Supplier Audit Portal: Corrective Action/Action User Guide

KEYSIGHT

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1.0 Corrective Action/Action

The Corrective Action/Action module is used to track supplier responses, evidence submission, and verification to ensure timely and effective closure of audit findings. This includes:

- Corrective Action/Action Response: Allows suppliers to submit corrective action/action plans
- Corrective Action/Action Implementation: Allows suppliers to provide supporting evidence of the audit findings, enabling the Audit Team to review and perform verification.

1.1 System Requirements

Corrective Action/Action supports a wide variety of devices and browsers. For the best experience, we recommend the following configuration:

- Browser: Latest version of Microsoft Edge or Google Chrome (Recommended)

1.2 Intended Audience

This document is intended for users involved in the supplier audit process.

1.3 Help Center

If you have any questions or enquiries regarding this module, please contact sap.support@keysight.com.

2.0 Corrective Action/Action Overview

Corrective Action/Action module outlines the end-to-end process for managing audit findings, including corrective action submission, response review, evidence review and verification to ensure timely closure of audit findings.

Corrective Action/Action Process

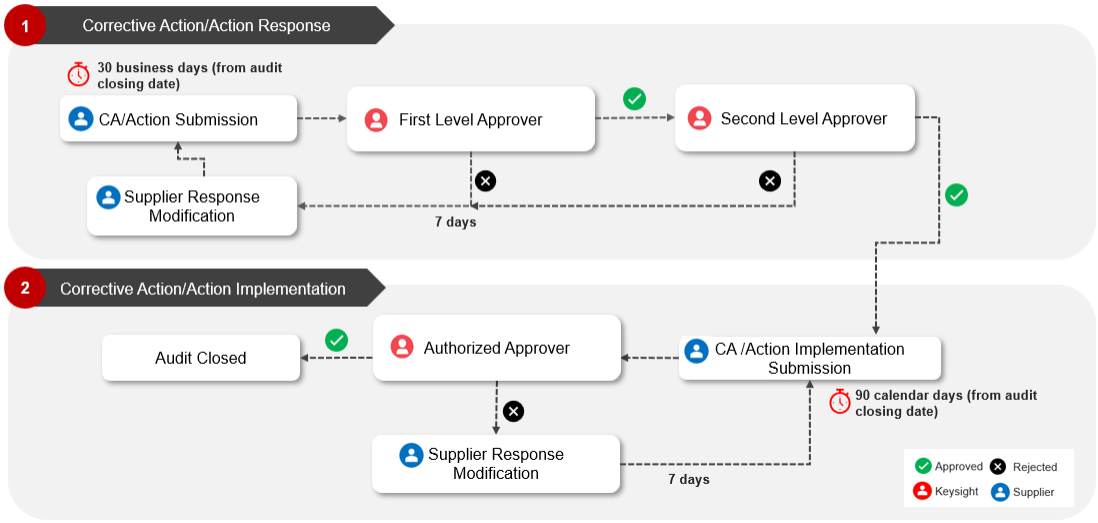


Figure 1. Corrective Action/Action Process

3.0 Functionalities

Corrective Action/Action consists of the following functionalities:

1. Corrective Action/Action Response List
    - Download Corrective Action/Action Response to Excel
2. Corrective Action/Action Response Form
    - Submit Corrective Action/Action Response Form
    - Edit Corrective Action/Action Response Form
3. Corrective Action/Action Implementation List
    - Download Corrective Action/Action Implementation to Excel
4. Corrective Action/Action Implementation Form
    - Submit Corrective Action/Action Implementation Form
    - Edit Corrective Action/Action Implementation Form

3.1 Corrective Action/Action Response List

To maintain the corrective action/action response details.

3.1.1 Corrective Action/Action Response – UI, Sort & Filter

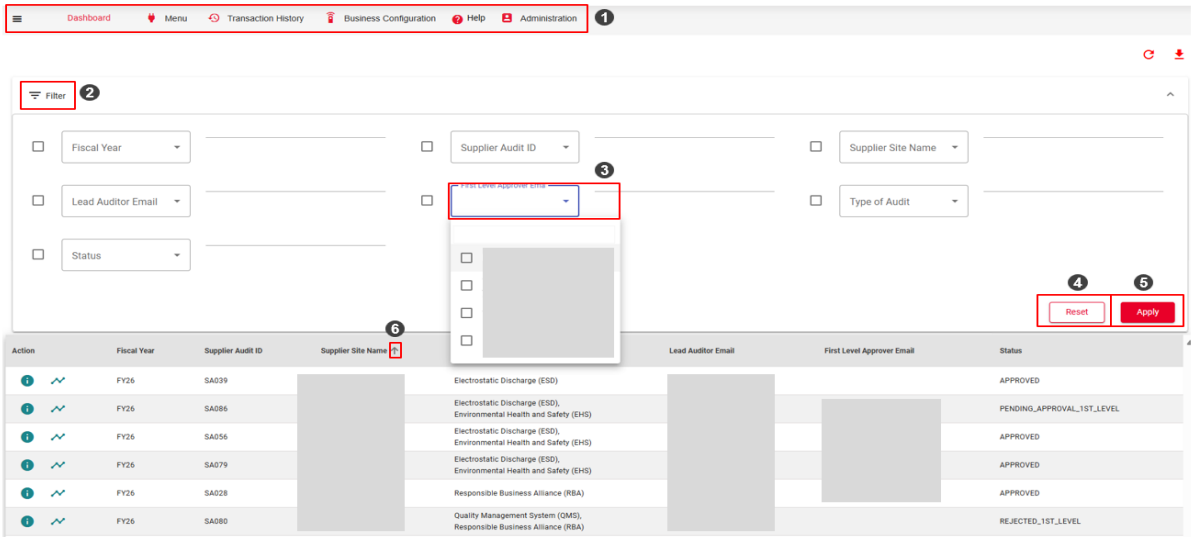


Figure 2. Corrective Action/Action Response List

1. Menu: Hyperlink to access the functions of this portal
2. Filter: Filter option for the supplier list
3. Search: Enter Supplier Audit ID to search for the ID
4. Reset: Reset the search criteria
5. Apply: Apply the filter criteria
6. Sort: Allow user to perform the sorting for each column

