

NUCLEAR SAFETY DIRECTORATE - BUSINESS MANAGEMENT SYSTEM		
Directorate Business Procedure CORRECTIVE AND PREVENTIVE ACTIONS		DBP 006
		ISSUE 001
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1. Purpose & Scope

1.1 This procedure describes the process for completing preventive/corrective-actions, following the discovery of non-compliances during the BMS audit programme.

2. Policy

2.1 Corrective and Preventive actions together with suitable timescales shall be determined, for all non-compliances discovered during the audit program.

3. Responsibilities

3.1 The Division/Unit Head may appoint a member of their staff to act as the Divisional Representative for the purpose of this procedure. However, the Divisional/Unit Head remains responsible for compliance.

3.2 It is the Divisional Representative's responsibility to consider and propose appropriate preventive/corrective-action following the discovery of non-compliance(s). Where actions will be of a long term nature, short term 'meanwhile' actions may also be required to address the non-compliance(s).

3.3 It is the responsibility of the lead auditor to ensure that the Divisional Representative proposes suitable timescales for the preventive/corrective-actions in order to overcome the non-compliance(s).

3.4 The lead auditor shall conduct a brief return visit to the area of non-compliance to ensure that the agreed preventive/corrective-action has been carried out within the agreed timescale.

3.5 It is the responsibility of the BSM to monitor the progress of preventive/corrective-action and to liaise with the Unit Head or Division Head to resolve any problems should any preventive/corrective-action not be completed within the agreed timescale.

4. Definitions

4.1 Preventive action : action taken to eliminate the causes of a potential non-conformity or defect in order to prevent recurrence.

4.2 Corrective action : action taken to eliminate the causes of an existing non-conformity or defect, in order to prevent recurrence.

5. Procedure

5.1 During the Audit Closing meeting, the lead auditor will discuss the non-compliances discovered during the audit programme with the Division/Unit head and ask them to propose preventive/corrective-action. Where further analysis or examination is required before suitable preventive/corrective actions can be proposed, a suitable timescale for this shall be determined.

5.2 The Division/Unit Head will propose appropriate preventive/corrective-actions and timescales for each action. The timescales must meet the Division/Unit's operational needs and the auditor's BMS requirements.

5.3 The lead auditor shall produce an audit report detailing the findings of the audit, and the agreed actions/timescales, within four weeks of completing the audit. This shall be forwarded to the BSM and the Division/Unit Head.

5.4 The BSM shall maintain a log of all non-compliances, the target date for preventive/corrective actions, and the date of final closure (when the preventive/corrective actions have been implemented). This log shall be made available to auditors whenever required.

5.5 The lead auditor shall make a brief return visit to the area of audit, after the agreed timescale to verify that the preventive/corrective-action has been taken. If this is the case, the auditor will issue a note to the BSM indicating that the preventive/corrective action has been implemented. In the event that the preventive/corrective-action is not completed within the agreed timescale, the BSM will contact the appropriate Head of Division/Unit and negotiate a revised timescale for the work to be completed.

6. Associated Documents

BMM 001 - Business Management Manual

DBP 004 - Audit

DBP 005 - Auditor Training