

SWWTD ENVIRONMENTAL MANAGEMENT SYSTEM



Name: Corrective / Preventive Action Procedure EMS 2002- 20.14	Revision #: 1
Prepared By: Cynthia I. Walters, Utility Systems Technician	Revision Date: 06/17/2002
Approved By: John E. Rhom, Plant Operations Superintendent	Effective Date: 06/17/2002
Signature:	PAGE 1 C F 3

1.0 Purpose

This procedure is to define the steps to initiate, execute and document corrective or preventive actions taken in response to nonconformances, the potential for nonconformance or system weakness. Specifically, the Corrective/Preventive Action Procedure includes the following issues as specified in clause 4.5.2 in ISO 14001-1996 E:

- a) The use of appropriate sources of information such as processes and work operations which impact EMS performance;
- b) The effective handling of customer complaints and reports of environmental nonconformities;
- c) Investigation of the cause of nonconformities relating to product, process and/or environmental nonconformities;
- d) Determination of the corrective/preventive action needed to eliminate the nonconformance or weakness;
- e) Application of controls to ensure that corrective/preventive action is taken and effective.

2.0 Scope

This procedure applies to all departments at the Utilities where EMS requirements are in place and environmental nonconformities occur.

3.0 Responsibility & Authority

- 3.1 All the Utilities staff has the authority and responsibility to initiate a request for preventive/corrective action by notifying their supervisor.
- 3.2 The supervisor(s) has the responsibility and authority to review the staff request for adequacy and relevance to the EMS.
- 3.3 The EMS Coordinator has the responsibility and authority to initiate a request for corrective/preventive action, verify the corrective action for completeness, close and communicate the corrective/preventive action results with the affected department(s).
- 3.4 The Management Representative has the responsibility and authority to initiate corrective/preventive actions to assure suitability and effectiveness of the EMS.

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4.0 Definitions and Acronyms

Corrective Action - Action taken to eliminate the cause of an existing nonconformance, defect or other undesirable situation in order to prevent recurrence.

Preventive Action - Action taken to prevent the occurrence of a potential nonconformance or undesirable situation related to the EMS.

Corrective/Preventive Action Request (CPAR) - EMS form used by all staff to report actual and potential nonconformances relating to the Utilities Environmental Management System.

Nonconformance/Observation Report (NOR) - EMS form used in reporting nonconformances (major and minor) and observations discovered during internal EMS audits.

5.0 Procedure

5.1 Nonconformity's/EMS Weaknesses found during Management Review, EMS Audit or Interested Party Concern

5.1.1 Utilities Staff

The Utilities staff may initiate a request for corrective/preventive action (CPAR) describing the environmental nonconformance / EMS weakness and forward to their supervisor.

5.1.2 Supervisor

The department Supervisor reviews the CPAR for EMS relevance and forwards to the EMS Coordinator or returns to the staff as not relevant to the EMS.

5.1.3 EMS Coordinator

The EMS coordinator may initiate requests for corrective/preventive action on nonconformity's or EMS weaknesses. Relevant CPAR forwarded to the EMS Coordinator will be assigned a reference number for tracking purposes and forwarded to the Steering Committee for corrective action resolution.

5.1.4 CPAR Acceptance

The department supervisor reviews the CPAR for understanding and acceptance and proceeds with preparation of a proposed corrective action plan. If there are concerns or disagreements with the CPAR the department supervisor will forward these concerns or disagreements to the EMS Coordinator.

