Quality/Information Services and Systems

Corrective Action Plan Application

Table of Contents

Introduction

The Corrective Action Application is an investigative tool that is a necessity for a well run Quality Assurance program. The term CAR refers to the Corrective Action Report which is the heart of the communication tool. CAR is use to identify any incident recorded in the application.

Investigating, documenting and developing plans to prevent errors from reaching a customer is one of the most valuable tools in the QA quality tools box. When a company takes an organized approach to errors, localized fire fighting and band-aid solutions become unnecessary. Eliminating repeated errors is accomplished by publishing documented solutions and sharing those solutions with everyone.

The program utilizes Microsoft Access 2007 as the base platform for deployment in Run Time and Customized designs. If the Customized version is utilized, the location will need to purchase Microsoft Access 2007 before implementation. All navigation tools, keyboard shortcuts and search features associated with Microsoft Access are available in the program. In addition to the normal navigation tools, the program contains these buttons located at the top of each appropriate screen.
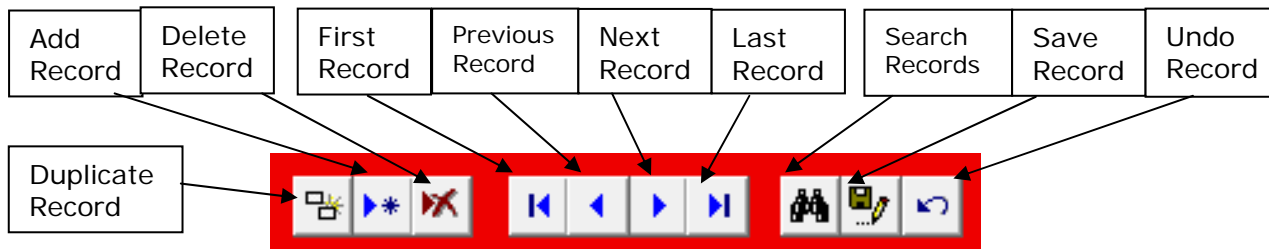
*The normal Microsoft Access Navigation tool bar also applies to the record fields*

Open screens and reports are displayed as tabs at the top of the program. One can navigate between open tabs by clicking in the desired tab. The tab control at the far right side is used to close open reports.
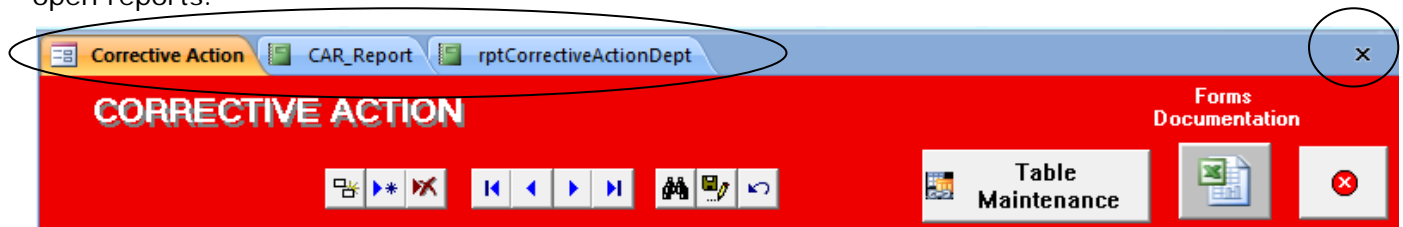
Attachment fields are located in various areas of the program. There areas allow the user to keep multiple files (such as Word documents, Excel spreadsheets, etc) with the records. If there are attachments saved, an icon will be visible in the field.

By double clicking on the field, the user is taken to screen that lists the available attachments where the user can select and open the desired file, add more files or delete obsolete records.
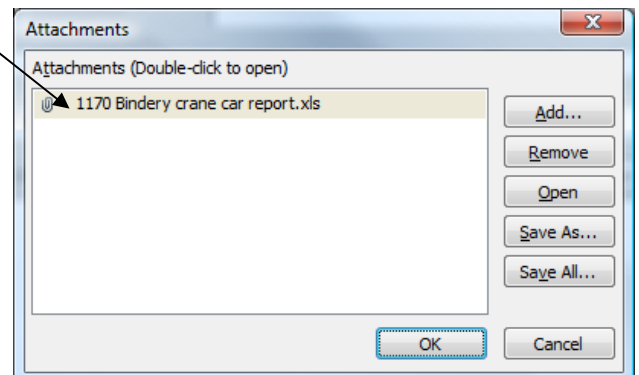
Spell Check- Spell check is available in all text and memo fields by using the F7 button. Be sure and highlight the area to check of the program will check all records in the table.

