

PROCEDURE 19: CORRECTIVE AND PREVENTIVE ACTIONS

PURPOSE: Corrective and Preventive Actions by FSAB are required when nonconformities are noted or anticipated either internally by directors or externally by stakeholders or external auditors.

SCOPE: This procedure applies to all of the FSAB functions when nonconformities are observed or foreseeable.

CORRECTIVE ACTIONS

Corrective action will be undertaken when one or more nonconformities are noted either internally by a Director or externally by stakeholders or external auditors. All activities associated with corrective actions will be memorialized on the corrective action form. Corrective actions follow the steps below:

1. Identification of the nonconformity (e.g., from complaints, internal audits, feedback from stakeholders, etc.)
2. The President shall be notified immediately of any nonconformity.
 - a. Determination of the root cause of nonconformity. This determination can be done by interviews, debriefs, memoranda, records review, etc. This determination will be conducted by an ad hoc committee which is appointed by the President to determine the root cause.
3. The ad hoc committee shall devise a corrective action plan in response to the root cause determination and shall be memorialized on the corrective action plan. The corrective action plan shall be submitted to the Executive Committee. The corrective action plan, once approved by the EC, shall be initiated.
4. Recording the results of action taken. The ad hoc committee will monitor the corrective action plan and report to the EC until the corrective action is closed by the EC.

PREVENTIVE ACTIONS

1. Preventive actions can emanate from corrective actions or other sources and will be undertaken to identify opportunities for quality improvement and to minimize future nonconformities. All preventive actions shall be memorialized on the preventive actions form. Preventive actions can be derived from corrective actions and other sources (complaints, internal audits, feedback, SWOT forms, etc.). A preventive action follows the steps below:
 2. Determination and implementation of the preventive actions needed.
 - a. This determination and implementation shall be conducted by the EC or in appropriate circumstances by an ad hoc committee which is appointed by the President to determine the preventive action to be taken.

- 1) When an ad hoc committee is utilized, the EC shall review the preventive action and shall memorialize this action in writing on the preventive action form including whether an ad hoc committee was recommended.