Date: March 24, 2020

To: ABs and CBs

Subject: COVID-19: OASIS Database Instructions

COVID-19: OASIS Database Instructions

This update communication supplements the recently published IAQG OPMT Notice for Accreditation Bodies and Certification Bodies concerning Novel Coronavirus - COVID-19. To implement the alleviations offered in the notice there are some actions that need to be followed in the OASIS database:

Audit Duration Calculator (ADC) & Audit Report

This instruction applies when a CB has to perform a virtual audit, due to issues associated with COVID-19, and has to postpone part of the audit duration planned for the 2020 audit and move audit duration to the 2021 audit. In the ADC Notes and in the OASIS Form 5 9101 Audit Report for the 2020 audit, the CB shall:
- document the number of audit days and the activities that have been postponed
- document the specific reason for postponement
  Note: Stating “COVID-19” or similar is not sufficient to satisfy this instruction. A specific reason for postponement is to be documented.

Identification of Expiring Certificates affected by COVID-19

CB shall initiate a Certificate Modification to:
- append the code [IAF-ID3] to the existing certificate number in the OASIS database (Issue and any applicable reissue date shall not be changed).
- publish the modified certificate in OASIS
  Note: The physical certificate that was previously uploaded does not require a change.

When:
- a certificate has expired, and
- “restoration” of a certificate has not been or cannot be completed within 6 months of expiry due to issues associated with COVID-19,

Or
- a certificate is due to expire, and
- the on-site or virtual recertification audit has not been started, and
- “reinstatement” of a certificate has not been or cannot be completed within 12 months of expiry due to issues associated with COVID-19.
Instructions for modifying a certificate can be found in the OASIS Help and Guidance at:


**How to perform Reinstatement**

If the recertification audit has already started and the certificate was not restored within 6 months after expiry, the recertification audit may be continued, certification decision made and published within 12 months of expiry.

If the recertification audit has not been started an OASIS Initial Certification Audit record is required to initiate “reinstatement”. In addition:

- The OASIS 9101 Form 1, Stage 1 audit report Box 10 ‘Proposed Certification Scope’ shall contain the following statement "The Stage 1 audit has not been performed per IAQG OPMT Resolution #157."

**Illustration of Certificate Expiry, Restoration and Reinstatement**

The graphic below illustrates the processes associated with certificate expiry restoration and reinstatement.
How to enter Virtual (ICT) Audit Duration Days in OASIS

To record the Audit Days of a Virtual Audit in OASIS, CB Audit Entry Admin shall setup the Supplier visit as follow:

<table>
<thead>
<tr>
<th>Supplier Site &amp; Auditor Visits</th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Supplier Site</td>
<td>Visits</td>
<td>Auditor</td>
<td>Start</td>
<td>End</td>
<td>Onsite</td>
<td>Offsite</td>
</tr>
<tr>
<td>Demonstration Supplier (11)</td>
<td>1</td>
<td>Demonstration, Auditor (Americas)</td>
<td>03/23/2020</td>
<td>03/25/2020</td>
<td>0.0</td>
<td>3.0</td>
</tr>
</tbody>
</table>

and shall enter remote ICT Off-site time (3.0 in this example) in the Audit Details Total Audit Days field:

<table>
<thead>
<tr>
<th>Certificate Structure Type (CST)</th>
<th>Category</th>
<th>Partial Audit?</th>
<th>ASRP</th>
<th>CAAT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Single Site</td>
<td></td>
<td>No</td>
<td>No</td>
<td>No</td>
</tr>
<tr>
<td>Total Audit Days</td>
<td></td>
<td>3.0</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

The Lead Auditor shall enter in Form 5 box 3 0.0 Onsite Audit days as follow:

<table>
<thead>
<tr>
<th>Audit Type</th>
<th>Audit Start Date</th>
<th>Audit End Date</th>
<th>On-Site Audit Days</th>
</tr>
</thead>
<tbody>
<tr>
<td>Surveillance</td>
<td>03/23/2020</td>
<td>03/25/2020</td>
<td>0.0</td>
</tr>
</tbody>
</table>

The above will allow the Lead Auditor to Signoff the audit.

Certification Bodies (CB) are reminded that the IAQG OPMT COVID-19 notification also includes the requirement for risk analysis/mitigation and submittal of a six month go forward plan to their respective Accreditation Body (AB).

The IAQG remains committed to ongoing communication and will provide updates to the above if needed.

If OASIS issues arise contact the IAQG support function at: IAQGsupport@sae.org or your OASIS Sector Representative:

- Americas - Becky Lemon rebecca.lemon@sae.org
- Asia/Pacific - Takayoshi Maehata takayoshi.maehata@sjac.or.jp
- Europe - Ian Folland IFolland@iaqg.org

Sincerely,

IAQG Database Team