CORRECTIVE ACTION

Forms Documentation

Table Maintenance

Program Navigation

CAR #: **1263**   CAR Status: Closed   Supplier Name: Artcraft Graphic Productions, Inc.

DOC/WI Change: ☐   Supplier CAR: ☑

Investigator | Corrective Action

Close program navigation

Job Ticket#: 64882   Project Name: Active Investor Brochure

Error Ticket #: 64882-RN01

Customer Name: SunTrust   Error Cost: $10,000.00

Non-conformance Date: 07/06/2009   Team: Purple   Quantity: 10,000

Data about the problem: (be specific: form ID, colors etc.)   Criteria: 1/2 Hour Downtime

1 6/c OMSCA, second shift. Run # 1front, 4/c + PMS 322, 26x40 100# Vintage Velvet cover. The pressman printed too many sheets of the first version before he relived that the stock supplied was for both runs. The pressman did not understand the information on the jacket concerning a black plate change or the total sheets needed for the run. 2500 additional sheets had to be purchased to make up the difference.

Initiated by: Bubba Knight   Initiated Date: 07/08/2009   Initiator Documents:

Initiated by Customer: ☐

CAR - Email

Close Memo - Printout

Close Memo - Email

Corrective Action System Reports

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Record: I◄ ◄ 1 of 263 ► ►I ►₩ No Filter   Search

Runtime Installation

The program is a standalone application to be installed at a location for use during an implementation and for ongoing support.

1. Obtain the Corrective_Action_App.zip file. Unzip the file onto a convenent loction on the computer.

2. Navigate to and click the **Setup.exe** program

3. At the **Welcome** screen, click **Nex**t.

4. Check the acceptance check box of the **End-User License Agreement** and click **Next**.

5. Enter **Customer Information** and click **Next**.

6. Select **Typical** Setup

7. At the **Ready to Install** screen, click **Install** and the program will install.
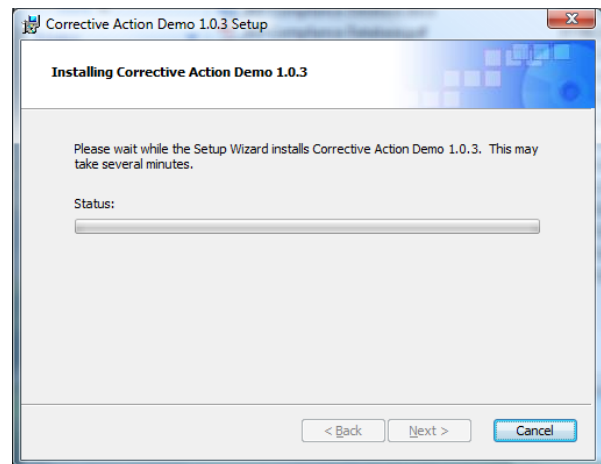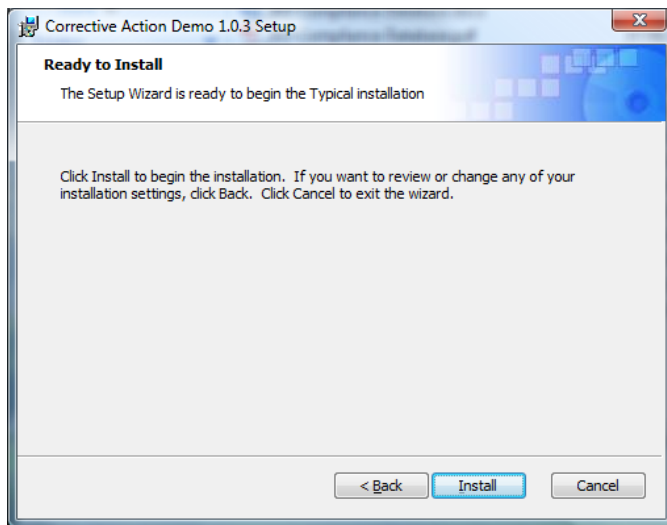
8. The program will complete the installation with these screens.
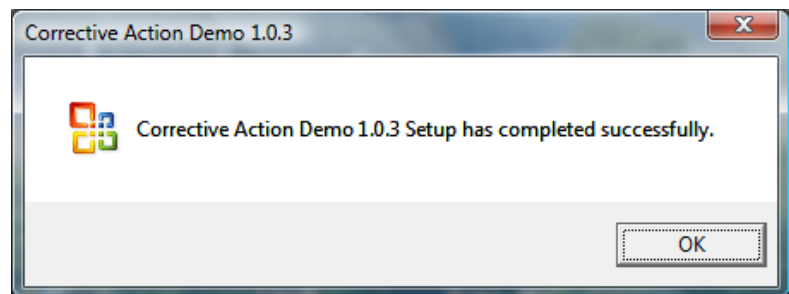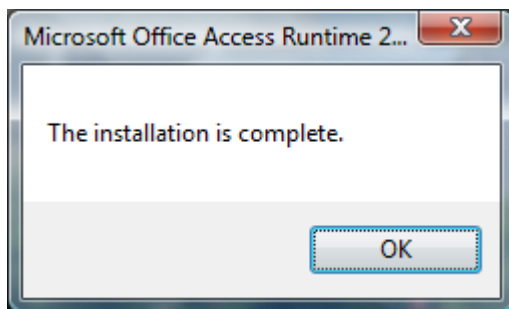
9. After installation, the user will be able to access the program by an icon on the desktop or from the program list.

