Nonconformities Workbench 11

Nonconformities: Workbench 11

Workbench Compliance and Standards Management Solutions

Workbench Professional and Quality Workbench are the flagship products of Ideagen Software Limited, who have been leading the way in software solutions aimed at Document, Compliance and Standards management since 1993.

Ideagen is an ISO 9001-2008 and TickIT registered company based in the heart of Derbyshire, England. Company Registration Number: 3505254

See our website for further information: www.ideagen.co.uk

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1 Introducing Workbench

Workbench is a collection of software modules designed to assist in the implementation and smooth operation of day to day management control. The overall system consists of the following:-

- Audits
- Customer Care
- Document Control
- Nonconformities
- ReportQuest **
- Test and Calibration
- Training

** ReportQuest is different in concept to the other modules; it is a ‘plug-in’ rather than a 'stand alone' module. It integrates with all other modules and utilises the information stored in them.

Each module (apart from ReportQuest) has been carefully designed to be a powerful individual management aid and for many organisations it may be entirely appropriate to run any on a ‘stand-alone’ basis. There is, however, considerable integration between the different modules and this could offer many benefits to organisations running a comprehensive quality or other compliance management system. Any company that wishes to adopt a ‘phased’ implementation can add modules to the system as and when required.

The System Manager and Personnel modules are installed as an integral part of all other modules. The System Manager module handles most of the system's security and it is envisaged that access to this module will be restricted to the system administrator and/or personnel with the highest security clearance. The Personnel module maintains a centralised database of personnel that can be accessed by every installed module; again it is suggested that access to this module be restricted.

Each module has its own electronic reference manual and on-screen Help system that is context-sensitive; these guides should not, however, be seen as a substitute for professional advice and training. Workbench is designed to be extremely easy to use in its daily operation but the preliminary setting up of a module can be relatively complex. We urge taking appropriate advice in these circumstances wherever possible, particularly where some doubt exists as to the best method of achieving specific business aims with the software.

The Help files assume that you have either Workbench Professional or Quality Workbench with all optional areas licensed. Any areas not licensed, will not be available.

1.1 Overview of the module

The Nonconformities module in Workbench has been designed to cater for a wide range of business activities that are based on the need to record and control a business issue that may have a number of corrective actions associated with it.

Quality Management ‘Nonconformities’ are an obvious example, yet ‘Accidents’ reported as part of a Health and Safety system or an ‘Uncontrolled Release’ in an Environmental System are equally applicable to this module.

The features of the module allow you to cope with the most complex situations that may be required, but they will also suit the smallest of organisations, perhaps even a single user PC.

A Nonconformities report form, which can be printed from a template, makes entering the data into Workbench extremely easy and a Quick NCR Wizard option allows quality managers to record and complete all details of a nonconformity in one simple operation.

The abbreviation 'NCR' is used in many instances for Nonconformity / Nonconformities.

1.1.1 What is a Nonconformity

A Nonconformity (NCR) or non-conformance is basically an observed deviation from an organisation's stated quality aims and standards as defined in its Quality Manual and associated procedures. It may reflect the breakdown of a procedure or a defective product (a 'nonconforming product').

The Nonconformities module from Workbench encourages the recording of nonconformities and then charts the subsequent steps taken to rectify the problem; these corrective steps are referred to as 'corrective actions'.

In this way the data of nonconformities is built up over time and can be of immense management benefit in identifying patterns of problems: it may then be used to implement longer term quality system improvements.

1.1.2 Nonconformity processing cycle

Nonconformities move through a basic processing cycle comparable to document approval in the Workbench Document Control module. The cycle takes a nonconformity from its initial reporting through to the successful implementation of corrective actions and eventual sign-off by senior management when dealt with satisfactorily.

The cycle has been deliberately designed to cope with the most complex problems a company may find itself confronted with, perhaps highlighting a serious nonconformity which requires the involvement of many personnel, multiple corrective actions with individual sign-off lists and a thorough review before final sign-off. Perhaps several stages of re-working corrective actions may also be necessary before approval can be given. The Workbench Nonconformities module controls all of this.

Wherever possible, each routine that potentially moves either a nonconformity or corrective action through the cycle is a separate menu item. This means, at the most basic level, any routine can simply be switched off for users who either do not need it or should not be granted it for security reasons.

In practice, of course, many nonconformities may be relatively minor and can move much more simply and swiftly through the cycle. Maybe the nonconformity can be accepted exactly as reported and move immediately to the assignment of only one corrective action that can be implemented and checked by the same individual (ie. they are allowed by the system to effectively approve their own work). The action can then be signed off and the nonconformity marked Ready for sign-off. This straight-forward procedure is facilitated by the system just as easily as a complex one.

However, the design of Workbench acknowledges that, in some smaller organisations, the above procedure may still seem long-winded. The system therefore provides an integrated routine entitled Quick NCR Wizard that allows authorised users to report, action and sign off a nonconformity in one stage and, as its name implies, is very quick and easy to use. Because of this, it is also useful for retrospectively recording completed nonconformities.

Administrators of those companies wishing to use only the more comprehensive processing cycle can simply deny access to the Wizard menu option (for all or for selected personnel) therefore forcing nonconformities through the individual processing stages.

1.1.3 Nonconformity status progression

Nonconformities move through the following status progression from first reporting to purging (where required):-

- **Unconfirmed** (Reported) - nonconformities will remain in this status until either accepted or rejected at assessment.
- **Accepted** (Open) - all nonconformities that have been accepted at assessment stage will remain Open whilst being processed.
- **Rejected** (Rejected) - after being rejected at assessment, nonconformities will have this status until purged from the system.
- **All corrective actions completed** (Open) - when all corrective actions attached to a parent NCR have been marked as Completed (or Abandoned), the nonconformity will have this status until its final review.
- **Awaiting sign-off** (Closed) - when an NCR has been marked as Ready for Sign-off at its final review it will then have Awaiting Sign-off status until signed off.
- **Sign-off completed** (Closed) - after being signed off by everyone on the sign-off list (if one exists) the nonconformity can now only be viewed, withdrawn or purged from the system.
- **Withdrawn** (Closed) - after being withdrawn, a nonconformity can only be viewed or purged from the system.

A nonconformity does not necessarily move through this progression smoothly - it may revert back at certain points to an earlier status (eg. if it fails to obtain the final necessary sign-off).

Once raised, a live nonconformity cannot be deleted. The system contains a Purge facility that can be run at any time and optionally removes, at the administrator's (or owner's) discretion, nonconformities with either Rejected or Closed status.

See also: Nonconformity life-cycle

1.1.4 Corrective action status progression

Corrective actions, like nonconformities, move through a progression from assignment to final sign-off:-

- Assigned
- Accepted
- Rejected
- Completed
- Signed Off
- Abandoned
- Signed Off as Abandoned

As with nonconformities, corrective actions may revert back to a former status if they 'fail' at any stage - see Corrective action life cycle.

1.1.5 Nonconformity analysis

Ultimately the existence of nonconformities within a Quality Management System indicates that the system is not running entirely smoothly. The severity and frequency of those nonconformities will determine whether this becomes a serious concern for management intervention. The key to this process is accurate and timely analysis of nonconformity data.

The module aims to facilitate the monitoring of nonconformity incidence in two ways:-

- Firstly, great emphasis has been placed on allowing you to define, analyse and describe nonconformities in the terminology you choose. Wherever possible definitions and descriptions are made and set up by yourself and are therefore under your direct control.
- Secondly, the reporting facilities in the system provide a great deal of flexibility in defining the precise range of data in which you are interested. This makes the identification of troublesome areas or potential flaws in the operation of the quality system much easier and speedier.

1.1.6 Nonconformities and messaging

The Nonconformities module fully supports the mail and messaging mechanisms found throughout Workbench. These allow the processing of messages through external e-mail systems (for a full discussion see External mail systems).

Additionally, the system maintains Tasks and Notifications buttons on the main tool bar which notify relevant users of the progress of a nonconformity and/or inform them of tasks which they are required to perform (see Nonconformities messages). Figures alongside these buttons are constantly up-dated and a yellow light bulb indicates when new messages arrive. These messages are automatically generated by the program and may be for either action or information only purposes.

As all messaging mechanisms are highly configurable, a close fit to your preferred way of working and communicating can always be achieved.

1.1.7 Access and security

The module can be configured so that only individuals or groups with access can report, assess and/or process nonconformities. This means that unauthorised personnel can be prevented from viewing specific records where this is contrary to company policy.

Access is controlled by the administrator using the System Manager module.

Further controls allow the system administrator to configure System Wide and Nonconformities specific settings from the Workbench Configuration Centre - see Nonconformities workflow settings.

1.2 Updates for Workbench 11

Workbench 11 includes several updates that have been introduced at the request of current users and are intended to enhance the product and give greater ease of working. None of the existing functionality of Workbench has been removed. Access settings for each area of configuration have been retained; visibility and access to changes will still depend on access rights.

NB. **Wherever reference is made (in Help topics) to the 'system administrator' this includes any user who also has access to the relevant options in the System Manager module. However, because the configuration options are so many, we strongly advise that access to the System Manager is very strictly controlled.**

Each relevant Help topic covers any changes in detail, but the main new system-wide updates and those affecting the Nonconformities module specifically are listed here.

System wide - general updates

The following general system updates have been added to Workbench 11.

- A new workflow setting *Automatically delete completed tasks* is switched off by default; if checked, then all completed tasks will automatically be deleted.
- A warning appears if the Caps Lock is on whilst typing a Password. This applies to the Workbench Login dialog and all other dialogs where a password is required.
- User Defined Analysis labels have been increased to accept up to 255 characters.

Nonconformities module

A major new feature in the Nonconformities module is the addition of **NCR Action Templates**. This function offers you the ability to assign automatically a set of actions based on a business rule.

The following features have also been added for Workbench 11. For full details, please see the relevant Help topics in the Nonconformities module.

- A new menu item **- Report Assessed NCR -** works in exactly the same way as **Report Assessed Complaint** in the Customer Care module. This means that reporting and assessing an NCR can be done at the same time providing that the reporter also has rights as an assessor or if the NCR has already been assessed prior to its entry into the system.
- The **NCR Severity** field can now be made mandatory via a new workflow setting.
- **Report NCR** and the **NCR Wizard** will now have **Customer** and **Contact** fields (as in the Customer Care module) and these can be made mandatory via a new workflow setting. The same customer and contact records will be referenced by both the Nonconformities and Customer Care modules.
- A User-defined Action button has been added to the **Report NCR** and **Report Assessed NCR** dialogs.
- Another new, separately licensed area enables you to report an NCR offline via a form, without connecting to a database. The form is then emailed to a Workbench user as an .eqm file which, when opened, fires up Workbench and automatically populates the NCR.
- The **NCR Final Review** option (**Mark Nonconformity Ready for Sign-off** dialog) now includes a **Schedule Course** button which takes you directly to the **Create Scheduled Course** dialog.
- There is now the option for a nonconformity to reference several other NCRs. When first reporting an NCR, the new page tab is labelled **NCR References**; once the NCR has been reported, the page tab is labelled **References** and includes both Document and NCR references.
- When creating action plans or assigning corrective actions you may flag up if an action is considered to be the 'root cause' of an NCR. The *Is Root Cause* check box appears on the **Create Action Template** and **Assign Corrective Actions** dialogs and defaults to unchecked.
- You may now assign **User Defined Analysis** to corrective actions; this is an option for ALL actions but may be particularly useful in conjunction with Root Causes (see above). These are set up in the **Settings** menu just like Nonconformity UDAs and then selected when configuring the corrective actions.

1.3 Nonconformities module menus


After logging in, the main Workbench window will appear, allowing access to all licensed modules. A right-click menu enables you to show or hide the Calendar button, Menus, Modules, Notifications button, Speedbar (Speed buttons) and/or Tasks button independently. **NB**. The option to display a Web Page as a back-drop to Workbench is controlled by workflow settings.

You may configure the main Workbench screen by moving different menu bars - to do this, grab the small vertical bar to the left of any individual menu bar and drag the whole thing to its new position. Any re-arrangement will be saved locally so that an individual user's set-up will be retained.

Click on the Nonconformities module button to view its main window.

The main menu has eight headings - three of which (File, Module, Help) are common to all modules.

The other five headings and their menu items run the module and are described briefly below.

Record menu

The items in this menu are specific to the Nonconformities module.

The first two menu items are used for recording a nonconformity either as an 'alleged nonconformity' in the **Report NCR** option or via the **Quick NCR Wizard** that allows authorised users to record, action and sign-off a nonconformity in one dialog.

The next menu item, **View NCR**, allows you to view any current nonconformity regardless of its status or how it was first reported (ie. using the main processing cycle, the Quick NCR wizard or raised from another module).

The final two items allow you to view the progress of sign-offs both for nonconformities and their corrective actions.

Control menu

The nonconformity processing cycle is handled by the Control menu once a nonconformity has been reported; this menu takes the nonconformity from assessment through processing corrective actions, and finally to sign-off by senior management.

Most routines that potentially move a nonconformity or corrective action towards sign-off are controlled by separate menu items which means that they can easily be switched off by the System Manager if necessary.

The Control menu also offers the facility to purge NCRs that have been rejected or completed.

Settings menu

Certain information that will be required in the initial nonconformity report must first be set up in the Settings menu ie. NCR Types, Sources, Severity and User-definable analysis, plus Product and Supplier information. These are not mandatory fields when reporting the nonconformity but if they are needed they cannot be set up anywhere other than the Settings menu. Types of corrective actions may also be defined here.

If the Rules option is switched on in the **Workbench Configuration Centre**, Default Business Rules and Business Rules may be configured from the Settings menu. If Rules are not switched on, the option will not appear in the Settings menu at all.

On Behalf Of

This menu allows users with appropriate access rights to perform various tasks on behalf of another user.

Initially a list of personnel is shown. After selecting first the user for whom they wish to perform the task and then the relevant record, dialogs function in exactly the same way as those in the Control menu.

Reports menu

The Reports menu makes provision for different types of report to be viewed, saved to file and/or printed. Information on nonconformities or corrective actions can be summarised or shown in detail, making it easy for managers to identify any emerging patterns of problems.

The NCR Graph Wizard displays NCRs, in graph form, which meet user-defined criteria and have been reported within specified periods of time.

A blank NCR report form is also available here, which can be printed out so that NCR details are recorded consistently and in a format that makes entering the required data into Workbench very simple.

For users with appropriate access rights, reports generated by ReportQuest can be accessed (read-only) from this menu.

1.4 System menus

Several menu options are common to more than one Workbench module:-

- The File, Module and Help menus are always present on the main menu structure, irrespective of the particular modules you have purchased and installed.
- The Product option (Settings menu) is used by the Customer Care, Nonconformities, Test and Calibration modules.
- The Suppliers option (Settings menu) is used by the Audits, Customer Care, Nonconformities, Test and Calibration, and Training modules.
- The User Defined Analysis (UDA) option is also found in the Settings menu of individual modules and can be set up for different areas ie. Personnel UDA in the Personnel module, Supplier and/or Course UDA in the Training module. The only modules that do not use User Defined Analysis are ReportQuest and the System Manager module.
- User Defined Reports can be accessed from all modules apart from Personnel and System Manager.

1.5 Personnel module

This module is installed as an integral part of all other modules. It is dedicated to maintaining a centralised database of all personnel, accessible to every other installed module. It is responsible for setting up and maintaining the history of all personnel including Workbench users.

It is highly recommended that you establish your personnel records before beginning to use other modules in the system as the records are referred to and used throughout Workbench.

1.6 System Manager module

This module is installed as an integral part of all other modules. It is a vital area of Workbench as it handles much of the system's security by granting or revoking access to menu items for individual users or groups of users (Access Templates). After granting access at menu level you may have a further option to determine what rights the user has in a given dialog (eg. read-only, ability to add new records etc.). Overall this gives you extremely tight control over which users can access which part(s) of the system. The dialog used to control access is designed to make this administration task as easy as possible.

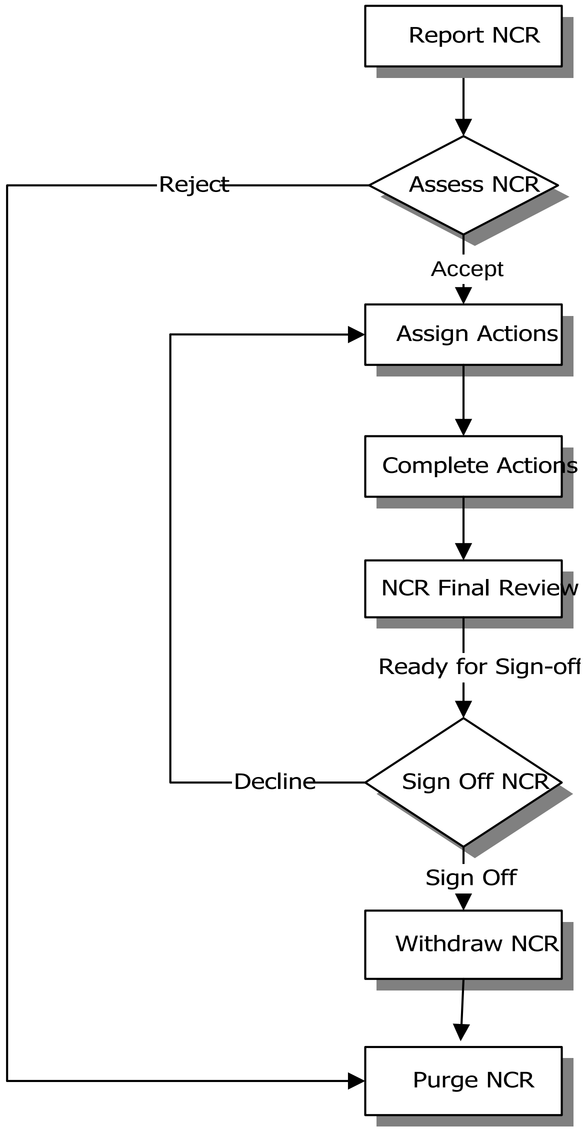
An additional benefit of such tight control is the sheer convenience it offers. Presenting users with precisely the menu options they need to do their work is much clearer and less confusing for them than being faced with a whole list of irrelevant (for them) menu options.

The **Workbench Configuration Centre** is also housed within the System Manager module and presents all Workbench globally configurable options in a single dialog. This means that the administrator can locate the required function quickly and will soon become aware of all elements that are configurable.

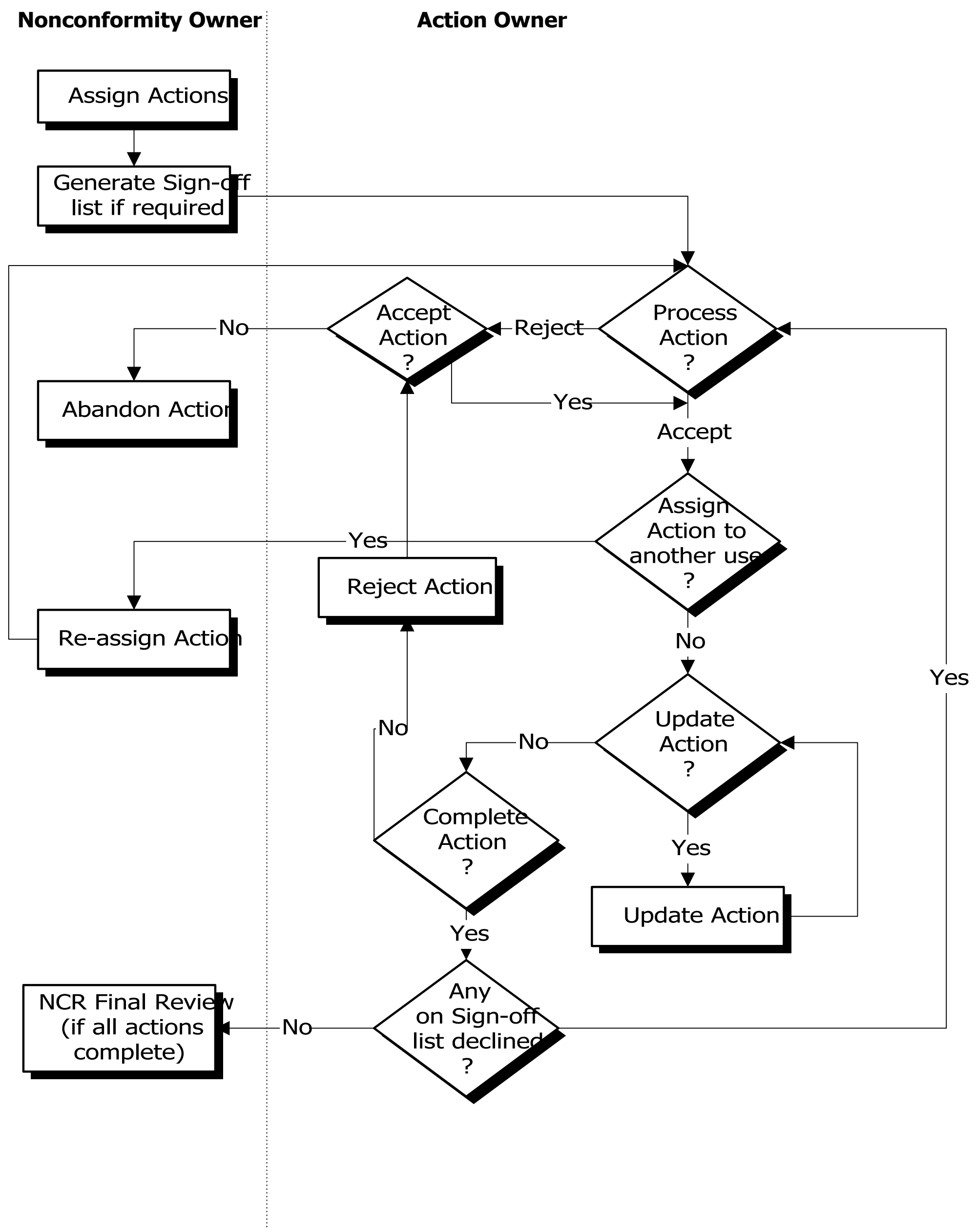
The Configuration menu also controls the maintenance of user passwords, the organisation of departments and personnel groups, the prioritising of tasks and the menu option allowing the reassigning of responsibilities, especially useful when a user is leaving the company. Locked out users are also restored here.

NB. Wherever reference is made (in Help topics) to the 'system administrator' this includes any user who also has access to the relevant options in the System Manager module.

1.7 Nonconformity life cycle



1.8 Corrective action life cycle



2 Common features and routines

Workbench uses certain common routines and techniques throughout the system; a familiarity with these will greatly assist your initial explorations of the software.

2.1 Altering the width or order of columns

On certain dialogs in Workbench, mainly **Select** dialogs, you may grab the lines separating columns **in order to make the columns wider or narrower...**

1 Using the mouse, point the arrow at the chosen line within the title bar.

2 When the head of the arrow changes to a small double vertical line with black arrows pointing outwards, click on the line.

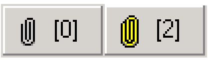
3 Drag the thickened line to its new position and the chosen column width.

It is also possible in some dialogs to arrange the columns in a different order...

1 Click and hold down on the heading of the column you wish to move. A black vertical line will appear at the left hand side of the column.

2 Drag to the right or left until the column jumps to its new position.

2.2 Attachments



The Attachments button appears throughout Workbench and will usually be situated at the top right of a dialog and shows a paper-clip symbol with a number in brackets alongside. When no attached files exist, the 'paper-clip' will be black and the figure will be (0). When attachments exist, the paper-clip is yellow and the figure alongside shows how many attachments there are.

Files may be attached to a number of records in Workbench; these files are stored within the normal Workbench database and are accessible via the record to which they belong. Examples of the usage of attachments might be scanned evidence for NCRs, customer letters in the Customer Care module, external certificates in the Test and Calibration module, feedback forms and certificates in the Training module etc.

Access to attachments relates entirely to the access rights to the parent record. **New**, **View**, **Edit** and **Delete** buttons will be visible and active dependent upon the logged-in user, the status of the parent record and whether attachments already exist. You may only add, edit or delete attachments if you have edit rights to the parent record. Users with **View** rights may view attached files but cannot edit or delete them.

Regardless of the module and routine you are accessing the Attachments Form from, the dialog works the same. The header changes according to the appropriate module / routine - **Complaint Attachment Form**, **Change Request Attachment Form**, **Review Attachment Form** etc.

Adding a new attachment

Modifying an existing attachment

2.2.1 Adding a new attachment

Files may be attached to many records in Workbench; these files are stored within the normal Workbench database and are accessible via the record to which they belong.

1 Click on the Attachments button in any relevant dialog. The **Attachment Form** will open. The top part of the dialog gives details of the complaint / change request / review etc. that the Attachment relates to.

2 The middle part of the form, Attachments, shows a list of files (if any) already attached to the Complaint / CRQ / Nonconformity etc. To add an Attachment, click on the **New** button. An Attachment Number will be generated by the system and will appear in the bottom part of the form, Attachment Details. The **File Name**, **Attachment Title** and **Extension** fields will then all become mandatory.

Every area where Attachments apply will start from '1' and further Attachments will be numbered sequentially. If an Attachment is deleted there will be a gap in the run of numbers, ie. each Attachment keeps its original number for its 'life-time'.

(The Attachment Number and Attachment Title in the middle part of the form will be entered automatically once the bottom part of the form has been completed and the Attachment saved.)

3 You may also import a Workbench document (subject to required access rights) as an Attachment. These may then be used and edited to highlight changes (when raising a change request) or reasons for rejection (when rejecting a document).

Click on the **Workbench Documents** button to invoke the **Select Document as Attachment** dialog from where you may select the relevant document to attach.

All the fields on the bottom part of the **Attachment Form** will be filled in automatically if a Workbench Document is selected as an Attachment, but all may be amended apart from the *Attachment Number* and the *File Name*. Copy in red will also be added, stating that the Attachment is a copy of a Workbench Document and giving the date and time when the copy was taken. Be aware that the Attachment is a COPY and any subsequent amendments to the actual document still stored within Workbench will not be updated to the Attachment.

