

<i>Consultative Services - Bureau Operating Procedures</i>	<i>Effective - November 1999</i>	<i>Revision 7: 06/01/14</i>
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BOP #6 (formerly 4.14.01)

Document Title: **Corrective and Preventive Actions**

Approval Authority: **Bureau Chief**

A. PURPOSE

This Bureau Operating Procedure (BOP) establishes a method for Consultative Services Bureau to address effective corrective or preventive action to improve processes or services within the bureau.

B. SCOPE

This procedure applies to all Consultative Services Bureau personnel. For purposes of this BOP, effective corrective or preventive actions may include, but are not limited to, current written and unwritten practices, analyses, or any written part of the Bureau Quality System. Action Requests may be initiated by anyone and may be addressed to any division or bureau within the scope of this system.

C. DEFINITIONS

Action Request - A document used to define an observed or potential problem, complaint, or other nonconformity and provide the control mechanism for resolution.

Action Request/Customer Complaint Log - A document used to record a complaint received from the customer and any action taken in response to the complaint.

Bureau Management Review Minutes - Minutes of the quarterly review meeting.

Corrective Action - An action that remedies or eliminates nonconformities. This action also includes addressing the cause of the problem and confirming that a solution is found. Corrective action is a proactive approach that does not always wait for an internal assessment or external audit to uncover errors or mistakes.

Customer - Any individual, business, or agency that interacts with the Consultative Services Bureau.

Customer Complaint - Any feedback from an individual, business, or agency noting a potential deficiency with the services provided by the Consultative Services Bureau that cannot be easily resolved by the CSB employee to the customer's satisfaction.

Customer Satisfaction Survey - The form on which the employer provides feed-back on the services provided.

Preventive Action - An action that detects, analyzes, and eliminates potential causes of nonconformities; an action that detects, analyzes, and implements an improvement opportunity. Preventive action also includes the use of relevant sources of information, determination of steps needed, and application of appropriate controls.

Nonconformity - A process or service performance issue that warrants attention, including a failure of a quality system element; the absence of a stated requirement; an isolated, observed incident or failure to comply with a procedure or requirement; a customer complaint.

Response - Submission of an action plan complete with a description of intended actions and effective dates.

Responses are submitted to original requesters.

D. RESPONSIBILITIES AND AUTHORITIES

1. All employees have the responsibility and authority to suggest improvements and to submit action requests for observed and potential nonconformities in processes and services.
2. The Bureau Quality Coordinator is responsible for receiving, handling, tracking and resolving action requests including customer complaints.
3. NCDOL internal assessment teams are responsible for reviewing quality records and assessing corrective/preventive actions to ensure that solutions to nonconformities are effective. Assessment includes the correct response and any procedures revised in response to the nonconformity.
4. Bureau Chief, Bureau Quality Coordinator and supervisors examine unresolved action request items in the quarterly management reviews.
5. Designee: The designee is the person or persons that may be assigned to address a corrective or preventive action.

E. REQUIREMENTS

1. Nonconformities must be documented.
Status of action requests must be communicated promptly to those affected.
Action plans must be documented.
All Action Requests and Customer Complaints must be logged on the Action Request/Customer Complaint Log.

F. ACTION STEPS

1. Customer Complaint Process

- a. Any employee in Consultation can receive a Customer Complaint either as a written complaint or as a verbal complaint.
- b. The CSB employee notifies the Bureau Quality Coordinator and their supervisor.
- a. The Bureau Quality Coordinator adds the Request to Action Request/Customer Complaint Log.
- b. The Bureau Quality Coordinator investigates the Request.