Supplier can view the Corrective Action/Action Response by following these steps:

1. Click on Menu.
2. Navigate to Supplier Audit.
3. Click on Audit Report and Corrective Action, then select Corrective Action/Action Response.
4. To search for information, click the Filter button (see Figure 2). The available filter parameters include:

    a. Fiscal Year
    b. Supplier Audit ID
    c. Supplier Site Name
    d. Type of Audit
    e. Lead Auditor Email
    f. CA Approver Email
    g. Status (Pending Submission/ Pending Approval (1st level)/ Rejected (1st level)/Pending Approval (2nd level)/ Rejected (2nd level)/ Approved)

5. The filtered data will be displayed according to the criteria entered after "Apply" button is triggered. (Figure 2.5)

6. Supplier can perform the sorting for each column by clicking the upper/lower arrow at the side of the column header. (Figure 2.6)
7. The Corrective Action/Action Response statuses and descriptions are shown below:

Status	Description
Pending Submission	Audit report has been approved, and CA/Action response is pending supplier submission.
Pending Approval (1st level)	CA/Action response is pending approval by the First Level Approver.
Rejected (1st level)	CA/Action response is rejected by the First Level Approver.
Pending Approval (2nd level)	CA/Action response has been approved by First Level Approver and is pending second level approval.
Rejected (2nd level)	CA/Action response is rejected by the Second Level Approver.
Approved	CA/Action response has been approved by the Second Level Approver.

3.1.2 Download Corrective Action/Action Response Master List to Excel

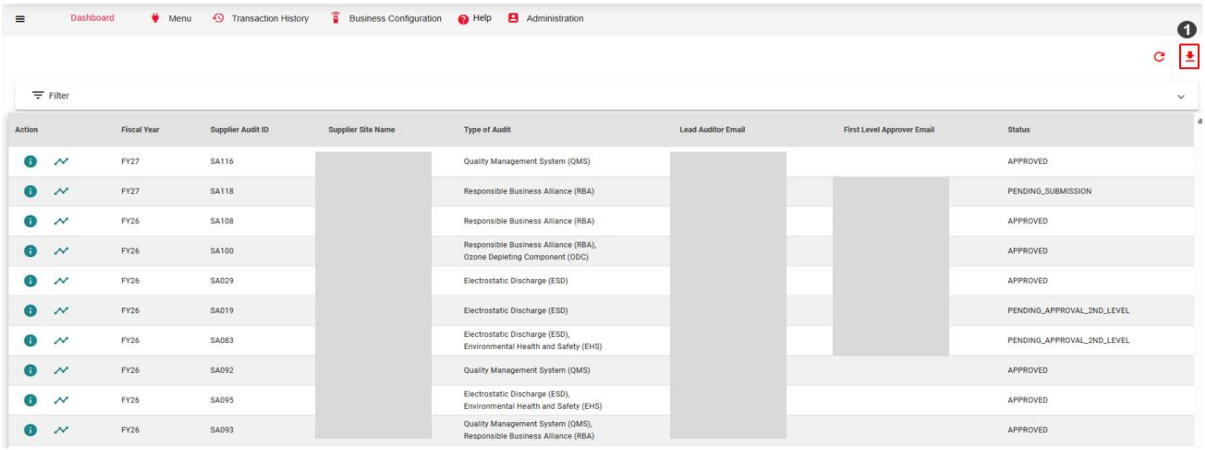


Figure 3. Corrective Action/Action Response Master List

1. Export: Button to export the data from the Corrective Action/Action Response Master List to the excel file

Supplier can export data from the Corrective Action/Action Response Master List to an excel file. To export the Corrective Action/Action Response list, follow these steps:

1. Click on Menu.
2. Navigate to Supplier Audit.
3. Click on Audit Report and Corrective Action, then select Corrective Action/Action Response.
4. Click on "Export" button.
5. A confirmation message, "File Processed Successfully", will be displayed. The file will then be saved to your local drive.

3.2 Corrective Action/Action Response Form

This form is to be completed by the Supplier to provide the audit response.

3.2.1 Submit Corrective Action/Action Response

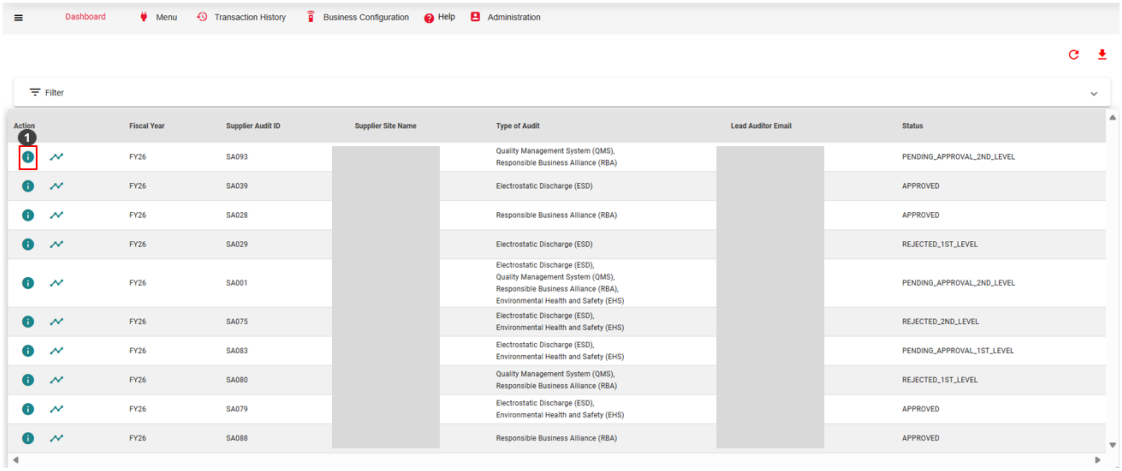


Figure 4. Corrective Action/Action Response List

1. View Corrective Action/Action Response Details: Redirect to the Corrective Action/Action Form

Supplier to submit the Corrective Action/Action Response by following these steps:

1. Click on Menu.
2. Navigate to Supplier Audit.
3. Click on Audit Report and Corrective Action, then navigate to Corrective Action/Action Response Form.
4. Select the applicable Supplier Audit ID. Then, click on View Corrective Action/Action Response button ⓘ, to be redirected to the Corrective Action/Action Response Form.