IT IS VERY IMPORTANT TO NOTE THAT BY ATTACHING WORKBENCH DOCUMENTS IN THIS WAY, USERS WHO MAY NOT NORMALLY HAVE ACCESS RIGHTS TO THE ATTACHED DOCUMENT MAY NOW BE ABLE TO SEE IT. ‘Normal’ document access rights will be surrendered once a Workbench document becomes an Attachment - the access rights governing whatever it is attached to, take over control of who may view the copy.

4 If you are not attaching a Workbench document, go to the bottom part of the form, Attachment Details, and enter a mandatory **File Name** and **Extension**. (If you use the **...** button to browse and select the file name, the extension will be entered automatically.) Editing and Viewing Options (if applicable - see Document Control **| Master templates**) will also be entered automatically once an extension has been entered.

5 Give the attachment a mandatory **Attachment Title**; this can mimic the File Name or be something much simpler. The Attachment will be referred to by this title throughout its life.

6 Add any **Notes** and **Save**. The Attachment Number and Attachment Title will be copied up to the middle part of the dialog.

NB. If, for any reason the **Save** button is not enabled, use the **Close** button to come out of the dialog(s) and you will then be asked if you want to save the attachment(s).

To cancel the new attachment before saving, use the **Cancel New** button.

When a new attachment is added, an appropriate entry will be made to the document's History log.

2.2.2 Modifying an existing attachment

You may only edit or delete attachments if you have edit rights to the parent record.

1. Click on the Attachments button in any relevant dialog. The **Attachment Form** will open. The top part of the dialog gives details of the complaint / change request / nonconformity etc. that the Attachment relates to.

2. The middle part of the form, Attachments, lists existing attached files. Highlight the required Attachment to edit (if more than one) and click on the **Edit** button. Remember to save the changes to the actual Word document after you have edited it and then save again for the Attachments change in Workbench.

   If the list of attachments is long, use the Search button to search either Attachment Number (F3) or Attachment Title (F4).

3. To edit Attachment Details, simply highlight the required Attachment (in the middle part of the form) to bring up its details in the bottom part of the form. Modify the selected attachment details as required and / or add further notes and **Save**.

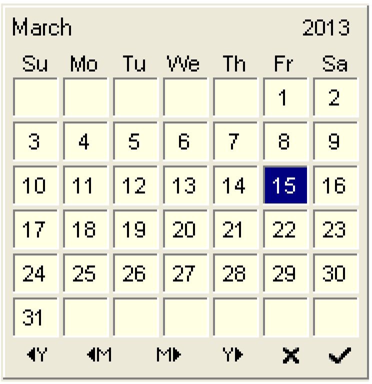
   NB. Any edits to the actual attached document will not be saved until the **Attachment Form** itself is saved.

The **View** button allows you to view the attached document. The **Delete** button (if present) allows users with edit rights to the parent record to remove an attached document.

Modifying or removing an attachment will write an appropriate entry to the History log of the relevant document.

2.3 Date button

This button gives you a visual aid to plan dates; it displays the current date when first opened.



To alter the date, click on the relevant new day in the main window.

Browse previous months(M) or years(Y) with the bottom left arrows.

Browse future months(M) or years(Y) with the bottom right arrows.

Click the tick to enter the selected date in the box next to the Date button (in the correct format). Click the cross to close without entering a date.

Alternatively you can simply select the correct month and year and then double-click on the required day. The calendar will close and the chosen date will be entered automatically in the box next to the Date button.

2.4 Double-clicking & right-clicking

When first getting to know the module it is worth checking to see if double-clicking will save time in any of the operations. Most Workbench programs support double-clicking in a variety of ways; it is left to the user to decide which of these may benefit their way of working.

Right-clicking on the window of a record sometimes displays a pop-up menu offering an option to print, or direct access to other parts of the module or to other modules.

2.5 Four figure year dates

The Workbench system year dates are always shown as four figure numbers, ie. 2013, not just 13. It will be easier if your version of Windows is configured in the same way; if you are not sure how to do this, please refer to your Windows manual.

NB. If your Windows settings are set to two digit year dates, the system will force you to use four digits when a date is entered.

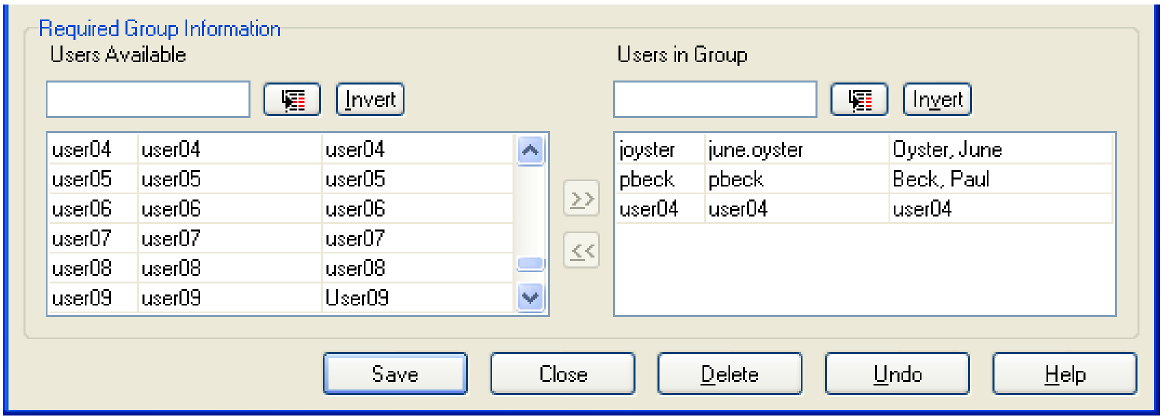
2.6 Grey type and closed fields

When type appears grey rather than black, it signifies that it cannot be edited. Similarly, fields that appear solid or 'closed' cannot be entered.

Both these cases occur when their use would not be appropriate, eg. grey type because a record cannot be altered; closed boxes when the field is not applicable in certain circumstances.

2.7 Groups / Lists

Workbench uses a common routine to add / remove names to / from lists. This routine is used for setting up groups, templates, departments, suppliers etc.



1 In the left hand list (eg. Users Available), highlight the name(s) you wish to add to the selected right hand list (eg. Users in Group). More than one consecutive name can be highlighted at the same time using the keyboard **Shift** key; highlight more than one name not listed consecutively, using the **Ctrl** key.

2 Click on the central add **>>** button and the name(s) will transfer to the right hand side.

Alternatively, simply double-click on the required name(s) to move them from one side to the other.

Where the list of names is long, you may use the Search button to search for known personnel. If you wish to select the majority of names from a list, use the Invert button.

To remove selected names, highlight in the right hand list and click on the central remove **<<** button (or double-click).

2.8 Invert button

There are many situations in Workbench where you may wish to select one or more records from a list of available ones; eg. you may be asked to select all users in a specific group from a list of all available users. Selecting such a group is simply a matter of highlighting the names you require.

The Invert button reverses the selection you have made, ie. it ‘de-selects’ the highlighted records and highlights the rest. This is very useful when you wish to include the majority of a list - you can select a few records on an exclusion basis and then quickly invert the list.

Where appropriate, you may select a consecutive group of names by depressing the keyboard **Shift** key whilst making the selection; names which do not fall consecutively can be selected at the same time using the keyboard **Ctrl** button.

2.9 Mandatory fields

Certain fields throughout Workbench are essential or mandatory; ie. until they are completed you will not be able to save the record you are working on.

Such fields are shown in blue and underlined, giving you an immediate visual indication that they are compulsory eg. **Login to which database?** and **Login** in the **Log on to Workbench** dialog.

Until all mandatory fields are completed, **Save** or **OK** buttons will be disabled.

2.10 Screen display & keyboard shortcuts

- You may configure the main Workbench screen by moving different menu bars - to do this grab the vertical line on the left of any individual menu bar and drag the bar to its new position. Moves are saved locally so that an individual user’s set-up will be retained.
- On every menu title in each module there is an underlined letter; this is the keyboard letter to press in order to invoke that menu. For example, the letter **F** in all **File** menus is underlined. Press the keyboard **F** (or **f** - it is not case sensitive) to open the **File** menu. In the Document Control module, the **D** is underlined in the **Documents** menu signifying that this is the key to press to open the **Documents** menu.

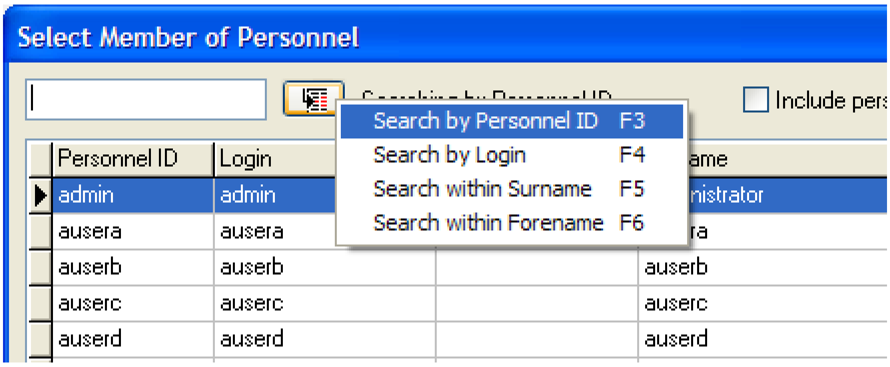
  You may then use the keyboard 'up' and 'down' arrows to select the menu option you require and then hit the **Enter** key to open the dialog, In this way you may move around the modules, menus and menu options without having to use the mouse.
- A right-click menu on the screen enables you to show or hide the Calendar button, Menus, Modules, Notifications button, Speedbar (Speed buttons), Tasks button and/or Web Page independently.

  NB. There are several workflow settings covering the usage and display of web pages, see Personal workflow settings (System Manager & Personnel Administration User Guide).

2.11 Search button

The search button is probably the single most widely-used feature throughout Workbench. Its purpose is to allow you to browse easily through records and locate the one you are seeking by whatever methods are appropriate to that information.

These search options will differ depending on the kind of information you are searching through. For example, searching for personnel offers searches by Personnel ID, Login or within Surname; simply use whichever is most convenient.



Right clicking on a Search button displays the search options available in a 'pop up' menu.

Each option on the menu has a keyboard shortcut; this may be quicker to use as you become more familiar with the system and its search options.

Simply left clicking a Search button defaults to the search method last employed.

To locate a specific record or set of records you must first key in the characters you wish to search on in the selection box to the left of the Search button. Then use the search method required from the menu (or the function key equivalent). For instance, typing in 'Hard' on a personnel search and choosing F5 (Search within Surname) will return all users with the characters 'Hard' within their surname, eg Hardy, Harding etc. If no matching records are found, a message is displayed to this effect.

Most search types look for exact matches to their respective fields. However some, as the example above, look for the string anywhere within the field. A good example of this is the search for a document 'within Title'. Here the system looks for whatever you have keyed in anywhere within the document's title. Thus a search for 'procedure' will find any document with that word in its title. This can be extremely useful when you are unsure of the exact wording of a document title.

Unlike the other search types, a search within a field is not case sensitive. The above example therefore will pick up documents with 'Procedure' or 'PROCEDURE' embedded somewhere within the title.

NB. To ensure that the whole list of records appear in any search dialog, the search field alongside the search button must be cleared before starting a new search. To do this, highlight any text there, delete it and then click on the Search button or activate one of the keyboard shortcut keys.

2.12 Search routines

The method for locating personnel records is a good example of the generic search routines found throughout Workbench. The **Select User**, **Select Complaint Type**, **Select Tester** dialogs etc. use the same routine. On certain Select dialogs there is an additional check box:-

- in **Select Member of Personnel** the extra check box determines whether the records returned by the search should include Leavers or be limited to just current employees. The system defaults to include only current employees, but Workbench does not delete leaving personnel; they are marked as having left and their records retained for historical purposes. The records are therefore available for this type of search should you need them (see example below).
- in **Select Departments**, **Document Categories** or **Document Types** (when accessed from the **Settings** menu) a check box at the top of the dialog allows hidden records to be shown. By default, hidden records are not shown in search grids. To reveal all records, including those that have been hidden, click on the *Show hidden Department* (or Category etc.) check box.

Searching for a record in Select dialogs (eg. Select Member of Personnel)

1. Select **Record** | **Personnel** in the **Personnel** module.
2. Anyone who has a leaving date entered in their records will not, by default, be included in the search. If you wish to include Leavers, please check the box - *Include personnel who have left.*
3. In the **Select Member of Personnel** dialog, select the required member of personnel (or Complaint Type, Category etc. if appropriate) using one of the following three methods:-
   - use the Search button to search for a known member of staff (or Complaint Type etc.)
   - highlight the required name (scroll if necessary) and click **OK**
   - double-click on the required name.

The chosen record will then open.

There is normally a **New** button on **Select** dialogs, allowing you to set up new records. However, new personnel records must be set up in **Record | Personnel** in the Personnel module.

2.13 Sorting and ordering

The symbols shown on the column headers below show which column is controlling the sort - and whether this is in ascending or descending order. The column that has an arrow and one short horizontal line alongside (as opposed to two short horizontal lines) is the one controlling the sort and the arrow indicates whether the order is ascending or descending. In the example shown below, the grid would be sorted by the Search Code, alphabetically from A to Z.

ID	Search Code	Name	Course	Type	Start Date
5	allnewstaf	All new staff	First steps		12/05/2008
1	firstaidat	First Aid at Work	First Aid at Work	F_AID	24/07/2008

To move the sort to a different column, click on the required column header and click again to toggle between ascending and descending order. In the example shown below, the grid would be sorted by the Name column, alphabetically Z to A.

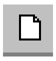
ID	Search Code	Name	Course	Type	Start Date
8	qualitywor	Quality Workbench	Quality Workbench	Management	15/05/2008
7	producttes	Product Tester	Product Tester	IT	07/04/2008

2.14 Speed buttons

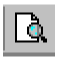
The most commonly used menu items in each module, apart from ReportQuest, have speed buttons (Speedbar). If required, these are shown on the main toolbar for each module and repeated alongside the relevant menu item. To show/hide, left-click on the required module and then right-click on the main screen.

If a user does not have access to a menu item that has a speed button, they will not be able to see the speed button.

Speed buttons used in the Nonconformities module are shown below.

 Report NCR

 Assign Corrective Actions

 View NCR

 NCR Final Review

 Assess NCR

 Quick NCR Wizard

2.15 User defined action button

The Customer Care, Document Control and Nonconformities modules each support a specific user-definable action (with a direct link to an editor) against appropriate complaints, documents and NCRs. For example, in the Customer Care module the action button could be used to automatically produce a letter of acknowledgement and apology; in the Nonconformities module it could be used to produce an incident form.

The user-defined action is set up by the system administrator on the **Module Settings** page of the **Workbench Configuration Centre**; the button that 'triggers' the action will then appear on relevant dialogs in the respective modules. When the button is triggered from any of these dialogs, the program writes all the requisite customer / complaint, document or nonconformity information to an easily accessible file and can optionally launch any application.

A History entry is also recorded whenever the button is clicked.

3 Preparing to report a nonconformity

Reporting a nonconformity is a simple and logical procedure and it is envisaged that it is likely to be performed by a wide range of personnel. Only minimal details are needed in order to record, assess and process a nonconformity; but the module also allows for the recording of much more information and/or comment that may help speed up effective processing of the nonconformity.

When reporting a nonconformity it is not mandatory to record any of the details that are set up in the **Settings** menu. However, these sources of information will give a fuller picture of the nonconformity where appropriate and because many of the Settings menu items are also used as topics for search filters and reports, their inclusion may help keep track of possible patterns of nonconformity.

3.1 Nonconformities workflow settings

Settings for the Nonconformities module are configured by the system administrator in the **Workbench Configuration Centre**. All use a simple on/off toggle so that if the check box is checked, the setting applies; if unchecked, the setting will not apply.

Changes made to any of these settings will apply only to nonconformities reported AFTER the settings were changed. The rules in action at the start of any individual NCR cycle will remain with the nonconformity throughout.

Configuring settings applicable to the Nonconformities module

1. From the **Configuration** menu in the System Manager module choose **Workbench Configuration Centre**.
2. On the **Workflow Settings** page expand the list of entries under the **System Wide** heading (click on the heading or click on the + sign alongside).
3. Go to **Module Settings** and then select the **Nonconformity Settings** entry.
4. Expand if necessary, highlight the relevant setting(s) (see below) and set as required.

- *Automatically add nonconformity reporter to sign-off list*. If this setting is checked, the person who reported the nonconformity will automatically be added to the NCR sign-off list and a History entry will be made.
- *Calculate NCR target date automatically*. When an NCR is reported you may manually select a target date by which the NCR should be resolved. To ensure that a target date is entered automatically, the *Calculate NCR target date automatically* setting should be switched on. Highlight this entry and check the *Use this workflow setting?* box below.
- To configure the actual target date, a value should be entered for the *Number of days added to NCR date reported for target date* (enabled when the top setting is checked). Highlight this entry and enter the required number of days in the **Setting** value field at the bottom of the dialog. When reporting an NCR, the system will now add this number of days to the date that the NCR is reported, calculate the target date and automatically enter it on the **Report Nonconformity** dialog. The calculated target date may, however, be amended at the time of reporting or assessing the NCR.

  If the *Calculate NCR target date automatically* setting is switched on but the *Number of days added to NCR date reported for target date* setting value is set to '0', then the target date will be entered as the end of the day that the NCR was reported.
- *Send a warning to the owner for incomplete NCRs*. Use this setting to set up an automatic warning if an NCR has not been completed within its specified time. If checked, the setting below will also be enabled, allowing you to set when a warning should be sent.

- *Number of days after NCR reported before warning is sent to owner*. This setting will only be enabled when the setting above is checked. If it is, enter the required **Setting value**. For example, if this is set at 14, after two weeks if the NCR has not been completed, the NCR owner will be sent the notification '14 days have elapsed since reporting NCR <number> and it is still outstanding'.

  If the **Setting value** is set to '0', no warnings will be sent.

- *Use nonconformity business rules*. To turn the Nonconformity module business rules on, highlight the relevant entry and check the *Use this workflow setting?* check box. If unchecked, business rules will not be used in this module.
- *Show users to whom tasks and notifications are sent*. Highlight this entry if you want users to be told when task and notification messages are about to be sent and to whom.
- *Show NCR Description in external mail*. This setting is unchecked by default. If checked, then each external mail message sent by the database will have the entire NCR description within the body of the e-mail.
- *Nonconformity user reference must be unique*. If this setting is checked, the system will force a **User Reference** (if used) in the Nonconformities module to be unique. If unchecked, any User Reference will be allowed in the module, regardless of whether or not it is already in use.
- *Display 'Reject' button in 'Assess Reported Nonconformity'* - the default setting. If unchecked, the **Reject** button in the **Assess Reported Nonconformity** dialog will be hidden which means that the prospective assessor may not reject the assessment.
- *NCR Severity is mandatory field,* when checked, forces the **NCR Severity** field to be mandatory. This setting is unchecked by default.
- *NCR Customer/Contact is mandatory field*, when checked, forces the **NCR Customer** and **Contact** fields to be mandatory. This setting is unchecked by default.
- *Allow remote NCR import.* If selected, allows you to set up an offline 'form' (a text file) for reporting NCRs that, when forwarded to a third party who has the Nonconformities module installed, will automatically populate the existing **Report NCR** form when Workbench fires up. The setting is unchecked by default.

5 When you have configured the settings as you wish, click on the **Apply** button. An information message stating that the preferences have been changed will follow and you may continue working with the dialog. Alternatively, click **OK** to save and close the dialog.

3.2 Corrective action templates

New for Workbench 11 is a separately licensed feature (**NCR Action Templates**) offering the ability to assign automatically, a set of actions usually based on a Business rule; to achieve this, templates are set up so that a different set of actions can be taken depending on the Business rule invoked.

If the **NCR Action Templates** feature is licensed then any action plans defined by the template(s) will automatically be offered for use - ie. the resulting action plan(s) can still be used even if Business Rules are not licensed or licensed but not in use.

Action templates will be applied to the NCR after it has been accepted at assessment stage. At this point you will be able to review the action plan and amend or abandon if required.

A History entry, Corrective Action <x> assigned to <x> via action plan by <x>, will be made when a new action plan is assigned. The assignee in **Report Assessed NCR** will automatically be the person who reported/assessed the NCR.

NCR Details and **Corrective Actions Details** reports will show when corrective actions have been assigned via an 'action plan'.

Setting up a corrective action template

1 Select **Settings** from the main Nonconformities menu.

2 Choose **Corrective Action Templates** from its pull-down menu to access the **Select Corrective Action Template** dialog.

3 Click on **New**.

4 On the **Action Details** page tab, type in a mandatory **Name** - the **Search Code** will follow automatically but can be changed.

5 If the action to be defined by this template will be seen as the Root Cause, check this box.

6 Enter a mandatory **Summary**.

7 Use the Attachments button to make any relevant attachments.

8 Fill in as many of the other fields as you wish. **Assigned to** is not mandatory at this point but if the action plan is accepted at assessment stage, then an assignee will become mandatory then.

9 If selecting a document, the **Attributes** and **View** buttons will be enabled allowing you to view the actual document and its attributes.

10 Click on **Save** after you have entered a new action type and continue inputting other new types or click on **Close**.

When you have finished inputting all the corrective action template details, click on the **Sign Off List** page tab. Here you may select users for sign off of the corrective action.

1 Add individual users by moving them from the top left hand side to the right hand side, by either double-clicking or by using the central arrows.

2 Add Personnel Groups in the same way but in the bottom half of the page.

When everything has been set up on the template as you want it, **Save**. The newly created template will now be listed in the **Select Corrective Action Template** dialog.

The templates will appear on a separate **Corrective Actions** page tab on the Default Business Rules and Business Rules if these are being used and can be selected/de-selected as required.

If Business rules are not being used, the **Approve/Edit Action Plan** dialog will still be shown immediately after an NCR has been assessed and accepted; you will then be able to review the action plan and amend or abandon if required.

See also: Assessing a nonconformity

3.2.1 Root cause

When creating action plans or assigning corrective actions you may flag up if an action is considered to be the 'root cause' of an NCR. The *Is Root Cause* check box appears on the **Create Action Template** and **Assign Corrective Actions** dialogs and defaults to unchecked.

When setting up an action template, check the *Is Root Cause* box for plans where you feel that the chain of events set into motion when this template is triggered will actually form the root cause analysis of the whole NCR.

NB. Be aware that although more than one action plan (NCR Action Template) may be attached to a Business Rule, only one of these action plans can be designated 'Root cause'. You will be warned at the time of assessing and accepting an NCR, if there is a conflict.

3.3 Types of nonconformity

When reporting a nonconformity it is not mandatory to record its 'type' but it can be helpful to do so, especially for keeping track of possible patterns of nonconformity; it is also possible to record a type's 'Subtype'

The type of nonconformity (and subtypes) can also be used in various search filters and reports available in the module; in this way nonconformities of the same type can be highlighted very easily.

It is also possible to create reports in the ReportQuest module using NCR Types and Subtypes.

1 Select **Settings** from the main Nonconformities menu.

2 Choose **NCR Types** from its pull-down menu; the **Select NCR Type** dialog will appear.

3 Click on **New**.

4 Enter a mandatory **Description** in the **Create NCR Type** dialog - the **Search Code** will follow automatically as the first 10 characters of the Description (without spaces); this is standard practice for Workbench search codes. You may change the code manually if you wish, by highlighting it and typing in the new code.

5 Enter any **Notes** specific to this NCR Type and **Save** to continue inputting further NCR Types.

6 To enter **Subtypes** for this Type, don't hit the **Save** button immediately but select the **NCR Subtype** tab and hit its **New** button.

7 Enter a mandatory **Description**; the **Search Code** will follow (up to 10 characters) but can be changed. Enter any **Notes** specific to this Subtype.

8 **Save** to enter further Subtypes for the chosen Type - or **Close**.

9 Click on **Save** on the **NCR Type** dialog and continue inputting other new types or **Close**.

You will be taken back to the **Select NCR Type** window; the types that you have just input will now be listed in alphabetic order and will be available for future selection.

10 Close the **Select NCR Type** window.

Types/subtypes of action may be edited at any time (double-click on the required entry or see Search routines if the list is long) but can only be deleted if they have not been attached to a record anywhere in the system. To edit or delete Subtypes, either double-click on the required subtype or highlight it and hit the **Select** button. You will be informed if an entry cannot be deleted.

If a type of action is deleted, all of its subtypes will be deleted automatically. You will be warned before deletion.

3.4 Severity levels

For Workbench 11 there is a new workflow setting - *NCR Severity is mandatory field* - which is unchecked by default but, when checked, will force the user to enter a Severity field when reporting an NCR.

Despite the fact that it is not mandatory to record a severity level when reporting a nonconformity, it is useful to do so because these levels can be altered at any time and will automatically alert new personnel to the changed circumstances (if Business rules are being used). This can be an efficient way of elevating a low priority nonconformity to one that needs attending to urgently with the appropriate personnel being automatically informed.

Severity levels are also used in various search filtering systems supported by the module and are included in the criteria for Reports.

The dialog allows a user to create and edit severity levels - initially it presents a list of existing severities and allows the user to select one of these or create a new one.

Each severity level demands a unique numeric weighting on a scale between 1 and 100. It is this numeric weighting, rather than the description that is used by the software when calculating the severity of an NCR.

Setting up severity levels

1 Select **Settings** from the main Nonconformities menu.

2 Choose **NCR Severity Levels** from its pull-down menu and you will be presented with the **Select NCR Severity Level** window.

3 Click on **New** and in the **Create NCR Severity Level** dialog give the Severity Level a mandatory **Name** - the **Search Code** will follow automatically but can be changed.

