AMOS Business Suite

Version 10.1.00

Quality & Safety User Guide



Revision 1, January 2018

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CHAPTER 1

AMOS Quality & Safety

AMOS Quality and Safety is a comprehensive tool for compliance, quality, assessment, risk management, and document control. Using Q&S you design the system to suit your needs, both in regards to textual information and data acquisition.

This chapter includes the following topics:

Quality Procedures 2
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Quality Procedures

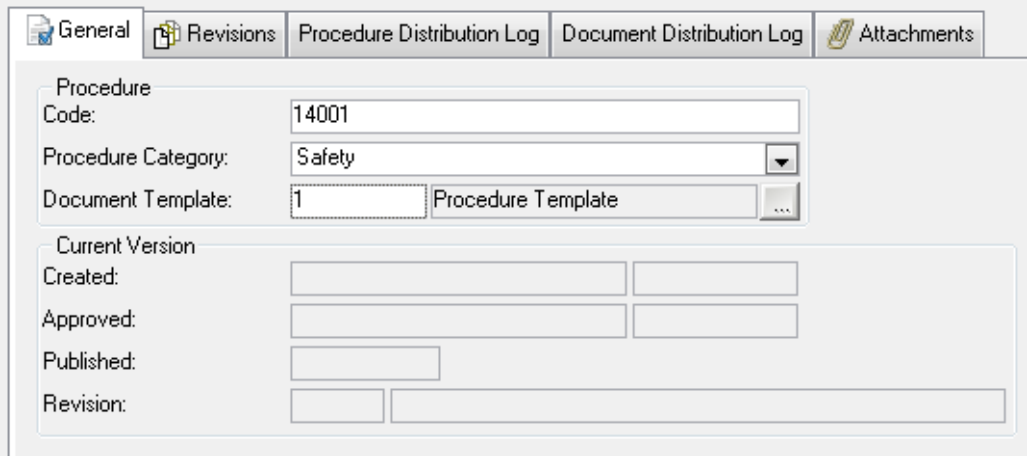
Procedures describe which measures to take at your various sites to maintain the established quality goals of your organisation. The Procedures window[1] is for creating and maintaining your organisation's procedures and documents. Each procedure is an entry in the window and can be revised as needed. After creating a procedure record you can add things to it:

- documents (and document templates) containing procedure details;
- job descriptions and schedules for the related work to be done;
- links to manuals and conventions;
- references to other related procedures.

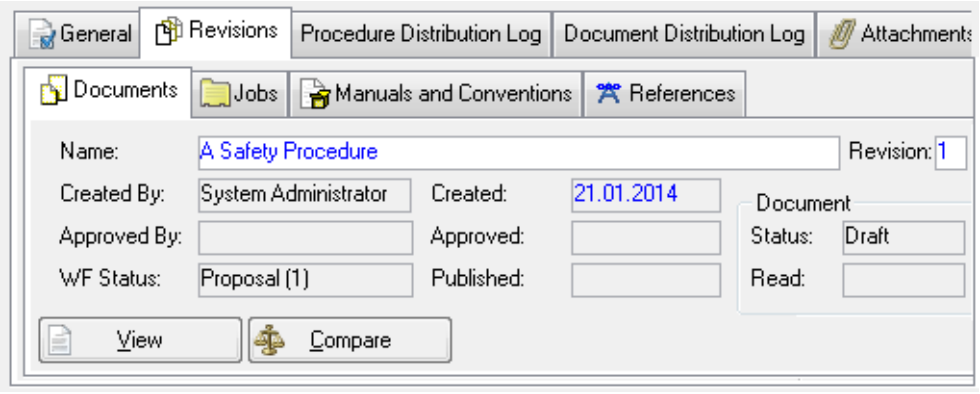
Creating a New Procedure

To create a new procedure record:

1. Go to **Quality > Procedures**. Click **New** on the window toolbar.
2. Enter a **Code**, **Procedure Category** and a **Document Template**:



3. Open the Revisions tab. Enter a **Name** in the Documents sub-tab:



4. **Save** the window and the revision details on the General tab will be updated for you.

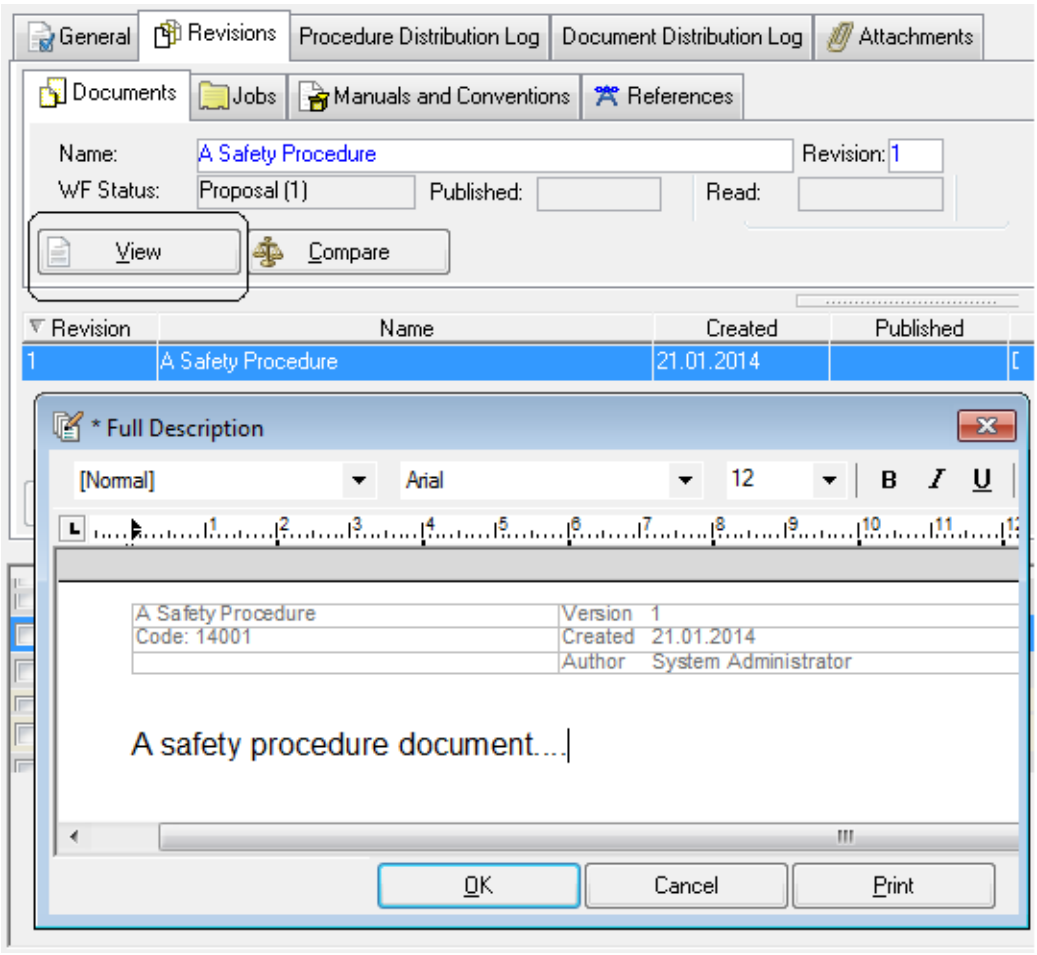
The window at **Options > Quality Log** will eventually display information about the selected procedure.

[1] The Procedures window that you see will depend on your combination of access rights.

Attaching a Document to a Procedure

Once you have a procedure record in the window, attach a procedure document to it:

1. Select a procedure and open the Revisions tab. Select the current draft.
2. Click the **View** button or go to **Options > Details**. This opens a Full Description window, containing the blank document template as assigned on the Procedure window General tab:



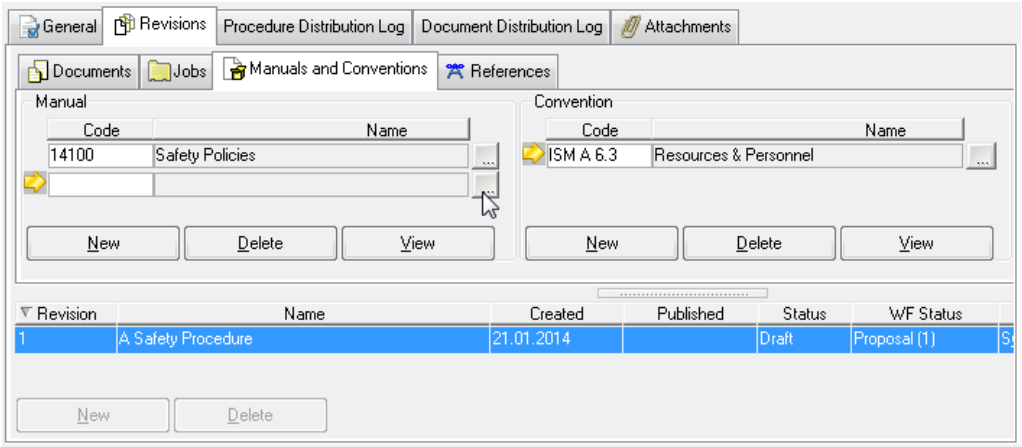
3. Enter or copy and paste text here. Click **OK** to close the document and return to the Procedures window.
4. **Save** the changes. Clicking **View** again will show you the document with containing the text.

Keep track of which users have opened and read the active version of a document in the window at **Options > Document Read Log**. A new entry is created in the DocReadLog when a user opens an active version of a document they have not previously read.

Adding Manuals and Conventions to a Procedure

You can attach existing manuals and conventions to a draft procedure:

1. Select a procedure and open the Revisions tab.
2. Select an unpublished revision and open the Manuals and Conventions tab.
3. Click **New** in the Manual/Convention list and then use the lookup to select one:



4. Add as many as are relevant to the selected procedure.
5. **Save** the changes.

> **Tip**
>
> Clicking the **View** buttons opens the Manuals/Conventions window directly and you can read the relevant documentation there.

Create new manuals and conventions in the windows at **Quality > Manuals/Conventions**.

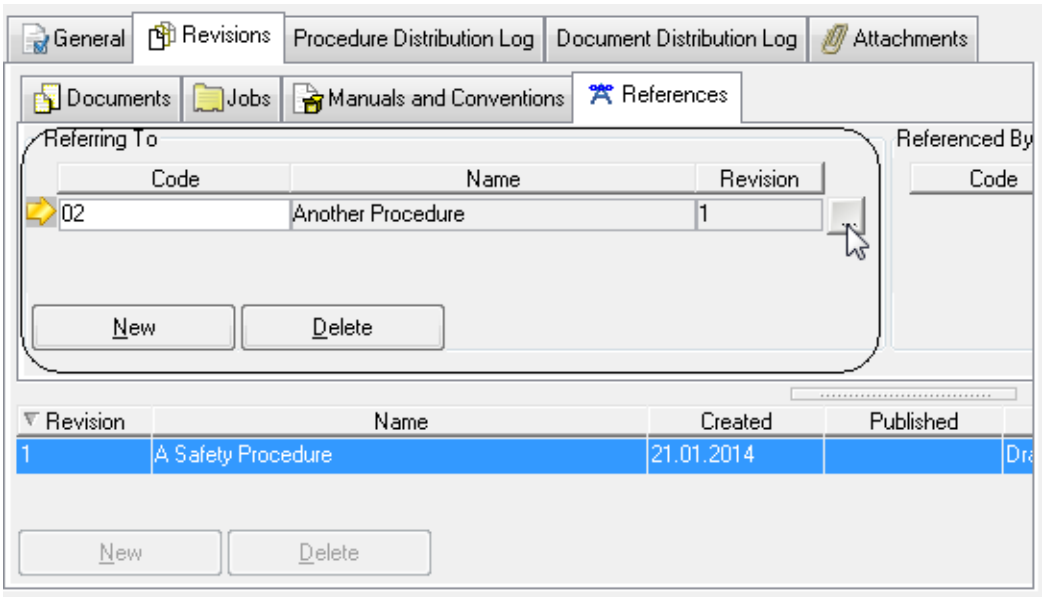
Referring Procedures to Other Procedures

The Procedures window Revisions tab > References sub-tab is for referring procedure documents to each other. The tab contains two lists: procedures the selected procedure revision refers to; and other procedures which reference the currently selected one.

> **EXAMPLE**
>
> The procedure 'A Safety Procedure' refers to the procedure 'Another Procedure'. You want to add this reference to the window.

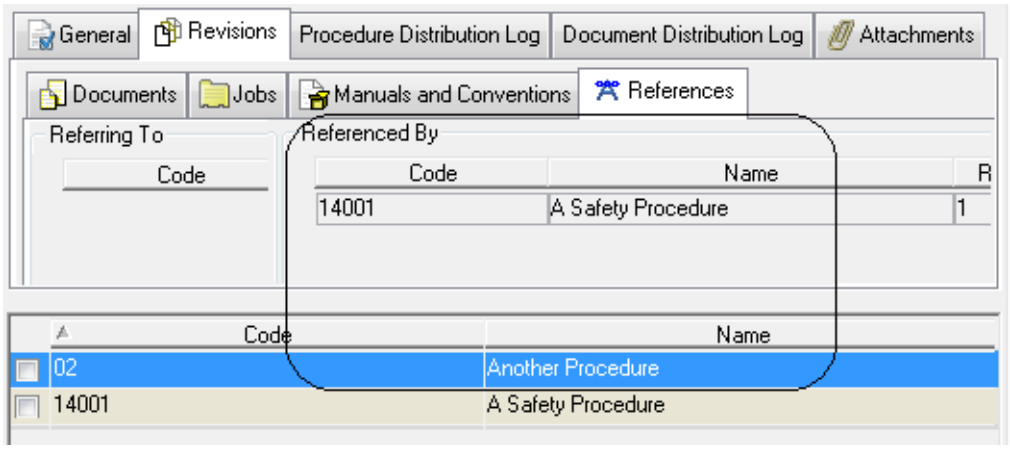
To add this reference:

1. Select 'A Safety Procedure' in the Procedures window list and open the Revisions tab. Select an unpublished revision and open the References tab.
2. Click **New** on the left side of the tab and lookup 'Another Procedure':



Only published[1] procedures are available for selection.

3. **Save** the reference. Select 'Another Procedure' in the bottom of the Procedures window list. Open the References sub-tab:



4. 'A Safety Procedure' appears read-only on the right side of the window in the Referenced By list.

Procedures Window - Read Only

Some users open the Procedures window to read documents, but not to edit or create new documents. The read-only Procedures window is simplified and intended for those users who just need to view and print Procedure Documents. This Procedure window only appears if the user has the following combination of access rights in Access Control:

- No access to Procedures on the Registers tab
- Access to Procedure Documents on the Functions tab
- No access to Complete System on the combined tab

No changes can be made in this window.

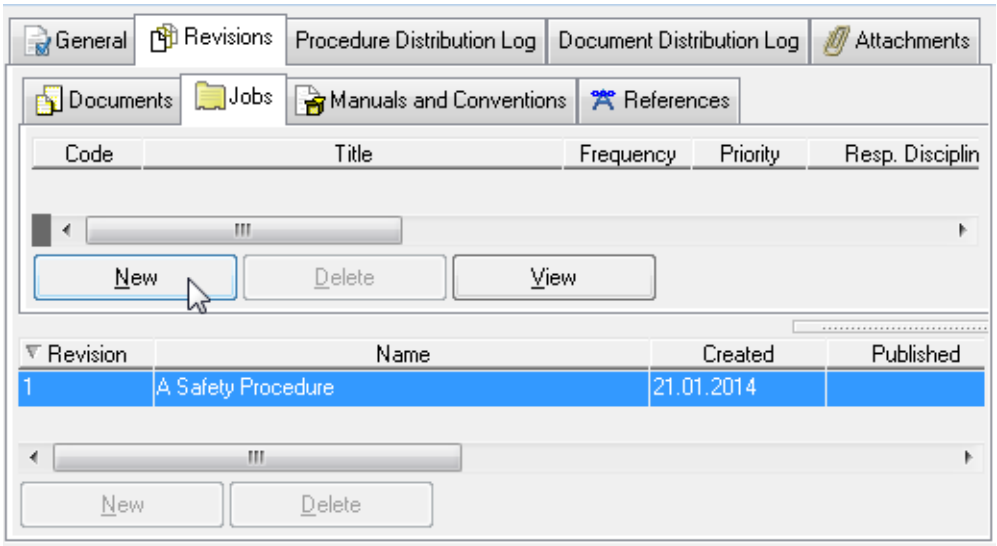
[1] The status depends on your own work flow configurations: for example active or issued are also possible statuses.

Note: A set of sample procedures may be installed with the application. You can use these as a starting point for creating your own tailor-made procedures. Correct access is required to create brand new procedures.

Procedure Jobs

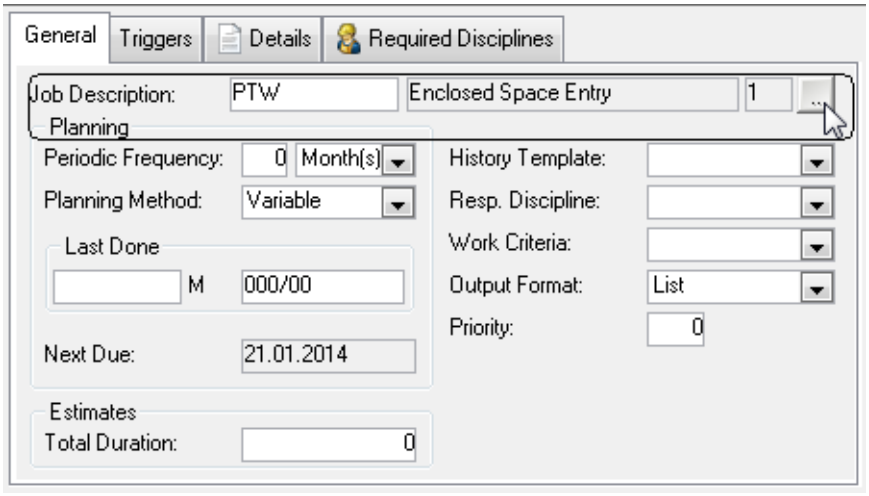
You can connect one or more related jobs to a procedure. Work orders will eventually be generated for each job.

1. Select an unpublished procedure revision and open the Jobs sub-tab.
2. Click **New** in the tab:



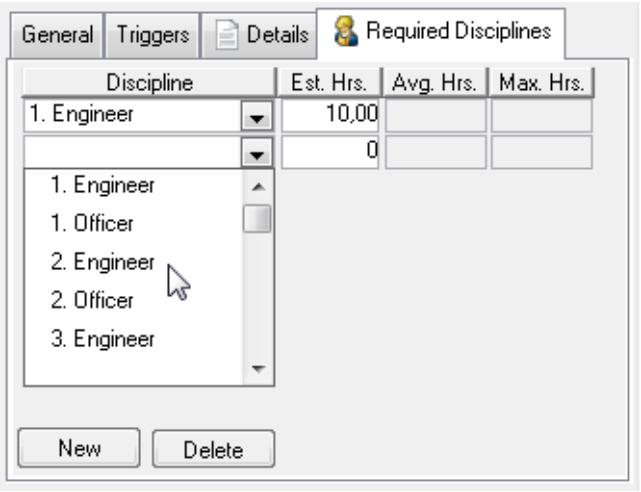
This opens the Procedure Jobs window.

3. Select a **Job Description**:

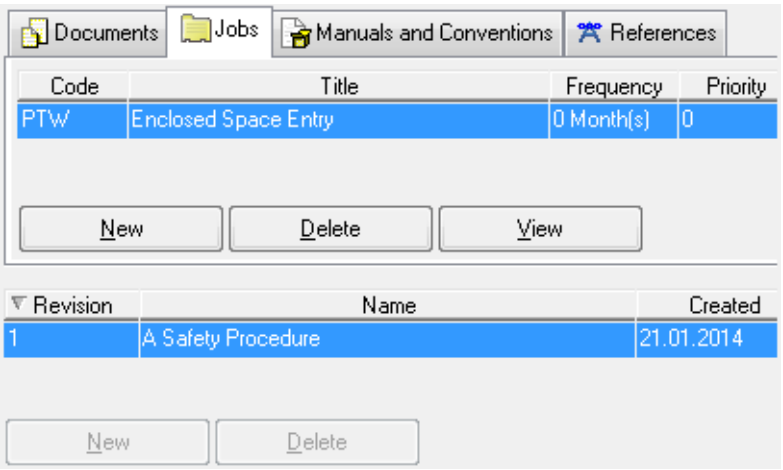


The job description itself will appear in the Details tab.

4. Create a job schedule in the Planning section and/or Triggers tab. See "Scheduling Procedure Jobs" on the facing page for information about how to schedule jobs.
5. Specify the employee (by discipline) in charge in the **Responsible Discipline** field. Add more team members by discipline in the Required Disciplines tab:



6. Select a **History Template** for use with work reporting, and the **Output Format** AMOS should use to print when work orders are generated:
   - **List**. A single line for the job.
   - **Compact List**. Only the most important information for the job.
   - **Work Order**. Also includes the complete description for the job.
7. **Save** the job. Click **New** to add another to the same procedure, or close the window to return to the Procedures window where the newly added job(s) appears:



Scheduling Procedure Jobs

A procedure job can be initiated in by a:

- **Periodic Schedule**. Periodic procedure jobs are based on a calendar schedule and will be performed repeatedly throughout the lifetime of an installation. See "Periodic Frequencies and Planning Methods" on the next page.
- **Trigger**. Event-based procedure jobs are only performed as the result of an event, like 'Arrival' or 'Departure'. See "Triggers" on page 9.

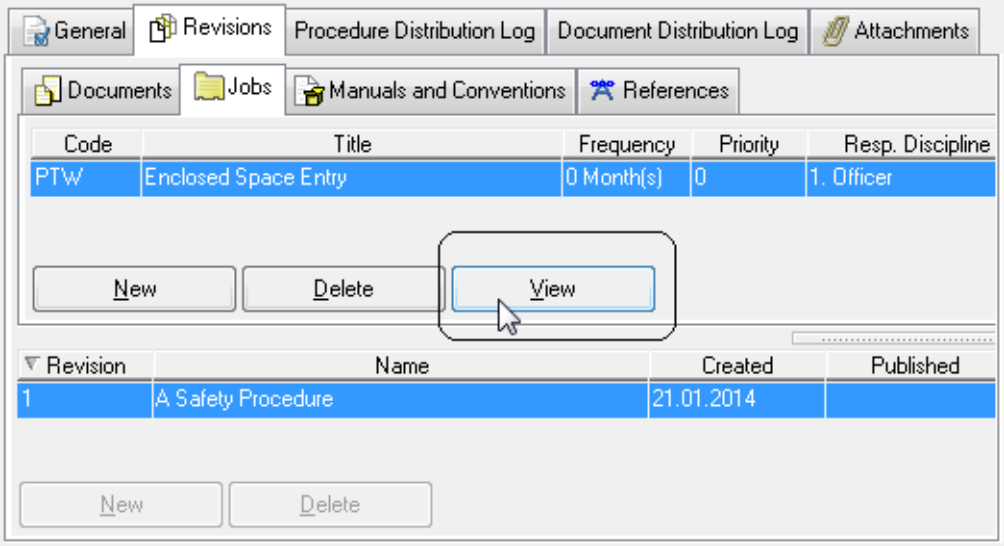
Work orders will be created for the jobs according to schedule or trigger. See "Quality Work Orders" on page 26 about generating and carrying out work orders.

Periodic Frequencies and Planning Methods

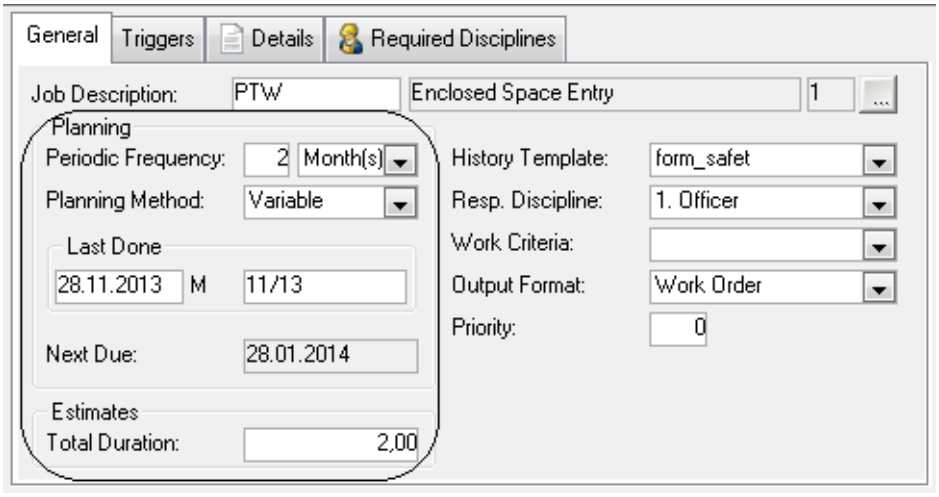
You can schedule jobs to be carried out regularly at a defined periodic frequency. Work orders for jobs with a periodic frequency can be handled automatically after the system has been `kick-started' by generating the first work order: once the status of the current work order has been set to Completed, AMOS generates the next one.

To create a periodic schedule:

1. Select a procedure and open the Revisions tab. Choose an unpublished revision and open the Jobs sub-tab.
2. Click **New** or **View** to access the Procedure Jobs window:



3. Either create a new job or select an existing one in the Procedure Jobs window.
4. Set the interval at which this job should be carried out - for example, 2 months - in the **Periodic Frequency** field.
5. Set a **Planning Method**. After the first work order for this job has been completed, AMOS will generate the next one due, and so on, according to the planning method:
   - **Variable Planning** enables a flexible reporting date. For example, if the job is to be reported every 30 days, the next due date is calculated according to the date of the last report. So, reported on 5 May causes the next due date to be set to 5 June.
   - **Fixed Planning**means a report is always due on the same day of each month. This means that no matter when the job is reported, the next due date remains fixed even if the report was late and fewer than 30 days remain until the next set date.
6. Set the **Last Done** date. AMOS will project the **Next Due** date according to the scheduling information you have provided.
7. Enter an estimated **Total Duration**.



8. **Save** your work. Close the window to return to the Procedures window.

See "Generating Quality Work Orders" on page 26 to read about periodic work orders.

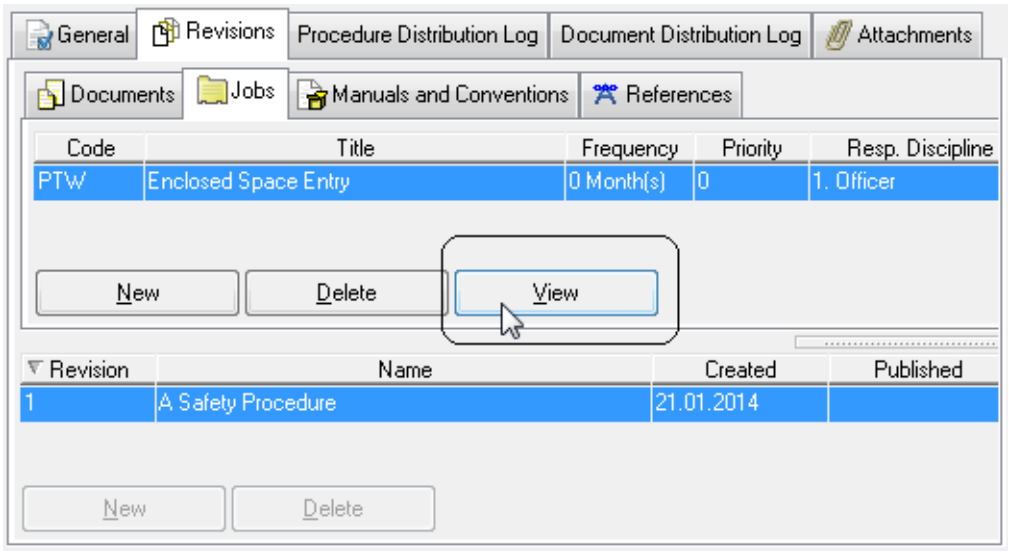
Triggers

Triggers[1] are another way of determining when jobs should be carried out. For example, 'Weekly' may be defined as a trigger for tasks to be carried out every week. Triggers can also be used to schedule jobs which are handled when a specific event occurs. For example, 'Arrival' may be a trigger for jobs to be carried out when a vessel arrives in port.

Before you can 'trigger' jobs and so generate the necessary work orders, you need to link the relevant triggers to the jobs they activate.

To link a trigger to a job:

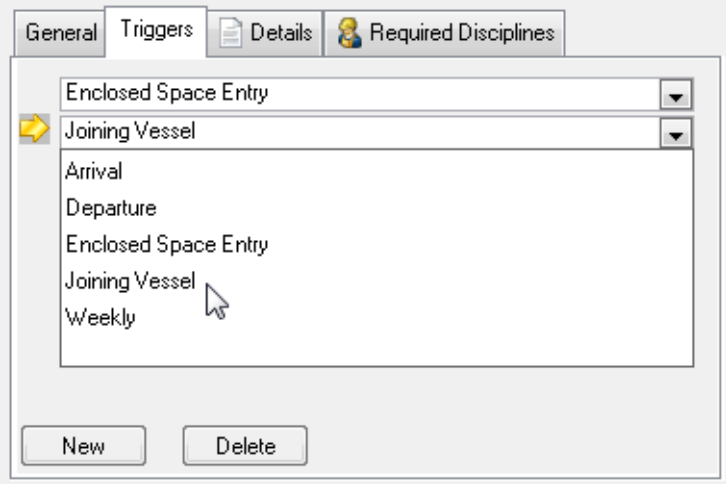
1. Select a procedure and open the Revisions tab. Choose an unpublished revision and open the Jobs sub-tab.
2. Click **New** or **View** to access the Procedure Jobs window:



   Either create a new job or select an existing one in the Procedure Jobs window.

3. Open the Triggers tab and click **New** inside the tab.
4. Select a trigger:

[1] Triggers are defined in the register at File > Open Register > General > Job Triggers.



Add more if needed.

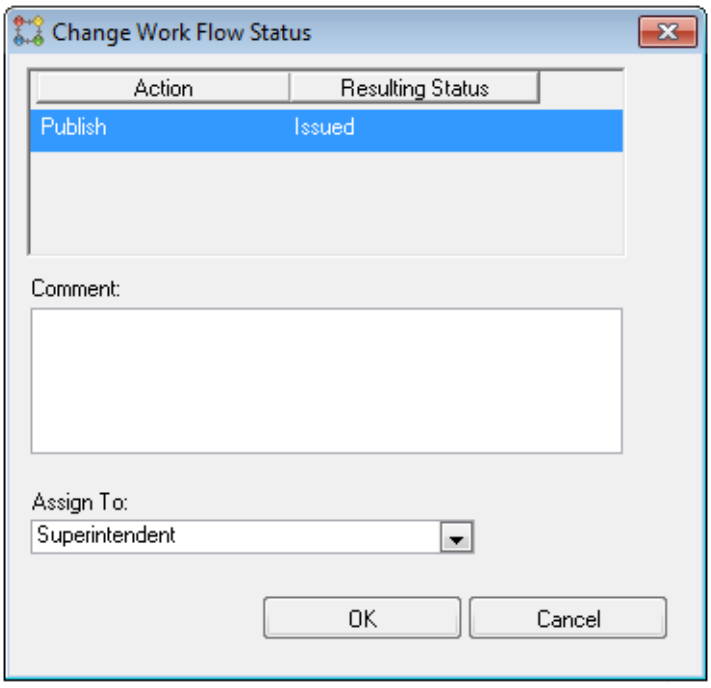
5. **Save** the changes. Close the window to return to the Procedures window.

See "Activating Trigger Jobs" on page 26 to read about triggering work orders for these jobs.

Publishing a Procedure

Before procedures can go into use and work orders can be generated for jobs, the latest procedure version needs to be published, or issued[1].

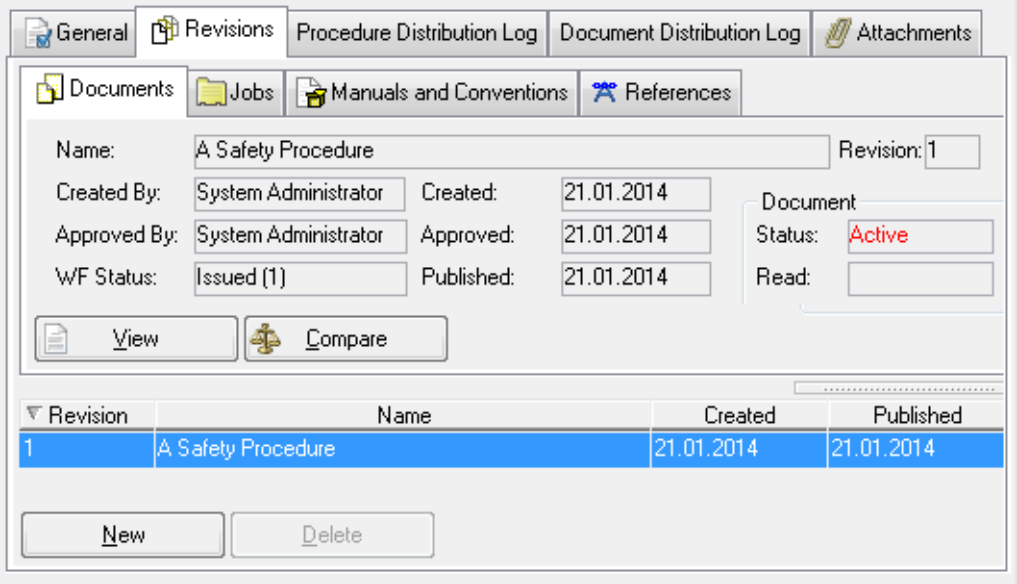
1. Select a procedure with an unpublished revision.
2. Go to **Options > Work Flow...**. Work flow actions and resulting statuses depend on your organisation's work flow. You may have to process a series of drafts, or approve the procedure first.
3. Select the publishing action:



4. Click **OK** to publish the procedure revision and return to the Procedures window, where you can

[1] Available work flow actions and statuses depend on your own work flow configurations. Those listed here are examples using the pre-configured work flow and so may differ from your own.

see the changes in the Revisions tab:



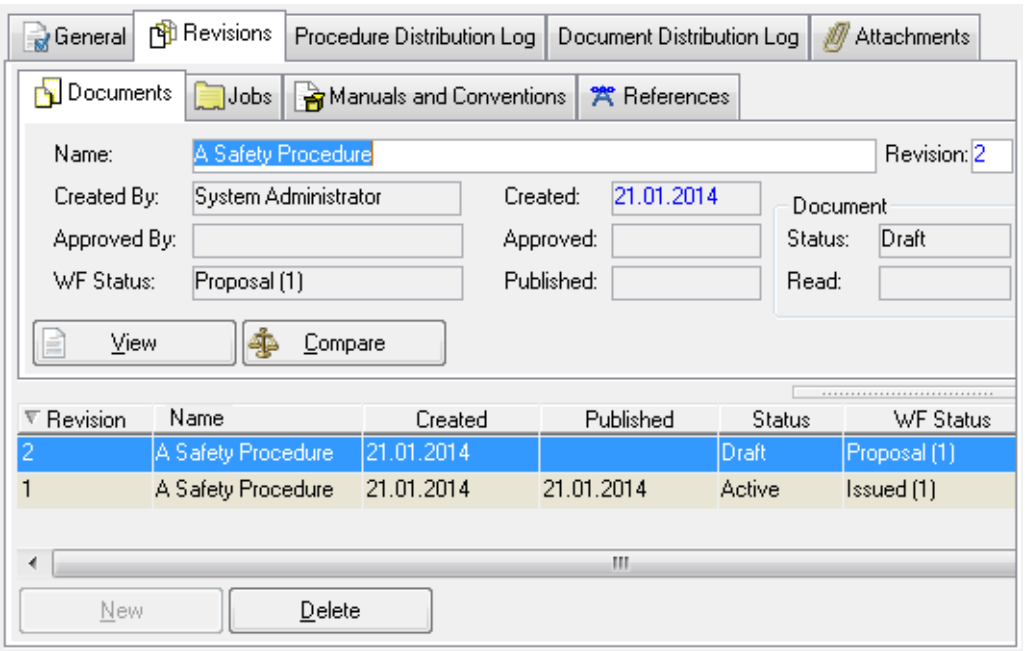
You can keep track of a procedure's work flow progress in the window at **Options > Activity Log**.

Creating a Procedure Revision

Available work flow actions and statuses depend on your own work flow configurations. Those listed here are examples using the pre-configured work flow and so may differ from your own.

As processes and jobs change, update your procedures by creating new revisions:

1. Open the Procedures window and select a procedure in the list.
2. Open the Revisions tab. Click **New** in the Documents sub-tab[1]:



3. This creates a new draft revision. Alter the revision as needed:

[1] If a 'draft' revision exists already, the button will not be available.

- Click **View** to open and edit the procedure document.
- Job triggers, schedules and required disciplines will be copied from the previous revision. Add, remove or edit the linked jobs as needed.
- Manuals and conventions will be copied from the previous revision. Add or remove manuals and conventions as needed.
- 'Referring To' procedures are copied from the previous revision and you can add or remove procedures from this list. Any 'Referenced By' procedures are not copied from revision to revision.

4. **Save** the revision. When the new revision is ready, publish it using the work flow. See "Publishing a Procedure" on page 10 for more about publishing procedures.

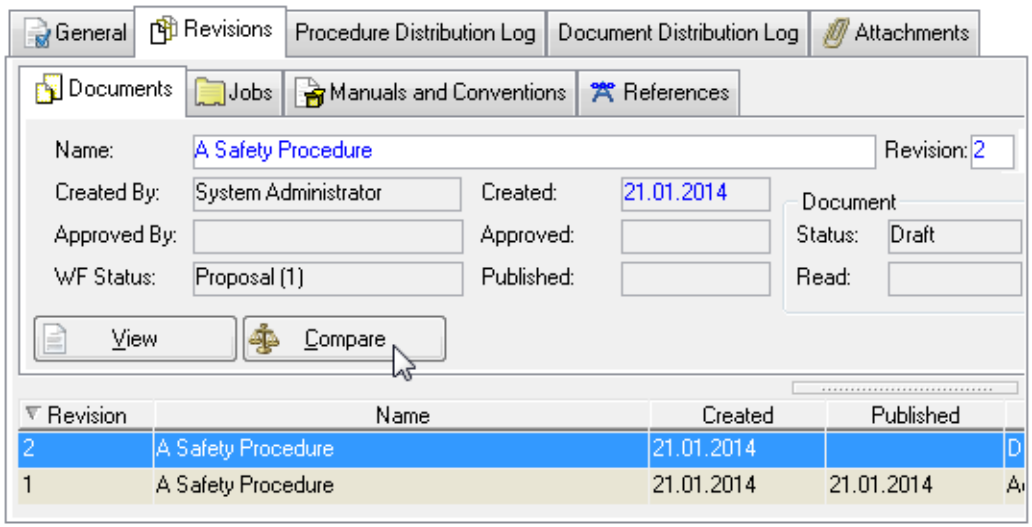
Note: Only one draft and one active revision of the same procedure can exist at a time. Publishing a new draft renders the previous active revision obsolete. You can have multiple obsolete versions.

Keep track of who has read the selected procedure version in the window at **Options > Procedure Read Log**. When a procedure has a new version assigned to a particular user to read, a new entry is created in the ProcedureReadLog file when that user opens the new version. Procedures with unread versions will be highlighted in red.

Comparing Procedure Documents

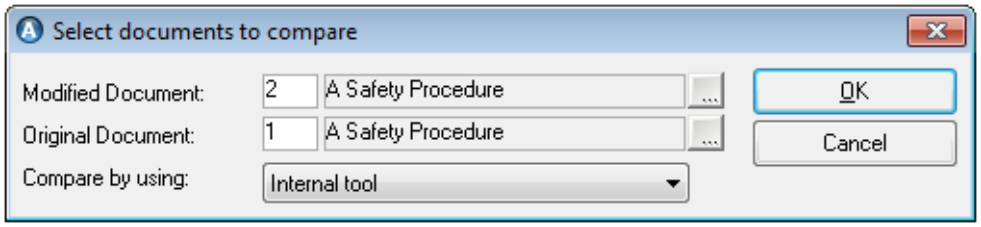
To compare different revisions of a document:

1. Open the Procedures window and select a procedure in the list.
2. Open the Revisions tab. Click **Compare**:



The select documents dialog opens.

3. Select a **Modified** and an **Original** document:



Choose to use either the **Internal Tool** or **Word** for viewing and comparing.

4. Click **OK**. The Compare Documents window opens.
5. Click **Cancel** or close the window to return to the Procedures window.

Procedure Distribution

Your organisation may have a large number of procedures. Some procedures may apply to all installations while others are specific to a single installation or an installation group. AMOS makes it easier to ensure that all the sites in your organisation follow the correct procedure: once you have a procedure complete and ready to go, distribute it to the installations at which it applies.

There are two ways to approach document distribution:

- Distribute a single document at a time to one or more installations, directly from the Procedures window. See "Distribution from the Procedures Window" below.
- Organise distribution for a large number of procedures all at once by installation or by installation group. See "Distribution by Installation" below for installations and "Adding a Procedure to an Installation Group" on the next page for installation groups.

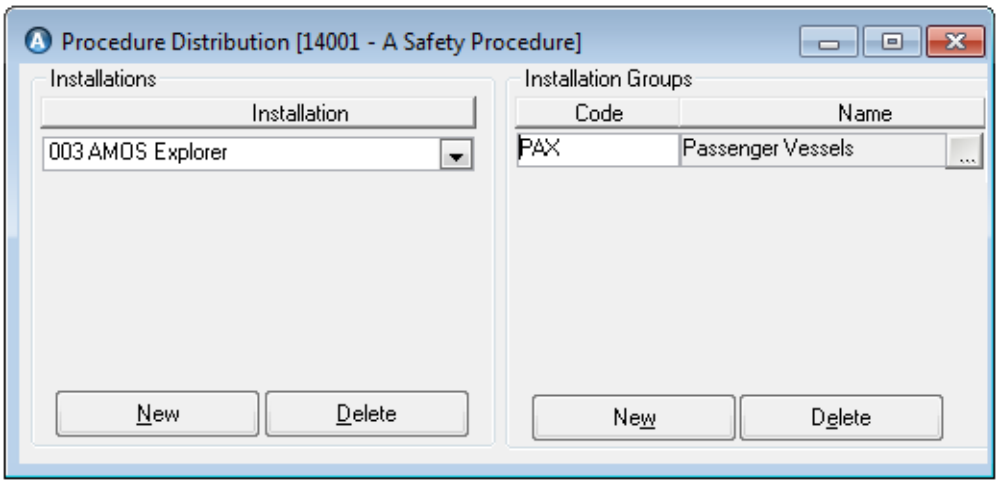
There are two types of Distribution Logs available in the Procedures window:

- **Procedure Distribution Log**. Lists all the procedures imported to the installation.
- **Document Distribution Log**. Lists all the documents imported to the installation.

