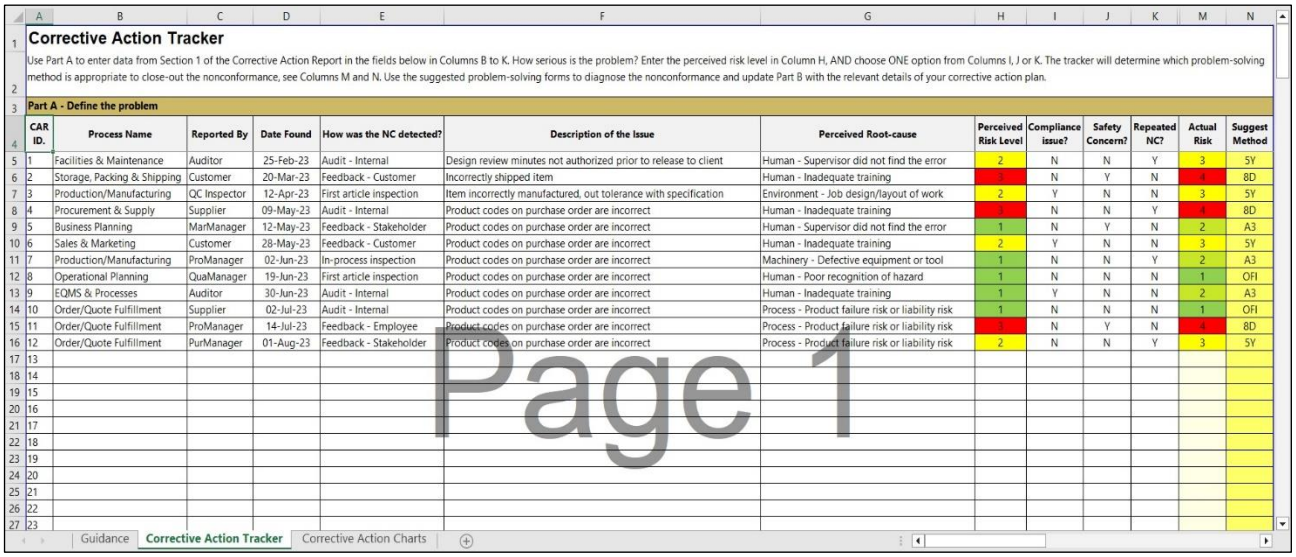
Corrective Action Guidance

ISO 9001:2015 & ISO 45001:2018

Contents

- Entering in Y's or N's results in a risk score that ranges from 1 to 4;
- Column M will calculate an overall risk score based on the data previously entered;
- The suggested problem-solving method shown in Column N is based on the following trigger scores 1 = OFI, 2 = A3 (Who, What, When action plan), 3 = 5Y (5-Whys cause analysis) and 4 = 8-Disciplines (In-depth analysis).



Corrective Action Tracker

Use Part A to enter data from Section 1 of the Corrective Action Report in the fields below in Columns B to K. How serious is the problem? Enter the perceived risk level in Column H, AND choose ONE option from Columns I, J or K. The tracker will determine which problem-solving method is appropriate to close-out the nonconformance, see Columns M and N. Use the suggested problem-solving forms to diagnose the nonconformance and update Part B with the relevant details of your corrective action plan.

