**Date last modified/updated:** Click here to enter a date. **Internal audit:** Click here to enter a date.

**Who last modified/updated:** Click here to enter text. **Management review:** Click here to enter a date.

**This part of the Navigator Playbook is completed when you have:**

1. **Developed and implemented a process for taking corrective action at your organization.**
2. **Defined roles, responsibilities and authorities for the various steps in the corrective action process.**
3. **Trained employees on types of problems and nonconformities to be addressed through implementing the corrective action process.**
4. Develop and implement a process for taking corrective action at your organization.

Our established process for corrective action addressed all of the following elements:

* Control and correct the immediate situation
* Evaluate the impacts of the nonconformity
* Determine the cause of the nonconformity
* Act to eliminate the cause
* Review the effectiveness of the action taken
* Retain records

1. Define roles, responsibilities and authorities for the various steps in the corrective action process.

|  |  |  |
| --- | --- | --- |
|  | We have assigned responsibility for managing the corrective action system to: | Jim Doe – Energy Team Lead |

We have communicated roles, responsibilities and expectations for the corrective and preventive action system across the facility to relevant personnel. The following responsibilities may be delegated, but the manager of the corrective action system (assigned above) is responsible for ensuring all three of these activities occur and that appropriate records are retained:

|  |  |  |
| --- | --- | --- |
|  | The individual assigned to conducting cause analysis is: | Supervisor for the affected area |
|  | The individual assigned to conducting investigations is: | Assigned by the area supervisor |
|  | The individual assigned to act is: | Assigned by the area supervisor |

*We have assigned the following roles and responsibilities:*

|  |  |
| --- | --- |
| Our **employees** understand they are responsible for: | |
|  | Identifying actual and potential nonconformities in their work areas. | This is included in safety training and new EnMS training. Link to suggestion box is easily found. |
|  | Informing appropriate supervisory personnel | Same as above. |
|  | Making any immediate corrections | Who is responsible for making immediate corrections varies on a case by case basis. |

|  |  |
| --- | --- |
| Our **internal auditors** understand they are responsible for: | |
|  | Determining if nonconformities exist in the EnMS | This is explained in our internal audit training. |
|  | Informing appropriate supervisory personnel | This is explained in our internal audit training. |
|  | Making any immediate corrections | This is explained in our internal audit training. |

1. Train employees on types of problems and nonconformities to be addressed through implementing the corrective action process.

We have implemented our process for corrective and preventive action and have ensured that all necessary training for identifying and responding to significant deviations in energy performance is provided

We discuss identification and the proper method for responding to deviations in function-specific trainings. We also give an overview of the corrective and preventive action process.

We have established criteria for what shall be considered a significant deviation and have detailed below:

|  |
| --- |
| Significant deviation for performance metrics and expected savings is more than 20% off the expected value, or 5% for specific SEUs.  For process performance, significant deviation is a qualitative dissonance between the goal of the system and the observed result. Quantitative evidence such as length of time between suggestion and response or break from described frequency of an activity may be used to justify demarcation as a significant deviation. |

We have established processes for identifying and addressing existing and potential problems or nonconformities regarding the 50001 Ready system and have detailed below:

|  |
| --- |
| We have two forms shared within the organization: interested party suggestion and nonconformity reporting forms. The latter we circulate to SEU-related, procurement and process design staff quarterly.  Form responses are automatically cataloged, and the energy team is responsible for issuing replies and documenting both the reply and the follow-up actions required. |

We will investigate and provide an appropriate response for all significant deviations of key characteristics identified and record results of the response in the following table:

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Identified deviations and non-conformities** | **Impact** | **Cause** | **Response** | **Effectiveness of action taken** | **Responsible person** | **Date corrected** |
| 8.5% increase in Aeration Process Energy Use for month of December 2020 | Increase in EnPI, electricity consumption, and energy costs | DO Sensor Malfunction weekend of Dec 12-13 caused blowers to run continuously | Malfunctioning DO sensor identified and replaced | DO controls appear to be back in working order | Jane Doe | **12/14/20** |
| T8’s purchased for Pump Room B instead of new LED’s | Does not follow improvement opportunity or Energy Consideration Policy for Procurement | Auto Purchase of Replacements was not updated after EnMS implemented | All Auto Purchases have been updated to reflect Energy Consideration Policy for Procurement | Seems to be effective. | Jack Doe | **12/18/20** |

