Dear Auditors,

There have, over the last few months, been a handful of repeated questions and issues in regards to the completion of audit documentation in OASIS for AQMS:2016 audits. Below, we will address several of these issues:

1. **QMS Matrix processes**

   There was some question from our auditors and reviewers as to which processes needed to be listed in the QMS Matrix. After discussion with ANAB, we offer the following interpretation:

   All processes must be listed in the QMS Matrix for each audit, not just the processes being assessed at the current audit. If a process is not evaluated, then it must be marked as “N/E”. OASIS provides functionality to populate the entire process column by clicking on the lightning bolt icon and selecting “N/E”.

![Image of QMS Matrix process](image-url)
2. **NCR submittal in OASIS**

Remember that there is no “Submit” button for the client to press in order to submit their responses to you for review. Instead, NCRs are submitted by the client populating the signature blocks at the bottom of each section of the NCR. If either you or the client need to make a change to an NCR section that was already submitted, then the signatures must be removed. The office cannot do this for you.

Please remember that it is the responsibility of the lead auditor to track NCR response due dates. PRI requires that clients submit all responses within 20 days from the end of the audit; AS9104/1 requires that the lead auditor be in agreement with the client on those responses by 30 days from the end of the audit. In the case of a multisite, “the end of the audit” is defined as the last day of the site visit. We suggest either marking due dates on your calendar for follow-up, or utilizing the NCR export spreadsheet available through OASIS.

3. **NCR rejection statements**

If you reject a client’s response in OASIS, you have the opportunity to enter a rejection statement; however, once the client has re-submitted a new response, the rejection statement is lost. IAQG is aware of this issue, and we understand that they are working to correct it.

However, in the meantime, PRI Registrar is requiring that any discussion between the auditor and client, including rejection statements, must be captured in the NCR Discussion tab.

4. **Containment**

There is currently no way for clients to submit their containment action and correction separately from the rest of the NCR in OASIS. As such, this is no way to demonstrate that the containment deadlines are being met. As with the rejection statements mentioned above, IAQG is aware of the issue and are working to correct it.

In the meantime, auditors must instruct clients to document the submittal of their containment and correction via the NCR Discussion tab. Auditor acceptance or rejection must also be documented there.

5. **Audit scope**

IAQG recently sent out a notice to all OASIS users regarding a change in the functionality of OASIS, as it relates to the audit scope in the Form 5 – Stage 2 Audit Report. While this change will have no real impact on the auditor’s
completion of the IAQG forms, it has clarified to us IAQG’s intent and will prompt some changes to PRI Registrar’s expectations and internal paperwork.

Through this change, IAQG has made it clear that Box 22 of Form 5 is to be populated with the audit scope, rather than the scope of certification. While it is entirely permissible for these to be the same, it is not a requirement. Therefore, since OASIS does not specifically provide the auditor with the opportunity to confirm the scope of certification, PRI Registrar will be adding this into our internal paperwork, so as to ensure that we are consistently capturing and verifying an accurate scope of certification.