IOWA

State Hygienic Laboratory

Initiating Nonconforming Events (NCE) in iPassport

Training Supplemental Guide 2023

By The State Hygienic Laboratory Training & Education Team

Purpose: The purpose of this guide is to provide State Hygienic Laboratory staff with basic steps to follow to initiate a nonconforming (or Non Compliance) event (NCE) in iPassport, the SHL official document management system. This guide is a supplement to the step-by-step video tutorial the SHL training team created. If you need any clarification on how to correctly complete this process consult with your supervisor or the Quality Manager. For additional guidance you can watch the Initiating NCE's In iPassport video tutorial.



Steps to Initiate a Nonconforming Event

1. Click " Detailed View" on the sidebar





If you do not have access to the **detailed view**, please let your supervisor know.

2. From the main menu, click " Quality Management"

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	Search iPassport Q	All Organizational Units		~		

3. Select the "+" sign next to the" Non-Compliances" from the drop down sub-menu to open a new record



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4. Enter the field data required as demonstrated below:

A. Organizational Unit (OU)

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The University of Iowa prohibits discrimination in employment, educational programs, and activities on the basis of race, creed, color, religion, national origin, age, sex, pregnancy, disability, genetic information, status as a U.S. veteran, service in the U.S. military, sexual orientation, gender identity, associational preferences, or any other classification that deprives the person of consideration as an individual. The university also affirms its commitment to providing equal opportunities and equal access to university facilities. For additional information on nondiscrimination policies, contact Office of Institutional Equity, the University of Iowa, 202 Jessup Hall, Iowa City, IA 52242-1316, 319-335-0705, oie-ui@uiowa.edu



C. Index

Title (Required)

				•
Index				
Auto Generate	¢	-		

When creating a non compliance, you can specify your own index by clicking the gear icon. Configure automatically-generated index's in OU Preferences > Index Generation. The index is auto generated. **Do not modify.**

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E. Locations



F. Non-Compliance Number, Discovery Date & Time

Contigure automatically-generated index s in OO Pre	This is an optional field if the initiator wants to document the OE number, or the worksheet number associated with the PT sample.
Discovery Date 🕢 Select th lab.	e date the report of the NCE was received by the

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G. Resolve By Date



Set the date by which the NCE needs to be resolved by. Rule of thumb is **30** days from the discovery date.



I. Non-Compliance Responsibility



K. Validation on Close By

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L. Origin

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N. Immediate or Corrective Action Taken

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State Hygienic Laboratory





- 5. When all the details have been added, review the information you entered for accuracy. If you need assistance with double checking your work, consult the Non-Conforming Event (NCE) Management SOP, which is document QA 211in iPassport, and your supervisor or the quality manager if you need help interpreting the NCE initiation policies and procedures. Once you are ready click Create in the lower right-hand corner of the screen to submit the NCE.
- **6.** Review the next screen for accuracy. All items with a pencil may be edited. **If you need to change the OU notify your Quality Systems Manager.**

Refer to NCE Below (Example)

Organizational Unit Ankeny Environmental Health Division				
Title (Required) Data Integrity Training				
Index NCE 1469 When creating a non compliance, you can specify your own Configure automatically-generated index's in OU Preferences	n index by clicking the gear icon. > Index Generation.	Category 5.7 - Training/Competency	Locations - Quality Mana	igement System 🖋
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Discovery Date 🕢 23-Jun-2022 🕜		Discovery Time 00:00 P	Non-Compliar - Rebecca Blai	nce Responsibility ir ✔
Resolve By Date 🚱 12-Aug-2022 🖋		Level 3 - Risk - High 🖋		O List here the user(s) responsible for reviewing or correcting this non compliance.
Escalated To - Corrective Action Required When adding content to this list will not refresh automatical populate this list.	s list using the spanner icon the lly. Refresh the tab to re-	Validation on Close By Rebecca Blair	Origin Internal Audit	,
Observation 2 Per TNI V1M2 section 5.2.7: "Data integrity training shall b	be provided as a formal part of new	employee orientation and shall also be provided on an annual basis for all current employees."	ø	
It was discovered during the audit that new hires are not b	eing issued Data Integrity Training a	is part of their onboarding.		
Non Compliance Impact - Accreditation 🖋				

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Steps to Assign A Task to The Staff Responsible for the NCE

The final step to initiating an NCE in iPassport, is to assign a task to the individual that was assigned responsibility for the NCE.

1. Click the "Tasks" menu tab

General	Reviews	Actions(0)	Root Cause	Effectiveness	Lessons Learned	Notes(1)	Tasks(0)	Attach(0)	Links(0)	Changelog
Organizational Unit Quality Assurance										
Title (Re HIPAA Se	Title (Required) HIPAA Security Rule: §164.312(a)(2)(iv): HIPAA A-LIGN 🖋									

2. Click on " + Add Task" in the new screen that pops up

General Reviews	Actions(0) Root Cause Effect	liveness Lessons Learned	Notes(1) Tasks(0) Attach(0)	Links(0) Changel	elog								
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- 3. Assign the task to the staff responsible for the NCE. The **due date** for this task should be a few days prior to the due date for the completion of the NCE process; this allows the person who is validating the NCE to verify everything has been documented and to request any additional evidence of compliance which supports the implementation of the corrective action plan. The **active date** is the date you are assigning the task.
- 4. Select medium for priority and copy the Quality Manager and Quality Systems Manager; currently Rebecca Blair and Molly Bradshaw. Then enter the following in the description filed:

Please complete the root cause analysis and corrective action determination using the template, "NCE Questions to Answer Under Root Cause Tab" found in QA 211. Copy and paste this template in the "Root Cause" tab of this NCE.

5. Scroll down and click " **Create Task**". The staff responsible for the NCE will receive notification from iPassport that this task was assigned to them to complete. You have now completed the NCE initiation process!