4 Specify a severity **Weighting** on a scale of 1-100. This is mandatory.

5 Enter any **Notes**.

6 Click on **Save** after you have entered a new severity level and continue inputting other new levels or click on **Close to cancel.**

When you have finished inputting, **Save** and **Close**. You will be taken back to the **Select NCR Severity Level** window where the new levels will now be listed in alphabetic order and available for future selection.

Editing severity levels

1 Select **Settings** from the main **Nonconformities** menu.

2 Choose **NCR Severity Levels** from its pull-down menu and you will be presented with the **Select NCR Severity Level** dialog.

3 Select an existing severity level for editing (see Search routines if the list is long).

4 Make any amendments (but be aware that the **Weighting** must be unique) and **Save**.

NCR Severity levels can only be deleted if they haven't been attached to any record in the system.

See also: Re-assigning a severity level

3.5 Sources

When reporting a nonconformity the original source is not mandatory but it can be helpful to record it, especially for keeping track of possible patterns of nonconformity; the source of a nonconformity is also used for advanced search filtering and when compiling Reports.

Setting up a source

1 Select **Settings** from the main Nonconformities menu.

2 Choose **NCR Sources** from its pull-down menu and you will be presented with the **Select NCR Source** dialog.

3 Click on **New**.

4 Enter a mandatory **Description** in the **Create NCR Source** dialog - the **Search Code** will follow automatically but can be changed.

5 Enter any **Notes** specific to this Source.

6 Click on **Save** after you have entered a new source and continue inputting other new sources or click on **Close** to cancel.

When you have finished inputting any new Sources, **Save** and **Close**. You will be taken back to the Select **NCR Source** dialog; the new sources that you have just input will now be listed in alphabetic order and will be available for future selection.

7 Close the **Select NCR Source** dialog.

NCR Sources may be edited at any time (double-click on the required entry or see Search routines if the list is long) but can only be deleted if they have not been attached to a record anywhere in the system.

3.6 Corrective action types

Certain corrective actions will fall into similar type groups and although this field is never mandatory, 'Action Type' is used in various search filters and for compiling Reports.

Setting up a corrective action type

1 Select **Settings** from the main Nonconformities menu.

2 Choose **Corrective Action Types** from its pull-down menu and you will be presented with the **Select Corrective Action Type** dialog.

3 Click on **New**.

4 Type in a mandatory **Description** in the **Create Corrective Action Type** dialog - the **Search Code** will follow automatically but can be changed.

5 Enter any **Notes** specific to this type.

6 Click on **Save** after you have entered a new action type and continue inputting other new types or click on Close.

When you have finished inputting all new corrective action types, Save and Close. You will be taken back to the Select Corrective Action Type dialog. New corrective action types will now appear in the main window in alphabetic order and can be searched for in appropriate dialogs by Search Code (F4) or Description (F5) using the Search button.

Types of corrective action may be edited at any time (double-click on the required entry or see Search routines if the list is long) but can only be deleted if they have not been attached to a record anywhere in the system.

3.7 Products and suppliers

Whenever a specific product is involved, for example in a nonconformity, a customer care issue or for test and calibration purposes, it is useful to record the details of the product and those of its supplier, if known. Workbench makes independent provision to record full details on suppliers - including name, address, telephone numbers and information on named contacts.

In normal business practice training courses are sometimes provided by external suppliers; likewise it may be necessary to carry out an audit on external suppliers. The Training and Audits modules therefore use the same Suppliers records dialog (see **Scheduling courses** in the Training module and **Compiling a checklist** in the Audits module).

Details of products and suppliers are recorded in the **Settings** menu. A product code (ID) is allocated when details are first set up and this is searched for using a Search button in dialogs where a product is to be recorded. Products cannot be entered 'on the fly' - they must always be created in the Settings menu first. Suppliers records may be set up 'on the fly' in the Test and Calibration module only.

NB. The same **Product** and **Suppliers** dialogs are used by all Workbench modules. If you are denied access to either of these menu options in any module, you will automatically be denied access in all other modules.

See also:

Product records

Selecting suppliers

Setting up new suppliers

Recording new contacts

Editing details of suppliers and/or their contacts

3.7.1 Product records

The same product records are used by the Customer Care, Nonconformities and Test & Calibration modules. If you are denied access to this menu option in any module, you will automatically be denied access in all other modules.

Setting up a new product record

1 Choose **Product** from the **Settings** menu to open the **Select Product** dialog.

2 Click on **New**.

3 In the **Create Product** dialog enter a mandatory product **ID** and a **Name** - the **Search Code** will automatically follow the Name but can be changed.

4 If you wish to nominate a product to supersede the named product - eg. if it becomes impossible to obtain supplies or if there is a known defect in the original product, an alternative product can be registered in the **Supersession** field. Use the Search button to select from the full list of products.

5 The *Manufactured* radio button will be selected by default; if appropriate, enter a **Manufacturing Cost**.

   If the product is *Externally Supplied*, select this radio button instead; the **Manufacturing Cost** field will close but the **Suppliers** page will be activated where you may select suppliers appropriate to the product (see Selecting suppliers).

6 Enter any **Notes**.

7 Complete the **Suppliers** page where relevant.

8 Click **Save** and continue inputting any further products or **Save** and **Close**.

Editing an existing product record

1 Choose **Product** from the **Settings** menu to open the **Select Product** dialog.

2 Select the required record using any method (see Search routines).

3 In the **Edit Product** dialog all fields may be edited, apart from the product **ID**. You may also

add notes and amend supplier(s) on the **Suppliers** page if required.

4 **Save**.

3.7.2 Selecting suppliers

Supplier records may be set up in several modules; lists of Suppliers will include suppliers recorded in any other module that contains this menu item. If you are denied access to suppliers in any module, you will automatically be denied access in all other modules.

Selection of suppliers uses a routine common throughout Workbench (see Groups / Lists for help with this if required).

1 Click on the **Suppliers** page (in **Settings | Product** the Suppliers page will only become active after you have completed the mandatory fields and selected the *Externally Supplied* radio button on the **Product** page).

2 Select suppliers by moving them from the left hand side of the window to the right.

3 When you have selected all the appropriate suppliers, **Save** and **Close** or continue to input other products and select suppliers.

If you need to set up new suppliers, close the Select Product window to return to the main menu. Then see Setting up new supplier records.

See Search routines for help, if required, when selecting suppliers via the **Search** button and the **Select Supplier** dialog.

3.7.3 Setting up new supplier records

The same supplier records are used by the Audits, Customer Care, Nonconformities, Training and Test & Calibration modules. If you are denied access to this menu option in any module, you will automatically be denied access in all other modules.

Setting up a new supplier record

1 Select **Settings** from the main menu and choose **Suppliers** from its pull-down menu. (**NB**. In the Test and Calibration module only, Suppliers may be set up 'on the fly' from the **Equipment Register** dialog.)

2 In the **Select Supplier** dialog click on **New**.

3 The **Supplier ID** and **Name** are mandatory fields. The **Search Code** will automatically follow the Name but can be changed. The Supplier ID cannot be edited in any way, once saved.

4 Enter as many or as few other details as are relevant for the supplier - on all pages.

5 Enter any **Notes**.

6 **Save**.

All suppliers information (apart from Supplier ID) may be edited at any time in the future using the Suppliers menu option in the Settings menu only.

Analysis page

User-definable analysis displayed on the **Analysis** page is initially set up in the **Settings** menu (**User Defined Analysis | Suppliers**). Analysis categories displayed here can be attached to the currently selected supplier in the following ways:-

- select (or de-select) check box categories by clicking in them
- select predefined values from the drop-down list in combo boxes
- add values 'on the fly' using additive combo boxes (or select from a predefined value in the drop-down list). Any new value set up here will be added to the drop-down list and available for future selection.
- enter a 'one-off' value using a free text box.
- enter a date or date and time (using the Date button if preferred).
- enter currency and/or numeric fields (up to the specified number of characters).

You can select only one value per field (in drop-down lists or combo boxes); boxes should be left blank if neither the field nor any of its values apply.

When you have completed the page, click **Save**. If no UDA is applicable move to the next page.

Contacts page

Specific contacts within firms of suppliers can be recorded on the Contacts page. See Recording new contacts.

3.7.4 Recording new contacts

1 Select the **Contacts** page in the **Create Supplier** dialog (after specifying a **Supplier ID** and **Name** on the **Supplier** page); details of contacts already recorded will be listed here.

2 To enter details of a new contact, click on **New**.

3 **Surname** is the only mandatory field. Enter as many or as few other details as you wish.

4 Enter any **Contact Notes** if appropriate.

5 Click on the **Save** button to save the contact and continue adding further new contacts or **Save** and **Close**.

The Contact(s) you have just recorded will now appear in the list on the first **Contacts** page in the **Create Supplier** dialog.

6 Click on **Save** and close all dialogs.

3.7.5 Editing details of suppliers and/or their contacts

1 Choose **Supplier** from the **Settings** menu; the **Select Supplier** window will appear.

2 Select the appropriate supplier, edit any details on the **Supplier** and/or **Analysis** pages (apart from the **Supplier ID**) and click on **Save**.

3 Click on the **Contacts** page to edit details of contacts.

4 Highlight the appropriate contact and click **Select** (or double-click on the required contact).

5 Edit the contact’s details, click on **Save**.

A contact's records may only be deleted (using the **Delete** button) if they are not used in any supplier records in any installed module.

6 Save in the **Edit Supplier** dialog and then **Close** the **Select Supplier** dialog.

3.8 Customers and contacts

Customers fall into one of two categories - Company or Individual. Contacts are normally attached to a company but if the customer is an 'Individual' then this individual is seen as the contact.

Customer and contact records can be reached from several dialogs in the Nonconformities module and are also used in the Audits and Customer Care modules. If either or both of these modules are installed, records from all will be available (with necessary permissions) to each module.

Setting up a New Company record

Setting up a record for a new 'Individual'

Maintaining customer records

3.8.1 Maintaining customer records

The **Select Customer** dialog appears in slightly different formats according to where it is invoked from and whether editing and/or the setting up of new records is allowed; it is used to filter and select customers of either type - companies and/or individuals. From here customers can be viewed, edited, created and deleted by invoking the appropriate dialog.

As you build up your records of clients and customers (these also come from the Audits and Customer Care modules if installed), a useful feature for future searches is the option to narrow the search field by calling up just companies or just individuals (as well as both) by selecting or de-selecting the relevant check box(es) in the top right corner.

The dialog appears in several slightly different formats according to where it is invoked from and whether editing and/or the setting up of new records is allowed.

- Select **Settings | Customer | Maintain** from the main Nonconformities menu.
- Click on the Search button alongside the **Customer** field in any dialog maintaining Customer information.

1 You can search for existing customers here in one of three ways:-

- by using the Search button
- by scrolling (if necessary), highlighting the required customer and clicking on the **OK** button
- by scrolling (if necessary) and double-clicking on the required customer.

2 If you are simply entering a customer name into another dialog (eg. **Report NCR** where it may be a mandatory field), select the relevant customer by double-clicking or by highlighting and clicking on the **Select** button.

3 To edit details of an existing customer/ contact record, select the relevant customer and click on **OK** (or the **Details** button). In the **Edit Company** or **Edit Individual Customer**, you may then edit the records. Remember to **Save** before closing the dialog.

To create a new company or contact click on the **New Company** button and see Company records.

To create a new record for an 'individual' click on the **New Individual** button and see Individual customer records.

3.8.2 Company records

In the Nonconformities module, records of customers and contacts are kept in the **Settings** menu. Use **Customer | Maintain** to set up and edit customer records.

Where other dialogs allow the setting up of new records 'on the fly' (see Customers and contacts), this is done exactly as explained below.

1. Click on the **New Company** button in the **Select Customer** dialog.
2. Give the company a **Name** (the only mandatory field). The **Search Code** will follow (see below).
3. Type in the address and/or any other details as appropriate - see notes below.
4. **Save**.

To edit an existing company record In all Workbench modules you may use the tab button on your keyboard to move through the dialogs, completing any relevant fields as you go.

Search Codes in all dialogs will automatically mimic the mandatory name or description, up to ten characters without spaces. You may change Search Codes manually if you wish simply by putting the cursor in the box, deleting and then re-typing or amending.

The Address button alongside the **Address** field prompts you into entering all address details and will effectively standardise your records. Even if you do not click on the button, the **Address Details** box will still appear as soon as you start typing. Click on **OK** to close the box after entering or editing details.

Regions are selected using the Search button so must first be set up in **Settings | Customer | Region** (see Customer regions); they cannot be added on the fly.

If the customer has an account, tick the *Customer Account* check box and type in the **Account Number**. Then select the **Account Manager** using the Search button that takes you to the full personnel list originating in the Personnel module.

The **Notes** page allows you to add any notes about the company at any time. These may prove useful for continuity if different personnel may be dealing with the same customer. Click on the page to open the dialog.

The **Analysis** page allows user-definable analysis to be selected where appropriate. Click on the page to open the dialog. Customer user-definable analysis categories are of eight basic types and are discussed in detail in User-definable analysis categories.

The **Contacts** page is used for selecting / editing existing company contacts or creating new records of contacts within the company (see Company contacts).

You may delete a company using the **Delete** button providing that the records have not been used anywhere in the system.

3.8.3 Company contacts

Company contacts are recorded in **Settings | Customer | Maintain**. Where other dialogs allow the setting up of new records 'on the fly' (see Customers and contacts), this is done exactly as explained below.

Creating contact(s) whilst setting up a new company record

1. In any **Select Customer** dialog, click the **New Company** button.
2. On the **Company** page of the **Create Company** dialog, make sure you have given the company a mandatory **Name**. Enter any other relevant company details on the **Company** page

and on the **Notes** and **Analysis** pages. (The Contacts page has provision to provide specific Notes and Analysis for contacts).

3. Click on the **Contacts** page; the first page of the Contacts dialog maintains records of all current company contacts.
4. To create a new contact, click the **New** button.
5. Enter a **Surname** - this is the only mandatory field.
6. Enter as many other details as you wish. If you tick the *Primary Contact* check box, this contact will then be marked as such in the Status column on the first page of the Contacts dialog.
7. Click on the **Notes** button to add any useful personal notes about the contact.
8. Click on the **Analysis** button to reveal user-definable analysis categories specifically relating to company contacts (as opposed to the company itself). These are set up under **Settings | User Defined Analysis - Contact**. Select any that are appropriate (see User-definable analysis categories for help with this if required).
9. Click on the **Save** button to save this record and continue inputting further contact records.
10. **Close**, and the contact(s) that you have just set up will now appear on the first **Contacts** page of the **Create Company** dialog.

Adding contacts to existing company records

1. In any **Select Customer** dialog, select an existing company. In **Settings** | **Customer | Maintain** this will be by double-clicking on the company or by highlighting and clicking **OK**. From any other dialog (via the Search button) this will be by highlighting the company and clicking on the **Details** button.
2. In the **Edit Company** dialog, click on the **Contacts** page; the first page of the Contacts dialog maintains records of all current company contacts.

   The Search button for Current contacts provides an easy search method when many contacts for the company are listed. By default, contacts who have a **Date Left** entered on their details will not be included in the list. To include these, check the *Include contacts who have left* box.
3. To create a new contact, click the **New** button and proceed as above (from point 5 onwards).

Details of contacts may be edited at any time by users with appropriate permissions.

Viewing company contacts

In various dialogs, eg. the Details page of the **Assign Corrective Action** and **Process Corrective Action** pages you may view company details and contacts using the search button alongside the **Contact** field. This takes you to the **View Company** dialog where all details are read-only.

3.8.4 Individual customer records

Creating a record for an Individual is very similar to creating a record for a Company but no provision is made to record details of company contacts (see Company records). The 'Individual' is regarded as the contact and will be listed on Contact records as a 'Private Individual'.

The **Notes** page is divided into two sections so that you can make different kinds of notes (business or personal) about the individual as appropriate.

The **Analysis** page is also divided into two, providing different user-definable analysis about the individual as a customer and/or as a personal contact. This reflects two of the four different kinds of UDA that may be set up in the Settings menu. Each half of the dialog will scroll to accommodate all analysis categories that have been set up.

When you have finished entering all the details about the individual, **Save** and **Close**.

Any new individual records that you have created should now appear alphabetically in the main **Select Customer** dialog.

Individual customer records may be edited at any time.

3.8.5 Customer regions

You may set up customer regions eg. North, South, Home Counties, East Midlands etc. or any other configuration your company uses to define sales regions. The **Customer | Region** option allows records to be created, viewed, edited and deleted, depending on access rights.

Customer regions cannot be added on the fly.

If you have the Customer Care module installed, the same Customer region records will be referenced from both modules. The Audits module also uses the same records but new Regions cannot be set up in that module.

Creating a new region

1. Select **Settings** | **Customer | Region**.
2. In the **Select Region** dialog click on **New** to set up a new region.
3. In the **Create Region** dialog type in a **Description** (mandatory field).
4. Add any notes.
5. **Save**.
6. Continue inputting further new regions or **Close**.

The new region(s) will now appear in the **Select Region** dialog.

Regions may be edited at any time (double-click on the required entry or see Search routines if the list is long) but can only be deleted if they have not been attached to a record anywhere in the system.

3.8.6 Searching for an existing contact

The **Select Contact** dialog is used to filter and select 'individuals' as well as company contacts. From here contacts may be selected, viewed, edited and deleted by invoking the appropriate dialog. **Select Contact** can be reached from several dialogs and may appear in a slightly different format according to which dialog it is invoked from and whether editing is allowed.

The same records are also referenced by the Audits and Customer Care modules.

Searching for contacts

1. Select **Settings** | **Customer | Search for Contact** or click on the Search button alongside a **Contact** field on any relevant dialog.
2. The **Select Contact** dialog will appear. All contacts, whether part of a company or an individual customer, are listed here. To filter the search by including only *Company* or only *Individual* contacts, tick the appropriate Customer Type check box at the top right of the dialog.

   NB. Where a user has read-only access to Customer routines in has no access to Contact routines, the only records they will be able to see under the **Search for Contact** option are those of Private Individuals.

If the required contact works for a known company, use the Search button alongside the **Customer** field to select that company; only recorded contacts who work for the selected company will be shown in the list. If no such contact exists, the **Select Contact** dialog will automatically offer a **New Contact** button; click on this to record details of the unlisted contact - see Company contacts.

When the list of contacts in the **Select Contact** dialog is long, you may ease your search by re-ordering the list in any of the ways shown when you right-click on the 'stand-alone' Search button; complete any of the top fields that are known and then right-click on the Search button to order the list by Search Code (F4), by Name (F5), by Postcode (F6), by Company (F7) or by Position (F8). Any contacts whose details do not match those you have typed in, will be filtered out of the list.

3. If you are using the **Settings** | **Customer | Search for Contact** dialog, tick the *Include contacts who have left* check box if you wish to include contacts who have a **Date Left** entered on their details. This check box is disabled in the **Select Contact** dialogs invoked from another dialog via a Search button (obviously you wouldn't want to enter a contact who has left the company, if reporting a complaint for example).
4. If you have arrived at the **Select Contact** dialog via a Search button from another dialog (eg. **Report Complaint**) and wish to enter the selected contact into the **Contact** field of that dialog, either double-click on the required company or highlight and click the **Select** button. The required contact will be entered into the **Contact** field.

Editing contact details

1. Proceed as above, **Searching for contacts**.
2. If you are using the **Settings** | **Customer | Search for Contact** dialog, select the required contact using any of the methods described above and click **OK** (or double-click). The **Edit Company** dialog will open at the **Contacts** page where you may amend any details. (You may also amend any Company details by clicking on the relevant page).
3. If you have arrived at the **Select Contact** dialog via a Search button from another dialog, select the required contact using any of the methods described above and click on the **Details** button to take you to the **Contacts** page of the **Edit Company** or the **Customer** page of the **Edit Individual Customer** dialog. Edit details as appropriate.
4. **Save** and close.

Contacts may be deleted (using the **Delete** button) providing that they have not been used in any record anywhere in the system.

3.8.7 Moving a contact

Contacts may move from one company to another; they may also move from being an Individual customer to a contact within a larger company, or from being a company contact to setting up as an Individual. When moving contacts around you may retain whichever parts of their records remain relevant.

Moving a customer contact to a new company or as a private individual

1. Choose **Settings** | **Customer | Move Contact**.
2. Tick the contact's existing *Customer Type* (*Company*) check box.
3. Select the relevant contact using either or both **Customer** and/or **Contact** Search button(s).

For help with this see Customers and contacts.

4 To make this contact into an 'individual' tick the *Create New Private Individual* check box. The **Customer** field will disappear.

5 To move this contact to a new company, leave the check box unticked and enter the name of a new customer using the Search button alongside the **Customer** field.

Whichever of the above actions you take, the **Move** and **Options..** buttons will be enabled.

If you wish to retain all of the contact’s current details, simply click on the **Move** button and their records will move from the old company to be stored in the new one.

If you wish to retain only part of the contact’s record, click on the **Options..** button and select or de-select the appropriate details to retain before clicking on **OK** and then the **Move** button.

6 The Contact's details will be moved to the new company or they will appear as a new Private Individual, depending on the action you chose to take.

Moving a private individual customer to a new or existing company

1 Choose **Settings | Customer | Move Contact**.

2 Tick the contact’s existing *Customer Type* (*Individual*) check box.

3 Select the private individual using the Search button alongside the **Contact** field.

4 Tick the check box marked *Create New Company* and enter the new **Company Name** in the field below OR

leave the check box unchecked and select an existing customer using the Search button alongside the **Customer** field.

5 Whichever of the above actions you take, the **Move** and **Options..** buttons will be enabled.

If you wish to retain all of the contact’s current details, simply click on the **Move** button and their records will move from the old company to be stored in the new one.

If you wish to retain only part of the contact’s record, click on the **Options..** button and select or de-select the appropriate details to retain before clicking on **OK** and then the **Move** button.

6 **Close** the main dialog. If you have chosen to create a new company, this will now be listed in the **Select Customer** dialogs.

3.9 Using business rules

The Nonconformities module provides, where desired, a sophisticated method of notifying and actioning nonconformities. This is done through the establishing of Business rules that can largely automate much of the workflow and notification requirements generated by the module. Business rules are switched on (and off) by the system administrator in the **Workbench Configuration Centre**; if switched off, the **Rules** menu option will not be present in the **Settings** menu.

The rules (if in use) are triggered when certain configured events take place and can be customised to suit any conditions that may be appropriate to your company and its method of working. For any given event you can stipulate who is to be informed for information only (Notifications) and who is to be informed for action purposes (Tasks).

For example, you may specify that the Sales Director should be automatically informed of any nonconformity arising in his or her department, which stemmed from, say, a customer complaint. Alternatively, you may let ‘George Smith’ know that he is required to assess a specific ‘critical’ nonconformity stemming from the Warehousing department.

One of the ‘events’ that can trigger Business rules is when a specific type of nonconformity is reported, so it is important to set the rules up before beginning any new processing cycle. Likewise, any alterations to the Business rules must be made before a nonconformity is accepted in order for the rules to apply to that specific nonconformity.

For Workbench 11, a separately licensed feature offers the ability to assign automatically, a set of actions based on a Business Rule. To achieve this, action templates are set up so that a different set of actions will be taken depending on the Business Rule invoked. If the **NCR Action Templates** element is licensed, then a separate page tab, **Corrective Actions**, will appear on Business Rules after the Notifications page tab; if not licensed, the Corrective Actions page tab will not be seen.

The action plan will be applied to the NCR after it has been accepted at assessment stage. At this stage you may choose to accept, modify or abandon the plan.

If business rules are not being used, action plans may still be employed if elements of the assessed NCR match the conditions for a plan to be triggered.

Turning rules on / off

Nonconformities business rules are configured by the system administrator on the Workflow settings page of the Workbench Configuration Centre. Two settings affecting Business rules are:-

- *Use nonconformity business rules*. If checked, business rules will be used; if unchecked, business rules will not be used in this module.
- *Show users to whom tasks and notifications are sent*. If checked, users will be told when task and notification messages are about to be sent and to whom.

If only the top setting is checked, chosen users will be informed automatically when specific events have taken place. You will not see, however, which users are to be sent task and notification messages, nor be able to add users manually (see Personnel Notification).

If both settings are checked, chosen users will be informed automatically of the events and you will also see the **Personal Notification** dialog showing which these users are. At this point you may also add further personnel.

If only the bottom setting is checked, Business rules will not be used but you will have the option of manually nominating users to be sent task requests and notifications, at various points in the nonconformity's life cycle.

Setting up business rules

1. Select **Rules** from the main Nonconformities menu (providing that the *Use nonconformity business rules* setting is checked in the **Workbench Configuration Centre**). If this setting is not checked the **Rules** menu option will not be present.
2. Choose **Business Rules** from its walk-right menu. You will be presented with the **Select Nonconformity Business Rule** dialog.
3. Click on **New** and then see Business rules.

Editing an existing rule

Select the relevant rule in the **Select Nonconformity Business Rule** dialog and the **Edit Nonconformity Business Rule** dialog will appear. Amend as necessary including selected personnel on the Tasks and Notifications pages, then **Save** and **Close**.

3.9.1 Business rules

To set up a rule you must first choose which of the three events (detailed below) you wish the rule to be based on and then give the rule a name to identify it. Next, you select certain values (Settings) that will define under what circumstances the event will trigger the rule.

Then personnel are selected - those to be notified or sent a task request when the rule is triggered. Thus for a set of values for any given event you may stipulate who is to be told for information only (Notification) and who is to be informed for action purposes (Task).

Finally, new for Workbench 11, is the ability to set up an action plan that will also be triggered automatically at assessment stage (see below) if the appropriate circumstances are met. If the NCR Action Templates feature is licensed then the Corrective Actions page tab will list all available actions and you may select as many as required, although only one action can be designated as a root cause.