Part A - Define the problem

CAR ID.	Process Name	Reported By	Date Found	How was the NC detected?	Description of the Issue	Perceived Root-cause	Perceived Risk Level	Compliance issue?	Safety Concern?	Repeated NC?	Actual Risk	Suggest Method
1	Facilities & Maintenance	Auditor	25-Feb-23	Audit - Internal	Design review minutes not authorized prior to release to client	Human - Supervisor did not find the error	2	N	N	Y	3	5Y
2	Storage, Packing & Shipping	Customer	20-Mar-23	Feedback - Customer	Incorrectly shipped item	Human - Inadequate training	3	N	Y	N	4	8D
3	Production/Manufacturing	QC Inspector	12-Apr-23	First article inspection	Item incorrectly manufactured, out tolerance with specification	Environment - Job design/layout of work	2	Y	N	N	3	5Y
4	Procurement & Supply	Supplier	09-May-23	Audit - Internal	Product codes on purchase order are incorrect	Human - Inadequate training	3	N	N	Y	4	8D
5	Business Planning	MarManager	12-May-23	Feedback - Stakeholder	Product codes on purchase order are incorrect	Human - Supervisor did not find the error	1	N	Y	N	2	A3
6	Sales & Marketing	Customer	28-May-23	Feedback - Customer	Product codes on purchase order are incorrect	Human - Inadequate training	2	Y	N	N	3	5Y
7	Production/Manufacturing	ProManager	02-Jun-23	In-process inspection	Product codes on purchase order are incorrect	Machinery - Defective equipment or tool	1	N	N	Y	2	A3
8	Operational Planning	QuaManager	19-Jun-23	First article inspection	Product codes on purchase order are incorrect	Human - Poor recognition of hazard	1	N	N	N	1	OFI
9	EQMS & Processes	Auditor	30-Jun-23	Audit - Internal	Product codes on purchase order are incorrect	Human - Inadequate training	1	Y	N	N	2	A3
10	Order/Quote Fulfillment	Supplier	02-Jul-23	Audit - Internal	Product codes on purchase order are incorrect	Process - Product failure risk or liability risk	1	N	N	N	1	OFI
11	Order/Quote Fulfillment	ProManager	14-Jul-23	Feedback - Employee	Product codes on purchase order are incorrect	Process - Product failure risk or liability risk	3	N	Y	N	4	8D
12	Order/Quote Fulfillment	PurManager	01-Aug-23	Feedback - Stakeholder	Product codes on purchase order are incorrect	Process - Product failure risk or liability risk	2	N	N	Y	3	5Y

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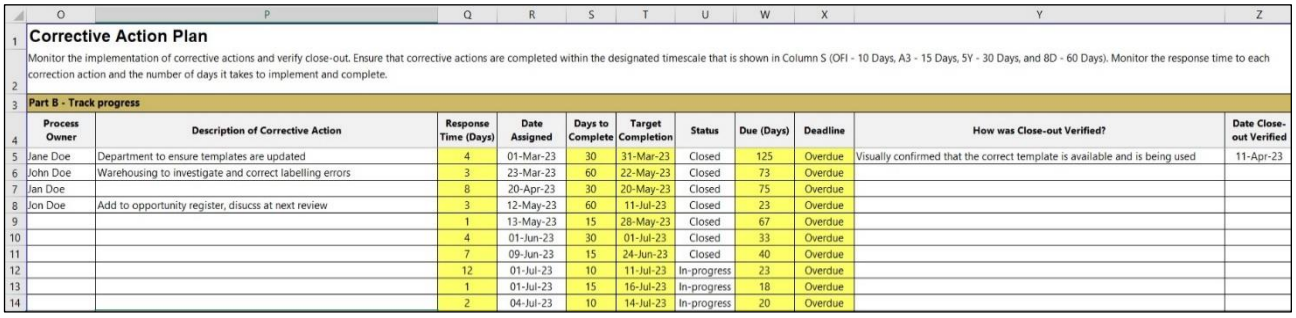
1.1.2 Part B – Corrective Action Plan

- Undertake root-cause analysis;
- Issue the chosen root-cause analysis method to the process owner/response team for completion;
- Once completed, update the root-cause in Part A;
- Update the 'Corrective Action Plan' in Part B;
- Monitor the implementation of corrective actions and verify close-out;
- The status of the corrective action will remain 'Open' until such time as work to correct the nonconformance begins, then the status becomes 'In-Progress',
- This means the status stays 'In-Progress' until the associated corrective action is verified. The status of the nonconformance would then change to 'Closed',
- Should the corrective action request be withdrawn, the status is set to 'Cancelled'.