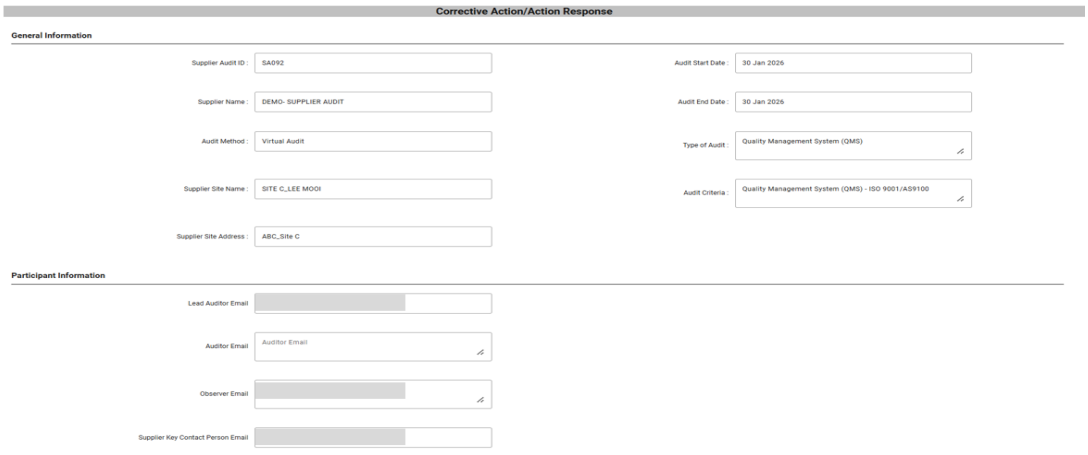
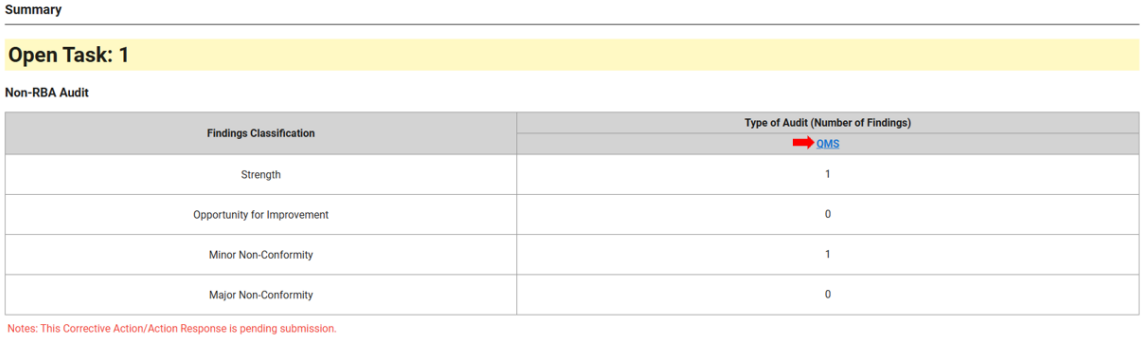


Figure 5. Corrective Action/Action Response Form

5. Click the hyperlink in the Summary section to navigate to the Summary Detail page. Select the relevant Finding ID and update the required information.



Summary

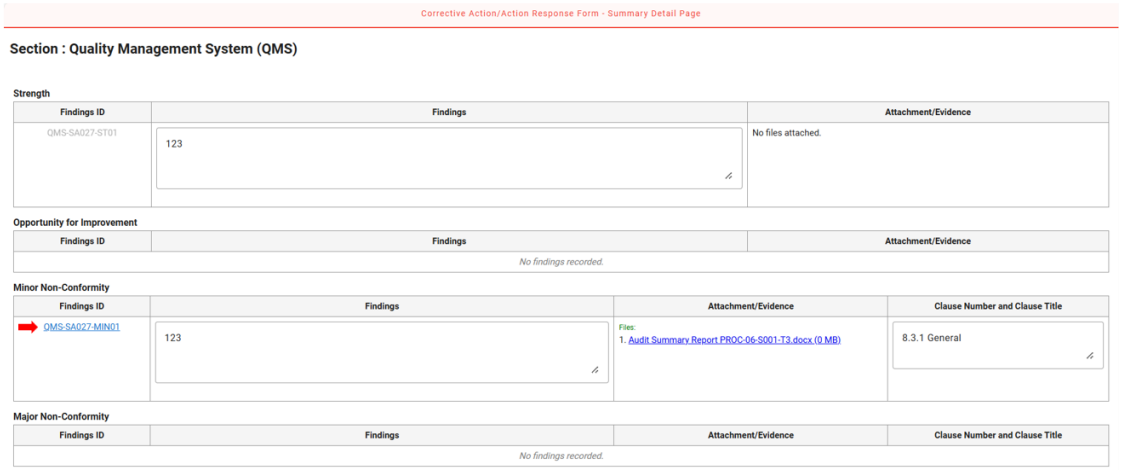
Open Task: 1

Non-RBA Audit

Findings Classification	Type of Audit (Number of Findings) QMS
Strength	1
Opportunity for Improvement	0
Minor Non-Conformity	1
Major Non-Conformity	0

Notes: This Corrective Action/Action Response is pending submission.

Figure 6. Summary Section (Type of Audit)



Corrective Action/Action Response Form - Summary Detail Page

Section : Quality Management System (QMS)

Strength

Findings ID	Findings	Attachment/Evidence
QMS-SA027-ST01	123	No files attached.

Opportunity for Improvement

Findings ID	Findings	Attachment/Evidence
No findings recorded.		

