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ISO 14001:2026

Corrective Action Tracker — Training

F1020-01_Corrective_Action_Tracker.xlsx · G1020-01_Corrective_Action_Tracker_User_Guide.docx

How to log, risk-score and track corrective actions — Clause 10.2 from nonconformance capture through root-cause analysis to verified close-out

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Overview

Why corrective action matters — what the tracker produces and how it turns nonconformances into proportionate, tracked, effective responses

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What the Corrective Action Tracker Delivers

The workbook produces three interconnected outputs — the risk-scored Tracker (Part A), the Action Plan with auto-calculated deadlines (Part B), and the Dashboard summarising counts, trends and effectiveness. Together they satisfy Clause 10.2 end-to-end.

Deliverable 1 — Part A: Risk-scored Tracker with auto-assigned method

Each nonconformance scored on Perceived Risk (0–3) × aggravating factors (Legal / Safety / Repeated). Workbook auto-calculates Actual Risk (Level 1–4) and Suggested Method (OFI / A3 / 5Y / 8D). Proportionate response to every NC, defensible for certification.

Deliverable 2 — Part B: Action Plan with auto-calculated deadlines

Date Assigned drives Target Completion based on Actual Risk (10 / 15 / 30 / 60 days). Today's Date drives the live Due / Overdue / Complete indicator. Every CAR in flight has a visible deadline; overdue entries surface automatically.

Deliverable 3 — Dashboard with counts, costs, and effectiveness rates

Auto-calculated counts by Status, Deadline, Department, Root Cause Category, Source. Cost of Nonconformity totals. First-time fix rate from the Recurrence Link. Verification effectiveness distribution. Direct input to Clause 9.3.2(d)(1) management review.

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Part A Anatomy — Three Column Blocks

Part A (the Tracker sheet) captures the nonconformance with 20 columns across three functional blocks. Identification says what happened and where. Risk Assessment drives the proportionate response. Enhanced Data Capture feeds the Dashboard trend analysis.

IDENTIFICATION (A–G)

What happened, where, how detected

- CAR ID: CA001, CA002 format, unique per CAR
- Process Name: the business process affected
- Reported By, Date Found: audit trail start
- Detection Method: 21 options, EMS-aligned
- Description + initial Root Cause (updated post-RCA)

RISK ASSESSMENT (H–N)

How serious, how proportionate the response

- Perceived Risk H: 0 (OFI) / 1 (Low) / 2 (Med) / 3 (High)
- Legal / Safety / Repeated Y or N aggravators
- Count (L) = Y count × Perceived Risk, formula
- Actual Risk (M): Level 1 / 2 / 3 / 4, formula
- Suggested Method (N): OFI / A3 / 5Y / 8D, formula

ENHANCED DATA CAPTURE (O–T)

Context that feeds the Dashboard

- Source / Origin: where the CAR came from
- Department: functional area responsible
- Cost (£): for CEN metrics at management review
- Severity 1–5: second dimension for risk analysis
- Recurrence Link + Root Cause Category (Ishikawa)

Columns L, M, N are formula-driven and must never be edited — they calculate the risk score and suggest the response method. Editing them breaks the whole Actual Risk chain for that row and silently desynchronises the Part B timescales.

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What You Enter vs What the Workbook Calculates

User input is concentrated in ~10 cells per CAR across Parts A and B. The workbook calculates 8 fields automatically — risk level, method, deadlines, live status indicators. Formula columns must never be edited.

You enter	Workbook calculates or auto-renders
Part A: H — Perceived Risk (0–3)	Part A: L — Count = Y-flags × Perceived Risk
Part A: I, J, K — Legal / Safety / Repeated (Y or N)	Part A: M — Actual Risk (Level 1 / 2 / 3 / 4)
Part A: B, E, G — Process, Detection, Root Cause dropdowns	Part A: N — Suggested Method (OFI / A3 / 5Y / 8D)
Part B: G — Date Assigned	Part B: H — Days to Complete (10 / 15 / 30 / 60)
Part B: J — Status (Open / In-progress / Closed / Cancelled)	Part B: I — Target Completion = G + H
Part B: Q — Verification Effectiveness (on close-out)	Part B: L, M — Due in Days, Deadline (live from TODAY())

Never edit Tracker columns L, M, N or Plan columns B, C, F, H, I, K, L, M. Editing them breaks the whole risk-to-method chain and silently desynchronises Part B timescales. If a calculated value looks wrong, fix the upstream input (H, I, J, K in Part A) — not the formula output.