The three 'events' within the system that may trigger notifications and/or task messages are:-

- **Nonconformity reported** - this triggers a notification for information only (Nonconformity <xx> reported) and/or a task request (Please assess Nonconformity <xx>). These messages appear on the main tool bar under the Notifications or Tasks buttons (see Tasks and Notifications).
- **Nonconformity assessed** - this triggers a notification for information only on the main toolbar (NCR <xx> assessed or Nonconformity <xx> rejected). It does not trigger any form of task request. If the **NCR Action Templates** feature is licensed you may also select action plans to be applied to this Rule on the Corrective Actions page tab; however, this is not mandatory.
- **Nonconformity sign-off** - this triggers a task request to sign off the nonconformity (Please sign off NCR xx) when the final review has taken place and/or a notification for information only (NCR <xx> signed off as completed) when the sign-off is complete (or NCR sign-off rejected by <name> if one person rejects the sign-off).

If no personnel are specifically nominated to sign off the nonconformity when it is completed, any one with access rights may do so. However, if the *Show users to whom tasks and notifications are sent* option is checked in the Nonconformity workflow settings, users will be told when task and notification messages are about to be sent and to whom. Further personnel may be added to the list(s) at this point if required.

In Business rules (but not in Default business rules) you may set up as many different rules as you wish using the same event type, as long as each rule has a different name.

NB. Where there is more than one rule set up for 'Nonconformity reported' and several trigger (thereby nominating different individuals to assess the nonconformity) the system will allow any of the individuals concerned to assess the nonconformity.

Similarly, if multiple personnel are allocated for assessment, any one of them may perform the required task. Only one person is required to assess a nonconformity.

If a user is nominated for both a task request and a notification when multiple rules apply, the task request will always take priority over a notification.

Setting up a new business rule

Tasks page

To allocate personnel or group(s) to action a task when a rule is triggered, click on the **Tasks** page.

Name(s) of chosen personnel or group(s) should be transferred from the lists on the left hand side of the window, to the right hand side. If you need help with this see Groups / Lists. When you have made your selection, **Save** and **Close**.

NB. If the Event that triggers a rule is 'Nonconformity assessed' you will not be able to allocate personnel or groups on the Tasks page as this event type is only relevant for information purposes.

Notifications page

To allocate personnel who should be notified for information only when a rule is triggered, click on the **Notifications** page.

Name(s) of chosen personnel or group(s) should be transferred from the lists on the left hand side of the window, to the right hand side. If you need help with this see Groups / Lists. When you have made your selection, **Save** and **Close**.

See also: Setting up default business rules

3.9.1.1 Setting up a business rule

1. In the **Create Nonconformity Business Rule** dialog select the **Event** that the rule should be applied to from the drop-down menu (instructions on how to proceed will then be shown in the 'empty' box above the **Event** field).
2. Complete the mandatory **Description**; the **Search Code** will follow but can be changed.
3. Select at least one 'Setting' to define the rule (see below) using Search buttons or drop-down menu (having previously been set up in other modules or in the **Settings** menu).

   You have complete freedom to choose whichever combination of **Settings** you wish. At least one must be stipulated but you may establish as many others as necessary for each event type.

   - **Source Module -** the Workbench module responsible for the nonconformity, if any. (This assumes that the user has other Workbench modules installed, such as Audits, Test and Calibration and/or Customer Complaints, which can generate nonconformities in an integrated set up).
   - **Source -** the source of the nonconformity.
   - **Department** - the list of departments available as defined in the System Manager module.
   - **Severity** - the severity of the nonconformity. This can be 'equal to the chosen severity', 'equal to or less than the chosen severity' or 'equal to or greater than the chosen severity'.
   - **Type** - the type of the nonconformity.
   - **Subtype** - if an **NCR Type** (above) has been selected you may then choose (if more than one) a Subtype from the drop down list.
   - **Product** - the product (if applicable) related to the nonconformity.
   - **Supplier** - the supplier concerned with a nonconformity.
   - **Reported by** - the user who reported the nonconformity.
4. Once a rule's settings have been established, you can then allocate as many personnel as are required to be notified if that rule 'triggers'- for action purposes on the **Tasks** page or for information only on the **Notifications** page. At least one user must be allocated on either page before the rule can be saved.
5. If the **NCR Action Templates** feature is licensed and the chosen **Event** is **Nonconformity assessed**, you may then select actions from the Available Actions shown at the top of the **Corrective Actions** page tab. To select actions, either double-click on them or highlight and click on the **Add** button. Selected Actions will then be shown in the bottom half of the dialog. To

view an action, highlight and right-click.

6 When you have configured the rule and nominated appropriate personnel, **Save** and configure another rule, or **Save** and **Close**.

3.9.2 Default business rules

There is always the danger that an 'Event' in Business rules will not meet any of your specified criteria and will therefore not be notified to anyone. This can be prevented by setting up 'default' rules for any or all event types, that stipulate the user or group of users who will be notified in these circumstances.

Unlike Business rules, there can only be one Default rule per Event.

See Using business rules for further details.

Setting up default business rules

1. Select **Rules** from the main Nonconformities menu (providing that the *Use nonconformity business rules* workflow setting is checked in the **Workbench Configuration Centre**).
2. Choose **Default Business Rules** from its walk-right menu. You will be presented with the **Select Nonconformity Default Business Rule** dialog.
3. Click on **New** and read the information at the bottom of the window.
4. Select a mandatory **Event** that the rule should be applied to.
5. Enter a mandatory **Description** - something to identify the rule.
6. Select either or both of the **Tasks** and **Notifications** pages (if appropriate) to allocate personnel or groups who should be notified if a selected rule triggers. Selection is made by highlighting or double-clicking the required personnel. See Groups / Lists.
7. Select **Corrective Actions** to apply if appropriate.
8. Save each **Rule** and then **Close** both dialogs.

At least one user must be notified on either page before the rule can be saved and only one rule per event can be set up.

NB. Once a rule has been defined for all three possible events (NCR reported, NCR assessed, NCR sign-off) no further rules may be defined.

Editing an existing rule

Select the relevant rule in the **Select Nonconformity Default Business Rule** dialog and the **Edit Nonconformity Default Business Rule** dialog will appear. Amend as necessary including selected personnel on the Tasks, Notifications and Corrective Actions pages, then **Save** and **Close**.

3.10 User definable analysis categories

The ability for you to determine your own analysis categories and their associated values is present throughout Workbench and is a very powerful customisation feature. The User definable analysis element is licensed separately and, if purchased and installed, UDA will always be set up in the **Settings** menu of each individual module. Wherever a module offers more than one type of analysis category, this is offered from a walk-right menu.

Different categories must each be set up separately, but this is done in exactly the same way; the various categories then become available for selection in appropriate **Analysis** dialogs.

The same user-defined analysis records are referenced by all installed modules that use UDA.

The Nonconformities module enables you to define separate analysis categories for Nonconformities, Corrective actions, Customers, Contacts and Suppliers.

Analysis can be categorised in eight different ways:-

- the Drop Down List gives a set of predefined values for a given attribute. This list is used whenever you wish to associate a set of predefined values with a category. These might be used to attribute, say, a specific cause to a nonconformity, chosen from a drop-down list of alternatives when the nonconformity is reported.
- the Check Box offers a straightforward on/off toggle for attributes that either apply or do not apply. An example might be ‘Inform Health and Safety?’. You then simply check or uncheck this box as appropriate when entering records.
- an Additive Combo box lists certain predefined values that may be added to ‘on the fly’. These values are produced as a drop-down list and any value added in this way becomes 'global' and is added to the list for future use. **NB**. User defined analysis categories are included in IVPro and in both the **Report Complaint** and **Report NCR** routines. However, as values cannot be added on the fly in IVPro, additive combo boxes function simply as drop-down menus.
- the Free Text box. This allows you to add specific text (up to 255 characters - user definable) that may apply to a nonconformity or supplier on a one-off basis (eg. the name of an external assessor).
- Date Only. Choose this category if you wish to add an analysis field that will allow you to attach a specific date to the record. The field will automatically incorporate a date button.
- Date and Time. Choose this category if you wish to add analysis fields that will allow you to attach a specific date and time to the record. The field will automatically incorporate a date button.
- Currency. Choose this category to add a currency analysis field (eg. price in sterling, dollars, lire etc.). The field can be sized to allow for up to 20 characters; you may also stipulate the number of digits after the decimal point.
- Numeric. Choose this category to add a numeric analysis field. The field can be sized to allow for up to 20 characters; you may also stipulate the number of digits after the decimal point.

See also Setting up user defined analysis and Selecting user defined analysis

3.10.1 Setting up user defined analysis

User-definable analysis can only be set up in the **Settings** menu; the required analysis categories must then be selected on **Analysis** dialogs whenever appropriate. The process of setting up analysis categories is identical for all modules.

Creating user defined analysis fields and values

1. From the **Settings** menu, choose **User Defined Analysis**.
2. In modules where there is a choice of user defined analysis, choose one from the walk-right menu. The **Analysis Maintenance** dialog will open.
3. To enter a new **Analysis Field** (of any type) click on the **New Field** button (in the left side of the window).

4 Type in a new **Analysis Field** where the cursor is blinking - field labels may contain up to 255 characters.

5 Press the return key to enter another analysis field or continue to define the type and values (if appropriate) for the current field.

6 With the required analysis field highlighted, select the Field Type ‘radio’ button. For all analysis fields except Drop Down List or Additive Combo this completes the input required.

7 To define field values for Drop Down Lists or Additive Combos, click the **New Value** button (on the right hand side of the window).

8 Enter the initial **Field Value** for the selected analysis field.

9 Press the return key to save the new **Field Value** and prepare to enter another. Repeat this process until all the relevant entries have been made in the *Values* field.

10 Highlight another **Analysis Field** in the left hand side of the window to add values to if required; click on **Save** when all fields/values have been entered.

The **Maximum Field Length** for analysis fields defaults to 255 characters; currency and numeric fields default to 20 characters maximum; date/time fields are pre-defined and automatically incorporate a date button; check boxes offer a simple on/off choice. To alter a maximum field length, simply delete the shown number and type in the preferred length. The **Number of Digits after a Decimal** point may also be specified (where appropriate).

You may enter as many different fields and values as you wish and relevant fields may have as many values attributed to them as required. If the number of defined categories fills up the screen, a scroll bar will appear allowing you to scroll down and continue inputting information.

Fields and/or values may only be edited or deleted if they have not been ‘attached’ to a record. However, a check box near the bottom of the left hand side of the dialog, *Hide field?*, allows you to 'hide' any highlighted analysis field. As hidden fields can't be seen they can no longer be selected on **Analysis** pages, but previously stored information may still be used for reporting purposes.

In the **Nonconformities** module, but only present when setting up UDA for Nonconformities or Corrective Actions (not Suppliers) there is also a check box *Is Mandatory?* that allows you to make mandatory any selected UDA field, apart from check boxes. This can be done at the time of creating the new field or can be done later by highlighting the required field(s) and checking the *Is Mandatory?* box. Then, on **Analysis** dialogs for relevant NCRs and/or corrective actions, any UDA field that has been marked as mandatory must be completed before being allowed to continue.

The ▲ Up and ▼ Down buttons are used to navigate the lists of fields and values and to determine their order.

NB. Please avoid using ampersands (&) in this dialog; spell out the word in full where necessary or use a back-slash - eg. Health and Safety or Health\Safety.

See also Selecting user defined analysis

3.10.2 Selecting user defined analysis

User defined analysis categories originally set up in the **Settings** menu are available for selection on **Analysis** pages.

NB. In the Document Control module, user defined analysis is classed as a Document Attribute (Document attributes / Analysis page).

Selecting user defined analysis

1 Click the **Analysis** page on the main dialog.

2. Select appropriate predefined values from drop-down lists.
3. Relevant check boxes should be checked or un-checked.
4. In additive combo boxes you may select from a predefined value in the drop-down list or add a new value. Any new value set up like this will be added to the drop-down list and available for future selection.
5. In free text boxes enter a one-off value that will apply only to the currently selected record.
6. Enter a date or date and time (using the Date button if preferred).
7. Enter currency and/or numeric fields (up to the specified number of characters).

   You can select only one value per field (in drop-down lists or combo boxes); boxes should be left blank if neither the field nor any of its values apply.
8. When you have completed the page, click on **Save**.

See also Setting up user defined analysis

4 Reporting and assessing a nonconformity

It is envisaged that a wide range of personnel may be encouraged to report nonconformities and for this reason the status of the ‘alleged’ nonconformity will remain Unconfirmed until it has been assessed (most probably by senior management). The assessor is given three choices - to accept, reject or defer the alleged nonconformity:-

- if the reported nonconformity is accepted by the assessor it is then available for processing through the whole cycle. The assessor also becomes the 'owner' of the nonconformity.
- if the reported nonconformity is rejected it does not progress any further and the cycle is terminated. It may be purged from the system at a later date.
- if the reported nonconformity is deferred, its status remains as Unconfirmed and it waits in the system for reassessment.

Nonconformities must have Accepted status (Open) before they can continue through the processing cycle.

A corrective action is not necessarily required but if no actions are entered, then a mandatory reason must be given at **NCR Final Review** stage as to why no actions have been entered.

For Workbench 11 a new menu item has been introduced - Report Assessed NCR. This allows users with appropriate access to report and assess a nonconformity in one dialog.

4.1 Reporting a nonconformity

This is where a nonconformity is entered into the system. It has its own menu item and can therefore be switched off by the administrator if desired. However, it is envisaged as a fairly low level security routine on the assumption that most organisations will wish to encourage staff to report what they perceive to be deviations from the documented system.

To encourage reporting, a nonconformity raised at this stage should be seen as an alleged nonconformity only, awaiting further investigation and assessment. Its status until assessed is Unconfirmed.

Many of the terms used to describe a nonconformity can be defined by yourself; for instance, the nonconformity’s type, severity, source and originating department can all reflect your own organisation’s terminology. You may also define your own user-definable analysis to supplement this. Before compiling the nonconformity report, this optional information must be set up in the appropriate separate menu items as you will not be able to do this whilst actually filling in the report.

The NCR Report form mimics most of the fields in the **Report Nonconformity** dialog. It is intended mainly for users not on the system, so that nonconformities may be recorded on paper in similar format to the dialog and entered into the system, if required, with ease.

For Workbench 11 there is a new, separately licensed feature that will allow you to report NCRs remotely - see Remote NCR reporting. There is also a new menu item that allows the reporting and assessing of a nonconformity in one dialog - see Reporting an assessed nonconformity.

There are a number of Nonconformity workflow settings, configured in the **Workbench Configuration Centre** dialog (System Manager module), that affect how the processing of nonconformity issues will flow.

NB. Settings that are in existence at the time of reporting the nonconformity will be attached throughout its life-cycle: therefore, for nonconformities in existence before an upgrade some settings may not be available.

Reporting a nonconformity

1 Select **Record** from the main Nonconformities menu.

2 Choose **Report NCR** from its pull-down menu. You will be presented with the **Report Nonconformity** dialog.

3 Complete the mandatory fields on the Details page (see below) and give a mandatory description of the alleged nonconformity on the **Description** page.

4 Attach a relevant file to the nonconformity if required via the Attachments button. Attachments are editable until the nonconformity is assessed and accepted; after then only the NCR owner (or admin.) may edit attachments. After the NCR has had its final review, attachments can no longer be edited but may still be added.

5 Record as much other information as you wish - explanations of each field are given below.

A **Summary** of the nonconformity must be entered; it will identify the nonconformity throughout its life cycle and is a mandatory field.

A **User Reference** is not mandatory; however if the *Nonconformity user reference must be unique* setting is checked (see above) any User Reference used must be unique. The **Search Code** automatically mimics the User Reference (up to 10 characters) but can be changed manually.

Date of Incident / **Time** is the date and time when the nonconformity took place or was first noticed; the date is a mandatory field but the time is not. The date can be typed in or inserted using the Date button.

Date Reported / **Time** - insert the date and time when the nonconformity was reported; the date is a mandatory field but the time is not. The program defaults to the current date and time shown on the server on which your database is located. An earlier date/time may be entered. If no time is specified when reporting a nonconformity, the system defaults to midnight.

Reported **by** is also mandatory - the program defaults to the user who is logged in. This can be changed using the Search button to select another user. Listed personnel originate in the Personnel module.

Department refers to the department in which the nonconformity took place and **Source** reflects how the nonconformity first come to light, where was it first noted? Departments are selected (using the Search button) from those originally set up in the System Manager module. Sources must be set up in **Settings | NCR Sources** and again are selected here using the Search button.

Where a **UDA** (User defined action) **button** has been specified, this will appear underneath the Source field. Its 'label' is user-defined and is generated on the Module Settings page of the Workbench Configuration Centre in the System Manager module. The purpose of the button is to support a specific user-definable action (with a direct link to an editor) against appropriate NCRs. Click on this, if applicable, to trigger the defined action.

The **Type** of the reported nonconformity is selected using the drop down list (see Types of nonconformity). If an NCR Type is selected then you may also select a **Subtype** (if one exists) - also from its drop down list.

At the time of reporting and/or assessing an NCR, the assigning of a document (issued version only, to which the user has access) is allowed, providing that the Document Control module is also installed and licensed. The **Document Reference** section records the **Serial Number** of the document and its **Revision** level. You may also **View** the document and/or its **Attributes** here, using the relevant button. If viewing a document that has its *Convert document to PDF format* workflow setting selected with a value other than 'Never', then the issued document will appear as a PDF file.

Severity levels are set up in **Settings | NCR Severity Levels** and selected here via the drop-down menu; the severity level of a nonconformity can be altered at any time in its processing cycle using **Control | Reassign NCR Severity**. For Workbench 11, the Severity field can be made mandatory via a new workflow setting.

The **Status** of a nonconformity changes throughout its life cycle (see Nonconformity status progression) but on each main NCR dialog the current status is shown. In the **Report Nonconformity** dialog the status will always be Unconfirmed (Reported).

The Product involved section allows for details of the product and supplier (if relevant) to be recorded. The **Product** ID is entered using the Search button so its details must already be set up in **Settings | Product**. When you have selected its ID, the product Description appears alongside the **Product** field. If you have completed the **Supplier** field before selecting a product, only products supplied by the nominated supplier or products that have no suppliers associated with them, will be available for selection. If no supplier has been selected, all products will be available.

The **Supplier** of the product involved is entered using the Search button (providing that details have been set up in **Settings | Supplier**). If you have completed the **Product** field, only designated suppliers of that product, or suppliers that have no products associated with them, will be available for selection. If no product has been selected, all suppliers will be available.

Customer & **Contact -** Select the customer and contact relating to the NCR using the Search button alongside the relevant field. You may narrow the search by ticking either the *Company* or *Individual* check box (if known). If the customer is a Private Individual the Customer field will be closed and only the Contact field will have to be completed. If required, you may add new customers via the search dialog when reporting complaints.

NB. The Customer and Contact fields may be mandatory, depending on the configuration of workflow settings.

Finally there is provision to record a **Target Date** (and time) for when the NCR should be resolved. However, this target date does not become 'real' until it has been assessed (ie. it may be altered by the assessor). If the *Number of days added to NCR date reported for target date* setting (see above) has been checked, a target date will automatically be entered here. This can be overridden.

6 A mandatory description must now be added on the **Description** page (as brief or as detailed as you wish) before saving the report. The **NCR References** page tab allows you to reference other NCRs if required. You may also select analysis categories on the **Analysis** page if relevant; some of these may be mandatory.

7 When you are sure that all the details and a full description of the nonconformity have been reported correctly, click on **Save**.

8 Depending on how the Nonconformity workflow settings have been configured (see above) you may now see a Personnel Notification dialog.

9 When all details of the nonconformity have been reported, a description given and personnel added if appropriate, the nonconformity (NCR) will be given a unique number that will be used throughout its life cycle.

What happens next?

4.1.1 NCR references

The **NCR References** page tab gives you the option of referencing one or more previously reported NCRs to the current NCR. Apart from the **Report Nonconformity** and **Report Assessed Nonconformity** dialogs, the page tab is simply labelled **References**.

Adding an NCR reference

1. In **Report Nonconformity** or **Report Assessed Nonconformity** select the **NCR References** page tab.
2. Click on the Search button alongside the **NCR** field and select the required Nonconformity to reference. Alternatively, if you know the number of the NCR you wish to reference, enter it directly in the NCR field and hit the **Add Reference** button. The selected NCR will be added to the list below.
3. Continue adding as many other NCRs to reference as you wish.

To view an added reference, highlight and use the **View** button; use the **Remove** button to remove a highlighted reference.

Once the current NCR has been reported (or Report assessed) then the page tab is labelled simply **References** and both Document references and NCR references can be viewed from here (eg. in Assess NCR, Assign Corrective Actions etc.).

4.1.2 What happens next?

Once a nonconformity has been reported it is now in your database, its status is Unconfirmed (Reported), and it moves to wait in **Control | Assess NCR** for assessment.

Depending on who has been nominated to assess the nonconformity it can also be called up (by those with the appropriate access rights) under **On Behalf Of | Assess NCR**.

From now on it will be available for viewing throughout its life cycle in **Record | View NCR**.

An entry is made to its History log stating that it has been reported, the date it was reported and by whom. If the nonconformity has been reported from a separate module, this will also be stated.

If the NCR has been imported remotely, the History entry - NCR imported via remote NCR by <user> - will be generated.

If you are using **Business rules** or you have manually nominated assessors, the assessor(s) will automatically be informed (via their tool bar Tasks button) that the NCR is awaiting assessment.

If the workflow setting *Number of days after NCR reported before warning is sent to owner* has been given a value greater than '0', an automatic warning will be sent to the owner if the NCR has not been completed within the specified time.

4.2 Personnel notification

There are two workflow settings, configured by the system administrator in the Workbench Configuration Centre, that affect the **Personnel Notification** dialog:-

- *Use nonconformity business rules* - if checked, Nonconformity module business rules will be used. If unchecked, business rules will not be used in this module.
- *Show users to whom tasks and notifications are sent* - if checked, users will be told when task and notification messages are about to be sent and to whom. Users with appropriate access may amend these lists.

Depending on how these settings are configured, the **Personnel Notification** dialog may appear when you save a reported nonconformity and at other times throughout its cycle; this informs you of personnel who will be notified of the progress of the nonconformity either for information or because they have been nominated to assess or sign-it off. You may add further personnel if required by clicking on the **Add** button to open the **Add Personnel to List** dialog (see below).

It is important to note that personnel whose names are asterisked and appear in maroon type, will receive a task request (not a notification). If no personnel are specifically nominated to assess or sign off a nonconformity, any user with access rights may do so.

If you are not using Business rules, but the *Show users to whom tasks and notifications are sent* workflow setting is checked, you will be presented with a shortened version of the Personnel Notification dialog where you may still add personnel for notification or task purposes (using the appropriate page). Use the **Select** button to open the **Add Personnel to List** dialog and then the **Continue** button to close the dialog.

If neither the *Use nonconformity business rules* nor the *Show users to whom tasks and notifications are sent* workflow setting is checked, the **Personnel Notification** dialog will not appear.

Adding personnel to a list

If configured to do so, personnel can be added manually to the Task or Notification lists when:-

(i) you have business rules turned on and the *Show users to whom tasks and notifications are sent* option is also switched on and you want to add specific personnel in addition to those informed automatically by business rules or

(ii) you do not have business rules turned on but the *Show users to whom tasks and notifications are sent option* is switched on.

If (i) above, hit the **Add** button on the **Personnel Notification** dialog,

If (ii) above, hit the **Select** button to open the **Add Personnel to List** dialog.

On the **Tasks** page, add personnel to be sent a task message asking them to assess (or sign off) the NCR. On the **Notifications** page, add personnel to be notified of the progress of the NCR.

Click **OK** to add selected personnel to the Personnel Notification list and then...

if (i) above, click **OK** again to close the **Personnel Notification** dialog

if (ii) above, click **Continue** to close the dialog.

For help with adding personnel see Groups / Lists.

4.3 Reporting an assessed nonconformity

New for Workbench 11 and depending on access rights, reporting and assessing a nonconformity can be done at the same time.

Reporting an assessed complaint

1 Click on **Record** in the main Nonconformities menu.

2 Choose **Report Assessed NCR** from its pull-down menu. All the fields, buttons and pages are exactly as in Reporting a nonconformity.

3 Complete all the relevant fields and give as much information on the pages as required. The Customer and Contact fields may be mandatory depending on how the workflow setting has been configured.

4 A mandatory description must now be added on the **Description** page (as brief or as detailed as you wish) before saving the report. The **NCR References** page tab allows you to reference other NCRs if required. You may also select analysis categories on the **Analysis** page if relevant; some of these may be mandatory.

5 When you hit the **Save** button the **Confirm Nonconformity Assessment** window will appear where you should click on **OK** if you want to continue. Then enter a mandatory **Password** in the **Accept NCR** window - leave this blank if you have no password - and click **OK** again.

When you **Accept** the nonconformity its status becomes Accepted. Depending on the configuration of rules and action plans (if any) - and after various messages (if relevant workflow settings apply) the NCR moves to **Control | Assign Corrective Actions** and waits for corrective actions to be assigned. It also appears in:-

- **Control | Reassign NCR Severity** where its severity level may be altered at any time
- **Control | Reassign NCR Owner** where its owner may be re-assigned
- **Control | NCR Final Review** where it may be marked as ready for sign-off providing that a mandatory reason is given why no corrective actions have been assigned to the nonconformity.
- **Record | View NCR** where it is constantly updated and may be viewed at any time.

The NCR's History log is started, stating that it has been reported as assessed and assigned to the reporter/assessor (owner).

4.3.1 What happens next?

After reporting an assessed NCR, what happens next depends on various workflow settings and whether business rules and/or action templates are being used..

- If you are not using Business Rules or NCR Action Templates the Reported Assessed NCRs then move to **Control | Assign Corrective Actions** and wait for actions to be assigned to them. If the *Show users to whom tasks and notifications are sent* option is switched on, the Personnel Notification message box will allow you to select users who will be notified of the reported assessed NCR. Click on the **Select** button, add personnel (see Groups / Lists for help with this if required) and click **OK** when you have selected the chosen names.