Minor Non-Conformity

Findings ID	Findings	Attachment/Evidence	Clause Number and Clause Title
QMS-SA027-MIN01	123	Files: 1. Audit Summary Report PROC-06-S001-T3.docx (0 MB)	8.3.1 General

Major Non-Conformity

Findings ID	Findings	Attachment/Evidence	Clause Number and Clause Title
No findings recorded.			

Figure 7. Summary Detail Page (Findings ID)

6. For any non-conformity findings, the following fields will be automatically populated in the Corrective Action/Action Response Form:
   - Findings ID
   - Findings
   - Attachment/Evidence
   - Clause Number & Clause Title

   Supplier to perform the following update:
   - Containment Action, Completion Date, Attachment (mandatory)
   - Root Cause Analysis (mandatory)
   - Attach the root cause analysis under Root Cause Analysis section. To upload the supporting documents, click the “Choose Files” button and select the appropriate file(s) to upload. Accepted file format:
     - .txt
     - .docx
     - .xlsx
     - .msg
     - .pptx
     - .pdf
     - .png
     - .jpeg

- .jpg
- .MP4
- .MOV
- .AVI

- Corrective Action, Target Date (mandatory)

Note: To upload multiple files, press and hold the "Ctrl" key while selecting the files. This allows you to upload multiple attachments at once.

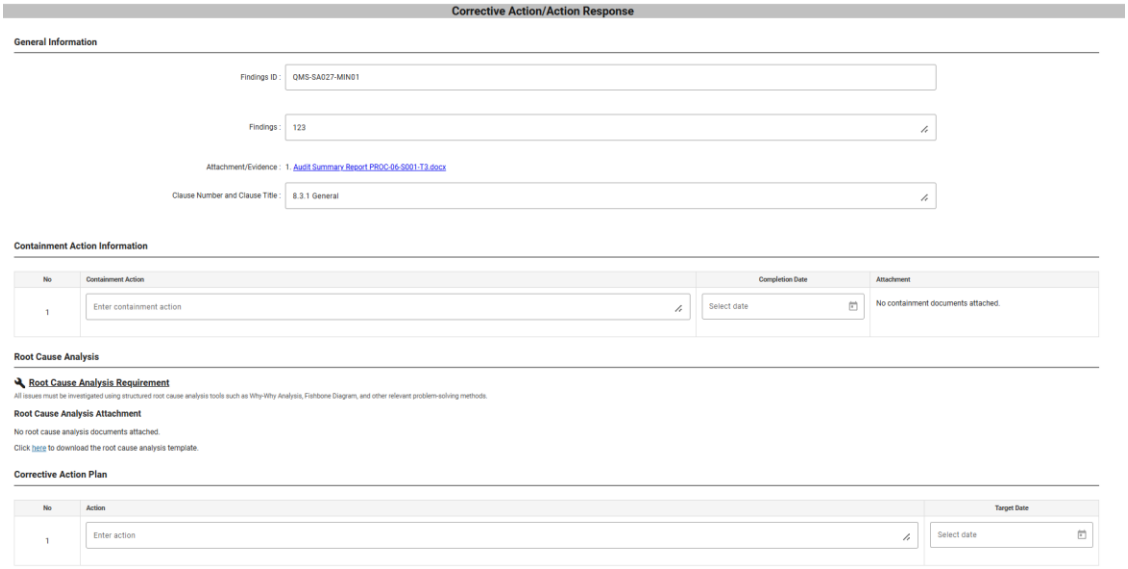


Figure 8. Corrective Action/Action Response Form (NC)

7. All issues must be investigated using structured root cause analysis tools such as Why-Why Analysis, Fishbone Diagram, and other relevant problem-solving methods. Supplier can use the available Root Cause Analysis Template to perform the root cause analysis or apply any other appropriate tools. To download a file, place your cursor over the link and click "Download." To delete a file, click the "Delete" button to remove it from the list.



Figure 9. Download and Delete File

8. For any Opportunity for Improvement findings, the following fields will be automatically populated in the Corrective Action/Action Response Form:

- Findings ID
- Findings
- Attachment/Evidence
- Clause Number & Clause Title (only applicable to RBA audits)

Supplier shall complete the action plan and provide a target completion date. If an action plan is not required, Supplier shall provide a justification.

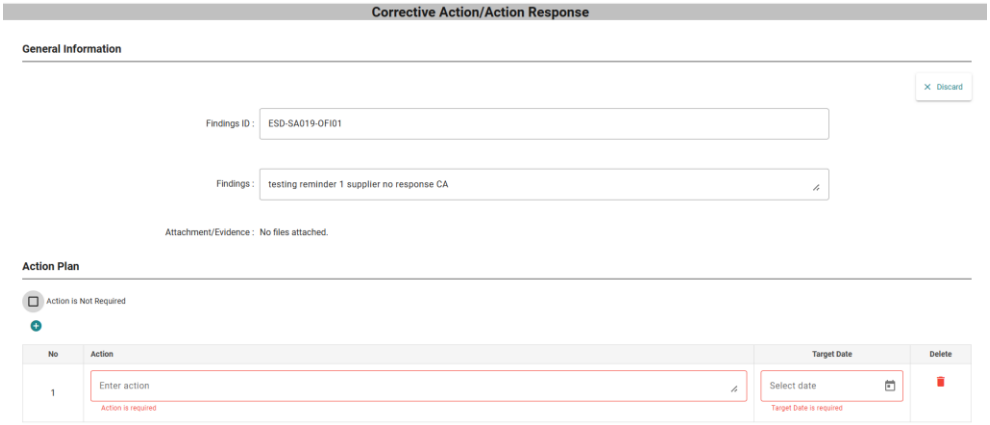


Figure 10. Corrective Action/Action Response Form (OFI with action plan)

