

ETQ Quality Notice Processing for Supplier Non-Conformance

Course Objectives

- After reviewing this section, you will be able to:
 - Search for a specific QN
 - Describe the ETQ QN lifecycle phases.
 - Advance or send back the ETQ QN through the relevant lifecycle phases.
 - Indicate your exception to taking ownership of a QN (Suppliers).
 - Understand what information is to be documented in the various fields within the ETQ QN record.
 - Expanding form fields to see all text
 - Add and view attachments to an ETQ QN.
 - Delete an existing attachment from a QN record.
 - Create and read electronic comments associated with an ETQ QN.
 - Review the ETQ QN historical document tracking information.

Searching for a Specific QN

Supplier QN\ 1. Open > by Supplier QN Number

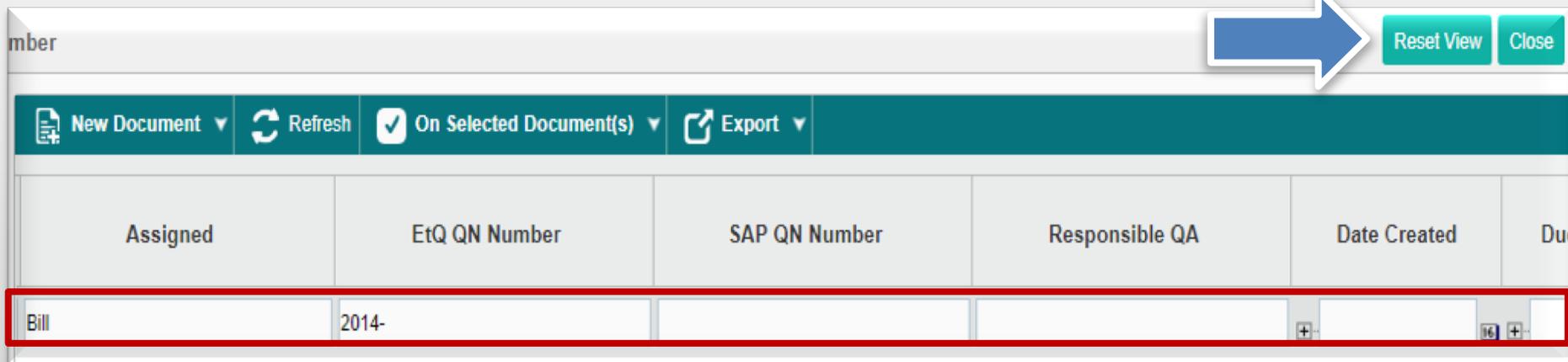
Expand All	Collapse All	New Document	Refresh	On Selected Document(s)	Export
▼ Help Documents					
2. Help Documents External					
▼ Supplier QN					
▼ 1. Open					
by Supplier QN Number					
▶ 2. Closed					

EtQ QN Number	SAP QN Number	Responsible QA
2014-0205		

Partial string match:

- Enter a partial string for the QN, and the system will find all matches that contain that partial string in the QN number.
- For example, entering “**136**”, could result in the following QN list
 - 2013-**1368**
 - 2013-7**136**
 - 2014-**1364**
- Entering “**2014-**” could result in the following QN list:
 - **2014**-1364
 - **2014**-2874
 - 2017-**2014**

Searching for a Specific QN – Column Search



Number

Reset View Close

New Document Refresh On Selected Document(s) Export

Assigned	EtQ QN Number	SAP QN Number	Responsible QA	Date Created	Dur
Bill	2014-				

Column Search:

- In search fields at top of columns, enter search terms.
 - Can search on more than one column.
 - List is updated after each search term is entered
- For example, entering “2014-” in the Etq QN Number” column and entering “Bill” in the “Assigned” column will show all QNs that are visible to you, where the QN was originated in 2014 and where the Assigned person’s name is or contains the name “Bill”
- To clear the search terms, click the “Reset View” link.

