OASIS Next Gen Project
NCR Management

March 31, 2017
V3
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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<table>
<thead>
<tr>
<th>NCR Management</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>STEP 1</strong></td>
</tr>
<tr>
<td><strong>STEP 2</strong></td>
</tr>
<tr>
<td><strong>STEP 3</strong></td>
</tr>
<tr>
<td><strong>STEP 4</strong></td>
</tr>
<tr>
<td><strong>STEP 5</strong></td>
</tr>
<tr>
<td><strong>STEP 6</strong></td>
</tr>
</tbody>
</table>

**CB Audit Entry Admin**
- Audit Set-up

**Auditor**
- Access Audit Number
  - Enter details, define Due Date and Sign-off (NCR Opened)
  - Review of Organization Planned Actions
  - Accepted & Sign-off

**Supplier Representative**
- Access Audit Number
  - Acknowledge and Sign-off receipt of NCR
  - Define & Submit Organization Planned Actions and Sign-off
  - Verification and NCR Closure

**Lead Auditor**
- Verification and NCR Closure

OASIS Next Gen NCR Management (High-Level Path)
AQMS Auditor Steps

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

Select Status: “New WIP” or “Any”

Work in Process (WIP)

Then click “Search”
**AQMS Auditor Steps**

### Audits

<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>
<tbody>
<tr>
<td>11111222222BB</td>
<td>OIN: 6121291527 Demonstration Supplier 1 Sunny Drive, Phoenix, CO 11111, United States</td>
<td>Special</td>
<td>11/01/2016</td>
<td>Demonstration CB 2</td>
<td>New WIP, Implementation &amp; Lead Review</td>
</tr>
<tr>
<td>111112222BB</td>
<td>OIN: 6121291527 Central Function Demonstration Supplier (1) 1 Sunny Drive, Phoenix, CO 11111, United States</td>
<td>Initial</td>
<td>11/09/2016</td>
<td>Demonstration CB 2</td>
<td>Published, Published</td>
</tr>
<tr>
<td>1111122229B3</td>
<td>OIN: 6140528965 Demonstration Supplier (8) 123 Test St, Testville, MN 12345, United States</td>
<td>Special</td>
<td>03/01/2017</td>
<td>Demonstration CB 2</td>
<td>New WIP, Implementation &amp; Lead Review</td>
</tr>
</tbody>
</table>

Click on applicable audit reference number

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In conjunction with other audit package entries, click Form 4 arrow

Then click “Add New”
AQMS Auditor Steps

- Click “Import” to select and upload supplier site information
- Add discussion data and notes as applicable
- Enter Section 1 Nonconformity Details

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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
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AQMS Auditor Steps

Enter Subject and message details
Click "x" to remove attachment(s)
Click "+Add Row" to add other attachment(s)
Click "Post" to publish Discussion
Click to add attachment
AQMS Auditor Steps

Posted discussion and Note
AQMS Auditor Steps

Click to save changes

Then click to sign for Section 1 entries
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

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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.

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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
Enter Section 2 planned action details and dates
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

Select organizational representative name from drop-down list

Enter Section 2 completion date

Click to save entry acknowledging completion of Section 2
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AQMS Auditor Steps

After logging in to OASIS, click “Manage Audits”.

Welcome to International Aerospace Quality Group (IAQG) OASIS

Online Aerospace Supplier Information System (IAQG-OASIS). If you are working in the aerospace industry, involved in aerospace supplier selection and surveillance, this is your reliable source for aerospace supplier certification and registration data.

This online resource contains a list of suppliers who are certified / registered under the IAQG rules to be in compliance with the aerospace quality management system requirements (9100 series). This resource also contains all bodies involved in the process (i.e. National Accreditation Bodies, Certification Bodies and Authenticated Aerospace Experienced Auditors).

Personal information can be seen or modified using the menu on top.

Useful Links
- IAQG Homepage
- IAQG Requirements
- 9104-001 Audit Calc Tool
- Certification Structure Oversight Committee (C-SOC) Guidance
- OASIS Feedback Guidance
- IAQG OPMT ICOP Resolutions Log

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AQMS Auditor Steps

Select Status: “New WIP” or “Any”

Then click “Search”
AQMS Auditor Steps

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AQMS Auditor Steps

Click Form 4 arrow

Then click applicable NCR number
Click to add attachment as applicable

Review Section 2 information

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

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Click on applicable audit reference number.
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

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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

Auditor Acceptance:

Attachments:

- Viewing 1 to 1 of 1

- NCR Attachment Example

- Attached:
  - NCR Attachment Example
  - Auditor Acceptance
  - 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

Click on applicable audit reference number
AQMS Auditor Steps

Click Form 4 arrow

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

Enter verification details

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

![Image of the AQMS Auditor Steps](image)

*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”
NCR's Notifications

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.
NCR's Notifications

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### NCR's Notifications

#### Step 1 – Aerospace Auditor

<table>
<thead>
<tr>
<th>CB Name:</th>
<th>NONCONFORMITY REPORT (NCR)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Organization</td>
<td>Audit Report Number</td>
</tr>
<tr>
<td>Site/OIN</td>
<td>NCR Number</td>
</tr>
<tr>
<td>Issue Date</td>
<td></td>
</tr>
</tbody>
</table>