Certificate

A Certificate, or digital signature, is a way to ensure the integrity and origin of data. A digital signature provides strong evidence that the data has not been altered since it was signed and it confirms the identity of the person or entity who signed the data. This enables the important security features of integrity and non-repudiation, which are essential for secure electronic commerce transactions.

All applications have been thoroughly screened for malicious software. A certificate is provided in the Certificate folder located inside the applications folder. Quality/Information Services and Systems certificates are not commercial validated.

To install the certificate:

1. Navigate to the **Certificate** folder located in the **Corrective Action** folder located on the C:\ drive. Double click on the certificate
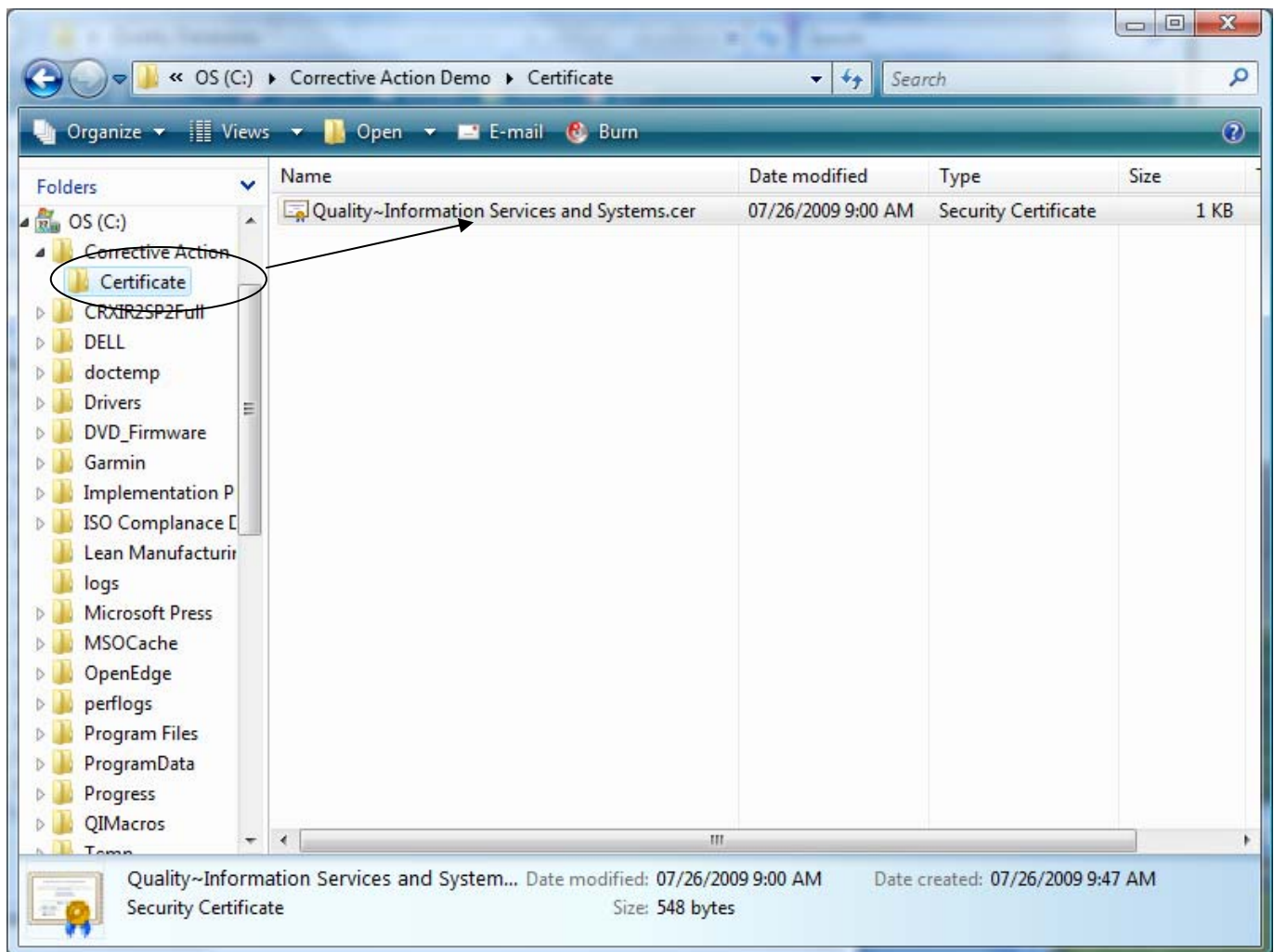
2. Click the Install Certificate button. Follow the import screens that apply to the locations Windows installation.
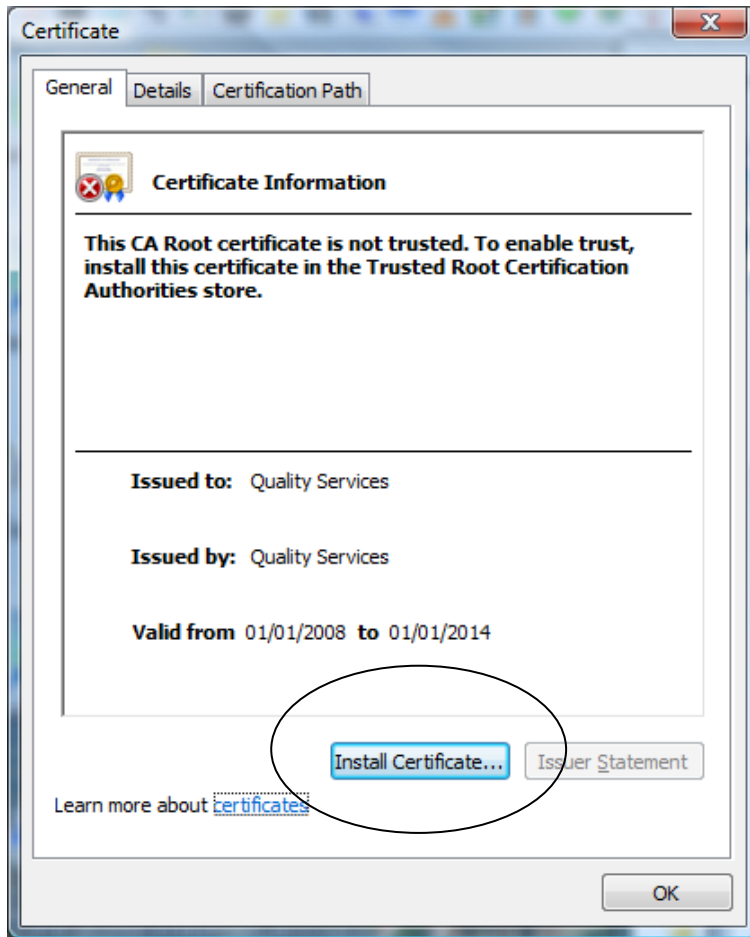
Note: *Certificates install on the local machine and, depending on the users security level, for the logged on user only. Check with the local administrator as to the folder location for the import.*