ETQ QN Lifecycles

Containment ✕ » Next

Accept → **Containment** → Corrective A... → Review → Complete

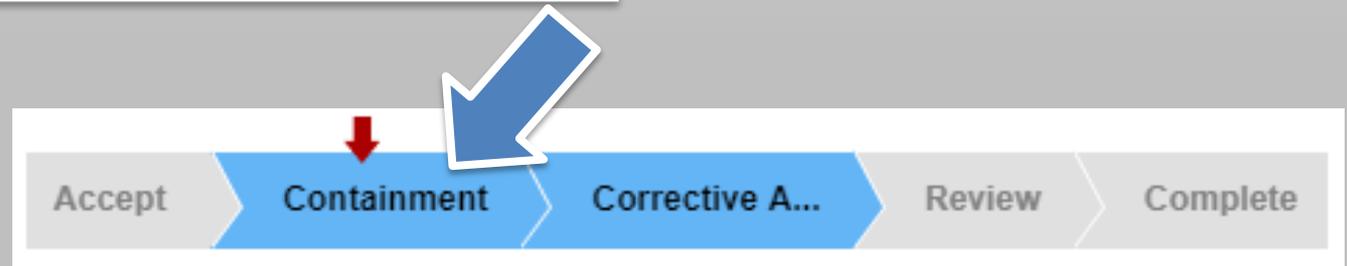
Progress Rail

A Caterpillar Company

Supplier QN # QN-2019-1129 Created by Matt Fijalkiewicz on Apr 12, 2019 8:14 PM

Supplier Corrective Quality Notice Access Control All Tabs

<p>Title EMD Supplier Test - 12345</p> <p>EtQ QN Number QN-2019-1129</p> <p>SAP/LN QN Number 200012345</p> <p>PERS Number N/A</p> <p>Type of Failure Missing Part</p> <p>Supplier Number stest</p>	<p>Days Elapsed Since Issue Initiation 0</p> <p>Warranty Service Notification mnb</p> <p>Type of Reject Supplier Fault</p> <p>Quantity Rejected 12</p>
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ETQ QN Lifecycles



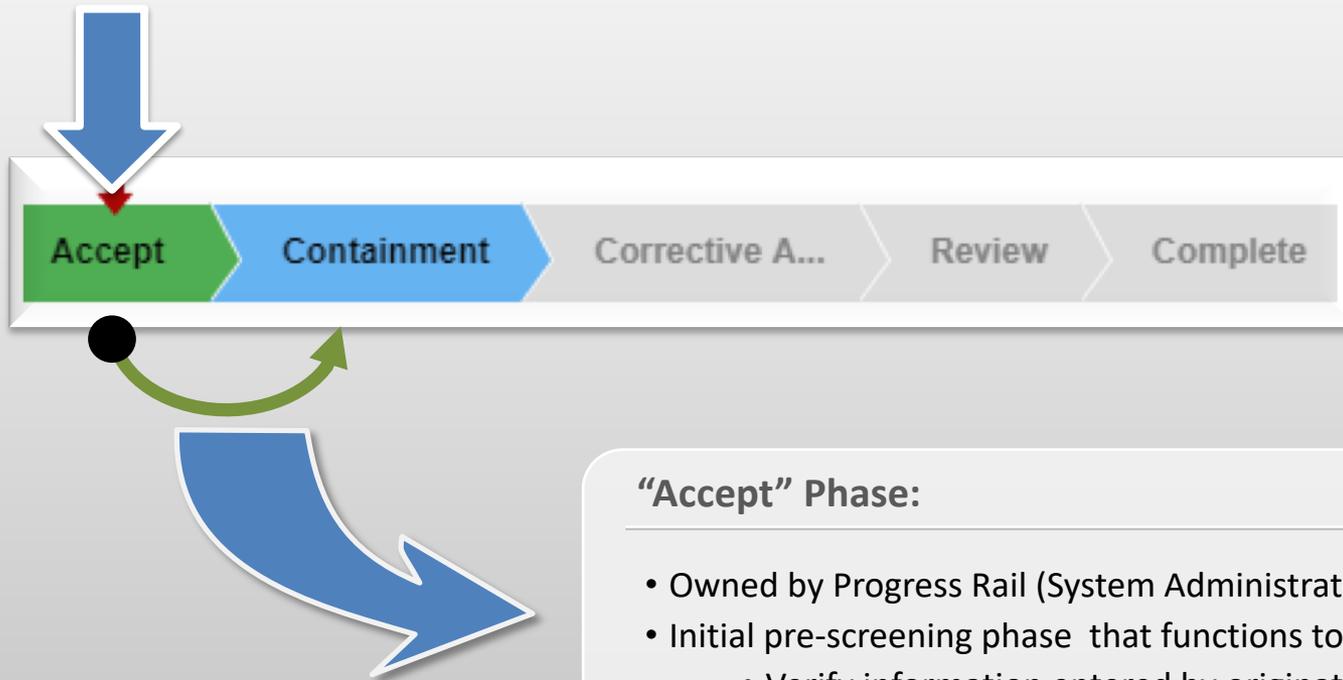
Targets for Completion:

- Targets for phase timing exist.
 - Accept : 2 days
 - Containment : 5 days
 - Corrective Action : 25 days
 - Review / Complete : 2 days
- Differences between the ETQ QN target date and these guidelines may exist.
- Extensions to due dates may be requested.