Distribution from the Procedures Window

To distribute procedures one-by-one in the Procedures window:

1. Open the Procedures window and select a procedure in the list.
2. Go to **Options > Distribution.....** This opens the Procedure Distribution window.
3. Click **New** and lookup installations on the left and installation groups on the right:



   The procedure will be distributed to any you list.

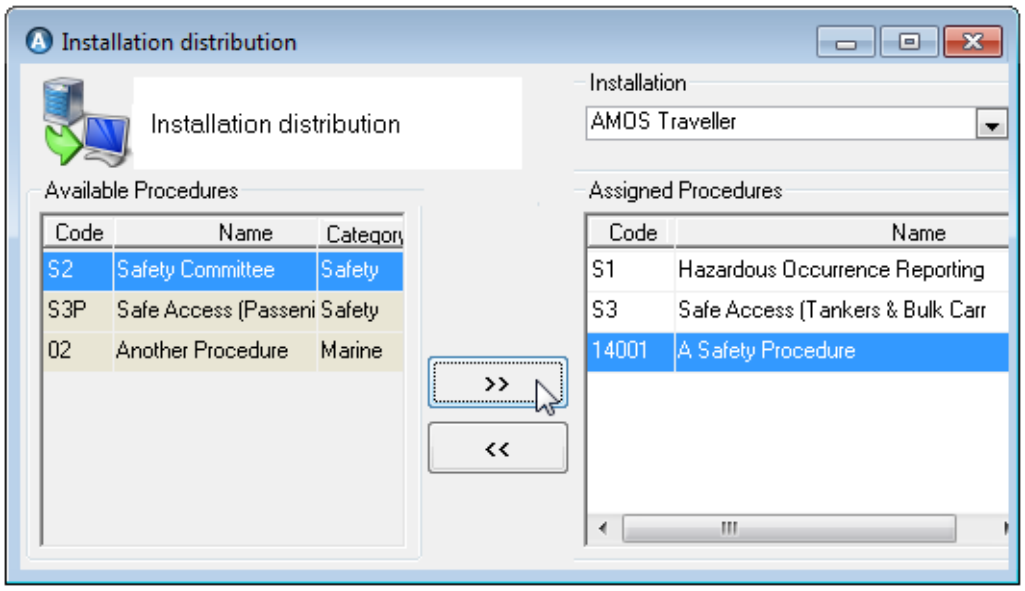
4. **Save** and close the window to return to the Procedures window.

Distribution by Installation

The Distribution windows contain all the current procedures in your system and you can allocate them to the installations where they are needed.

To distribute procedures to one or more individual installations:

1. Go to **Quality > Distribution > Installation**.
2. All available procedures are listed on the left side of the screen. Select any **Installation** on the right side to see which procedures are currently distributed there:



3. Select a procedure in the **Available** list. Click the right-arrow to move it to the **Assigned** list.
4. **Save** the changes. Remove a procedure by selecting it in the **Assigned** list and clicking the left-arrow.

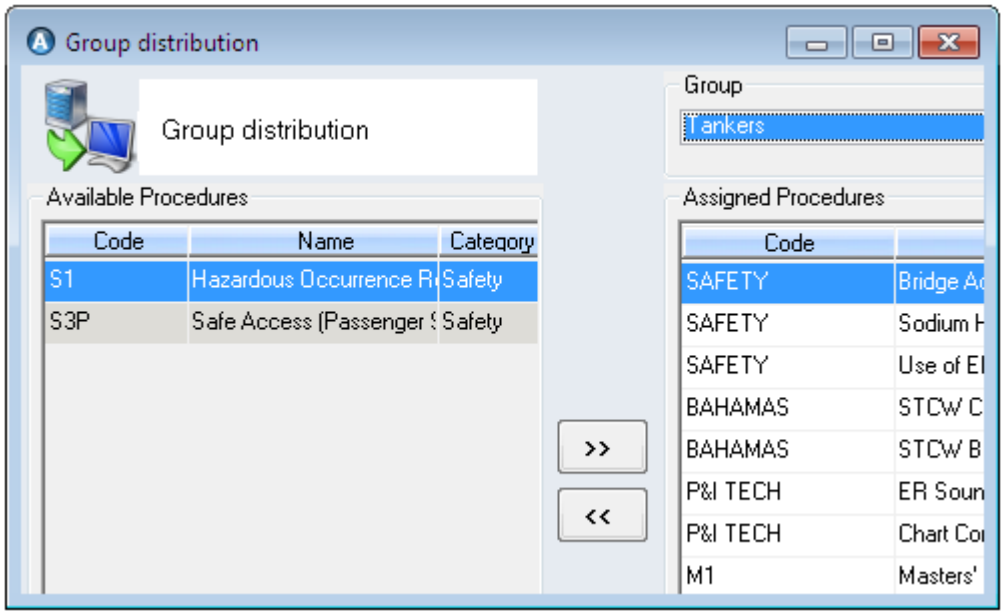
Adding a Procedure to an Installation Group

The Distribution windows contain all the current procedures in your system and you can allocate them to the installation groups where they are needed.

An installation group consists of several sites, and each site may belong to one or more installation groups[1].

To distribute procedures to one or more installation groups:

1. Go to **Quality > Distribution > Installation Group**.
2. All available procedures are listed on the left side of the screen. Select any Installation **Group** on the right side to see which procedures are currently distributed there:



3. Select a procedure in the **Available** list. Click the right-arrow to move it to the **Assigned** list.

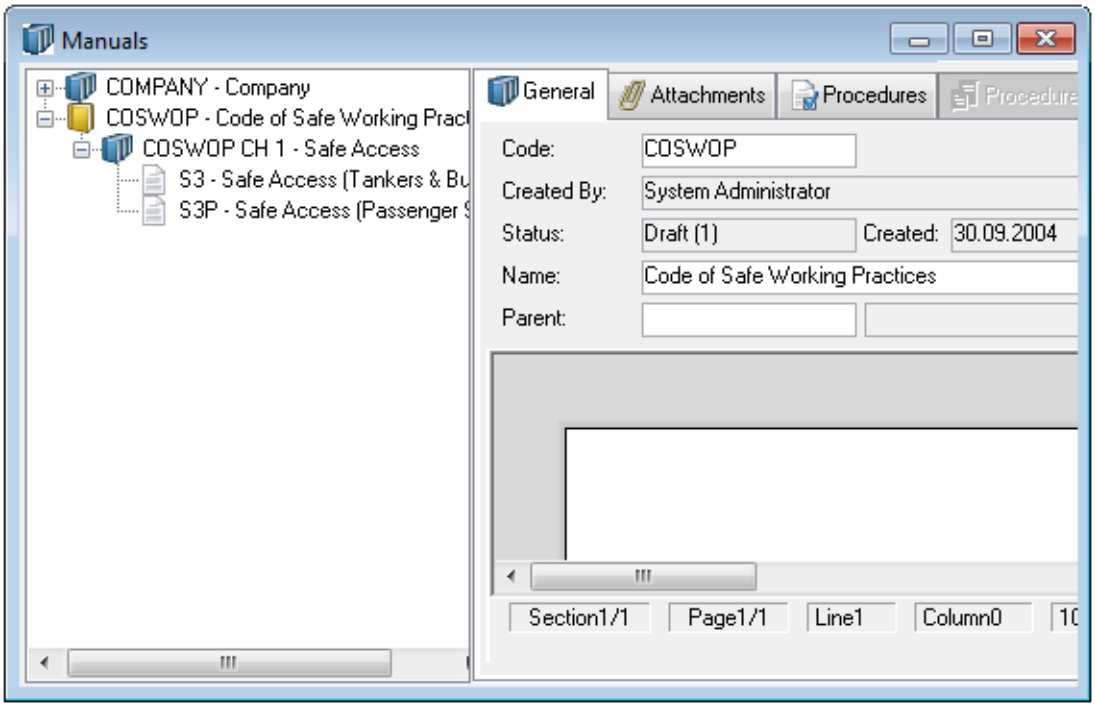
[1] Installation Groups are defined at Tools > Configuration > Installations > Installation Groups.

4. **Save** the changes. Remove a procedure by selecting it in the **Assigned** list and clicking the left-arrow.

Remove a procedure by selecting it in the **Assigned Procedures** column and clicking the left-arrow.

Manuals

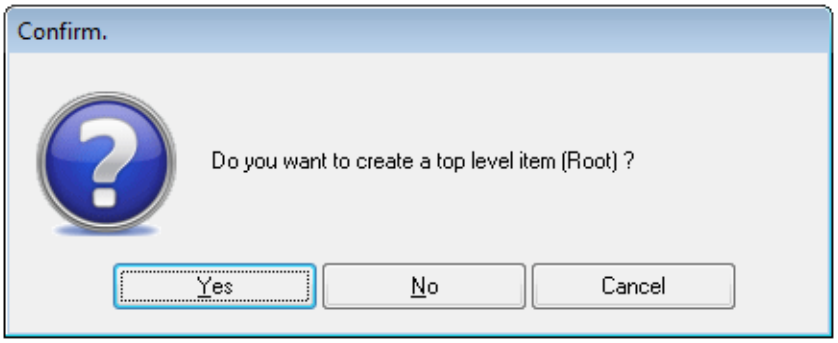
Use the Manuals window to add manuals to your database for viewing by everybody or by selected groups. Manuals are stored in a hierarchy structure - manuals contain sub-folders or chapters, and chapters contain procedures and procedure documents:



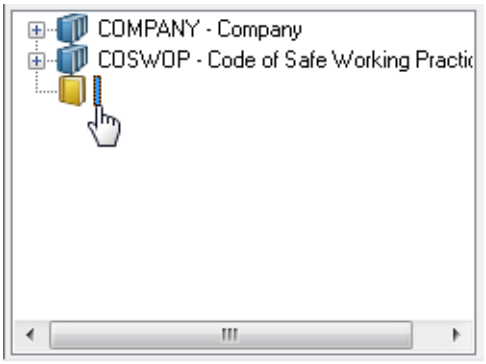
Each manual shown on the left side of the window can be controlled, approved and published. Once you've added a manual here, you can link it to any relevant procedures in the Procedures window.

To add a new manual:

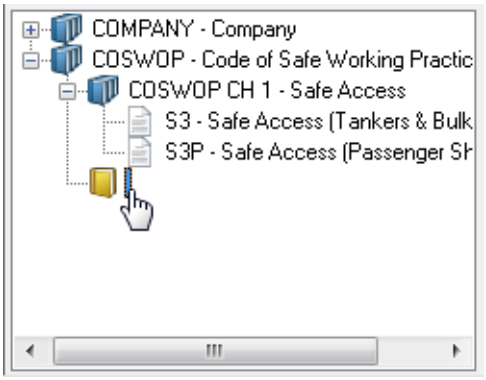
1. Go to **Quality > Manuals**. Click **New**.
2. AMOS asks if you want to add a top-level item:



Click **Yes** to add a new manual:

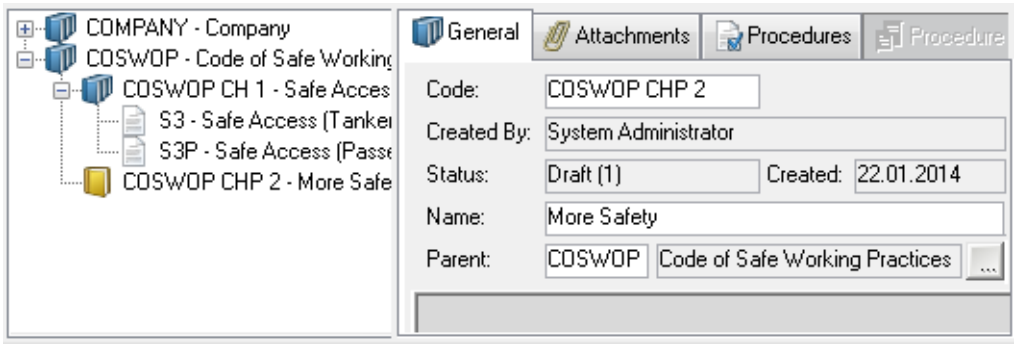


Or click **No** to add a sub-folder or chapter:

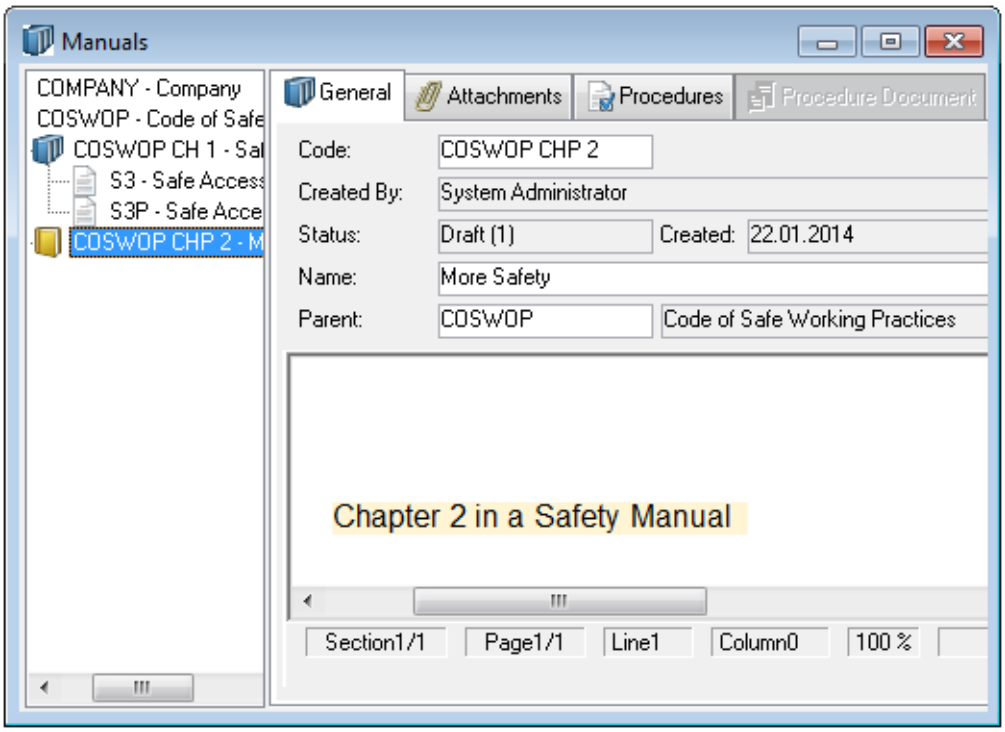


> **Tip**
>
> You can drag and drop chapters into different locations within the hierarchy.

3. Enter a **Code** and **Name**. For a chapter or other sub-section, lookup the **Parent** manual:



4. To add content to a manual or chapter, go to **Options > Details**. Type, or copy and paste content into the Full Description window.
5. Click **OK** to return to the Manuals window where your content will now appear in the General tab page:



6. **Save** your work.

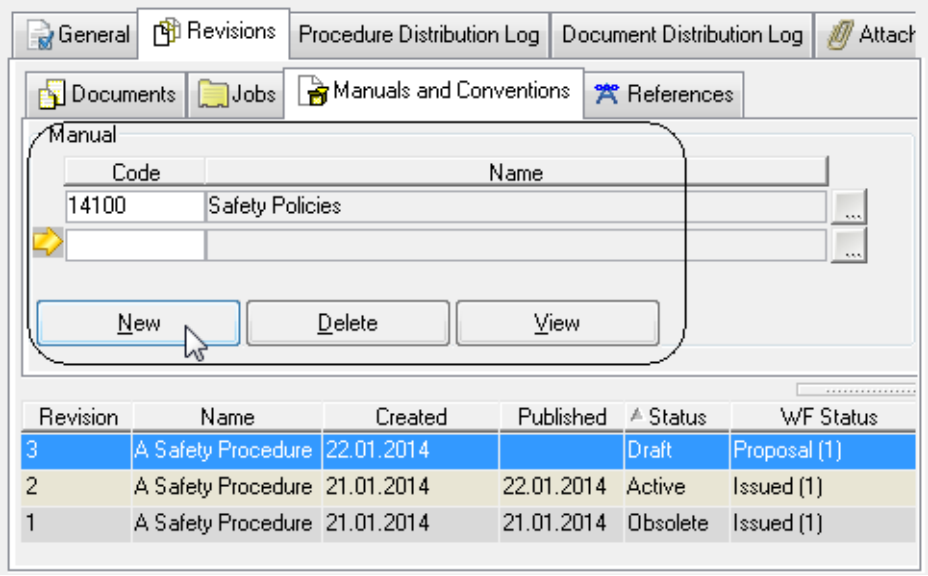
> **T i p**
>
> To search for a word or phrase in a document, go to **Options > FInd** and enter some text. The search covers all saved manuals and returns a count of the number of manuals found containing the search criteria.

Manuals - Assigning Procedures and Documents

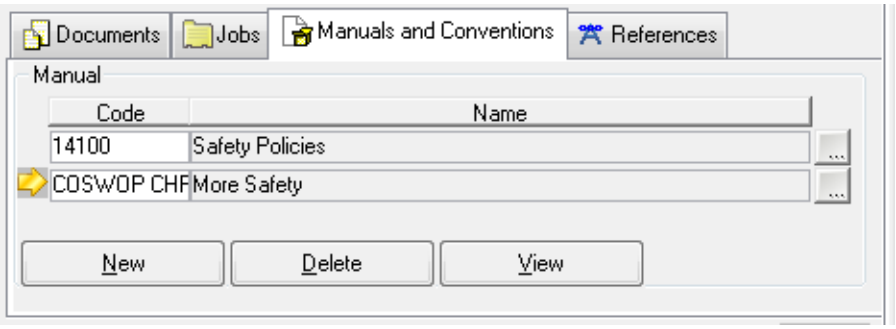
Once you have created a manual you can associate it with any relevant, published procedures. When a manual or a chapter of a manual is linked to a procedure, the procedure shows up in the Procedures tab on the Manuals window. The active revision of the document itself will appear in the Procedure Document tab.

Linking a Manual or Chapter to a Procedure

1. Go to **Quality > Procedures**. Select a procedure in the window.
2. Open the Revisions tab. Select a draft revision: it is not possible to assign manuals to procedure revisions which are obsolete or have already been activated.
3. Open the Manuals and Conventions tab. Click **New** under Manual:



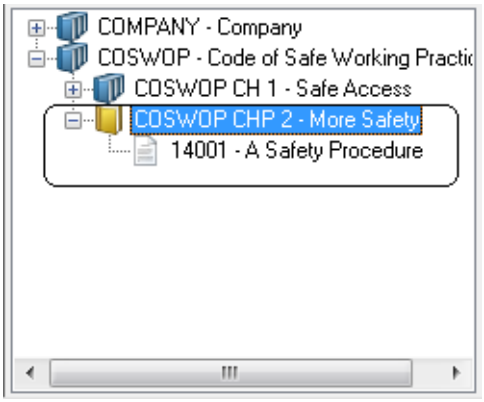
4. Use the lookup to select a manual or chapter:



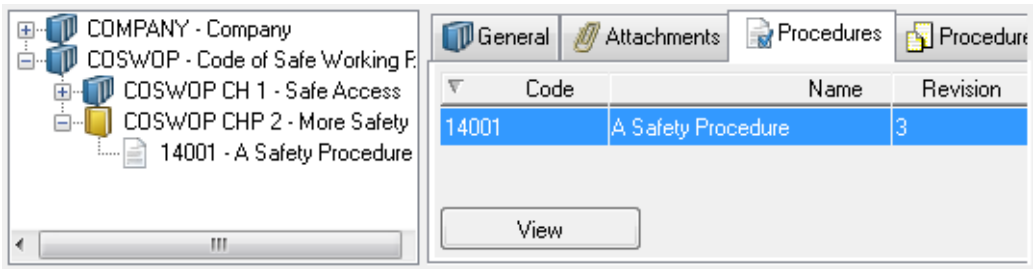
5. **Save**the window. Before this link can be established, you need to publish the draft procedure revision according to your work flow. See "Publishing a Procedure" on page 10.
6. Once the procedure is finalised and published, **Save** and exit the Procedures window.

Viewing Procedures in the Manuals Window

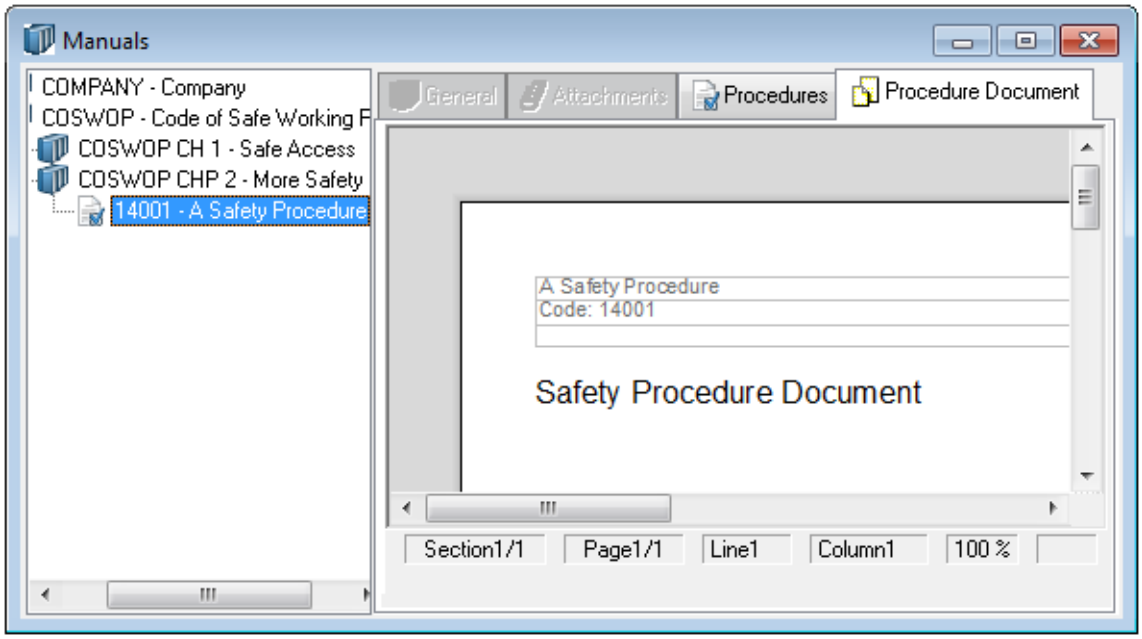
Go to **Quality > Manuals**. Select the same manual/chapter in the hierarchy. You can see that the associated procedure now appears in the hierarchy:



It is also listed with its current active revision number in the Procedures tab:



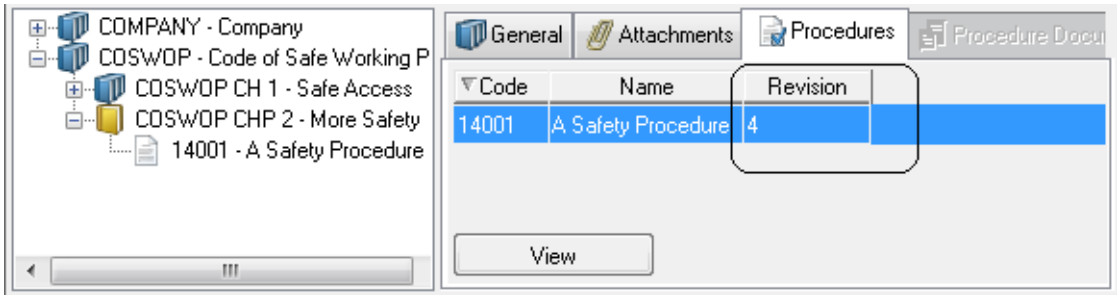
Clicking the **View** button opens the Procedures window. Select the procedure in the hierarchy and open the Procedure Document tab to see the linked procedure document revision there:



What Happens When a New Document Revision is Published?

If you later on create and publish a new draft of this procedure document, the same links to manuals will be copied to the new revision. This means that the manual or chapter in question will be updated to show the new revision number and reflect any changes.

In the illustration below, the procedure 'A Safety Procedure' was added in Revision 3. Later, Revision 4 was created and published, and so updated here:

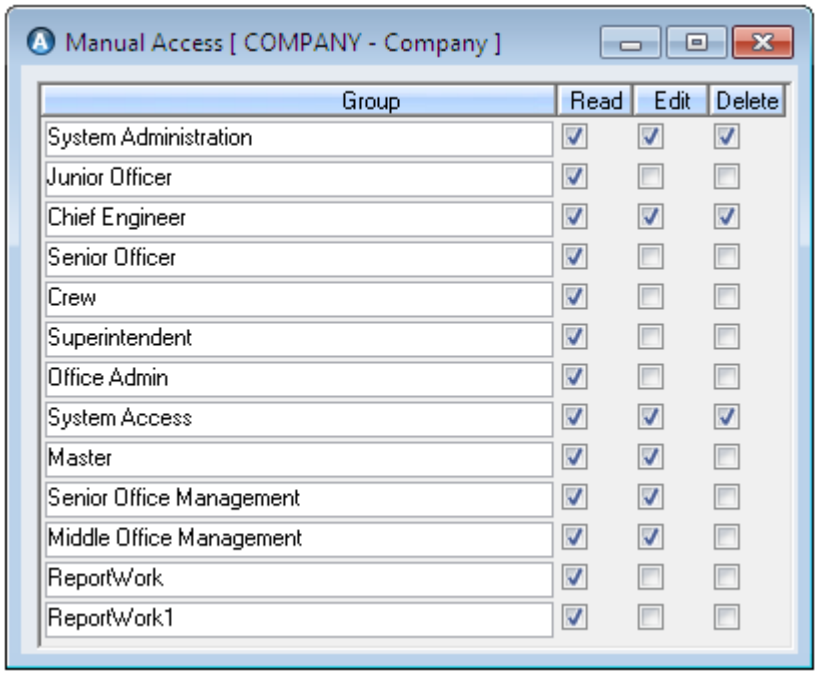


Manual Access

You assign access rights to crew members to Read, Edit and Delete manuals. When rights are assigned to one person, everyone else is locked out unless given specific read, edit or delete rights. If no access rights are established then access to the manual is available to all users.

To view or assign access rights to a manual:

1. Select a manual or a chapter.
2. Go to **Options > Manual Access**:

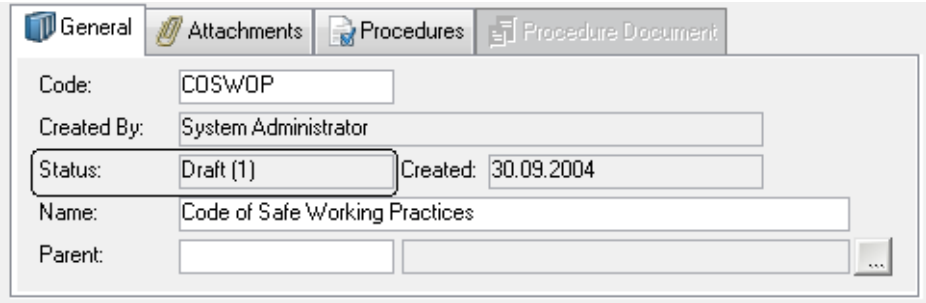


3. Flag **Read**, **Edit** or **Delete** rights to the manual for any/all groups.
4. **Save** and close the window to return to the Manuals window.

Issuing a Manual

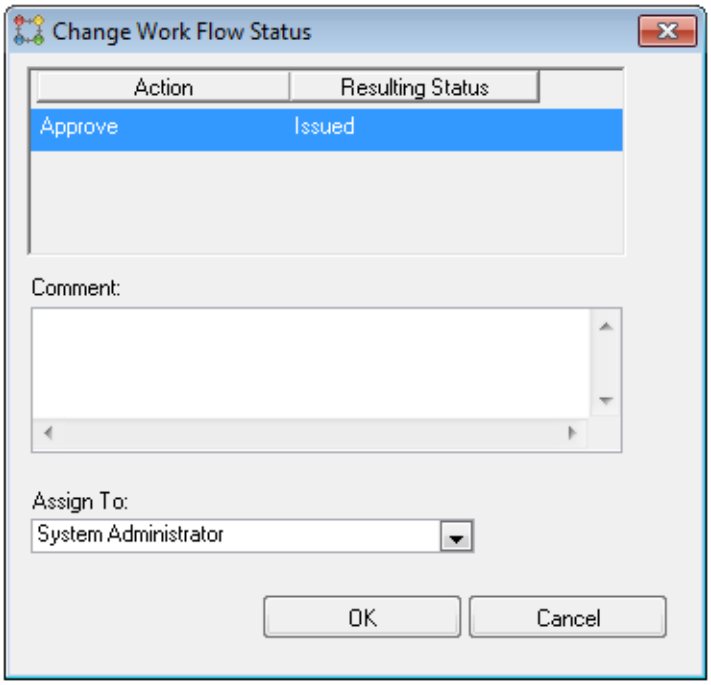
When a manual is complete, you can issue it using the work flow[1].

1. Select a manual or a chapter with the **Status** set to 'Draft':

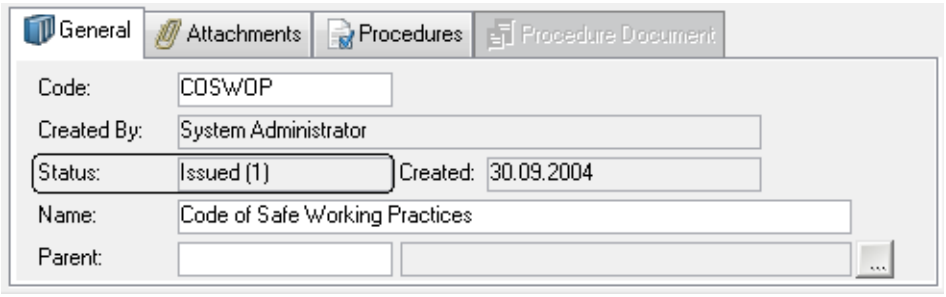


2. Go to **Options > Work Flow...**. Work flow actions and resulting statuses depend on your work flow: you may have to process a series of drafts, or approve the manual/chapter first.
3. Select the issuing action:

[1] Available work flow actions and statuses depend on your own work flow configurations. Those listed here are examples using the pre-configured work flow and so may differ from your own.

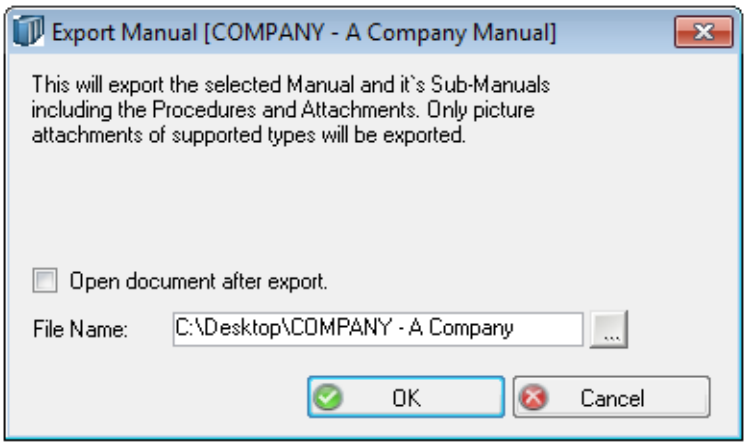


4. Click **OK** to issue the manual/chapter and return to the Manuals window, where you can see the changed status:



Keep track of a manual's work flow progress at **Options > Activity Log**.

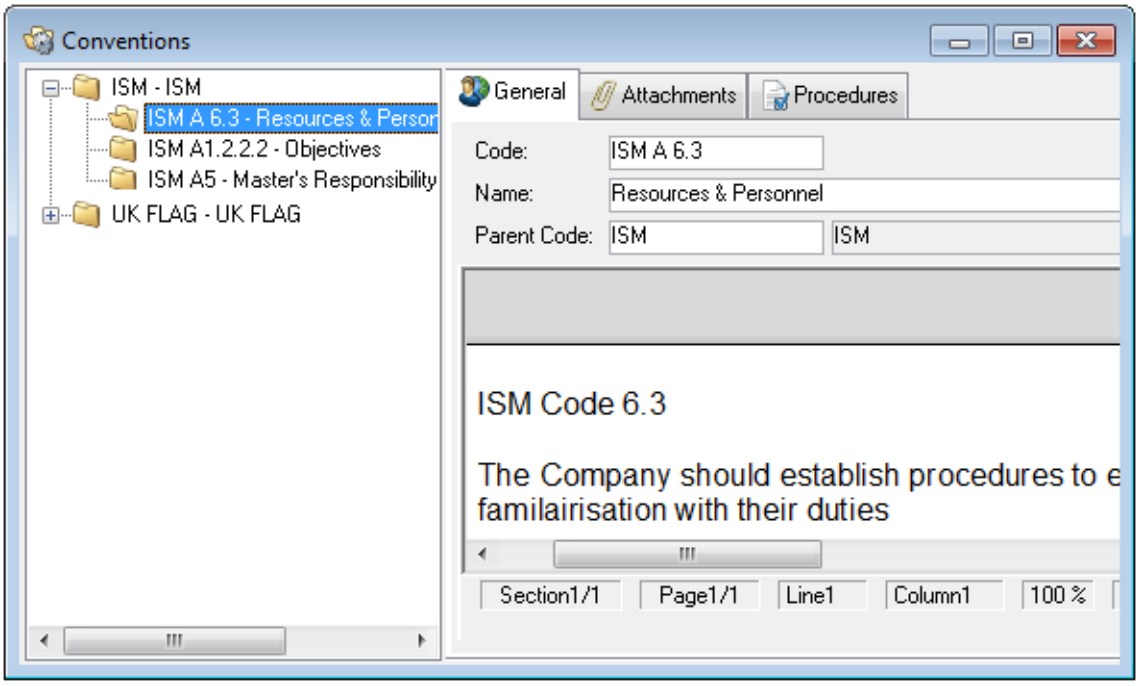
To generate a copy of a manual for external viewing outside AMOS or for printing, select it in the hierarchy. Go to **Options > Export** and then lookup a location to store the document at. Enter a **Name** and click **Save** to return to the Export Manual dialog:



Click **OK**, and AMOS will create your document stored in the location you specified.

Conventions

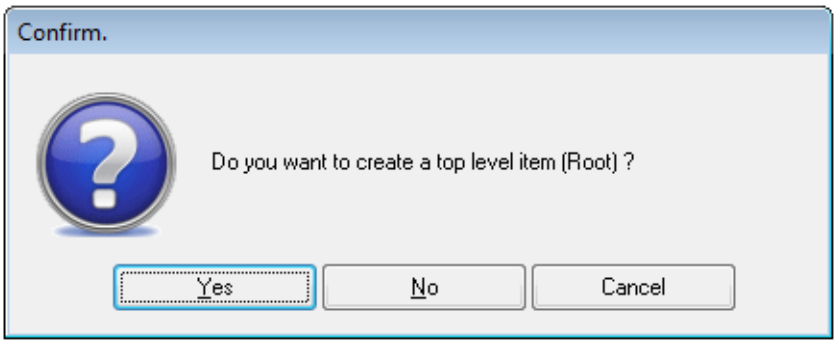
Use the Conventions window to add conventions to the system. Conventions are divided into categories such as ISM, SOLAS, SAR or COLREG. These root folders then contain sub-folders with conventions for each category, forming a hierarchy structure:



Once you've created a convention here, you can link it to any relevant procedures in the Procedures window.

To add a new item to the hierarchy:

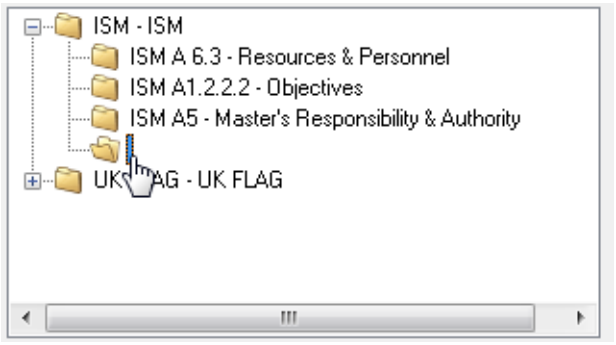
1. Go to **Quality > Conventions**. Click **New**.
2. AMOS asks if you want to add a top-level item:



3. Click **Yes** to add a new convention category:

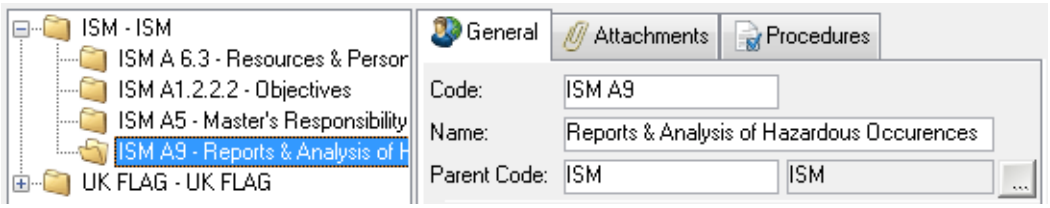


Or click **No** to add a sub-folder:

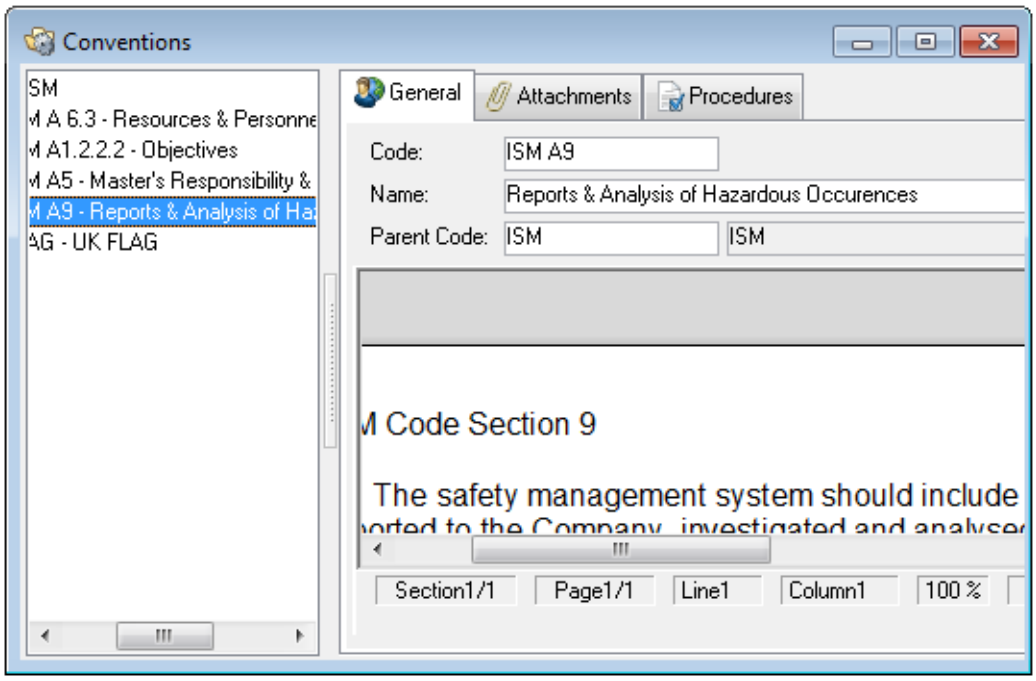


> **T i p**
>
> You can drag and drop folders into different locations within the hierarchy.

4. Enter a **Code** and **Name** on the General tab. For sub-folder, lookup the **Parent Code**:



5. To add content to a convention, go to **Options > Details**. Type, or copy and paste content into the Full Description window.
6. Click **OK** to return to the Conventions window where your content will now appear in the General tab page:



7. **Save** your work.

T i p

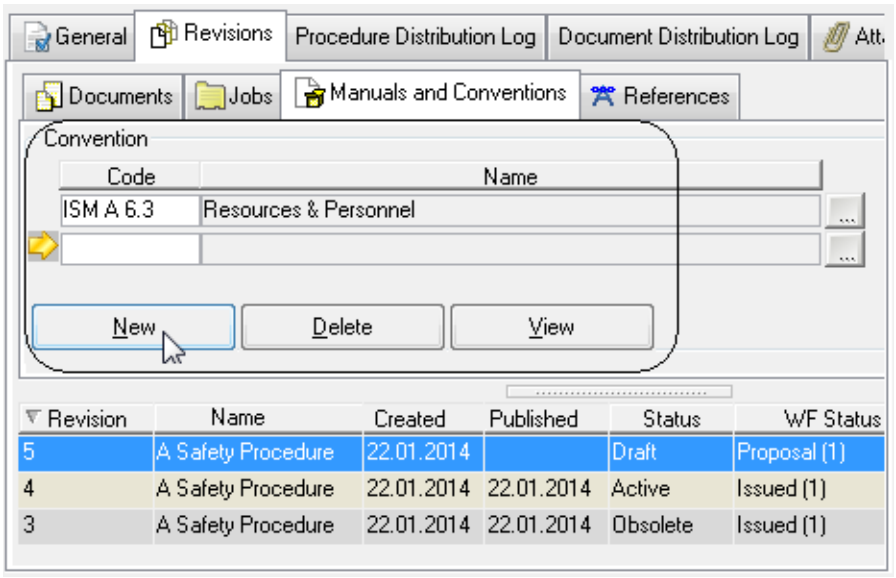
To search for a word or phrase in a document, go to **Options > FInd** and enter some text. The search covers all saved conventions and returns a count of the number of conventions found containing the search criteria.