- c. The Bureau Quality Coordinator provides a recommendation to the Bureau Chief.
- d. The Bureau Chief makes the final decision on the action to be taken and the priority.
- e. The Bureau Quality Coordinator updates the Quality Plans and Procedures.
- f. The Bureau Quality Coordinator works with the Bureau Chief to notify all CSB employees.
- g. The Bureau Quality Coordinator completes the bottom area on the Request form and obtains the Bureau Chief's signature.
- h. The Bureau Quality Coordinator updates the Action Request/Customer Complaint Log noting the action taken.
- i. The Bureau Quality Coordinator files the completed Request.
- j. The Bureau Chief and the Bureau Quality Coordinator will monitor the changes for effectiveness.
- k. The Bureau Chief may decide to respond to the complainant to provide feedback on the issue.

2. Corrective and Preventative Action Process

- a. A non-conformity condition, problem, or an improvement opportunity is observed by a CSB employee or other DOL employee.
- b. The CSB employee completes the Action Request form.
- c. The CSB employee forwards the request to the Bureau Quality Coordinator and their supervisor.
- d. The Bureau Quality Coordinator adds the Request to Action Request/Customer Complaint Log.
- e. The Bureau Quality Coordinator investigates the Request.
- f. The Bureau Quality Coordinator provides a recommendation to the Bureau Chief.
- g. The Bureau Chief makes the final decision on the action to be taken and the priority.
- h. The Bureau Quality Coordinator works with the Bureau Chief to update the Quality Plans and Procedures.
- i. The Bureau Quality Coordinator files the completed Request.
- j. The Bureau Chief and the Bureau Quality Coordinator will monitor the changes for effectiveness.
- k. The Bureau Chief may decide to respond to the complainant to provide feedback on the issue.

3. Customer Satisfaction Surveys

- a. Consultants mail a copy of the Customer Satisfaction Survey to the employer with the visit report.
- b. The employer is requested to complete the Survey and mail it back to the Consultation office in Raleigh.
- c. Copies are sent to the Consultant and Supervisor as received.
- d. The Supervisor and Consultant review the Surveys and the comments for any potential "Opportunities for Improvement" that would be feasible to implement and would improve the effectiveness of future visits and for any complaints. *Examples of opportunities might be: Advertise your services, update your website, etc.*
- e. If the Supervisor believes there is an Opportunity for Improvement, or Complaints, the Supervisor coordinates with the Consultant to submit an Action Request.

- f. The Administrative Assistant determines the number of surveys returned, the number of positive comments, the number of opportunities for improvement, and the number complaints.
- g. The results are forwarded to the bureau chief for evaluation.

G. QUALITY RECORDS

1. Action Request/Customer Complaint Log
2. Action Request Form
3. Customer Satisfaction Survey

H. DOCUMENT CONTROL

1. The content of this BOP is the responsibility of the Bureau Chief.
2. This procedure is maintained electronically.

I. REVISIONS

4.14.01 D5	Rev 1	03/01/2000	Reword for clarity
4.14.01 F	Rev 1	03/01/2000	Reword for clarity
4.14.01 J	Rev 1	03/01/2000	Add Customer Complaint Log
4.14.01 B	Rev 2	04/01/2000	Reword for clarity
4.14.01 C	Rev 2	04/01/2000	Rev "Action Request/Customer Complaint Log" & add definition of "Response"
4.14.01 E	Rev 2	04/01/2000	Add E4
4.14.01 F	Rev 2	04/01/2000	Reword & reformat for clarity
4.14.01 J	Rev 2	04/01/2000	Rev J4
4.14.01 F	Rev 3	08/01/2000	Rev F1, F2 and F3 added date of monitoring of effectiveness to
			Log and reworded for clarity
4.14.01 F	Rev 3	08/01/2000	Added F4, "Customer Satisfaction Surveys"
4.14.01 F	Rev 4	08/01/2001	Made Action Request an on-line form
4.14.01	Rev 5	11/01/2001	Revised Action Request form to include "Complaint" box
4.14.01 F4	Rev 6	02/01/2002	Revised Action Steps for "Customer Satisfaction Surveys"
4.14.01	Rev 7	06/01/2014	Revised to update to current personnel structure.