QN Ownership by Phase

ETQ QN PHASE	PHASE OWNER	
	Progress Rail	Supplier
Accept	✓	
Containment		✓
Corrective Action		✓
Review	✓	
Complete	✓	

Accept Phase

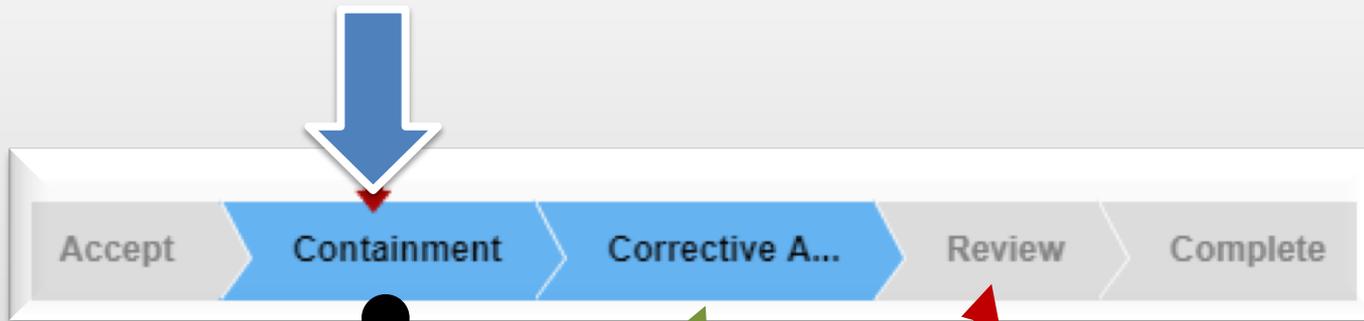


“Accept” Phase:

EMD

- Owned by Progress Rail (System Administrator).
- Initial pre-screening phase that functions to:
 - Verify information entered by originating location
 - Manually attach to QN any documents that were attached to the original SAP QN.
 - Resolve any information or ownership issues with the QN.

Containment Phase

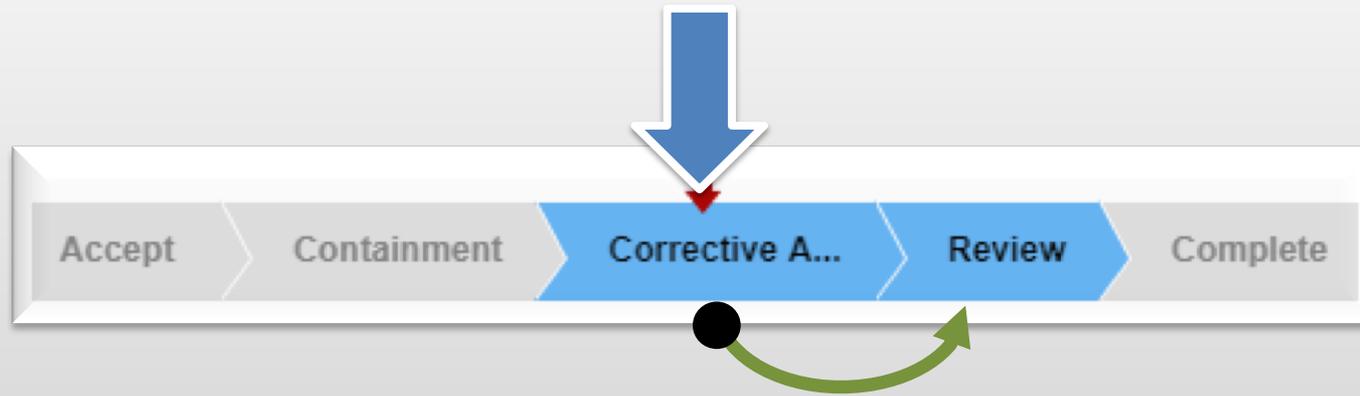


“Containment” Phase:

Supplier

- Owned by the Supplier.
- “Containment” phase functions to:
 - Confirms supplier’s acceptance of QN ownership.
 - Document the Supplier’s planned containment steps.
- If Supplier is taking exception to ownership of the QN, then Supplier documents their rationale for the exception and moves the QN to the “Review” phase.