Table Maintenance

The Table Maintenance popup screen is used to enter common information used in the programs dropdown lists.

The page uses tabs at the top for navigation. The tables are:

- **Status –** Used by the CAR to designate its stage in the process.

- **Criteria –** Used in a CAR initiation to define why the CAR was started

- **Root Cause–** Used in a CAR investigation to define why a non-conformance occurred.

- **Department –** Names of the various department in the organization. Used in the CAR to assign where the non-conformance occurred.

- **Team –** Used as a subdivision within a department as to where the CAR originated. Examples are Customer Service teams, department shifts or sections in a department (small press, large press, etc.).

- **Employees** – Contact information individuals who will be listed as an initiator, investigator, CARB member or auditor.

- **Suppliers** – Supplier information for vendors who are part of a CAR investigation or CAR recipient. A Suppliers report is provided listing the Suppliers ID and information.

Corrective Action Screen

The Corrective Action program creates a Corrective Action Report (CAR) record for each entered incident. Navigation to the various areas is preformed through tabs at the top. Data entered into the CAR record is used to generate the reports and department logs required for certification.

CAR #
automatically generated when a record is started

CAR Status
records the status as: **Approved, Void, Completed, Closed** and **Stopped.** Required to save the record

Forms, Documentation
An attachment field that contains an Excel form for manual data entry. This form is not linked to the CAR program and is used for manual data gathering. Once the form is completed, the data will be manually transferred to the respective CAR record.
Also, a copy of the application's operations documentation is included.

CORRECTIVE ACTION

Table Maintenance

Forms Documentation

CAR #: **1263**   CAR Status: Closed   Supplier Name: Artcraft Graphic Productions, Inc.

