

4.5 CHECKING

4.5.3 NONCONFORMITY, CORRECTIVE ACTION AND PREVENTIVE ACTION

Auditor Name and Date: _____

Organization and Department Audited: _____

Personnel Interviewed: _____

STANDARD REQUIREMENTS

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.	

Conforms (Y/N)	
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	

NOTES:

OVERALL CONFORMANCE: YES NO

4.5.3 Nonconformity, Corrective Action and Preventive Action: Supplemental Questions by Function

<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?	

4.5.2 Nonconformance and Corrective and Preventive Action: Supplemental Questions by Function (cont.)	
<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:

DOCUMENTS:

- 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.
- Reports or printouts from tracking or trending efforts.
- Corrective action plans and root cause analysis.
- Reports to management regarding corrective and preventive actions to determine management's role in the corrective/preventive action process and to assess the flow of environmental information.

EMS LINKS:

- Operational Control
- Monitoring and Measurement
- Internal Audit