PERSPECTIVE
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PIAG PRACTICAL ASSURANCE SERIES

Corrective and Preventive Action Management Guide

A practical system for assigning, tracking, verifying and closing QHSE actions.

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Perspective Industrial Assurance Group Ltd.

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Practical reference only. Verify applicable legal, client and site-specific requirements.

01 / FROM FINDING TO VERIFIED IMPROVEMENT

From Finding to Verified Improvement

Corrective and Preventive Action (CAPA) is the controlled process for addressing nonconformities, incidents, audit findings and identified weaknesses. Completion is not the same as effectiveness.

CORE PRINCIPLE

A CAPA should remove or control the cause of a problem, assign accountable ownership, preserve evidence and verify that the intended improvement remains effective.

The CAPA lifecycle

Stage	Management question	Minimum evidence
1. Record	What happened or could happen?	Clear finding, source, date, location and risk significance
2. Contain	What must be controlled immediately?	Interim control, responsible person and verification
3. Analyse	Why did the condition exist?	Causal analysis supported by facts
4. Plan	What action will address the cause?	Specific action, owner, due date and evidence requirement
5. Implement	Was the action completed as approved?	Objective completion evidence
6. Verify	Did it reduce risk and prevent recurrence?	Effectiveness review and closure approval

02 / WRITE STRONG ACTIONS

Write Strong Actions

Actions must be specific enough that the owner, verifier and management team understand exactly what will change and what evidence will prove completion.

Weak action	Why it fails	Stronger action
Train workers	No audience, subject, deadline or evidence.	By 20 July, the HSE Manager will deliver and assess scaffold-tagging refresher training for all scaffold users; retain attendance and assessment records.
Fix procedure	The required change and approval are undefined.	Revise the lifting procedure to define exclusion-zone controls, obtain Operations approval, issue the controlled revision and brief affected supervisors by 31 July.
Improve housekeeping	Not measurable and has no owner.	The Area Supervisor will complete the approved daily housekeeping inspection and close high-priority findings before shift handover.

ACTION-WRITING TEST

A strong action answers: What will change? Who owns it? By when? What evidence is required? Who verifies completion? How will effectiveness be assessed?

03 / CAPA REGISTER

CAPA Register

Use this register for actions arising from incidents, audits, inspections, risk assessments, complaints, management reviews or improvement opportunities.

ID / source	Finding or cause addressed	Action	Owner	Due	Evidence / status

Priority guidance

Priority	Typical meaning	Management expectation
Critical	Immediate or intolerable exposure	Contain now; executive visibility; frequent follow-up
High	Significant control weakness	Short due date; named manager; evidence-based verification
Medium	Important improvement	Planned closure and routine monitoring
Low	Minor improvement or optimization	Close through normal improvement planning

04 / COMPLETION AND EFFECTIVENESS VERIFICATION

Completion and Effectiveness Verification

Closure requires two decisions: confirmation that the approved action was completed and confirmation that it achieved the intended result.

Ref	Requirement / verification question	Evidence / comment	Status
01	Completion evidence matches the approved action.		[ ] Y [ ] N [ ] N/A
02	Revised documents are controlled and available to users.		[ ] Y [ ] N [ ] N/A
03	Affected personnel were briefed or assessed where required.		[ ] Y [ ] N [ ] N/A
04	Equipment or engineering changes were inspected and tested.		[ ] Y [ ] N [ ] N/A
05	The original hazard, cause or nonconformity was reassessed.		[ ] Y [ ] N [ ] N/A
06	No equivalent weakness remains elsewhere in the process.		[ ] Y [ ] N [ ] N/A
07	Performance data or observations show sustained improvement.		[ ] Y [ ] N [ ] N/A
08	The verifier is independent of the action owner where practicable.		[ ] Y [ ] N [ ] N/A

CAPA ID	
Completion verified by / date	
Effectiveness method and review period	
Effectiveness result	
Closure approved by / date	

05 / GOVERNANCE AND DASHBOARD REVIEW

Governance and Dashboard Review

Management should review CAPA quality and risk, not only the percentage of actions marked closed.

- Overdue critical and high-priority actions by owner and site
- Repeat findings and recurring root causes
- Average closure time by risk level
- Actions reopened after failed effectiveness checks
- Departments with persistent overdue actions
- Systemic improvements requiring resources or leadership decisions

SENTINEL APPLICATION

Sentinel can assign owners, control due dates, retain evidence, escalate overdue actions and provide dashboards across incidents, audits, inspections, risks and compliance obligations. Visit sentinel.piagsystems.com.

Management review notes

Key overdue actions	
Repeat themes	
Resources / escalation required	
Decisions and accountable owners	