1.0 PURPOSE :

To investigate causes of nonconformance and to establish corrective action to prevent recurrence and preventive action to prevent potential occurrence.

2.0 SCOPE :

Applicable to product nonconformities detected and potential nonconformities, identified from scrutiny of processes and work operations which affect quality, and from quality records & customer complaints. Also applicable for improvement actions taken for continual improvement.

3.0 REFERENCES :

CP00 - 401 Format - "Corrective Action Report"
CP00 - 402 Format - "Preventive Action Report"
NC00 - 401 Format - "Nonconformity Report"
SR00 - 402 Format - "Factory Service Report"
SR00 - 403 Format - "Site Service Report"

4.0 ANNEXURES :

Annexure A - Process Maps & Flow-Charts
Annexure B - Records Table
Annexure C - Guidelines
# Annexure A - PROCESS MAPS & FLOW-CHARTS

## Corrective Action Process

<table>
<thead>
<tr>
<th>Process Owner</th>
<th>Process Controls</th>
<th>Process Goals (Targets)</th>
</tr>
</thead>
<tbody>
<tr>
<td>MR</td>
<td>Guidelines (Annexure 'C')</td>
<td>Atleast 6 Corrective Actions over the year</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Process Inputs</th>
<th>Process Name</th>
<th>Process Outputs</th>
</tr>
</thead>
<tbody>
<tr>
<td>Factory service Report, Site Service Report, NC Register</td>
<td>Corrective action</td>
<td>Corrective Action Report</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Process Verification</th>
<th>Process Resources (Means)</th>
<th>Process Measures (Metrics)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Through Auditing and Process Performance Measures</td>
<td>---</td>
<td>Number of CAs over the year.</td>
</tr>
</tbody>
</table>

## Preventive Action Process

<table>
<thead>
<tr>
<th>Process Owner</th>
<th>Process Controls</th>
<th>Process Goals (Targets)</th>
</tr>
</thead>
<tbody>
<tr>
<td>MR</td>
<td>Guidelines (Annexure 'C')</td>
<td>Atleast 3 Preventive Action Report over the year</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Process Inputs</th>
<th>Process Name</th>
<th>Process Outputs</th>
</tr>
</thead>
<tbody>
<tr>
<td>MR Report, Other QMS Reports, Data Analysis Outputs</td>
<td>Preventive action</td>
<td>Preventive Action Report</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Process Verification</th>
<th>Process Resources (Means)</th>
<th>Process Measures (Metrics)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Through Auditing and Process Performance Measures</td>
<td>---</td>
<td>Number of Preventive Action Report over the year.</td>
</tr>
</tbody>
</table>
Investigation / root-cause analysis of the nonconformity is arranged. Appropriate corrective actions are decided, in consultation with other Depts, to prevent recurrence of the NC. Suggested corrective actions are recorded in the Corrective Action Report, with Target Dt. and responsibility for their implementation.

Nonconformities are further investigated for identifying other root-cause and alternative corrective action. Details are entered in a new CAR.

Implementation of suggested corrective actions is monitored to ensure planned actions are implemented:
- on time - by the Target Dt.
- reliably and effectively.

Corrective actions are verified for satisfactory completion, and effectiveness. Result of verification is entered in the CAR.

Corrective actions effective?
- Yes
  - Changes in process / work operations are implemented, together with necessary documentation changes.
- No
  - Nonconformities are further investigated for identifying other root-cause and alternative corrective action. Details are entered in a new CAR.
Preventive Action process (A2)

Need for identifying potential nonconformities

For identifying potential nonconformities, the following are reviewed, half yearly:
- management review Report:
  - audit results, nonconformities / observations
  - customer complaints, including problems during commissioning / warranty
  - customer satisfaction results
  - process performance measurements, for both product realization and support processes
  - recurring nonconformities during inspection & testing
- other relevant QMS records

Any potential nonconformities identified, are individually recorded in separate Preventive Action Reports, along with probable causes for their possible occurrence

Actions required, to prevent the occurrence of the potential nonconformities, are determined and same are recorded in the Preventive Action Report

Preventive Action Report

CP00-402
Preventive Action process (contd.)

Implementation of the proposed preventive actions is monitored to ensure planned actions are implemented:
- on time - by the Target Dt.
- reliably and effectively

A2.5

- Preventive actions are verified for satisfactory completion, and effectiveness
- Results of verification are recorded in the Preventive Action Reports

A2.4

Preventive actions effective?

No

A2.6

Process changes, as also changes in work operations, are implemented and any resulting documentation changes are also carried out

Yes

A2.7

- Any occurrence of the potential nonconformity is further investigated for identifying other root-cause and alternative action
- Details are entered in a new Preventive Action Report

Preventive Action Report (PAR) CP00-402

A
Annexure B - RECORDS TABLE

<table>
<thead>
<tr>
<th>Sr. No.</th>
<th>RECORD REFERENCE</th>
<th>RECORD DESCRIPTION</th>
<th>RECORD LOCATION</th>
<th>MAINTAINED BY</th>
<th>RETENTION PERIOD</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>CP00-901</td>
<td>&quot;Corrective Action Report Book&quot; : Corrective Action Report (CP00-401)</td>
<td>MR's. Off.</td>
<td>MR</td>
<td>3 Years</td>
</tr>
</tbody>
</table>

Annexure C - Guidelines

1. Incase of Corrective Actions resulting from Management Review the same is mentioned under N.C. REF.

2. Corrective Action Report Book is also filled for improvement actions and the same is mentioned under N.C. REF. and the basis for taking the improvement action is mentioned under problem analysis.