

AUDIT CHECKLIST

4.5 CHECKING

4.5.3 NONCONFORMITY, CORRECTIVE ACTION AND PREVENTIVE ACTION

ISO 14001 STANDARD REQUIREMENTS

OVERALL CONFORMANCE: **YES NO**

4.5.3 The organization shall establish and maintain procedure(s) for dealing with actual and potential nonconformity(ies) and for taking corrective action and preventive action. The procedure(s) shall define requirements for

	Conforms (Y/N)
a) identifying and correcting nonconformity(ies) and taking action(s) to mitigate their environmental impacts,	
b) investigating nonconformity(ies), determining their cause(s) and taking actions in order to avoid their recurrence,	
c) evaluating the need for action(s) to prevent nonconformity(ies) and implementing appropriate actions designed to avoid their occurrence,	
d) recording the results of corrective action(s) and preventive action(s) taken, and	
e) reviewing the effectiveness of corrective action(s) and preventive action(s) taken.	
Actions taken shall be appropriate to the magnitude of the problems and the environmental impacts incurred.	
The organization shall ensure that any necessary changes are made to EMS documentation	

DOCUMENT REVIEW

Procedure regarding corrective and preventive actions to verify that responsibility and authority for handling nonconformity is defined.

Evidence of changes to procedures based on corrective or preventive actions, where warranted.

Corrective action plans and root cause analysis.

EMS LINKS:

- Operational Control
- Monitoring and Measurement
- Internal Audit

Supplemental Questions by Function

4.5.3 Nonconformity, Corrective Action and Preventive Action		
<i>DEPUTY DIRECTOR</i>		OBJECTIVE EVIDENCE
a.	Who is responsible for investigating nonconformity to the EMS?	
b.	Who handles the implementation of corrective and preventive action resulting from C/PAR submittals?	
c.	What happens to a C/PAR once submitted?	

<i>EMS REPRESENTATIVE</i>		OBJECTIVE EVIDENCE
a.	Does the organization have procedures for defining responsibility and authority for handling and investigating nonconformity?	
b.	Whose responsibility is it to take action to mitigate the impacts caused by the nonconformity?	
c.	How are changes resulting from C/PAR submittals implemented and recorded?	
d.	Is management kept informed of corrective actions taken and the progress made toward preventing recurrence? How?	

<i>SENIOR STAFF</i>		OBJECTIVE EVIDENCE
a.	What part do you play in the mitigation of nonconformities?	
b.	How do you keep management informed of the corrective actions taken and the progress made toward preventing recurrence?	
c.	Who retains the records on action taken in response to C/PAR submittals?	

Supplemental Questions by Function

4.5.2 Nonconformance and Corrective and Preventive Action:	
<i>DIVISION PERSONNEL</i>	
	OBJECTIVE EVIDENCE
a.	Do you know what a C/PAR is and what they used are for?
b.	To whom would you submit a C/PAR if you saw the need to fill one out?

NOTES: