auditor Steps

1. Enter verification details
2. Click to access auditor name(s)
AQMS Auditor Steps

- Enter NCR closure date
- Check applicable auditor name(s)
- Click to add name(s) and date to Section 3
AQMS Auditor Steps

Audit team leader click to access name
AQMS Lead Auditor Steps

Enter NCR closure date

Check lead auditor name

Click to add name and date to Section 3
Lead auditor Section 3 acceptance updates NCR status to “Closed”
The management of NCRs raised during the audit process is associated with a series of email notifications that are automatically generated by the OASIS database system.

Email notifications are sent to user roles/events for each of the steps identified in the NCR Form 4 (see next slide) when an NCR is generated.

Each of the events that trigger the email notification, will also log the applicable information or each event.

NCR events are tracked in a way they can later be used for Supplier Advisories.
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NCR's Notifications

Step 1 – Aerospace Auditor

Step 2 – Supplier Rep

Step 3 – Supplier Rep

containment where applicable

Step 4 – Aerospace Auditor

Step 5 – Aerospace Auditor

Step 6 – Lead Auditor

DISCLAIMER STATEMENT
This audit was conducted based on a sampling process of the available information.
## NCR's Notifications

<table>
<thead>
<tr>
<th>Steps</th>
<th>Event</th>
<th>Form Box #</th>
<th>Notes</th>
<th>CB</th>
<th>Supplier Rep</th>
<th>Auditor</th>
<th>Lead Auditor</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Auditor completes Form 4 (NCR) and confirms it is done by signing off</td>
<td>16</td>
<td>No</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td></td>
<td>(Auditor). If Auditor or CB modifies Section 1 after it is submitted</td>
<td></td>
<td></td>
<td>No</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td></td>
<td>to the supplier.</td>
<td></td>
<td></td>
<td>No</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>2</td>
<td>Supplier Rep Acknowledge receipt of NCR report (Organisation</td>
<td>17</td>
<td>No</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td></td>
<td>Representative)</td>
<td></td>
<td></td>
<td>No</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>3</td>
<td>Supplier Rep Submits &quot;Organizations Planned Actions&quot; for review by</td>
<td>28</td>
<td>No</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td></td>
<td>auditor by filling in applicable fields and signing off (Organisation</td>
<td></td>
<td></td>
<td>No</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td></td>
<td>Representative)</td>
<td></td>
<td></td>
<td>No</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
</tbody>
</table>
### NCR's Notifications

<table>
<thead>
<tr>
<th>Steps</th>
<th>Event</th>
<th>Form Box #</th>
<th>Notes</th>
<th>Notification Goes To</th>
</tr>
</thead>
<tbody>
<tr>
<td>4</td>
<td>Auditor accepts the actions documented in Form 4 - SECTION 2 – ORGANISATION’S PLANNED ACTIONS and signs off on acceptance (Auditor Acceptance)</td>
<td>29</td>
<td></td>
<td>CB Audit Entry Admin  Supplier Rep Auditor Lead Auditor</td>
</tr>
<tr>
<td></td>
<td>Auditor rejects the actions documented in Form 4 - SECTION 2 – ORGANISATION’S PLANNED ACTIONS</td>
<td></td>
<td>Clears the previous step3</td>
<td>No Y Y Y</td>
</tr>
<tr>
<td></td>
<td>Ready for Auditor verification</td>
<td></td>
<td>Ready means the Actual Completion Date Form 4 box #27 for the Corrective Action has been entered.</td>
<td>No Y Y Y</td>
</tr>
<tr>
<td></td>
<td>If Originating auditor approves and signs off (Auditor Acceptance)</td>
<td>29</td>
<td></td>
<td>No Y Y Y</td>
</tr>
<tr>
<td>5</td>
<td>If Originating auditor rejects</td>
<td></td>
<td>Need to enter &quot;reason for rejection&quot;</td>
<td>No Y Y Y</td>
</tr>
<tr>
<td></td>
<td>If Auditor or CB modifies Section 2 after it is submitted to the supplier</td>
<td></td>
<td></td>
<td>No Y Y Y</td>
</tr>
<tr>
<td></td>
<td>Lead auditor approves and signs off the NCR is complete (Audit Team Leader)</td>
<td>32</td>
<td></td>
<td>No Y Y Y</td>
</tr>
<tr>
<td>Steps</td>
<td>Event</td>
<td>Form Box #</td>
<td>Notes</td>
<td>Notification Goes To</td>
</tr>
<tr>
<td>-------</td>
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</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>CB Audit Entry Admin</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Supplier Rep</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Auditor</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Lead Auditor</td>
</tr>
<tr>
<td>6</td>
<td>Lead auditor <strong>approves</strong> and signs off the NCR is complete (Audit Team Leader)</td>
<td>32</td>
<td></td>
<td>Y</td>
</tr>
<tr>
<td></td>
<td>Lead auditor <strong>rejects</strong> NCR completeness</td>
<td>32</td>
<td>Ned to enter &quot;reason for rejection&quot;</td>
<td>No</td>
</tr>
<tr>
<td>Misc</td>
<td>Discussions and responses to discussions</td>
<td></td>
<td>No</td>
<td>Y</td>
</tr>
<tr>
<td></td>
<td>Attachments</td>
<td>Adding an attachment to an NCR</td>
<td>No</td>
<td>Y</td>
</tr>
<tr>
<td></td>
<td>Auditor Deletes an NCR <strong>before</strong> it is assigned to a supplier for review/action</td>
<td></td>
<td>The status is WIP..</td>
<td>No</td>
</tr>
<tr>
<td></td>
<td>Auditor changes the status to something such that it is no longer an NCR (cancelled, changed to an observation, changed to improvement)</td>
<td></td>
<td>Requires a reason for change</td>
<td>No</td>
</tr>
</tbody>
</table>
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