**Corrective Action Procedure**

Purpose and Scope

The purpose of the procedure is to describe the actions required to eliminate the causes of detected non-conformities occurring within Sydney TAFE. Non-conformities, products or practices not to specification, are identified through both Internal and External Audits as required under the Standards for NVR Registered Training Organisations and ISO 9001 or as a result of a review process.

Corrective action can be identified as requiring either root cause analysis or rectification at source. Root causes identified as system wide are to be referred to both the auditee’s Line Manager and the Business Performance and Improvement Officer for action.

Related Policies and Procedures

[Internal Quality Audit Procedure](http://sitwww.tafensw.edu.au/pack/document/view/?733WWI5TPARZK40VJ7IF)

[Preventive Action Procedure](http://sitwww.tafensw.edu.au/pack/document/view/?1D6ME4KQ21H1D03RBF49)

[Improvement Request Procedure](http://sitwww.tafensw.edu.au/pack/document/view/?T01XJXA7WTWVB6NXENYT)

Procedure

**Internal Auditor/ Reviewer**

* Identifies non-compliance or area needing improvement
* Issue Corrective Action Request (CAR) following findings of non-conformance during an audit or review process
* Alerts Business Performance and Improvement Officer of potential wider systematic cause.

**Auditee/Reviewee**

* Receive Corrective Action Request
* Identifies cause of issue and whether there is a potential wider systematic reason for this through a [root cause analysis](http://sitwww.tafensw.edu.au/pack/document/view/?AQVMTKBDV0YSYBT3VOJM) .
* Track the corrective action to close to eliminate the non-conformance by recording the identified non-conformance, recording its cause and determining the effectiveness of the actions taken using the [Corrective Action Plan Form](http://sitwww.tafensw.edu.au/pack/document/view/?0MH614MFWFPV5O2VW2IE).
* Complete CAR within negotiated time frame and advise line manager

**Auditee/ Reviewee’s Line Manager (Responsible Manager)**

* Receive a copy of Corrective Action Request
* Review practices relating to the Corrective Action Request
* Manage CAR and auditee to eliminate non-conformance
* Verify CAR closed
* Address root cause CARs systematically.

**Business Performance and Improvement Officer**

* Perform root cause analysis to identify wider Institute systematic issues
* Monitor Corrective Action Requests (CARs) and close if completed for Standards for NVR Registered Training Organisations , ISO & Internal audits only
* Follow up outstanding CARs and liaise with Auditee’s line manager
* Advise the Director Strategic Planning and Performance of identified Root Cause issues with proposed systematic approach to rectification.
* Prepare an audit summary report of the CAR/s to identify systemic issues and present to SIE

**Director Strategic Planning and** **Performance**

* Initiate a review and rectification process for root cause non-conformities.
* Recommend change of Institute Procedures to Institute Executive for endorsement.

**Sydney Institute Executive (SIE)**

* Review report and endorse Institute level improvements
* Endorse changes to Institute Procedures.

**Definitions**

**Corrective Action Request:** Notice describing the area of non-conformance and the corrective action required to be undertaken within a specified timeframe.

**External Audit:** Process of audit managed and facilitated by external organisation outside of Sydney TAFE ( i.e. ASQA, ISO, Industry Audits, Scope).

**Internal Audit:** Process of audit managed and facilitated by Sydney TAFE

**Non-conformance:** Current practice or product that does not comply with Department or Institute policy or procedure, Standards for NVR Registered Training Organisations, ISO or audit requirements.

**Root Cause**

“A root cause is the single, verified reason why a problem occurs. Once it is eliminated from the process or system, the problem is eliminated.” (SAI-EDBP 3.01 11/09). See [Guide to Root Cause Analysis](http://sitwww.tafensw.edu.au/pack/document/view/?AQVMTKBDV0YSYBT3VOJM).

**Delegations**

None at this time.

References and Related Information

[Enterprise Risk Management (Department of Education & Communities.](https://detwww.det.nsw.edu.au/lists/directoratesaz/erm/index.htm)

**Penalties for non-compliance**

Non-compliance may affect Sydney TAFE’s status as a Registered Training Organisation or ISO certification or alternatively may cause sanctions or penalties to be imposed by ASQA or the ISO accreditation body.

Associated Forms and Documents

[Corrective Action Plan Form](http://sitwww.tafensw.edu.au/pack/document/view/?0MH614MFWFPV5O2VW2IE)

