

Corrective Action Tracker Guidance

Introduction

Save a backup copy in case any of the formulae get accidentally changed.  
Do NOT change or delete cells in Columns H to N in the 'Corrective Action Tracker' tab. This area contains the formulae that assess the risk level of the nonconformance.  
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.

Enter Data from the Corrective Action Report

Capture the data from the corrective action report in Part A to determine the most suitable problem-solving method to address the causes of the nonconformance.

From the corrective action report, enter the details from Section 1 into the related fields in the tracker.

Based upon judgement and experience, categorize the perceived risk level of the problem using the drop down menu in Column H.

Classify the problem by choosing ONE option from either Column I, Column J or Column K.

Entering in Ys or Ns results in a risk score which ranges from 1 to 4.

Column M will calculate an overall risk score based upon the data previously entered.

The suggested problem-solving method shown 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 = 8D-Disciplines (In-depth analysis).

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.

Input Messages

Amend or delete the input message, select the 'Data' tab, select and click on 'Data Validation' from the drop down menu, then select the 'Input Message' tab.

Using the drop-down menus

Use the dropdown menus to select and enter a Process Name from the list. You can modify the process name list by amending the source list in Column AB.

Use the dropdown menus to enter the detection method. You can modify the detection list by amending the source list in Column AD.

Use the dropdown menus to enter the root-cause. You can modify the root-cause list by amending the source list in Column AF.

Status of corrective actions

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'.

Priority Classification

The following qualitative criteria are used to identify the level of risk associated with each problem:

Risk Level	Recommended Problem-solving Method
OFI	Improvement opportunity that does not need correction but rather, can be enhanced, improved, or made more efficient. Use the F1030-01 Improvement Form. Complete within 10 Days.
Low	A low-level problem typically closed to immediate correction, requires containment and trending. Use the F1020-02 A3 Action Plan. Complete within 15 Days.
Medium	A problem that results in moderate impact. Requires containment and root-cause analysis, and corrective actions when appropriate. Use the F1020-03 5-Whys Worksheet. Complete within 30 Days.
High	A problem that results in major/significant impact or is a repetitive problem. Requires a root-cause analysis, corrective and preventative action(s). Use the F1020-04 8D Worksheet. Complete within 60 Days.

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 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.

The recommended problem-solving method is shown here.

Amend or delete the input messages using the Data Validation function.

Use the dropdown menus to select and enter predefined data from the list.

From the Section 1 of the corrective action report,

Entering in Ys or Ns results in a risk score which ranges from 1 to 4. Column M will calculate an overall risk score based upon the data previously entered.

Monitor and report the status of your corrective actions.

Corrective Action Report

ISO 9001:2015 & ISO 14001:2015

Insert your company's name or logo.

Tracking Number: Reported By: Date Found: Status:

1. Describe the problem

Priority Classification

Legal or compliance issues? ☐ Concerns must be forwarded to Top management for review

Safety concerns? ☐ Concerns must be forwarded to the H&S Department for review

Repetitive nonconformities in: Products/services? High (3) Medium (2) Low (1) OFI (0)

Processes? High (3) Medium (2) Low (1) OFI (0)

Management system? High (3) Medium (2) Low (1) OFI (0)

How was the nonconformance detected?

☐ Feedback - Supplier ☐ Audit - Client ☐ In-process inspection

☐ Feedback - Customer ☐ Review - Management ☐ First article inspection

☐ Feedback - Stakeholder ☐ Review - Department ☐ Incoming inspection

☐ Feedback - Employee ☐ Review - Design ☐ Final inspection

☐ Audit - Internal ☐ Nonconformity - Process ☐ Monitoring

☐ Audit - Registrar ☐ Nonconformity - Product ☐ Customer complaint

☐ Audit - Supplier ☐ Nonconformity - Service ☐ Customer feedback

☐ Other:

Define the process name in which the problem arose

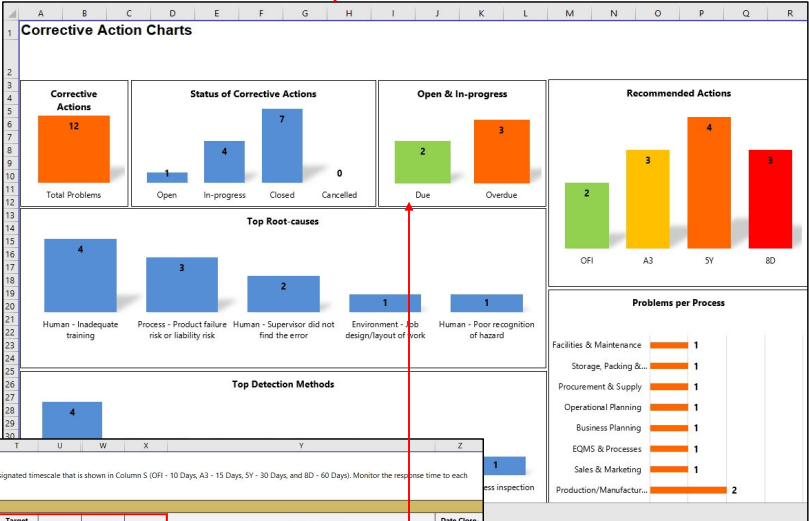
1. Problem Statement;

2. Failure analysis;

3. Is/Is Not analysis;

4. Process flow with control points identified;

5. Problem description;



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 corrective 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	Warehouse to investigate and correct labelling errors	3	23-Mar-23	60	22-May-23	Closed	73	Overdue		
Jen Doe		6	20-Apr-23	30	20-May-23	Closed	75	Overdue		
Jon Doe	Add to opportunity register, discuss 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	30	11-Jul-23	In-progress	23	Overdue		
		1	01-Jul-23	15	16-Jul-23	In-progress	18	Overdue		
		2	24-Jul-23	30	14-Aug-23	In-progress	20	Overdue		

Monitor the implementation of corrective actions and verify close-out.