PROCEDURE FOR THE MANAGEMENT OF NONCONFORMITIES AND CORRECTIVE ACTIONS

Code: 
Version: 0.1
Created by: 
Approved by: 
Date of version: 
Signature:

Distribution list

<table>
<thead>
<tr>
<th>Copy No.</th>
<th>Distributed to</th>
<th>Date</th>
<th>Signature</th>
<th>Returned Date</th>
<th>Signature</th>
</tr>
</thead>
</table>

©2015 This template may be used by clients of ERPS Services Ltd. www.advisera.com in accordance with the License Agreement.
Change history

<table>
<thead>
<tr>
<th>Date</th>
<th>Version</th>
<th>Created by</th>
<th>Description of change</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>0.1</td>
<td>14001Academy</td>
<td>Basic document outline</td>
</tr>
</tbody>
</table>

Table of contents

1. PURPOSE, SCOPE AND USERS .................................................................................................................. 3
2. REFERENCE DOCUMENTS .......................................................................................................................... 3
3. MANAGING NON-CONFORMITIES AND CORRECTIVE ACTIONS ................................................................. 3
   3.1. NON-CONFORMITIES ....................................................................................................................... 3
   3.2. CORRECTIVE ACTION ...................................................................................................................... 3
   3.3. IMPLEMENTATION OF CORRECTIVE ACTIONS ............................................................................. 4
   3.4. CORRECTIVE ACTIONS REVIEW .................................................................................................... 4
4. MANAGING RECORDS KEPT ON THE BASIS OF THIS DOCUMENT ......................................................... 4
5. APPENDICES ......................................................................................................................................... 5
1. Purpose, scope and users

The purpose of this procedure is to describe all activities related to the identification of nonconformities, initiation, implementation, and keeping of records of corrections, as well as corrective actions.

This procedure is applied to all potential and incurred non-conformities related to the Environmental Management System (EMS).

Users of this document are all persons responsible for processes in [organization name].

2. Reference documents

- ISO 14001:2015 standard, clause 10.2
- Environmental Manual
- Procedure for Internal Audit

3. Managing non-conformities and corrective actions

3.1. Non-conformities

A non-conformity is any failure to meet the requirements of the standards, internal documentation, or the environmental policy. Non-conformities can be identified during an internal or external audit, based on results of the management review, after incidents, during normal business operations, or on any other occasion.

If you have ISO 9001, you can insert this part into existing procedure for nonconformities and corrective actions.

The Environmental Nonconformity Record and take action to control it, contain it, and correct it, and to deal with its consequences.

3.2. Corrective action

A corrective action may be initiated by any employee or (where appropriate) client, supplier, or other interested party or by the management. Corrective actions are required that result in the elimination of the cause of the nonconformity.

Corrective actions must be appropriate to the consequences of occurred non-conformities that can have a negative influence on:

- Environment
- Performance of the organization
- Product

By reviewing corrective actions, [job title] ensures that consequences of the corrective action don’t have a negative influence on other parts of the system.
3.3. Implementation of corrective actions

A corrective action is implemented in the following way:

<table>
<thead>
<tr>
<th>Step</th>
<th>Person responsible for implementation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reviewing non-conformity</td>
<td>[job title], together with owner of process where nonconformity occurred</td>
</tr>
<tr>
<td>Defining the scope of non-conformity by identifying all processes</td>
<td>Process owner together with [job title]</td>
</tr>
<tr>
<td>and environmental aspects affected by non-conformity</td>
<td></td>
</tr>
<tr>
<td>Correcting actions that immediately correct non-conformity or</td>
<td>Person responsible for process in which non-conformity was discovered</td>
</tr>
<tr>
<td>prevent recurrence</td>
<td></td>
</tr>
<tr>
<td>Determining if a similar nonconformity exists, or could</td>
<td>Person responsible for resolving non-conformity</td>
</tr>
<tr>
<td>potentially occur</td>
<td></td>
</tr>
<tr>
<td>Identifying cause of non-conformity</td>
<td>Person responsible for resolving non-conformity</td>
</tr>
<tr>
<td>Deciding if it is needed to initiate corrective action depending on</td>
<td>Person responsible for resolving non-conformity</td>
</tr>
<tr>
<td>complexity of non-conformity</td>
<td></td>
</tr>
<tr>
<td>Planning corrective action</td>
<td>Person responsible for the area/process where the non-conformity has been identified</td>
</tr>
<tr>
<td>Implementing corrective action</td>
<td></td>
</tr>
</tbody>
</table>

Each of the above steps must be recorded in the Corrective Action Record.

3.4. Corrective actions review

The process owner in charge of enforcing corrective actions defines the deadline for the action and effectiveness review. Together with [job title], the process owner conducts corrective action review and, if it is needed, initiates changes in the OHS or new corrective action.

[Job title] records all corrective actions in the Register and Status for Corrective Actions and Non-conformities and enters results of the review.

Effectiveness of all corrective actions must be reviewed during the internal audit.

4. Managing records kept on the basis of this document
### 5. Appendices

- Appendix 1 – Environmental Nonconformity Record
- Appendix 2 – Corrective Action Record
- Appendix 3 – Registry and Status of Corrective Actions and Nonconformities