

EPDS - Corrective Action Process Flow

REFERENCE ONLY

Process Flow	Roles	Owner Inputs/Actions	EPDS Workflow		Notifications
			Forward	Workflow Actions	
	Originator	Input: Title Clearly describe the problem / issue Propose the Responsible Party Attach supporting info If Rejected: Revise above items	6.1	ACTIVATE	
		6.1	REACTIVATE [to Quality Team]		
	Quality Team ONLY	Review: Review CAR/PAR request Title & Description Input: Responsible Party - Contact - Company Responsible Function Category Classification Response due date Custom MSG (next step expectations) Notes: Determine if CAR/PAR will be assigned for external oversight	6.2.1.2	SUSPEND [to Originator]	
		6.2.1.1	CLOSE [to Originator]		
		6.2.3	Ad-hoc Forward [to Responsible Party]	CC: External Oversight (*)	
	Responsible Party	Input: Root Cause Implementation Date Action Plan(s) Custom MSG (next step expectations) When Rejected: Revise above items by date indicated. Reactivate revised CAR/PAR to Quality Team	6.3	Ad-hoc Forward [to Quality Team (*)]	
		6.3	REACTIVATE [to Quality Team (*)]		
	Quality Team (*)	Review: Root Cause Implementation Date Action Plan(s) Input: Conclusion comments Custom MSG (next step expectations) -Approve / Reject statement Notes: For all rejections notify the Responsible Party that the revision must be completed and returned within 5 days	6.4.2	SUSPEND [to Responsible Party]	CC: Quality Team (*)
		6.4.1	SUBMIT FOR CLOSURE [to Responsible Party]	CC: Quality Team (*)	
	Responsible Party	Input: Completion date Attach Supporting documentation Custom MSG (next step expectations)	6.5	Ad-hoc Forward [to Quality Team (*)]	
	Quality Team (*)	Review: Date completed Implementation evidence Conclusion comments Input: Re-inspection Date Conclusion comments Custom MSG (next step expectations) -Approve / Reject statement Notes: For all rejections notify the Responsible Party that the revision must be completed and returned within 5 days	6.6.5	Ad-hoc Forward [to Responsible Party]	CC: Quality Team (*)
		6.6.6	SUSPEND [to Responsible Party]	CC: Quality Team (*)	
		6.6.3	Ad-hoc Forward [to Quality Team]	CC: Quality Team (*)	
	Quality Team ONLY	Input: Validation date Conclusion comments Custom MSG (next step expectations) -Approve / Reject statement Notes: For all rejections notify the Responsible Party that the revision must be completed and returned within 5 days	6.7.3	SUSPEND [to Responsible Party]	CC: External Oversight (*)
		6.7.2	CLOSE [to Originator]	CC: Responsible Party External Oversight (*)	

(*) To be completed by External Oversight person when designated by the Quality Team (see 6.2)

CAR/PAR QUICK NOTES

Purpose: The purpose of this document is to define the procedure for processing requests for corrective or preventive actions within the Program Management Office (PMO).

Definitions:

- A corrective action is the process used to identify, correct and eliminate reoccurrence of root cause (or causes) of a nonconformance in procedures, processes or PMO related activities.
- A preventive action is the process used to identify the actions needed to eliminate the cause of a potential nonconformance or other undesirable potential situation in procedures, processes or PMO related activities before it occurs.
- Internal Audit Findings – CAR / PAR as a result of audit findings in accordance with *QM-08 Quality Audit* procedure or other observances of process, or procedural noncompliance within the PMO or its consultants.
- External Audit Findings – CAR / PAR resulting from audits that have been conducted on behalf of the PMO / NTTA.

Responsibilities:

CAR / PAR Originator – Any NTTA stakeholder may originate a corrective or preventive action (CAR or PAR) request. A CAR or PAR request may be created and activated by the Originator, and submitted to the Quality Team for review. The Originator shall clearly define the identified nonconformance and provide supporting data / evidence.

The Quality Team shall:

- Be responsible to review submitted requests for a CAR or PAR to determine if they are valid and best suited to resolution through the CAR / PAR process
- When opening a CAR / PAR, clearly define the identified nonconformance and provide supporting data / evidence
- Identify and assign the responsible party for effective resolution of the CAR / PAR
- Review submitted CAR / PAR to determine if the true root cause has been addressed and if the proposed action plan is sufficient to prevent recurrence
- When a CAR / PAR is completed, verify the action plan has been implemented
- Designate External Oversight Person (EOP) for limited process oversight when the CAR / PAR is generated by someone outside of the PMO office, or more familiar with the subject matter, in the judgment of the Quality Team
- Validate the actions taken for all CAR / PAR
- Approval and closing all completed CAR / PAR

External Oversight Person shall:

- Act in the role of the Quality Team in steps 6.4 and 6.6 when a CAR / PAR has been assigned to them for management oversight.

Responsible Party shall:

- Provide a response to Quality Team within the time allowed and identifying the true root cause or causes of the nonconformance
- Provide a corrective / preventive action plan to prevent recurrence
- Determine the implementation date when the action plan will be completed
- Ensure the approved corrective action plan is completed by the indicated implementation date
- Notify the Quality Team when implementation is complete and ready for verification

Classification, Response Due Date and Description:

Classification	Response*	Description
Critical	5 days	To be used when the nonconformance deals with an unsafe condition presenting hazard to life or health.
Major	10 days	To be used when a nonconformance has resulted in: <ul style="list-style-type: none"> • A complete breakdown of a documented process • Multiple minor nonconformance in the same discipline • Systemic failure of a process required by the Quality Management System
Minor	10 days	To be used for a single lapse within a documented process.
Observation	N/A	Observations shall be utilized as the PMO vehicle for accomplishing Preventive Action as required by the Quality Management System. To be used when observing a potential nonconformance.

* Business days, Monday through Friday

Table 1

**FOR REFERENCE ONLY –
Refer to QMS procedure QM-10 for
controlled version**

**FOR PROCESS QUESTIONS –
Peter Claypool – pclaypool@ntta.org
Troy Federspiel – tfederspiel@ntta.org**

**FOR EPDS TECHNICAL QUESTIONS –
EPDShelp@ntta.org
FOR URGENT EPDS QUESTIONS – 214-224-2405**