Corrective Action Phase

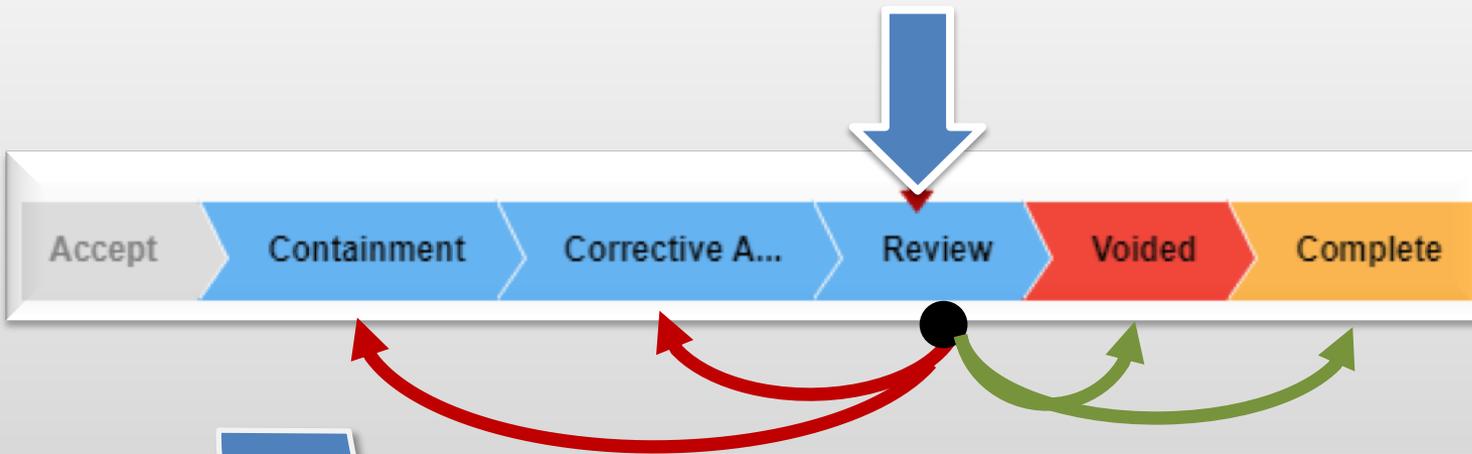


“Corrective Action” Phase:

Supplier

- Owned by the Supplier.
- “Corrective Action” phase functions to:
 - Document Supplier’s planned corrective actions and the implementation status.
 - Finalize containment action results
 - Manually attach relevant supporting documents to the QN.
- If Supplier decides to take exception to ownership of the QN, then Supplier documents their rationale for the exception and pushes the QN to the “Review” stage.

Review Phase

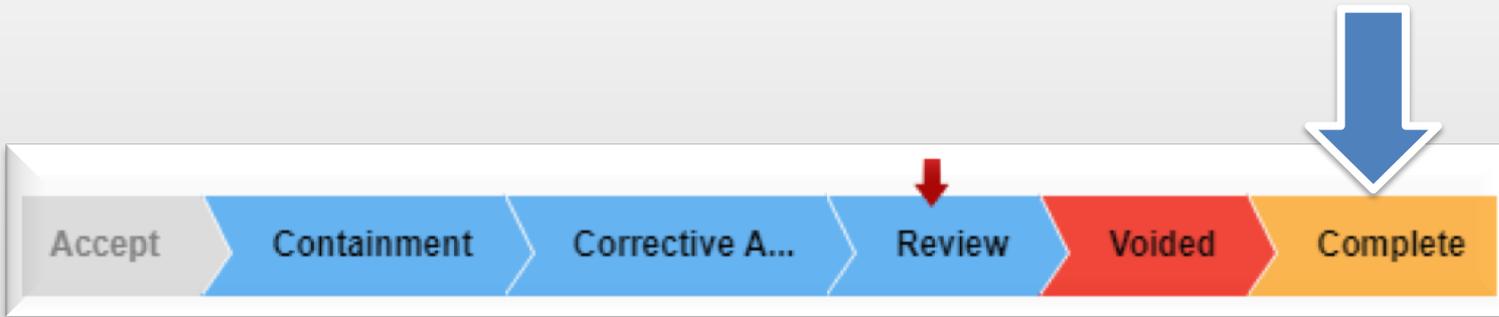


“Review” Phase:

EMD

- Owned by Progress Rail (assigned Supplier Quality Engineer)
- “Review” phase functions to:
 - Verify that the response to the non-conformance is appropriate to prevent recurrence.
 - Manually attach any final documents to the QN.
 - Resolve any information or ownership issues with the QN.
- If assigned Supplier Quality Engineer is not satisfied with the Supplier’s response, then QN is pushed back to “Containment” or “Corrective Action” phase as appropriate.

Complete Phase



“Complete” Phase:

EMD

- Owned by Progress Rail (System Administrator)
- “Complete” phase functions to:
 - Set the QN status to closed.
 - Resolve any information or ownership issues with both the SAP and ETQ QN's.
 - Automatically moves the ETQ QN out of the open QN queue and into the Closed QN pool.

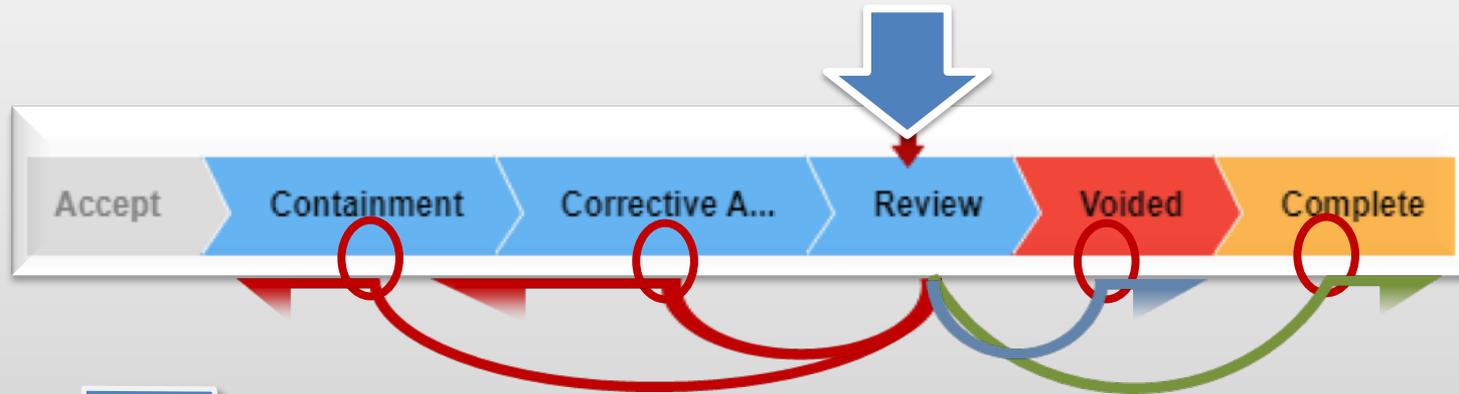
“Void” Phase

“Void” Phase:

EMD

- Owned by Progress Rail (System Administrator)
- “Void” phase functions to:
 - Identify the QN as being Voided.
 - Typically used for QN’s that were issued for system trial or other Administrative purposes.
 - Automatically moves the ETQ QN out of the open QN pool and into a Void pool.

Setting the Lifecycle Phase



Changing Phases

- Recall: A user has QN ownership only during certain phases.
- Phase change arrows are used to change the QN phase.
 - Phases to which the QN can be moved are highlighted in black text and have an associated arrow.
 - Phase change arrows are displayed to the user only if the user has QN ownership.
 - If you do not have ownership, you will not see the arrows and will not be able to change the phase.
 - Change phase by clicking the target phase or the arrow pointing to the target phase.

