F1020-01

Corrective Action Tracker

User Guide | ISO 14001:2026 | Clause 10.2

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Sheet count	Structured register with guidance, scoring criteria, and worked examples
Data rows	Scalable register with dropdown validations and scoring formulas

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1. Overview

F1020-02 is an Excel workbook for logging, risk-assessing, and tracking corrective actions raised against nonconformances. It uses structured data entry, automated risk scoring, and formula-driven timescales to ensure that each nonconformance receives a proportionate and timely response.

The workbook has three sheets. The Guidance sheet contains a quick-start reference. The Corrective Action Tracker sheet (Part A) is where each nonconformance is defined and its risk level calculated. The Corrective Action Plan sheet (Part B) is where corrective actions are assigned, monitored, and closed out.

Key rules before you start:

- Never edit, delete, or overwrite columns L, M, or N in the Corrective Action Tracker sheet. These columns contain the formulae that calculate the risk score and suggest the response method.
- Never edit columns F, H, I, K, L, or M in the Corrective Action Plan sheet. These are formula-driven columns that calculate response time, days to complete, target date, today's date, days due, and deadline status automatically.
- Enter data only in the highlighted user-entry columns described in sections 3 and 4 of this guide.
- The workbook holds up to 50 corrective action records in rows 9–58. Do not insert rows within this range.

1.1 Workbook Structure

Sheet	Purpose	User Enters Data?
Guidance	Quick-start instructions and background information. Read-only reference.	No — reference only
Corrective Action Tracker	Part A: Define the problem. Log each nonconformance, assess its risk, and receive a suggested problem-solving method.	Yes — columns A–K and O–T
Corrective Action Plan	Part B: Track progress. Assign, monitor, and close out each corrective action.	Yes — columns A, D, E, G, J, N, O, P, Q

1.2 Workflow Overview

The intended sequence of use is:

1. A nonconformance is identified and a Corrective Action Report is raised using a separate report form.
2. The key details from Section 1 of the Corrective Action Report are entered into Part A (columns B–K) of the Corrective Action Tracker sheet.
3. The workbook automatically calculates the risk level (column M) and suggests the appropriate problem-solving method (column N).
4. Root-cause analysis is carried out using the method indicated in column N. Once complete, the root cause is updated in column G.
5. Part B of the Corrective Action Plan sheet is updated with the owner, the planned action, the date assigned, and the initial status.
6. Progress is monitored via the Status and Deadline columns. The workbook calculates days remaining automatically.

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Column	Field and Entry Instructions
T — Root Cause Category	Select from the drop-down list. Assigns the root cause to one of six Ishikawa (fishbone) categories: Human, Method, Material, Equipment, Environment, or Management. This enables the dashboard to display root cause patterns by category. See section 5.7.

Do NOT edit columns L, M, or N:

- Column L (Count) contains a formula that multiplies the number of Y flags in columns I–K by the Perceived Risk Level in column H.
- Column M (Actual Risk) contains a formula that converts the Count into a risk level from 1 to 4.
- Column N (Suggested Method) contains a formula that maps the Actual Risk level to the appropriate problem-solving method.
- Editing or deleting these cells will break the risk assessment and the Corrective Action Plan timescale calculations.

3.2 Selecting the Perceived Risk Level

The Perceived Risk Level (column H) is your judgment of the inherent seriousness of the problem before aggravating factors are considered. Use the following criteria:

Level	Label	Criteria	Typical Examples
0	OFI	Opportunity for improvement only	Process enhancement, efficiency gain, minor documentation gap with no impact
1	Low	Low-level problem; immediate correction sufficient	Isolated single incident, minor labelling error, small process deviation with no downstream impact
2	Medium	Moderate impact; containment and root-cause analysis required	Incorrect product shipped to customer, out-of-tolerance manufactured part, procedure not followed
3	High	Major or significant impact; full RCA and preventative action required	Repetitive problem, regulatory non-compliance, safety incident, major customer complaint, product recall risk

3.3 How the Risk Score Is Calculated

The workbook uses a two-step formula to calculate the final risk level and suggest a response method. Understanding how this works helps you enter accurate data.

Step 1 — Count (column L):

- The Count is calculated as: Count = (number of Y flags in columns I, J, K) × Perceived Risk Level
- Example: Perceived Risk = 3, Legal Issue = Y, Safety = N, Repeated = N. Count = 1 × 3 = 3.

Step 2 — Actual Risk (column M):

Count value	Actual Risk Level (column M)
0	Level 1

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Count value	Actual Risk Level (column M)
1	Level 2
2	Level 3
3 or more	Level 4 (maximum)

Step 3 — Suggested Method (column N):

Actual Risk Level	Suggested Method	Target Completion (from Date Assigned)
Level 1	OFI — Improvement Form (F1030-01)	10 days
Level 2	A3 — A3 Action Plan (F1020-03)	15 days
Level 3	5Y — 5-Whys Worksheet (F1020-04)	30 days
Level 4	8D — 8-Disciplines Worksheet (F1020-05)	60 days

Worked example:

- A customer complains about an incorrectly shipped item. The item had the wrong label (not a safety issue) but the same error occurred three months ago (repeated). Perceived Risk = 3, Legal = N, Safety = N, Repeated = Y.
- Count = 1 × 3 = 3. Actual Risk = Level 4. Suggested Method = 8D. Target = 60 days from Date Assigned.
- Had the same item also presented a safety risk (Safety = Y), Count = 2 × 3 = 6. Since Count ≥ 3, Actual Risk is still Level 4. The maximum level is 4 regardless of higher Count values.

4. Part B — Corrective Action Plan Sheet

Part B is used to track the implementation and close-out of each corrective action. Columns B, C, F, H, I, K, L, and M are populated automatically by formula and must not be edited.

4.1 User-entry Columns

Column	Field and Entry Instructions
A — CAR ID	Enter the same CAR ID used in column A of the Corrective Action Tracker sheet. This links the plan row to the tracker row.
D — Process Owner	Free text. Enter the name of the person responsible for implementing the corrective action.
E — Description of Corrective Action	Free text. Describe the specific action to be taken to address the root cause and prevent recurrence.
G — Date Assigned	Enter the date the corrective action was formally assigned to the process owner. The target completion date (column I) is calculated from this date.
J — Status	Select from the drop-down: Open, In-progress, Closed, or Cancelled. See section 4.2 for guidance on when to use each status.

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