DOC/WI Change: Supplier CAR:

Initiator | Investigator | Corrective Action

Job Ticket#: 64882   Project Name: A

Error Ticket #: 64882-RN01

Customer Name: SunTrust

Non-conformance Date: 07/06/2009   Team: Pur

Data about the problem: (be specific: form ID, colors etc.)

1 6/c OMSO... too many she... not understan... 2500 addition...

ont, 4/c + PMS 322, 26x40 100# Vintage Velvet cover. ...nted
...re he relived that the stock supplied was for both run... did
...cket concerning a black plate change or the total sh... e run...
...ased to make up the difference.

Supplier Name is used to identify a Supplier CAR. Field is linked to Supplier table and is listed alphabetically. The **Supplier CAR** checkbox is used to build the Supplier CAR reports

DOC/WI Change identifies the CAR as causing a procedure change.

Reports that pertain to the displayed CAR

CAR - Printout

CAR - Email

Close Memo - Printout

Close Memo - Email

Initiated by: Bubba Knight   Initiated Date: 07/08/2009   Initiator Documents:

Initiated by Customer:

Overall Corrective Action program reports

Corrective Action System Reports

Record: 1 of 263   No Filter   Search

Initiator Tab

Filling out a CAR begins with the Initiator tab. This tab is used to gather the basic information about the job and the non-conformance that created the CAR.

Note: *Avoid entering information about what caused the problem or what action needs to be taken to fix the problem. This information is entered in other areas of the CAR.*

1. Click **New Record** at the top of the screen or at the bottom record navigation bar. CAR # will automatically be assigned.

Note: *if this is a Supplier CAR, select the vendor from the **Supplier Name** dropdown list and check the **Supplier CAR** checkbox. This information is used for the Supplier CAR reports.*

2. Enter information about the job that problem the occurred. Enter **Job Ticket#, Error Ticket #, Project Name, Customer Name,** Team (if applicable), estimated or actual **Error Cost, Non-conformance Date, Quantity** and **Criteria**.

3. In the **Data about the problem** field enter information about the non-conformance. Be specific in describing the non-conformance. Enter information about colors, forms, and why this is a problem.

4. Select the person who started the CAR from the **Initiated by** dropdown list and enter the **Initiated Date**.

5. Check the **Initiated by Customer** check box if the CAR was started because of a customer complaint.

6. If there are documents of files that apply to the problem (i.e. emails from customer or complaint letters), use the **Initiator Documents** attachment field to link them to the CAR.

Investigator tab

The investigator's tab is used to record information about what happened to cause the non-conformance. Information such as shift, time of day, type of raw materials and their supplier, lot numbers are appropriate in this tab.

Note: *Avoid entering information about what action needs to be taken to fix the problem. This information is entered in another areas of the CAR.*

1. Click on the **Investigato**r tab at the top of the form.

2. From the dropdown lists, select the **Root Cause of the problem** and the **Area where cause originated**. An Area designation is required before printing the CAR.

Note: *As the investigation progresses, these entries may change. The fields can be changed after the record has been saved.*

3. In the memo field, enter all pertinent information about the problem. Be very specific about what the investigation found and any methods used to uncover the data.

4. Select the **Investigator** and the **Investigation Date**.

Note: *if a team is used to perform the investigation, list the team members in the memo field and select the team leader as the Investigator.*

5. If there are documents of files that apply to the investigation, use the **Investigator Documents** attachment field to link them to the CAR.

CORRECTIVE ACTION

Table Maintenance

CAR #: 1233   **CAR Status:** Open   **Supplier Name:**

DOC/WI Change: ☑   **Supplier CAR:** ☐

Initiator | **Investigator** | Corrective Action

Root Cause of problem: **Area where cause originated:**

Process Failure   Customer Service

Estimating had estimated the job to score on the die cutter when the job was entered. After the job was put into production, it was decided that the outside vendor would do the scoring to control the piece better. However, the lijema instructions were left on the jacket with these special instructions: "FINISHING WILL BE DONE BY FEY PUBLISHING - LEAVE IN FLAT
PRESS SHEETS - NEED 10% OVERS FOR SPOILAGE - NEED TO
SHIP 3800 SHEETS". The CSR intended for the instructions to read as all finishing will be done by the vendor. The bindery interpreted this to mean that the lijema scoring was to be done and the rest of the finishing was to be done outside. The job was scored and shipped to the vendor who then informed the customer.

Investigator: Burt Temples   **Investigated Date:** 05/15/2009   **Investigator Documents:**

CAR - Printout

CAR - Email

Close Memo - Printout

Close Memo - Email

Corrective Action System Reports

Record: 31 of 263   No Filter   1233

Corrective Action tab

The Corrective Action tab is the conclusion of the process. Here, the analysis from the investigation is developed into concrete steps to prevent the problem from re-occurring. This may involve changing a written procedure, creating a new procedure, filling a training need or personnel changes. Any of these actions are detailed in these fields.