Record Locks – Properly Saving & Exiting a QN

The screenshot displays the Reliance PERS & Corrective Action interface. The top navigation bar includes the Reliance logo, a star icon for 'Portal', and a document icon for 'PERS & Corrective Action'. The current record is identified as 'Supplier QN # QN-2019-1129'. The main content area is titled 'Containment' and features a 'Next' button. The form is divided into sections: '2. Supplier's Containment Activities' and '5. All Supplier Attachments'. The '2. Supplier's Containment Activities' section contains two text input fields: 'Containment Action Plan' and 'Describe the results of Containment Activities'. The '5. All Supplier Attachments' section contains an 'All Supplier Attachments' input field with a paperclip icon. At the bottom of the form, four buttons are visible: 'Save', 'Save & Close', 'Save & Submit to Corrective Action', and 'Cancel'. The 'Save', 'Save & Close', and 'Save & Submit to Corrective Action' buttons are circled in red. On the left side of the interface, a vertical toolbar contains several icons, with the top two (a save icon and a document icon) also circled in red.

Record Locks – Properly Cancelling QN Changes

 Portal  PERS & Corrective Action  Supplier QN # QN-2019-1125 

Corrective Action  

Description of Permanent Corrective Action

Summarize your plan to verify the effectiveness of the Permanent Corrective Action

Date Implemented  Next available serial number with corrective action implemented

5. All Supplier Attachments

All Supplier Attachments 

Save Save & Close Save & Submit for Review 

QN Form Sections

QN Header Information

Header section



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To view the comments pane please click on the green bar on the right hand side.

Supplier QN # QN-2019-1129

Created by Matt Fijalkiewicz on Apr 12, 2019 12:14 PM

Supplier Corrective Quality Notice Access Control All Tabs

Title
EMD Supplier Test - 12345

ETQ QN Number
QN-2019-1129

SAP/IN QN Number
200012345

PERS Number
N/A

Type of Failure
Missing Part

Supplier Number
slest

Supplier Name
EMD Supplier Test

Part Number
12345

Part Name
Casting

Supplier Quality Engineer
Matt Fijalkiewicz

Location Owning Quality Notice
Lagrange MFG

Supplier Email
Supplier@domain.com

Buyer Name
Mike Buyer

Short Description
Porosity

Description of Problem
Porosity was found on the castings P/N 12345.

RMA Number
RMA 12345

Return PO Number
6000012345

Attachment in SAP/IN Present
 Yes No

QN Attachments for Suppliers

Days Elapsed Since Issue Initiation
3

Warranty Service Notification
mnb

Type of Reject
Supplier Fault

Quantity Rejected
12

Supplier Address
1234 Main Street

Supplier City
Chicagotown

Supplier Region

Supplier Postal Code
12345

Supplier Country
US

Initiating Location
Muncie

Disposition
Return To Vendor

Production PO from SAP/IN

Header section:

- Largest section of the form.
- Most information imported from SAP QN record.
- Provides basic information on the QN:
 - References numbers as applicable:
 - ETQ & SAP QN numbers
 - Part number
 - Vendor number & address
 - Originating location code
 - Warranty service notification number
 - PERS number
 - Return PO number
 - RMA number
 - Warranty service number
 - Quantity of parts rejected
 - Brief problem description
 - Long problem description
 - Assigned SQE

Section 1: Supplier's Acceptance of Quality Notice

1. Supplier's Acceptance of Quality Notice

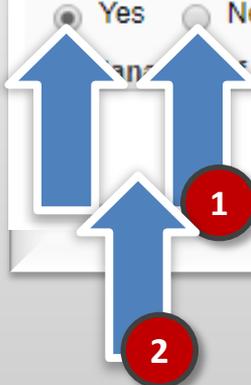
Accept QN? (Answer can be changed later on.)*

Yes No

Accepting QN Rejecting QN

1

2



5. All Supplier Attachments

All Supplier Attachments

3



Section 2: Supplier's Containment Activities

2. Supplier's Containment Activities

Containment Action Plan

Sort product at customer site (Target: Jan 15, 2014), at service warehouse (Target Jan: 20, 2014) and in internal production area (Jan14. 2014).

Description of the results of Containment Activities

Sorting executed per planned dates. 25 defects found in total: 15 at customer site, 10 at service warehouse, 0 in internal production area.

This info is at least better than not stating the results at all.

This is much more descriptive and more valuable data. The more details you provide the better.