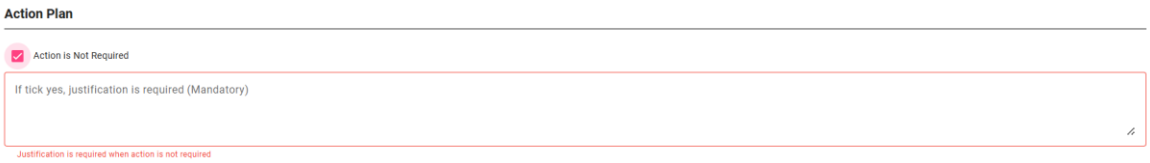


Figure 11. Corrective Action/Action Response Form (OFI without action plan)

9. After completing all required fields, the Supplier must click the "Complete" button Complete. All mandatory fields must be filled in to proceed. If any required information is missing, the system will display a prompt indicating what needs to be completed.
10. If the Supplier has not completed all required details, they may click the "Save as Draft" button to save the information.
11. Supplier must complete responses for all findings before proceeding with submission. Once submitted, the Authorized Approver will receive an email notification to review and approve the findings.
12. The turnaround time for the Supplier to respond to the findings is 30 business days from audit closing date. A first reminder email will be sent to the Supplier one week before the due date.
13. If the Supplier does not respond by the due date, a second reminder email will be sent on the next business day.
14. If the request is rejected by the First Level Approver, the system status will change to "Rejected 1st Level." The Supplier will receive a rejection email and must make the necessary changes before resubmitting the form.
15. Once the First Level Approver approves the form, it will be routed to the Second Level Approver for review and approval. (Status: Pending Approval 2nd Level).

16. When the request is approved, an email notification will be sent to the Supplier to submit evidence of corrective action implementation.
17. If the request is rejected by the Second Level Approver (Status: Rejected 2nd Level), the request will be routed back to the Supplier for modification. Once the required updates have been completed, the request will be routed to the First Level Approver for review and approval before proceeding to the Second Level Approver for review and approval.
18. The Turnaround Time (TAT) for the Supplier to modify a response is 7 days. If the response is not received, an email notification will be sent to the Supplier on the 8th day.
19. To view the Corrective Action/Action Response Workflow, click the workflow icon under the master list. Supplier can view the submission date and status at each stage.

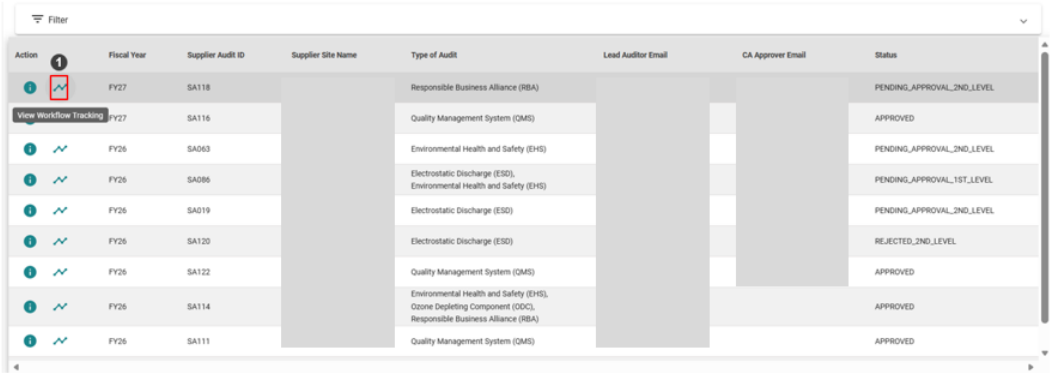


Figure 12. Corrective Action/Action Response Workflow

3.2.2 Edit Corrective Action/Action Response Form

Supplier can edit the Corrective Action/Action Response Form during pending submission and rejected stages. To edit the form, follow these steps:

1. Click on Menu.
2. Navigate to Supplier Audit.
3. Click on Audit Report and Corrective Action, then select Corrective Action/Action Response.
4. Select the applicable Supplier Audit ID. Then, click on View Corrective Action/Action Response button to be redirected to the Corrective Action/Action Response Form.
5. Click the hyperlink in the Summary section to navigate to the Summary Detail page. Then, select the relevant Finding ID to open the form and update the required information.
6. Click the "Edit" button Edit to edit the details. After editing, click the "Save as Draft" button to save the details if the information is not yet complete. Click the "Complete" button once all required information has been fully entered.
7. Click the "Back" button to continue editing other findings. When all updates are complete, return to the main page and click the "Submit" button to resubmit the response.

3.3 Corrective Action/Action Implementation List

To maintain the corrective action/action implementation details.

