

# Corrective Action Reference Card

Process Flow	Roles	Owner Inputs/Actions	EPDS Workflow		Notifications
			Forward	Workflow Actions	
	Originator	<b>Input:</b> Title Clearly describe the problem / issue Propose the Responsible Party Attach supporting info If Rejected: Revise above items	6.1	ACTIVATE	
		If Rejected: Revise above items	6.1	REACTIVATE [to Quality Team]	
	Quality Team ONLY	<b>Review:</b> Review CAR/PAR request Title & Description  <b>Input:</b> Responsible Party - Contact - Company Responsible Function Category Response due date Custom MSG (next step expectations)  <b>Notes:</b> Determine if CAR/PAR will be assigned for external oversight	6.2.1.2	SUSPEND [to Originator]	
		6.2.1.1 Close CAR / PAR	6.2.1.1	CLOSE [to Originator]	6.2.3
	Responsible Party	<b>Input:</b> 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 (*)]	
		When Rejected: Revise above items by date indicated. Reactivate revised CAR/PAR to Quality Team	6.3	REACTIVATE [to Quality Team (*)]	
	Quality Team (*)	<b>Review:</b> Root Cause Implementation Date Action Plan(s)  <b>Input:</b> Date response submitted into the Validation Due Date Field Conclusion comments Custom MSG (next step expectations) -Approve / Reject statement  <b>Notes:</b> 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 Approved	6.4.1	SUBMIT FOR CLOSURE [to Responsible Party]	
	Responsible Party	<b>Input:</b> Completion date Attach Supporting documentation Custom MSG (next step expectations)	6.5	Ad-hoc Forward [to Quality Team (*)]	
		Completion date Attach Supporting documentation Custom MSG (next step expectations)	6.5	Ad-hoc Forward [to Responsible Party]	CC: Quality Team (*)
	Quality Team (*)	<b>Review:</b> Date completed Implementation evidence Conclusion comments  <b>Input:</b> Re-inspection Date Conclusion comments Custom MSG (next step expectations) -Approve / Reject statement  <b>Notes:</b> 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 Rejected	6.6.6	SUSPEND [to Responsible Party]	6.6.3
	Quality Team ONLY	<b>Input:</b> Conclusion comments to include dates as needed Custom MSG (next step expectations) -Approve / Reject statement  <b>Notes:</b> 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 CAR / PAR	6.7.2	CLOSE [to Originator]	

(\*) 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
- Make a recommendation for the individual who will be assigned as the Responsible Party

The Quality Team shall:

- Quality Team has 5 business days to review and respond to the submitted CAR / PAR request
- 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
- Notify the Responsible Party that the Root Cause and Action Plan are due 10 business days from the the date of issue
- 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
- Verify the implementation of the CAR / PAR action plan
- 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 effectiveness of 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 10 business days
- Identify 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
- Request any extension that may be needed

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

**FOR PROCESS QUESTIONS –**  
Peter Claypool – [pclaypool@ntta.org](mailto:pclaypool@ntta.org)  
Troy Federspiel – [tfederspiel@ntta.org](mailto:tfederspiel@ntta.org)

**FOR EPDS TECHNICAL QUESTIONS –**  
[EPDShelp@ntta.org](mailto:EPDShelp@ntta.org)  
FOR URGENT EPDS QUESTIONS – 214-224-2405