  Click the **Continue** button to work through all the message boxes. Messages are all self-explanatory and, if configured to do so on the workflow settings in the **Workbench Configuration Centre**, you may also add notes to external messages when sent.

  The *Show NCR Description in external mail* workflow setting is unchecked by default. If checked, then each external mail message sent by the database will include the NCR description within the body of the e-mail.

- If you are using Business rules (and the NCR Action Templates element is not licensed) relevant personnel will be notified (if on Notifications list) or sent a task message to process an action / assign actions, depending on how the rules have been configured.

  If the *Show users to whom tasks and notifications are sent* option is switched on, the Personnel Notification message box will remind you who will be notified of the decision you have made. At this stage you may add to the list if you wish. Click the **Add** button to add personnel, otherwise click **OK**. If adding personnel, click **Close** when you've selected all the chosen names.

  Other messages will follow but all are all self-explanatory and, if configured to do so on the workflow settings in the **Workbench Configuration Centre**, you may also add notes to external messages when sent.

  The *Show NCR Description in external mail* workflow setting is unchecked by default. If checked, then each external mail message sent by the database will include the NCR description within the body of the e-mail.

- If you are using Business rules and the NCR Action Templates element is licensed, the first thing you will see after accepting the reported assessed NCR is the **Approve/Edit Action Plan** dialog - see Approving or editing an Action Plan.

4.4 Approving or editing an action plan

If you have the separately licensed NCR Action Templates feature installed, the **Approve/Edit Action Plan** dialog will load automatically when accepting a nonconformity in the **Assess NCR** or **Report Assessed NCR** dialog if any of the completed fields 'match' the conditions required for an action plan to trigger.

Action plan templates are originally set up in the **Settings** menu - see Corrective Action Templates . They are normally attached to Business rules but may still be used if the Business rules feature is not licensed - or licensed but not in use.

Approving or editing an action plan

The **Approve/Edit Action Plan** dialog only appears when you confirm acceptance (and enter your password) after assessing an NCR in either the **Assess Reported Nonconformity** or **Report Assessed Nonconformity** dialogs.

If Business rules are in use, the plan will be pre-populated with any actions that have been assigned via business rules. If rules are not being used, the list of Available action templates will still appear at the time of assessment and you may select any or none to be applied to the NCR.

1. Available action templates are listed on the left side of the dialog and Selected templates on the right. You may simply **Accept** the plan(s) as shown - or edit. Several messages may appear on the dialog regarding root causes, duplication or missing mandatory information etc; all these are self-explanatory. Multiple root cause actions are highlighted in blue; duplicate actions are highlighted in red.
2. Actions marked with an asterisk have missing mandatory information; this must be entered before continuing. To add this or just to view details of a plan, highlight the action and click on the **Details** button or simply double-click.
3. To complete mandatory information, select an assignee in the Assigned to field. Make any other edits required on both the **Action Details** and **Sign Off List** tabs.
4. If you want to move an Available action template to the Selected list, double-click on the action or highlight it and hit the middle arrow button. To remove a Selected action template from the list, highlight and **Delete**.
5. To create Additional Actions 'on the fly', click on the **New** button. You will then be able to define further actions on the **Action Details** tab that, when saved, will appear in the Additional Actions list. Use the **Sign Off List** tab to create a sign-off list for the additional action, if required (for help setting these up, see Corrective action templates). Actions created on the fly like this will only be used for this NCR, they will not be added to the 'library' of Action Templates found in **Settings | Corrective Action Templates**.
6. When the Action plan has been set up to your liking, enter your mandatory Password and click on **Accept**. If you do not have a password, leave the field blank.
7. To abandon the plan ie. you are effectively saying that you do not accept the plan, close the **Approve/Edit Action Plan** dialog using the ventilator (the cross in the top right corner). A message will appear asking you to confirm that you wish to abandon the action plan; if you click **Yes** the action plan will not be used but the system will continue to inform Business-rule-nominated personnel about the acceptance of the NCR.

   If configured to do so, you may now see various different messages allowing you to add personnel for notification and/or allowing notes to be added to external mail. If Business rules or an Action plan has personnel nominated to assign or process corrective actions they will be informed automatically. Again, these messages will be self-explanatory so work through them until the dialog closes.

4.5 No NCRs available

If there are no nonconformities available for selection under any NCR menu item an appropriate message will appear. This means that there are no NCRs with the appropriate status available for processing under that particular menu item.

4.6 Remote NCR reporting

For Workbench 11 there is a new, separately licensed feature that will allow you to report NCRs remotely.

A form, generated by a third party application (such as Notepad) will be a simplified version of the **Report Nonconformity** dialog. After this form has been completed it can be emailed as an .eqm file to a machine that supports the Workbench Nonconformities module. When the attachment is opened, Workbench will fire up automatically with the relevant NCR fields all filled in on the **Report Nonconformity** dialog.

The workflow setting *Allow remote NCR import* that controls the feature can be found in the Workbench Configuration Centre **|** System Wide **|** Nonconformity Settings. It defaults to off, but when checked will automatically pre-populate the **Report Nonconformity** dialog.

The History entry - NCR imported via remote NCR by <user> **-** will be generated when the remote form is used.

4.7 Assessing a nonconformity

Like other stages in the cycle, assessment has its own menu item and is likely to be seen by most companies as needing fairly tight security. Assessment is a fairly serious step because the NCR is ‘set in stone’ from that point onwards except that its severity or owner may be re-assigned.

Assessment is done by one individual only. If a number of personnel have the right to assess a given nonconformity, any one of them can do so.

Users who can assess a nonconformity can be determined by the administrator granting access at menu level and also by the application of Business rules.

There is also a separate routine and associated menu item for assessing a nonconformity on behalf of another user.

Reported nonconformities move from the **Record** menu to the **Control** menu and wait under **Assess NCR** (and **On Behalf of / Assess NCR**) until they are selected for assessment.

The **Assess NCR** dialog allows users to assess any nonconformity with the status Unconfirmed for which there is either no assessment list or where there is a list and the user is on it.

If the workflow setting *Display 'Reject' button in 'Assess Reported Nonconformity'* is unchecked then the **Assess Reported Nonconformity** dialog will not display the **Reject** button and therefore must be accepted for assessment.

Assessing a nonconformity

1 Click on **Control** in the main Nonconformities menu and select **Assess NCR** from its pull-down menu.

2 Select the nonconformity you wish to assess using any method (see Selecting a nonconformity) and the **Assess Reported Nonconformity** dialog will appear.

3 Check all the details on the main page and edit as necessary. Users with appropriate access

rights may add, edit or remove files relevant to the nonconformity via the Attachments button.

NB. Certain fields cannot be edited - these appear in grey type. The original description is also left intact and can thus always be referred back to. All other fields may be edited by the assessor if required and empty fields may be completed if applicable. See Reporting a nonconformity for descriptions of all the fields.

If upgrading to Workbench 11 please be aware that the **Customer** and **Contact** fields have been added to the NCR report form and with the appropriate workflow setting checked, these may be mandatory. If this is the case, on assessment these fields must be completed before you will be allowed to **Accept** or **Reject** the NCR.

4 Click on the **Description** page. The description that was given when the nonconformity was first reported will be there, along with the date of the report. Neither is editable but the assessor may add further notes.

5 Click on the **References** page. If a document was selected when the NCR was reported, the document details will be shown here; if not, you may still add a document and **View** it and/or its **Attributes** via the relevant button.

If Nonconformity references were added when the NCR was reported, these will also be shown here; if not, or you wish to add more, you may still do so here. To **View** or **Remove** an existing NCR reference use the relevant buttons.

The Nonconformity Origin field shows which module the NCR was raised from.

6 Click on the **Analysis** page. User-definable analysis categories, originally set up in the **Settings** menu will be available for selection. Check that those relevant to this nonconformity have been selected.

Analysis categories in ‘check’ boxes should be ticked if appropriate; those in drop-down lists should be selected from the pull-down menus. You may add a category to an 'additive combo box’ and/or enter values in text boxes. Categories that involve dates can be entered using Date buttons.

7 You must make a decision whether to **Accept**, **Reject*** or **Defer** the nonconformity (using the appropriate button on the Details page). *The system administrator may hide the **Reject** button using a workflow setting; if this is the case, and there is no visible **Reject** button then the NCR can only be accepted or deferred.

Having made any changes desired, the assessor may still then opt to defer the nonconformity for a later decision. In this case, any changes made can be saved. Alternatively a decision to accept or reject the alleged nonconformity can be made either ‘as is’ or with changes. You may accept or defer the decision without giving reasons; if you reject the nonconformity, you must give reasons for the rejection.

8 When you click on one of the buttons, the **Confirm Nonconformity Assessment** window will appear. The box at the top will read Accept, Reject or Defer as appropriate.

9 Click on **OK** if you are sure about the decision and then give a rejection reason if requested. If you have either accepted or rejected the NCR you will also be asked to confirm your password.

If the **NCR Action Templates** feature is licensed and you have accepted the assessed NCR, the **Approve/Edit Action Plan** dialog will now appear. To approve, edit or abandon the action plan(s) see Approving or editing an action plan.

After configuring the action plan (if applicable) as you want, or abandoning it, various messages are then generated, all of which are self-explanatory, and if configured to do so on the workflow settings in the **Workbench Configuration Centre**, you may add notes to external messages when sent.

If Business rules are turned on and/or the *Show users to whom tasks and notifications are sent* option is switched on, the Personnel Notification message box will remind you who will be notified of the decision you have made. At this stage you may add to the list if you wish.

10 Click on **OK** or, if personnel are to be added, click on the **Add** button (or **Select** button if business rules are not being used). If adding personnel, click **Close** when you have selected all the chosen names.

11 Then close the **Select NCR for assessment** dialog (or choose another NCR for assessment).

4.7.1 What happens next?

Whatever the decision, it is recorded in the History log of the NCR.

If you **Accept** the nonconformity its status becomes Accepted; it moves to **Control | Assign Corrective Actions** where corrective actions will be assigned. It also appears in:-

- **Control | Reassign NCR Severity** where its severity level may be altered at any time during its life cycle
- **Control | Reassign NCR Owner** where its owner may be re-assigned
- **Control | NCR Final Review** where it may be marked as ready for sign-off providing that a mandatory reason is given why no corrective actions have been assigned to the nonconformity.
- **Record | View NCR** where it is constantly updated and may be viewed at any time.

If you **Reject** the nonconformity it progresses no further and its cycle is terminated. It remains available to view in **Record | View NCR** where its status is classified as Rejected. It also appears in **Control | Purge NCRs** where it remains indefinitely until purged.

If you **Defer** the nonconformity it simply remains in the list of NCRs available for assessment in **Control | Assess NCR** at a future date. An entry is still made to its History log about when it was deferred and by whom.

4.8 Reassigning a severity level

All nonconformities can be assigned a severity level when they are initially reported and/or assessed. Severity levels are defined by yourself in the **Settings** menu (see Severity levels) and should reflect the terminology used by your organisation.

For Workbench 11, there is new workflow setting (Workbench Configuration Centre | System Wide | Module Settings | Nonconformity Settings) that if checked, will force the Severity field to be mandatory.

At any stage following assessment but before sign-off, the severity level of an NCR can be changed. It is in essence a 'back stop' measure that rapidly allows the escalation of an NCR, ie. if a problem proved much more serious than the original assessment indicated, this would allow the relevant personnel to be informed.

The effect of a change in severity is really as if the nonconformity had been re-assessed. If Business Rules are in use, the system then determines the new set of personnel to deal with the revised problem.

Severity levels can only be changed by the system administrator or the NCR owner through the **Control | Reassign NCR Severity** dialog. Severity levels cannot be changed 'on the fly'.

Reassigning a severity level

1 Select **Control** from the main Nonconformities menu.

2 Choose **Reassign NCR Severity** from its pull-down menu.

3 Select the relevant nonconformity using any search filter(s) or method(s) as described in

Selecting a nonconformity. All fields apart from **Severity** are read-only. You may however add notes on the **Description** page if required.

4 Select the revised severity level from the drop-down menu; levels are set up in the **Settings** menu. Choose the top blank field if you wish to clear the severity level altogether.

5 Click on **Save**.

If you are using Business rules and the change in severity means that other personnel should be informed, this will happen automatically. If there is a rule defined that matches the new severity, then users on that rule will be sent the notification - *Nonconformity <xx> severity level changed to <xxx>*. If the severity is cleared altogether, then the notification - *Nonconformity <xx> severity cleared* - will be sent to the NCR owner.

An entry will be written to the History log of the NCR, stating the revised severity level and who changed it.

4.9 Reassigning an NCR owner

This dialog is the only way a user can re-assign ownership of an NCR once it has been reported. It displays all the basic NCR information in read-only format, with the exception of the **Owner** field; the Description page may be appended.

You may reassign ownership of any NCR that has been assessed (even if it has had all its corrective actions signed off) up until the time that it has been marked ready for sign-off.

NCR ownership may be re-assigned by any user with full access rights to the menu item.

Reassigning NCR ownership

1 Select **Control** from the main Nonconformities menu.

2 Choose **Reassign NCR Owner** from its pull-down menu.

3 Select the relevant nonconformity using any search filter(s) or method(s) as described in Selecting a nonconformity.

All fields apart from **Owner** are read-only; you may however add notes on the **Description** page if required.

4 Use the Search button to select a new owner for the nonconformity and/or add notes on the Description page.

5 Click on **Save**.

Messages will be sent to the original owner telling them that they are no longer responsible for the NCR and to the new owner informing them that the NCR has now been assigned to them.

An appropriate entry will be written to the History log.

4.10 Changing NCR details

The walk-right menu off the **Change NCR Details** menu item gives four further options for changing details of an NCR.

You may edit the mandatory description of any reported NCR, but to change the target date, user reference or search code the NCR must have been assessed and have Open status.

4.10.1 Editing an NCR description

The **Edit NCR Description** dialog allows the description field of a nonconformity that is pending assessment (Reported status) to be edited by either the administrator or the user who originally reported the nonconformity. It can be found on the walk-right menu off **Change NCR Details** in the **Control** menu and appears exactly as the **Report NCR** dialog.

All pages are read-only (with appropriate access rights) apart from the **Description** page where you may amend existing descriptions and/or add further description notes. Also, on the main **Details** page, Attachments may be viewed, added, amended or removed by any user with appropriate access rights.

Once the NCR has been assessed, the original **Description** can no longer be edited but you may add further notes at various other stages of the NCR's progress.

4.10.2 Changing target dates

The **Change Target Dates** dialog allows target dates of NCRs and corrective actions to be altered, providing that the NCR still has 'Open' status. The dialog also allows for a target date to be added if one had not been specified before. Changing target dates (or adding them after the NCR has been assessed) can only be done through this menu option.

The dialog initially displays a list of all NCRs that the logged-in user has assessed but that have not yet been marked for final review. If the logged-in user is the administrator, then all NCRs that have been assessed but not yet marked for final review will be shown.

Target dates entered as a result of the *Number of days added to NCR dates reported for target date* workflow setting being switched on via the Nonconformity workflow settings, may still be altered using the **Change Target Dates** menu option.

NB. It is not possible to change target dates via the **On Behalf Of** menu.

Changing a target date

1 Click on **Control** in the main Nonconformities menu.

2 Choose **Change NCR Details** from its pull-down menu and then **Change Target Dates** from the walk-right menu.

3 Select the nonconformity whose target date (or target date of a corrective action belonging to the parent NCR) you wish to change, using any method (see Selecting a nonconformity) and the **Change Target Dates** dialog will appear.

4 The dialog has two pages; the first, **NCR Details**, is read-only apart from the **Target Date** (and **Time**) that may be changed. As soon as a change is made, the **Reason for Target Date Change** box becomes mandatory.

5 Enter a reason for the change in the **Reason for Target Date Change** box.

6 The **Actions** page lists all actions (if any) with a status before 'Completed'. Highlight the required action and click on the **Select** button (or simply double-click on the required action) to display the basic action details.

7 The **Target Completion Date** on the **Actions** page can be amended in the same way as changing the date for the NCR. A reason for the change will only become mandatory once an action has been accepted by the assignee.

8 **Save** the change(s). You will be asked to verify your password as the changes are saved.

If amended dates fall before the existing target dates, a warning will be given but the user may continue.

All amendments are recorded in the NCR's History log, where the reason(s) for the date change are accessible via a right mouse click on the relevant history entry.

Relevant tasks, notifications and calendar entries will automatically be updated.

See also Target Date History report

4.10.3 Editing a user reference

For NCRs with 'Open' status the **Change User Reference** dialog allows you to add a user reference if one doesn't exist - or to edit an existing one.

1 Click on **Control** in the main Nonconformities menu.

2 Choose **Change NCR Details** from its pull-down menu and then **Change User Reference** from the walk-right menu.

3 Select the nonconformity whose user reference you wish to change, using any method (see Selecting a nonconformity) and the **Edit NCR User Reference** dialog will appear.

   All pages are read-only (with appropriate access rights) apart from the **User Ref** field on the **Details** page; Attachments may also be viewed, added, amended or removed by any user with appropriate access rights and the User Defined action button (if one is present) will still be active and give direct access to an editor.

   You may also add further descriptive notes on the **Description** page, view document/document attributes if referenced on the **References** page and view corrective actions on the **Actions** page.

4 **Save** any changes

An appropriate History entry will be made if a User Reference is added or edited.

4.10.4 Editing search codes

For NCRs with 'Open' status the **Change Search Code** dialog allows you to add a search code if one doesn't exist - or to edit an existing one.

1 Click on **Control** in the main Nonconformities menu.

2 Choose **Change NCR Details** from its pull-down menu and then **Change Search Code** from the walk-right menu.

3 Select the nonconformity whose search code you wish to change, using any method (see Selecting a nonconformity) and the **Edit NCR Search Code** dialog will appear.

   All pages are read-only (with appropriate access rights) apart from the **Search Code** field on the **Details** page; Attachments may also be viewed, added, amended or removed by any user with appropriate access rights and the User Defined action button (if one is present) will still be active and give direct access to an editor.

   It may also still be possible to add further descriptive notes on the **Description** page, to view document/document attributes if referenced on the **References** page and to view corrective actions on the **Actions** page.

4 **Save** any changes

An appropriate History entry will be made if a Search Code is added or edited.

5 Selecting and viewing records

This section gives details of various standard procedures for selecting and viewing records in the Nonconformities module; they are consistent with dialogs used throughout Workbench.

5.1 Selecting a nonconformity

The dialog for selecting a nonconformity, whatever its status, remains standard throughout the Nonconformities module. In addition to comprehensive ordering and filtering systems in the main dialog there is also an **Advanced Search** dialog; it is therefore possible to find a specific nonconformity very quickly even when a large number are listed.

The procedures described can be used to search for nonconformities in any relevant menu item in this module. The **View NCR** dialog is used here to demonstrate a typical Select NCR routine.

1 Select **Record** from the main Nonconformities menu.

2 Choose **View NCR** from its pull-down menu and the **Select Nonconformity to View** dialog appears. Select the NCR to assess using one of the following methods (or a combination).

- Set up any of the Nonconformity Search Criteria with the help of the following notes.

  At any time the Search button allows you to search for records listed in different ways. In this dialog the Search button allows you to search for nonconformities by their NCR Number (keyboard shortcut F3), by their User Ref. (F4), by using a known word within their Summary (F5) or by Search Code (F7).

  To search for an NCR in the top field, type in the relevant number / characters; then press the keyboard shortcut or right-click on the Search button and choose a search method.

  Date of Incident and/or **Date Reported**. Click on the relevant 'Before' or 'On or after' radio button(s) and then select the appropriate date(s) using the Date button. The list of nonconformities will then be filtered to show only those that fall within the required date range (s).

  Filter by. Click on any or all of the drop-down menus in the NCR Type, Status or Severity fields to reveal the categories currently available. Select any of these categories. **NB**. You will only be able to select a Subtype once a Type has been chosen. Nonconformities that are not in the selected categories will be filtered out of the main 'NCRs matching Search' list.

  The list of NCR Types and Severity levels are those that have been set up in the **Settings** menu. The categories shown under Status are built into the program and explained in Nonconformity status progression.

- For a more detailed search, tick the **Advanced Search** box and click on the **Advanced Search** page. This facility works in conjunction with the 'standard' searches on the main dialog and is particularly useful when the list of nonconformities to select from is extremely long.

- Simply scroll the list of 'NCRs matching Search' until you find the appropriate one.

Advanced search

The **Advanced Search** page allows you to narrow the search for NCRs.

1 Select the *Advanced Search* check box on the main page and then click on the **Advanced Search** page.

2 Use Search buttons and/or drop-down menu(s) to enter relevant information into selected fields.

3 If a **Product ID** is selected, the name of the product will appear alongside it.

Click the **Clear** button to clear all selected fields if required.

4 When you have set up all the relevant search criteria, go back to the main **Select NCR** page; the only records left in the 'NCRs matching Search' grid will be those that meet all the criteria set up on both pages.

5.2 Selecting a corrective action

The dialog for selecting corrective actions, whatever their status, remains standard throughout the Nonconformities module.

Demonstrating a typical Select Action dialog

1 Choose **Process Corrective Actions** from the **Control** menu.

2 If the list of actions is not too long, select the relevant action by highlighting it (scroll if necessary) and click the **Select** button (or simply double-click on it).

If the list of actions is long, search for a specific action using any method(s) detailed below:-

- use the Search button to search for actions by Action Number (F3), by NCR Number (F4) or to find a word or phrase within the Summary (F5)
- use the **Order by** filter to order the list of actions by any of the given categories - NCR No., Action No. or Target Date. Click on the relevant 'radio' button
- elect to see only actions that are due before a certain date by entering the relevant date in the **Target Date** field
- use the **Filter by** drop-down menus to filter the list by Action Status (see Corrective action status progression) or Action Type (see Corrective action types) and/or use the Search button to search for actions that have a specific **Actionee**.

3 Only actions that match the search criteria will now be left in the list.

You may use any or all of these search / filter methods in any **Select Correction Action** dialogs.

5.3 Viewing a nonconformity

You may view a nonconformity at any time during its life cycle, under **Record | View NCR**. The status of the nonconformity is constantly updated so that viewing at any time will give you a full, current picture of its position in the processing cycle. Nonconformities do not disappear from this menu item until they have been withdrawn or purged. Withdrawn NCRs can be viewed in **View Withdrawn NCR** but when an NCR is purged, all trace of it is removed from the system.

Viewing a nonconformity

1 Select **Record** from the main Nonconformities menu.

2 Choose **View NCR** from its pull-down menu.

3 Locate the nonconformity you wish to view using any method described in Selecting a nonconformity. The **View Nonconformity** will appear.

On the **Select Nonconformity to View** dialog you have the option to re-order the list of NCRs so that the most recent one is shown first (click on the ID header to re-order the list).

The system-generated complaint number appears in the first field. All pages are read-only and are constantly updated. This means that you can always see the current progress of the NCR and its corrective actions. Users with appropriate access rights may click on the Attachments button to view files attached to the nonconformity.

The **Description** page will show all notes made on the nonconformity.

The **References** page shows details of any document attached to the nonconformity. If viewing a document that has its *Convert document to PDF format* workflow setting selected with a value other than 'Never', then the document will appear as a PDF file.

If Nonconformity references have been added, these will also be shown here; use the **View** button to view a highlighted reference.

The Nonconformity Origin field shows which module the NCR was raised from.

The **Analysis** page shows all relevant categories selected.

The **History** page lists all the entries that have been made to the nonconformity log so far; right-clicking on an entry will reveal additional information if applicable (eg. reason(s) for a target date change). Whenever an action has been carried out as a result of forward messaging, its corresponding history entry is suffixed with an asterisk (*). To view details of the user who undertook the action, right-click on the relevant entry.

The **Actions** page shows all corrective actions assigned to the nonconformity along with their progress. They will be listed either numerically (F3) or by their Summary (F5). You may view any of these actions in detail...

- using the Search button
- by highlighting the action and clicking on **Select**
- by double-clicking on the action.

No NCRs available

If there are no NCRs (or actions) available for selection under the **Control** menu options, the message 'There are no NCRs available for this operation' will appear. This means that there are no NCRs (or actions) the appropriate status available for processing under that particular menu item for the logged-in user.

If you feel that there should be an NCR (or action) available and know the number of the NCR you expected to find, go to **Record | View NCR**. Look at the details of the NCR and actions to find their current status. Reading the **History** log of the relevant NCR may also help track them down. You could also try **NCR Sign-off Progress** or **CA Sign-off Progress** where NCRs or actions are ready for sign off.

5.4 Viewing progress of NCR sign-offs

If you wish to check the progress of sign-off on a specific nonconformity, you may do so in **Record | NCR Sign-off Progress**. The dialog gives a list of all personnel on the relevant sign-off list and whether or not they have signed off the nonconformity.

All nonconformities must have the status of Awaiting Sign-off before they will appear in this menu.

Viewing the progress of sign-off for a nonconformity

1. Select **Record** from the main Nonconformities menu.
2. Choose **NCR Sign-off Progress** from its pull-down menu. You will be presented with the standard **Select NCR** dialog listing all nonconformities with Awaiting Sign-off (Closed) status.

3 Select the nonconformity you wish to view using any method(s) described in Selecting a nonconformity.

The **Sign-off Progress for Nonconformity <xx>** dialog will appear, listing all personnel on the chosen NCRs Sign-off list.

Using the radio buttons in the **Order by** field, you may order the list alphabetically by Surname or by bringing users who have not signed off to the top of the list. The final column shows whether the user has signed the nonconformity off (Y) or not (N).

If the list of personnel is long you may wish to use the Search button to search by ID (F3) or by Surname (F6).

5.5 Viewing progress of corrective action sign-off

If you wish to check the progress of sign-off of corrective actions you may do so in **Record | CA Sign-off Progress**. This dialog gives a list of all personnel on the relevant sign-off list and whether or not they have signed off the action.