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- 5.1.5 The EMS coordinator communicates with the department supervisor to resolve issues of concern or disagreement and comes to mutual agreement on the status of the CPAR documenting any agreed upon changes. The Management Representative will decide any unresolved concerns.
- 5.1.6 **Proposed Corrective Action**
The department supervisor initiates appropriate actions to investigate the extent of the problem, the environmental impact and then prepares and implements the corrective action plan with an associated schedule. Any corrective actions taken to eliminate the causes of actual or potential nonconformances shall be appropriate to the magnitude of the problems and commensurate with the environmental impact encountered.
- 5.1.7 **Verification**
When the corrective action is completed, notification is sent to the EMS Coordinator for verification of completeness. Upon verification of completeness the EMS coordinator closes the CPAR.
- 5.1.8 **Communication**
Upon closure of the CPAR the EMS Coordinator shall forward a copy of the CPAR to the affected department(s).
- 5.1.9 **Change Control**
The department supervisor initiates any appropriate action to implement and record changes to standard operating procedures, forms, etc. resulting from the corrective/preventive action in accordance with EMS procedures.
- 5.1.10 **Management Review**
The EMS Coordinator ensures relevant information on the corrective/preventive action is submitted for the next management review. Additionally, the EMS CPAR Tracking Log (a report that summarizes the progress being made on preventative and corrective EMS Program activities) shall be distributed at the Management Review meeting.
- 5.2.5 When the corrective action(s) is completed the EMS Coordinator will verify and notify Plant Operations Superintendent that the corrective action(s) have been completed and logged closed.
- 5.3 Related Documents and Data**
- 5.3.1 Corrective/Preventive Action Request (CPAR) **EMS2002-20.14A.**
- 5.3.2 Corrective Action Plan
- 5.3.3 Records of Change to Documented Procedures **EMS 2002-20.4.**
- 5.3.4 CPAR Tracking Log

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<p>City of Shelby <u>EMS Corrective/Preventive Action Request</u></p>	<p>Action Requested <input type="checkbox"/> Corrective Action <input type="checkbox"/> Preventive Action</p> <p>EMS Corresponding EMS Manual:4.5.2 ISO Standard:4.5.2</p>	<p>Form# EMS 2002.20.14A</p> <p>Revision: 1 Date Revised: 05/25/2002</p> <p>Effective Date: 05/25/2002</p>
Type or print clearly. Complete one form for each request.		Tracking Number (Assigned by EMS Coordinator.)
Section A. Identification of Staff Member and Department - This section is to be completed by the requestor.		
1. Identification (Name) (Title) (Date)		
2. Section/Department		3. Signature
Section B. Description of Corrective/Preventive Action - This section is to be completed by the requestor and forwarded to his/her supervisor. Be specific and describe the situation and proposed method of correction as clearly and accurately as possible in order that the situation can be properly assessed. Use additional paper if necessary.		
B (1). Description		
B (2). Proposed Method of Correction		
Section C. Department Review for EMS Relevance - This section is to be completed by the department supervisor of the person submitting this form and forwarded to the EMS Coordinator for tracking number assignment and implementation.		
1. Supervisor Identification (Name) (Title) (Telephone) (Date)		
2. Results of Review <input type="checkbox"/> Accepted <input type="checkbox"/> Rejected		3. If rejected, state reason.
4. Signature of Department Supervisor		5. Date forwarded to EMS Coordinator for action (if accepted)
Section D. Verification/Findings - This section to be completed by the EMS Coordinator.		
1. Date Received	2. Expected Completion Date	3. Date Closed
4. Findings/Comments		
5. Signature		

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SWWTD ENVIRONMENTAL MANAGEMENT SYSTEM

City of Shelby

EMS Corrective/Preventive Action Request

Reporting of a Nonconformance

Purpose: This form is used to report actual and potential nonconformance's relating to WWTD's EMS. All SWWTD staff has the authority and responsibility to initiate a request for preventive or corrective action to their supervisor.

How to Complete the Request: In order to properly respond to corrective/preventive actions, this form must be completed as accurately as possible. Failure to do so may result in delays in processing. Most items on the form are self-explanatory. If you require further information, please contact your supervisor or the EMS Coordinator. Definitions and further information regarding EMS Corrective/Preventive Actions can be found in the EMS Corrective/Preventive Action Procedure (**EMS 2002.20.14**). Contact the EMS Coordinator for the latest version of this document.

How to Submit the Request: After Section A has been completed; the form should be submitted to the requestor's immediate supervisor. It will then be reviewed for EMS relevance. After this review, the request will either be forwarded to the EMS Coordinator (if accepted) or returned to the initial requestor if disapproved.

Upon receipt of the request, the EMS Coordinator will assign a tracking number and notify the department supervisor of the expected completion date. After the request has been fully satisfied, the EMS Coordinator will file a report with WWTD's Executive Management and relative departments.

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