Conventions - Assigning Procedures and Documents

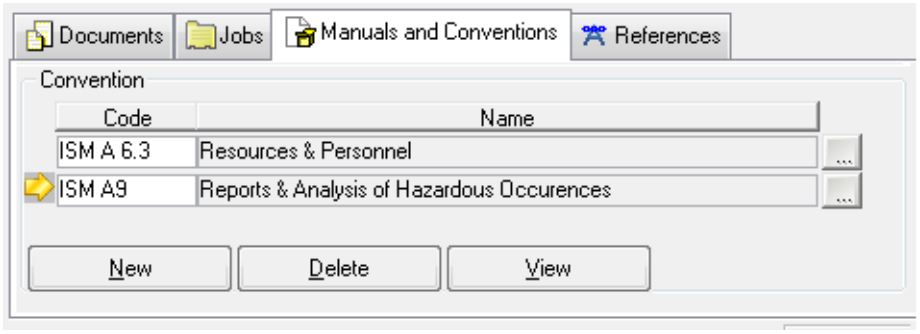
Once you have created a convention you can associate it with any relevant, published procedures. When a convention category or sub-folder is linked to a procedure, the procedure shows up in the Procedures tab.

Linking a Convention to a Procedure

1. Go to **Quality > Procedures**. Select a procedure in the window.
2. Open the Revisions tab. Select a draft revision: it is not possible to assign conventions to procedure revisions which are obsolete or have already been activated.
3. Open the Manuals and Conventions tab. Click **New** under Convention:



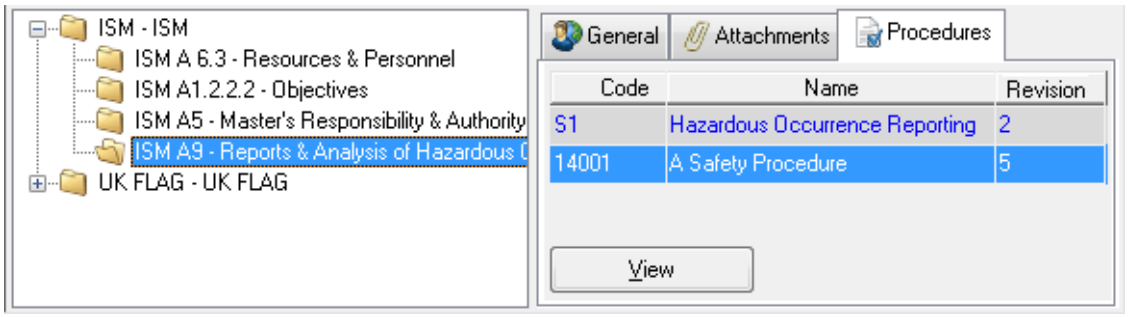
4. Use the lookup to select a convention category or sub-folder:



5. **Save** the window. Before this link can be established, the draft procedure revision needs to be published according to your work flow configuration. See "Publishing a Procedure" on page 10 for more information.
6. Once the procedure is finalised and published, **Save** and exit the Procedures window.

Viewing the Procedure in the Conventions Window

Go to **Quality > Conventions**. Select the same convention category/sub-folder in the hierarchy and open the Procedures tab. The procedure is now listed there with its current active revision number:

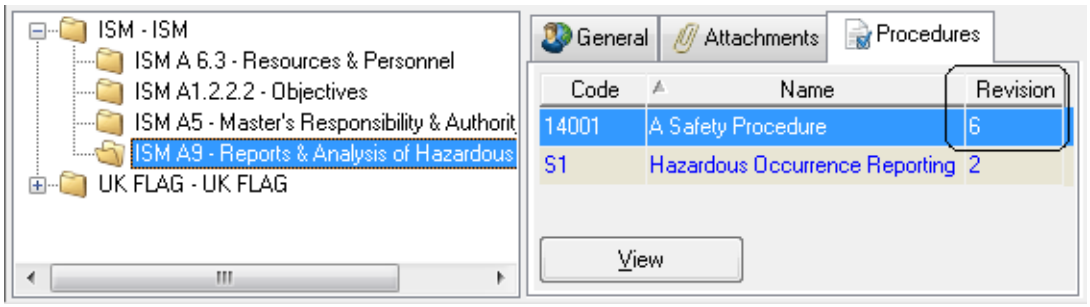


Clicking the **View** button opens the Procedures window.

What Happens When a New Document Revision is Published?

If you later on create and publish a new draft of this procedure document, the same links to conventions will be copied to the new revision. This means that the convention in question will be updated to show the new revision number and reflect any changes.

In the illustration below, the procedure 'A Safety Procedure' was added in Revision 5. Later, Revision 6 was created and published, and so updated here:



Circulars

You can create circulars to distribute information to installations or installation groups.

Creating a Circular

1. Go to **Quality > Circulars**. Click **New**.
2. Enter the details on the left side of the window and **Save** the record.
3. Go to **Options > Details**. Type or copy and paste content into the Full Description window.
4. Click **OK** to return to the Circular window and see your content on the page on the right side.
5. Depending on your work flow, you probably need to issue the circular. Go to **Options > Work Flow...**
6. Change the status so that the circular is ready for distribution.
7. **Save** the record.

You can track the work flow progress of the circular at **Options > Activity Log**. Unread documents with active versions will be highlighted in red.

Distributing a Circular

Distribute the circular to the installations and groups where it applies:

1. Open the Circular window and select an issued circular.
2. Go to **Options > Distribution**.
3. Click **New** under **Installations** and/or **Installation Groups**.
4. Lookup the installation(s) and/group(s) to distribute to.
5. **Save** and close the window to return to the circular.

You can track the distribution at **Options > Distribution Log**. To view a list of personnel who have read the selected circular, go to **Options > Read Log**.

Quality Work Orders

AMOS uses quality work orders to determine which jobs need to be carried out and to maintain records of work which has been completed.

Once you have prepared and scheduled a job, the next step is start the creation of work orders so the work can be started. How you do this depends on the type of job schedule you've got:

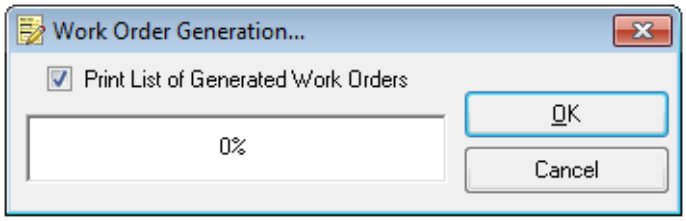
- Periodic. Whenever you create a new job with a periodic schedule, you have to generate the first work order for it manually. After that, new work orders will be generated automatically when the previous one is reported and complete. See "Generating Quality Work Orders" below.
- Trigger Based. Activate triggers and their linked jobs in the Trigger Jobs dialog whenever the actual event occurs. Work orders will then be generated accordingly. See "Activating Trigger Jobs" below.
- Observations. You can also requisition one-off work orders, or observations, manually. See "Observations" on the facing page.

Afterwards, you can plan, carry out and report the work.

Generating Quality Work Orders

To generate work orders for new periodic jobs:

1. Go to **Quality > Generate Work Orders**:



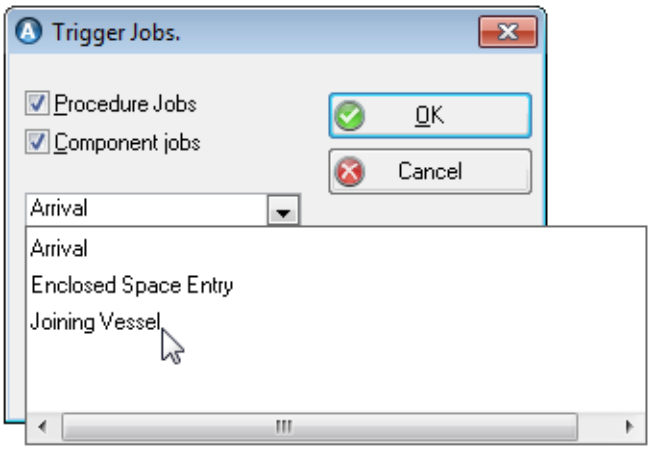
2. Flag 'Print List of Generated Work Orders' to see the list immediately for printing.
3. Click **OK**.
4. AMOS generates the work orders. Now you can plan them in the Work Orders window.

Activating Trigger Jobs

Some jobs are 'triggered' by events like 'Arrival', 'Departure' or 'Joining Vessel', etc. To create Quality and/or Maintenance work orders for these jobs, activate the relevant trigger(s) as needed:

1. Go to **Maintenance/Quality > Trigger Jobs**.
2. Flag the boxes to trigger **Procedure jobs** (Quality work orders) and/or **Component jobs** (Maintenance work orders).

3. Select the trigger(s) you want to activate from the drop-down list:



   If you flag **Show created work orders**, after the operation is complete the Work Orders window will open automatically.

4. Click **OK**.

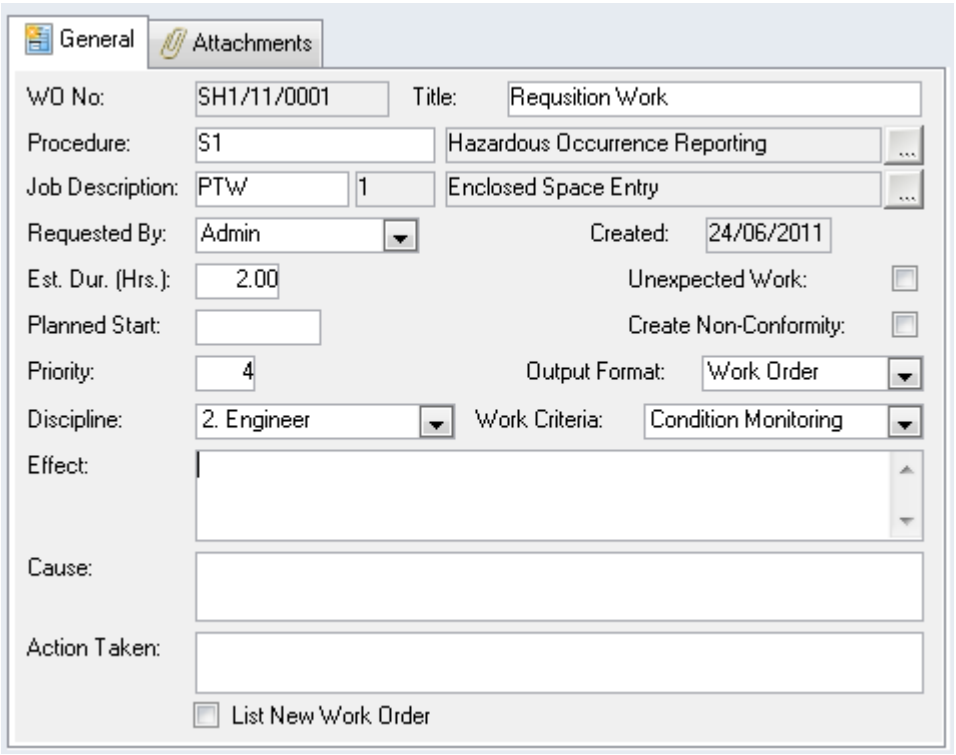
AMOS creates the work orders for any procedure and/or component jobs connected to the selected trigger, or inform you if no jobs are available to trigger.

See "Scheduling Procedure Jobs" on page 7 about linking triggers to quality jobs.

Observations

Sometimes you need to perform work that is not defined as a job because it happens so rarely or unpredictably: for example, you install an additional refrigeration unit, or take the ship into dry-dock. For one-off tasks like this, you create a requisition work order for the job, describing the effect, cause, action taken and the time required.

1. Go to **Quality > Non Conformity > Observation**.



2. Enter a **Title** for the requisitioned work. Select a **Procedure** and a **Job Description**.

3. Plan the requisition. See "Planning Quality Work Orders" below
4. Flag **Unexpected Work** if the work is rare or unpredicted. Flag **Create Non Conformity** to add the work to the non conformity list.
5. Click **OK**. You can see this work order in the Work Orders window to report on it as usual.

Planning Quality Work Orders

Go to **Quality > Work Orders** to open the Quality Work Orders window. It contains a list of all the work orders present in your system.

Depending on the type of work order - periodic, trigger-based or requisition - some of the information in the General tab > Planning section may or may not already be present.

You can enter or change scheduling details for a work order in the Planning section:

- **Priority**. May be set already on periodic job schedules, or indicated here.
- **Estimated Duration**. The amount of time it should take to complete the job.
- **Due Date**. Set according to a periodic job schedule or the current date when a trigger is initiated. Flag the **Locked** checkbox to prevent this date from being altered.
- **Window**. If there is a number of days on either side of the due date within which the task can be carried out, enter it here.
- **Responsible Discipline**. The employee (by discipline) who is responsible for the job on the work order. You can add more resources to the Required Disciplines tab.
- **Output Format**. The print format for the work order.
- **History Template**. Select a pre-defined form or checklist (or change the existing one) for use during work reporting.

You can add further information to the Details and Additional Info. tabs. The job description linked to the procedure job the work order is for will appear in the Job Description tab. Any work permits linked to the job description will be listed in the Permits to Work tab.

Activity Log

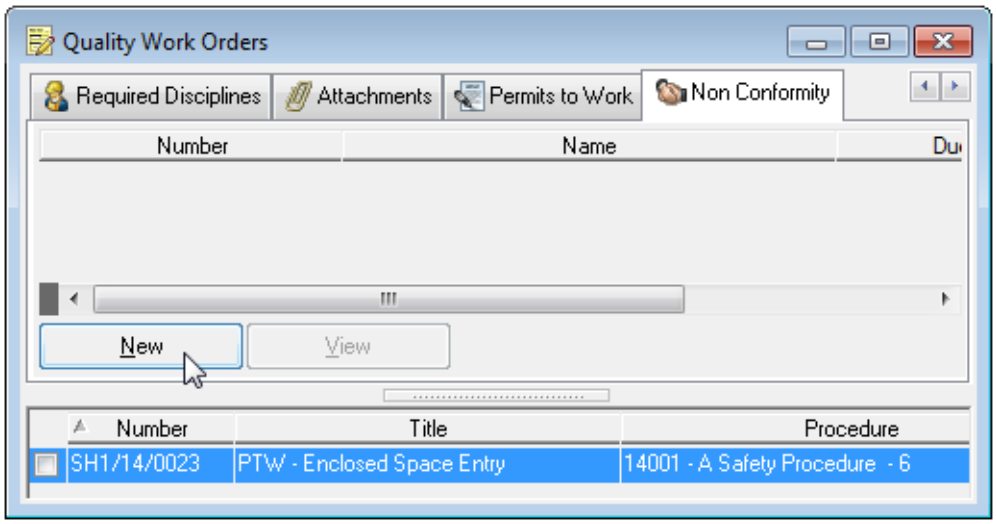
The activity log tracks the progress and activity on work orders:

1. Go to **Quality > Work Orders**. Select a work order.
2. Go to **Options > Activity Log**.
3. Select an activity in the list.

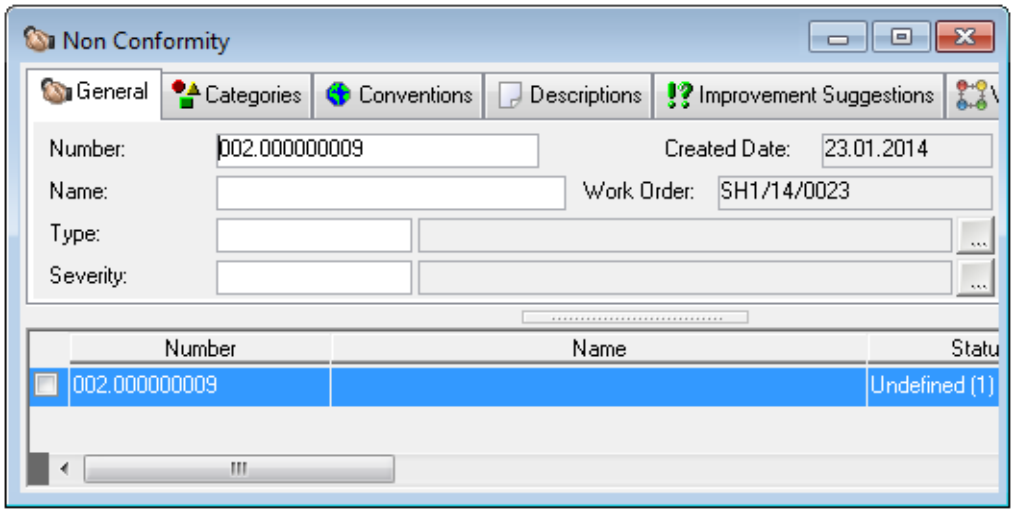
Creating a Non Conformity from the Quality Work Orders Window

As needed, you can raise a non conformity for an incomplete or open work order directly from the Work Orders window:

1. Open the Quality Work Orders window and select a work order.
2. Open the Non Conformity tab and click the **New** button:



This opens the Non Conformity window to a new record. The new non conformity shows the **Work Order** number:



3. Create the non conformity as usual. See for more information.
4. **Save** the record. You can add multiple non conformities for the same work order: click **New** on the toolbar to get a new record.
5. Close the window to return to the work order. The non conformity reference will be listed in the Non Conformity tab on the Work Order window.

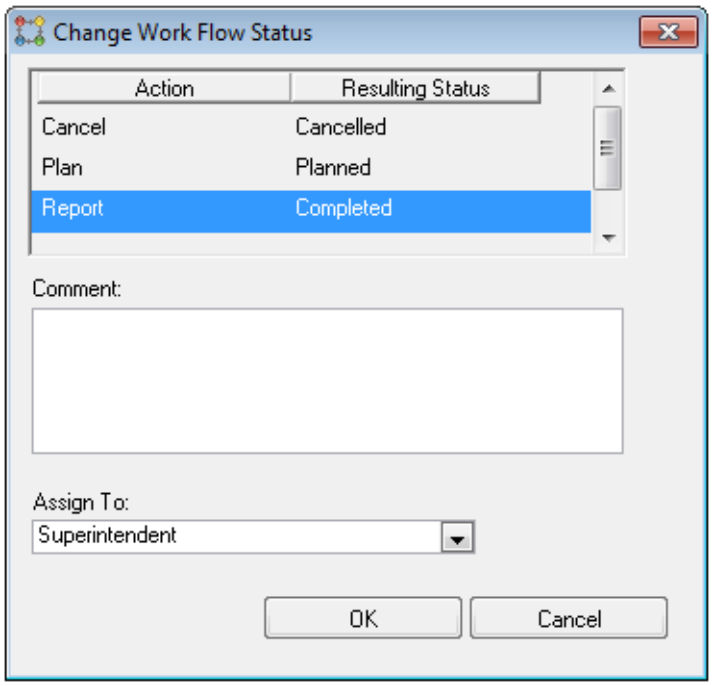
Reporting a Quality Work Order

As quality work orders are carried out, you report the work in AMOS using the Work Flow[1]. Any work order can be reported several times and left open until completed. The final step is then to File the completed work order.

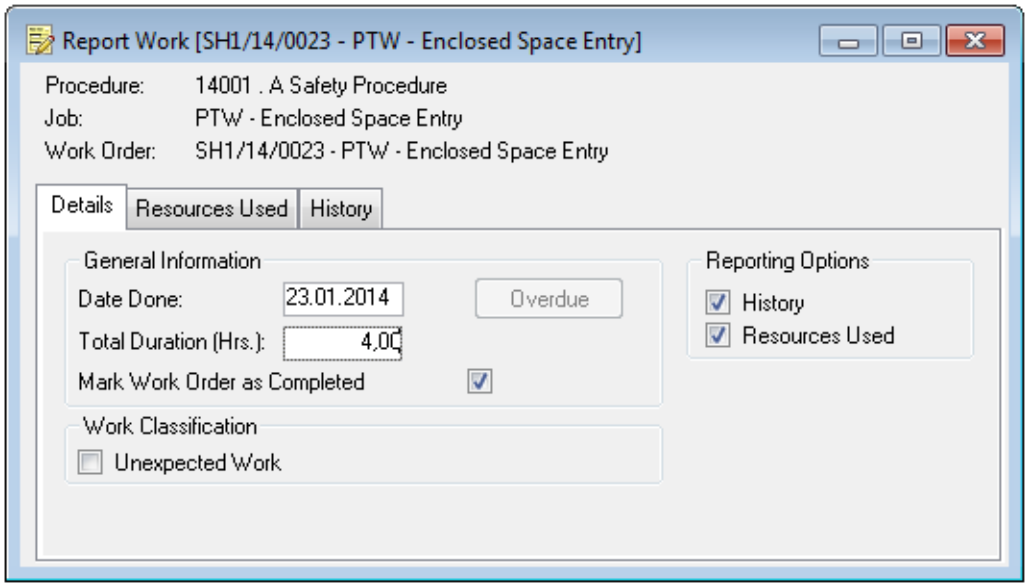
To report work:

1. Go to **Quality > Work Orders**. Select a work order in the list.
2. Go to **Options > Work Flow**. Available actions and statuses depend on your work flow configuration. Choose the reporting action:

[1]Available statuses and the work flow process vary according to the work flow configuration your organisation has defined. The steps outlined in this User Guide are examples based on the standard pre-defined configuration and so may differ from your own procedures.

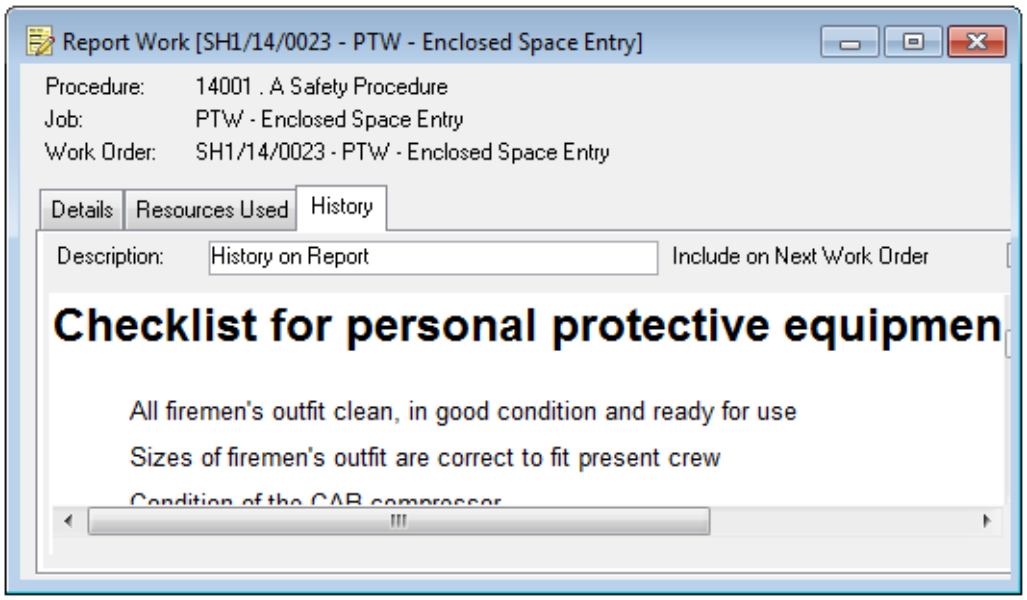


3. Click **OK**. The Report Work window opens:

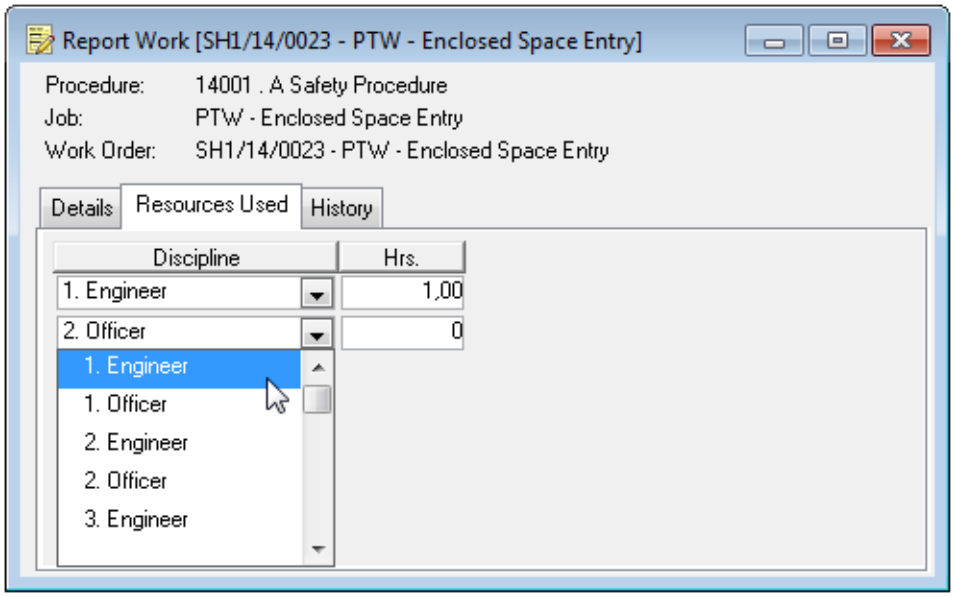


4. Enter or change the details. If you are reporting the work later than the **Date Done**, change the date and click **Overdue** to enter a reason for the delay.
5. Flag the 'History'[1] checkbox to activate the same tab:

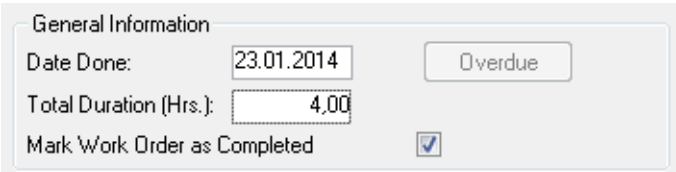
[1] Forms or checklists present in the History tab are assigned on the work order itself in the History Template field. If no form has been assigned you will see a blank page and can type in your notes.



6. Flag 'Include on Next Work Order' to carry the history forward to the next work order generated.
7. Flag the 'Resources Used' checkbox to activate the same tab:



8. If the work is done and you will not be reporting on it again, flag 'Mark Work Order as Completed':



   Otherwise to leave the report open for further reporting, do not flag the box.

9. Click **OK** to close the report and return to the work order.
10. Click **Save**. Depending on your work flow, work orders reported as complete may be automatically filed as well.

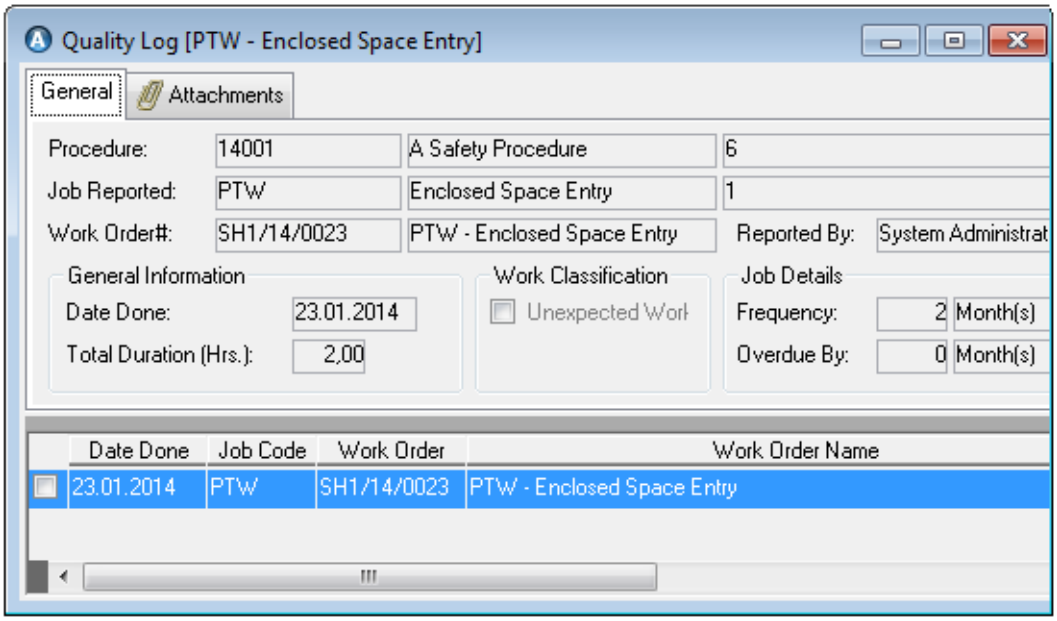
If the work order is for a periodic job, once the current one is marked as complete, AMOS will create the next work order for the same job automatically.

You can keep track of a work order's work flow progress at **Options > Activity Log**.

Quality Log

To view the information on reported quality work orders:

1. Go to **Quality > Work Orders**. Select a work order.
2. Go to **Options > Quality Log**.
3. The Quality Log window opens showing the details reported so far on the selected work order:



4. To access more details on the reported work order:
   - Go to **Options > History > Detail** for reported history.
   - Go to **Options > Resources Used** for reported information regarding the employees who carried out the work, how many hours were spent, etc.
   - Go to **Options > Overdue Reason** to see the reason reported on an overdue work order.
5. Go to **Options > Mark as Read** to confirm that you have read the log. Close the window to return to the work order.

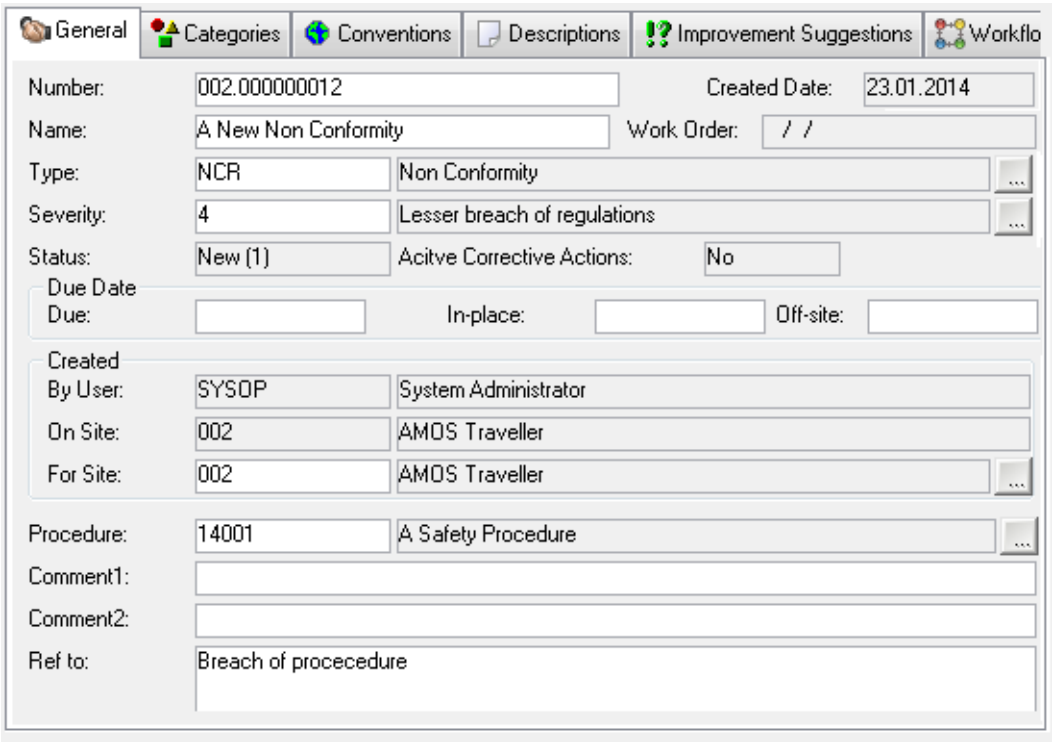
Non Conformities

Using AMOS you can report and track all aspects of non conformities at any installation, when they happen. Closely monitoring non conformities enables you to identify their causes such as flawed or incorrect procedures. When you have discovered the reason for the occurrence your organisation can then take the necessary steps and corrective actions to resolve non conformities and prevent them from happening again.

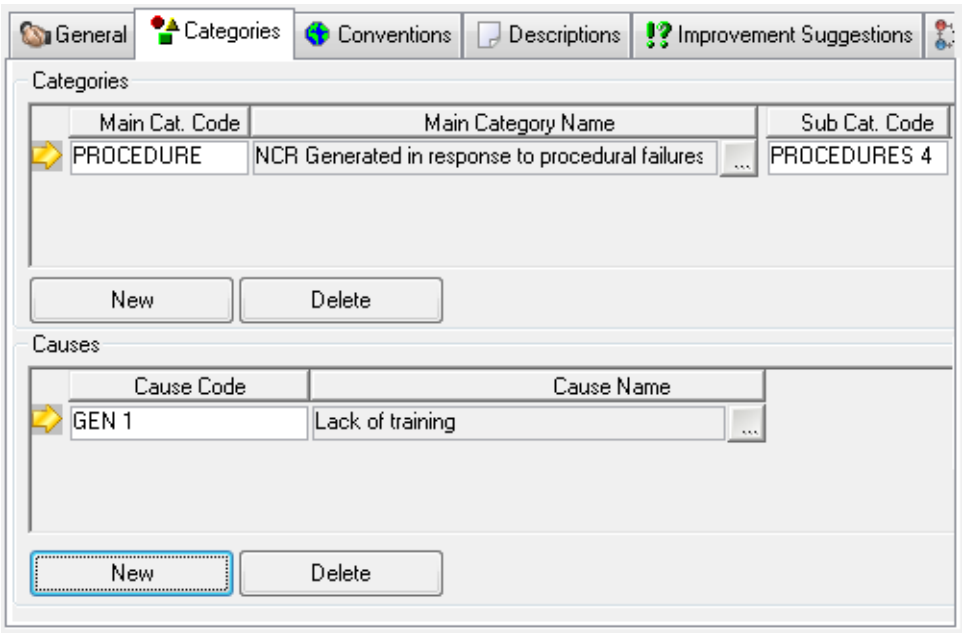
To create a new non conformity record:

1. Go to **Quality > Non Conformity > Non Conformity**. Click **Create Entry** in the filter or click **New** on the window toolbar.
2. Enter a **Name**.
3. Lookup a **Type**:
   - **Major Non Conformity**. A high priority non conformity which has occurred.
   - **Non Conformity**. A non conformity which has occurred.
   - **Observation**. A warning of a possible non conformity.
4. Set a **Severity**.

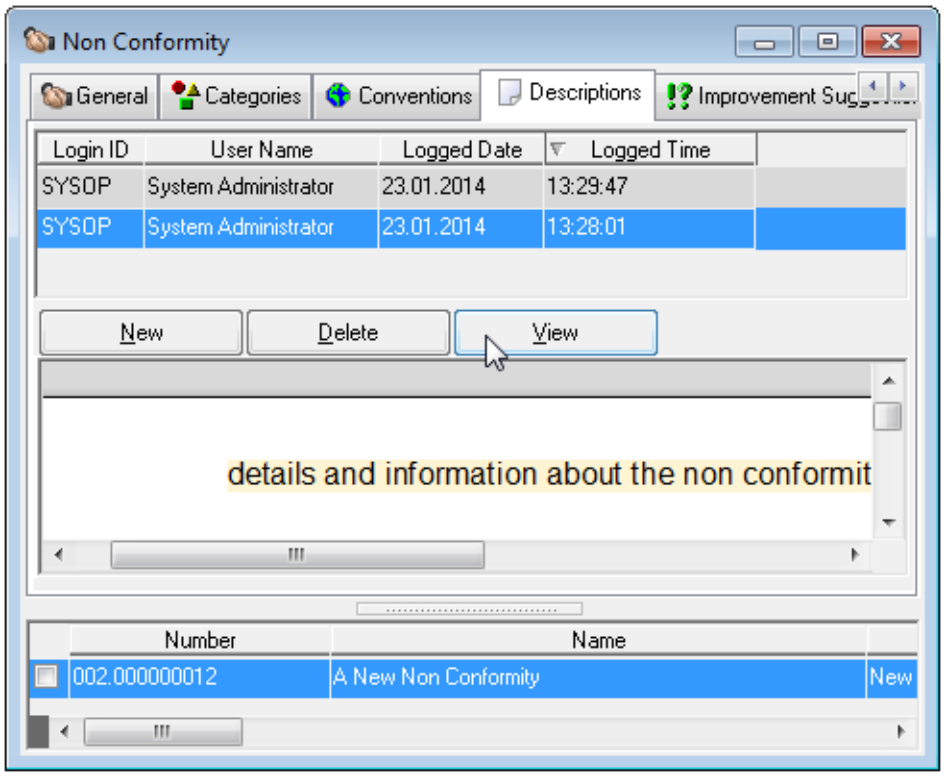
5. Set a **Date Due** for actions to handle to the non conformity. Fill out details in the General tab:



6. **Categorise** the non conformity in the Categories tab. Then, add one or more **Causes** for each category you have listed:

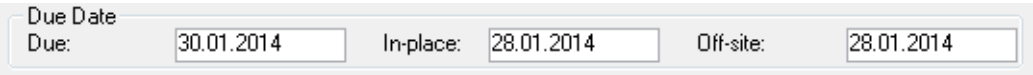


7. To add extra details open the Descriptions tab. Click **New** and then **View** or go to **Options > Details**. This opens a Full Description window where you can enter your text. Click **OK** to return to the tab and see your content there:



This lets you keep a running log. To add more details to the same entry, select it in the tab list and click **View**. To add a new and separate entry, click **New** again.

8. List ways to handle the situation in the Improvement Suggestions tab in the same way. Set a **Due Date** on the General tab which is the last date to handle the non conformity and correct the situation by. You can also enter a date for putting improvements into force at the site in the **In-Place** field, and at the office in the **Off-site** field:



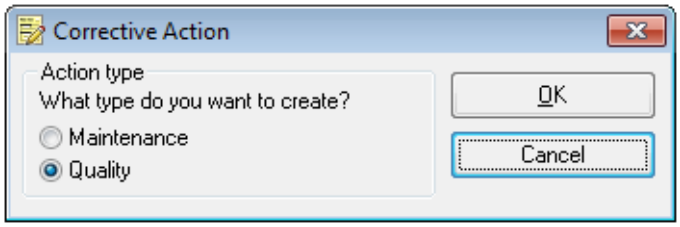
9. Lookup related conventions and list them in the Conventions tab.
10. **Save** the record.

Incidents and non conformities can refer to each other. If an incident is associated with a non conformity it will appear in the Incidents tab and clicking **View** will open it up.

Non Conformity Corrective Actions

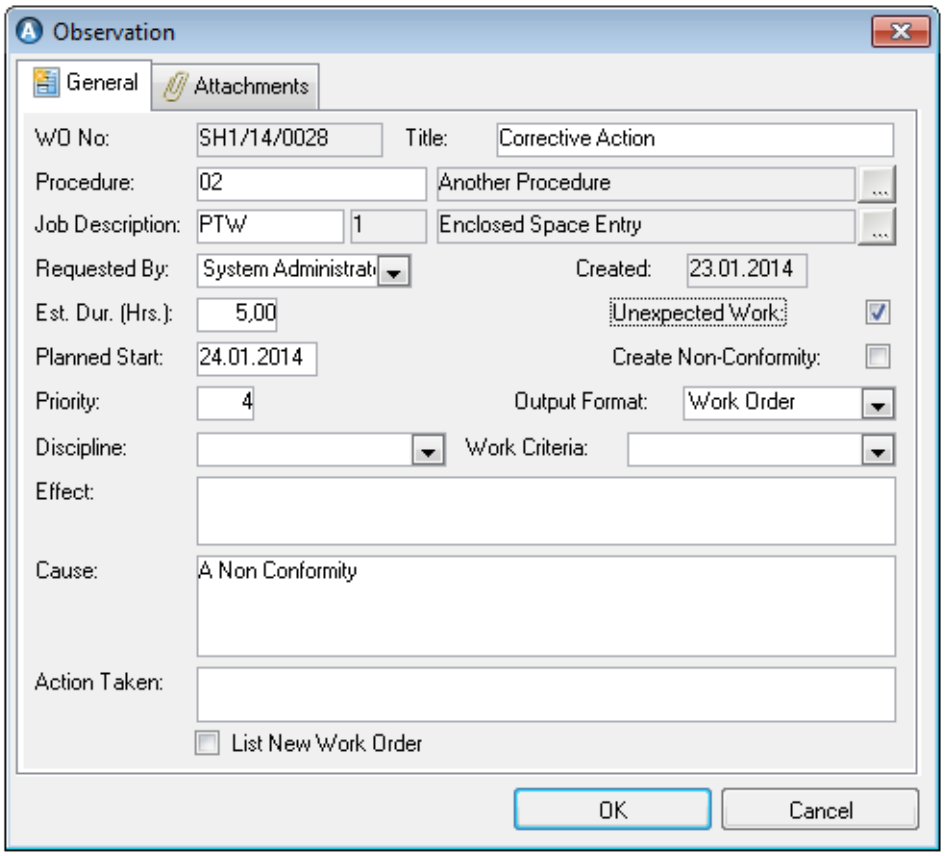
Non conformities cannot be closed until they have been corrected. Create a list of corrective actions to be implemented in the Corrective Actions tab:

1. Go to **Quality > Non Conformity > Non Conformity**. Select a non conformity record in the list.
2. Open the Corrective Actions tab. Click **New**. The Corrective Action dialog opens:



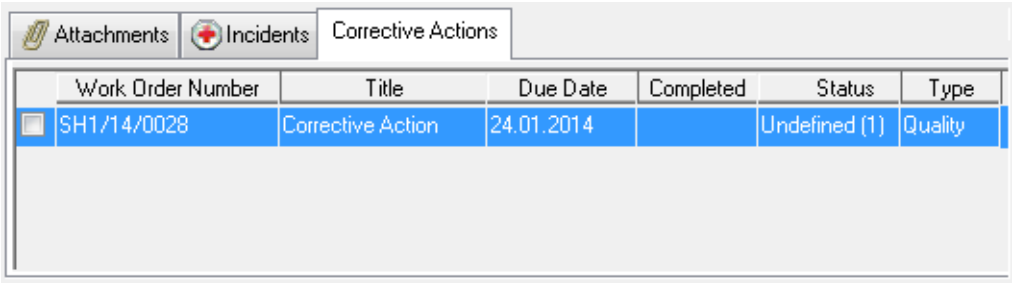
3. Select **Quality** and click **OK**.

4. The Observation window opens. Create a requisition work order specifying the work needed to fulfil the corrective action:



See "Observations" on page 27 for more about requisition work orders.

5. When you finish, click **OK** to return to the Non Conformity window. The action is now listed as a work order in the Corrective Actions tab:



6. Click **New** to add more as needed.

Click **View** to open this work order in the Work Orders window, and carry out the work and report on it as usual. Keep track of progress on the non conformity using the work flow and Work Flow Activities tab.