#### Step 2 – Supplier Rep

**Nonconformity Details**

<table>
<thead>
<tr>
<th>AGMS Standard/Revision</th>
<th>Rev.</th>
</tr>
</thead>
<tbody>
<tr>
<td>9100</td>
<td></td>
</tr>
<tr>
<td>9110</td>
<td></td>
</tr>
<tr>
<td>9120</td>
<td></td>
</tr>
</tbody>
</table>

**Applicable requirement:**

- Process/Process Element
- Statement of Nonconformity
- Objective Evidence
- Containment Required
- Due Date

**Auditor:**

- **Step 1 – Aerospace Auditor**
- **Step 2 – Supplier Rep**

**Organization Representative:**

- Signoff

**Containment Action:**

- Corrective Action(s):
- Planned Completion Date:
- Actual Completion Date:

**Root Cause:**

- Corrective Action(s):

**Organization Representative:**

- Date:

**Auditor Acceptance:**

- Date

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**Step 3 – Supplier Rep**

- [containment where applicable]

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**Step 4 – Aerospace Auditor**

**Step 5 – Aerospace Auditor**

**Step 6 – Lead Auditor**

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**Disclaimer Statement**

This audit was conducted based on a sampling process of the available information.

9101 FORM 4 (12 Oct 2016)
# 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></td>
<td>Auditor completes Form 4 (NCR) and confirms it is done by signing off (Auditor).</td>
<td>16</td>
<td></td>
<td>CB</td>
</tr>
<tr>
<td>1</td>
<td>If Auditor or CB modifies Section 1 after it is submitted to the supplier.</td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>2</td>
<td>Supplier Rep Acknowledge receipt of NCR report (Organisation Representative)</td>
<td>17</td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>3</td>
<td>Supplier Rep Submits &quot;Organizations Planned Actions&quot; for review by auditor by filling in applicable fields and signing off (Organisation Representative)</td>
<td>28</td>
<td></td>
<td>No</td>
</tr>
</tbody>
</table>
## NCR's Notifications

<table>
<thead>
<tr>
<th>Steps</th>
<th>Event</th>
<th>Form Box #</th>
<th>Notes</th>
<th>CB Audit Entry</th>
<th>Supplier</th>
<th>Auditor</th>
<th>Lead Auditor</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>Auditor accepts the actions documented in Form 4 - SECTION 2 – ORGANISATION’S PLANNED ACTIONS</td>
<td>No</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td></td>
<td>Auditor rejects the actions documented in Form 4 - SECTION 2 – ORGANISATION’S PLANNED ACTIONS</td>
<td></td>
<td>Auditor rejects the actions documented in Form 4 - SECTION 2 – ORGANISATION’S PLANNED ACTIONS</td>
<td>No</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td></td>
<td>Containment Action Planned Completion Date <strong>exceeded</strong></td>
<td></td>
<td>Clear the previous step3</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td></td>
<td>Corrective Action Planned Completion Date <strong>exceeded</strong></td>
<td></td>
<td>OASIS will send a <strong>daily</strong> corrective action reminder if 1 - Form 4 box #14 containment required is identified as &quot;yes&quot; 2 - Form 4 box #21 planned completion date is exceeded <strong>AND</strong> the actual completion date Form 4 box #22 is not filled in.</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>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</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
</tbody>
</table>
NCR's Notifications

<table>
<thead>
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<th>Steps</th>
<th>Event</th>
<th>Form Box #</th>
<th>Notes</th>
<th>Notification Goes To</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>If Originating auditor <strong>approves</strong> and signs off (Auditor Acceptance)</td>
<td>29</td>
<td></td>
<td>CB Audit Entry Admin Supplier Rep Auditor Lead Auditor</td>
</tr>
<tr>
<td>5</td>
<td>Need to enter &quot;reason for rejection&quot;</td>
<td>No</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td></td>
<td>If Originating auditor <strong>rejects</strong></td>
<td></td>
<td>No</td>
<td>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>No</td>
<td>Y</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>CB Audit Entry Admin Supplier Rep Auditor Lead Auditor</td>
</tr>
<tr>
<td></td>
<td>Need to enter &quot;reason for rejection&quot;</td>
<td>No</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td></td>
<td>Lead auditor <strong>rejects</strong> NCR completeness</td>
<td>32</td>
<td></td>
<td>CB Audit Entry Admin Supplier Rep Auditor Lead Auditor</td>
</tr>
</tbody>
</table>

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## NCR's Notifications

<table>
<thead>
<tr>
<th>Steps</th>
<th>Event</th>
<th>Form Box #</th>
<th>Notes</th>
<th>Discussion Originator</th>
<th>CB Audit Entry Admin</th>
<th>Supplier Rep</th>
<th>Auditor</th>
<th>Lead Auditor</th>
</tr>
</thead>
<tbody>
<tr>
<td>Misc</td>
<td>Discussions and responses to discussions</td>
<td></td>
<td></td>
<td>Y</td>
<td>No</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td></td>
<td>Attachments</td>
<td>Adding an attachment to an NCR</td>
<td></td>
<td>No</td>
<td>No</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td></td>
<td>Auditor Deletes an NCR before it is assigned to a supplier for review/action</td>
<td></td>
<td>The status is WIP..</td>
<td>No</td>
<td>No</td>
<td>No</td>
<td>No</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>Y</td>
<td>No</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
</tbody>
</table>