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Corrective and Preventive Action Process

Overview

This document defines the SCO corrective and preventive action process and provides guidelines for the following:

- Corrective action (CA) activity
- Preventive action (PA) activity and tracking

Audience

This document is for SCO employees, and suppliers to these operations.

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INTRODUCTION

The practice described in this document establishes the essential elements of the following:

1. Investigating the root cause of non-conformities and identifying the CA needed to prevent re-occurrence
2. Detecting and eliminating potential causes of non-conformity and analyzing the following:
    a. Processes
    b. Work operations
    c. Measurements
    d. Incidents
    e. Quality records
    f. Service reports
    g. Customer complaints
3. Initiating alerts to deal with problems at a level corresponding to the risks encountered
4. Applying controls to ensure that CA is taken and verifying that it is effective (non-repeat issues)
5. Implementing and documenting changes in processes affected by the validated CA

APPLICABILITY

This document is applicable to all SCO organizations, their suppliers (excluding RHO) and applies to CA taken to resolve the following:

- Customer complaints
- Product issues
- Service issues
- Process issues

The document is also applicable for Preventative Action activity.

PROCESS

Use the CA process to do the following:

- Determine the root cause of problems.
- Ensure that appropriate resolution is taken to ensure re-occurrences can be prevented.
- Evaluate the significance of a problem affecting quality in terms of its potential impact on such aspects as the following:
- Production or quality costs
- Performance
- Reliability
- Safety
- Customer satisfaction
- Take CA in response to non-conformities identified in the following:
- Audits (internal, external, or supplier audits)
- Customer complaints (process- or product-related)
- Management review
- Product defects
- Process problems at departmental or cross-functional level
- Re-occurrence of incidents or problems

- Indications from trended data or performance measurements
- Safety or environmental issues

Preventive Action (PA)

Use the PA process to take preventative measures to eliminate the causes of potential non-conformities with products, processes, or service. Consider the risk associated with the action and the importance of the problem.

PA includes the following:

- Project risk management
- Reliability prediction
- Preventive maintenance
- Improvement plans (could be, DFM, DFS, DFT, or a mutually acceptable practice between Oracle and supplier.)

PA must:

- Be assigned to the individual most capable of implementation of solutions to prevent issues from occurring
- Include a root cause analysis (RCA)
- Be monitored for effectiveness to ensure that the problem does not reoccur

CA & PA TRACKING ELEMENTS

The required elements of CA and PA tracking are the following:

- The description of the item
- The name of the person assigned to take action
- The date the item was assigned
- The anticipated date of completion (target date)
- The actual completion date
- A brief description of the status and the resolution
- A severity and/or priority level, as applicable
- Tracking mechanism, such as an item number, where more than one action exists
- A validation method to determine that effective corrective and preventive action occurred

NON-CONFORMANCE CORRECTIVE ACTION TOOL (NCAT)

One of the key elements of CA and PA is a method to track activity and record results. Within SCO NCAT:

NCAT access is granted through Oracle's Access Provisioning System (APS) for internal or employee access.

NOTE 1: SCO suppliers need to get access to NCAT through Oracle's Supplier Management - Supplier User Account Creation Request - Field Services (http://my.oracle.com/content/web/cnt653263).

APPENDIX

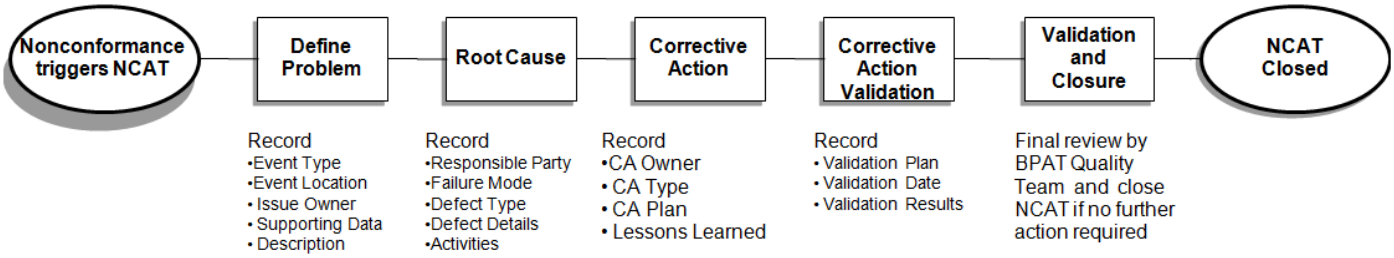

Figure 1. NCAT Process Flow

Reference Documents and Records

DOCUMENT TITLE
Supplier User Account Creation Request - Field Services: http://my.oracle.com/content/web/cnt653263

DOCUMENT HISTORY AND APPROVALS

Dash	*Rev*	*Date*	*Description of Change*	*Originator*
01	A	04 May 2007	Initial release.	N/A
02	A	06 Mar 2008	Updated document to include supplier use and the link to CPAS.	N/A
02	B	10 Aug 2010	Updated to Oracle template, replaced Sun references with Oracle, removed obsolete references, and removed Linlithgow and added Fremont.	N/A
02	C	21 Apr 2011	Removed the Fremont facility.	N/A
02	D	22 Aug 2011	Updated to latest Oracle template.	N/A
03	A	11 Apr 2012	Updated to NCAT tool reference.	N/A
Agile History				
Rev		***Date***	***Description of Change***	***Originator***
04		20 Nov 2015	Updated to include all of WWOPS and added new NCAT flow	N/A
05		23 Nov 2015	Fixed incorrect document revision on cover page (from Rev 04).	N/A
06		24 Feb 2017	Update to reflect organization changes and converted to Word file format.	N/A
Fusion History				
07		10 Apr 2019	Updated to change WWOPs to SCO and update links	N/A
08		14 Apr 2019	Update NCAT Link	N/A
09		15 Feb 2022	Update to current corporate format. Remove RHO reference	N/A
10		11 Mar 2022	Fix list of tables page # on page 1. Showed a bookmark not defined error. No content change.	N/A

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