For corrective actions to appear in this menu option:-

- there must be a sign-off list **and**
- actions must have Completed status.

If this is the case.....

1 Select **Record** from the main Nonconformities menu.

2 Choose **CA Sign-off Progress** from its pull-down menu. You will be presented with the standard **Select Corrective Action** dialog listing all corrective actions with Completed status.

3 Select the required action using any method(s) described in Selecting a corrective action.

The **Sign-off Progress for Corrective Action <xx>** dialog will appear for the selected corrective action; the system-generated numbers of the parent NCR and its CA will be stated at the top of the dialog and all personnel on the chosen corrective action’s Sign-off list will be listed.

Radio buttons allow you to order the list by Surname or to bring users who have not signed off to the top of the list. The final column shows whether each listed user has signed off the corrective action (Y) or not (N).

If the list of personnel is long use the Search button to search by ID (F3) or by Surname (F6).

6 Corrective actions

When a nonconformity has been assessed and accepted, its status changes from Unconfirmed (Reported) to Accepted (Open) and at this point actions are usually set up that will hopefully rectify the nonconformity - these are referred to as corrective actions. When Business rules and/or action plans are in use, corrective actions may be automatically assigned if a rule or plan is triggered.

However it is not mandatory to assign corrective actions; if none are entered, then a reason must be given at **NCR Final Review**.

Each corrective action is set up and recorded separately and can therefore be assigned to different personnel. Each may follow a different processing path but all must eventually be marked as Completed or Abandoned before they can be signed off. When all actions attached to a parent nonconformity are signed off, the nonconformity appears as a 'whole' again and continues through its cycle.

No actions available

If there are no actions available for selection under any menu item (**Process**, **Abandon**, **Re-assign** or **Sign off Corrective Action**) the message 'There are no actions available for this operation' will appear.

This means that there are no actions with the appropriate status available for processing under that particular menu item for the logged-in user.

If you feel that there should be an action (or NCR) available and know the number of the NCR you expected to find, go to **Record | View NCR**. Look at the details of the NCR and actions to find their current status. Reading the **History** log of the relevant NCR may also help track them down. You could also try **CA Sign-off Progress** where corrective actions are ready for sign off.

6.1 Assigning corrective actions

After nonconformities have been accepted by the assessor they move to **Control | Assign Corrective Actions**. This dialog allows the original assessor (who is now the owner of the nonconformity) or the administrator to create and edit corrective actions for a specific nonconformity that has been accepted but not yet signed off. The administrator and users with appropriate access may also assign corrective actions on behalf of another user (see Performing a task on behalf of another user).

A specific actionee must be nominated (on the Actions page) when the corrective action is assigned. The assignor can also stipulate a sign-off list for each corrective action (on the Sign Off page).

Assigning corrective actions to a nonconformity

1. Select **Control** from the main Nonconformities menu.
2. Choose **Assign Corrective Actions** from its pull-down menu.
3. Select the nonconformity you wish to assign corrective actions to using any of the search methods described in Selecting a nonconformity. The **Assign Corrective Actions** dialog will appear, open at the Actions page.

If you wish to access the User-defined action button, for example, to automatically produce an incident form (or whatever you have set the button up to achieve) go to the **NCR Detail** page. The button is situated half way down the page on the right hand side.

All other pages are read-only.

6.1.1 Actions page

If you have previously assigned corrective actions to this nonconformity, they will be listed on the **Actions** page of the **Assign Corrective Actions** dialog and may be edited until accepted by their assignee. (To do this, double-click on the relevant action.) Once a corrective action has been saved, it may be re-selected in order to raise a CRQ (see Raising a Change Request).

Each corrective action that is compiled to rectify the nonconformity must be logged individually. This means that each can be assigned to a different user and each can have different personnel to sign off the action when completed.

1 To enter a new corrective action click on the **New** button. Two further Action tabs will open - **Action Details** and **Action Analysis**.

2 The **Action No**. field on the Action Details tab shows the system-generated action number.

3 Enter a mandatory action **Summary**.

4 Check the *Is Root Cause* check box if you feel this corrective action embodies the root cause of the whole NCR.

5 Assign the action (the only other mandatory field) and add as much other information as required using the notes below.

   Files may be added to, amended or removed from the corrective action by the administrator and/or the NCR owner using the Attachments button (next to the Summary field).

   The **Description** field allows relevant notes on the action to be recorded.

   Action Type - Corrective actions may be of a certain standard type. These should be set up initially in the **Settings | Corrective Action Types** and can then be searched for in this dialog using the Search button. It is useful to record an Action Type as they may be used in search filters and when compiling reports.

   Until the action has been assigned its **Status** is ‘New’.

   Document. You will only be able to specify issued documents to be linked to this action if you have the Document Control module installed. The selected document may be a PDF or in its original format depending on the configuration of its workflow settings.

   Assigned to is a mandatory field - select the member of staff you wish to assign the corrective action to using the Search button. (Personnel records are set up in the Personnel module).

   If the Assignee is attached to a specific department, the **In Department** field will be entered automatically when **Assigned to** is completed. It cannot be edited. (Departments are set up in the System Manager module).

   Enter an **Estimated Cost** field for this corrective action if appropriate.

   You may also enter a **Target Completion Date** if this is required. A date entered here will appear as a reminder in the Calendar on the appropriate day. It may be edited - see Changing target dates.

6 Go to the **Action Analysis** page tab to select Analysis categories if required. Be aware that some of these fields could be mandatory. Corrective action analysis categories are originally set up in **Settings | User Defined Analysis | Corrective Actions**.

7 **Save** each corrective action in turn. As each is logged, it is given a system-generated reference number (starting at 1 for each new nonconformity). Each corrective action must be saved before it is possible to nominate personnel on the **Sign Off** page.

8 When you have entered all the CAs to be assigned against the chosen NCR, click on the Sign Off page to nominate specific personnel to sign off each or any action (if required). If no personnel are nominated here, the actions may be signed off by anyone with access rights.

6.1.2 Sign off page

A nonconformity cannot complete its cycle until each of its corrective actions have been completed and signed off. Each corrective action may be signed off by a different person and unless you nominate specific personnel or personnel group, the actions may be signed off by any one user with access rights.

On the **Sign Off** page you may nominate personnel to sign off any or all corrective actions. Where more than one person has been nominated, all must sign off the action. A task request will be sent to nominated personnel at the appropriate time; the task will appear in the list revealed by the Tasks button on their main tool bar.

Selecting personnel to sign off a corrective action

1 Make sure you are in **Control | Assign Corrective Actions** and that actions have been assigned to the chosen nonconformity on the **Action Details** page tab.

2 Select the **Sign Off** page.

3 Select the appropriate Action from the drop-down menu (you will not be able to select personnel until you have selected an action).
NB. You will need to **Save** any new action before it appears on the drop-down menu for selection.

4 Select the personnel and/or personnel group(s) you wish to sign off this action (see Groups / Lists for help with selection if necessary).

5 Save your choice of personnel before moving on to choose another action and personnel.

6 When you have finished selecting personnel to sign off the action(s), click on **Save**; return to another page or click on **Close** to return to the main window.

What happens next?

Entries are made to the History log of the parent nonconformity and may be viewed in **Record | View NCR**. Right-clicking on the entry will display the individuals/groups on the sign-off list.

The nonconformity now progresses through its cycle as a series of individual corrective actions, each with Assigned status. Prospective assignees are informed by a message on their tool bar that there is an action waiting to be processed. Each action is listed independently in **Control | Process Corrective Actions**, where they wait for the relevant assignee to either accept or reject them.

6.2 Corrective action status headings

There are six status headings for corrective actions :- Assigned, Pending transfer, Accepted, Rejected, Abandoned or Completed.

6.3 Selecting a corrective action

The dialog for selecting corrective actions, whatever their status, remains standard throughout the Nonconformities module.

Demonstrating a typical Select Action dialog

1 Choose **Process Corrective Actions** from the **Control** menu.

2 If the list of actions is not too long, select the relevant action by highlighting it (scroll if necessary) and click the **Select** button (or simply double-click on it).

If the list of actions is long, search for a specific action using any method(s) detailed below:-

- use the Search button to search for actions by Action Number (F3), by NCR Number (F4) or to find a word or phrase within the Summary (F5)
- use the **Order by** filter to order the list of actions by any of the given categories - NCR No., Action No. or Target Date. Click on the relevant 'radio' button
- elect to see only actions that are due before a certain date by entering the relevant date in the **Target Date** field
- use the **Filter by** drop-down menus to filter the list by Action Status (see Corrective action status progression) or Action Type (see Corrective action types) and/or use the Search button to search for actions that have a specific **Actionee**.

3 Only actions that match the search criteria will now be left in the list.

You may use any or all of these search / filter methods in any **Select Correction Action** dialogs.

6.4 Processing a corrective action

When a nonconformity has been assessed and has had corrective actions assigned to it, each of the actions has to be processed; before this can take place the actions must first be accepted by the assignee.

Many organisations now consider it important, in modern quality management terms, that actionees fully understand and accept actions assigned to them before they embark on the actions required; **Process Corrective Actions** allows assignees to review corrective actions for which they are the prospective actionee (unless the assignee is also the administrator these are the only corrective actions they will be able to view) and they may then either accept the corrective action or reject it.

The **Process Corrective Actions** dialog also allows the prospective assignee of a corrective action to accept or reject unaccepted actions and reject, update or mark as completed, actions that have been accepted; actions that have previously been rejected may also be accepted. Actions in this dialog must have the status of Assigned, Accepted or Rejected.

Prospective assignees are informed by a task request on their tool bar that an action is waiting to be processed; access can be gained directly from the tool bar by double-clicking on the relevant action.

- If the prospective actionee accepts the work, the assignor is notified and the actionee becomes the 'owner' of that action. An entry is written to the History log.
- If the actionee rejects the assignment they must give reasons for their refusal and the assignor is notified. An appropriate entry is again written to the History log. When the assignor has had time to evaluate the reason(s) for rejection and/or after discussion has taken place between the parties concerned, one of the following outcomes is likely:-
  - the corrective action will be judged unnecessary and abandoned altogether (see Abandoning a corrective action)
  - the corrective action will be accepted by the actionee in its original form
  - the actionee will accept the corrective action but in a modified form
  - the rejection will be accepted and the corrective action will be re-assigned to another member of personnel (see Re-assigning a corrective action).

In any of these situations a suitable entry is written to the History log and the system then tracks the subsequent progress of the 'rejected' corrective action.

See also: Accepting or rejecting an assigned action

6.4.1 Raising/viewing a change request

A change request may be raised either in **Assign Corrective Actions** (on the **Actions** page of an open, editable corrective action) or in **Process Corrective Actions** (**Actions** page).

The **CRQ** button gives direct access to the Raise Change Request dialog in Document Control but will be disabled unless you have the Document Control module installed. The dialog works exactly as it does in Document Control except that it can only raise one change request against one document. If a change request has already been raised when assigning the corrective action, the **CRQ** button in **Process Corrective Action** will give direct access to the CRQ (read-only).

When change requests are raised via the Nonconformities module, their NCR No. and Summary are shown when opened for processing in the Document Control module; this identifies the origin of the CRQ.

6.5 Accepting or rejecting an assigned action

1 Select **Control** from the main Nonconformities menu and choose **Process Corrective Actions** from its pull-down menu.

2 Select the corrective action that you wish to process (see Selecting a corrective action).

The selected corrective action will appear showing its current details, personnel nominated for sign-off (if any), history and details of the parent NCR. Whenever an action has been carried out as a result of forward messaging, its corresponding **History** page entry is suffixed with an asterisk (*). To view details of the user who undertook the action, right-click on the relevant entry. All pages are read-only.

The administrator, NCR owner and/or assignee of the corrective action may add, edit or remove files attached to the corrective action, using the Attachments button.

3 When you have read all the details, click on either the **Accept** or **Reject** button. Enter your password when requested to do so and provide a mandatory **Reason for Rejection** if you reject the assigned action. You may only accept or reject the action at this stage.

NB. If you want to accept and complete the action at the same time, first click on **Accept**, then re-select the action (in **Select Corrective Action to Process**) after its status has changed to Accepted. Then see Completing an accepted action.

Accepting a corrective action - what happens next?

An appropriate entry is made to the History log. The action's status changes to Accepted and it remains in **Control | Process Corrective Action** where it may be called up and completed at the appropriate time.

Its parent NCR also remains in **Control | Assign Corrective Actions** so that further actions can be added at any time up until it has had its Final Review.

Full details and history of the parent NCR and its corrective actions can still be viewed in **Record | View NCR**.

The action is also now in **Control | Reassign Corrective Action** where the NCR owner or administrator may reassign it if required.

Rejecting a corrective action - what happens next?

When you click on the **Reject** button, you will be asked to give reasons for the rejection. The NCR owner will receive a task message to reassign the action as it has been rejected (they may view the reason for rejection).

An appropriate entry is made to the History log of the parent NCR, which may be viewed in **Record | View NCR**.

Rejected actions remain in **Control | Process Corrective Actions** and may be recalled at any time to be accepted. They also appear in **Control | Abandon Corrective Action** where they may be abandoned at any time by the NCR owner.

6.6 Updating an accepted action

You may 'update' a corrective action with Accepted status by adding notes to the **Description** field on the **Action Details** page. You may also raise a change request or access the user-defined action button on the **NCR Details** page.

1. Select **Control | Process Corrective Actions**.
2. Select the relevant action from the list.
3. Update the **Description** field on the **Action Details** page, raise a change request or access the user-defined action button on the **NCR Details** page.
4. Click on the **Update** button and the update will be noted in the parent NCR History log.

6.7 Completing an accepted action

Marking an accepted corrective action as 'Completed' is done in **Control | Process Corrective Actions**. To do this...

1. Select **Control | Process Corrective Actions**.
2. Select the relevant action from the list.
3. You must enter a mandatory **Actual Completion Date** (on the **Action Details** page); you may also append the **Description** field and/or add an **Actual Cost**.
4. Click on the **Completed** button.

An appropriate entry will be made to the History log of the parent NCR.

A corrective action with Completed status moves to **Control | Sign off Corrective Action**.

6.8 Accepting a previously rejected action

You may wish to accept an action that you have previously rejected. This is achieved in **Control | Process Corrective Actions**...

1. Select **Control | Process Corrective Actions**.
2. Select the relevant action from the list.
3. All information shown is read-only but you will be able to click on the **Accept** button.

4 Then follow any route for an accepted action.

An appropriate entry will be made to the History log of the parent NCR and the action now follows the ‘normal’ path of an accepted action.

6.9 Abandoning a corrective action

Normally, once accepted, a corrective action proceeds through to completion and sign-off. However, it is conceivable that a corrective action might prove ill-advised for some reason once work has started and therefore needs to be abandoned.

The **Abandon Corrective Action** dialog allows the assignor of a corrective action (or the administrator) to abandon the action if rejected by its assignee; they may also add, edit or remove files attached to the corrective action, using the Attachments button. Only corrective actions with the status of Rejected may be abandoned. A sign-off procedure follows as this is potentially a serious step.

Admin. and users with appropriate access may also abandon corrective actions on behalf of another user (see Performing tasks on behalf of other users).

Abandoning a rejected action

1 Select **Control** from the main Nonconformities menu.

2 Choose **Abandon Corrective Action** from its pull-down menu.

3 Select the required corrective action using filters and/or search buttons or simply by scrolling and double-clicking (see Selecting a corrective action).

Full details and history of the selected action will be shown but all are in grey type signifying that nothing can be altered. Rejection reasons attached to relevant entries in the History log can be viewed by right-clicking.

4 Enter a **Date Abandoned** (mandatory field on the Action Details page).

5 Click on the **Abandon** button.

What happens next?

The status of this action is now Abandoned and the only place it will appear is in **Control | Sign off Abandoned Corrective Action**.

An appropriate entry is made to the parent NCR History log.

6.10 Reassigning a corrective action

If the owner, original assignor or the administrator wish to reassign an action to a different assignee they may do so using **Reassign Corrective Action**. At this stage they may also add, edit or remove files attached to the corrective action, using the Attachments button. If files have already been attached to the corrective action, the paper-clip on the Attachments button will be yellow and the figure alongside will show how many attachments there are.

Only actions with Accepted status can be reassigned; actions may be reassigned by the original assignor, the owner or admin.

Admin. and users with appropriate access may also reassign corrective actions on behalf of another user (see Performing a task on behalf of another user).

Reassigning an accepted corrective action

1 Select **Control** from the main Nonconformities menu.

2 Choose **Reassign Corrective Action** from its pull-down menu.

3 Select the corrective action you wish to re-assign from the **Select Corrective Action for Reassignment** dialog - use filters and/or search buttons if required or simply scroll and double-click (see Selecting a corrective action).

4 Use the Search button to select a new assignee in the **Assigned to** field. Add notes in the **Description** field if required.

5 The **Reassign** button will then become active; click on this to reassign the corrective action to the new user.

What happens next?

An entry is made to the parent NCR History log and the new assignee is informed via their Tasks button that they are required to process the corrective action (which is also now listed in their **Process Corrective Actions**).

The original assignee gets a notification message that they are no longer responsible for this corrective action and the action disappears from their **Process Corrective Actions** menu item.

The reassigned action now follows the 'normal' path of an Assigned action.

6.11 Signing off a corrective action

A corrective action is only eligible for sign-off when its status has advanced to Completed (or Abandoned); users nominated for sign-off can only access the corrective actions for which they are signatories but admin. and users with appropriate access may perform this task on behalf of another user (see Performing a task on behalf of another user).

Where a group of signatories is involved, all must approve the corrective action for it to be signed off and a routine is available to check this progress. If any one declines the sign-off, the corrective action reverts back to Accepted (or Assigned) status; this allows the necessary re-working to be done, to be marked as Completed (or Rejected) and then checked again.

If no sign-off list exists, an action can be signed off by any one user with access.

The Sign-off dialogs allow users to sign off completed or abandoned corrective actions that either have no sign-off list or have sign-off lists that the user is on. Only actions with the status of Completed or Abandoned can be signed off.

6.11.1 Signing off a completed corrective action

1 Select **Control** from the main Nonconformities menu.

2 Select **Sign off Corrective Actions** from its pull-down menu.

3 Now select **Sign off Corrective Action** from the walk-right menu and a list of actions available for sign-off will be shown.

4 Select the corrective action you wish to sign off using filters and search methods as described in Selecting a corrective action.

You will be presented with the dialog giving full details and history of the action, its parent NCR and which personnel have been nominated for sign-off.

All pages are read-only but you may add notes in the **Description** field on the **Actions** page if required. Any files attached to the corrective action can be accessed via the Attachments button. Any rejection reasons attached to entries on the **History** page will be revealed by right-clicking on the individual entry. Whenever an action has been carried out as a result of forward messaging, its corresponding history entry is suffixed with an asterisk (*). To view details of the user who undertook the action, right-click on the relevant entry.

5 Click on **Sign Off** or **Decline**.

Signing off the action - what happens next?

If you sign off the action (and every other nominated person on a sign-off list also does the same) its status becomes Signed Off and it will wait in the system until all the other corrective actions connected to the same parent NCR have been signed off. When this happens the nonconformity will appear in **Control | NCR Final Review**.

You may check the progress of sign-off in Record | CA Sign-off Progress.

An appropriate entry is made to the History log which can be viewed, along with all its other details in **Record | View NCR**.

Declining to sign off the action - what happens next?

If you or any other nominated person on the sign-off list (if one exists) **Decline** the action, its status reverts to Accepted and the action will appear in **Control | Process Corrective Actions** again and/or for reassigning in **Control | Reassign Corrective Action**.

You must give reasons for declining to sign-off the action. An appropriate History entry is made.

6.11.2 Signing off an abandoned corrective action

When rejected actions have been marked as Abandoned they must still be signed off so that their parent NCR can, in turn, also be signed off. Nonconformities will not appear for final review until all their corrective actions have been signed off (whether marked as Completed or Abandoned). The system administrator and users with appropriate access may also sign off abandoned corrective actions on behalf of another user (see Performing a task on behalf of another user).

The **Sign off Abandoned Corrective Action** dialog allows a user to sign-off an abandoned corrective action that either has no sign-off list or has a sign-off list that the user is on. It works in exactly the same way as **Sign off Corrective Action**, with the same personnel involved.

Sign-off for abandoning a corrective action works exactly the same as signing off a corrective action, with the same personnel involved. If they all agree on abandonment, the corrective action's status becomes 'Signed off as Abandoned' and in terms of the nonconformity as a whole, it then plays no further part.

If anyone refuses to sign-off the corrective action as abandoned, this is recorded in the History log and the corrective action moves back to assigned status again.

Signing off an abandoned corrective action

1 Select **Control** from the main Nonconformities menu.

2 Choose **Sign off Corrective Actions** from its pull-down menu.

3 Now select **Sign off Abandoned Corrective Action** from the walk-right menu and you will be presented with a list of actions available.

4 Select the corrective action you wish to sign off using filters and search methods as described in Selecting a corrective action.

You will now see the chosen action giving its full details and history, its parent NCR and which personnel have been nominated for sign-off. Apart from the **Description** field on the **Action Details** page, where you may still add notes, all pages are read-only. Any files attached to the corrective action can be accessed via the Attachments button. Reasons given for rejection at any time will be shown in the relevant history entry by right-clicking.

5 To sign off the action, click on the **Sign Off** button; to decline the sign off, click on the **Decline** button.

Signing off the abandoned action - what happens next?

If you sign off an abandoned action (and every other nominated person on the sign off list also does the same) its status becomes 'Signed Off as Abandoned' and it will wait in the system until all the other corrective actions of the same parent NCR have been signed off. When this happens the nonconformity will appear in **Control | NCR Final Review**.

An appropriate entry is made to the History log which can be viewed, with all other details, in **Record | View NCR**.

Declining to sign off the abandoned action - what happens next?

If you or any other nominated person on the sign-off list (if one exists) **Decline** the action, its status reverts to Accepted and the action will appear in the system again either for processing by the assignee in **Control | Process Corrective Actions** or for reassigning in **Control | Reassign Corrective Action**.

You must give reasons for declining to sign off the action. An appropriate entry is made to the History log.

6.12 Viewing progress of corrective action sign-off

If you wish to check the progress of sign-off of corrective actions you may do so in **Record | CA Sign-off Progress**. This dialog gives a list of all personnel on the relevant sign-off list and whether or not they have signed off the action.

For corrective actions to appear in this menu option:-

- there must be a sign-off list **and**
- actions must have Completed status.

If this is the case.....

1 Select **Record** from the main Nonconformities menu.

2 Choose **CA Sign-off Progress** from its pull-down menu. You will be presented with the standard **Select Corrective Action** dialog listing all corrective actions with Completed status.

3 Select the required action using any method(s) described in Selecting a corrective action.

The **Sign-off Progress for Corrective Action <xx>** dialog will appear for the selected corrective action; the system-generated numbers of the parent NCR and its CA will be stated at the top of the dialog and all personnel on the chosen corrective action's Sign-off list will be listed.

Radio buttons allow you to order the list by Surname or to bring users who have not signed off to the top of the list. The final column shows whether each listed user has signed off the corrective action (Y) or not (N).

If the list of personnel is long use the Search button to search by ID (F3) or by Surname (F6).

7 Performing tasks on behalf of other users

Various tasks in the Nonconformities module may be performed on behalf of another user (by admin. and by those with appropriate access rights). These menu items are all situated in the **On Behalf Of** menu and access to them is granted by the system administrator. When a user is granted access to any of these menu items, they are then allowed to carry out the specified function for any one user for which the selected function is applicable.

The user is initially presented with a list of all users who are required to perform the function as selected in the menu item (eg. if **Sign Off NCR** is selected, then the users displayed will be those who are required to sign off an NCR). Once the user has selected the user that they wish to perform the task on behalf of (see Search routines for help with this if required), the program will then display either the **Select NCR** or **Select Corrective Action** dialog as appropriate.

Select the nonconformity or corrective action you wish to process on the other user's behalf and then proceed exactly as described in the relevant main Help topic, eg. **Assess NCR**, **Assign Corrective Actions** etc.

8 Completing a nonconformity

When all the corrective actions assigned to an NCR have been signed off, the nonconformity is ready for final review before it, in turn, is signed off.

Corrective actions that have been signed off by all relevant personnel cannot be re-opened but it is still possible at this stage to assign further corrective actions to a nonconformity where necessary.

8.1 Nonconformity final review

Rather than let a nonconformity pass, by default, into an Awaiting Sign-off state when all corrective actions have been individually signed off (or when no corrective actions have been assigned) the system requires a positive conscious step to do this.

As it is not mandatory to assign corrective actions to a nonconformity, an NCR may move straight to **NCR Final Review** after it has been assessed and accepted. Under these circumstances a mandatory reason must be given as to why no corrective actions have been assigned.

If corrective actions have been assigned, when all the actions of a parent NCR are completed, the nonconformity moves to **NCR Final Review** where the owner is encouraged to give it a last minute review. If approved by the owner (or admin), the nonconformity is marked as 'Ready for Sign-off' and nominated personnel then receive task requests informing them that the nonconformity is awaiting their final approval and sign-off.

Nonconformities can only be marked Ready for Sign-off by the administrator or original assignor (the NCR owner) of corrective actions; additionally, the administrator and users with appropriate access may mark an NCR ready for sign-off on behalf of another user (see Performing a task on behalf of another user).

NCRs waiting for Final Review will have the status of All Corrective Actions Completed (Open).

Further corrective actions may be assigned whilst a nonconformity is in final review; if this is required, the status of the nonconformity reverts back to Accepted and the normal cycle of processing actions begins again.

Reviewing a nonconformity before sign-off

1 Select **Control** from the main Nonconformities menu.

2 Choose **NCR Final Review** from its pull-down menu.

3 Select the nonconformity you wish to review using any of the search methods described in Selecting a nonconformity. The chosen nonconformity with its details and full history will be shown in the **Mark Nonconformity Ready for Sign-off** dialog. For the NCR owner or admin., various fields may still be amended or added to. History entries will be made if fields are edited.