3.3.1 Corrective Action/Action Implementation– UI, Sort & Filter

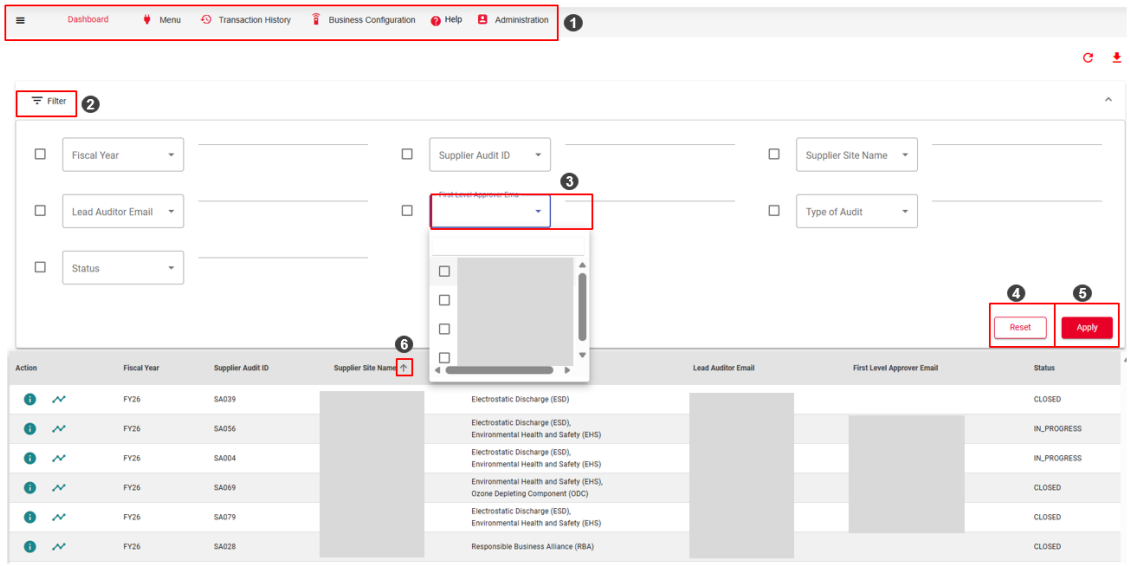


Figure 13. Corrective Action/Action Implementation List

1. Menu: Hyperlink to access the functions of this portal
2. Filter: Filter option for the supplier list
3. Search: Enter Supplier Audit ID to search for the ID
4. Reset: Reset the search criteria
5. Apply: Apply the filter criteria
6. Sort: Allow user to perform the sorting for each column

Supplier can view the Corrective Action/Action Implementation list by following these steps:

1. Click on Menu.
2. Navigate to Supplier Audit.
3. Click on Audit Report and Corrective Action, then select Corrective Action/Action Implementation.
4. To search for information, click the Filter button (see Figure 13). The available filter parameters include:

    a. Fiscal Year
    b. Supplier Audit ID
    c. Supplier Site Name
    d. Type of Audit
    e. Lead Auditor Email
    f. CA Approver Email
    g. Status (In Progress/Closed)

5. The filtered data will be displayed according to the criteria entered after "Apply" button is triggered. (Figure 13.5)
6. Supplier can perform the sorting for each column by clicking the upper/lower arrow at the side of the column header. (Figure 13.6)

7. The Corrective Action/Action Implementation statuses and descriptions are shown below:

Status	Description
In Progress	The status will be shown as “In Progress” if there are any open findings.
Closed	The status will be shown as “Closed” when all the findings have been approved.

Corrective Action/Action Implementation Status and Description (Supplier Audit ID)

Status	Description
Pending Submission	CA/Action response has been approved, and CA/Action implementation is pending supplier submission.
Pending Approval	CA/Action implementation is pending approval by the Authorized Approver.
Rejected	CA/Action implementation is rejected by the Authorized Approver.
Approved	CA/Action implementation has been approved by Authorized Approver.

Corrective Action/Action Implementation Status and Description (Findings ID)

3.3.2 Download Corrective Action/Action Implementation Master List to Excel

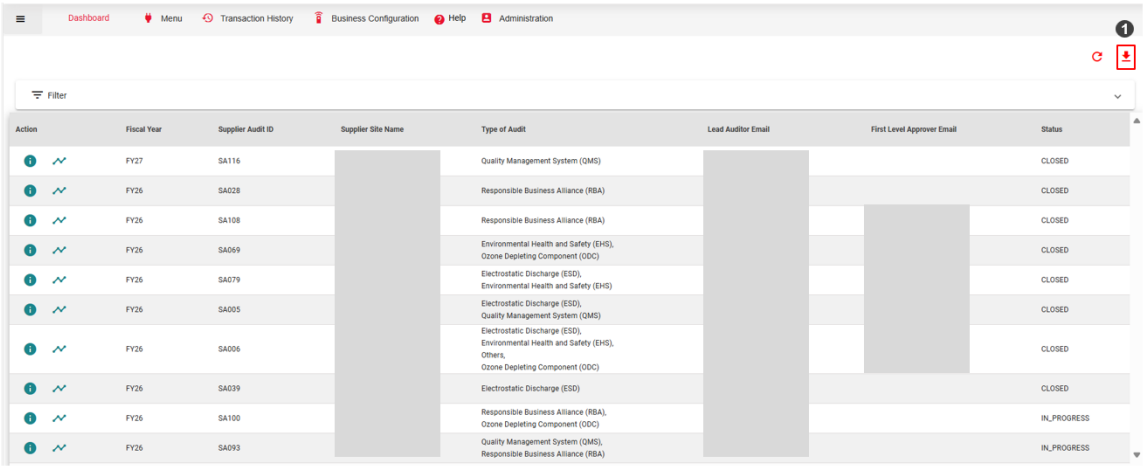


Figure 14. Corrective Action/Action Implementation Master List

1. Export: Button to export the data from the Corrective Action/Action Implementation Master List to the excel file

Supplier can export data from the Corrective Action/Action Implementation Master List to an excel file. To export the Corrective Action/Action Implementation list, follow these steps:

1. Click on Menu.
2. Navigate to Supplier Audit.
3. Click on Audit Report and Corrective Action, then select Corrective Action/Action Implementation.

4. Click on “Export” button.
5. A confirmation message, “File Processed Successfully”, will be displayed. The file will then be saved to your local drive.

3.4 Corrective Action/Action Implementation Form

This form is to be completed by the Supplier to document and provide evidence of corrective action/action taken.