Incidents

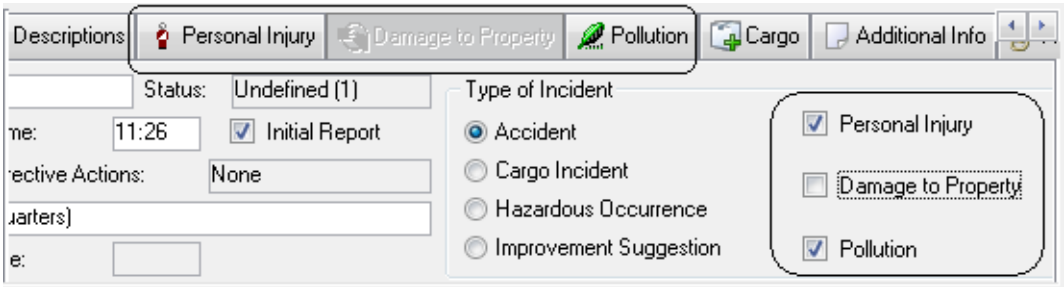
With the Incidents window, AMOS lets you collect and analyse data related to incidents as they occur. Consistent classification and reporting measure the effectiveness of your safety management system. You can report accidents, cargo incidents, hazardous occurrences, improvement suggestions, personal injury, damage to property and pollution.

To create a new incident record:

1. Go to **Quality > Incidents**. Click **New** on the window toolbar.
2. Select the **Type** of incident.



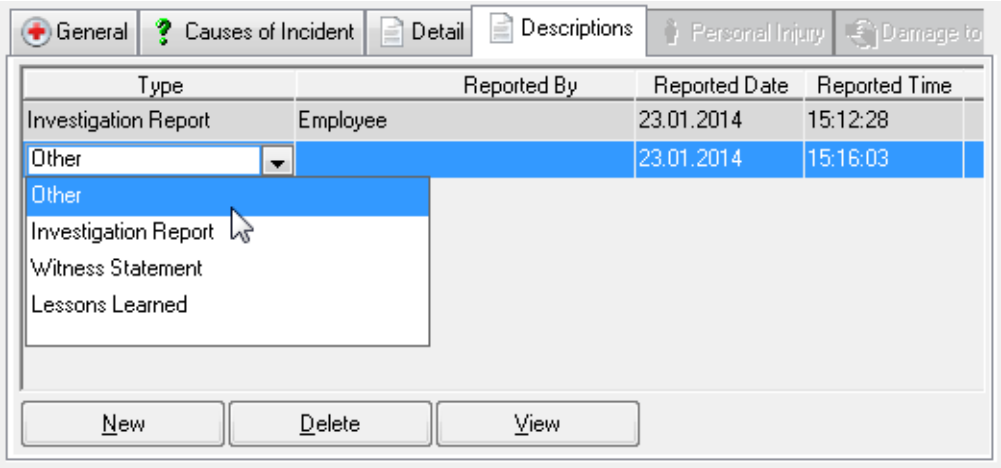
If you check **Personal Injury**, **Damage to Property** or **Pollution**, the relevant tab(s) activates:



Enter details in the tabs.

3. Open the Causes of Incident tab and add causes as appropriate to the four categories: Human Action, Conditions, Human Factors, Job Factors.
4. If you need to add extra information, open the Descriptions tab.

   Click **New** and select a **Type** of entry: Witness Statements, Investigation Reports, Lessons Learned or Other:



   Click **View** to open a description window and enter your text.

5. Click **Save**.

You can keep a running log with individual entries. To read an entry or add more details to the same entry, select it in the tab list and click **View**. To add a new and separate entry, click **New** again.

Incidents and Non Conformities or Claims

To 'relate' a non conformity to an incident:

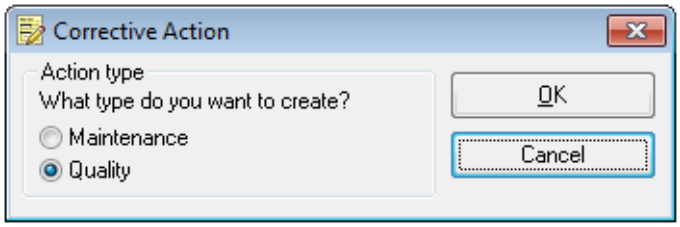
1. Select an incident and open the Non Conformity tab.
2. Click **New** and select a non conformity from the list.
3. **Save** the changes. Select a non conformity in the list and click **View** to open it.

If any claim already listed in the **Quality > Claims** window is relevant to the incident, it's possible to link it to the incident from the Claims window. It will show up in the Claims tab here; click **View** to open the claim itself.

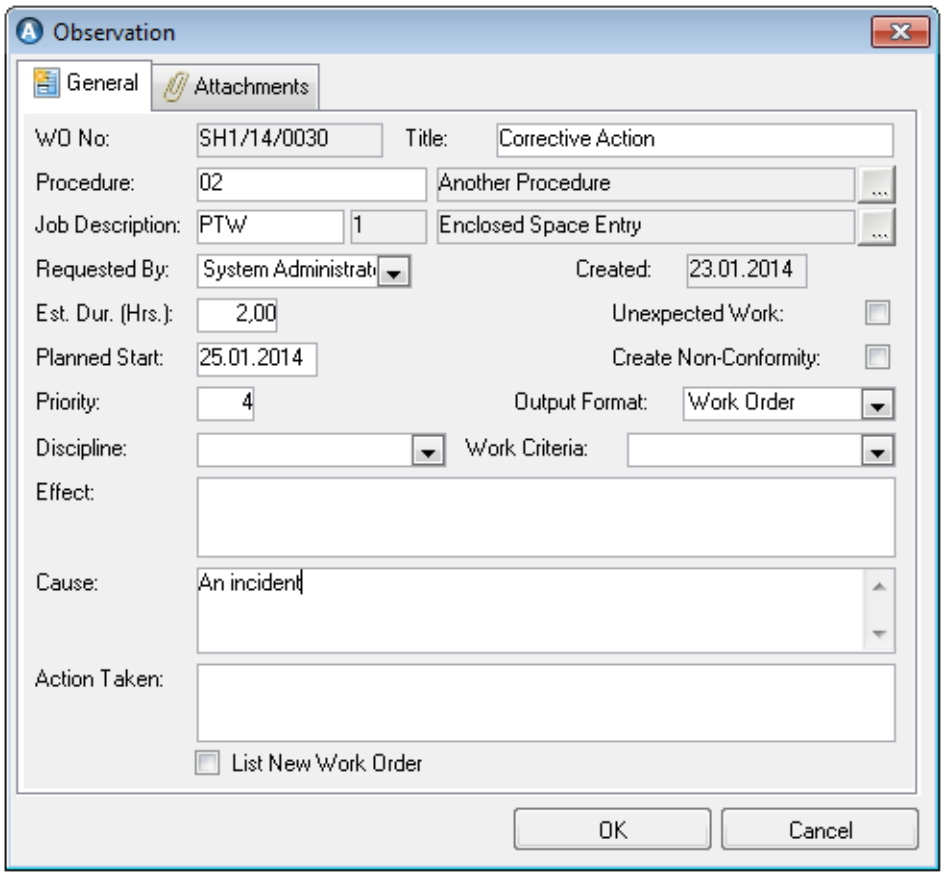
Incidents - Corrective Actions

Incidents cannot be closed until they have been corrected. Create a list of corrective actions to be implemented in the Corrective Actions tab:

1. Go to **Quality > Incidents**. Select an incident record in the list.
2. Open the Corrective Actions tab. Click **New**. The Corrective Action dialog opens:

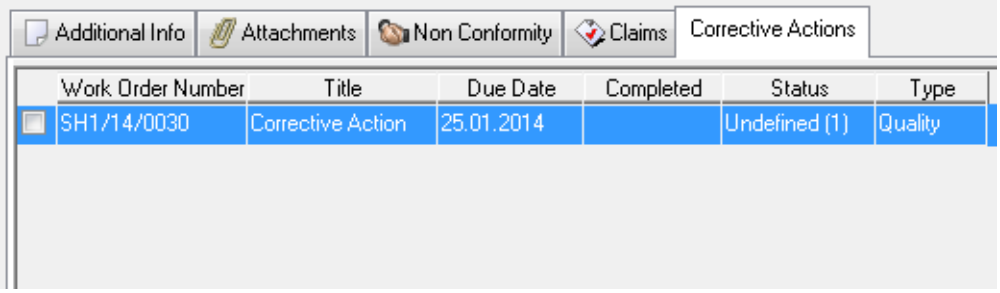


3. **Select Quality** and click **OK**.
4. The Observation window opens. Create a requisition work order specifying the work needed to fulfil the corrective action:



See "Observations" on page 27 for more about requisition work orders.

5. When you finish, click **OK** to return to the Incidents window. The action is now listed as a work order in the Corrective Actions tab:



Click **New** to add more as needed.

Click **View** to open this work order in the Work Orders window, and carry out the work and report on it as usual. See "Reporting a Quality Work Order" on page 29.

Changing Status and Closing Incidents

As an incident record is processed, corrective actions are carried out, and it is eventually ready to be closed update the incident's status[1]:

1. Open the Incidents window and select an entry.
2. Go to **Options > Work Flow**. Available actions and statuses depend on your work flow configuration: choose an action.
3. Enter any **Comments** regarding this status change.
4. **Assign To** the user who should receive notification of this status transformation.
5. Click **OK** to return to the Incidents window, and update the status.
6. **Save** the changes. To keep track of an incident's work flow progress, go to **Options > Activity Log**.
7. To close a reported incident, select it in the Incidents window and then go to **Options > Close**.

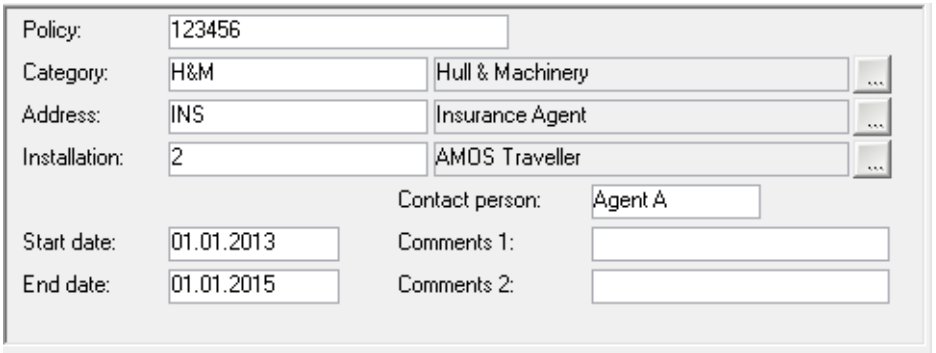
   To reopen the incident, select it once again and go to **Options > Reopen**.

Insurance and Claims

Use the Insurance window to register and keep track of any insurance policies you hold. If you need to file a claim against an insurance policy, enter it in the Claims window and then track it to settlement.

To list a new insurance policy:

1. Go to **Quality > Insurance**. Click **Create Entry** in the filter or click **New**in the window toolbar.
2. Enter the **Policy** number.
3. Select a **Category**, **Address**, and the **Installation** the insurance policy applies to:



[1] Available statuses and the work flow process vary according to the work flow configuration your organisation has defined.

4. Enter the **Start and End** dates of the policy.
5. **Save** the policy.

Entering an Insurance Claim

If you need to register a claim against one of your insurance policies:

1. Go to **Quality > Claims**.
2. Click **New**on the window toolbar.
3. Enter a **Claim Number**, **Currency Code** and **Amount**.
4. Select an **Insurance** policy.
5. Open the Incidents tab to list any incidents associated with the claim.
6. Open the Claim Lines tab and click **New** to add non conformities to the claim.

   Lines can have differing currency codes; AMOS will convert them to the currency on the General tab when you calculate the total amount.
7. If you have a work flow, go to **Options > Work Flow** to change status on the claim; and track work flow progress at **Options > Activity Log**.

Once you have a list of claim lines to calculate the total amount owing go to **Options > Calculate Amount**. This converts all currencies listed on the claim to the currency set in the General tab of the Claim window. If there is a discrepancy between the claim line amounts and the total in the **Amount** field, AMOS will ask you to update the amount.

Emergency Response System

The Emergency Response System (ERS) is your list of contacts to notify in an emergency. This window is for listing contact information for relevant authorities in countries all over the world. You receive updates to this information in the case of any changes. You can also add specific information about contacting customers, insurance companies, flag state authorities and other vital parties.

The ERS module complies with such international standards as SOPEP and OPA.

To add a new contact:

1. Go to **Quality > Emergency Response System**.
2. Select a contact folder in the hierarchy on the left: External, Internal and Vessel Specific contacts.
3. Click **New** on the toolbar.
4. Enter contact details on the right side.
5. **Save** the contact.

CHAPTER 2

Risk Management

The AMOS Risk Management module helps avert potential problems or accidents before they occur. Providing your shipboard personnel with an interactive means to identify, record, analyse and safeguard against potential risks, Risk Management assists you in meeting mandatory safety management objectives.

This chapter includes the following topics:

Getting Started with Risk Management 42
Risk Assessment Matrix 42
Risk Scenario Types 51
Linking Risk Assessments to Maintenance Work 60
Risk Scenarios 65

SpecTec

Getting Started with Risk Management

Risk management usually involves a central setup[1] which is then distributed to multiple installations:

1. The QA Manager defines one or more risk matrices with which AMOS will calculate risk index and level values during an assessment.

   The QA Manager also defines 'generic' risk scenario types and links these with the maintenance jobs they apply to.

2. When scenario types are ready for use, he/she distributes them to the installations where they are needed.
3. End users at installations determine which jobs are coming up for which they need to perform risk assessments. They create risk scenarios based on the scenario types, and evaluate and assess the risks locally.

Risk Assessment Matrix

A commonly used methodology for Risk Analysis is the Likelihood/Severity matrix. Once the components of a matrix are defined, the matrix and the Risk Index Method and Risk Level Method formulae defined with it can be applied to Risk Scenario Assessments at any installation.

User-defined 'likelihood' values appear on the vertical axis and the 'severity' values on the horizontal axis:

Likelihood of Harm	Severity of Harm			
	Negligible (1)	Marginal (2)	Critical (3)	Catastophic (4)
Improbable (1)	Acceptable	Acceptable	Acceptable	Action Required
Remote (2)	Acceptable	Acceptable	Acceptable	Action Required
Occasional (3)	Acceptable	Acceptable	Action Required	Unacceptable
Probable (4)	Acceptable	Action Required	**Unacceptable**	Unacceptable
Frequent (5)	Acceptable	Action Required	Unacceptable	Unacceptable

Together, AMOS uses the likelihood and severity values to calculate the Risk Index and the Risk Level of various scenarios during on-site risk assessments.

To configure a risk matrix:

1. Create a new matrix. See "Creating a Risk Assessment Matrix" on the facing page.
2. Create lists of likelihood and severity values. See:
   - "Likelihood Values" on page 46.
   - "Severity Values" on page 47.
3. Define risk indexes and levels. See:
   - "Risk Index Acceptability" on page 48.
   - "Risk Level Acceptability" on page 49.
4. Apply risk index labels onto the matrix cells. See "Applying Risk Index Labels on the Matrix" on page 50.
5. Issue the matrix for use with scenario types. See "Issuing a Risk Matrix" on page 51.

[1] Each of the main entities involved - Risk Matrix, Scenario Type, Scenario and Assessments - requires a customised work flow configuration.

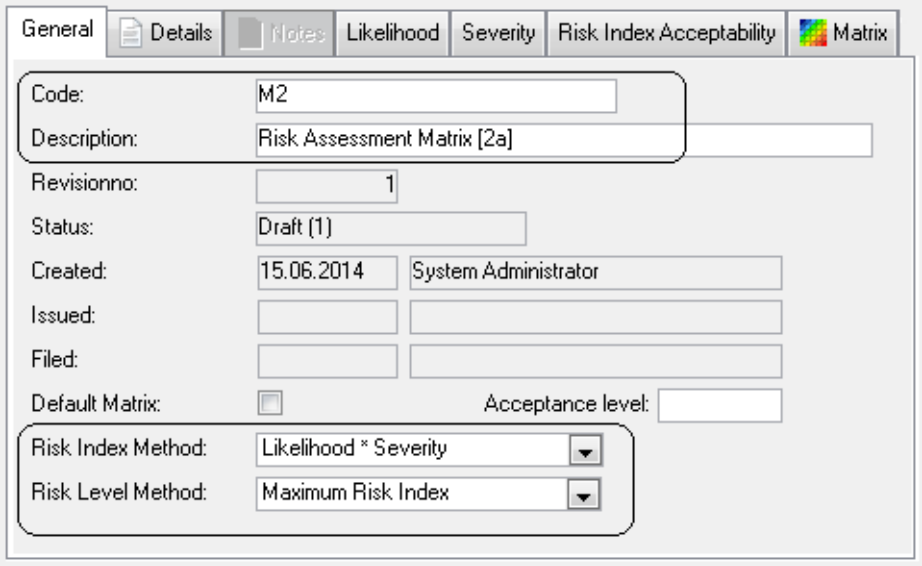
Creating a Risk Assessment Matrix

To create a new matrix:

1. Go to **Assessment > Risk Matrix**.
2. **Click New**.

> **T i p**
>
> Select an existing matrix and go to **Options > Duplicate** to create a new, editable copy with status 'draft'.

3. Enter a **Code** and **Description**:



4. Select a **Risk Index Method** and a **Risk Level method**. See "How Does AMOS Calculate Risk Index Values and Risk Levels?" below for more information about how AMOS uses each method to calculate risk index values and risk levels.
5. **Save** the matrix entry.

How Does AMOS Calculate Risk Index Values and Risk Levels?

When you create a risk assessment matrix, you define numbered **Likelihood** and **Severity** values such as the ones shown in the first illustration below.

Likelihood - Improbable (1), Remote (2), etc.
Severity - Negligible (1), Marginal (2), etc.

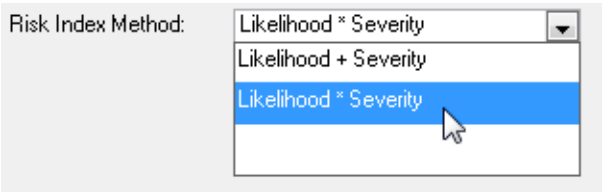
When likelihood and severity values are combined they fall into different *Risk Indexes*.

EXAMPLE

A user assesses a risk's likelihood as improbable and its resulting severity as negligible. Such a risk is probably acceptable; while the combination of improbable likelihood and catastrophic severity requires action.

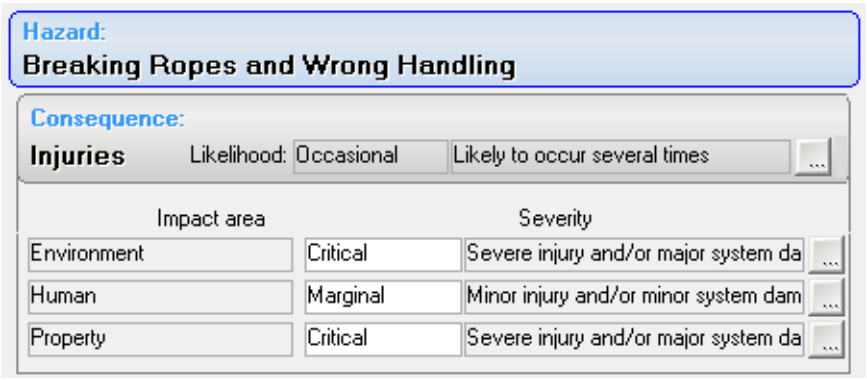
Likelihood of Harm	Severity of Harm			
	Negligible (1)	Marginal (2)	Critical (3)	Catastrophic (4)
Improbable (1)	Acceptable	Acceptable	Acceptable	Action Required
Remote (2)	Acceptable	Acceptable	Acceptable	Action Required
Occasional (3)	Acceptable	Acceptable	Action Required	Unacceptable
Probable (4)	Acceptable	Action Required	Unacceptable	Unacceptable
Frequent (5)	Acceptable	Action Required	Unacceptable	Unacceptable

When you create a risk assessment matrix, you specify a **Risk Index Method** on the General tab. There are two options:



AMOS uses the selected method and the likelihood and severity values to calculate the **Risk Index** value for every evaluated consequence during an assessment.

A user assesses a consequence defining its **Likelihood** as 'Occasional' and assigning a **Severity** on each of the impact areas:

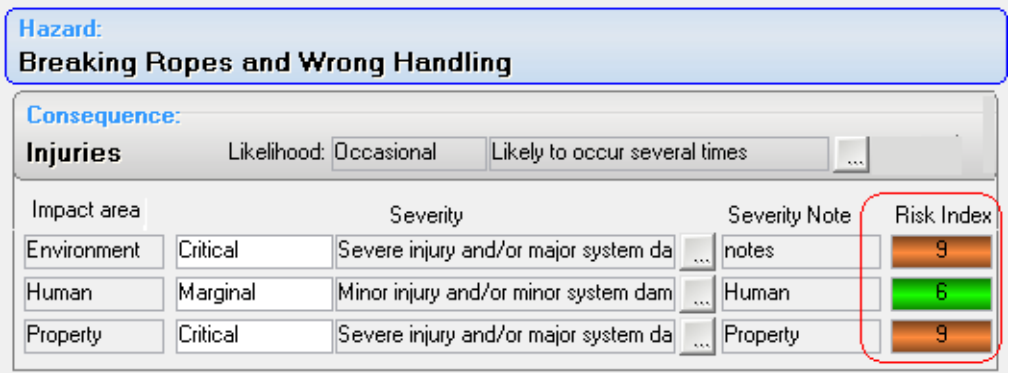


Since the **Risk Index Method** is set to 'Likelihood * Severity' AMOS calculates the resulting Risk Index value on each impact area like this:

For 'Environment' [Occasional] 3 * [Critical] 3 = 9

For 'Human' [Occasional] 3 * [Marginal] 2 = 6

For 'Property' [Occasional] 3 * [Critical] 3 = 9

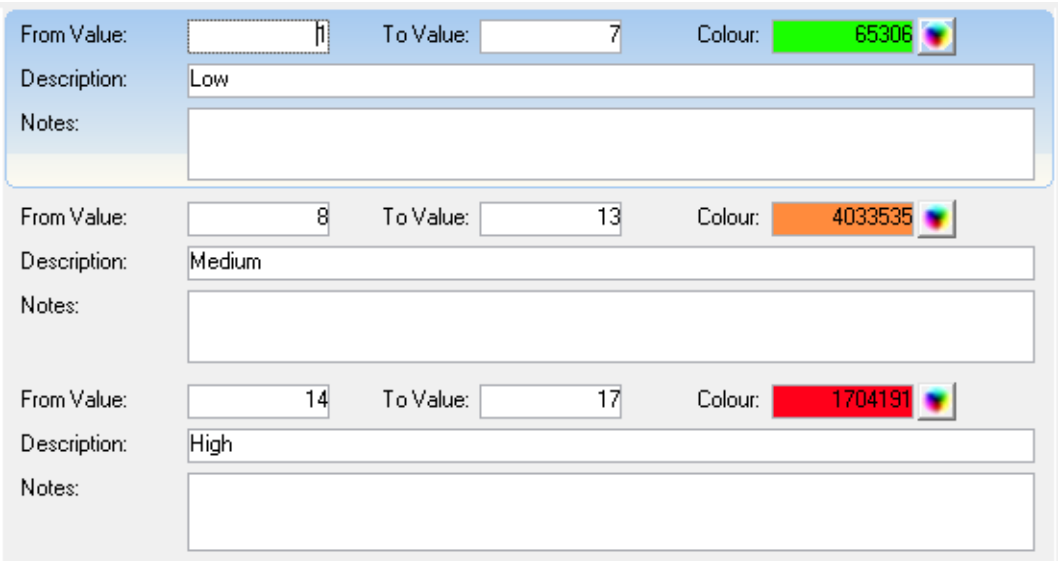


Using the other **Risk Index Method** 'Likelihood + Severity' AMOS would add the same values together, rather than multiplying them:

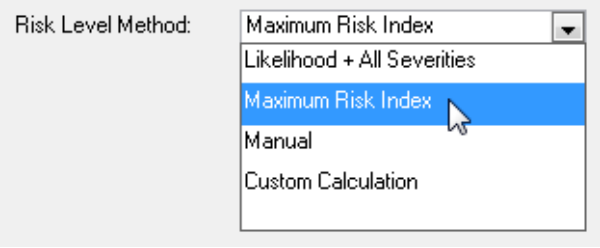
For 'Environment' [Occasional] 3 + [Critical] 3 = 6

A *Risk Level* is the magnitude of a risk or combination of risks, expressed in terms of the combination of the risk's severity and likelihood.

When you create a risk matrix, you define levels of risk acceptability: for example, *Low*, *Medium*, *High*. Assessed consequences fall into these risk levels according to their calculated risk index values. Each risk level covers part of the total range of possible index values[1]:



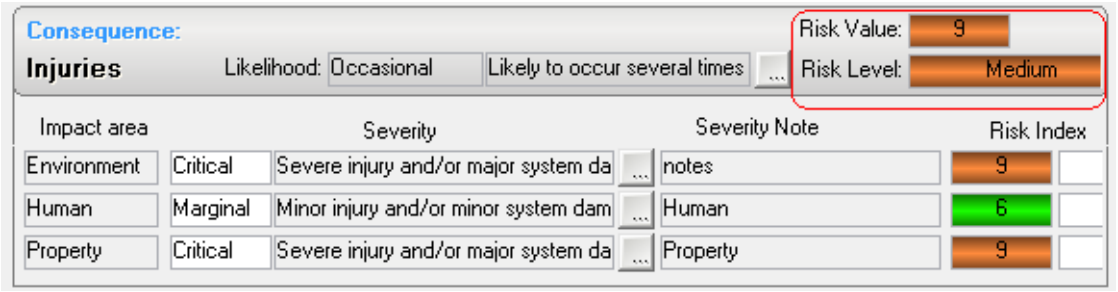
When you create a risk assessment matrix, you specify a **Risk Level Method** on the General tab:



AMOS uses the selected method and the likelihood and severity/index values to calculate the **Risk Level** for every evaluated consequence during an assessment.

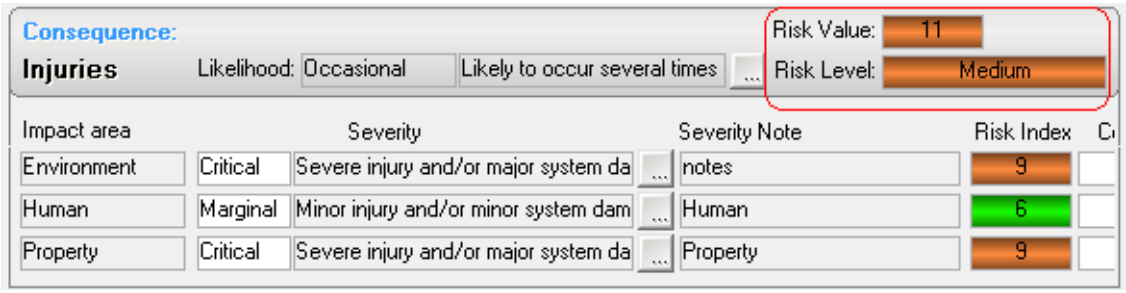
Since the method is set to 'Maximum Risk Index' and the highest impact area value is 9, the **Risk Value** on the evaluated consequence shown below is 9 and so the **Risk Level** is set to 'Medium':

[1] See "Risk Level Acceptability" on page 49 for more about Risk Level Acceptability and how to determine the range of values.



Using the **Risk Level Method** 'Likelihood + All Severities' AMOS would add the likelihood value and each severity value together to arrive at a **Risk Value** of 11 and a 'Medium' **Risk Level**:

[Occasional] 3 + [Critical] 3 + [Marginal] 2 + [Critical] 3 = 11



There are two other **Risk Level Methods** available:

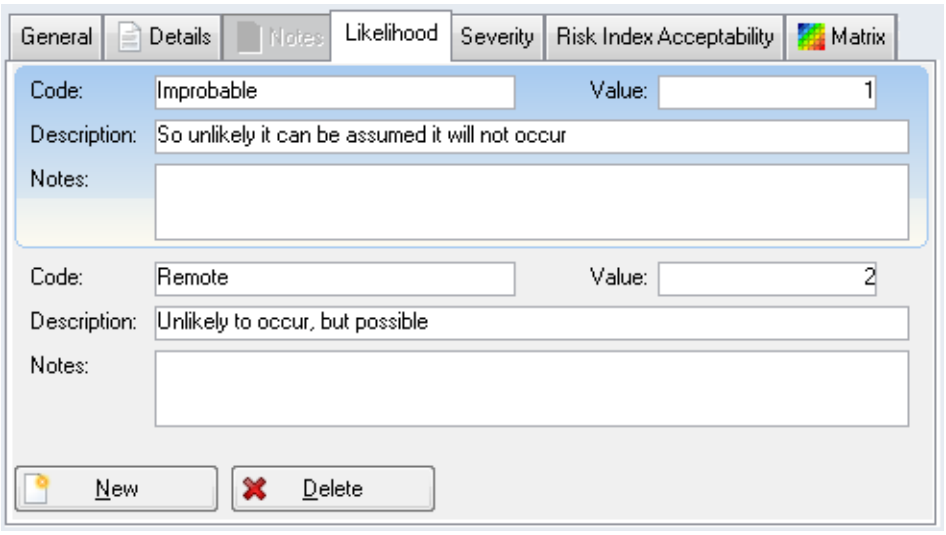
- **Manual**. Allows the user to manually add a **Risk Value** into the risk assessment for each consequence.
- **Custom Calculation**. Contact your local support office for more information about creating and using custom calculations.

Likelihood Values

Some risk scenarios are very likely to occur, or may occur frequently. Others are less likely or more occasional.

Add a list of likelihood definitions to the matrix:

1. Select a matrix and open the Likelihood tab.
2. Click **New** at the bottom of the tab.
3. Enter a **Code** and **Description** and any **Notes**.
4. Create a list of likelihoods such as, Improbable, Remote, Occasional, Probable, Frequent.
5. Add a **Value** to each entry. AMOS needs these values to calculate the Risk Index and Risk Level during assessment:



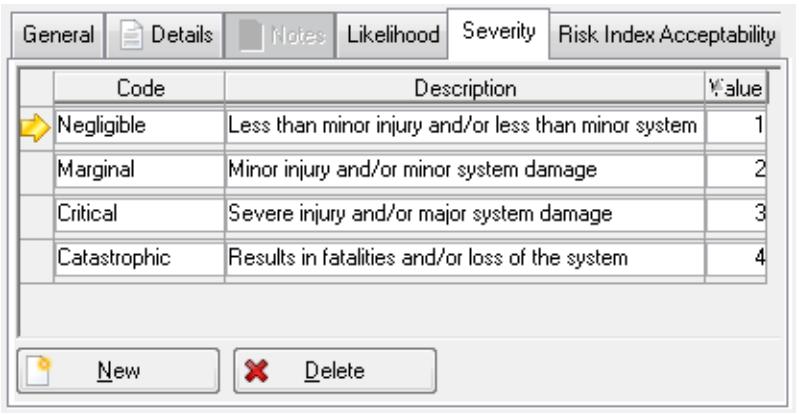
6. **Save** the tab.

Severity Values

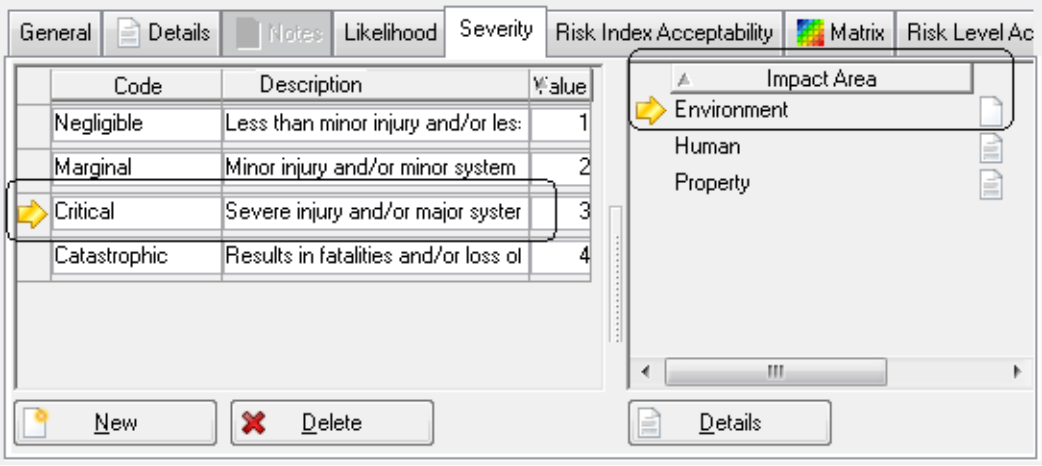
Whenever a risk scenario actually does occur, there will be consequences of varying severity.

Add a list of severity definitions to the matrix:

1. Select a matrix and open the Severity tab.
2. Click **New** at the bottom left of the tab.
3. Enter a **Code** and **Description**.
4. Create a list of severities like Negligible, Marginal, Critical and Catastrophic.
5. Add a **Value** to each entry. AMOS needs these values to calculate the Risk Index and Risk Level during assessment:



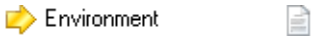
6. Every predefined **Impact Area** is listed on the right side of the tab.
7. Select a severity value and click on the notes icon next to an impact area or click the **Details** button:



Enter details in the Full Description window and close it.

> **EXAMPLE**
>
> The extent of the damage caused to the environment by an occurrence of critical severity.

The notes icon changes when text is added:



For a severity value to be available for selection in conjunction with an impact area on a risk scenario assessment, notes are required.

8. **Save** the tab.

Risk Index Acceptability

When likelihood and severity values are combined they fall into different *Risk Indexes*.

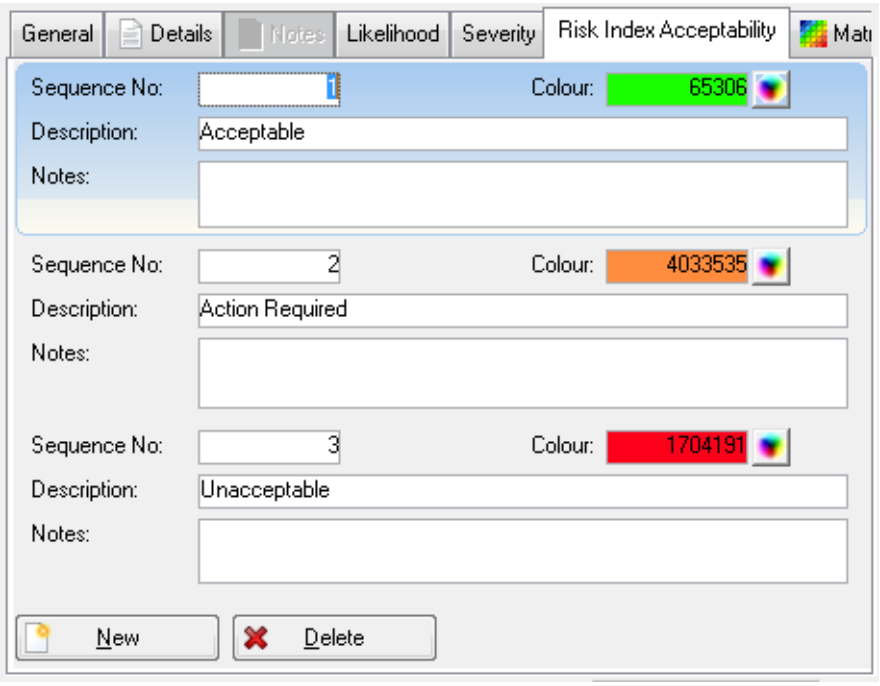
> **EXAMPLE**
>
> A user assesses a risk's likelihood as improbable and its resulting severity as negligible. Such a risk is probably acceptable; while the combination of improbable likelihood and catastrophic severity requires action. To create a risk index, you define labels and colours in the Risk Index Acceptability tab and then apply them to the matrix:

Likelihood of Harm	Severity of Harm			
	Negligible (1)	Marginal (2)	Critical (3)	Catastrophic (4)
Improbable (1)	Acceptable	Acceptable	Acceptable	Action Required
Remote (2)	Acceptable	Acceptable	Acceptable	Action Required
Occasional (3)	Acceptable	Acceptable	Action Required	Unacceptable
Probable (4)	Acceptable	Action Required	Unacceptable	Unacceptable
Frequent (5)	Acceptable	Action Required	Unacceptable	Unacceptable

Define risk index labels and the colours to associate with them:

1. Select a matrix and open the Risk Index Acceptability tab.
2. Click **New** at the bottom of the tab.
3. Enter a **Sequence** to determine the sort order for the risk index on the matrix printout.
4. Add a **Description** like Acceptable, Action Required, Unacceptable. Add any **Notes** and lookup a

Colour for each one:



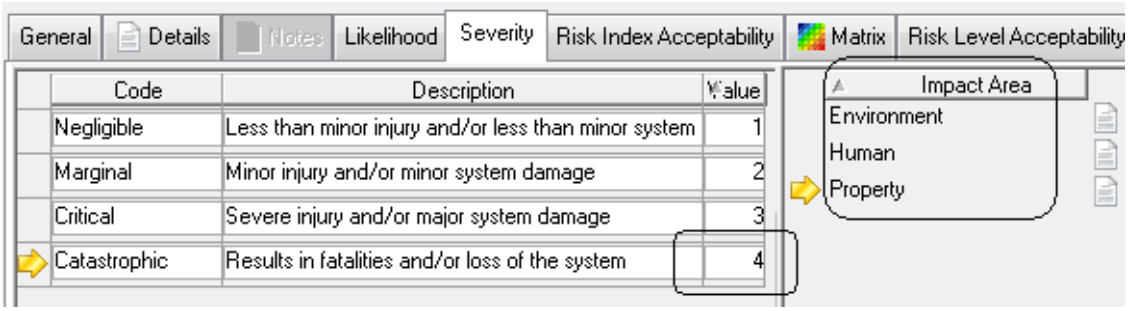
5. **Save** the tab.

Risk Level Acceptability

Assessed risks fall into risk levels according to their calculated risk index values. This means your risk levels need to span the entire range of possible risk index values from 1, to the maximum risk value possible.

To calculate the range of values you need:

Take the maximum severity value from the Severity tab and multiply it by the number of impact areas:



4 * 3 = 12

Then add this number to the maximum value in the Likelihood tab:



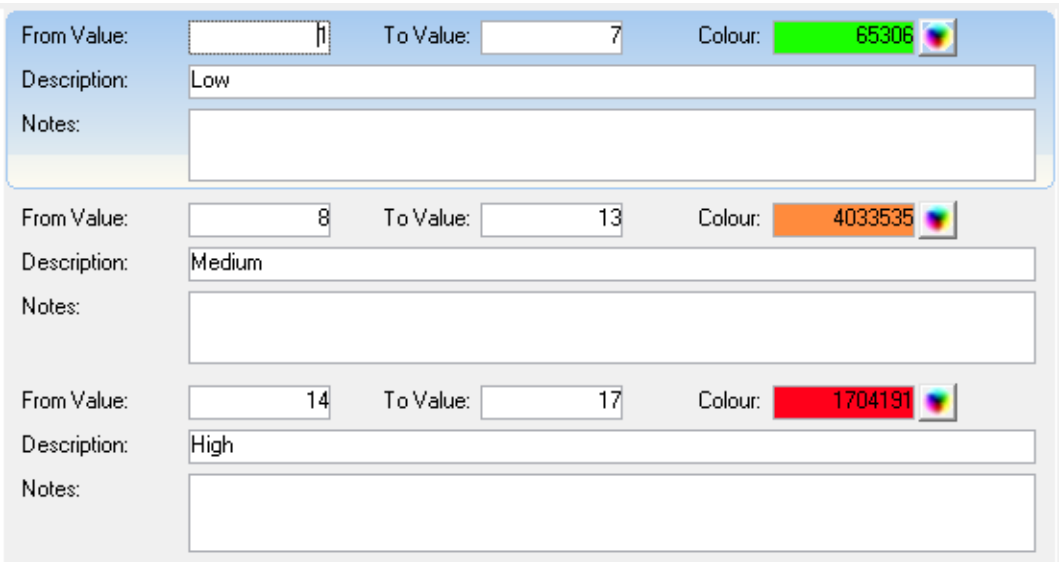
12 + 5 = 17

Decide how many risk levels you want to use, for example Low, Medium and High. Split the range of values (1 - 17) up over these three levels:

Low - From 1 to 7

Medium - From 8 to 13

High - From 14 to 17



Ensure that the whole range is covered and that there are no gaps or overlapping - do not set values 1 to 6 and then 6 to 7, because 6 would then be available at two levels.

Add the risk level definitions to the tab:

1. Select a matrix and open the Risk Level Acceptability tab.
2. Click **New** at the bottom of the tab.
3. Give each entry a **Description**, add any **Notes** and lookup a **Colour** to associate the level with.
4. Enter the **From/To Value** range covered by the level.
5. **Save** the tab.

Note: The information in this tab can be changed at any time, even in an Issued version without creating a new draft.

Applying Risk Index Labels on the Matrix

Once your definitions are complete, a new matrix will be added to the Matrix tab.

The values from the Likelihood tab appear on the left, and the values from the Severity tab appear along the top of the matrix:

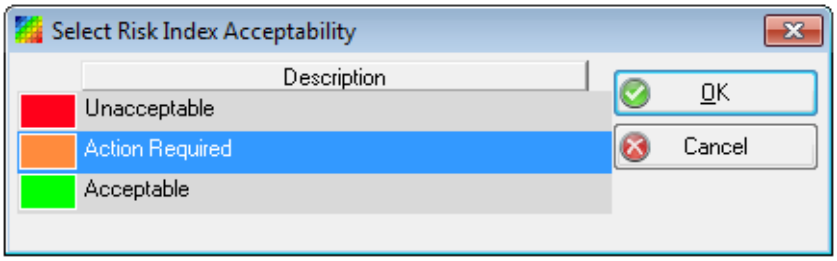
Likelihood of Harm	Severity of Harm			
	Negligible (1)	Marginal (2)	Critical (3)	Catastophic (4)
Improbable (1)	Acceptable	Acceptable	Acceptable	Acceptable
Remote (2)	Acceptable	Acceptable	Acceptable	Acceptable
Occasional (3)	Acceptable	Acceptable	Acceptable	Acceptable
Probable (4)	Acceptable	Acceptable	Acceptable	Acceptable
Frequent (5)	Acceptable	Acceptable	Acceptable	Acceptable

Now you manually assign the risk index labels to each intersection:

1. Double-click on a cell.

> **T i p**
>
> Hold the **Ctrl** key and click on multiple cells. Still holding the **Ctrl** key, double-click on one of the selected cells to set the same value on all of them at once.