The action plan should include:

- Detailed areas that are affected by the change.
- Detailed steps that are to be taken.
- People who will be involved in the change
- Implementation plans for the new process.
- Audit schedule for the new process.

Note: As the CAR's and action plans are developed and completed, these records will form the data for the Corrective Action log report.

Once an action plan has been developed, it is submitted to a management team called the Corrective Action Review Board (CARB). The purpose of the CARB is to check the plan to make sure it adheres to the company goals and does not interfere with other processes, to check the plan for completeness and effectiveness, approve the action plan and to aid in the implementation process.

Finally, an Audit section is used to record a process audit to make sure the new procedure is being used and is working as expected.

1. Click on **Corrective Action** tab at the top of the page.

2. Enter the details of the action plan into the **Corrective Action** memo field.

3. Select the **Completed Date**.

4. If there are documents of files that apply to the action plan, use the **Action Plan Documents** attachment field to link them to the CAR.

5. In the **What processes are in place to detect this problem**, list any procedure that has check point that is designed to catch the problem. For example, a press sheet check would be used to identify color variations or a final review of work instructions is designed to find missing information. There may be several points that the process can be stopped at once the non-conformance has been identified. Be sure and refer to procedures by their DCN

6. The CAR Status (located at the top of the screen) is then changed to **Complete.**

7. After the action plan has gone before the CARB and approved, select the **CARB approved by** person, check the **CARB Approval** check box and select the **Approval Date**.

8. The CAR Status (located at the top of the screen) is then changed to **Approved**.

9. After a designated period, the new process should be audited. When that occurs, the person performing the audit is selected in the **Audited by** dropdown list.

10. The **Audit Date** and **Audit Results** are selected and any notes pertaining to the audit are entered.

11. If there are documents of files that apply to the audit, use the **Audit Documents** attachment field to link them to the CAR.

12. If the process passes the audit, the CAR Status is changed to **Closed**. If the process fails the audit, the CARB is notified of the failure, the CAR Status is changed back to **Open** and the CAR is re introduced for investigation and action plan development.

> Other CAR Status options are:
>
> - **Void** – A CAR was started but proved to not be valid.
> - **Stopped**- A CAR was started but was stopped pending other information, the completion of another CAR or action plan. The CAR can be changed to Open or Void depending on the outcome.

Reports

The module contains several reports to return the data entered for approvals, event notification, CAR tracking and departmental reporting requirements. There are two report menus. The **CAR Reports** menu, located down the right side, present the reports used by the displayed CAR. The **Corrective Action Systems Reports** pop-up menu contains the data subdivisions that are required to see the program as a whole. Each menu is accessed in a pop up screen

Note: With the exception of the CAR Status Log, each report can be emailed by clicking on the reports email version. The report is output as a .PDF file and place in an email dialog box. Select the recipient and click **Send**.

CAR Report

The Corrective Action Report (CAR) returns all the entries for a specific problem and produces a form for approval signatures.

1. Navigate to the desired CAR, click the **CAR Reports** button to bring up the menu and select **CAR – Printout**.

2. The CAR will appear in a preview screen form which a printer can be selected.

3. The printed report that is ready to be used to gather final signatures for the CAR and to distribute to the affected parties (customers, etc.). The signed sheets are to be filed and made available for a certification audit.

CORRECTIVE ACTION REPORT

CAR: 1233

INITIATOR

Customer Name: Georgia Pacific	**Project Name:** Wiper Sampler	**Job#:** 21750
MfgDate: 04/29/2009 *MfgQty:* 10,000	*Criteria:* Customer Complaint	**Error#:** 21750-RN01
Team: Green	Job Cost: $9,700.00	*Area where defect originated:* Customer Service

Data about the Problem:

Job is a paper swatch book in which Demo Graphics was to print the covers and the interior was assembled by an outside vendor. The job instructions called for the job to be scored in-house but the finisher stated a preference of scoring the covers during assembly. However, the job jacket was released to the floor with scoring included and the job was scored. When the job arrived at the finisher, it was questionable that the score would work in creating the book. The vendor was able to use the product and the piece was completed.

_____
Signature

Supervisor's initial_____

Initiated by: Rose Mery Cox   *InitiatedDate:* 05/11/2009

INVESTIGATOR

Root Cause of Problem:

Estimating had estimated the job to score on the die cutter when the job was entered. After the job was put into production, it was decided that the outside vendor would do the scoring to control the piece better. However, the lijema instructions were left on the jacket with these special instructions: "FINISHING WILL BE DONE BY FEY PUBLISHING - LEAVE IN FLAT
PRESS SHEETS - NEED 10% OVERS FOR SPOILAGE - NEED TO
SHIP 3800 SHEETS". The CSR intended for the instructions to read as all finishing will be done by the vendor. The bindery interpreted this to mean that the lijema scoring was to be done and the rest of the finishing was to be done outside. The job was scored and shipped to the vendor who then informed the customer.

