

PPPL	PRINCETON PLASMA PHYSICS LABORATORY	PROCEDURE	No. QA-012 Rev 2 page 1 of 3
	Subject: Corrective Action Request	Effective Date: June 22, 2001	Initiated by: Head, Quality Assurance
		Supersedes: Rev. 1 dated Dec. 21, 1998	Approved: Director

Applicability

A Corrective Action Request (CAR) may be issued for deficiencies occurring as a result of any work activity(s) at PPPL.

Introduction

A CAR is issued when one or more of these enumerated conditions exist and the deficiency cannot be adequately addressed by other Laboratory deficiency reporting systems:

- 1) for deficiencies which may lead to conditions adverse to quality that are not naturally included in other Laboratory deficiency reporting systems (see Reference Documents),
- 2) for deficiencies which indicate a breakdown in the implementation of the Laboratory's quality assurance, environmental, safety, or health programs,
- 3) when repeated requests for corrective actions through Laboratory deficiency reporting systems have not resulted in satisfactory action on the part of the responsible organization/person,
- 4) for deficiencies which are repetitive in nature,
- 5) when potentially adverse trends are identified.

CARs are issued to the Project or Department Head within whose organization the deficiency exists or, for Lab-wide situations, the Laboratory Deputy Director.

Reference Documents

EQP-004	Institutional Quality Assurance Plan
GEN-006	Occurrence Reporting and Processing of Operations Information
GEN-011	ES&H Deficiency Reporting System
QA-002	PPPL Audit/Surveillance Program
QA-005	Control of Nonconforming Items
QA-017	Tracking and Trending System

Procedure

Responsibility

Action

Initiator

1. Recognizes a situation that appears to be a CAR deficiency.
2. Informs the Head of the Quality Assurance Division of the possible CAR deficiency, supplying as much supporting documentation as possible.

Head, QA

3. Determines if a CAR is necessary.

NOTE: If a CAR is not necessary, determines which other deficiency reporting system, if any, is applicable and initiates action using that system. In all cases provides the initiator with a written response, either a copy of the CAR or other deficiency form, or an explanation of why no CAR was issued.

4. Issues CAR (see Attachment 1) to responsible management (personal delivery or fax is recommended).
5. Tracks progress of CAR via the QA Audit Database.

Project or Department Head

6. Investigates the situation and, prior to the specified due date, informs Head, QA, of proposed corrective action(s) that will immediately remedy the deficiency and prevent recurrence. Provides scheduled completion date(s). Responses may be supplied on the CAR form, via email, or via a memorandum as long as all the required information is provided.

NOTE: The usual due date for replies is ten working days after issuance, but could be less based upon the urgency of the issue.

Head, QA

7. Evaluates proposed corrective action(s) and either:
 - a. conveys acceptance; or
 - b. attempts to negotiate corrective action(s) acceptable to all. Disputes of CARs will be reviewed first by the Head, ES&H and Infrastructure Support.

Project or Department Head

8. Informs Head, QA, of work progress and when corrective action(s) is complete.

Head, QA

9. Verifies corrective action(s).

QA

10. Maintains CAR and associated records and includes a status report on open CARs in the QA Tracking and Trending Report.

Attachment

1. Typical Corrective Action Request Form

Corrective Action Request No. _____

Issued to: _____ Date: _____ Response due by: _____

Location: _____

Requirement: _____

Nature of Deficiency:

Head, Quality Assurance: _____

To Be Completed by Project/Department Head

Root Cause of Deficiency:

Proposed Immediate Corrective Action(s) - include due dates and cognizant individuals:

Proposed Action(s) to Prevent Recurrence - include due date(s) and cognizant individuals:

Project/Department Head _____ Date: _____

Proposed Action Accepted by: _____ Date: _____

copy: Head, ES&H/IS, CAR file