2. Choose a Risk Index Acceptability value:



3. Click **OK** to apply it to the selected cell(s).
4. Continue until all the cells are assigned values and the matrix is complete:

Likelihood of Harm	Severity of Harm			
	Negligible (1)	Marginal (2)	Critical (3)	Catastophic (4)
Improbable (1)	Acceptable	Acceptable	Acceptable	Action Required
Remote (2)	Acceptable	Acceptable	Acceptable	Action Required
Occasional (3)	Acceptable	Acceptable	Action Required	Unacceptable
Probable (4)	Acceptable	Action Required	**Unacceptable**	Unacceptable
Frequent (5)	Acceptable	Action Required	Unacceptable	Unacceptable

5. **Save** the matrix.

Issuing a Risk Matrix

Issue a completed risk matrix to make it available for use with risk scenario assessments/types:

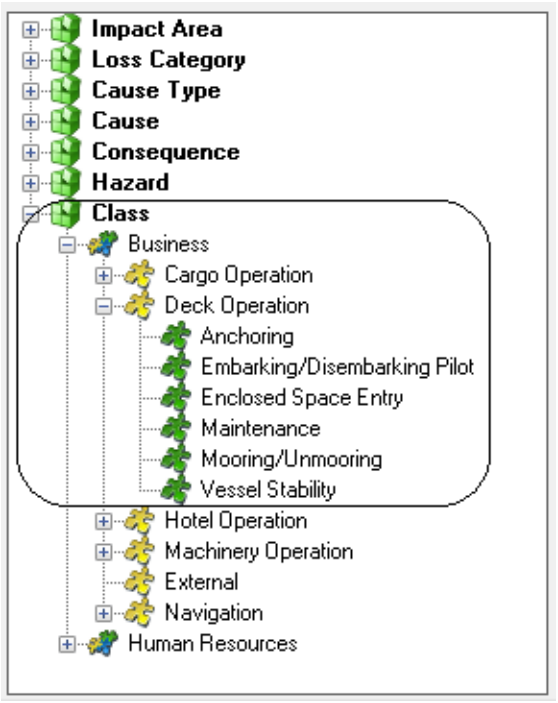
1. Select the completed matrix in the Risk Management Matrix window.
2. Go to **Options > Work Flow**.
3. You may have to approve the matrix first, depending on your work flow configuration.
4. **Issue** the matrix and click **OK**.

Risk Scenario Types

Scenario Types are potential risk inducing situations such as 'Mooring/Unmooring'.

By creating possible scenario types, you can pre-define and distribute 'generic' risk scenarios and risk control measurements in the office and then distribute them to the sites where they apply. On site, the scenario types can be used as they are, or changed to include more local factors.

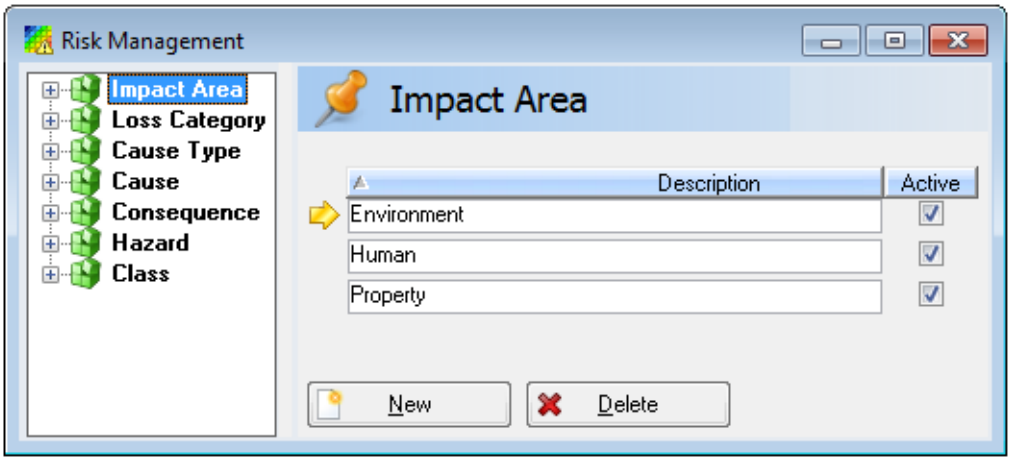
Risk scenario types can be grouped using the **Classes**, **Categories** and **Groups** already created in the Risk Management registers:



Risk Management Registers

Before any scenario types can be defined, set up the registers defining all the information the types will draw on.

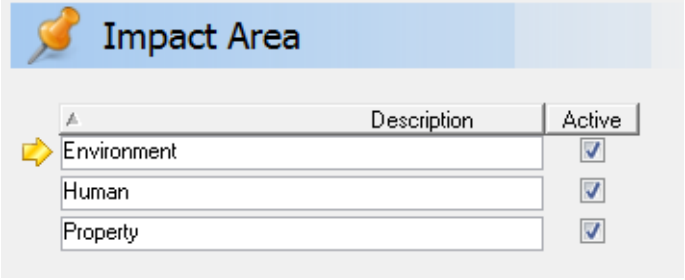
1. Go to **File > Open Register > Risk Management**:



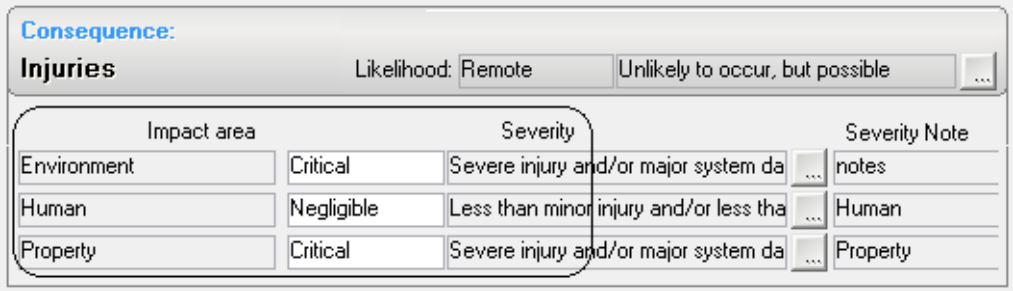
2. Add to any register by selecting it and clicking the **New** button at the bottom of the window.

Impact Area

Select the **Impact Area** register in the hierarchy and define a list of areas which could be impacted by the occurrence of consequences brought on by hazardous actions:



A degree of **Severity** can be applied to each area during consequence evaluation:



Hazard

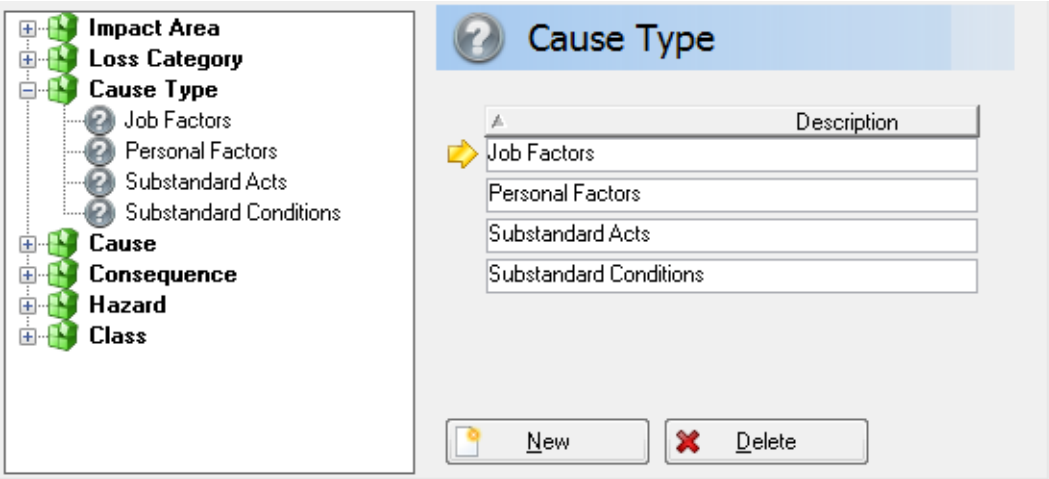
Hazards may occur during a risk scenario: hazards are made up of the actions which *cause* them, and the resulting *consequences*.

> **EXAMPLE**
>
> In some scenarios, you think the following hazard could occur:
>
> *Breaking Ropes and Wrong Handling*
>
> You define **Causes** for this hazard such as improper training, fatigue or worn out materials.
>
> If this hazard does occur, it could result in **Consequences** like injuries or fatalities.

Set up the Cause Type, Cause and Consequence registers first. Then, use that information to define the content for the Hazards register.

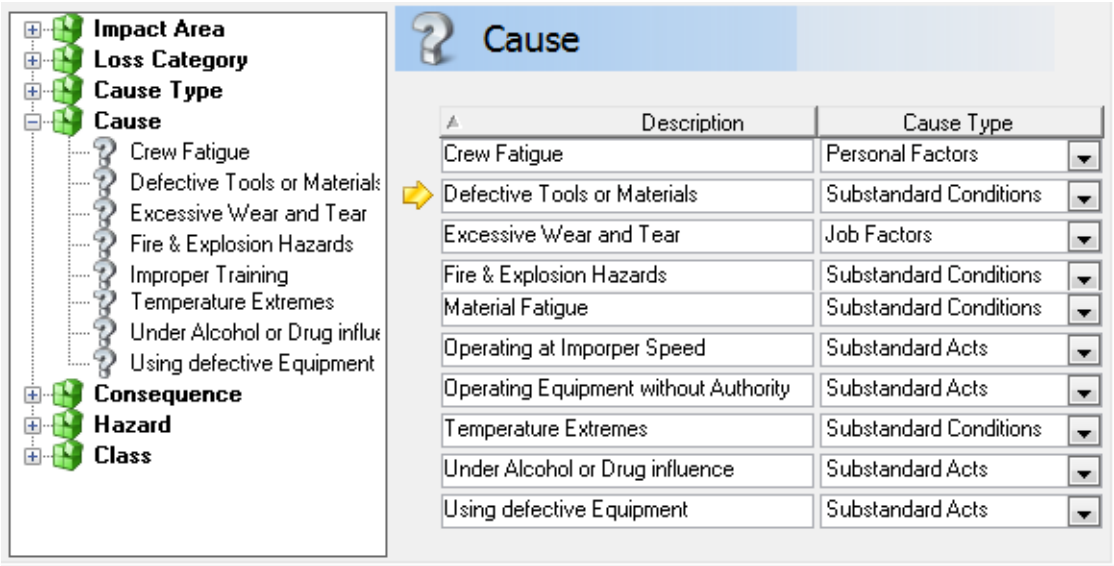
Cause Type

Select the **Cause Type** register in the hierarchy and create a list of categories for the causes of hazards:



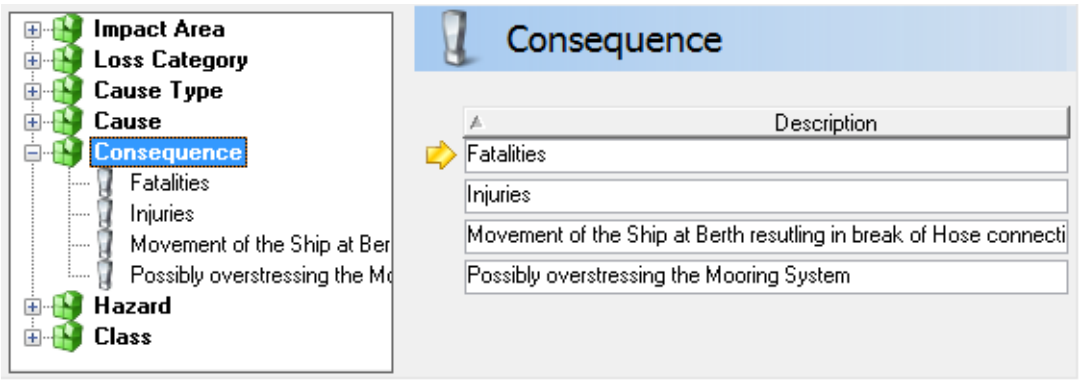
Cause

Select the Cause register in the hierarchy and create a list of causes of hazards. Then select a cause and assign a **Cause Type**:



Consequence

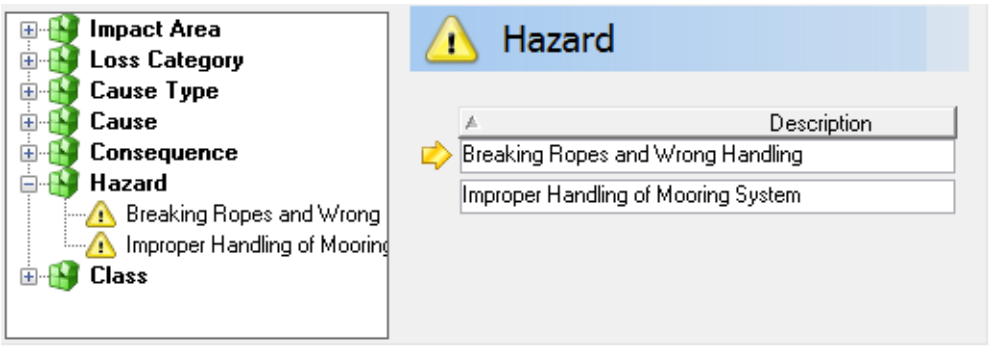
Select the **Consequence** register in the hierarchy and create a list of consequences which could follow if a hazard occurs:



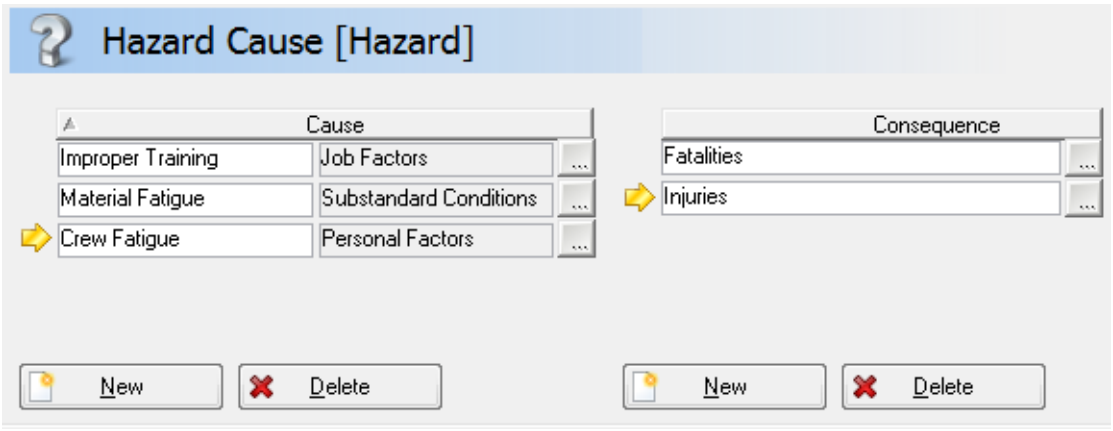
Hazards

Use the information in the registers listed above to define the content for the Hazards register.

Select the **Hazard** register in the hierarchy and create a list of possible hazards:

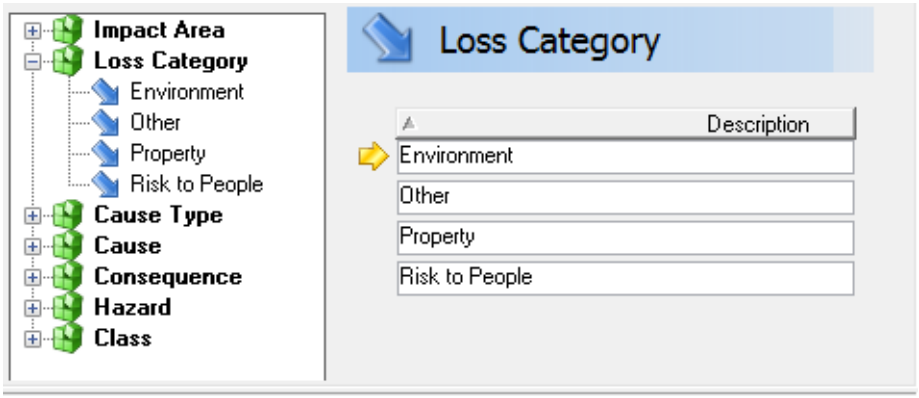


Select a hazard, and click **New** on the bottom left side of the tab to lookup a **Cause**. Click the **New** button on the bottom right side and lookup a **Consequence**. Add as many as you need:



Loss Category

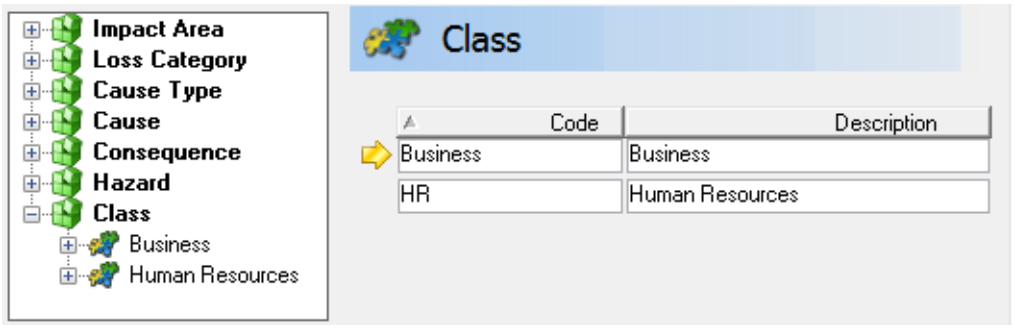
Select the **Loss Category** register in the hierarchy and create a list of categories which could be affected by the consequences of any hazard:



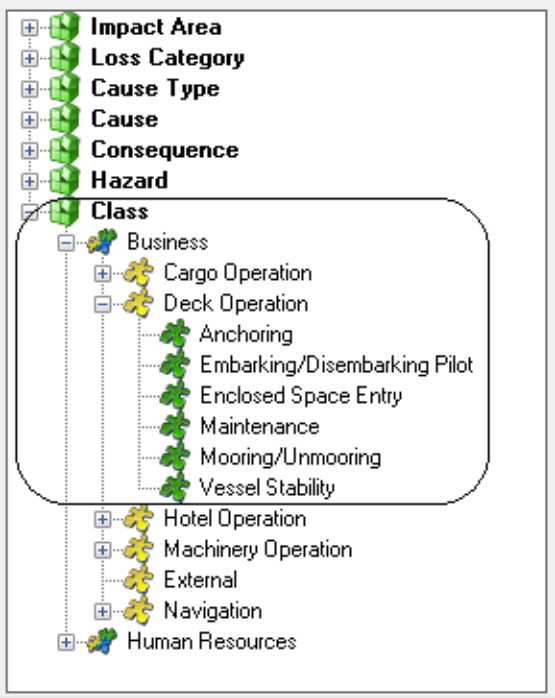
Class

Risk scenario types are defined using the *classes*, *categories* and *groups* created in the **Class** register.

Select the **Class** register in the hierarchy and create a list of classes:



Select a class to add categories and then select a category to add groups:

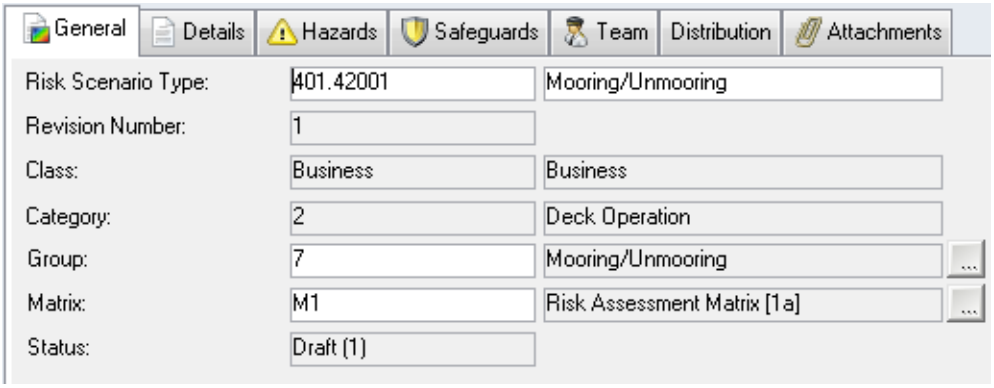


Creating a Risk Scenario Type

To create a new scenario type:

1. Go to **Assessment > Risk Scenario Type**. Click **Create Entry** in the filter or **New** in the window.
2. Give the scenario type a name.
3. Lookup the risk **Group** the scenario type belongs to. This adds the **Class** and **Category** at the same time:

   Group- 'Mooring/Unmooring'. You get the **Category** 'Deck Operation' and the **Class** 'Business'.



4. Lookup a **Matrix** to assess the scenario type with.
5. Add the team members who devised the scenario type in the Team tab.
6. **Save** the scenario type.

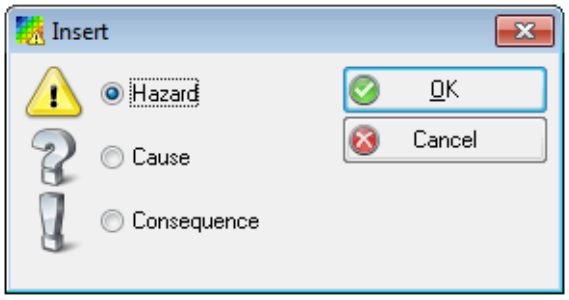
Identifying Hazards: Causes and Consequences

Hazards may occur during a risk scenario: hazards are made up of the actions which *cause* them, and the resulting *consequences*.

> **EXAMPLE**
>
> You have defined 'Mooring/Unmooring a vessel' as a risk scenario. During this operation, you think the following hazard could occur:
>
> *Breaking Ropes and Wrong Handling*
>
> Breaking ropes and wrong handling might be caused by improper training, fatigue or worn out materials. If this hazard does occur, it could result in consequences like injuries or fatalities.

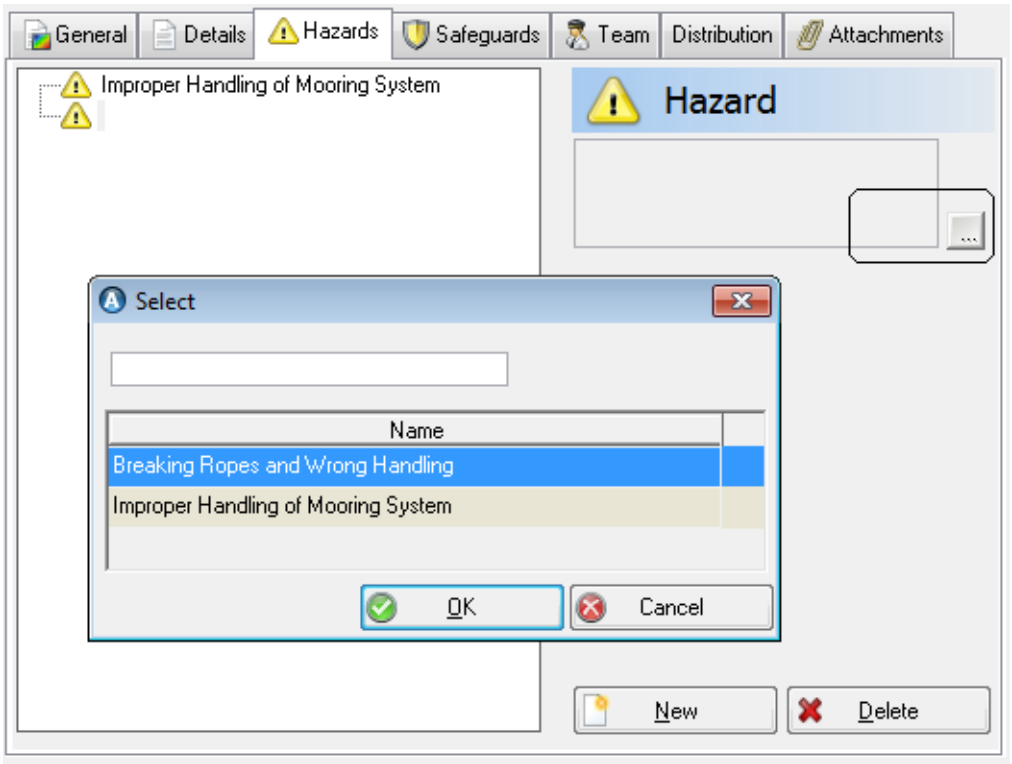
To add a new hazard:

1. Open the Scenario Type window and select a scenario type.
2. Open the Hazards tab.
3. Click the **New** button in the tab. If it is the first entry:

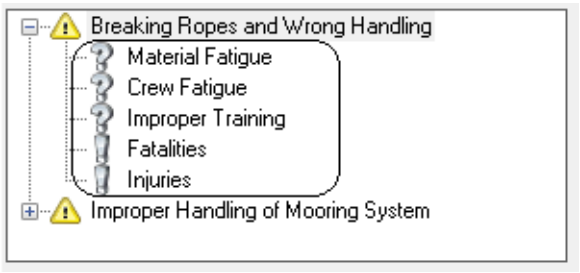


   Click **Hazard** and **OK**.

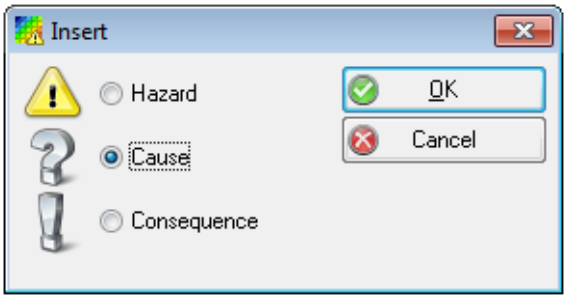
4. Lookup a **Hazard**:



5. Hazards might come with causes and consequences defined:

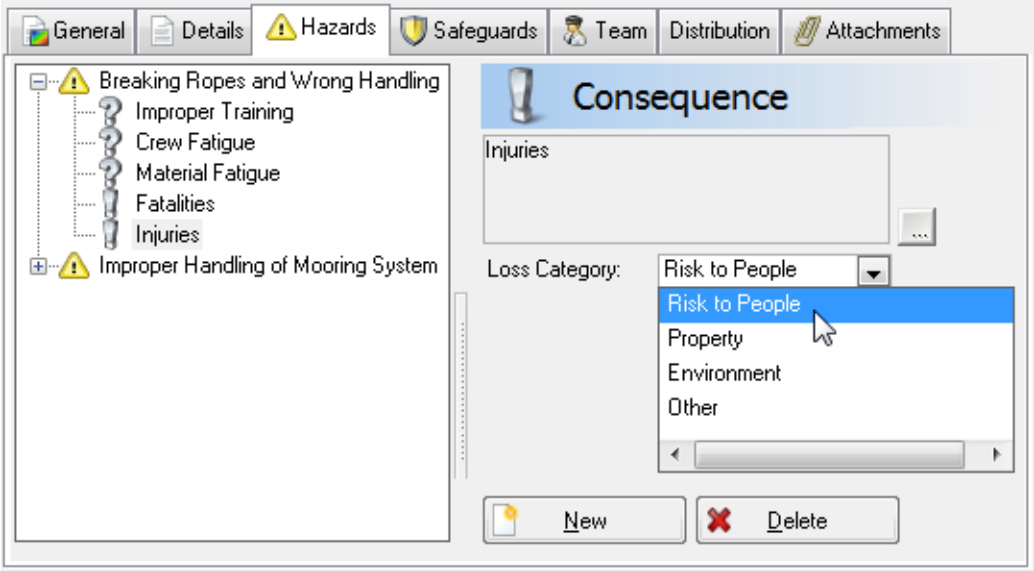


6. To add more causes and consequences select a hazard and click **New** in the bottom of the tab. Choose **Cause** or **Consequence** and click **OK**:



   Lookup the cause or consequence. To remove any entry select it and click **Delete**.

7. Select a consequence in the hierarchy.
8. Select a **Loss Category** for the consequence:



9. **Save** the tab.

Identifying Safeguards

Safeguards are risk control measurements which should be implemented to prevent a particular risk scenario from actually occurring. Create a list of such safeguards for each scenario type:

1. Open the Scenario Type window and select a scenario type. Open the Safeguards tab.
2. Click **New** inside the tab. Give the new entry a name and detail any information about it in the **Notes** section.
3. **Save**, and continue to add all possible safety measures.
4. Select one and open the Procedures tab.

5. Click **New** in the tab and lookup a document from the list of available procedures. Add as many as apply.
6. **Save** the safeguards list.

Issuing a Risk Scenario Type

Before scenario types can go into use and scenarios created for assessment, the latest version needs to be issued[1].

1. Select a scenario type.
2. Go to **Options > Work Flow**.
3. Select the publishing or issuing action according to your work flow configuration, in the Change Work Flow Status dialog. You may also need to approve it first.
4. The scenario type's status changes. You can create a new draft of the same type when one is needed.
5. **Save** the changes.

Creating New Revisions

Once a scenario type has been issued no modifications can be made to it- a new draft is required:

1. Create a new draft revision: select the current revision and click **New**.
2. Choose to create a new revision, rather than a new type.
3. Make the changes.
4. Publish the new draft, rendering the previous revision obsolete. Two drafts of the same scenario type cannot exist at the same time.

If necessary you can cancel a published or draft revision using the work flow. The cancelled revision will still appear in the list but no longer be usable.

Assessments already in progress and linked to the previous revision of the scenario type, will continue to use the type which was valid when the assessment was created. New assessments created using the scenario type will refer to the latest issued revision.

Note:
The link established between a Component/Type Job and a Scenario/Type is actually a link to a scenario/type revision. When a revision is eventually filed, the link is no longer valid and this could cause a non-conformity.

Upon issuing a new revision of either a risk scenario or a scenario type, AMOS will check for items linked to the previous revision and if any are found:

- the existing link will be replaced with a link to the new revision's ID, and
- the linked records will be updated automatically, with no notification to the user.

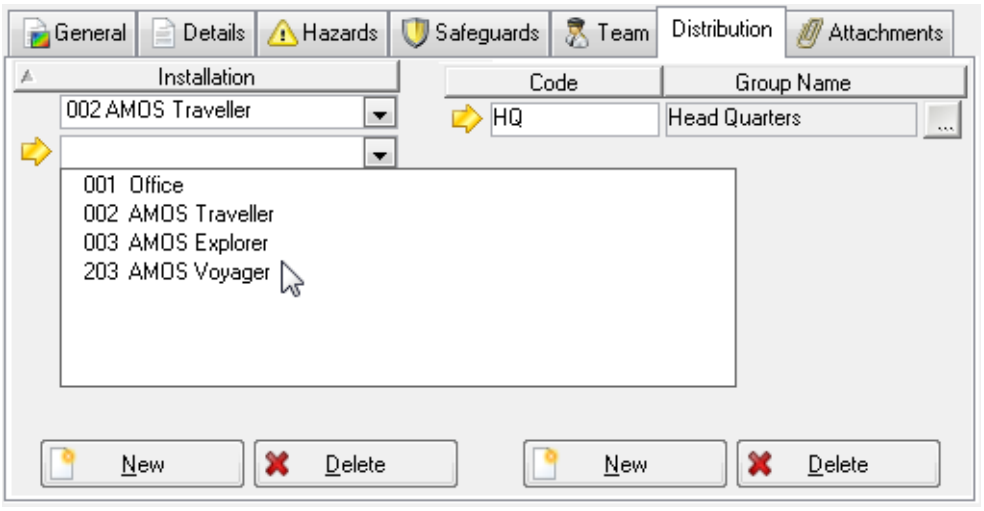
Distributing a Scenario Type

Certain scenario types and risk control measurements might apply to one installation group like a particular class of vessel, but not to another. When you create a scenario type, distribute it to the installations where it applies. Users at each site will only be able to select from and evaluate the types which have been distributed to their installation.

To distribute a scenario type:

[1] Available work flow actions and statuses depend on your own work flow configurations. Those listed here are examples using the pre-configured work flow and so may differ from your own.

1. Open the Scenario Type window and select a type in the list.
2. Open the Distribution tab.
3. Click either **New** button to add one or more individual installations, or groups:



4. **Save** the window.

Distributing scenario types does not create scenarios automatically at installations - it simply makes the types available for selection when a user creates a new scenario.

Linking Risk Assessments to Maintenance Work

Risk scenarios can be linked to maintenance work and carried out in relation to work orders. To link defined scenario/types to your maintenance program:

1. Activate risk management functionality on component/type jobs.

   For jobs where risk management is activated, link a scenario/type. See "Activating Risk Management on Component/Type Jobs" below.

2. New work orders will be generated with an assessment for the scenario/type. See "Linking Risk Assessments to Work Orders" on page 62.

   You can also link scenario/types and assessments directly to existing work orders, and to requisitioned work. See "Linking Risk Scenarios to Requisition Work Orders" on page 64.

3. Activate the assessment linked to a work order, and carry out the evaluation as usual before reporting on the work order.

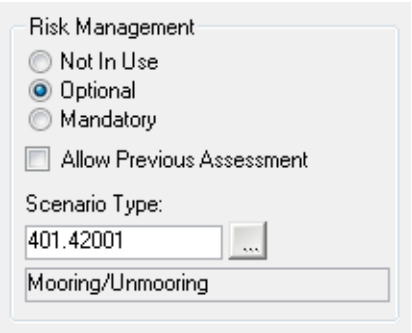
   See "Scenario Assessment Revisions" on page 67 about activating an assessment. See "Evaluating a Risk Scenario" on page 68 about evaluating an assessment.

Activating Risk Management on Component/Type Jobs

You can activate risk management on component type jobs and link a scenario type. The settings will be inherited onto component jobs. Component jobs can also be linked to existing scenario/types.

To activate risk management on a component job:

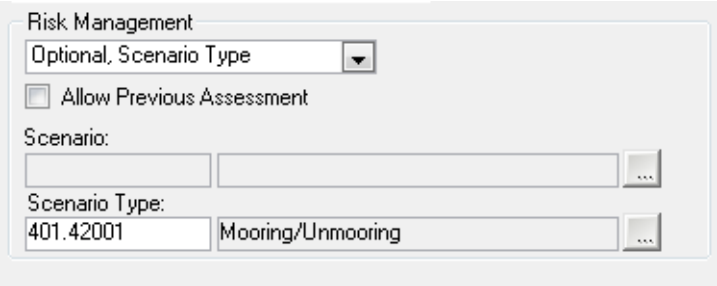
1. Open the Component Types window and select a component type. Open the Jobs tab.
2. Click **View** to open the Component Type Jobs window.
2. Select a job.
3. By default **Risk Management** is 'Not in Use'. Set it to 'Optional' or 'Mandatory'.
4. Lookup a **Scenario Type** if a suitable one exists:



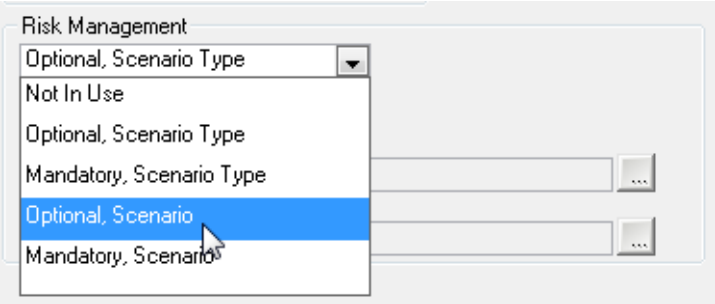
If you do not look up a scenario type a user can do so on the component job itself, or create a local scenario.

5. **Save** the job. AMOS will ask if you want to reflect the changes on components of the type.

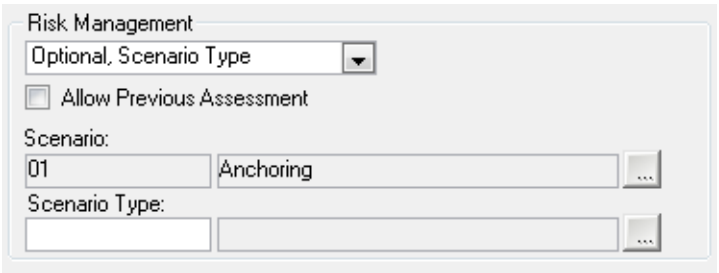
   If you chose to update the relevant components with the risk management information, when you open the Component Job window for the same job, you will see the settings there:



   You can change the setting on component job level:



You can also add a scenario type or change the specified one, or, lookup an existing scenario:



- When risk management is mandatory on a component job and a scenario/type is applied to it, a new scenario assessment will be linked automatically to the work order for this job.
- If risk management is optional on the component job, no scenario assessment will be linked automatically to the work order - the end user will need to create one.

Note:
The link established between a Component/Type Job and a Scenario/Type is actually a link to a scenario/type revision. When a revision is eventually filed, the link is no longer valid and this could cause a non-conformity.

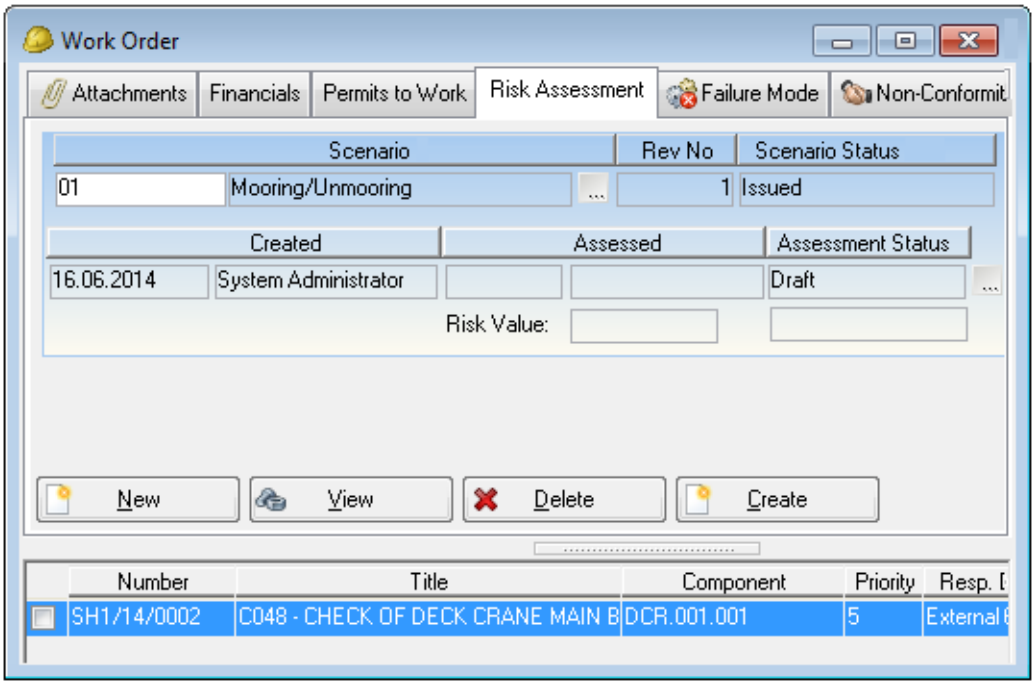
Upon issuing a new revision of either a risk scenario or a scenario type, AMOS will check for items linked to the previous revision and if any are found:

- the existing link will be replaced with a link to the new revision's ID, and
- the linked records will be updated automatically, with no notification to the user.

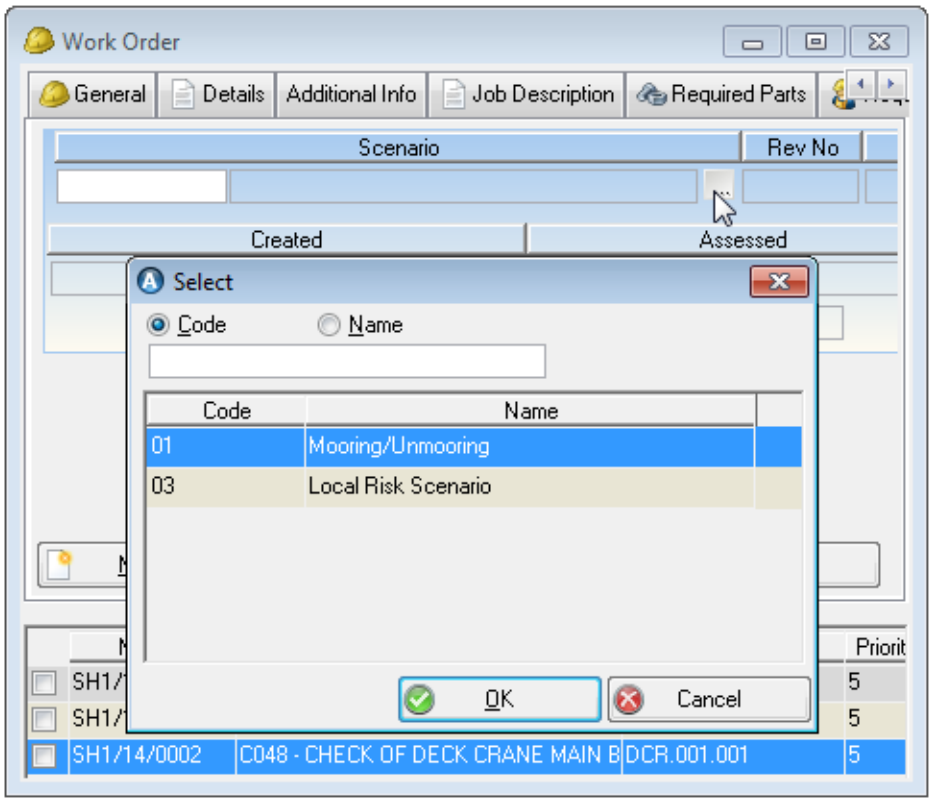
Linking Risk Assessments to Work Orders

Risk scenarios can be linked to maintenance work and carried out in relation to work orders, before reporting on the work. Depending on the risk management settings on a component job, new work orders for the job might be generated with a risk scenario assessment already listed in the Risk Assessment tab:

- When risk management is mandatory on a component job and a scenario/type is applied to it, a new scenario assessment will be linked automatically to the work order for this job.
- If risk management is optional on the component job, no scenario assessment will be linked automatically to the work order - the end user will be need to create one.