Investigator: Burt Temples   *InvestigatedDate:* 05/15/2009

CORRECTIVE ACTION

How will this problem be prevented in the future:

The CSR is responsible for insuring that job instructions are complete and accurate. If a process is deleted from the job jacket the CSR will change the instructions in the system and up-dating the job jacket. This can be accomplished by printing out a new jacket (preferred) or striking the instructions from the jacket with the date of the change and initialing the change.

_____
Signature

Supervisor's initial_____

Implemented Date: 05/29/2009

What processes are in place to detect this problem:

63..09.0001 WI_job jacket rev7

CARB Approved By: Eric Miller   *CARB Approval Date:* 06/03/2009

_____
Signature

Email CAR

The Email CAR report allows the user to email a .PDF copy of the CAR report. This is an output only and not used in the email data collection.

Close Memo

The Close Memo notifies the initiator that the CAR has been resolved.
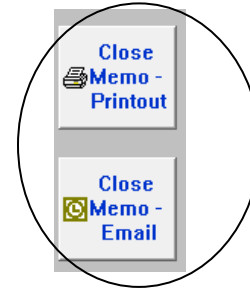
1. Like the CAR, navigate to the desired record and click the **Close Memo – Printout** or **Close Memo - Email** button.

Memo

Date: Wednesday, July 01, 2009

To: Rose Mery Cox

From: Burt Temples

Subject: Corrective Action Feedback

This memo is to inform you that the Corrective Action that you initiated has been completed. It was assigned a number and tracked as:

Job# 21750   Customer Name Georgia Pacific

CAR#: 1233   Project: Wiper Sampler

Days elapsed since opened: 23

Attached is a copy of the completed form. If you have any questions, please contact me directly.

Thank you for your valuable participation in this program.

Corrective Action System Reports

The Corrective Action Log popup screen displays the overall CAR system reports. The QA person is able to select the type of log report needed to inform the organization of the status of the corrective action program. With the exception of the CAR Status Report, each report can be emailed as a .PDF file. Select the Printout report button for a hard copy or the Email version.

Department Corrective Action Log reports

The **All Department CAR Log** button produces a report that contains all CARs entered with a status of **Closed** or **Complete**. The report is sorted by the department area that the non-conformance occurred.

The **Department CAR Log** button produces reports that are to be distributed to the departments as a record of their CAR activity. When selected, a parameter box appears asking for the department. Enter the department's complete name for the report. The selection criterion is based on the area that the non-conformance occurred and the CAR has a status of **Closed** or **Complete**.

Enter Parameter Value

Department

[   ]

OK   Cancel

CORRECTIVE ACTION LOG

Thursday, July 02, 2009

Department: Bindery

Status / CAR No.	JobNumber / Error Job#	Data about Problem	Area	Initiated	Reason	Completed Date	Corrective Action
1009 Closed	6275	#1 Cutter, first shift. Twenty eight of forty four different signs were cut to final size for being sent to outside finisher. The smaller size required the outside finisher to laminate the smaller sheet in a different manner which caused and additional cost.	Miller/Zell	03/02/1998	Process Failure	03/02/1998	CSR's should mark special instructions with a highlighter. Operator's should read instructions completely before starting operation.
1028 Closed	6746 6954	Bindery, 12 pg. self cover, work and turn, 4/c + PMS 294 + overall gloss varnish, 28x40 100# LOE text. PMS Job has offsetting and picking on pages 5 and 7. These pages were located on the gear side of the sheet. The layout did not include a proper lip to allow the form to be run as a twelve page signature on the stitcher. The form had to be cut into three four page signature. Also, approximately 10% of the sheets misguided and did not register. Reran 3800 sheets under error Job # 6954	Phelan Annual Reports	04/09/1998	Process Failure	07/18/1998	Pressroom, Bindery, and Shipping are to write procedures for handling printed work.
1031 Closed	6856 6913	Cutter. 4/c sticker. Piece was cut down to size before kiss cut die-cutting. Information was put on Job jacket in Finishing section. Sticker had to be rerun on error jacket # 6913	Lifetime Television	04/15/1998	Process Failure	05/04/1998	Operators need to slow down and read jackets completely.
1082 Closed	8128	Sleeve. Customer called and stated that the boxes containing the sleeves did not match the counts written on the box and that the job was short.	Fletcher Martian	10/09/1998	Process Failure	10/14/1998	All products sent to outside vendors will have the counts verified for accuracy. Interim personal have been trained in the operation of the weigh counters to produce an accurate count of products shipped. All jobs shipped will have the counts verified before shipment

Page 1 of 47

Supplier CAR Reports

The **All Supplier CAR** Log button produces a report that contains all supplier CARs and is sorted by the vendor responsible for the non-conformance and the CAR has a status of **Closed** or **Complete**.

