**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:  | Click here to enter text. |

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: | Click here to enter text. |
| [ ]  | The individual assigned to conducting investigations is: | Click here to enter text. |
| [ ]  | The individual assigned to act is: | Click here to enter text. |

*We have assigned the following roles and responsibilities:*

|  |
| --- |
| Our **employees** understand they are responsible for: |
| [ ]  | Identifying actual and potential nonconformities in their work areas. | Click here to enter text. |
| [ ]  | Informing appropriate supervisory personnel | Click here to enter text. |
| [ ]  | Making any immediate corrections | Click here to enter text. |

|  |
| --- |
| Our **internal auditors** understand they are responsible for: |
| [ ]  | Determining if nonconformities exist in the EnMS | Click here to enter text. |
| [ ]  | Informing appropriate supervisory personnel | Click here to enter text. |
| [ ]  | Making any immediate corrections | Click here to enter text. |

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

Click here to enter text.

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

|  |
| --- |
| Click here to enter text. |

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

|  |
| --- |
| Click here to enter text. |

[ ]  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** |
| Click here to enter text. | Click here to enter text. | 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 text. | Click here to enter text. | 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. |
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*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: |
| 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:Click here to enter a date. | Issued by:Click here to enter text. |
| Response Due Date:Click here to enter a date. | Issued to:Click here to enter text. |
| *Description* of the problem (for corrective action) or opportunity (for preventive action):Evidence:Click here to enter text.Requirement:Click here to enter text.Statement of Nonconformity:Click here to enter text. |
| ***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?)Click here to enter text. |
| Action needed? [ ]  Yes [ ]  No |
| Correction (fix now) with completion dates:Click here to enter text. |
| Corrective Action (to prevent recurrence) or Preventive Action (to prevent occurrence) to be taken:Click here to enter text. |
| Estimated completion date:Click here to enter a date. | Extended completion date (if applicable):Click here to enter a date. |
| Reason for time extension:Click here to enter text. |
| Reviewed by: Click here to enter text. | Date:Click here to enter a date. |
| *This section to be completed by the affected dept. manager - after action is completed.* |
| Action completed by: Click here to enter text. | Date completed:Click here to enter a date. |
| ***Follow-Up and Closure****This section is to be completed by issuer after action is completed.* |
| Results of action taken:Click here to enter text. |
| Was the action effective? [ ]  Yes [ ]  No Explain:Click here to enter text. |
| Results reviewed by:Click here to enter text. | Date closed:Click here to enter a date. |
| Did this CAR/PAR result in changes to EnMS documents? [ ]  Yes [ ]  No |
| If yes, which document(s) was (were) changed? Click here to enter text. |

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)** |
| 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: | Click here to enter a date. |
| [ ]  | Who approved: | Click here to enter text. |

Comments

Click here to enter text.