

EMS Example

Example Preventative and Corrective Actions

Develop procedures for Implementing Corrective and Preventive Action. The procedures should:

- Define responsibility for taking the results of monitoring and measurement and auditing and using them to determine what, if any, corrective and preventive actions need to be implemented;
- Specify what how corrective and preventive actions will be taken when a non-conformance is discovered outside of the monitoring or auditing procedures, such as a spill or accident;
- Specify how corrective and preventive actions will be documented, so that changes to the EMS (i.e. continual improvement) can be demonstrated.

The process can be demonstrated in a flow-diagram with decision points for choosing the correct action.

See below...

Example Corrective and Preventive Action Procedure

I. Purpose

The purpose of this procedure is to establish and outline the process for identifying, documenting, analyzing, and implementing preventive and corrective actions.

II. Scope

Preventive or corrective actions may be initiated for any environmental problem.

III. General

- A. Corrective action is generally a reactive process used to address problems after they have occurred. Corrective action may be triggered by a variety of events, including internal audits and management reviews, neighbor complaints or results of monitoring and measurement.
- B. Preventive action is generally a proactive process intended to prevent potential problems before they occur or become more severe. Preventive action focuses on identifying negative trends and addressing them before they become significant. Events that might require preventive action include monitoring and measurement, trends analysis, tracking of progress on achieving objectives and targets, response to emergencies and near misses, and customer or neighbor complaints.
- C. The ISO Management Representative is responsible for reviewing issues affecting the EMS, the application and maintenance of this procedure, and any updates to EMS documents affected by the preventive and corrective actions.
- E. The ISO Management Representative is responsible for logging the communications and recording solutions. The responsible parties are to verify the effectiveness of the solution. The ISO Management Representative is responsible for overall tracking and reporting on preventive and corrective actions.
- F. Responsible personnel are to institute required corrective or preventive action, report completion of the required action to the ISO Management Representative, and assure sustained effectiveness.

IV. Procedure

A. Initiating Corrective or Preventive Action

1. Any employee may initiate corrective or preventive action. The employee is responsible for bringing the problem to the attention of the ISO Management Representative. The ISO Management Representative is responsible for determining whether action is required and records the appropriate information. Responsibility for resolving the problem is assigned to a specific individual.
2. The ISO Management Representative, working with the responsible person determines an appropriate due date for resolving the issue.

B. Determining and Implementing Corrective and Preventive Actions

1. The responsible person investigates and resolves the problem and communicates the corrective or preventive action taken.
2. If the responsible person cannot resolve the problem by the specified due date, he / she is responsible for determining an acceptable alternate due date with the ISO Management Representative.

C. Tracking Corrective and Preventive Actions

1. The ISO Management Representative is responsible for issuing a weekly report to the Plant Manager and responsible personnel of any overdue actions.
2. Records of actions are maintained for at least two years after completion of the corrective or preventive action.

D. Tracking Effectiveness of Solutions

1. The responsible person is responsible for verifying the effectiveness of the solution. If the solution is deemed not effective, a new action will be issued to the original responsible person.

Procedure Flow Diagram