3.4.1 Submit Corrective Action/Action Implementation

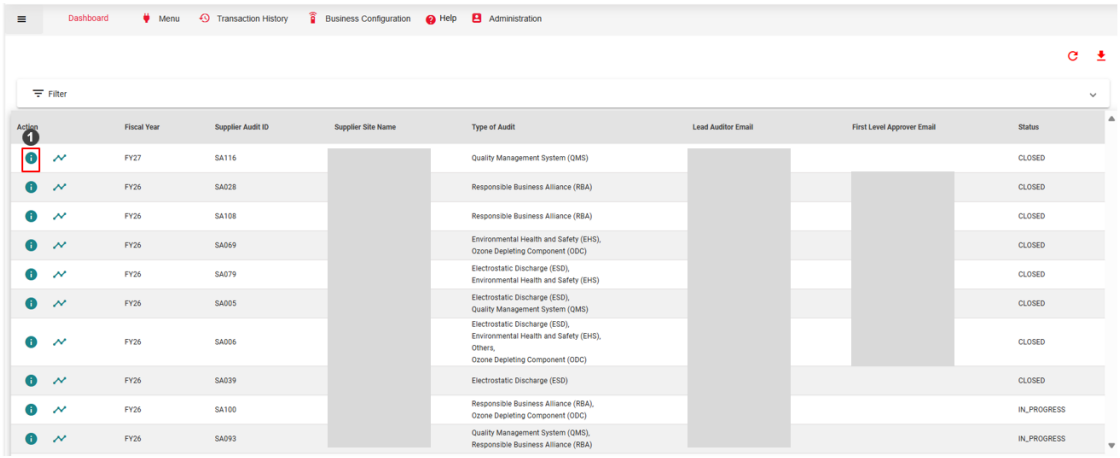
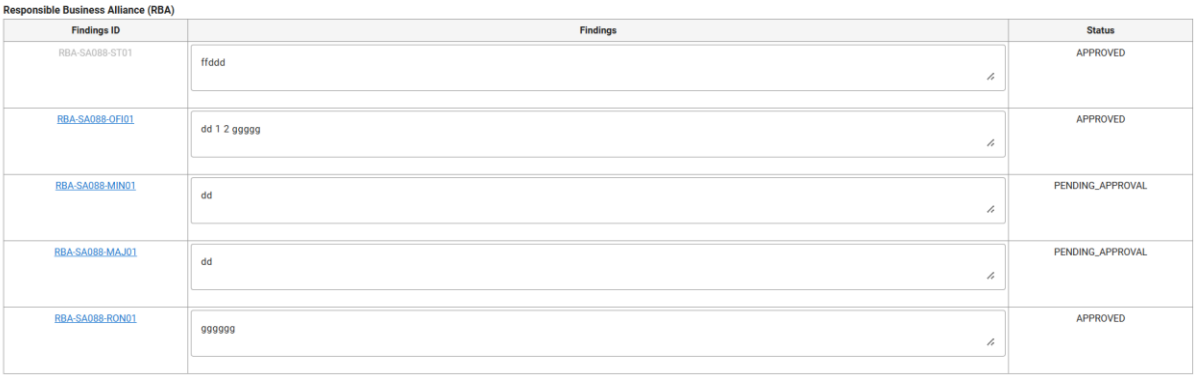


Figure 15. Corrective Action/Action Implementation Master List

1. View Corrective Action/Action Implementation Details: Redirect to the Corrective Action/Action Implementation Form

Supplier to submit the Corrective Action/Action Implementation by following these steps:

1. Click on Menu.
2. Navigate to Supplier Audit.
3. Click on Audit Report and Corrective Action, then select Corrective Action/Action Implementation.
4. Select the applicable Supplier Audit ID. Then, click on View Corrective Action/Action Implementation button , to be redirected to the Findings Detail Page.



Responsible Business Alliance (RBA)

Findings ID	Findings	Status
RBA-SA088-ST01	ffddd	APPROVED
RBA-SA088-OFI01	dd 1 2 ggggg	APPROVED
RBA-SA088-MIN01	dd	PENDING_APPROVAL
RBA-SA088-MAJ01	dd	PENDING_APPROVAL
RBA-SA088-RON01	gggggg	APPROVED

Figure 16. Findings Detail Page

5. Click the Findings ID to be redirected to the CA/Action Implementation Form.
6. For any non-conformity findings, the following fields will be automatically populated in the Corrective Action/Action Implementation Form:
   - Findings ID
   - Findings
   - Attachment/Evidence
   - Clause Number & Clause Title
   - Containment Action
   - Root Cause Analysis
   - Corrective Action/Action

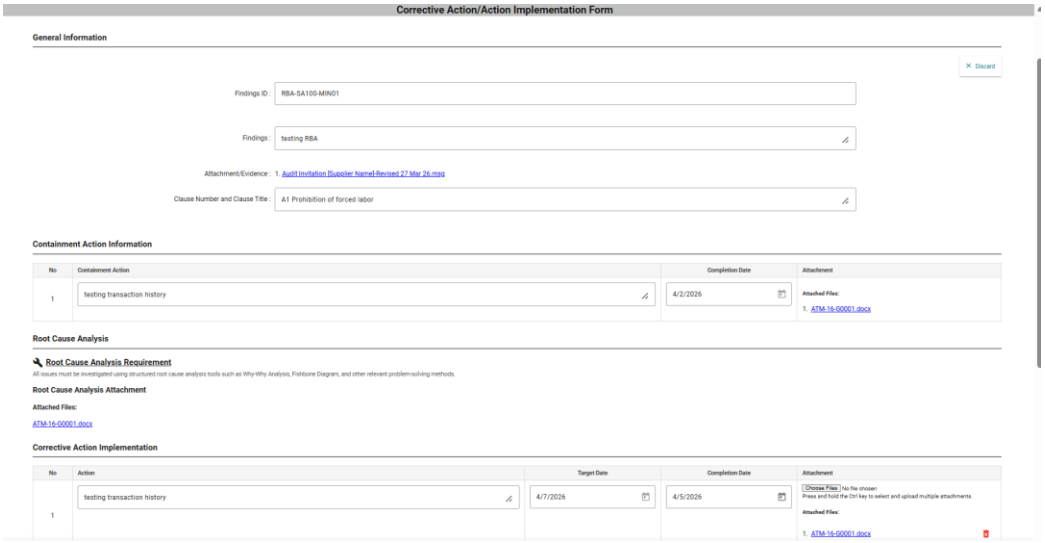


Figure 17. Corrective Action/Action Implementation Form (NC)

7. Supplier shall upload supporting evidence of Corrective Action/Action implementation. To upload files, click the "Choose Files" button and select the appropriate file(s). Accepted file formats:
   - .txt
   - .docx
   - .xlsx
   - .msg

- .pptx
- .pdf
- .png
- .jpeg
- .jpg
- .MP4
- .MOV
- .AVI

Note: To upload multiple files, press and hold the “Ctrl” key while selecting the files. This allows you to upload multiple attachments at once.

8. To download a file, place your cursor over the link and click “Download.” To delete a file, click the “Delete” button to remove it from the list.