*The following worksheets will assist your team in tracking corrective actions and preventative actions.*

Corrective Action/Preventive Action Request (CAR/PAR) Form

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **EnMS CORRECTIVE ACTION/PREVENTIVE ACTION REQUEST** | | | | | |
| TRACKING NUMBER: CAR005 | | | | | |
| Type (check one): | Corrective Action | | | Preventive Action | |
| Source (check one): | Internal Audit Finding  Monitoring and Measurement  Energy Assessment  Legal Noncompliance  Noncompliance with Other Requirement Subscribed To  External Audit  Management Review  Other (specify): | | | Employee Suggestion  Management Review  Data Analysis  Other (specify): | |
| Date:  **12/13/20** | | Issued by:  Facilities Manager | | | |
| Response Due Date:  **12/14/20** | | Issued to:  Aeration Process Head | | | |
| *Description* of the problem (for corrective action) or opportunity (for preventive action):  Evidence:  Aeration Process Energy Use monitoring alarm set off when Significantly Deviated (>5%) from expected energy use.  Requirement:  Determine cause and correct problem.  Statement of Nonconformity:  Aeration Process Energy Use Significantly Deviated (>5%) from expected energy use. | | | | | |
| ***Investigation and Action***  *This section to be completed by the affected department manager.* | | | | | |
| Root cause of the actual or potential problem: (How/Why did this happen?)  Faulty DO sensor in Aeration Basin B | | | | | |
| Action needed?  Yes  No | | | | | |
| Correction (fix now) with completion dates:  Replace DO sensor ASAP and confirm operating correctly. | | | | | |
| Corrective Action (to prevent recurrence) or Preventive Action (to prevent occurrence) to be taken:  Calibrate DO sensors quarterly and follow-up with manufacturer about warranty life of sensors. | | | | | |
| Estimated completion date:  **12/14/20** | | | Extended completion date (if applicable):  **N / A** | | |
| Reason for time extension:  N / A | | | | | |
| Reviewed by:  Jim Doe | | | | | Date:  **12/16/20** |
| *This section to be completed by the affected dept. manager - after action is completed.* | | | | | |
| Action completed by:  Jane Doe | | | | | Date completed:  **12/15/20** |
| ***Follow-Up and Closure***  *This section is to be completed by issuer after action is completed.* | | | | | |
| Results of action taken:  Aeration process back within expected energy usage, DO sensors operating correctly, received warranty rebate money for faulty DO sensor. | | | | | |
| Was the action effective?  Yes  No  Explain:  Aeration process back within expected energy usage. | | | | | |
| Results reviewed by:  Jim Doe | | | | | Date closed:  **12/16/20** |
| Did this CAR/PAR result in changes to EnMS documents?  Yes  No | | | | | |
| If yes, which document(s) was (were) changed?  N / A | | | | | |

Corrective Action/Preventive Action Request (CAR/PAR) Tracking Log

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **CAP/PAR #** | **Source\*** | **Assigned to:** | **Title/Description** | **Issue Date** | **Due Date** | **Extension**  **Due Date** | **Closed?**  **(Y/N)** |
| CAR005 | MM | Jane Doe | Faulty DO Sensor in Aeration Basin B | **12/13/20** | **12/14/20** | **N / A** | Y |
| CAR006 | IA | Jack Doe | T8’s Purchased Instead of LED’s for Pump Room B | **12/16/20** | **12/18/20** | **N / A** | Y |
| Click here to enter text. | Click here to enter text. | Click here to enter text. | Click here to enter text. | Click here to enter a date. | Click here to enter a date. | Click here to enter a date. | Click here to enter text. |
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\*Source:

IA = Internal Audit

EnA = Energy Assessment

ExA = External Audit

LN = Legal Noncompliance

MM = Monitoring and Measurement

MR = Management Review

ON = Noncompliance with Other Energy Requirement Subscribed To

O = Other

Top Management Approval

|  |  |  |
| --- | --- | --- |
|  | Date approved: | 12/16/20 |
|  | Who approved: | Jim Doe |

Comments

Click here to enter text.