Whenever an action has been carried out as a result of forward messaging, its corresponding **History** entry is suffixed with an asterisk (*). To view details of the user who undertook the action, right-click on the relevant entry.

The **References** page is read-only but further NCR references may be added and existing ones removed.

The **Actions** page is read-only but you will be able to add further description if necessary on the **Description** page and attach **Analysis** categories. The UDA button is still active and the NCR owner (and/or admin.) may still add, edit or remove files relevant to the nonconformity via the Attachments button.

4 If you feel that, as a result of the NCR, one or more staff need further training (and providing that you also have the Training module installed) use the **Schedule Course** button to go directly to the **Create Scheduled Course** dialog where you can set up the relevant training (see Scheduling a new course). The button will only appear if the training module is licensed and you have access to create a scheduled course.

5 If you are satisfied that the nonconformity has been resolved completely and successfully and is ready to be signed off, click the **Ready for Sign-off** button. If no corrective actions have been assigned you will be asked to give a mandatory Reason for this.

6 If you are not satisfied that the Nonconformity has been resolved completely and satisfactorily, enter explanatory notes on the **Description** page, use the **Close** button to close the dialog and **Confirm** that you wish the changes to be saved. Then go back to assign further corrective actions using the **Assign Corrective Actions** dialog.

What happens next?

When you click on **Ready for Sign-off**, the NCR's status becomes Awaiting Sign Off (Closed).

Depending on how the Nonconformity system settings are configured, you may well now see a Personnel Notification or Tasks message. You will also see a message box if the *Show users to whom tasks and notifications are sent* workflow setting has been checked.

If the workflow setting *Automatically add nonconformity reporter to sign-off list* is checked, the person who reported the nonconformity will automatically be on the NCR sign-off list (along with other users nominated by Business rules, if in use). If you want further personnel to be added to the sign-off list, you may still do so. Click the **Add** button and select the required personnel (see Groups / Lists for help with this if required).

If the *Show users to whom tasks and notifications are sent* workflow setting is checked and no user has been nominated to sign-off the NCR, a warning will appear; you may then decide to add a user(s) - or to continue without nominating anyone. In the latter case, if there is no sign-off list, any user who has access to the NCR may sign it off.

An entry is written to its History log and nominated personnel are notified (by a Task request on their tool bar) that there is a nonconformity waiting for sign-off.

If you are not satisfied that the Nonconformity has been resolved completely and satisfactorily, you may assign further corrective actions using the **Assign Corrective Actions** menu. If this is the case, the status of the Nonconformity reverts back to Accepted (Open) and the normal cycle of processing begins again.

8.2 Signing off a nonconformity

Nonconformities may be signed off once they have had their **Final Review** and have been marked as Ready for Sign-off. Only nonconformities with the status of Awaiting Sign-off, can be signed off.

The **Sign off NCR** dialog allows the user to view any nonconformity that is ready for sign-off for which there is either no sign-off list or there is a sign-off list which they are on. A nonconformity must have the approval of all personnel on the sign-off list before it is completely signed off; but admin. and users with appropriate access may sign off an NCR on behalf of another user (see Performing a task on behalf of another user).

Signing off a nonconformity that has been marked Ready for Sign-off

1 Select **Control** from the main Nonconformities menu.

2 Choose **Sign off NCR** from its pull-down menu.

3 Select the nonconformity you wish to sign off, from the **Select NCR for Sign Off** dialog. The Search button, filters and **Advanced Search** page are exactly the same as described in Selecting a nonconformity.

The selected nonconformity will then appear; all pages are read-only but you may add further notes if required on the **Description** page. The **References** page shows all documents and NCRs that are referenced by the current NCR.

On the **Actions** page you may select any corrective action to view in detail (using the Search button, highlighting and clicking on **Select** or by double-clicking on the appropriate action).

4 Read the details of the nonconformity and actions taken to resolve it carefully, especially any notes on the **Description** page. Files attached to the NCR or any of its corrective actions (if any) may be viewed by users with appropriate access rights using the Attachments button.

5 If you are satisfied that the nonconformity has been resolved satisfactorily and should be signed off, click on the **Accept** button (and see below).

If you are not prepared to sign off the nonconformity, click on the **Reject** button (see Rejecting the NCR sign-off - what happens next?).

Alternatively you may simply **Close** the dialog to defer the decision.

What happens next?

If you **Accept** the sign-off on the **Sign off NCR** dialog you will be asked to verify your password.

In the **Verify Password** window, enter your password and click on **OK**.

Depending on how the Nonconformity system settings are configured, you may well now see a Personnel Notification message. You will also see a message box if the *Show users to whom tasks and notifications are sent* workflow setting has been checked. If you want further personnel to be notified of the sign-off, you may still add their names at this stage (see Groups / Lists).

An entry will be made to the NCR History log giving the date that you accepted the sign-off.

If you and all other nominated personnel accept the sign-off, the nonconformity disappears from **Control | Sign off NCR** and it moves to **Control | Withdraw NCR** where it waits until withdrawn (and eventually purged) from the system if required. The nonconformity is no longer 'live' and no further action can be taken on it. It remains in **Record | View NCR** for viewing where its status is Signed Off (Closed).

Full information on all or any part of the NCR will also be available for use in **Reports** until purged.

If any one person on the sign-off list rejects it, see Rejecting the Sign-off - what happens next?.

8.3 Rejecting the sign-off

If you reject the sign-off on the **Sign off NCR** dialog you must give a reason for the rejection; when you click the **Reject** button, the **Verify Password** window will appear asking you to enter a rejection reason and to give your password.

1 Enter a reason for rejection.

2 Enter your password.

3 Click **OK**.

If Business rules are turned on and depending how the rules are configured, you may well now see a Personnel Notification message. You will also see a message box if the *Show users to whom tasks and notifications are sent* workflow setting has been checked. If you want further personnel to be notified that you have rejected the sign-off, you may add their names at this stage (see Groups / Lists).

An entry will be made to the NCR History log giving the date that you rejected the sign-off.

If you or any other person on the sign-off list reject the sign-off, the status of the nonconformity reverts to Accepted and it moves back to **Control | Assign Corrective Actions** where further actions must be assigned in order to process the nonconformity more successfully.

The nonconformity, its full history and actions so far may be viewed in **Control | View NCR** and information on all or any part of it will also be available for use in **Reports**.

8.4 Viewing progress of NCR sign-offs

If you wish to check the progress of sign-off on a specific nonconformity, you may do so in **Record | NCR Sign-off Progress**. The dialog gives a list of all personnel on the relevant sign-off list and whether or not they have signed off the nonconformity.

All nonconformities must have the status of Awaiting Sign-off before they will appear in this menu.

Viewing the progress of sign-off for a nonconformity

1. Select **Record** from the main Nonconformities menu.
2. Choose **NCR Sign-off Progress** from its pull-down menu. You will be presented with the standard **Select NCR** dialog listing all nonconformities with Awaiting Sign-off (Closed) status.
3. Select the nonconformity you wish to view using any method(s) described in Selecting a nonconformity.

The **Sign-off Progress for Nonconformity <xx>** dialog will appear, listing all personnel on the chosen NCRs Sign-off list.

Using the radio buttons in the **Order by** field, you may order the list alphabetically by Surname or by bringing users who have not signed off to the top of the list. The final column shows whether the user has signed the nonconformity off (Y) or not (N).

If the list of personnel is long you may wish to use the Search button to search by ID (F3) or by Surname (F6).

9 Withdrawing and purging

Nonconformities that have been signed off may be withdrawn and ultimately purged from the system if required.

Withdrawn nonconformities are retained by the system and may still be viewed. They are given Closed status but their details may be used in reports.

Purged nonconformities will be removed from the system completely, as if they had never existed. No details are retained for reporting purposes.

9.1 Withdrawing a nonconformity

This dialog allows the current owner or administrator to withdraw any NCR that has been signed off (the status of the NCR will be Closed).

Withdrawing a nonconformity

1 Select **Control** from the main Nonconformities menu.

2 Choose **Withdraw NCR** from its pull-down menu.

3 Select the nonconformity you wish to withdraw from the **Select NCR to Withdraw** dialog. The search buttons and filters that can be used for selection are described in Selecting a nonconformity.

4 The selected nonconformity will appear displaying various pages - Details, Description, References, Analysis, History and Actions. All pages are read-only and on the **Actions** page you may select any action to view in detail. Files attached to the nonconformity or any corrective action may be viewed by users with appropriate access via the Attachments buttons.

5 If you are sure you wish to withdraw the nonconformity, click on the **Withdraw** button at the bottom of the dialog; otherwise **Close** the dialog.

Nonconformities that have been withdrawn no longer appear in **View NCR** but can be viewed in the **View Withdrawn NCR** menu item by users with appropriate access. Information contained within Withdrawn NCRs is still available for use in relevant reports. Their status remains Closed.

9.2 Viewing withdrawn NCRs

The **View Withdrawn NCR** dialog allows users with access to this menu item to view any withdrawn NCR.

Viewing a withdrawn nonconformity

1 Select **Control** from the main Nonconformities menu.

2 Choose **View Withdrawn NCR** from its pull-down menu.

3 Select the nonconformity you wish to withdraw from the **Select Withdrawn NCR to View** dialog. The search buttons and filters that can be used for selection are described in Selecting a nonconformity.

4 When you have selected the appropriate nonconformity it will appear exactly as the **View NCR** dialog (with a different header). All pages are read-only and on the **Actions** page you may select any action to view in detail.

Files attached to the withdrawn nonconformity or any corrective action may be viewed by users with appropriate access via the Attachments buttons.

Information contained within these NCRs is still available for use in relevant reports.

9.3 Purging nonconformities

This dialog allows the current owner or administrator to delete a nonconformity that has been rejected at assessment stage (the status of the NCR will be Rejected) or withdrawn (the status of the NCR will be Closed).

Purging removes not only the nonconformity and all its corrective actions, but also all sign-off lists and history; this option should therefore be strictly monitored.

Purging a nonconformity

1 Select **Control** from the main Nonconformities menu.

2 Choose **Purge NCRs** from its pull-down menu.

3 Select the nonconformity you wish to purge from the Select NCR to Purge window. The search buttons and filters that can be used for selection are described in Selecting a nonconformity.

4 The **Purge Nonconformity** dialog will then appear showing Details, Description, References, Analysis, History and Actions. Whenever an action has been carried out as a result of forward messaging, its corresponding history entry is suffixed with an asterisk (*). To view details of the user who undertook the action, right-click on the relevant entry. All pages are read-only and on the **Actions** page you may select any action to view in detail.

   If files have been attached to the nonconformity or any corrective action, the paper-clip on the Attachments button will be yellow and the figure alongside will show how many attachments there are. These may be viewed by users with appropriate access.

5 If you are sure you wish to purge the nonconformity and accept that it and all its information will be irretrievable, click on the **Purge** button at the bottom left of the dialog; otherwise **Close** the dialog and the nonconformity will remain in the system.

If you click on the **Purge** button a warning will appear. If you then click on **Yes**, the nonconformity will disappear from the system.

10 Raising nonconformities from other modules

In addition to recording nonconformities in the Nonconformities module, Workbench allows you to raise nonconformities directly from the Audits, Customer Care and Test and Calibration modules.

From points within these modules, you can click the **Nonconformity** (or **NCR**) button to take you directly into the **Report Nonconformity** or **View Nonconformity** dialog as applicable.

Once a nonconformity has been raised via another module, the originating module and other relevant information (eg. Audit Name, Date of Audit, Complaint Summary) are displayed on the **References** page of the Nonconformity. The **History** log will also display the originating module.

The same details will also be displayed on appropriate reports.

Please refer to the relevant Help system for each module for more detail.

Security

You will only be able to raise Nonconformities from modules other than the Nonconformities module if you have the relevant access rights (as set up in the System Manager module). For example, if you do not have permission to raise Nonconformities but do have permission to view Nonconformities you will only be able to view a Nonconformity raised against another module from within that module.

10.1 Nonconformities and the Audits module

Providing that you have the necessary access rights you can raise a nonconformity as you are entering Audit results. Nonconformities may be raised against the audit as a whole, or against a category or checklist item. You may also raise a nonconformity when checking in an audit from a PDA or File.

In the **Edit Audit Checklist / Enter Results** dialog (**Audit | Run Audit**), or the **Check audit in** dialog (**Audit | Check Audit In**) click on the **Nonconformity** button to gain direct access to the main **Report Nonconformity** dialog.

You may add as many nonconformities as necessary, and the fact that the nonconformity originated from an audit will be shown on the **References** page (in the Nonconformities module) along with the name and date of the audit and name of the category or checklist as appropriate.

Raising a nonconformity from anywhere within an audit will ‘turn on’ the light bulb (it will appear yellow) on the main **Edit Audit Checklist / Enter Results** dialog; this means you can tell instantly whether the Audit resulted in any nonconformities. The number of NCRs raised will also be displayed. If the number of nonconformities listed does not tally with the number shown against the light-bulb, this is because one or more of the raised nonconformities will have been purged.

NB. The light-bulb and number of nonconformities will only appear on the dialog when the Audit itself is highlighted, not when a category or checklist is selected.

After an audit has been signed off, its nonconformities can be viewed in **Audit | View Audit**. In the **View Audit Checklist** dialog, click on the **Nonconformity** button to bring up the Select Nonconformity dialog showing a list of any recorded nonconformities against the selected audit. Select the required NCR to view full, read-only details (including current status).

Viewing existing nonconformities in running audits

1 Select **Audit | Run Audit** from the main Audits menu.

2 Select the appropriate audit.

3 Click the **Checklist** button (bottom of the main **Run Audit** dialog).

4 The number of NCRs (if any) will be shown at top right of the **Edit Audit Checklist / Enter Results** dialog.

5 Click on the **Nonconformity** button to reveal the **View / Report Nonconformity** dialog showing a list of recorded nonconformities against the audit.

6 Click the **Report** button to report a new Nonconformity (if required).

7 To view a selected NCR in detail, highlight and click the **View** button.

8 The **View Nonconformity** dialog will then appear showing all details in read-only format. The **References** page will show the Nonconformity origin and whether the NCR was recorded against the audit as a whole or against a category/checklist item.

Running Audits | Details and **Audit Results | Details** reports will display the NCR Number and Summary for any Nonconformities raised against an audit chosen for reporting on.

10.2 Nonconformities and the Customer Care module

Raising a nonconformity from within the Customer Care module

Providing that you have the necessary access rights you can raise a nonconformity as a result of a customer complaint through the **Assign Corrective Action** dialog in the Customer Care module. Here, the bottom button labelled **NCR...** gives direct access to the main **Report Nonconformity** dialog (see Reporting a nonconformity). If NCRs have already been recorded against this complaint, the **View / Report Nonconformity** dialog will appear. Click the **Report** button to bring up the **Report Nonconformity** dialog. To view an existing NCR, highlight and click on the **View** button.

There are no restrictions on the number of nonconformities you can raise as a result of one complaint and the origin of any nonconformity will be shown on the **References** page of the relevant nonconformity.

Viewing a nonconformity from within the Customer Care module

If nonconformities have already been raised, you may view them by using the **View NCR** button on the relevant **View Complaint** dialog and also the **Complaint Final Review**, **Sign-off Complaint** and **Purge Complaint** dialogs. If the list of NCRs is long, see Selecting a nonconformity.

The **Complaint Detail** report will also display the NCR Number and Summary for any nonconformities raised against a customer complaint.

10.3 Nonconformities and the Test and Calibration module

If a test fails in the Test and Calibration module (on clicking the **OK** button in the **Test Results** dialog), Workbench displays the **Test Failure** dialog.

The results from the test are reported in blocks, each relating to a specific measurement, in the 'Bad results' box.

There are two ‘failure’ modes:-

- the test registers as ‘Invalid’ and sets the equipment status to ‘Unknown’. This arises when one or more environment variables are out of range
- the test registers as ‘Failed’ and sets the equipment status to ‘Not OK’. This happens when at least one measurement has been recorded outside its acceptable tolerance range.

If you have the Workbench Nonconformities module installed and have appropriate access to it, you may at this stage raise a nonconformity as a result of the test failure. Simply click the **Nonconformity** button and this will take you directly to the **Report Nonconformity** routine.

The History log of the raised nonconformity will record that the nonconformity emanated from the Test and Calibration module.

The **Test Result History** report in the Test and Calibration module will also show that a nonconformity was raised and will display its Summary and NCR number.

11 Quick NCR Wizard

The Nonconformity processing cycle may appear complex at first but it has been designed to cope with most problems a company may find itself confronted with - perhaps involving a serious nonconformity. In practice, many NCRs may be relatively minor and can move much more simply and swiftly through the processing cycle. Even so, the design of Workbench acknowledges that, in some smaller organisations the ‘full’ processing cycle may still prove too much.

The system therefore provides an integrated routine referred to as the **Quick NCR Wizard** that allows users to report, action and sign off a nonconformity in one stage; as its name implies, it is very quick and easy to use.

Because of its ease of use, the Wizard is also useful for recording nonconformities that have already been dealt with and simply need to be recorded in the system after their completion.

Companies wishing to only use the more comprehensive processing cycle can simply deny access to the Wizard menu option (**System Manager | Access** menu). It is also possible to design a mixed approach where perhaps only the Quality Manager, for instance, has access to the Wizard.

Business rules and action templates cannot be used in the Wizard. Notifications / task requests are not sent.

Using the Wizard

1 Select **Record** from the main Nonconformities menu.

2 Choose **Quick NCR Wizard** from its pull-down menu.

On each window the Quick Nonconformity Wizard explains exactly what to do to record the nonconformity successfully; it is important to read the instructions carefully.

As you work through the Wizard you will still need to enter certain minimal mandatory information; you may also record other details that may be useful for compiling reports. These details are selected using Search buttons or drop-down menus. They originate in records set up in the **Settings** menu and/or the Personnel and System Manager modules; they will still have to be set up there before recording any nonconformity using the Wizard.

11.1 Recording the nonconformity

The windows echo the main Report NCR dialog; the first has the same four mandatory fields. This means that nonconformities can be recorded here and stored in the same format as those reported using the full processing cycle.

1 Read the instructions at the bottom of the window.

2 Complete the four mandatory fields and any other fields as required. The Reported by field will automatically have been filled in with the logged in user's name, but can be changed.

Users with appropriate access may attach files to the NCR using the Attachments button; (they may also view, edit and/or remove attached files).

3 Click on the **Next>>** button when you are ready to move on.

4 Nonconformity Origin, Product Involved and Final Severity fields here are all non-mandatory. Use the Search button(s) to select any or all of these fields if required.

5 Enter Customer and Contact information if required; these fields may be mandatory if the relevant workflow setting is checked.

6 Click on the **Next>>** button when you are ready to move on.

7 Now you will be asked to give a Description of the nonconformity - this may be as brief as you wish but is mandatory. Click on the **Next>>** button to proceed.

8 Next, select appropriate user-defined analysis; if any of these fields are mandatory you will be prevented from continuing until the mandatory fields are completed.

9 Click the **Next>>** button when you are ready to move on. You are now ready to enter the corrective action(s) that rectified the NCR - or to give a mandatory reason why no corrective actions have been assigned (if applicable).

11.2 Entering corrective actions

Entering corrective actions is not mandatory - but if no CAs have been assigned, you will be required to give a mandatory, explanatory Reason (on the page after the **Actions** page). If you DO want to record corrective actions, the **Actions** dialog is very similar to the main **Assign Corrective Actions** dialog; if you need help with this, see Assigning corrective actions.

1 Complete the three mandatory fields and any others you require. The Attachments button takes you to the **NCR Corrective Action Attachment Form** where users with appropriate access may add, edit or remove files relevant to the corrective action. You will only be able to select an issued document if you have the Document Control module installed.

   Corrective actions have their own UDA and some of these may be mandatory when processing; go to the **Action Analysis** tab to enter UDA if required - or if mandatory.

2 **Save** the corrective action, enter any further actions and then click on **Next>>** to proceed.

3 Next you will see a window that lists the actions just entered; search for these (using the Search button) by Action No.(F3), within the Summary (F5) or by Completion Date (F6).

4 Read the information at the bottom of the window. Edit any actions, if necessary, by highlighting the relevant action and pressing the **<<Back** button.

5 Click on the **Next>>** button when you are ready to proceed.

11.3 Signing off the nonconformity

The final window allows you to **Finish** the nonconformity; this effectively saves the nonconformity as completed successfully and signs it off along with all its corrective actions.

1 Read the information on the screen.

2 Click on the **Close** button and confirm 'No' in order to abandon the nonconformity or click on the **Finish** button to commit all the entries to the database.

What happens next?

The Quick Wizard is always cleared of any details whenever it is closed; therefore it will always be blank and ready for use when opened up again.

If you abandon the nonconformity, nothing at all is stored; the Quick Wizard dialog is simply cleared for future use.

If you complete the nonconformity it is given a reference number and all its details move to **Record | View NCR**; it also appears in **Control | Withdraw NCR**.

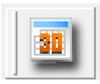
Its status, when completed, is 'Sign-off completed' (Closed) and it can be accessed and viewed like any other nonconformity until purged from the system. The History log entry records that the NCR was created using the Quick Wizard.

12 Tasks, Notifications and the Calendar

On the main toolbar there are three buttons in addition to the buttons showing other installed Workbench modules...

The Tasks button advises personnel that they are being asked to perform a task.

The Notifications button is used to inform personnel that certain events have taken place.



The Calendar button gives direct access to a calendar that records important events and deadlines from all installed modules.

12.1 Nonconformities and the calendar

The calendar entry 'Process corrective action <number> for NCR <number>' appears for assigned and accepted corrective actions at their **Target Completion Date**. These entries can't be dragged and dropped but will invoke the appropriate **Process Corrective Action** dialog from the day view. When the action is completed the calendar entry is greyed out. If it is rejected, the calendar entry remains and the NCR may still be processed directly from the calendar.

If the **Target Completion Date** is changed on the **Assign Corrective Action** dialog, the calendar of relevant users is automatically updated. A further 'Process corrective action' task message is sent to the assignee, superseding the first message and giving the revised due date.

12.2 Messages generated by the Nonconformities module

	Message & Type	When Sent	Sent to	Supersedes
1	Nonconformity reported (N)	When a newly reported NCR is saved	Calculated list if rules are being used; else users added manually	
2	Please assess nonconformity (T)	When a newly reported NCR is saved	Assessment list for NCR if rules are switched on; else any user with access rights	
3	NCR has been accepted (N)	When the NCR is accepted	Reportee of NCR and users set up on rules	1
4	NCR has been rejected (N)	If the NCR is rejected at assessment stage.	Reportee of NCR and users set up on rules	1
		Also sent if one person on the Sign-off list rejects the NCR	NCR Sign-off list, NCR Owner	19

5	NCR has been deferred (N)	If an NCR is deferred at assessment stage	Reportee of NCR and users set up on rules	
6	Please assign actions for NCR (T)	When an NCR has been accepted.	Owner of NCR (person who has accepted it)	
		When an NCR has been re-assigned by anyone with access rights to the menu item	New NCR owner	
7	Process corrective action for NCR (T)	When a new action has been assigned by the NCR owner	Action assignee	
8	You are no longer responsible for corrective action on NCR (N)	When a corrective action has been re-assigned by the NCR owner	Original action assignee	6
9	You have been assigned as the owner of NCR (N)	When ownership of an NCR has been re-assigned	New NCR Owner	
10	You are no longer responsible for NCR (N)	When an NCR has been re-assigned by anyone with access rights to the menu item	Original NCR owner	
11	Nonconformity target date changed (N)	When 'Change Target Dates' dialog is used	NCR Owner	
12	Corrective action for nonconformity target date changed (N)	When 'Change Target Dates' dialog is used	Owner of NCR with CA	
13	CA for NCR rejected by (N)	If the assignee of an action rejects it	NCR owner (not sent if NCR owner and action assignee are the same)	
14	CA rejected. Please reassign corrective action for NCR (T)	If the NCR assignee rejects the action	NCR owner	
15	CA for NCR accepted by (N)	When the assignee of an action accepts it	NCR owner (not sent if NCR owner & action assignee are same person)	
16	CA for NCR completed by (N)	When the owner of an action completes it	NCR owner (not sent if NCR owner and action assignee are the same person)	
17	Corrective Action for Nonconformity overdue (N)	When a corrective action with a target date becomes overdue	NCR Owner	
18	CA for NCR completed and requiring sign-off (T)	When a corrective action has been completed	Sign-off list for the action (if one exists); else users with menu access	
19	CA for NCR abandoned and requiring sign-off (T)	When an action has been rejected by the actionee and abandoned by the NCR owner	Sign-off list for the action (if one exists); else users with menu access	
20	CA for NCR sign-off declined by (N)	When at least one person on the action Sign-off list rejects it	Corrective Action owner	
21	CA for NCR signed off as abandoned (N)	When all on the action Sign-off list have signed the action off	Corrective Action owner	
22	CA for NCR signed off as accepted (N)	When all on the action Sign-off list have signed the action off	Corrective Action owner	
23	All CAs completed - NCR ready for final review (T)	When all the corrective actions have been signed off	NCR Owner	3
24	Please sign off NCR (T)	When final review has taken place	Sign-off list if rules are in use; else users with menu access	
25	NCR signed off as completed (N)	When all on the NCR Sign-off list have signed off the NCR	NCR owner and users on Notifications page of Sign-off list	
26	NCR sign-off rejected by <name> (N)	If one person on the Sign-off list rejects the NCR sign-off	NCR owner and users on Notifications page of Sign-off list	

27	Nonconformity severity level changed to <xx> (N)	When the NCR severity level is changed	If rules are in use and there is a rule defined that matches the new severity, then users on that rule
28	Nonconformity severity cleared (N)	When an NCR severity level is cleared	NCR Owner
29	Nonconformity overdue (N)	When an NCR with a target date becomes overdue	NCR Owner
30	<Number> days have elapsed since reporting NCR and it is still outstanding (N)	When an NCR has not been completed in the required time set by the Nonconformity workflow setting ‘Number of days after NCR reported before warning is sent to owner’	NCR Owner

13 Reports

The Nonconformities module supports a range of reports that can be used for a variety of purposes from simple monitoring of personnel workloads, for example, through to a Graph Wizard that will compile and display graphically the number of nonconformities reported within a certain date range. These nonconformities can be filtered to allow further investigation, for example, by type or severity.