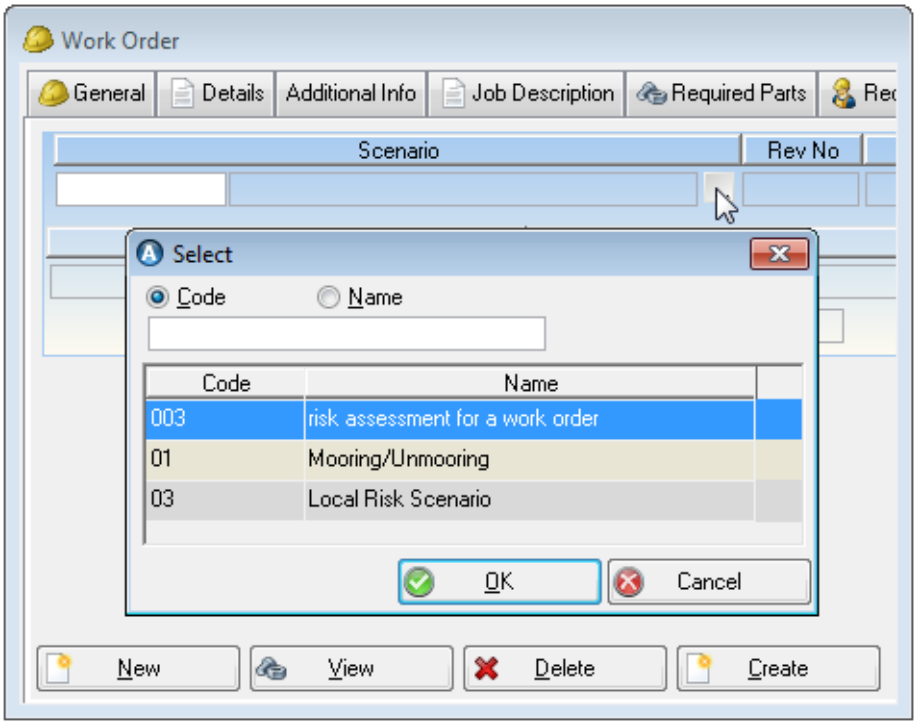
You can also link scenario/types and assessments directly to existing work orders. To register another *existing* risk scenario assessment against the same work order, click the **New** button and look one up:



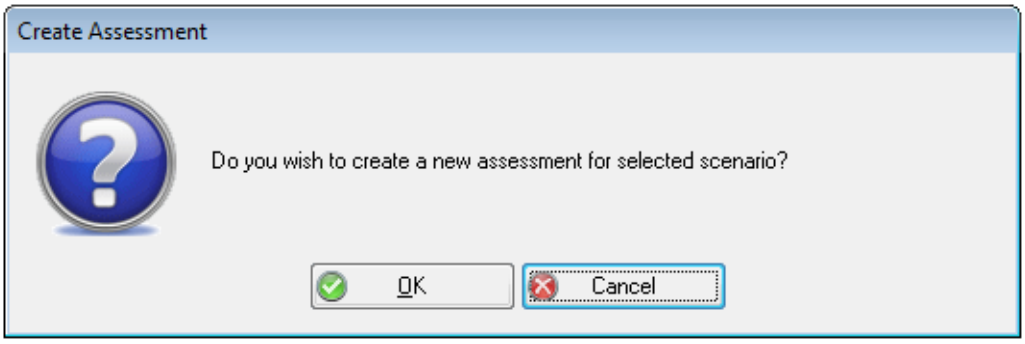
This refers the work order to the existing scenario assessment - it does not actually create a new one.

To *create* a new assessment for a scenario on a work order:

1. Click **New**.
2. Lookup a scenario for which no assessments currently exist:



3. Click **OK** to add it to the tab.
4. Click the **Create** button:

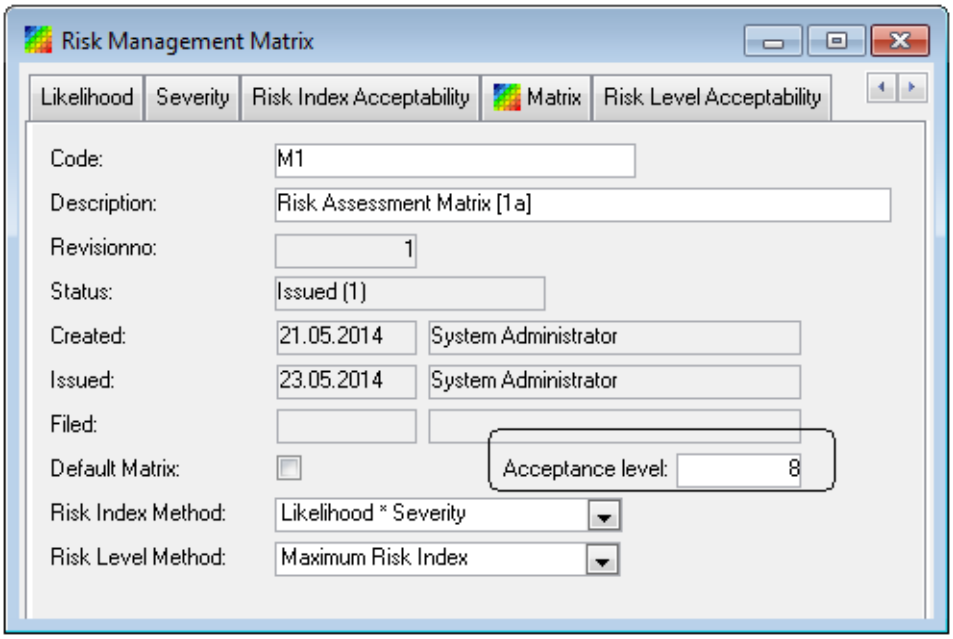


5. Click **OK** to create the new assessment.
6. The Risk Management Assessment window opens. Create and save a local scenario and assessment for evaluation. See "Creating 'Local' Scenarios" on page 69.

Work orders linked to a scenario will appear in the Assessed tab on the risk assessment evaluation.

Mandatory Assessment Evaluations

To prevent a user from reporting a work order as complete until the linked assessment has been satisfactorily evaluated, the QA Manager can apply an **Acceptance Level** on the Risk Matrix configuration:

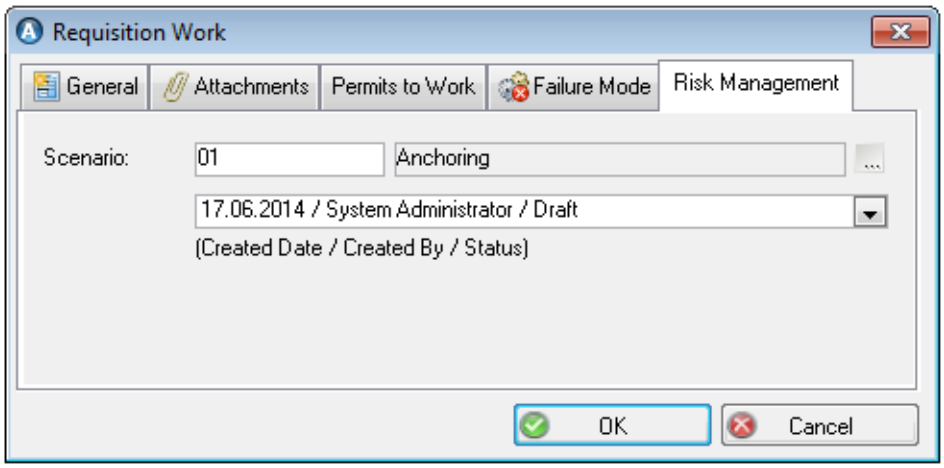


If the assessed risk value is above the limit set on the matrix the scenario assessment is based on, users will be prevented from reporting on the work order.

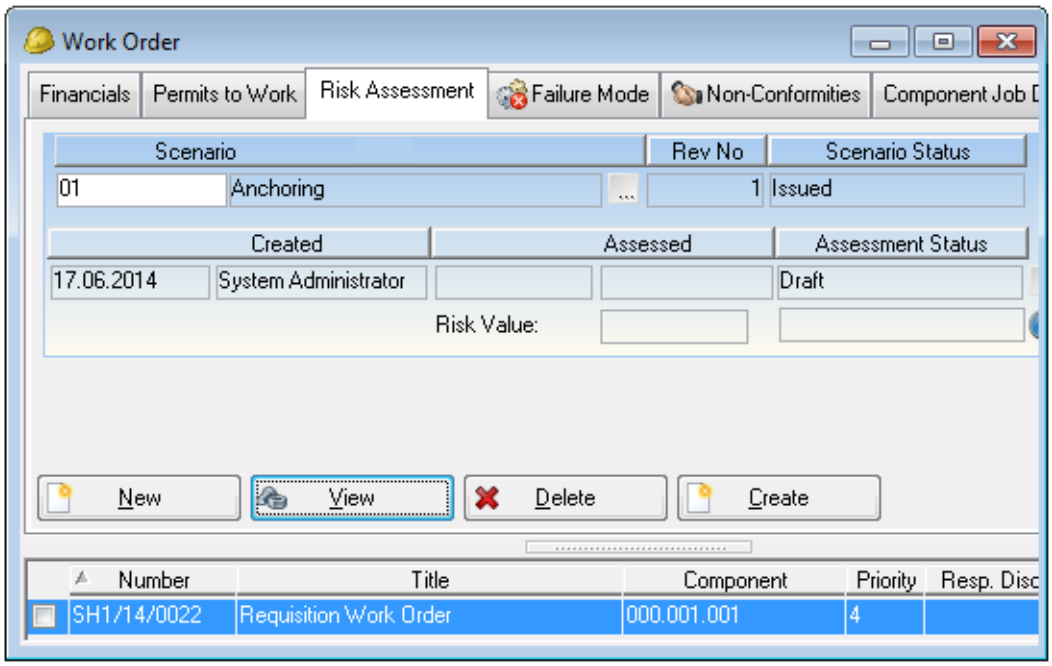
Linking Risk Scenarios to Requisition Work Orders

Risk scenarios can be linked to maintenance work and carried out in relation to work orders. To link an existing scenario to a requisition work order:

Open the Risk Management tab on the Requisition Work window and lookup a **Scenario**:



When a work order is generated, a risk scenario assessment will be created with it for evaluation.



Click **View** to open, activate and evaluate the assessment.

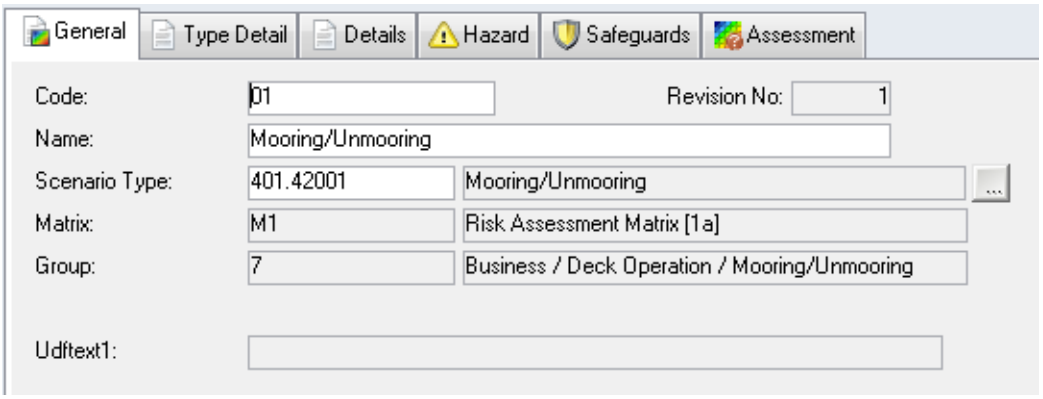
Risk Scenarios

Assessing a scenario onboard is to evaluate the likelihood of the defined hazards actually occurring on the vessel when the safeguards are in place, and the severity of the resulting consequences.

Scenario types are predefined and distributed to installations where they apply. The information in them can be changed to reflect local circumstances.

To create a new scenario from a type:

1. Go to **Assessment > Risk Scenario**. Click **Create Entry** in the filter or **New** in the window.
2. Give the new scenario a **Code** and a **Name**.
3. Lookup a **Scenario Type**:



4. **Matrix** and **Group** come with the type selection.

> **T i p**
>
> The **Scenario Type** lookup lists all published scenario types distributed to your installation. Filter it first by using the **Group** lookup to find a scenario type group. This narrows the list of available types to only those which belong to the selected group.

5. **Save** the window.

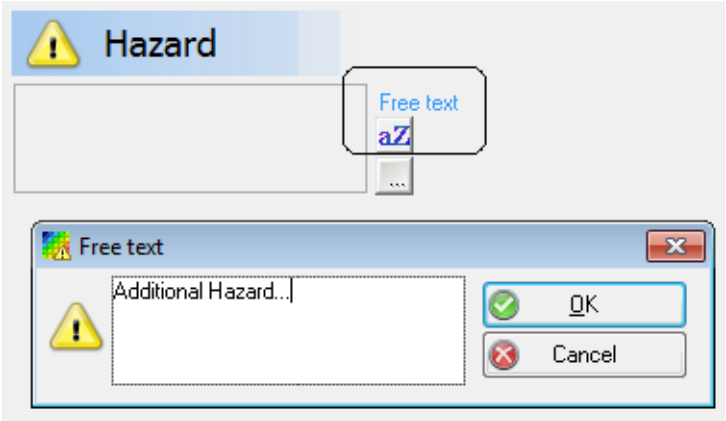
> **Note:** You can also create new 'local' scenarios from scratch - that is, not based on a type at all. See for more information. See "Creating 'Local' Scenarios" on page 69.

Adding Hazards and Safeguards to a Scenario

All hazards, notes and safeguards come with the type: add more or remove any which do not apply, as needed:

1. Open the Hazard/Safeguards tab.
2. Click the **New** button. Add hazards, causes and/or consequences or safeguards the same way as on a scenario type.

   You can also click an additional lookup to enter a free-text hazard or consequence not drawn from the registers:



3. Click **Save**.

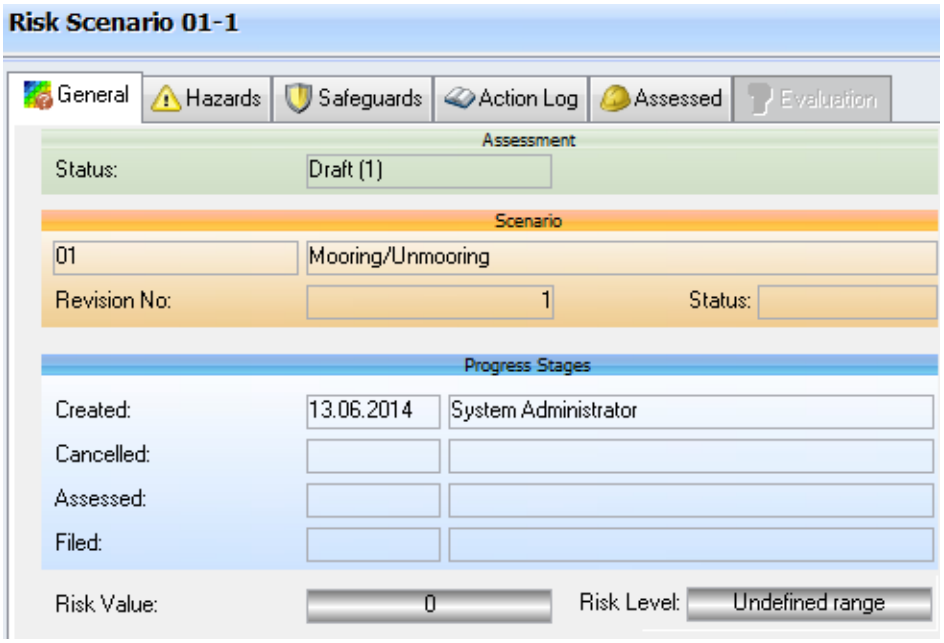
This will not change the central scenario type.

Scenario Assessment Revisions

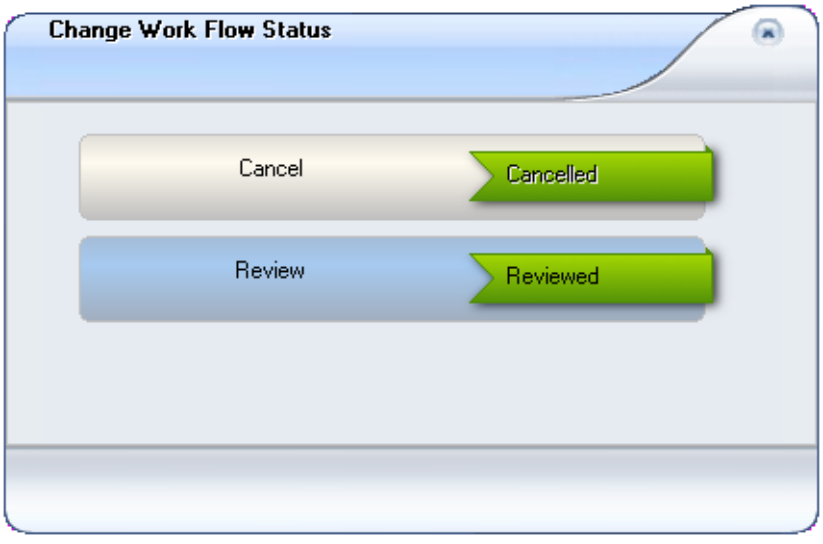
You can perform as many assessments as required on the same scenario: as the risk goes down due to newly implemented and successful safeguards you reassess the scenario and lower the risk evaluation. All assessments revisions are listed in the Assessments tab.

To perform an assessment:

1. Open the Risk Management Scenario window: **Assessment > Risk Scenario**.
2. Select a scenario. According to your work flow[1], approve and issue the scenario to activate it.
3. Open the Assessment tab and click **New**.
4. This remote opens the Risk Scenario window:



5. Update the scenario's work flow status to allow for assessing: go to **Options > Work Flow**:



6. Choose the reviewing action[2] . Click **OK** to return to the main window.
7. **Save** the window.

---

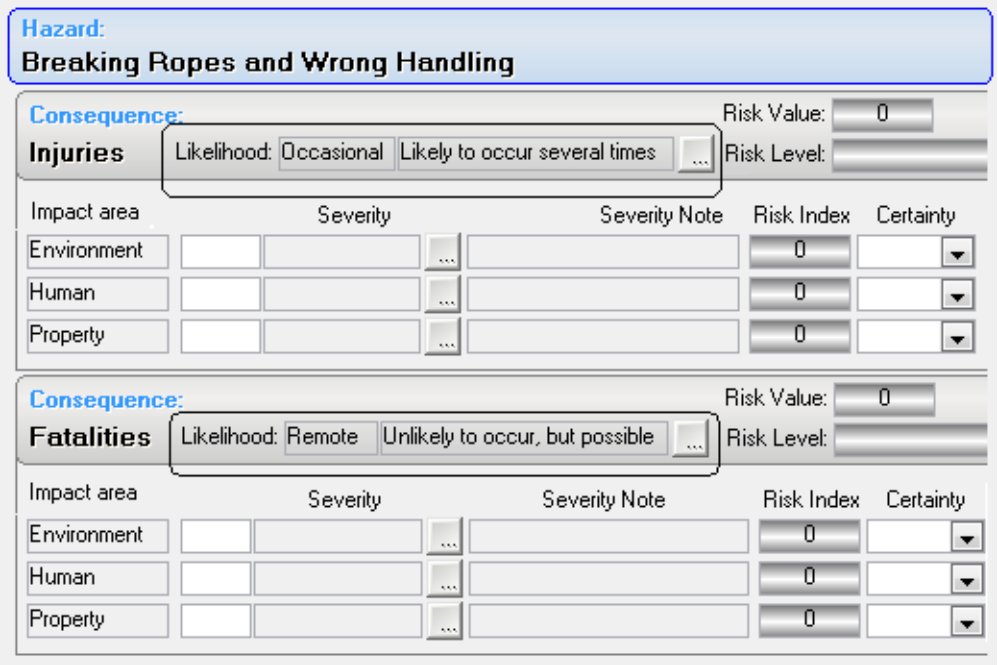
[1] Work flow configurations and the actions and statuses they include may vary.

[2] Available work flow actions and statuses depend on your own work flow configurations.

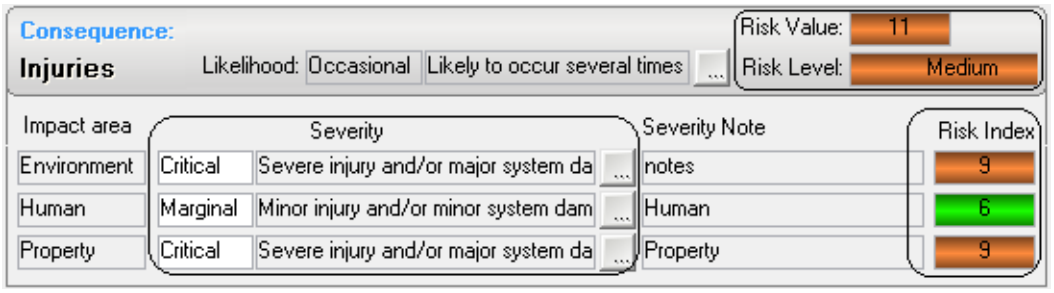
Evaluating a Risk Scenario

To evaluate an assessment revision:

1. Go to **Assessment > Risk Scenario**. Select a scenario and open the Assessment tab.
2. Select an evaluation in the list, and click **View**. This remote-opens the Risk Scenario assessment.
3. Open the Evaluation tab.
4. The hazards defined on the scenario/type appear in this tab. Each hazard contains a list of consequences. Select the likelihood of each consequence occurring:



5. The impact areas appear below each consequence. Select the **Severity** of the consequence's impact on each area:



   AMOS calculates the **Risk Index** on each impact area and then determines the **Risk Value** and **Level** on each consequence. See "How Does AMOS Calculate Risk Index Values and Risk Levels?" on page 43 for more information about how AMOS calculates these values.

6. Use the **Certainty** drop-down to indicate your confidence in the accuracy of this risk assessment.
7. **Save** your evaluation.

Go to **Options > Work Flow** to change the status when your evaluation is complete.

If the risk level is later determined to be too high or too low or in any way needs adjustment, create a new revision and evaluate the scenario again.

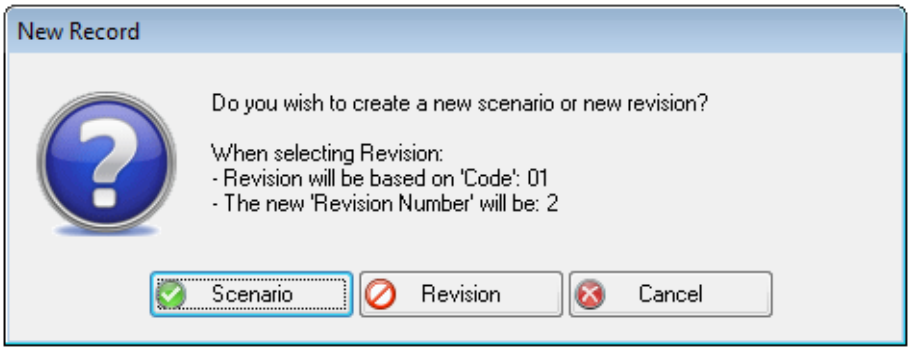
Creating 'Local' Scenarios

On-site users can modify existing scenarios created from type, and they can also create entirely new ones 'locally' without using a scenario type.

- Centrally-created scenario types do not always cover all potential scenarios because the operating environment for each vessel varies.
- A new scenario could arise at any time at an installation which is not already covered in the available scenario types.

To create a new local scenario:

1. Go to **Assessment > Risk Scenario**.
2. Click **New** in the window. Choose to create a new **Scenario**:



3. Enter a **Code** and **Name** for the new scenario.
4. Lookup a **Matrix** to apply to the assessment.
5. **Save** the entry.
6. Go to **Options > Work Flow** to approve and issue[1] the scenario.
7. Open the Assessment tab and click **New**. This remote opens the Risk Scenario window.
8. Activate the revision using the work flow.
9. The Hazards and Safeguards tabs will be empty. Add hazards and safeguards as when creating a scenario type. See "Identifying Hazards: Causes and Consequences" on page 57 and "Identifying Safeguards" on page 58 for more information.
10. **Save** the scenario. Evaluate it as usual. See "Evaluating a Risk Scenario" on the previous page.

[1] Work flow configurations and the actions and statuses they include may vary.

CHAPTER 3

Self Assessment

The AMOS Self Assessment module is a tool for organising Key Performance Indicators (KPIs) for assessment, to measure and evaluate your company for compliance with Tanker Management Self Assessment (TMSA) requirements and standards. Performing regular self assessments is a good way to review existing practices and evaluate them against industry standards; record performance and compare progress; and, provide documentation in case of audits. A minimum compliance to all elements of the standard establishes the baseline from which to improve.

This chapter includes the following topics:

Getting Started with Self Assessment 72
Self Assessment Configurations 72
Performing Self Assessments 77
Self Assessment Statistics 79

SpecTec

Getting Started with Self Assessment

There are three main processes[1]:

1. Define and Issue a Self Assessment Configuration. Set up the elements, sub-elements and KPIs which users will perform the assessments against. See "Self Assessment Configurations" below.
2. Perform an Assessment. Perform periodic self assessments, evaluating each KPI according to the present stage. Compare the new assessment against previous results to evaluate progress. See "Performing Self Assessments" on page 77.
3. Analyse and Review the Data. Review the assessment data and calculated scores collected in the Self Assessment Statistics window. See "Self Assessment Statistics" on page 79.

Self Assessment Configurations

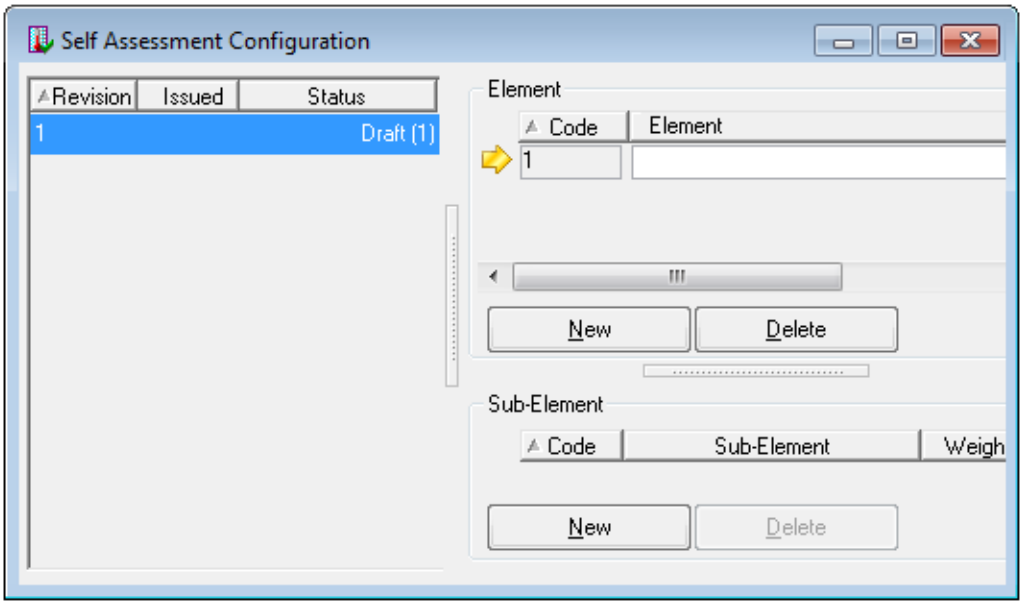
Self Assessment Configurations are lists of assessment criteria. They are divided into categories called **Elements**and **Sub-Elements** .**Key Performance Indicators (KPIs)**sharing similar concepts are grouped into the sub-elements. Each combination of elements, sub-elements and KPIs forms a revision of the configuration, against which users will perform the actual self assessments, by scoring the KPIs and calculating the results.

You can create a new configuration revision or change an existing one whenever it is necessary.

Note: Self assessment configurations and the assessments themselves are work flow controlled: defined work flows are necessary to set up and use self assessments. The statuses in the Self Assessment Statistics filter are hardcoded to 'Active' and 'Obsolete' and so we recommend incorporating these terms as the user defined statuses when defining the 'SA Configuration' and 'Self Assessment' work flows.

To create the first self assessment configuration revision:

1. Go to **Tools > Configuration > Self Assessment**. Click **Create Entry** in the filter:



2. Create a list of elements. See "Adding a Self Assessment Element" on the facing page.
3. Create a list of sub-elements for each element. See "Adding a Sub Element" on the facing page.
4. Define KPIs for each sub-element. See "Adding a KPI" on page 74.

[1]Self Assessment is a separate module and as such requires its own license key to activate and use it.

5. When the configuration is complete, issue it using the work flow. See "Issuing a Self Assessment Configuration" on page 77.
6. The configuration revision will become available in the Self Assessment window the next time a user performs a self assessment. See "Performing Self Assessments" on page 77.

Later, when you revise a self assessment configuration(s), you can copy all the information from a previous one by selecting **Options > Copy Revision**.

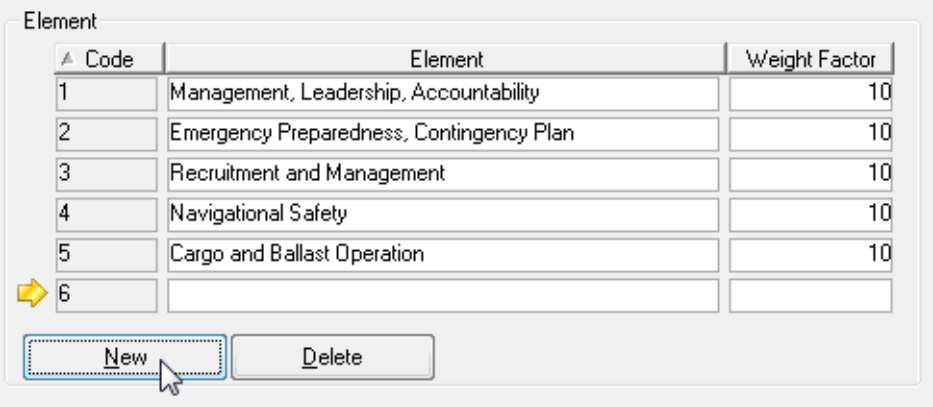
Adding a Self Assessment Element

Each self assessment 'element' is like a category relating to a particular aspect of company operation, such as crew management or emergency procedures.

> **EXAMPLE**
>
> Two elements in the TMSA class include 'Management, Leadership and Accountability' and 'Emergency Preparedness and Contingency Planning'.

To add a new element:

1. Select a configuration revision on the left side of the window.
2. Click **New** in the 'Element' section to get a blank line:

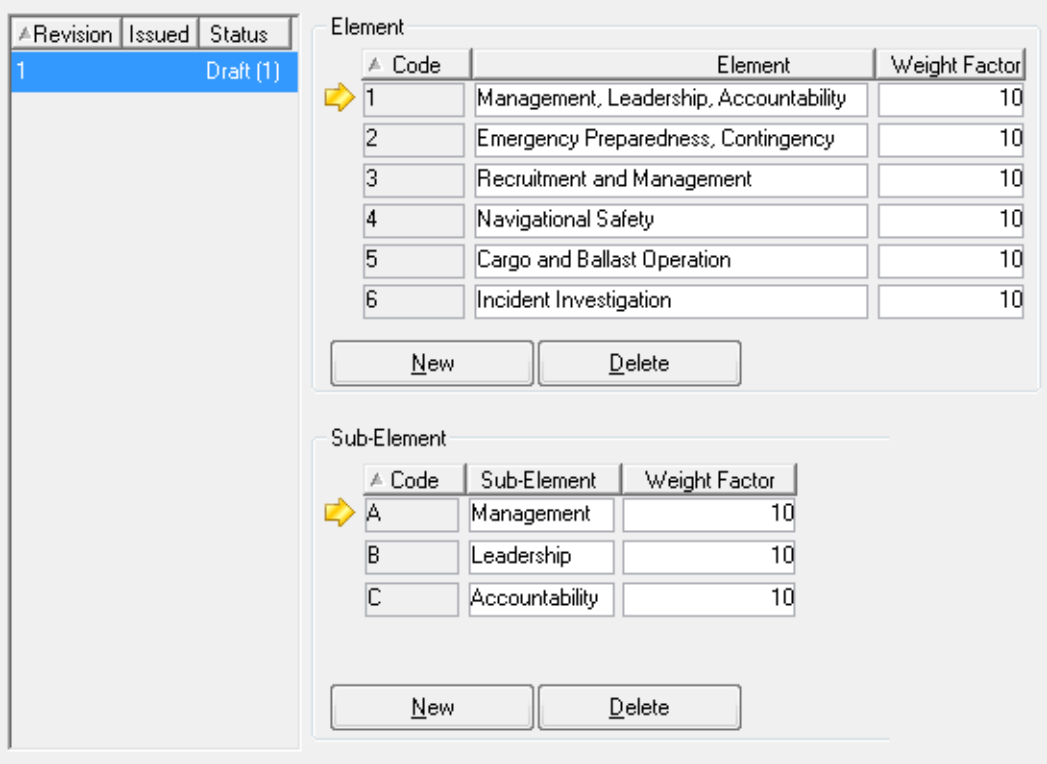


3. Enter a name and a **Weight Factor**: a percentage of value the element has in comparison to the others.
4. Add as many elements as needed.
5. **Save** the list. Go on to add sub-elements.

Adding a Sub Element

Further categorise the self assessment configuration with sub-elements:

1. Select a configuration revision on the left side of the window.
2. Select an element.
3. Click **New** in the 'Sub-Element' section to get a blank line:



4. Enter a name and a **Weight Factor**: a percentage of value the sub-element has in comparison to the others.
5. Add as many sub-elements to the selected element as required.
6. Select the next element and add a list of sub-elements to it, and so on.
7. **Save** the list. Go on to add KPIs.

> **Tip**
>
> The coding sequence of the sub-elements within an element can either start with A on the first sub-element and B, C, etc. to follow; or, start with no code on the first sub-element and A, B, C etc. to follow after that. The coding sequence in use is determined by the setting of the system parameter 'Sub Element Start Code'.

Adding a KPI

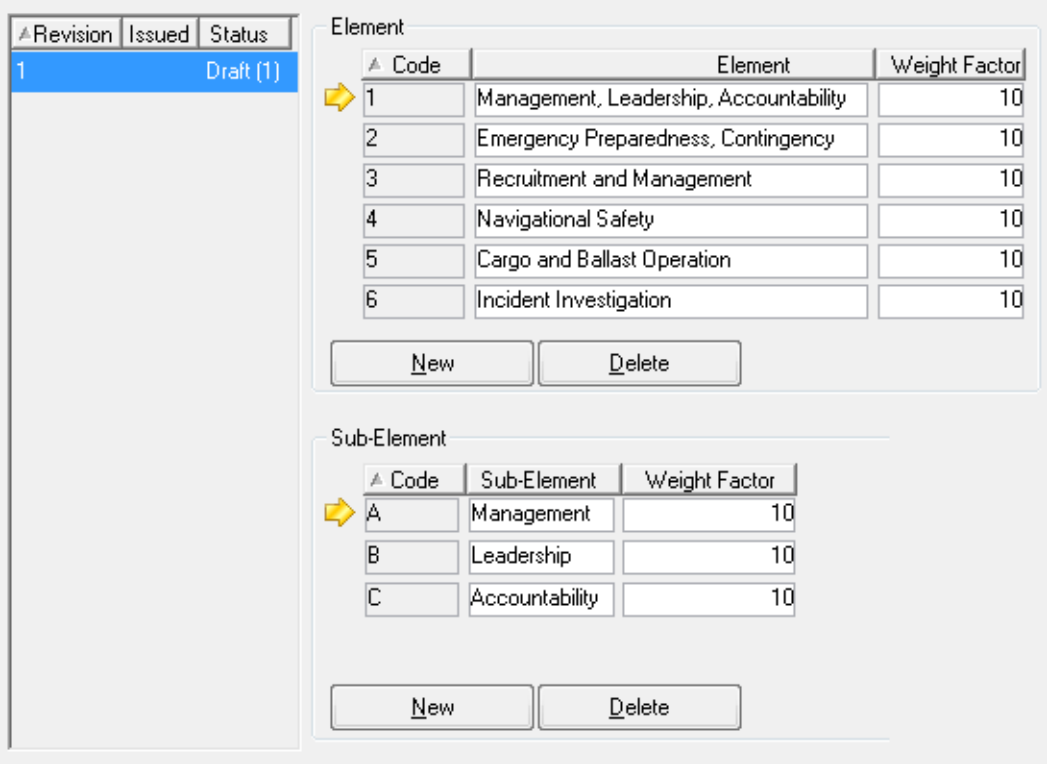
Key Performance Indicators (KPIs) are brief descriptions of the minimal expectations for each element.

> **Example**
>
> *'Management commitment is clearly defined in documentation that includes mission statements, policies and procedures.'*
>
> and
>
> *'All company personnel can describe what safety and environmental excellence means in practice.'*

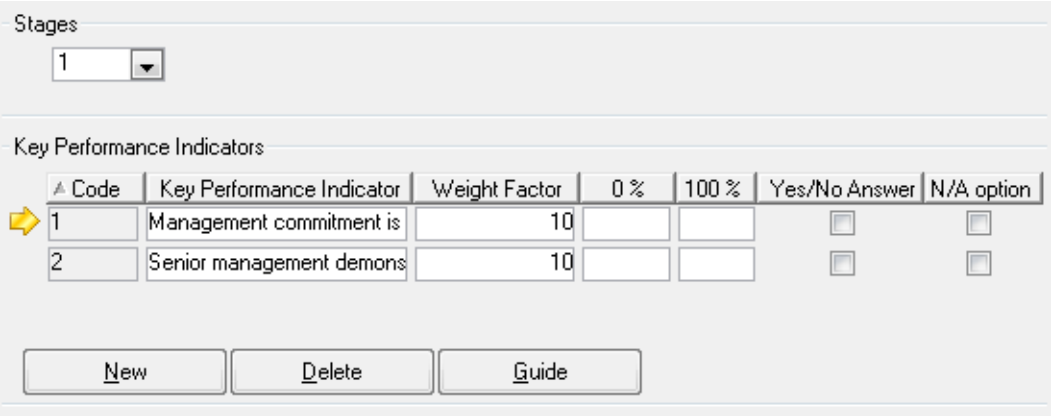
KPIs sharing similar concepts are grouped into the sub-elements. Keep in mind that there are four **stages** in self assessment. While the elements and sub-elements for each stage are the same, the KPIs you enter at each stage should differ according to what is acceptable at that stage.

To add a new KPI:

1. Select a configuration revision on the left side of the window.
2. Select an element and then a sub-element:



3. Select a **Stage**[1].
4. Click **New** in the 'Key Performance Indicators' section to get a blank line.
5. Enter the KPI description and a **Weight Factor**- a percentage of value the KPI has in comparison to the others:



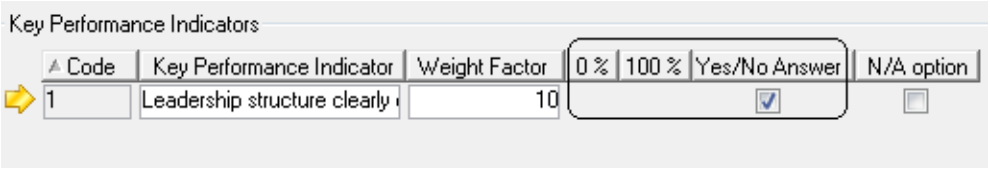
6. There are different ways users can provide answers to KPIs during the self assessment process: these options are defined on the configuration. You can also provide guidelines to the end user at this point. See the following sections for more information.
7. Add as many KPIs to the selected sub-element as required.
8. Select the next sub-element and add a list of KPIs to it.
9. When you are finished with one element and all of its sub-elements, select the next element and repeat the process.
10. **Save** the list.

[1]The elements and sub-elements remain the same at each stage, but the KPIs within them should differ. Make sure you select the correct stage before adding KPIs to it.

Answering the KPI: Yes/No or Percentages

There are two ways users can provide an answer to a KPI when performing a self assessment: with a 'Yes' or 'No'; or, with a percentage value.

Yes/No Answer. When you flag this checkbox, the **0%** and **100%** fields are deactivated:



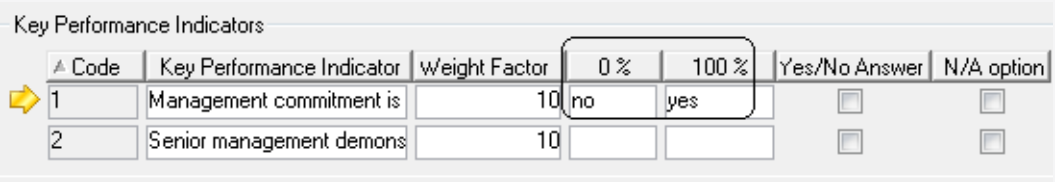
When assessing this KPI the only accepted answer from the end user will be 'Yes' or 'No'.

Yes and No need to be converted to a percentage for AMOS to calculate the overall score with. This conversion is handled by the system parameter 'Yes No Score' which defines whether answering 'Yes' results in a score of 0% or a score of 100%.

Percentage Values. Rather than answering 'Yes' or 'No' to a KPI, end users can provide a score using percentages. The **0%** and **100 %** fields are for entering guidelines or boundaries which act as a suggestion to help the user determine an accurate score.

EXAMPLE

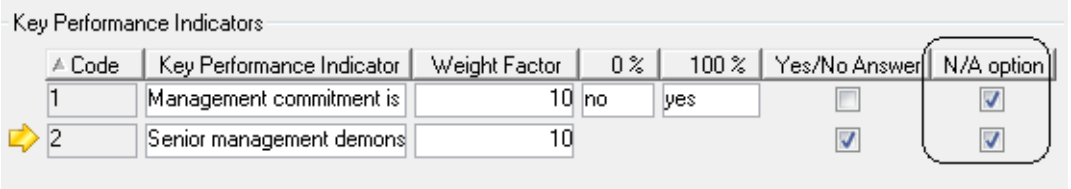
You enter boundaries as shown here:



During assessment, if the end user finds the company fully complies with the KPI (Yes), he/she enters a score of 100%. If the company does not comply at all the with KPI (No) the user enters a score of 0%. Finding partial compliance, the user enters 50% or a score which reflects the amount of improvement needed.