Corrective Action Plan

Monitor the implementation of corrective actions and verify close-out. Ensure that corrective actions are completed within the designated timescale that is shown in Column S (OFI - 10 Days, A3 - 15 Days, 5Y - 30 Days, and 8D - 60 Days). Monitor the response time to each correction action and the number of days it takes to implement and complete.

Part B - Track progress

Process Owner	Description of Corrective Action	Response Time (Days)	Date Assigned	Days to Complete	Target Completion	Status	Due (Days)	Deadline	How was Close-out Verified?	Date Close-out Verified
Jane Doe	Department to ensure templates are updated	4	01-Mar-23	30	31-Mar-23	Closed	125	Overdue	Visually confirmed that the correct template is available and is being used	11-Apr-23
John Doe	Warehousing to investigate and correct labelling errors	3	23-Mar-23	60	22-May-23	Closed	73	Overdue		
Ian Doe		8	20-Apr-23	30	20-May-23	Closed	75	Overdue		
Jon Doe	Add to opportunity register, disucss at next review	3	12-May-23	60	11-Jul-23	Closed	23	Overdue		
		1	13-May-23	15	28-May-23	Closed	67	Overdue		
		4	01-Jun-23	30	01-Jul-23	Closed	33	Overdue		
		7	09-Jun-23	15	24-Jun-23	Closed	40	Overdue		
		12	01-Jul-23	10	11-Jul-23	In-progress	23	Overdue		
		1	01-Jul-23	15	16-Jul-23	In-progress	18	Overdue		
		2	04-Jul-23	10	14-Jul-23	In-progress	20	Overdue		

1.1.3 Corrective Action Charts

The charts in the 'Corrective Action Charts' tab will automatically update based on the database in Columns AB through to AR in the 'Corrective Action Tracker' tab. To locate the data for each chart, right-click the chart and click 'Select Data' from the menu.

1.5.2 Using the A3 Action Plan

The A3-Action Plan is most effective to address small to medium size problems and to structure improvement projects. Aim to complete the A3 action plan within 15-days.

When the issue is small and the solution is obvious, a formal analysis is not required, the A3-method defines What to do, Who to do it, by When. This is intended to be 'quick-fix' to be applied within one-day to low-risk issues in order to contain and correct snags, and minor issues, and to structure improvement projects.

1. A problem-solving approach–built around PDCA;
2. A concise summary of the problem and solution;
3. A way of structuring thinking;
4. A communication tool for workers to report problems and improvement suggestions to management;
5. A way for management to structure and provide discipline to the improvement process;
6. Used for any kind of problem in all parts of the business.

Briefly state the problem in one or two sentences. The problem statement includes what is being affected and where it is occurring, including background and current conditions:

1. What is the business reason for choosing this issue?
2. What is the problem, need, or gap in performance?
3. How often does it happen?
4. Is there a pattern of occurrence? Quantify the extent and causals.
5. What are the specific conditions that indicate you have a problem or need, where and how much?
6. Show the facts visually with run charts, graphs, maps
7. Ensure the problem statement is specific.
8. Ensure the problem statement does not include an implied solution.
9. Ensure the problem statement states "what" not "why".
10. Ensure the problem statement does not include goals.

What goals would you like to see based on resolving some of the contributing factors of the problem? How much improvement? By when? Metrics?

1.5.3 Using the 5-Whys Analysis Process

Use 5-Whys for troubleshooting, quality improvement, and problem-solving, but it is most effective when used to resolve simple or moderately difficult problems. Aim to complete the 5-Whys analysis within 30-days.

Invented in the 1930's by Toyota Founder Kiichiro Toyoda's father Sakichi and made popular in the 1970s by the Toyota Production System, the 5-Whys strategy involves looking at any problem and asking; 'Why?' and 'What caused this problem?' The 5-Whys technique offers some real benefits to organizations with varying degrees of management system maturity:

1. **Simplicity**. It is easy to use and requires no advanced mathematics or tools that allow you to dig deep and find underlying issues rather than using quick-fix solutions;
2. **Effectiveness**. It helps to separate the symptoms from the causes and identifies the root-cause of a problem using evidence-based analysis;