**Summary**

The purpose of this procedure is to engage in corrective and preventive action to discover, investigate and correct nonconformances related to INFRATEC products and services, its processes and the company’s Integrated Management System (IMS).

For internal use, the Company refers to this as the *CAR System*.

**Definitions**

Cognito Forms – Webform software [www.cognitoforms.com](http://www.cognitoforms.com)

Corrective Action Request (CAR) Form – a Cognito Form that is to be filled in by any member of staff when they identify an existing or potential nonconformity against ISO 9001, 14001 or 45001 requirements, company procedures as identified in the IMS Manual, customer requirements or statutory/regulatory requirements.

Corrective Action Request (CAR) pt 2 Form – Manager Response – a Cognito Form that is completed by the Appointed Manager following a submission of a CAR and assigned to them.

Appointed Manager – The Manager assigned to carry out follow up investigations by the Compliance Manger.

**Procedure - Overview**

1. The CAR system shall be used to address all of the following:
   1. Customer complaints
   2. Employee reports of problems with equipment, procedures, processes, buildings, infrastructure
   3. Employee suggestions for improvement
   4. Resolving trends associated with product or service nonconformities.
   5. Process nonconformities
   6. Audit findings (internal or external)
   7. Management review action items
   8. Any other reported problem or suggestion, no matter the source.
2. All employees are empowered to submit a corrective action request when they discover an existing or potential nonconformity.
3. In addition, customer complaints, returns, and/or reports of nonconformances shall be handled through corrective action procedures.
4. Employees may submit suggestions for improvement to the company through the CAR system.
5. This system provides for the reporting and resolution of both corrective action requests (existing problems) and preventive action requests (potential problems.)

**Procedure – CAR System**

1. To raise a CAR:
   1. Open the [Corrective Action Request Form (CAR) (IMD031)](https://www.cognitoforms.com/INFRATEC1/CorrectiveActionRequestFormCARIMD031RevAIssue001) form on your phone or any device made available to you.
   2. Answer all questions on the form.
   3. Include any photographs or documents that you may feel are relevant in the ‘Supporting Information’ section.
   4. Once all fields on the form and any supporting information have been uploaded, choose ‘Submit’
2. A copy of the completed form will be emailed to the submitter and the Compliance Manger email account.
3. The Compliance Manager will ensure the CAR is recorded on the CAR Log and will assign an Appointed Manager who is best able to research and resolve the issue and enter this in the log under “Assigned To.”
4. The Compliance Manager will assign a response date for the CAR; this can be whatever time frame the Compliance Manager thinks is suitable for the issue being investigated. The consideration of this time frame will take into consideration the level of effort expected, costs, risks, etc.; for example, some actions may take months to correct and resolve, while others may take days or less. If necessary, the Compliance Manager will determine this time frame with the help of the assignee.
5. The Compliance Manager will then send the CAR to the assignee.
6. The log will highlight when CARs are overdue, based on the assigned date. In the event of an overdue CAR, the Compliance Manager will either negotiate a revised date with the Assignee or escalate the CAR to the Appointed Manager’s Manager for attention.
7. The Appointed Manager will begin their investigation using [Corrective Action Request Form (CAR) pt 2 (IMD031)](https://www.cognitoforms.com/INFRATEC1/CorrectiveActionRequestFormCARPt2IMD031RevAIssue001) and will complete the form by:
   1. Entering the CAR No. found on the email from the Corrective Action Request original submission
   2. Upload a copy of the Corrective Action Request Form (CAR) (IMD031)
   3. Conduct a root cause analysis to determine the cause(s) of the problem. This exercise should be thoughtful and detailed, so as to ensure the actual root causes are identified. Failure to properly conduct root cause analysis may result in the wrong cause being acted upon, and thus the problem not being permanently resolved.
   4. Root cause analysis is mandatory for corrective or preventive actions; it is not required for opportunities for improvement or suggestions since these may not be attached to any known problem; in such cases root cause analysis is optional.
   5. The Appointed Manager will then develop an action plan to address the root cause and eliminate it. By eliminating the root cause, the problem should never occur or recur.
   6. The Appointed Manager will then implement the plan.
   7. Once the action is complete, and the Appointed Manager feels the issue is resolved, he/she will sign the CAR Form and indicate a completion date and choose ‘Submit’.
8. A copy of the completed form will be emailed to the submitter and the Compliance Manger email account.
9. The Compliance Manager will update the CAR Log, indicating the action complete date.
10. The Compliance Manager will perform independent verification of the actions taken to ensure the actions are effective in resolving the root cause(s). This verification should examine evidence and take into consideration the following:

* Has the action plan removed the root cause(s)?
* Does the action appear to eliminate the original issue reported?
* Were any related documents updated, as needed?
* Was training conducted, if required?
* Does the action require an update to the internal audit schedule?
* Were all interested parties properly notified of the actions taken?

1. The Compliance Manager will record the results of the verification activity in the log.
2. If the issue is satisfactorily addressed, the Compliance Manager may close the CAR by indicating this in the CAR log.
3. If the Compliance Manager determines the issue is not properly addressed, the CAR may be re-assigned for further action, or a new CAR Form filed. This is indicated in the log.
4. The CAR Log generates trend reports for both corrective and preventive actions over time; these are reported during management review.

**Main Responsibilities**

All Staff

* Complete the [Corrective Action Request Form (CAR) (IMD031)](https://www.cognitoforms.com/INFRATEC1/CorrectiveActionRequestFormCARIMD031RevAIssue001) form for all corrective or preventive action requests.

Appointed Managers

* Ensure all reported CARs are investigated as soon as practicably possible and recorded on the [Corrective Action Request Form (CAR) pt 2 (IMD031)](https://www.cognitoforms.com/INFRATEC1/CorrectiveActionRequestFormCARPt2IMD031RevAIssue001)
* Ensure any learning from their investigations is communicated to the relevant staff.

Compliance Manager

* Ensure all CARs are logged on to the CAR Log and assign who is best able to research and resolve the issue
* Perform independent verification of the actions taken to ensure the actions are effective in resolving the root cause(s).
* Record the results of the verification activity in the log.

**QR Links to the above name forms**

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| --- | --- |
| A qr code with a few black squares  Description automatically generated | A qr code with black squares  Description automatically generated |
| [Corrective Action Request Form (CAR) (IMD031)](https://www.cognitoforms.com/INFRATEC1/CorrectiveActionRequestFormCARIMD031RevAIssue001) | [Corrective Action Request Form (CAR) pt 2 (IMD031)](https://www.cognitoforms.com/INFRATEC1/CorrectiveActionRequestFormCARPt2IMD031RevAIssue001) |