

WORKSHOP: NONCONFORMITY SITUATIONS

In each of the following situations, determine whether a nonconformity has occurred. If it is a nonconformity, write a nonconformity statement (why it is a nonconformity). If more information is needed, please explain.

1. While interviewing the management representative, the auditor noted that management reviews were conducted once per year. The auditor asked for documentation of the most recent management review meeting. No formal documentation could be produced for the review meeting that had taken place six months ago. However, the production manager had taken excellent notes of the review meeting and kept them at his desk.

2. A diesel fuel spill occurred from AST#1 (fuel storage tank) at the facility about 2 months prior to the audit, which was conducted on October 5, 2020. While in the Fuel Storage Tank Area, a copy of the Emergency Response Plan (Revision 2- March 2020) was reviewed by the auditor. The procedures for spill response in this Fuel Storage Tank Area were included.

3. While being interviewed, the receiving clerk indicated to an auditor that an Emergency Plan was developed in case emergencies or accidents occur. When asked if the procedure was effective, the clerk replied that he wasn't sure because they luckily had never needed to use it.

4. While auditing in a warehouse, the auditor observed the forklift operator moving 55-gal drums of xylene. The auditor asked the operator to identify all of the training he had received that would qualify him to move the drum. The operator was proud to present his forklift training card.

5. The environmental engineer indicated that the facility had an exceedance from its wastewater discharge permit. A leaking valve was the cause of the exceedance. The maintenance procedures indicated that the valve was to be checked and tightened at the semi-annual shutdown. There was no record that this maintenance activity had occurred.

6. In the electrical shop, an EMS procedure (Revision 2, dated August 2019) for disposal of batteries was found. The master list indicated that Revision 3 was distributed one month ago. The shop foreman indicated that he realized that there was a new revision and was working to the new revision, but wanted to keep Revision 2 for informational purposes.

WORKSHOP: CORRECTIVE ACTIONS – ARE THEY APPROPRIATE?

Please review the following corrective actions and state why or why not they are appropriate for the issues raised.

CORRECTIVE ACTION REQUEST (CAR)	
DATE: 09/25/2020	CAR NO: CAR1
NONCONFORMITY STATEMENT (to be completed by initiator): While auditing the ACME Aluminum Company, the management representative indicated that solvent C172 was not identified on the solvent aspect list because solvent C172 use commenced after the aspect list was developed. When determining environmental aspects, the organization must take into account change, including new activities, products, or services. This is a nonconformity with ISO 14001:2015, Section 6.1.2.	
IMMEDIATE FIX (to be completed by auditee or person responsible): Get SDS for C172.	
ROOT CAUSE (to be completed by auditee or person responsible): Procedure for identifying environmental aspects did not account for new chemicals.	
CORRECTIVE ACTION (to be completed by auditee or person responsible): Add C172 to aspects list.	

CORRECTIVE ACTION REQUEST (CAR)	
DATE: 09/25/2020	CAR NO: CAR2
NONCONFORMITY STATEMENT (to be completed by initiator):	
<p>While auditing the ACME Aluminum Company, the maintenance department indicated that Revision 4 was the latest version of the inspection procedure. Revision 3 of the documented procedure for chemical pipe inspection and testing was available for use and not marked as obsolete. An organization shall control changes and versions of documented information. This is a nonconformity with ISO 14001:2015, Section 7.5.3.</p>	
IMMEDIATE FIX (to be completed by auditee or person responsible):	
<p>Get rid of the obsolete version of the procedure.</p>	
ROOT CAUSE (to be completed by auditee or person responsible):	
<p>Mike kept the old version of the procedure as his own copy because he referenced it often.</p>	
CORRECTIVE ACTION (to be completed by auditee or person responsible):	
<p>Add Mike to the list of recipients of controlled copies of the procedure.</p>	