Allowing for Non Applicable KPIs

Checking the **N/A Option** on a KPI gives the end user the option to flag this KPI as not applicable. You can flag it regardless of the set answer type:



When the box is flagged and a user registers N/A on this KPI during the assessment, AMOS will prompt for a reason.

'N/A' needs to be converted to a percentage for AMOS to calculate the overall score with. This conversion is handled by the system parameter 'Not Applicable Score' which defines whether answering 'N/A' results in a percentage value of 0% or 100%.

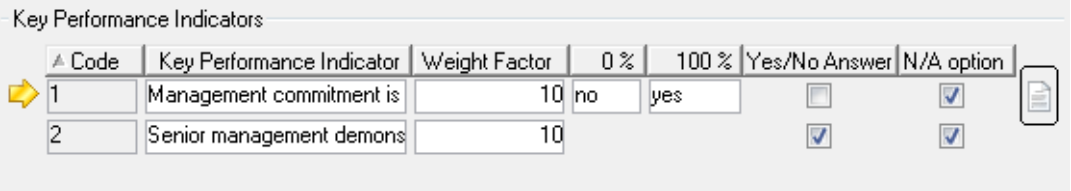
Adding Best Practice Guidelines

You can add a 'Best Practice Guideline' to any KPI, providing the highest standard for comparison. This is a description of the best possible practice as defined by the industry that would ensure a score of 100 %

on the selected KPI.

To add a best practice guideline:

1. Click the **Guide** button in the KPI section or go to **Options > KPI Best Practice Guide Line**.
2. Enter the guideline text in the Full Description window and click **OK** to return to the main window.
3. The note icon next to the KPI indicates that guidelines are present:



Issuing a Self Assessment Configuration

Self assessment configuration revisions are work flow[1] controlled. Only one 'Active' and one 'Draft' revision can exist at a time, meaning that activating a new draft renders previously active revisions obsolete.

When configuration revision is ready, use the go to **Options > Work Flow** to activate it and make it available in the Self Assessment window the next time a user performs a self assessment.

You can create a new configuration revision or change an existing one whenever it is necessary.

Note: Self assessment configurations and the assessments themselves are work flow controlled: defined work flows are necessary to set up and use self assessments. The statuses in the Self Assessment Statistics filter are hardcoded to 'Active' and 'Obsolete' and so we recommend incorporating these terms as the user defined statuses when defining the 'SA Configuration' and 'Self Assessment' work flows.

Performing Self Assessments

To perform a self assessment you evaluate each KPI in the self assessment configuration according to the present stage, and then compare the latest assessment against previous results to evaluate progress.

There are several reasons for performing a new self-assessment revision:

- It is the first time you have incorporated the Self Assessment module at an installation
- The standards have been changed and you need to re-evaluate against newer or more strict criteria
- You perform assessments at regular intervals
- You have changed the work flow status of a previous assessment and so a new one is now required

Self assessments are work flow controlled: you can continue to open the same self assessment revision at its initial status and add to it, until it is finished and ready to be scored and issued with the work flow. Previously completed assessments are stored as separate revisions and retained for historical comparison.

[1] Available work flow actions and statuses depend on your own work flow configurations. Those listed here are examples using the pre-configured work flow and so may differ from your own.

Creating a New Assessment

Self assessments are work flow controlled[1] and only one draft and one active revision can exist at a time: it is only possible to create a new draft if the previous revision is currently active or obsolete.

To start a new assessment:

1. Go to **Assessment > Self Assessment**.

   If this is the first assessment click **Create Entry** in the filter. If other assessments already exist, click **New** when the window opens.

2. The left side contains the hierarchy of assessment revisions. Click on a folder icon to expand the list of assessment elements/sub-elements.
3. Select an element to see the KPIs it contains on the right side of the window.
4. Score the KPIs. See "Scoring a Self Assessment" below.

Continuing an Existing Self Assessment

If you do not complete a self assessment revision entirely in one session, save it at its initial work flow status. At any time, you can continue the same assessment by simply opening the record and continuing to score it as usual.

If an assessment revision is currently in progress, open the Self Assessment window to continue with it:

- Expand the folder in the hierarchy to display the list of elements it contains.
- Select any element to open it in the General tab and display the associated KPIs and the scoring, if that element has been scored already.

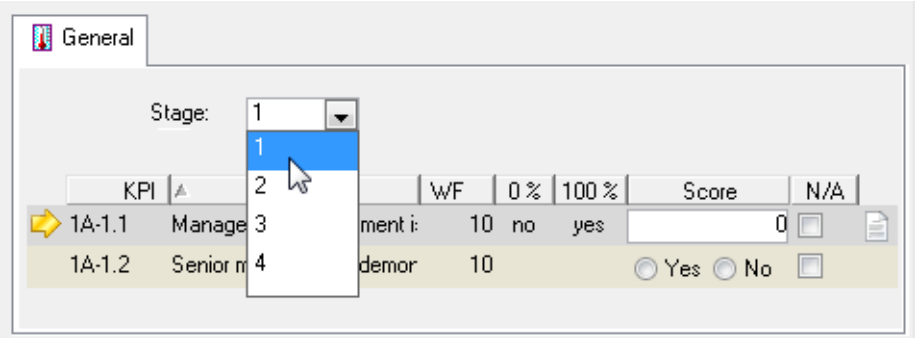
When the self assessment is complete, update its work flow status accordingly.

Scoring a Self Assessment

Each self assessment revision is evaluated against the most recently issued self assessment configuration. Meeting the KPIs in each element with a 100% score indicates that your company is performing at the top standards demanded by the industry. To receive 100% on an element, you must receive 100% on each KPI that belongs to it.

To score a self assessment:

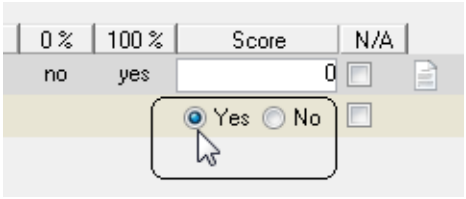
1. Go to **Assessment > Self Assessment**.
2. Select an existing assessment revision or create a new one. See .
3. Expand the revision in the hierarchy and select an element.
4. Remember that the KPIs differ from one stage to the next. Select a **Stage**to list the KPIs for the selected element:



[1]Available work flow actions and statuses depend on your own work flow configurations. Those listed here are examples using the pre-configured work flow and so may differ from your own.

5. Select a KPI. Enter a **Score** that you feel is appropriate and reflects the level your company is at. There are two ways to provide a score on a KPI[1]:

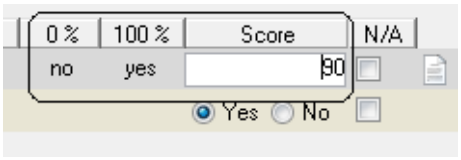
   Yes/No[2]. Click the answer:

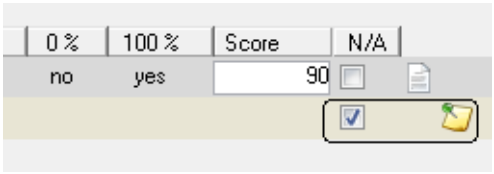
   Or,

   Percentage Value. Provide a score using percentages.

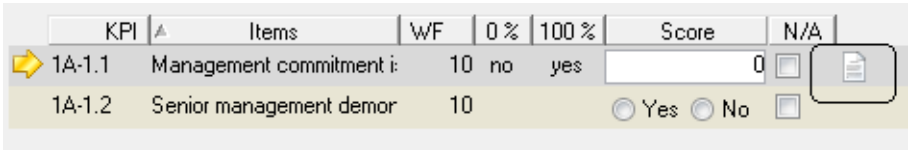
   In this case **0%** and **100 %** are boundaries which act as a suggestion to help determine an accurate score. For example, not meeting the standard at all would result in 0% and meeting it exactly would result in 100%:

6. Some KPIs might accept a 'non-applicable' answer. If you flag **N/A**, a Details page will open and you will need to enter a reason:

   A KPI may have some **Best Practice Guide Lines** defined against it. These are descriptions of the best possible practice needed to ensure a score of 100% for that KPI and are indicated by the note icon:

   To read these guidelines select 'KPI Best Practice Guide Line' from the Options or right-click menu.

7. Go to **Options > Remarks** to add any comments or explanations for the score you provided on any KPI.
8. Progress through the elements entering scores for each KPI. **Save** as you go.
9. When an assessment is complete, update its work flow status at **Options > Work Flow**.

Self Assessment Statistics

To see the current calculated scoring on an assessment:

---

[1]The type of answer required on each KPI is defined in the self assessment configuration.

[2]AMOS converts 'Yes' and 'No' to a percentage in order to calculate the overall score. This conversion is handled by the system parameter 'Yes No Score' which defines whether answering 'Yes' results in a score of 0% or a score of 100%.

1. Go to **Assessment > Self Assessment Statistics**.
2. Select an assessment in the hierarchy.

Graphs

The Graphs tab shows one graph for each of the four TMSA stages:

- The horizontal axes display the number of elements in each stage.
- The vertical axes display the percentages 0 to 100.

Select an assessment revision in the hierarchy to visualise the score for each element at every stage (as evaluated so far).

Elements

The Elements tab contains a chart displaying the scoring for all elements in the selected assessment. Each element is listed with its score at each stage. The **Score** shows the total score for each element across the stages and the average score at each stage and overall.

The graph on the left shows the stage each element is at: a stage is completed only when you receive a score of 100. So to reach stage 3, the scores for stages 1, 2 and 3 must be 100.The graph would then display a bar for that element reaching to stage 3.

The graph on the right displays the average score of all elements combined, at each stage.

Sub-Elements

The Sub-Elements tab contains a chart displaying the scoring for all sub-elements in the selected assessment. Each sub-element is listed with its score at each stage.

The **Score** shows the total score for each sub-element across the stages.

CHAPTER 4

Performance Evaluation

You probably work with a lot of different vendors. You don't want to waste time ordering from vendors who consistently fail to meet your expectations; you also probably don't want to spend a lot of time manually evaluating and re-evaluating each vendor, selecting QA grades at random and trying to keep track of everyone's results.

Using the Performance Evaluation module in AMOS is an easy way to tailor evaluations to review the information that's most important to you - on-time deliveries, quality of goods and services, reliability, and so forth - and then to collect, analyse and store this data. AMOS will automatically retrieve the information you're looking for from the system and calculate a resulting QA grade (selecting from the QA grades you've already got in use) for each vendor you evaluate. Eventual results will be stored in the Address register; you can also opt to have AMOS automatically update QA grades for you, and any poorly performing vendors will be blacklisted and automatically unavailable for selection on order forms.

This chapter includes the following topics:

Setting Up an Evaluation Process 82
Configuring a Scorecard 84
Evaluation Definitions 94
Carrying Out Evaluations 100

SpecTec

Setting Up an Evaluation Process

Note: The focus of this documentation, for demonstration purposes, is on vendor evaluation. However, it's possible to evaluate any of your business partners by address type - agents, forwarders, makers and so on - using the AMOS Performance Evaluation module.

To use the Performance Evaluation model, prepare your relevant data in advance. AMOS will draw information about each vendor from the purchase forms already in your system, and so to configure your evaluation scorecards you need to have an established ordering history with a vendor, and determine the criteria to evaluate.

There are two ways to gather and assess information for evaluation in AMOS: with an *Evaluation Form*, or with an *Evaluation Scorecard*. Most assessments you carry out would use one or the other, but not both.

E X A M P L E

You've got a new vendor you've never ordered from before. Since you've never ordered from this vendor before you have no data for AMOS to automatically retrieve and calculate a QA grade with. But still, you want to gather some basic information about this vendor before you place an order. So this first time around, you use an *evaluation form* to pick up some essential details like number of employees, qualifications, what they supply, how many offices they have, and so on. You decide to go ahead and start ordering from the vendor.

When a year goes by, you include this vendor together with the rest of the vendors you regularly order from in an automatic yearly evaluation. In this case, you use an *evaluation scorecard* you've already configured. AMOS retrieves the data according to scorecard criteria and calculates QA grades.

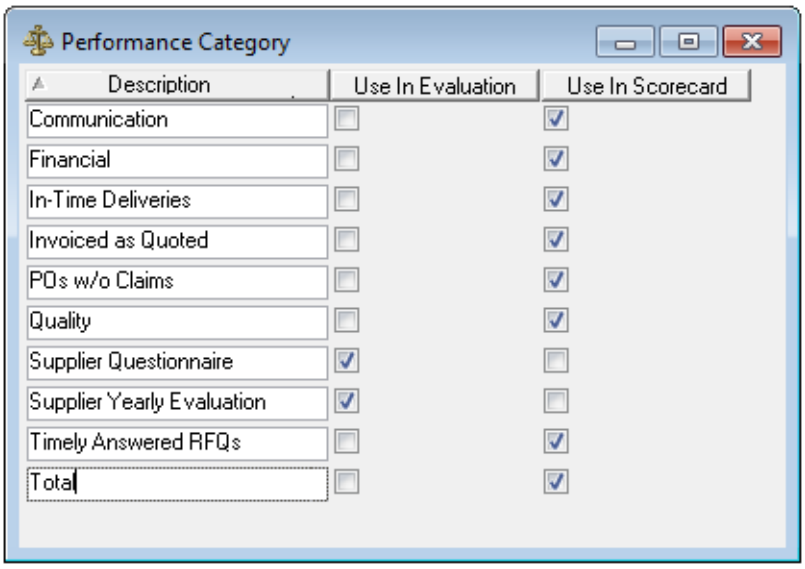
To get set up, first make sure that you have QA Grades defined in the register at **File > Open Register >General > QA Grades**. Then:

1. Define evaluation categories. See "Defining Evaluation Categories" below.
2. Create an evaluation form, and configure a scorecard. See "Creating Evaluation Forms" on the facing page and "Configuring a Scorecard" on page 84.
3. Create evaluation definitions - that is, decide who to evaluate and set up a schedule for assessment. See "Evaluation Definitions" on page 94.
4. Carry out evaluations. See "Carrying Out Evaluations" on page 100.

Defining Evaluation Categories

There are two uses for performance categories:

- you can categorise evaluations in the Performance Evaluation window - for example, you might decide to group evaluations into those based on evaluation forms and those based on evaluation scorecards, so you create two categories like *Supplier Questionnaire* and *Supplier Yearly Evaluation* as shown below, and flag 'Use in Evaluation' on each one.
- they are the assessment criteria you will add to your evaluation scorecards. In this case, you'd flag 'Use in Scorecard' for each one.



To add categories:

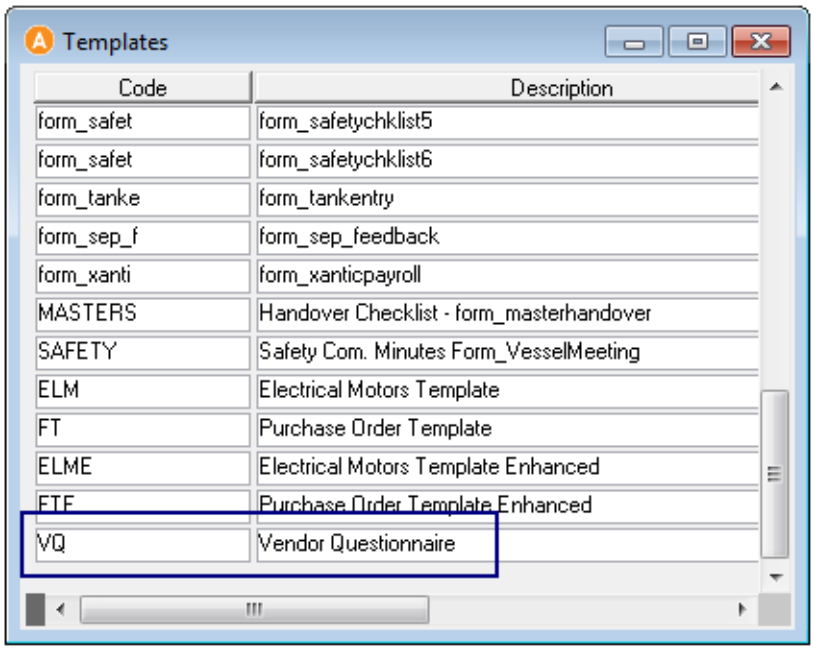
1. Go to **File > Open Register > General > Evaluation Category**.
2. Click **New** and add a **Description**.
3. The two checkboxes are flagged by default. Leave them both flagged, or unflag either one if you won't use the category on a scorecard/in an evaluation.
4. **Save** the register.

Creating Evaluation Forms

You've got a new vendor you've never ordered from before. This means you have no data for AMOS to automatically retrieve and calculate a QA grade with, so you want to gather some basic information about this vendor before placing an order. You can create an *evaluation form* to pick up some essential details like number of employees, qualifications, what they supply, how many offices they have, and so on.

An evaluation form is actually a template, like any other in AMOS, so that means you can create it as a PowerBuilder datawindow, InfoPath Form, or an Excel sheet.

1. Determine the questions you need to ask the vendor and the information you want to get.
2. Create a questionnaire outside of AMOS.
3. Now, register your new form in AMOS as a template. Go to **File > Open Register > General > Templates**. Click **New** and create a new entry.



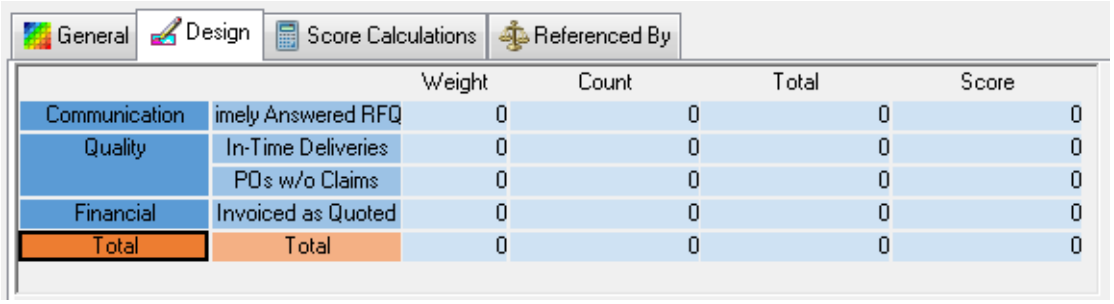
Now your form is available like any other template in AMOS.

4. Create an evaluation definition and link this form to it. See "Definitions - Evaluation Forms" on page 97.
5. Now, whenever you deal with a new vendor, generate an evaluation first. See "Generating Evaluations" on page 99. Then have them fill out the questionnaire. See "Evaluating with a Form" on page 102.

Configuring a Scorecard

To configure a scorecard, think about what you need to evaluate for each vendor: things like on-time deliveries, quality of goods and services, reliability, and so on.

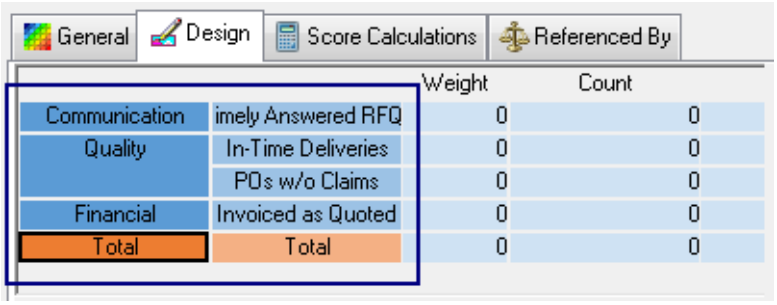
When you're finished, you'll have a matrix that looks something like this:



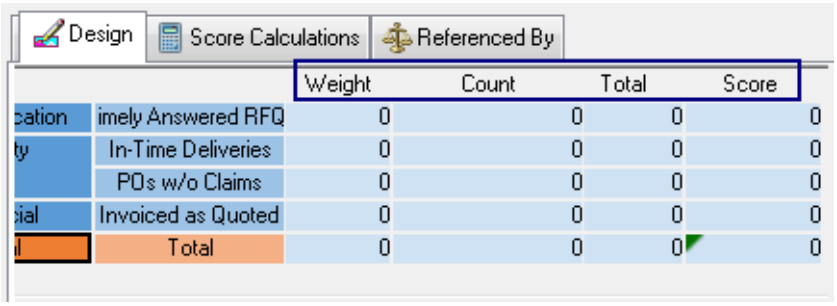
Scorecards are highly configurable and can be very complex, but for this example we'll go over the basic components shown in the basic scorecard above, and then see how it was configured, step-by-step.

First, the three main elements that make up a scorecard:

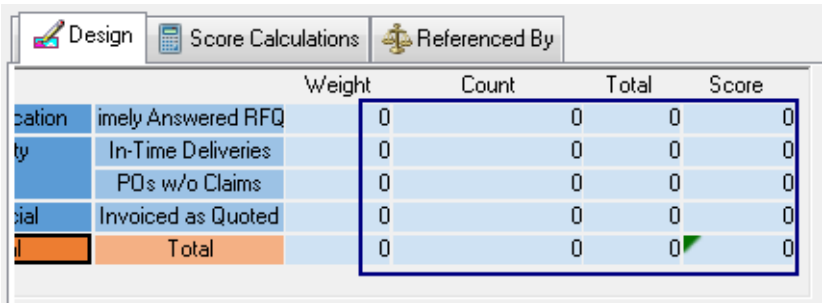
- **Categories**. On the left side of the matrix. Categories are the criteria you want AMOS to return data on, and can include things like on-time deliveries, quality of goods and services, reliability and so on. You can arrange categories into a hierarchy, grouping similar ones together under a parent, as shown here, where 'In-Time Deliveries' and 'POs w/o Claims' are grouped under the parent 'Quality'.



- **Options**. Across the top of the matrix. Options are the parameters defining the information retrieved for any category, such as a count, total, or score. For example, you want to gather some information about a vendor's response time when you send him quotations, so you've added the category 'Timely Answered RFQs' to your matrix. You then define some options: 'Total' to retrieve the total number of quotations you sent to him (within a period you'll set later on), and 'Count' to retrieve the number of exceptions - that is, quotations he never did respond to. Another possible option to consider is 'Weight'. You want AMOS to retrieve values for several categories, but should every category have an equal impact on the resulting score? Adding a 'Weight' option lets you define the importance for each category in your scorecard.

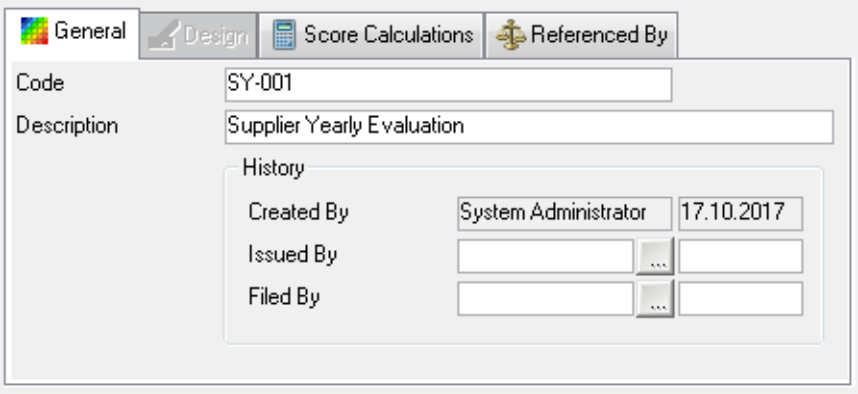


- **Cells**. The intersections in the matrix, where you'll define calculations for AMOS to use when collecting the data.



Let's configure the scorecard shown in the illustrations above. We'll start by creating a new matrix and adding categories:

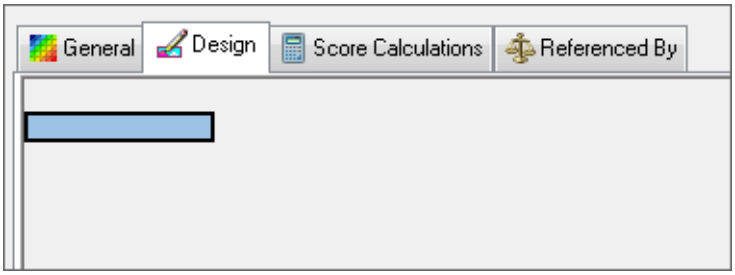
1. Go to **Assessment > Evaluation Scorecard**.
2. Click **New**, enter a **Code** and **Description** and click **Save**.



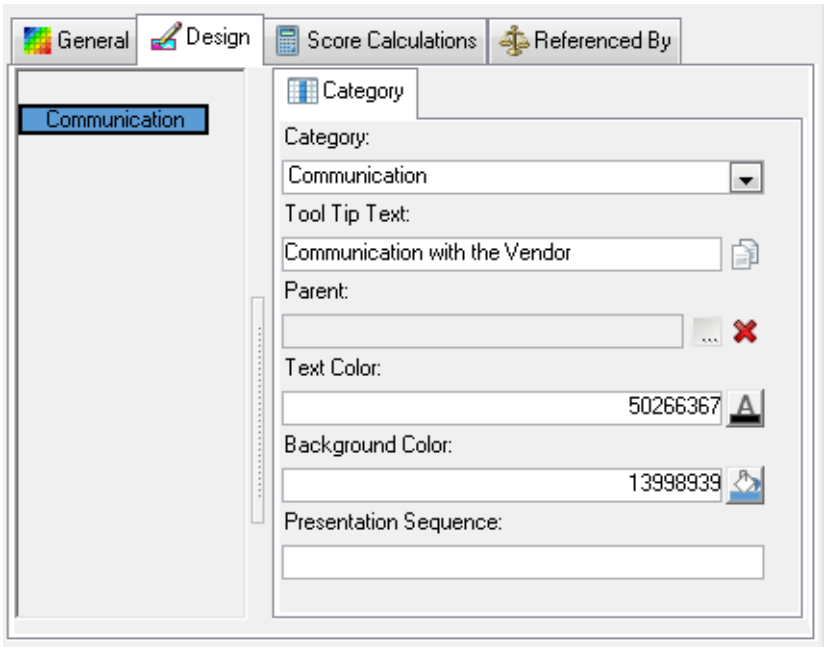
Tip

Go to **Options > Explanation** any time to see an example matrix. **Select Options > Explanation** again to hide it and return to your own work.

3. Open the Design tab. It will be completely empty.
4. Go to **Options > Add Category**. You'll get a blank slot on the left side:



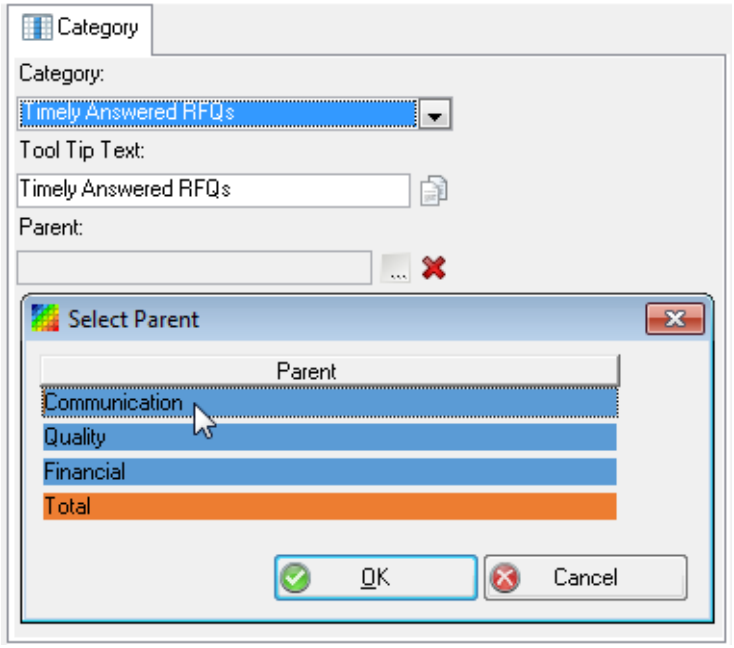
The details for the selected slot appear on the right. Select a **Category** from the register:



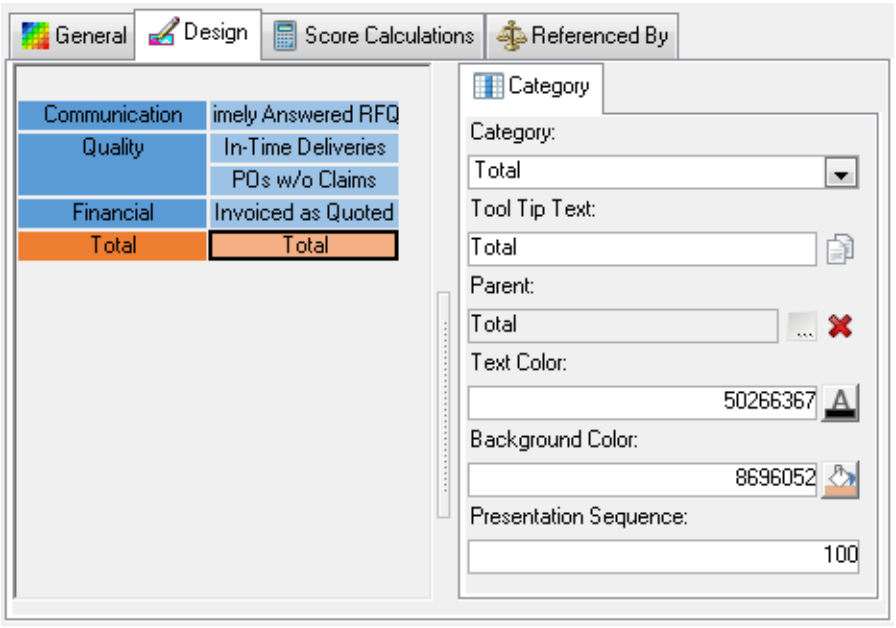
- Enter **Tool Tip Text** or click the icon to copy the **Category** name.
- Change the **Text Color** and **Background Color** if you want.

5. Continue to add categories from the Options menu. As you go:

Use the **Parent** lookup to build a hierarchy. For example, you've added the category 'Timely Answered RFQs' and want to group it under the parent 'Communication':



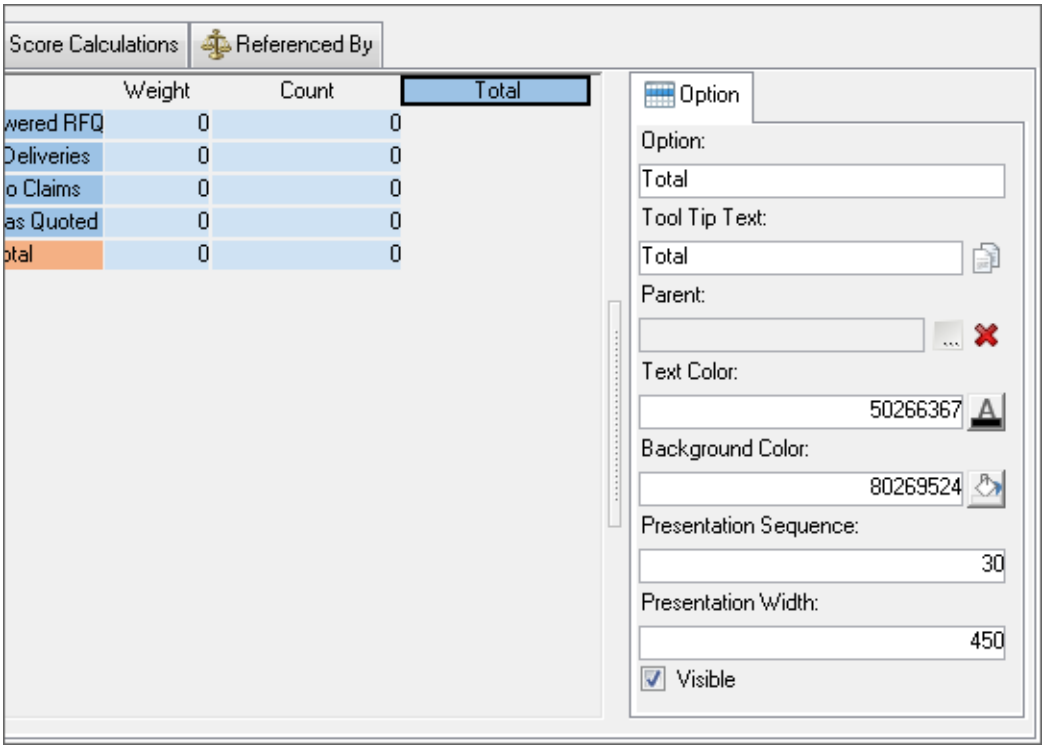
Enter a number in the **Presentation Sequence** field if you need to reorder your category structure:



6. **Save** the matrix so far.

Next, carry on to add options to the top of the matrix:

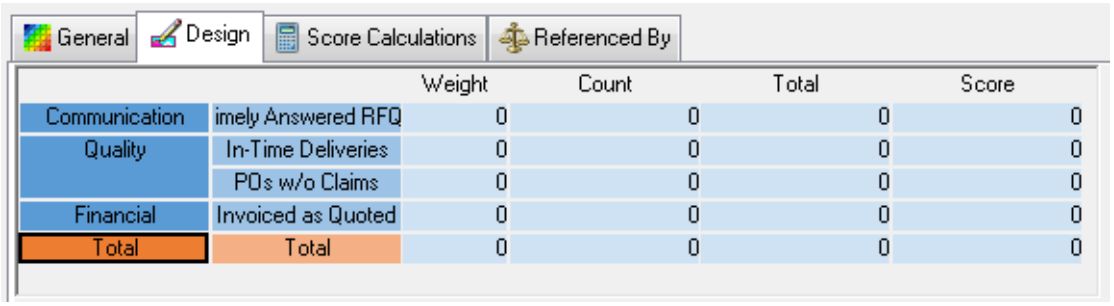
1. Go to **Options > Add Option**. Again, the details for the selected option display on the right side.
2. The **Option** name is free-text:



- As when you configured your categories, use the fields on the right to define the appearance for each option.
- You can also adjust the **Presentation Width** on each column.
- Unflag the **Visible** checkbox if you want to hide the option and its entire column.

  This hides the related options and values from the end users performing evaluations. In this example you might hide the 'Count' and 'Total' option columns. You need AMOS to calculate these values to work out the 'Score' - but to keep the matrix as visibly straightforward as possible, you opt to hide those two columns from view. The end user will just see the 'Weight' and 'Score' columns.

3. Click **Save**, and the cells will appear beneath each option intersecting with your categories and forming your matrix:



You've defined the criteria you want to evaluate - now, tell AMOS how to retrieve those values by defining a formula on each cell in turn:

1. Select a cell. For each one you will need to define a:
   - **Format**. A pre-defined mask to show calculated values - for example, the mask ##0% will show the value '5' as '500%'. Or choose 'General' to show cell's value exactly as entered.
   - **Expression Type**. How AMOS should retrieve a cell's value - using a 'Fixed Value' you enter; an SQL select statement or PB function you define; from another cell in the matrix; or an end user's input.
   - **Expression**. The formula, expression or statement AMOS should use.

Tip

Use **Options > Cell Copy**, **Paste** and **Replace** to duplicate cells with the same formula and properties into other columns.

2. Choose a **Format** and **Expression Type** for the selected cell, and define an **Expression**.

Note: Make sure any SQL statement you define includes these important variables:

'PerformanceEvaluatationAddr.AddressID'

'PerformanceEvaluation.PeriodStartDate'

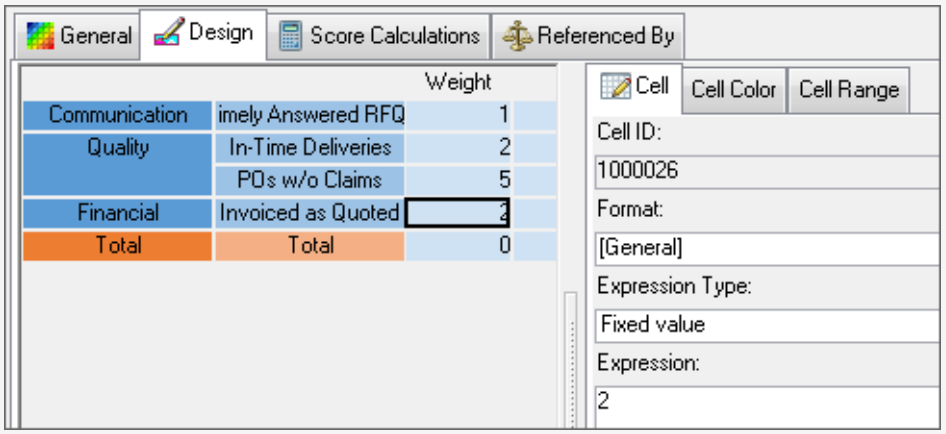
'PerformanceEvaluation.PeriodEndDate'

Later on, you'll create *evaluation definitions* which link scorecards and address/types together, and generate evaluations from the defintions. When AMOS performs the calculations during an evaluation, these variables refer to the address and timeframe defined on the generated evaluation.

See the following examples.

EXAMPLE

Set up the 'Weight' column. If you look at the weight of all your criteria added together as 100%, define the weight each category would impact the score individually. Select a cell in the column and choose 'General' from the **Format** drop-down and 'Fixed Value' from **Expression Type**. Enter the value as a number in the **Expression** box:

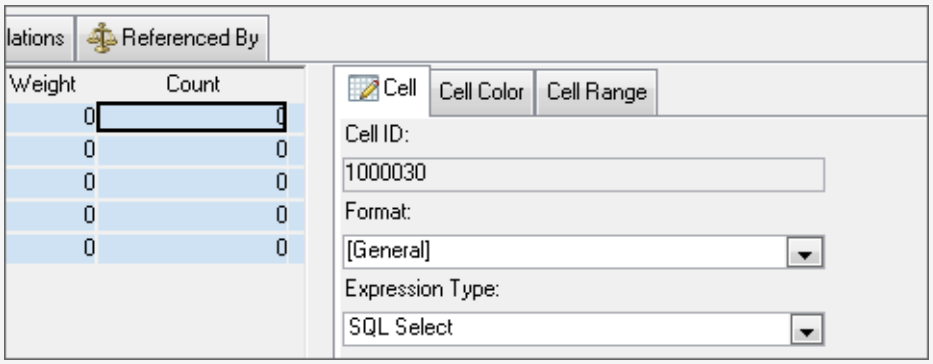


Repeat for each cell in the column.

When you get to the bottom cell in the column, intersecting with the 'Total' category, just set **Format** to 'General' and **Expression Type** to 'Fixed Value' and leave the cell itself empty.

EXAMPLE

Set up the 'Count' column. You want each cell to show the exceptions in every category (such as quotations without a received date, purchase orders with claims registered, deliveries which were not on time, and so on). Select the first cell in the column intersecting with the category 'Timely Answered RFQs'. Choose 'General' from the **Format** drop-down and 'SQL Select' from **Expression Type**:



Define an SQL statement in the **Expression** box:

```
SELECT count (*)
 FROM Quotation, PerformanceEvaluation, PerformanceEvaluationAddr
WHERE PerformanceEvaluation.PerformanceEvaluationID = :AMOS_PerformanceEvaluationID
  AND PerformanceEvaluation.PerformanceEvaluationID = PerformanceEvaluationAddr.PerformanceEvaluationID
  AND PerformanceEvaluationAddr.AddressID = Quotation.VendorID
  AND Quotation.ReceivedDate IS NULL
  AND Quotation.SentDate >= PerformanceEvaluation.PeriodStartDate
  AND Quotation.SentDate <= PerformanceEvaluation.PeriodEndDate
```

Do the same again for each category's cell in the 'Count' column. You can click the lookup button at the top right corner of the box for a list of functions and explanations.

When you get to the bottom cell in the column, intersecting with the 'Total' category, just set **Format** to 'General' and **Expression Type** to 'Fixed Value' and leave the cell itself empty.

EXAMPLE

Set up the 'Total' column. You want each cell to show the total number of records per category. Select each cell in the column in turn, and choose 'General' from the **Format** drop-down and 'SQL Select' from **Expression Type**. Define an SQL in the **Expression** box. The one shown below is for the first cell in the column intersecting with the category 'Timely Answered RFQs', and it will return the total number of quotations for the vendor under evaluation:

```
SELECT count (*)
 FROM Quotation, PerformanceEvaluation, PerformanceEvaluationAddr
WHERE PerformanceEvaluation.PerformanceEvaluationID = :AMOS_PerformanceEvaluationID
  AND PerformanceEvaluation.PerformanceEvaluationID = PerformanceEvaluationAddr.PerformanceEvaluationID
  AND PerformanceEvaluationAddr.AddressID = Quotation.VendorID
  AND Quotation.ReceivedDate IS NULL
  AND Quotation.SentDate >= PerformanceEvaluation.PeriodStartDate
  AND Quotation.SentDate <= PerformanceEvaluation.PeriodEndDate
```

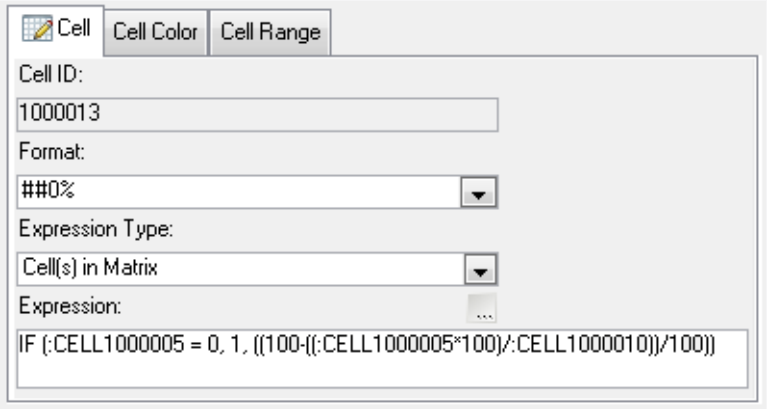
When you get to the bottom cell in the 'Total' column, intersecting with the 'Total' category, just set **Format** to 'General' and **Expression Type** to 'Fixed Value' and leave the cell itself empty.