5. All Supplier Attachments

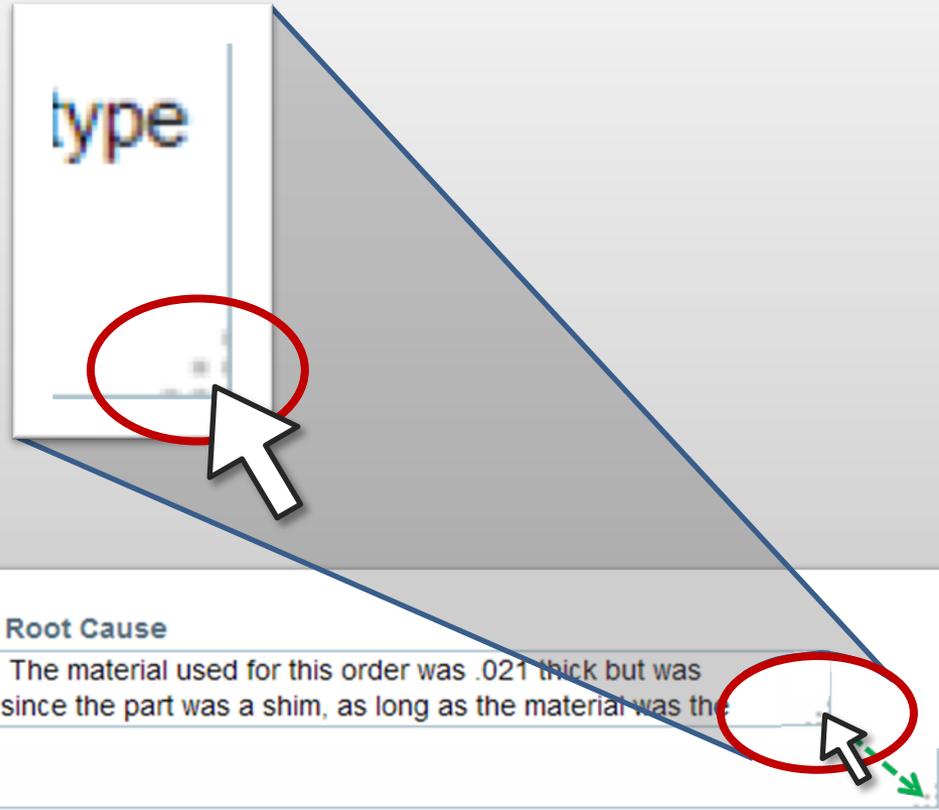
All Supplier Attachments



[Empty attachment field]

3

Expanding Text Fields to View All Text



Describe the Non-Conformance Failure. Summarize the Root Cause

The material called out on the print was .021 thick mild steel. The material used for this order was .021 thick but was galvanized instead of mild steel. The operator assumed that since the part was a shim, as long as the material was the

Section 3: Supplier's Investigation & Analysis

3. Supplier's Investigation and Analysis

Identify Non-Conformance

Identify Root Cause

Explain why the Non-Conformance was not identified before parts were shipped

Date of Rejected Material Received by Supplier

17

Change from Supplier Fault (A Rejection) to Progress Rail Fault (B Rejection)

No

Explanation of B Rejection Reason (if A Rejection changed to B)

4

5

6

5. All Supplier Attachments

All Supplier Attachments

7

Section 4: Permanent Corrective Actions

4. Permanent Corrective Action

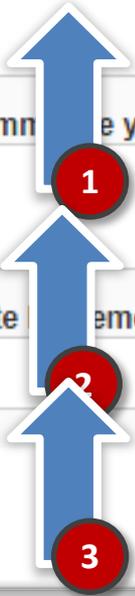
Description of Permanent Corrective Action

Summarize your plan to verify the effectiveness of the Permanent Corrective Action