The **Supplier CAR** Log button produces reports that can be distributed to the affected vendors as a record of their Car activity. When selected, a parameter box appears asking for the supplier ID. Enter the ID for the report. The selection criterion is based on the area that the non-conformance occurred and the CAR has a status of **Closed** or **Complete**.

> **Note:** *The Supplier's ID is listed on the Supplier List report located in Table Maintenance.*

SUPPLIER CORRECTIVE ACTION LOG

Sunday, July 26, 2009

CAR No. JobNumber Data about Problem Error Job# Status	Area	Initiated Reason	Completed Corrective Action Date

Supplier ID 1160   Supplier: Flint Ink Corporation   Contact: Denny Wochob   Office Phone:
Address: P.O. Box 92300   Title: Fax:
Chicago, IL 606752   E-Mail:

S 1179   17162   The ink formula for the "swoop" blue was incorrect and was uncontrollable on the press. The crossover point was inconsistent and did not match. The job had to be re-run at a cost of $16,300.00 and jeopardized a new customer.
17349
Completed   Supplier DSI   05/29/2001 Re-training of worker   06/04/2001 Flint ink has changed its personnel in the ink room and will return to its stated quality procedures

Customer Initiated CAR log

The Customer Initiated CAR log lists all CAR's that were stated by a customer. The report asks for the name of the customer that was entered on the Initiator tab.

Note: Be consistent on entering the customer's name.

Enter Parameter Value

Customer Name

[OK] [Cancel]

Table from the rotated report:

Customer Initiated CARS

Print Date : 07/25/2009 3:09:35 PM

CAR	JobNumber	MfgDate	Project Name	Data	Initiated Date

Customer: Phelan

| 1001 | 6190 | 03/06/1998 | Carestar Annual Report | # 1 626 Komori, 2nd shift, Front cover was to have type created from gloss/ dull varnish combination built on top of a black solid. Plates came out with type as a screen in the black plate. Error was discovered during make-ready by the customer. Film correction was made by 2nd shift after hours | 03/06/1998 |

Over Due Report

The over Due repost is used by QA monitor the progress of the CAR's and to make sure that they are not delayed at any given point.

The report is based on the CAR's creation date and Status. If a CAR's status is not set to "Closed" or "Complete" within 7 days of when the CAR was started, the record will appear on the report

CARs Not Closed, Not Completed, and Overdue
07/26/2009

CAR	Job#	Error#	Project	Customer	Creation Date	Status	Department
1233	21750	2:750-RN01	Wiper Sampler	Georgia Pacific	01/03/2003	Open	Customer Service
1261	23922	24200	Rollins Annual Report Covers	Curran & Connors	04/05/2004	Open	Bindery
1262	24093	24220	Alexa Claire Wedding Brochure	Veris	04/16/2004	Open	Shipping/Receiving

CAR Status Log

The **Car Status Log** is used to track the progress of CAR's in their various stages. The QA person selects the desired **Status** radial button and enters a **Start Date** and **End Date** range of the report. A date range is required for all status requests.

CORRECTIVE ACTION LOG

Thursday, July 02, 2009

CAR No. Status	JobNumber Error Job#	Data about Problem	Area	Initiated	Reason	Completed Date	Corrective Action
1233 Open	21750 21750-RN01	Job is a paper swatch book in which Demo Graphics was to print the covers and the interior was assembled by an outside vendor. The job instructions called for the job to be scored in-house but the finisher stated a preference of scoring the covers during assembly. However, the job jacket was released to the floor with scoring included and the job was scored. When the job arrived at the finisher, it was questionable that the score would work in creating the book. The vendor was able to use the product and the piece was completed.	Customer Georgia Pacific	05/11/2009	Process Failure	05/29/2009	The CSR is responsible for insuring that job instructions are complete and accurate. If a process is deleted from the job jacket the CSR will change the instructions in the system and up-dating the job jacket. This can be accomplished by printing out a new jacket (preferred) or striking the instructions from the jacket with the date of the change and initialing the change.
1261 Open	23922 24200	Came up 600 short off stitcher for cover form. Had to go back on press for balance.	Bindery Curran & Connors	03/29/2004			
1262 Open	24093 24220	Picking on all 3 press forms.	Shipping/ Vertis	01/01/2009	Equipment Problem/Failure		

Page 1 of 1