SOP Template: Corrective and Preventive Action Planning Steps

This SOP details the **corrective and preventive action planning steps** to identify, analyze, and address non-conformities or potential issues within processes. It includes procedures for root cause analysis, development of effective corrective actions to eliminate existing problems, implementation of preventive measures to avoid recurrence, and continuous monitoring to ensure the effectiveness of these actions. The goal is to enhance process reliability, improve quality outcomes, and maintain compliance with organizational standards.

1. Purpose

To outline systematic steps for identifying, investigating, correcting, and preventing non-conformities or potential issues in organizational processes.

2. Scope

This procedure applies to all process owners, quality assurance personnel, and relevant staff involved with the identification and management of non-conformities or risks within the organization.

3. Responsibilities

- **Process Owners:** Ensure compliance with the corrective and preventive action process for their respective areas.
- **Quality Assurance:** Facilitate investigation, verification, and documentation steps.
- **All Staff:** Report any observed or potential non-conformities immediately.

4. Procedure

1. **Identification of Non-conformity or Potential Issue**
   - Detect and document any deviation, defect, or potential risk in the process or outcome.
2. **Containment (if necessary)**
   - Take immediate action to contain the issue and prevent its impact from spreading.
3. **Root Cause Analysis**
   - Apply root cause analysis tools (such as 5 Whys, Fishbone Diagram) to determine the underlying cause(s) of the identified issue.
4. **Corrective Action Planning**
   - Develop and document specific actions to address and eliminate the root cause.
   - Assign responsibility and set deadlines for implementation.
5. **Preventive Action Planning**
   - Identify and plan measures to prevent recurrence of the issue.
   - Consider modifications to processes, training, or standards as needed.
6. **Implementation of Actions**
   - Carry out corrective and preventive action steps as documented.
7. **Verification & Effectiveness Review**
   - Verify completion of all actions taken.
   - Assess effectiveness through monitoring, inspections, or audits.
   - Document results and determine if further action is necessary.
8. **Documentation & Communication**
   - Record all details, actions taken, results, and lessons learned.
   - Communicate findings and improvements to relevant personnel.
9. **Continuous Monitoring and Review**
   - Regularly review processes to proactively identify new risks or non-conformities.

5. Documentation Template Example

Step	Responsible	Date	Details/Outcome
Identification			
Root Cause Analysis			

Corrective Action			
Preventive Action			
Verification			
Effectiveness Review			

6. References

- ISO 9001 Quality Management Systems
- Internal Quality Manuals & Guidelines

7. Revision History

Version	Date	Description	Author
1.0	[MM/DD/YYYY]	Initial creation	[Name]