Date Implemented

Next available serial number with corrective action implemented



5. All Supplier Attachments

All Supplier Attachments



Section 5: All Supplier Attachments

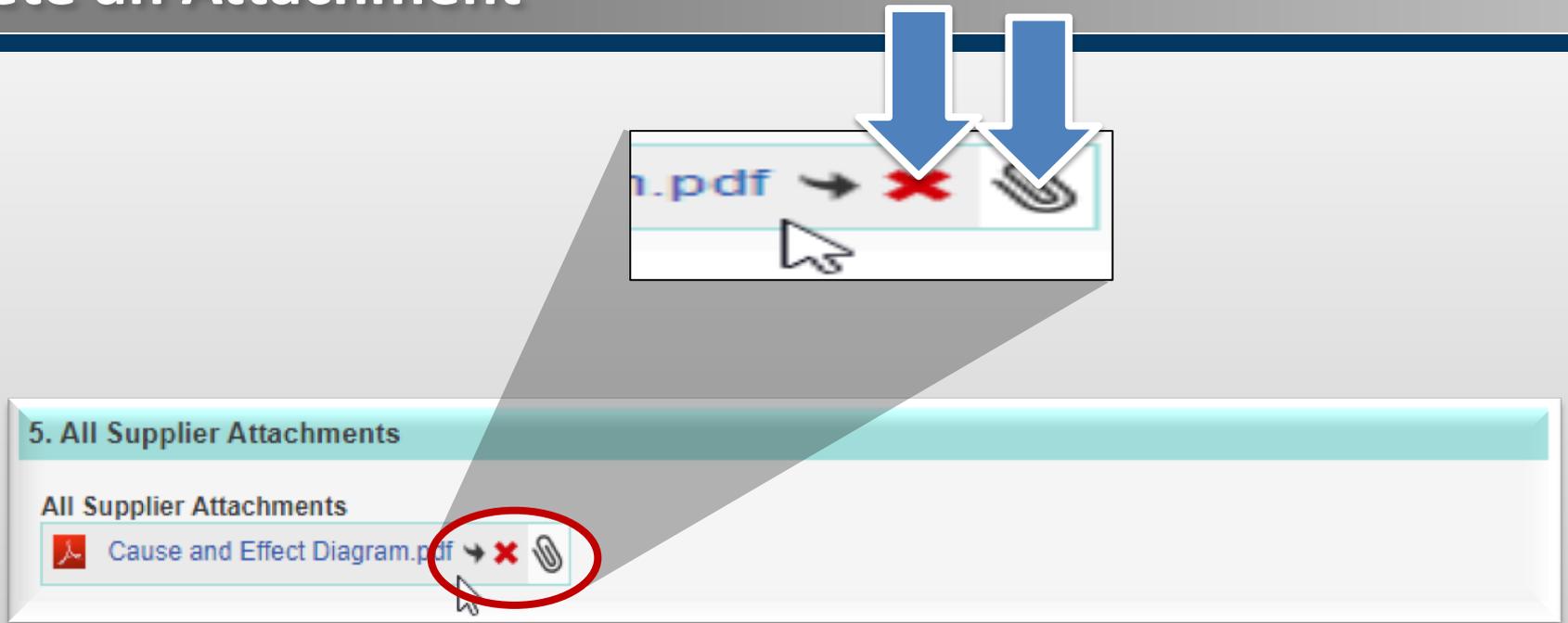
5. All Supplier Attachments

All Supplier Attachments

 Cause and Effect Diagram.pdf



Delete an Attachment



Section 6: Supplier's Response Completion

Routing Dialog

Phase: Corrective Action

Due Date:★ May 24, 2019 

Assign To:★ EMD Supplier Test  

Notify: 

Comment:

Save

Save

on

Cancel

OK

Cancel

Create & Read Electronic Comments

Accept → **Containment** → Corrective A... → Review → Complete

Progress Rail
A Caterpillar Company

Supplier QN # QN-2019-1129 Created by Matt Fijalkiewicz on Apr 12, 2019 8:14 PM

Supplier Corrective Quality Notice Access Control All Tabs

To view the comments pane please click on the green bar on the right hand side.

A red arrow points to the 'Containment' step in the process flow. A red box highlights the instruction text. A red circle highlights a green bar on the right side of the interface, with a blue arrow pointing to it from below.

Comments + Add new Comment

Last Comment

Matt Fijalkiewicz [4301]:	Apr 15, 2019 8:14 PM
Containment	
Editing.	

[Load All Comments](#)

A blue arrow points to the 'Add new Comment' button. Another blue arrow points to the 'Load All Comments' link.

Review Historical QN Tracking information



Supplier Corrective Quality Notice

Access Control

All Tabs

▼ Phase Tracking

Assigned To	Phase	Submitted Date	Due Date	Completed Date	Due Date Extension/Reassignment Link
Matt Fijalkiewicz	Accept	Apr 12, 2019	Apr 16, 2019	Apr 12, 2019	
EMD Supplier Test	Containment	Apr 12, 2019	Apr 19, 2019	Apr 12, 2019	
EMD Supplier Test	Corrective Action	Apr 12, 2019	May 24, 2019	Apr 12, 2019	

▼ Additional Document Security

Managers

Editors

Readers

Last Edited by Matt Fijalkiewicz on Apr 15, 2019 5:23 PM