EXAMPLE

Set up the 'Score' column. AMOS needs to know how to calculate the score for each category, and then overall. Select the first cell in the 'Score' column intersecting with the category 'Timely Answered RFQs'. Choose a mask from the **Format** drop-down: in this case you want the score to show as a 3 digit percentage so select ##0%. Set **Expression Type** to 'Cells in Matrix', since AMOS will use the values from the 'Count' and 'Total' column intersecting cells to calculate the category's score:

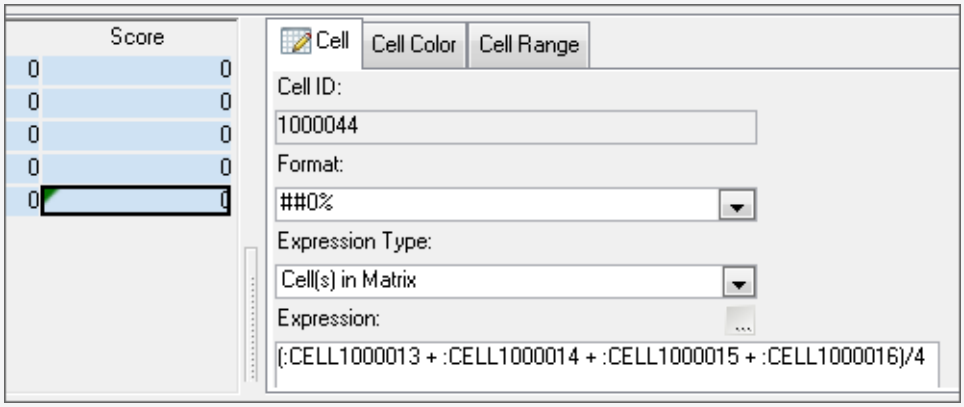
	Weight	Count	Total	Score
imely Answered RFQ	0	0	0	100%
In-Time Deliveries	0	0	0	100%
POs w/o Claims	0	0	0	100%
Invoiced as Quoted	0	0	0	100%
Total	0	0	0	0

Using the **Cell ID** of both of these cells you need to include in the formula, write an **Expression**:



You can see the selected cell's ID on the right side of the window, or in the tooltip when you hover over it. The easiest way to define your expression when the type is 'Cells in Matrix' is to select a cell and then go to **Options > AutoSum >**. The option you select (Sum, Average, Maximum, Minimum or Median) defines your expression using the values in all cells above the selected one.

For the last cell in the 'Score' column you want to get the total score overall, expressed as an average of all category score percentages:

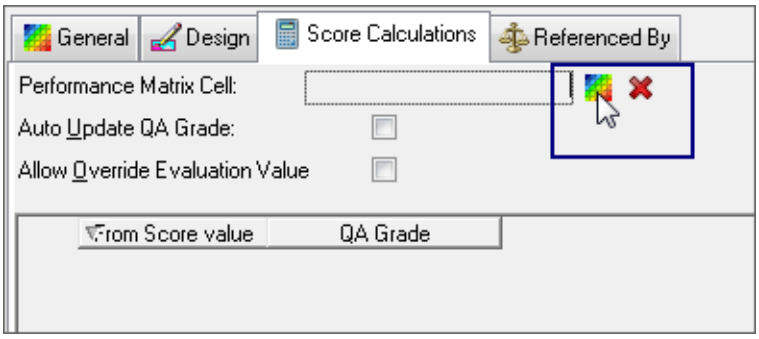


The value in this last cell will determine the vendor's QA Grade.

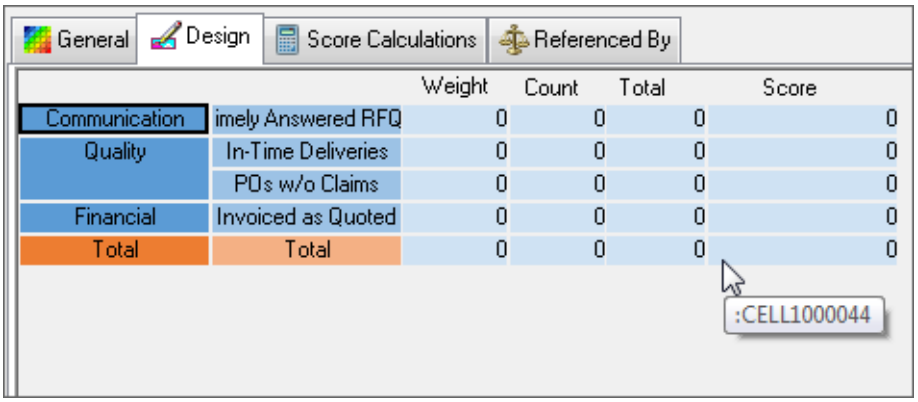
3. **Save** the scorecard matrix.

Finally, tell AMOS where to find the final score and what to do with it:

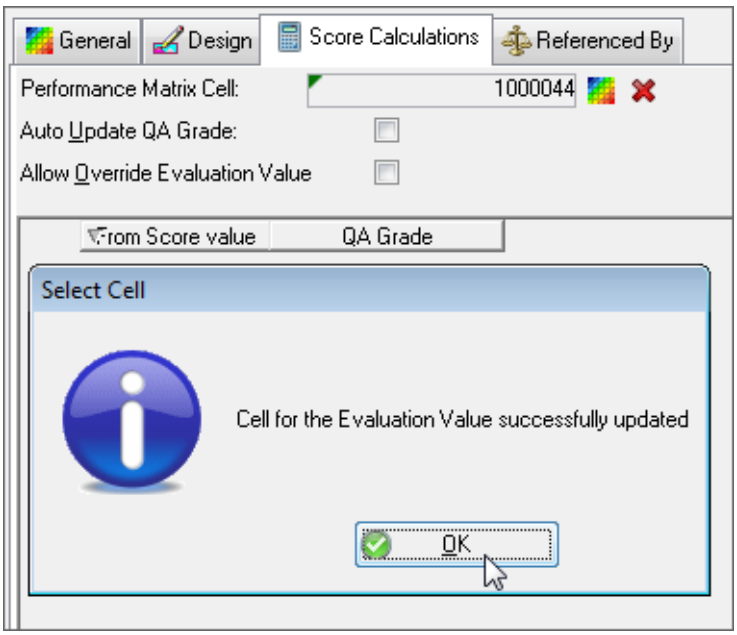
1. Open the Score Calculations tab and click the **Scorecard** button:



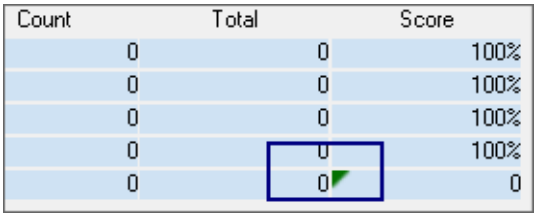
2. Click **OK** on the notice that opens and you'll return to your scorecard. Click on the cell with your final total here:



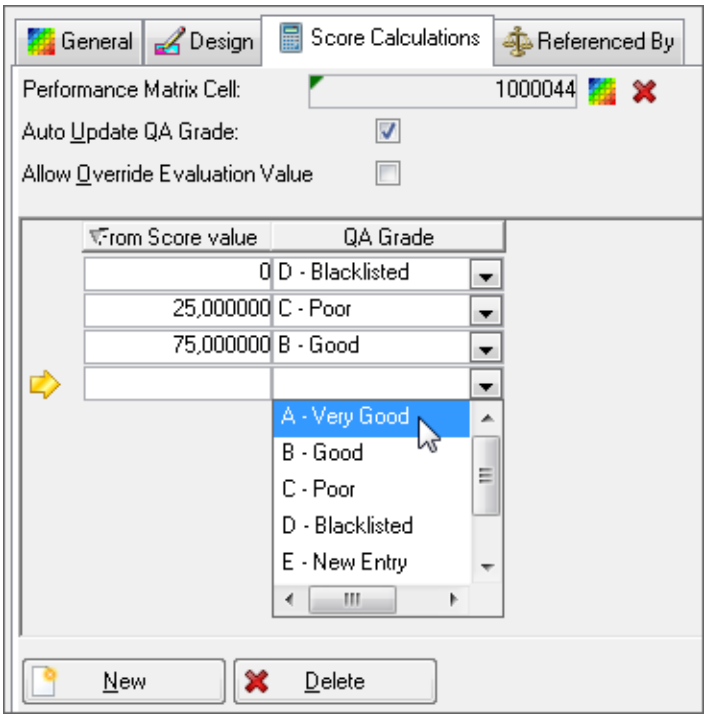
3. You'll return to the Score Calculations tab with that cell listed:



On the scorecard itself you'll see a green marker indicating which cell is tied to the QA grading:



4. Set the checkboxes if you want the results of an evaluation using this scorecard to automatically update the QA grade on the vendor for you, or not, and if you want users to be able to override the results.
5. Click the **New** button inside the tab. Lookup your **QA Grades** and assign a score to each one:



6. **Save** the scorecard. When it's ready for use, set the **Issued By** and **Date** fields on the General tab.

Some other useful things in the Performance Evaluation Scorecard window include:

- Go to **Options > Export** to save a finished matrix outside of AMOS as an xml file. Likewise, go to **Options > Import** to bring in a finished card you've already prepared, make changes if needed, and use it.
- The Referenced By tab shows you where your scorecard is in use. Scorecards can be linked to both Evaluation Definitions, and actual Evaluations.

Evaluation Definitions

Once you've got evaluation forms and scorecards ready, set up your 'Evaluation Definitions'. These definitions contain things like a schedule for repetitive evaluations; the method you'll use for each one; lists of addresses and address types to be evaluated; and some eventual visual statistics.

You'll make separate definitions for evaluations that use a scorecard and those that use a form.

EXAMPLE

You want to gather some basic information about new vendors you've never used before, so you create a definition using an *evaluation form* to pick up some essential details like number of employees, qualifications, what they supply, how many offices they have, and so on.

Every year, you want to review all the vendors you've used in the past year, so you create a definition using an *evaluation scorecard* you've already configured.

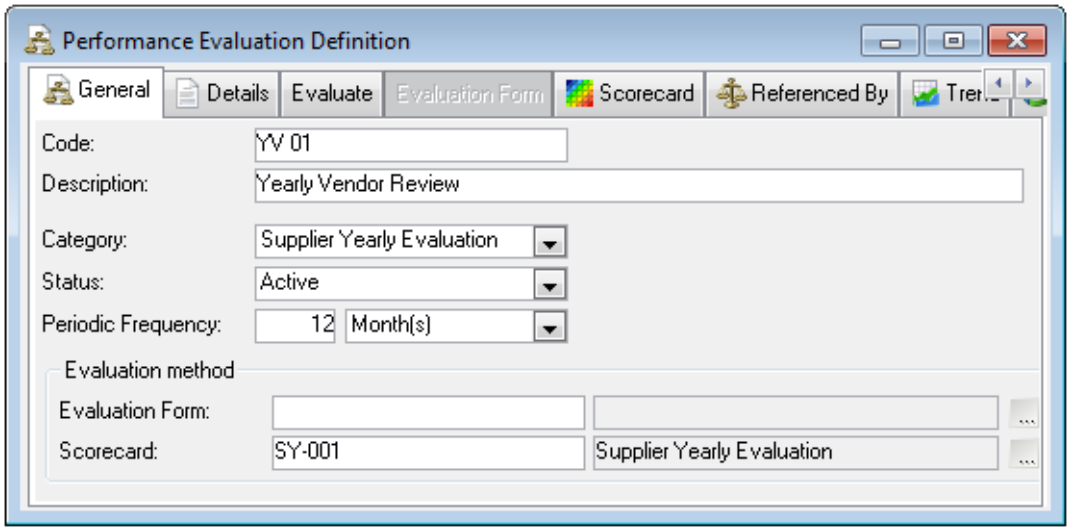
Some other useful things in the Performance Evaluation Definition window include:

- Go to **Options > Duplicate** to copy an existing evaluation definition, make changes, and save it as an new definition.
- The Scorecard tab shows the scorecard you selected on the General tab. It's read-only and only available when you selected a scorecard. If you select a form on the General tab, the Evaluation Form tab will be available instead, showing the form.
- The Referenced By tab shows existing evaluations linked to the selected definition.
- The Trend tab will eventually show all completed evaluations linked to the selected definition, with a line in the graph for each evaluated address/type. It shows you if an evaluated address/-type is improving over time, or otherwise. Click on any line to emphasise it.
- The Distribution tab considers the latest completed evaluation for each address/type included in the selected definition, taking each score and converting it into the matching QA grade. Then, all address/types in the definition are grouped into a pie chart by QA grade, demonstrating QA grade distribution in percentages.

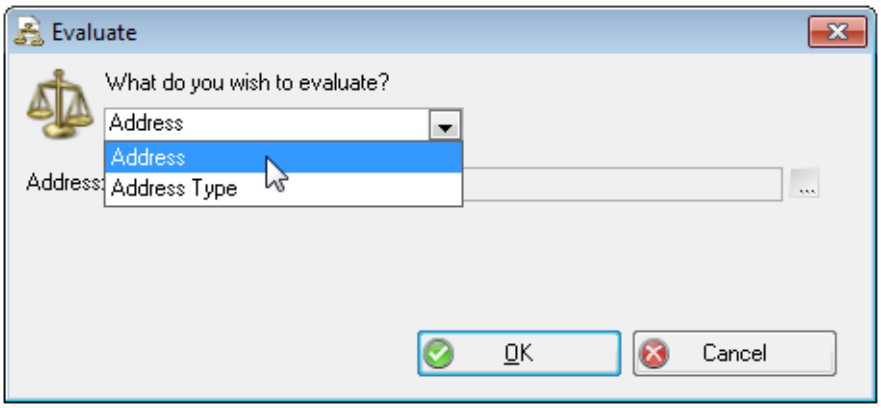
Definitions - Evaluation Scorecards

To create a definition for an evaluation using a scorecard:

1. Go to **Assessment > Evaluation Definition**.
2. Click **New** and enter a **Code** and **Description**.
3. Select a **Category** - in this case, 'Supplier Yearly Evaluation'.
4. Set a **Periodic Frequency** like '12 Months'.
5. Lookup your **Scorecard** under 'Evaluation Method':

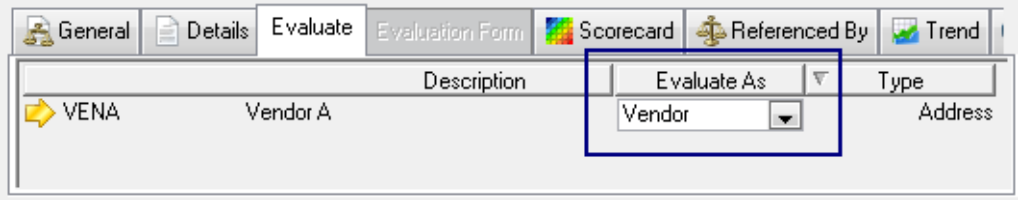


6. **Save** the definition.
7. Open the Evaluate tab and click **New**. You'll get a dialog with two options:

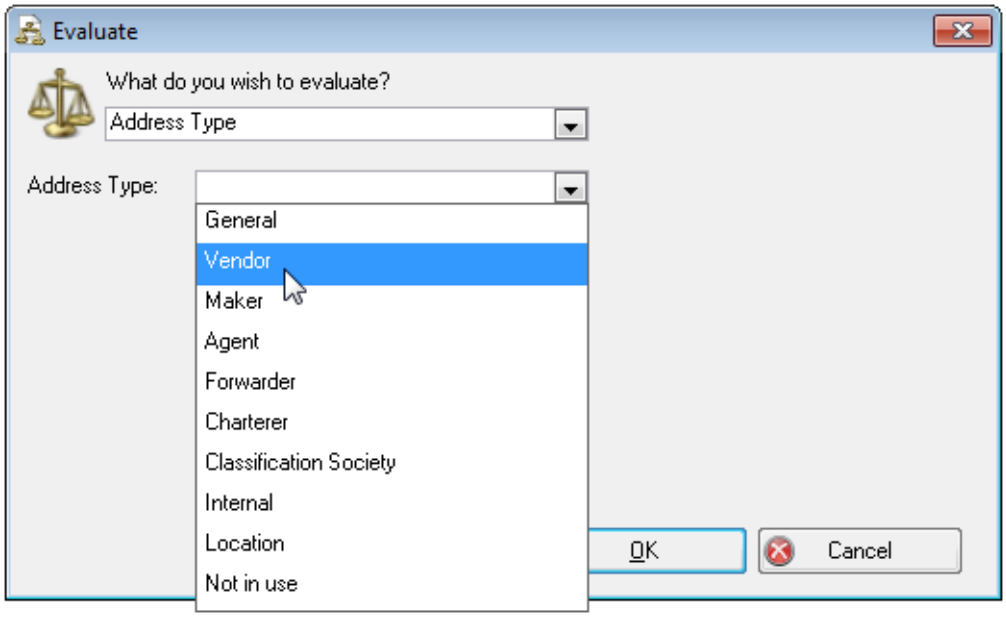


Selecting 'Address' lets you choose one (or more) individual addresses to list here, for evaluation:

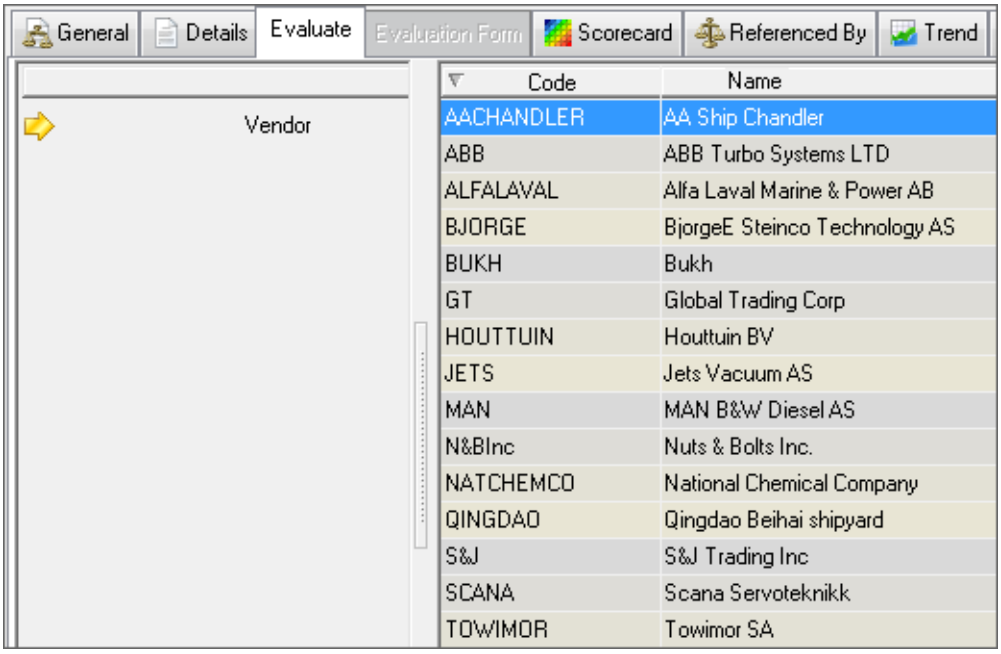
When you select an individual address, choose the address type to **Evaluate As**:



Or, you can select 'Address Type' in the first dialog:



When you select a type, such as 'Vendor', AMOS will add all addresses of that type in your register to the evaluation definition:

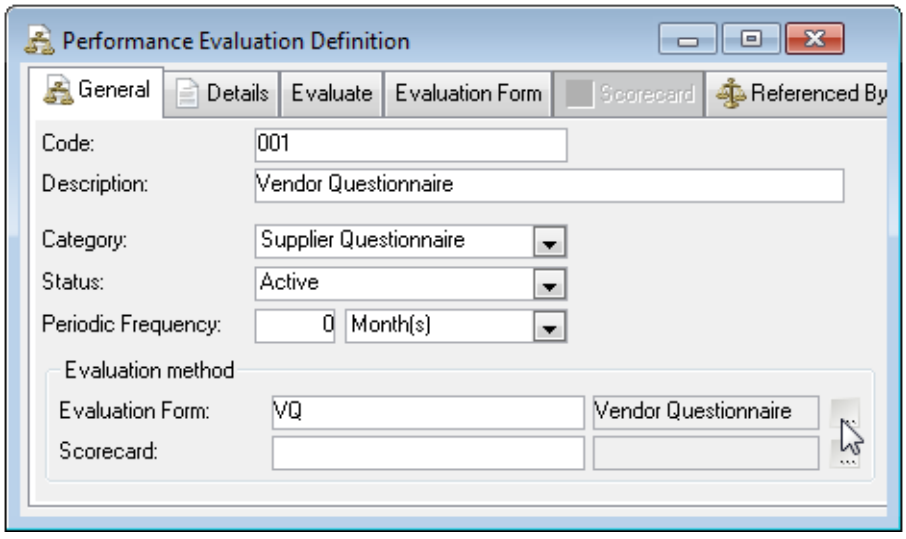


8. **Save** the definition. Go on to generate the first evaluation for each address/type listed. See "Generating Evaluations" on page 99.

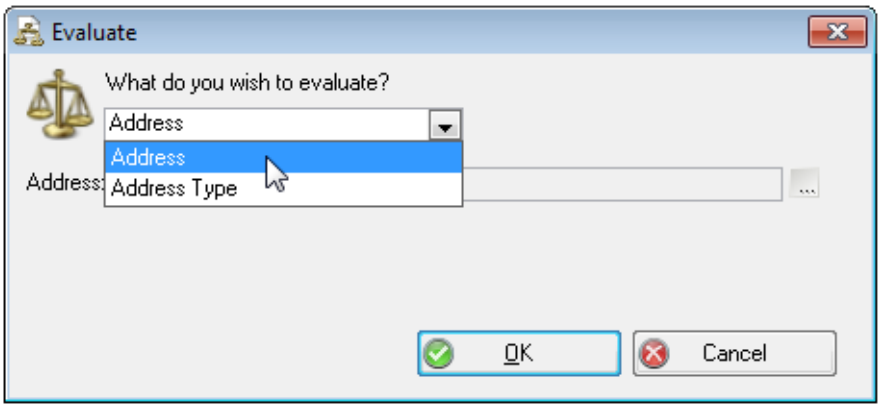
Definitions - Evaluation Forms

To create a definition for an evaluation using a form:

1. Go to **Assessment > Evaluation Definition**.
2. Click **New** and enter a **Code** and **Description**.
3. Select a **Category** - in this case, 'Supplier Questionnaire'. It's not necessary to set up a schedule on this kind of evaluation, so leave the **Periodic Frequency** blank.
4. Lookup your **Evaluation Form** under 'Evaluation Method':

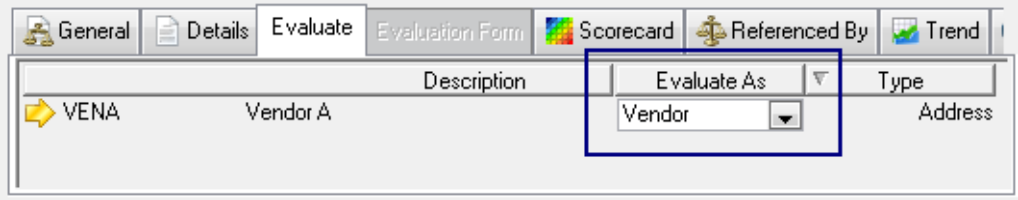


5. **Save** the definition.
6. Open the Evaluate tab and click **New**. You'll get a dialog with two options:

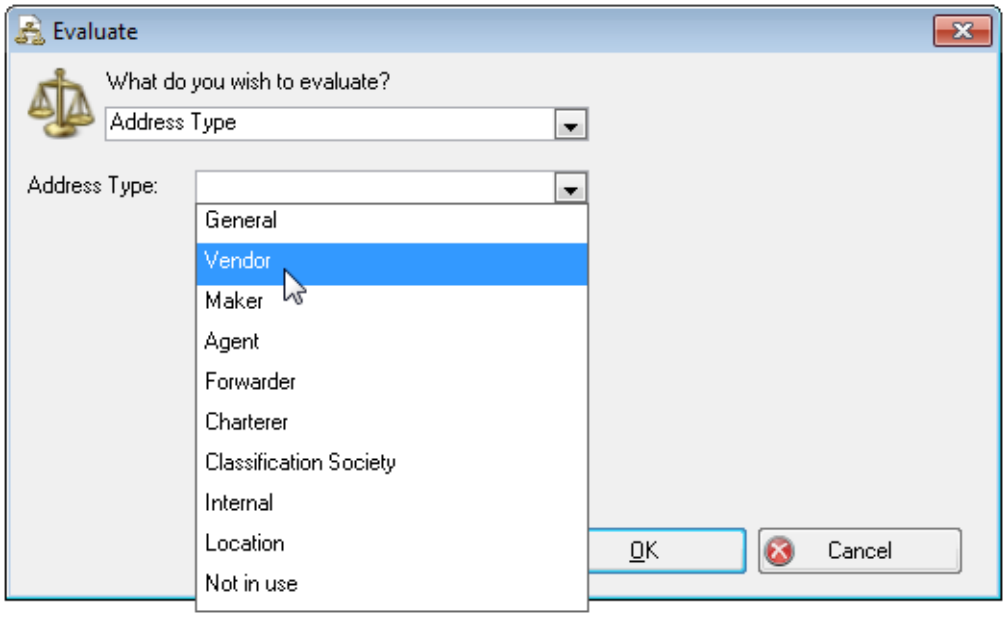


Selecting 'Address' lets you choose one (or more) individual addresses to list here, for evaluation.

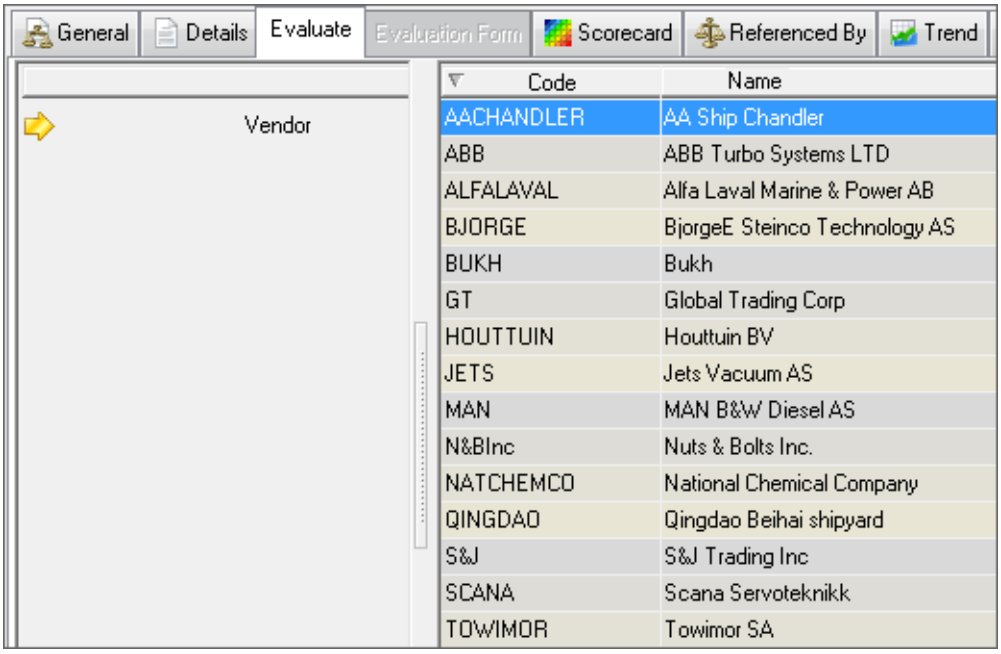
When you select an individual address, choose the address type to **Evaluate As**:



Or, you can select 'Address Type' in the first dialog:



When you select a type, such as 'Vendor', AMOS will add all addresses of that type in your register to the evaluation definition:



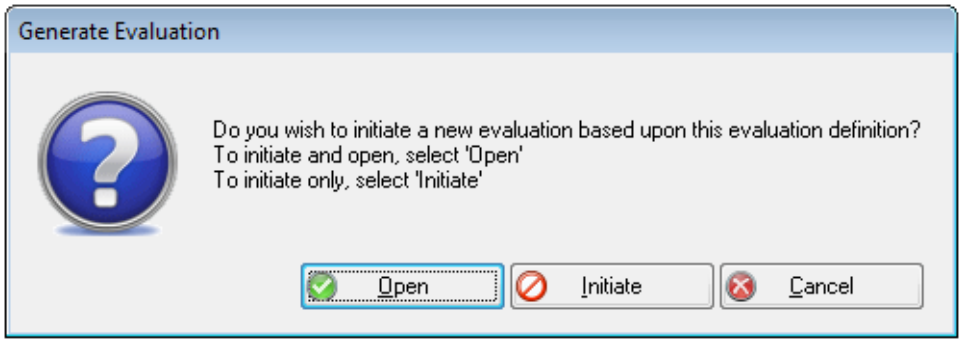
7. **Save** the definition. Go on to generate an evaluation for each address/type listed. See "Generating Evaluations" below.

Generating Evaluations

When you have a new evaluation definition in place, it's up to you to generate the first evaluation(s) for it. After that, AMOS will take over: when you set an evaluation which has a periodic frequency defined, to 'completed', AMOS will generate the next one for you.

To generate evaluations:

1. Go to **Assessment > Evaluation Definition**.
2. Select a definition, and in the Evaluate tab select an address/type to generate.
3. Go to **Options > Generate**. You'll see the following message:



4. Choose Initiate to create the evaluations or **Open** to create them and open the Evaluation window at the same time.
5. Click **OK** in the following dialog and close the window.

AMOS won't let you generate duplicates - for example, if you generate evaluations for a single address, and then for the address type to which it belongs, that address will still only end up with one active evaluation.

Carrying Out Evaluations

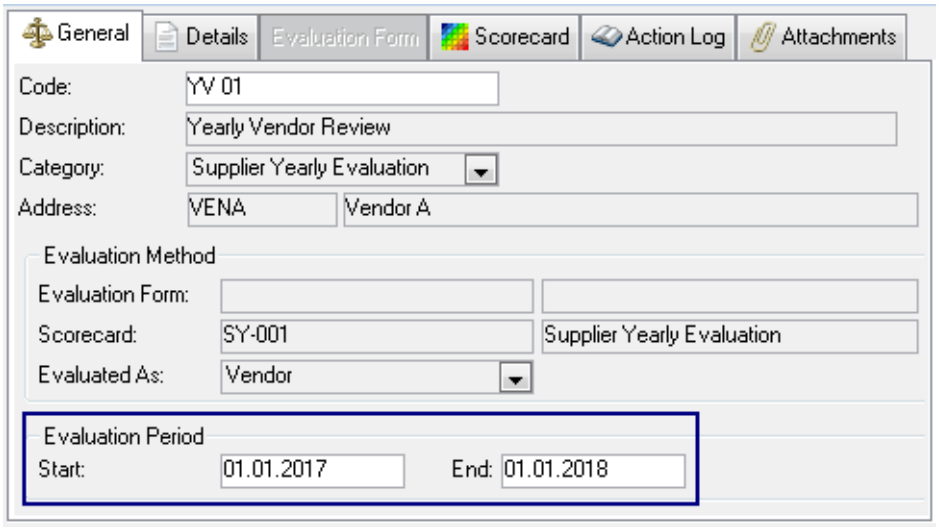
There are two ways to gather and assess information for evaluation in AMOS: with an *Evaluation Form*, or with an *Evaluation Scorecard*. Most evaluations you carry out would use one or the other, but not both.

You can perform evaluations according to the periodic frequency set on the evaluation definition; in other cases you can also create a one-off evaluation directly in the Performance Evaluation window if needed.

Evaluating with a Scorecard

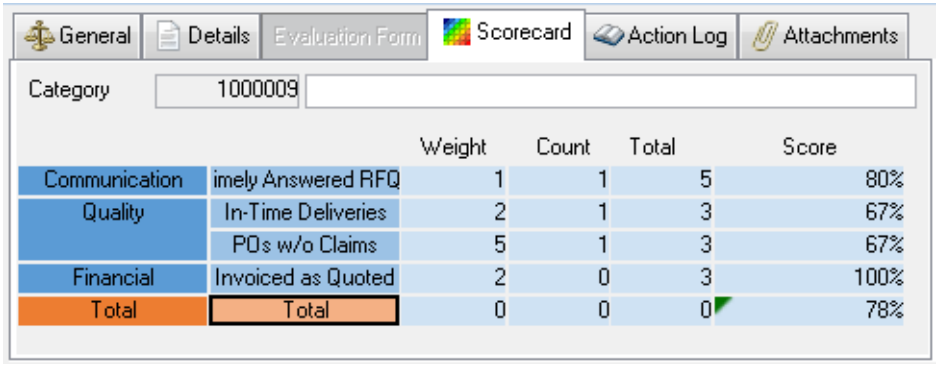
To carry out a generated evaluation using a scorecard:

1. Go to **Assessment > Evaluation**.
2. You'll see the list of evaluations you generated from the definition, one for each included address. Select the address you want to evaluate.
3. All the details you need show up in the top of the window, except the **Start** and **End** dates of the period you want AMOS to consider when retrieving information about the vendor from the database. Enter those now:



Save the window.

4. Open the Scorecard tab. AMOS will have automatically evaluated the vendor and entered values on the matrix:



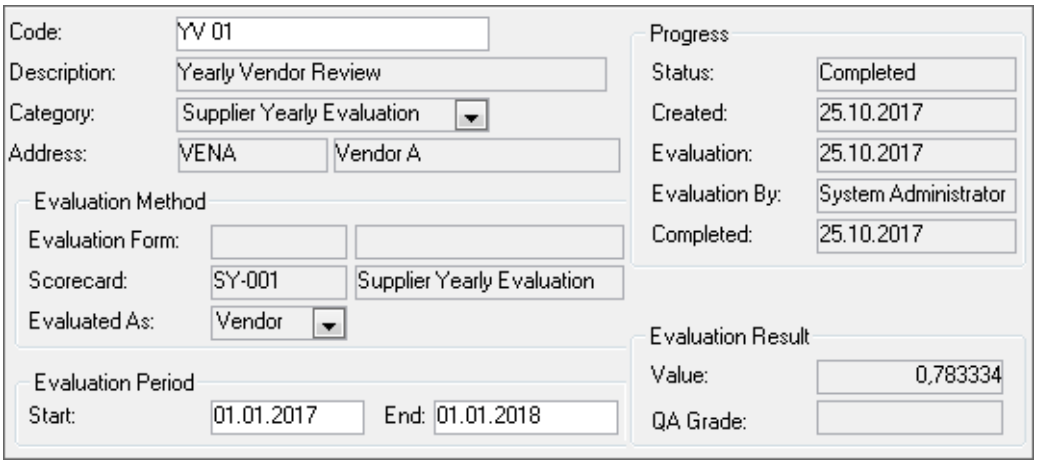
E X A M P L E

Looking at the 'Timely Answered RFQs' category in the scorecard matrix above, you can see that the option 'Total' returned a total of 5 quotations for this vendor, and the 'Count' option shows a value of 1, indicating that the vendor did not respond to 1 of those 5 quotations. This resulted in a score (for that category) of 80%.

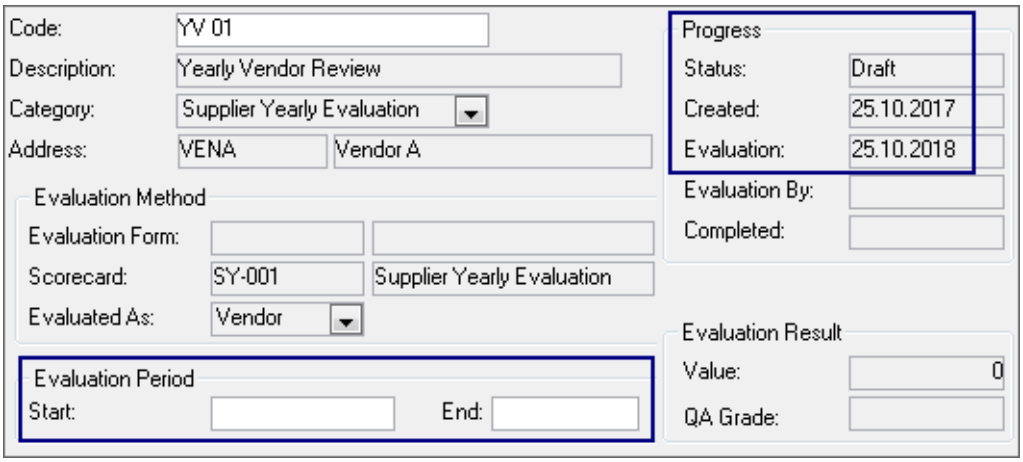
If there are any cells requiring manual user input, you can type the values directly in. In that case, make sure to select **Options > Calculate** to update the score.

Evaluation Results and the resulting **QA Grade** show up on the General tab.

5. All that's left is for you to use the work flow to process the evaluation to complete. Go to **Options > Change Status**. AMOS will suggest the next available status and you can click **Yes** and then **Save** the window. Depending on your work flow you might need to do this a couple of times to reach the 'complete' status:



6. At completion, AMOS will ask if you want to update the vendor's QA grade. Click **Yes** or **No**, according to whether you want the grade in the system to change on the vendor's address record.
7. **Save** the window. The next time you open this window, the completed record will be gone and a new evaluation with blank dates will be listed for that vendor's next yearly review:



» Open the Action Log tab and click the **New** button at the bottom if you want to record an entry about registering or performing an evaluation.

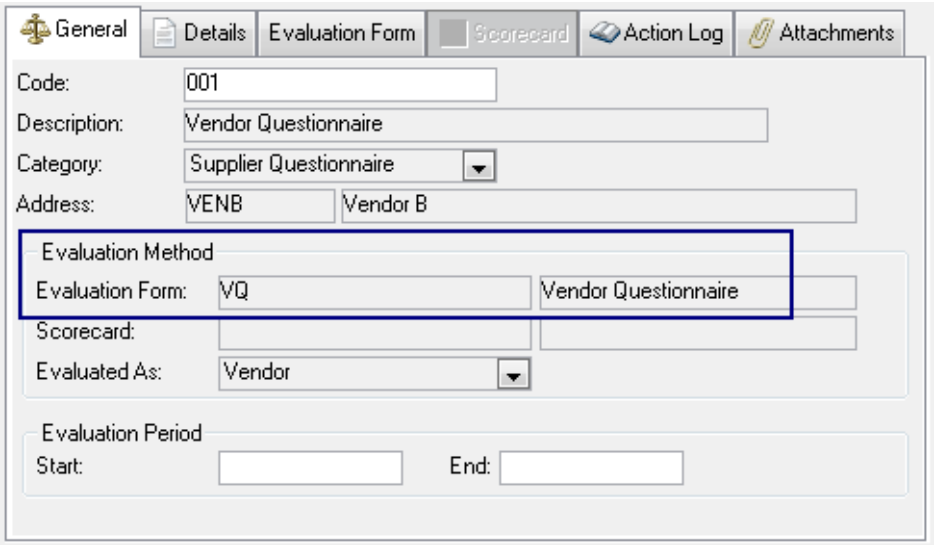
» Go to **File > Open Register > Address** and select the vendor you evaluated to see their QA grade for the address type you evaluated them by, on the Address Type tab. If you opted to let AMOS update it for you, it will match the results of the evaluation.

Evaluating with a Form

If you've never ordered from a vendor before you have no data for AMOS to automatically retrieve and calculate a QA grade with. But still, you probably want to gather some basic information about this vendor before you place an order. In this case, you can evaluate your potential vendor using a simple form. You can use an evaluation already generated from a definition, or you can create a 'one-off' in the Performance Evaluation window.

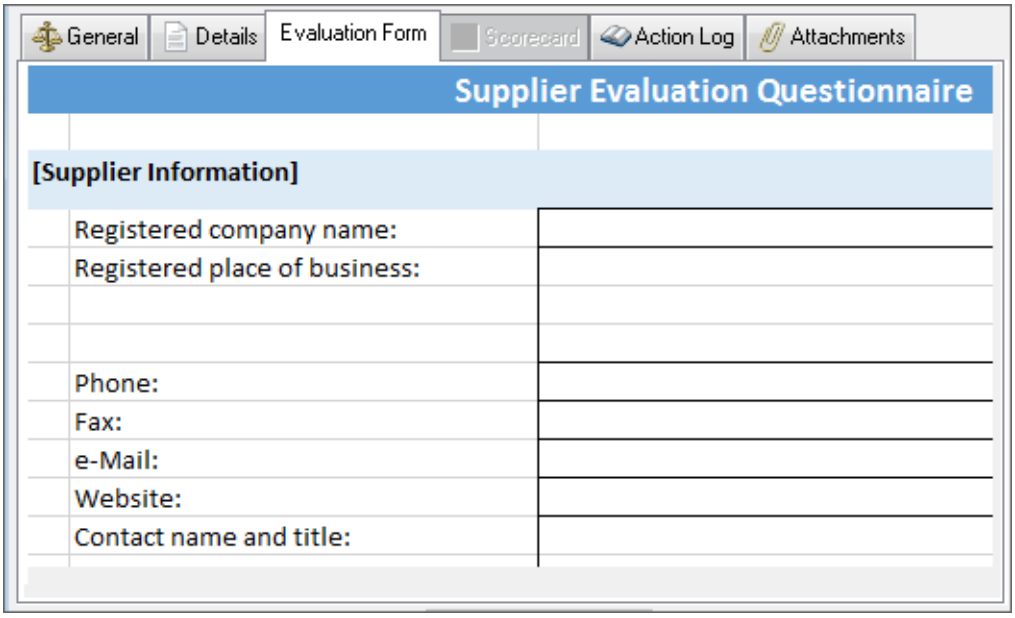
To carry out an evaluation using a form:

1. Go to **Assessment > Evaluation**.
2. You'll see the list of evaluations you generated from the definition, one for each included address. Select the address you want to evaluate.



   Or, click **New** to create a 'one-off' and fill in the General tab fields yourself.

3. It's not necessary to fill in **Start** and **End** dates on a form evaluation.
4. Open the Evaluation Form tab to see the selected form:



   Assuming you've already sent the form to the vendor and have the answers, fill the questionnaire in.

5. When you're finished, **Save** the window. This information won't result in a QA grade or an update to an existing address record. It is just for your own reference purposes.

» If you decide to start working with this vendor, you can add them to your next yearly scorecard review. See "Definitions - Evaluation Scorecards" on page 95.

» Open the Action Log tab and click the **New** button at the bottom if you want to record an entry about registering or performing an evaluation.

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