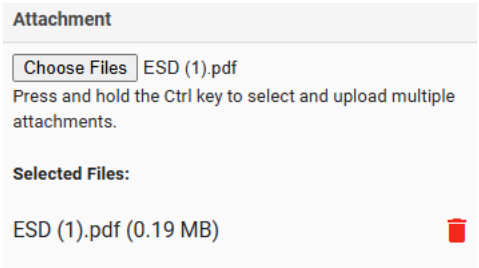


Figure 18. Download and Delete File

9. For any opportunity for improvement findings, the following fields will be automatically populated in the Corrective Action/Action Implementation Form:

   - Findings ID
   - Findings
   - Attachment/Evidence
   - Clause Number & Clause Title (only applicable to RBA audit)
   - Action

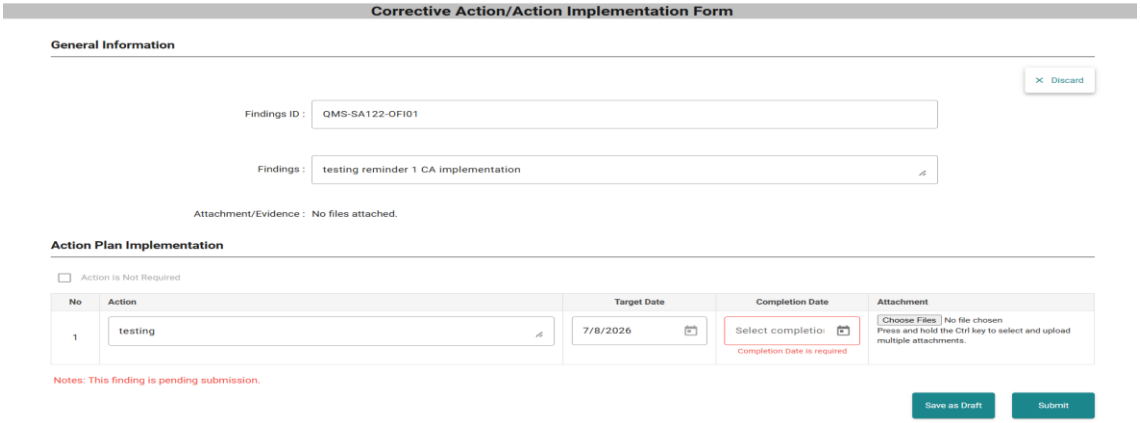


Figure 19. Corrective Action/Action Implementation Form (OFI)

10. Supplier shall upload supporting evidence of the action implementation.
11. Click the "Submit" button once all required information has been completed. All mandatory fields must be filled in to proceed. If any required information is missing, the system will display a prompt indicating what needs to be completed. Once submitted, the Authorized Approver will receive an email notification.

12. If the Supplier has not completed all required details, they may click the “Save as Draft” button to save the information.
13. The Turnaround Time (TAT) for Suppliers to provide evidence of Corrective Action /Action implementation is 90 calendar days from the audit closing date. A first reminder email will be sent to the Supplier one week before the due date.
14. If the Supplier does not respond to the findings by the due date, a second reminder will be sent on the due date requesting the Supplier to provide an extension reason.
15. On the due date, the CA/Action Implementation Extension Reason field will appear on the Audit Findings Detail page. Supplier is allowed to edit this field until all the findings are closed.
16. If no extension reason is provided by the due date, an email notification will be sent to the Supplier on the 8th day after the due date.
17. If the request is rejected by the Authorized Approver (status: Rejected), the request will be routed back to the Supplier for modification.
18. The Turnaround Time (TAT) for the Supplier to modify a response is 7 days. If the response is not received, an email notification will be sent to the Supplier on the 8th day.
19. To view the Corrective Action/Action Implementation Workflow, click the workflow icon under the master list. Supplier can view the submission date and status at each stage.

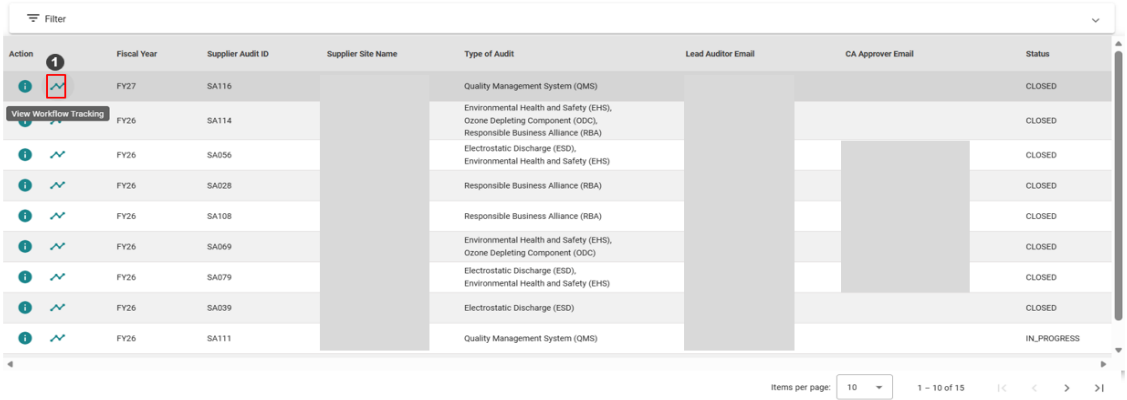


Figure 20. Corrective Action/Action Implementation Workflow

3.4.2 Edit Corrective Action/Action Implementation Form

Supplier can edit the Corrective Action/Action Implementation Form during pending submission and rejected stages. To edit the form, follow these steps:

1. Click on Menu.
2. Navigate to Supplier Audit.
3. Click on Audit Report and Corrective Action, then select Corrective Action/Action Implementation.
4. Select the applicable Supplier Audit ID. Click the “View Corrective Action/Action Implementation” button ⓘ to be redirected to the Findings Detail Page. Then, click the relevant Finding ID to open the form.
5. Click the “Edit” button Edit to edit the details. After editing, click the **“**Save as Draft” button to save the details if the information is not yet complete. Click the “Submit” button once all required information has been completed.