Suggestions as to how you might use these reports are given but these should be seen as a starting point only. As you become more familiar with the scope of the module you will hopefully find many varying uses for the reports and the different ways in which they can present vital information.

Each report dialog offers different selection criteria and you may choose how many of these you wish to include. The more specific you are in the areas you include in the search, the fewer number of records are likely to match up. For example, if you wish to see a summary of all nonconformities that are 'critical' and originated in the Design department within a stated week, it is most probable that few records will match these very specific criteria. However, if you wish to see ‘critical’ nonconformities occurring in any department over a three month period, the chances are that more records will fall into this range.

With such tight control it is also possible to use the system to check very quickly whether specific nonconformities have occurred within a given time span.

Reports will only be issued when information matches all the criteria selected. An appropriate message will appear if no records can be found that match the chosen search criteria. In this case you may choose to widen your search.

All reports can be simply viewed, printed out or sent to file.

Information used for reports

The information used for compiling reports is taken from current nonconformities, whatever their status. Withdrawn nonconformities are included in these searches by default but can be filtered out where required.

When nonconformities are purged from the system it is as if they never existed and therefore details attached to them cannot be used.

13.1 NCR Graph Wizard

The **NCR Graph Wizard** allows you to display, in graph form, the number of nonconformities reported within a specific period of time. The dialog consists of several self-explanatory windows; by reading the simple instructions given on each window you will be able to compile a variety of graphs giving vital planning and monitoring information in a powerful and immediate visual format.

Setting up a graph using the NCR Graph Wizard

1. Click on **Reports** in the main Nonconformities menu.
2. Choose **NCR Graph Wizard** from its pull-down menu.
3. Read the instructions on the first window and click **Next>>** to start setting up a graph.
4. On the second window, the **Filter Field** is not mandatory. If used, it should be set to the field to be searched on. **Filter Values** then become mandatory and you must select at least one value from the drop-down menu. To select a variety of **Filter Values**, hold down the keyboard **Ctrl** button whilst making the selection.
5. Click on **Next>>** when you have set up the filter (if used).

6 Now select the **Date** range (mandatory) and any other relevant criteria. **NB**. If you have selected a **Filter Field** in the previous window, the chosen field will not appear for selection here.

7 Click on the **Graph** button when you are ready to compile the graph.

If required, you may rename the graph using the **Options** menu on the actual graph dialog (top left).

8 Click on the **Daily**, **Weekly** etc. buttons, to show NCRs on a daily, weekly, monthly, quarterly or yearly basis.

You may choose whether to simply view the graph, to send it to file or to print it out.

Selected **Field Values** will appear on screen in different colours with a legend to the right of the graph; colours shown on screen will appear as shades of grey (up to eight different shades) when printing out in black and white.

9 To send the graph to printer or file, select either destination from the drop-down menu and click **Send**.

13.2 NCR Report form

The **NCR Report Form** allows you to print out copies of a form that lists most of the fields shown on the **Report Nonconformity** dialog. This is a particularly useful feature as it allows staff who are not on the system to report alleged nonconformities in the same format as those who are.

Not all the headings on the form appear as mandatory fields in the **Report Nonconformity** menu item. However, if you enter as much information as possible on the form it is most likely that you will find it easier to record the nonconformity in the system; you will also ensure that any written records are in similar format to those stored in the database.

Viewing or printing the NCR Report form

1 Click on **Reports** in the main Nonconformities menu.

2 Choose **NCR Report Form** from its pull-down menu.

3 Click on the Print icon to print the form.

13.3 NCR Summary report

The **NCR Summary** report allows you to view a summary of all nonconformities that fall into certain categories chosen from a wide criteria range. This can be useful, for example, for quality managers to check whether certain types of nonconformity are recurring or to see if a particular department or product is generating more nonconformities than is acceptable.

Setting up a summary report for nonconformities

Apart from stipulating how the report should be ordered (**Order by** in Report Options) you are free to use as many or as few selection criteria as you wish. If none are selected, the system will simply generate a report offering a summary of all recorded nonconformities.

1 Click on **Reports** in the main Nonconformities menu.

2 Choose **NCR Summary** from its pull-down menu.

3 Select the relevant criteria using Search buttons, drop-downs, date buttons etc. & notes below.

To search for nonconformities with specific NCR numbers, enter the NCR Number in the **Number** field and then, from the drop-down menu, choose:-

= only that NCR number (or **Cost** - see below)

>= nonconformities with NCR numbers higher than or equal to the stipulated number (or given **Cost** - see below)

<= nonconformities with NCR numbers lower than or equal to the stipulated number (or given **Cost** - see below).

The **Range**, shown alongside the field, gives the current range of nonconformity numbers in use.

Select a **Date** range (Actual or Target) for the chosen NCRs (using the Date buttons if preferred).

Costs can be specified in the same way as NCR numbers (see above).

4 Complete the only mandatory field (**Order by**) in Report Options and then select any other relevant Report Options.

5 Click the **OK** button to compile the report.

When you click on **OK** you will be taken to either **Print Preview** (if you have chosen Screen (print preview) as the Destination) or the **Print** dialog (if you have chosen Printer or File as the Destination). See Viewing, printing or saving reports.

A message will appear if no records can be found which match the search criteria; in this case you may choose to widen your search.

13.4 Report options

Report options shown at the bottom of report dialogs allow you to organise records in a variety of ways so that the information given can be as focused and as useful as possible. Options vary slightly with each report to reflect the information offered, but will be from the following:-

Order by - choose how the reported list should be ordered by selecting from the drop-down menu.

Destination - choose where to send the report - to the screen for viewing, to the printer or to file. See Viewing, printing or saving reports.

Tick the **Print Attachment information?** if you want this information to appear on the reports.

Tick the **Print Date/time produced?** check box if you want the date and time that the report was created, to appear on the actual report.

Two extra options will be offered for **Target Date History** reports.

Tick the **Print Actions date changes?** if you want details of any changes made to corrective action target dates (in addition to Nonconformity target date changes).

Tick the **Print reasons for change?** if you want to see reasons for target date changes.

13.5 NCR Details report

The dialog for the **NCR Details** report is identical to the **NCR Summary** report; however the information that appears on the report is far more detailed. Every aspect of the nonconformity and its actions (if any) is listed in the NCR Details report allowing users to check each part, personnel involved and progress etc.

Because of the amount of detail given, these reports may be many pages long.

Setting up a details report for nonconformities

Apart from stipulating how the report should be ordered (**Order by** in Report Options) you are free to use as many or as few selection criteria as you wish. If none are selected, the system will simply generate a report giving a detailed breakdown of all recorded nonconformities.

1. Click on **Reports** in the main Nonconformities menu.
2. Choose **NCR Details** from its pull-down menu.
3. Select the relevant criteria to compile the list of required NCRs using Search buttons, drop-down menus and the notes below.

   To search for nonconformities with specific NCR numbers, type in the **NCR Number** and then, from the drop-down menu, choose:-

   = only that NCR number (or **Cost -** see below)

   >= nonconformities with NCR numbers higher than or equal to the stipulated number (or given **Cost -** see below).

   <= nonconformities with NCR numbers lower than or equal to the stipulated number (or given **Cost -** see below).

   The **Range**, shown alongside the field, gives the current range of nonconformity numbers in use.

   Select a **Date** range (actual or target) for the chosen NCRs (using the Date buttons if preferred).

   Costs can be specified in the same way as NCR numbers (see above).
4. Select the relevant Report Options for ordering the report (including the mandatory **Order by** field), for how/where you wish to view the report and details to be shown on it (if any).
5. Click on **OK** to compile the report.

When you click on **OK**, and if relevant records have been found, you will be taken to either the **Print Preview** window (if you have chosen Screen (print preview) as the Destination) or the **Print** dialog (if you have chosen Printer or File as the Destination). See Viewing, printing or saving reports.

A message will appear if no records can be found which match the search criteria; in this case you may choose to widen your search.

13.6 Corrective Action Summary report

The **Corrective Action Summary** report summarises all actions that are assigned to NCRs; they can be selected by NCR number, date, status, type, cost, department and/or assignee. This allows administrators, for example, to check workloads of specific personnel and to monitor completion dates.

Setting up a summary report for corrective actions

Apart from stipulating how the report should be ordered (**Order by** in Report Options) you are free to use as many or as few selection criteria as you wish. If none are selected, the system will simply generate a report offering a summary of all corrective actions associated with the given NCRs.

1 Click on **Reports** in the main Nonconformities menu.

2 Choose **Corrective Action Summary** from its pull-down menu.

3 Select the relevant criteria using Search buttons and/or drop-down menus - and referring to the notes below.

To search for specific nonconformities, enter the NCR number in the **Number** field and then, from the drop-down menu, choose:-

= only that NCR number (or **Cost** - see below)

>= nonconformities with NCR numbers higher than or equal to the stipulated number (or given **Cost** - see below)

<= nonconformities with NCR numbers lower than or equal to the stipulated number (or given **Cost** - see below).

The **Range**, shown alongside the NCR Number field, gives the current range of nonconformity numbers in use.

In **Completion Dates** select a **Date** range (Actual or Target) for the chosen corrective actions (using the Date buttons if preferred).

Costs can be specified in the same way as NCR numbers (see above).

4 Select the relevant Report Options for ordering the report (including the mandatory **Order by** field), for how/where you wish to view the report and details to be shown on it (if any).

5 Click on **OK** to compile the report.

When you click on **OK**, and if relevant records have been found, you will be taken to the **Print Preview** window (if you have chosen Screen (print preview) as the Destination) or the **Print** dialog (if you have chosen Printer or File as the Destination). See Viewing, printing or saving reports.

A message will appear if no records can be found which match the search criteria; in this case you may choose to widen your search.

13.7 Corrective Action Details report

The **Corrective Action Details** report dialog is exactly the same as the **Corrective Action Summary** dialog; however the information that appears on the report is far more detailed. Every aspect of the nonconformity and its actions are listed in the **Corrective Action Details** report, allowing users to check every part of the NCR, personnel involved and its progress.

Because of the amount of detail given, this report could be many pages long.

Setting up a details report for corrective actions

Apart from stipulating how the report should be ordered (**Order by** in Report Options) you are free to use as many or as few selection criteria as you wish. If none are selected, the system will simply generate a report offering details of all corrective actions associated with the given NCRs.

1 Click on **Reports** in the main Nonconformities menu.

2 Choose **Corrective Action Details** from its pull-down menu.

3 Select relevant criteria using Search buttons and/or drop-down menus and/or Date button(s).

To search for nonconformities with specific NCR numbers, type in the **NCR Number** and then, from the drop-down menu, choose:-

= only that NCR number (or **Cost** - see below)

>= nonconformities with NCR numbers higher than or equal to the stipulated number (or given **Cost** - see below)

<= nonconformities with NCR numbers lower than or equal to the stipulated number (or given **Cost** - see below).

The **Range**, shown alongside the NCR Number field, gives the current range of nonconformity numbers in use.

Costs can be specified in the same way as NCR numbers (see above).

4 Select the relevant Report Options for ordering the report (including the mandatory **Order by** field), for how/where you wish to view the report and details to be shown on it (if any).

When you click on **OK**, and if relevant records have been found, you will be taken to the **Print Preview** window (if you have chosen Screen (print preview) as the Destination) or the **Print** dialog (if you have chosen Printer or File as the Destination). See Viewing, printing or saving reports.

A message will appear if no records can be found which match the search criteria; in this case you may choose to widen your search.

13.8 Target Date History report

Target Date History is a very simple report that allows you to select one or more nonconformity with an option of displaying the reasons for the target date change.

The report output displays the selected NCR(s) and their actions with the date changed, the user responsible for the change and reason(s) - see Changing target dates.

Setting up the Target Date History report

1 Click on **Report** in the main Nonconformities menu.

2 Choose **Target Date History** from its pull-down menu.

3 Select the relevant criteria to compile the list of required NCRs:-

= only that NCR number

>= nonconformities with NCR numbers higher than or equal to the stipulated number

<= nonconformities with NCR numbers lower than or equal to the stipulated number

The **Range**, shown alongside the field, gives the current range of NCR numbers in use.

4 This report has two 'non-standard' Report Options:
If the 'Print Actions date changes' check box is selected (default) then all corrective actions target date changes are shown on the report as well as NCR information.
If the 'Print reasons for change' check box is selected (default) then all date change reasons are shown on the report (including those for actions, where applicable).

5 Select the relevant Report Options for ordering the report (including the mandatory **Order by** field), for how/where you wish to view the report and details to be shown on it (if any).

6 Click on **OK** to compile the report.

When you click on **OK**, and if relevant records have been found, you will be taken to either the **Print Preview** window (if you have chosen Screen (print preview) as the Destination) or the **Print** dialog (if you have chosen Printer or File as the Destination). See Viewing, printing or saving reports.

A message will appear if no records can be found which match the search criteria; in this case you may choose to widen your search.

13.9 User defined reports

For users with appropriate access, this dialog gives read-only access to **ReportQuest** (if you have it installed). Please refer to the ReportQuest Help system for full details on this module.

13.10 Viewing, printing or saving reports

An Information message will appear when no records can be found which meet the search criteria that you have set up. If you still wish to find records that may match your criteria closely, go back to the selection criteria window and broaden your original selection.

When there are records that match your search and depending on which report destination you chose, ie. Screen (print preview), Printer or File, either the Print Preview or the Print dialog will appear.

Screen (print preview)

The **Print Preview** dialog will appear when you select the Screen (print preview) destination option for a report (or in any other dialog). If you hold the pointer tool at the bottom of the toolbar, yellow pop-up bars will appear, explaining the feature of each button.

The Print icon allows you to print any material shown in the print preview.

By clicking on the middle of the three magnification buttons, the page will be shown full width.

By clicking on the right of the three magnification buttons, the page will be shown at actual size.

The left magnification button shows the whole page.

The outside arrows take you back to the first page or on to the last.

The single arrows allow you to turn the pages of a report backward or forward.

The number of the current page is shown in the centre.

If, in Report Options, you ticked *Print Date/time produced?* this information will appear on the report itself.

After previewing, use the **Close** button to close the record or print it by clicking on the small printer icon in the top left hand corner. If you elect to print, the **Print** dialog will appear.

Printer

If you selected the **Printer** destination on Report Options or clicked on the print icon in Print Preview, the **Print** dialog will appear. It may differ according to the type of printer you have installed and in some cases you will not have the option to *Print to File*.

1 Configure the printer if necessary.

2 Select the number of copies required and the Page Range.

3 Click **OK** to print the report.

In most instances you may still print to file from this dialog; to do this, click in the *Print to file* check box and then select the type and destination of the file (see **File**, below).

Each report will differ slightly according to the type and information shown but all will follow a similar format. All printed reports are A4 and have a wide left hand edge margin for binding.

File

If you chose the **File** destination option in Report Options the **Print** dialog will appear with the *Print to file* check box in the bottom part of the dialog already checked.

1 Tick the *Print to file* check box if it is not ticked.

2 Select the **Type** of file required from the drop-down list; this list may differ depending on the computer / network system you have installed.

3 Enter **Where** to save the file or select its destination using the **…** button.

4 Click **OK** to save to file in the selected destination (from where it may be e-mailed in the selected format if required.

14 Menus at a glance

The purpose / scope of each menu item in the Nonconformities module is described briefly here.

File

Where Am I? Allows you to verify the currently selected database. This is also displayed at the lower right side of the Workbench main window.

Who Am I? Shows your current Login ID and whether access rights are granted individually or via templates.

Login to Database... Here you may switch to another database without having to exit the system and re-enter. You will still have to log in to the new database as users may have different access rights between databases. If you are already logged in to the system and wish to change who you are logged in as, while remaining connected to the same database, you may do so here.

User Preferences... If viewed in its entirety, this is a four-page dialog allowing you to set up various preferences covering the look and workings of your own machine. Here you may also change your own password and decide which other user(s) should be allowed to process tasks on your behalf, in case of absence. However, access to this menu item and to each individual page is controlled by the system administrator so the whole menu item or aspects of it may not be present.

View Issued Document... Allows you to view issued documents to which you have access (appears only when the Document Control module is also installed).

Quick document links Providing that the Document Control module is installed, the *Use document quick launch facility* setting is set in the Workbench Configuration Centre | Workflow Settings (New User/Personal) and the *Number of links to most recently viewed documents* workflow setting is set between 1 and 10, then the last viewed documents (up to a maximum of 10 and dependent on the *Number of links...* setting) will also be available for viewing here. They will be listed most recent first.

Workstation Settings... Allows the setting up of a default database and login for Workbench to automatically select on future start-up. The default dictionary is also set here. Finally you may select which Workbench server to connect to and, optionally, whether the list of servers displayed should be restricted to only those that are running.

Exit Exit the program. A confirmation message is displayed first.

Record

All items under this heading are associated with reporting and viewing nonconformities.

Report NCR… Allows the reporting of nonconformities.

Report Assessed NCR… Allows the reporting and assessing of an NCR in one dialog by users with appropriate access rights.

Quick NCR Wizard… Allows the processing of a nonconformity from start to finish in one dialog. It is intended for the recording of nonconformities that have already been dealt with and need to be recorded in the system after their completion.

View NCR… All nonconformities can be viewed here. This is useful for confirming the status and/or progress of either a nonconformity or a corrective action.

NCR Sign-off Progress... Shows the Sign-off list attached to each nonconformity, enabling you to see who has and who has not signed off the nonconformity at any given time.

CA Sign-off Progress... Shows the Sign-off list attached to each corrective action, enabling you to see who has and who has not signed it off at any given time.

Control

All menu items here relate to administering the nonconformity and processing corrective actions.

Assess NCR… Allows a reported NCR to be amended and either accepted or rejected.

Reassign NCR Severity… At any time during an accepted NCR's life cycle you may alter its severity level using this menu item.

Reassign NCR Owner… Allows the owner of an NCR or admin. to re-assign ownership for any NCR that has been assessed (and may have all its CAs signed off) but is not yet complete.

Change NCR Details | Edit NCR Description… Allows admin. or the user who reported the NCR to edit the description of an NCR that is pending assessment; after this time the original Description page can be only added to.

Change NCR Details | Change Target Dates... Allows the owner of an NCR or admin. to change the target date of NCRs and/or their associated action(s) for NCRs that have been assessed but not yet marked for final review.

Change NCR Details | User Reference... Allows admin. or the owner of an NCR with Open status to edit the user reference.

Change NCR Details | Search Code... Allows admin. or the owner of an NCR with Open status to edit the search code.

Assign Corrective Actions… Allows the assigning of corrective actions to accepted nonconformities; it is also possible to append descriptions of nonconformities.

Process Corrective Actions… Allows the prospective assignee of a corrective action to accept or reject unaccepted actions and reject, update or complete actions that they have accepted. They may also accept actions that they had previously rejected.

Abandon Corrective Action… Rejected actions can be abandoned altogether here. Once abandoned, they cannot be re-opened.

Reassign Corrective Action… Allows the owner of a parent nonconformity to re-assign the ownership of an accepted child action.

Sign off Corrective Actions | Sign off Corrective Action Allows a user to sign-off a completed corrective action that either has no sign-off list or has a sign-off list that the user is on.

Sign off Corrective Actions | Sign off Abandoned Corrective Action Allows a user to sign-off an abandoned CA that either has no sign-off list or has a sign-off list that the user is on.

NCR Final Review… After all corrective actions have been completed or abandoned the NCR is available for final review.

Sign off NCR… NCRs that have been marked Ready for Sign-off at final review can be signed off here. Rejecting a nonconformity at this stage re-opens it so that further corrective actions may be assigned. A verification password will be asked for before the NCR can be signed off.

Withdraw NCR… Allows users with access to this menu item to withdraw any NCR that has been signed off.

View Withdrawn NCR… Allows users with access to this menu item to view any withdrawn NCR.

Purge NCRs… NCRs that have been rejected at the assessment stage or have been withdrawn can be purged here. Purging a nonconformity removes all traceability from the system and should therefore be strictly monitored.

Settings

Corrective Action Templates… A separately licensed feature offering the ability to assign automatically, a set of actions usually based on a Business Rule. Action templates are set up so that a different set of actions can be taken depending on the Business Rule invoked. However, the resulting action plan can still be used even if Business Rules are not licensed or licensed but not in use.

NCR Types… Allows users to create and edit records of different types of nonconformity eg. Process, Environmental.

NCR Severity Levels… The severity level of nonconformities can be set up here using a description and a mandatory 'weighting' level.

NCR Sources… Allows users to create and edit a list of possible sources of nonconformity eg. Health & Safety Executive, Customer, Internal etc.

Corrective Action Types… Allows you to create and edit records of different types of corrective action eg. Staff training, Investigation.

Product Allows users to create and edit product records of goods, either manufactured in-house or externally supplied.

Suppliers… Here, users may create new records and maintain existing records of suppliers/ contacts of externally supplied goods.

Customer | Maintain… Allows you to create and maintain records of customers (either companies or private individuals).

Customer | Region… Allows you to create and edit records of regions for use when maintaining customers.

Customer | Search for Contact… All contacts are stored here whether they belong to a company or are a private individual. You can search for a particular contact using different options.

Customer | Move Contact… Here, you can move existing contacts between different companies, from a Private Individual into a new company or from an existing company to a Private Individual, retaining all or only part of the contact's personal information as required.

Rules The following two options will only be visible if the *Use nonconformity business rules* workflow setting is switched on in the **Workbench Configuration Centre**.

Rules | Default Business Rules… Default Business Rules define which users will be notified or sent task requests when Nonconformity business rules are turned on, and where settings as defined in Business Rules are not met.

Rules | Business Rules… Business Rules define which users will be notified or sent tasks when Nonconformity business rules are turned on and the specified conditions are met.

User Defined Analysis | Nonconformities... Allows the creation of user-definable analysis categories for nonconformities.

User Defined Analysis | Corrective Actions... Allows the creation of user-definable analysis categories for corrective actions.

User Defined Analysis | Customer… Allows the creation of user-definable analysis categories for Customers. These can be accessed through the Maintain Customer dialog.

User Defined Analysis | Contact… In addition to using user-definable analysis for customer records, additional user-definable analysis categories can be set up for individual contacts. This could be used for storing personal information.

User Defined Analysis | Suppliers... Allows the creation of UDA categories for suppliers.

On Behalf Of

Assess NCR… Allows users with appropriate access rights to assess an NCR on behalf of another user.

Assign Corrective Action… Allows users with appropriate access rights to assign corrective actions on behalf of another user.

Process Corrective Action… Allows users with appropriate access rights to process corrective actions on behalf of another user.

Abandon Corrective Action… Allows users with appropriate access rights to abandon corrective actions on behalf of another user.

Reassign Corrective Action… Allows users with appropriate access rights to re-assign corrective actions on behalf of another user.

Sign off Corrective Action... Allows users with appropriate access rights to sign-off a completed corrective action on behalf of another user.

Sign off Abandoned CA… Allows users with appropriate access rights to sign-off an abandoned corrective action on behalf of another user.

NCR Final Review… Allows users with appropriate access rights to mark an NCR 'Ready for sign-off' on behalf of another user.

NCR Sign Off... Allows users with access rights to sign off an NCR on behalf of another user.

Reports

NCR Graph Wizard… Allows you to display, in graph form, the number of NCRs reported within a certain date range using selected criteria such as Product, Severity, Status or Department.

NCR Report Form… Gives a printed report form allowing you to record information in similar format to the Report NCR dialog.

NCR Summary… Offers a range of selection criteria in order to produce a summary on all or selected nonconformities.

NCR Details… Offers a range of selection criteria in order to produce a detailed report on all or selected nonconformities.

Corrective Action Summary… Offers a range of selection criteria in order to produce a summary on all or selected corrective actions.

Corrective Action Details… Offers a range of selection criteria in order to produce a detailed report on all or selected corrective actions.

Target Date History… A simple report giving the history and details of selected NCRs (and/or associated actions) that have had their target dates changed.

User Defined Reports… Gives read-only access to reports generated by Workbench ReportQuest (if installed).

Module

In this menu you may gain quick access to any other installed Workbench modules.

Audits You will only be able to use this menu item if you have the Audits module installed. If so, please refer to the Audits Help system for full details on its purpose and function.

Customer Care You will only be able to use this menu item if you have the Customer Care module installed. If so, please refer to the Customer Care Help system for full details on its purpose and function.

Document Control You will only be able to use this menu item if you have the Document Control module installed. If so, please refer to the Document Control Help system for full details on its purpose and function.

Nonconformities You will only be able to use this menu item if you have the Nonconformities module installed. If so, please refer to the Nonconformities Help system for full details on its purpose and function.

Personnel This module is installed as an integral part of all modules and facilitates all aspects of personnel administration on the system.

ReportQuest You will only be able to use this menu item if you have ReportQuest installed. If so, please refer to the ReportQuest Help system for full details on its purpose and function.

System Manager This module is installed as an integral part of all modules. It allows the system administrator to define and maintain all global system settings, manage individual user access to Workbench and to arrange user logins and passwords.

Test and Calibration You will only be able to use this menu item if you have the Test & Calibration module installed. If so, please refer to the Test and Calibration Help system for full details on its purpose and function.

Training You will only be able to use this menu item if you have the Training module installed. If so, please refer to the Training Help system for full details on its purpose and function.

Help

Contents Gives access to the Table of Contents for on-line Help.

Topic Search Gives an alphabetical index of all Help entries and allows you to type in and search for specific topics.

How to use Help Explains how to get the best use out of your Help system.

About Workbench Gives information on the version of Workbench and the number / usage of licences.

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