



# ASA-100 Audit Corrective Action Report

## A. CAR INFORMATION

1. Company Name:		2. Date:	
3. Company Rep:		4. Finding Number:	
5. Repeat Finding:	<input type="checkbox"/> Yes <input type="checkbox"/> No	6. Previous Finding Number:	N/A
		7. Systemic Finding:	<input type="checkbox"/> Yes <input type="checkbox"/> No

## B. FINDING WRITTEN BY ASA AUDITOR

8. ASA Auditor Name and Email:	
9. ASA Auditor Email:	
10. Classification:	<input type="checkbox"/> Non-Conformance <input type="checkbox"/> Concern
11. ASA-100 section / Organization QMS reference:	

12. <b>Finding:</b>  <b>NOTE: DESCRIPTION OF THE DISCREPANCY</b>	
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13. <b>Objective Evidence:</b>  <b>NOTE: EVIDENCE TO SUPPORT FINDING</b>	
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## C. RESPONSE TO CORRECTIVE ACTION BY CUSTOMER (complete the section below):

**(NOTE: There must be objective evidence submitted to support items 14-22. Objective evidence is information that is verifiable and shows that the statement being asserted is true. This is usually a record but can be other items as long as it proves the statement being asserted is true. For example, if in order to show a fix to a finding, Company "A" trained their staff on counterfeit parts, then objective evidence is the training record and remember the training record can be a company created training record. Evidence can be typed or pasted into form but typically it is supplied as attached documents.)**

14. Correction:  <b>NOTE: IMMEDIATE ACTION TAKEN TO ADDRESS THE ISSUE.</b>  <b>REFERENCE ASA-100 SECTION 14 (B)(2)</b>	
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15. Containment:  <b>NOTE: ACTION TAKEN TO ENSURE THE DISCREPANCY DOES NOT SPREAD. MAY NOT BE NEEDED.</b>  <b>REFERENCE ASA-100 SECTION 14 (B)(4)</b>	
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16. Locate and Correct Similar Discrepancies:  <b>NOTE: RESPONSE MAY BE NONE NOTED.</b>  <b>[REFERENCE ASA-100 SECTION 14 (B)(5)</b>	
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17. Root Cause:  <b>NOTE: WHAT CAUSED THE DISCREPANCY? CLIENT CHOOSES THE ANALYSIS METHOD.</b>  <b>REFERENCE: ASA-100 SECTION 14 (B)(1)</b>	
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18. Corrective Action:	
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NOTE: LONG-TERM FIX TO DISCREPANCY.			
REFERENCE ASA-100 SECTION 14 (B)(3)			
19. Company Representative:		20. Projected Completion Date:	21. Completion Date:
22. Follow up verification of Corrective Action:			
NOTE: LONG TERM CHECK TO MAKE SURE ACTION TAKEN WAS EFFECTIVE.			
REFERENCE ASA-100 SECTION 14 (B)(6)			
23. Company Representative:		24. Date of Verification:	
<b>D. CLOSURE OF CORRECTIVE ACTION RECORD BY ASA AUDITOR:</b>			
25. Response acceptable?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
26. <u>Comments / Evidence:</u>			
27. ASA Auditor:		28. Date:	
<b>VERIFICATION OF ADDITIONAL RESPONSE BY ASA AUDITOR, IF "NO" ABOVE:</b>			
29. 2 <sup>nd</sup> Response acceptable?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
<u>Comments / Evidence:</u>			
30. ASA Auditor:		31. Date:	
<b>E. VALIDATION OF CAR IMPLEMENTATION TO BE VERIFIED BY ASA AUDITOR AT NEXT ASA-100 AUDIT:</b>			
32. Validation Verified and Sufficient?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
NOTE: CLOSURE INDICATES VALIDATION. IF VALIDATION ISN'T SUFFICIENT THEN A REPEAT NONCONFORMANCE SHALL BE ISSUED.			
REFERENCE ASA-100 SECTION 14 (B)(6)			
33. <u>Comments / Evidence:</u>			
34. ASA Auditor:		35. Date:	

## Instructions for Completing ASA-100 Audit Corrective Action Report (ASA-100 CAR)

This form is used in support with an ASA-100 audit. The fields associated with this form are also the data fields in ASA's online audit support system (ASA ASS). The numbers below coordinate with field boxes in the ASA-100 CAR.

### **SECTION A and B (To be completed by ASA-100 Auditor)**

1. Insert client name.
2. Insert date of finding, this is typically the date of the audit.
3. Insert point of contact at client
4. If done through the online system, this field will be automatically populated. If done via paper document insert number as two letter auditor initials-six digit date-CAR number. Ex. MD-121515-1
5. Was this finding a repeat from a finding from the prior audit? Note repeat findings are only marked if a repeat from the prior audit. For this field it is not relevant to look past the immediate prior audit.
6. If yes in item 5, then insert prior CAR number.
7. A systemic finding is a finding that is not limited to one area of the QMS.
8. Auditor name
9. Auditor email
10. Determine if finding is a nonconformance or a concern. Nonconformance requires analysis and completion of Section C by Client. A Concern Classification isn't a finding but rather an issue that the auditor feels will become a nonconformance if Client doesn't address the issue. Client may disagree that the concern will become a nonconformance, and that disagreement is fine and the Client's reasoning should be detailed in Block 14. With a concern the only required information from the Client is block 14, unless during the Client evaluation of concern, Client determines the concern requires full CAR review.
11. Insert the ASA-100 section and/or the Client QMS section. A nonconformance or a concern can be limited to Client's QMS if there is no correlating ASA-100 section. The Auditor audits to both ASA-100 requirements and the Client's QMS.
12. Insert a description of the finding.
13. Insert the evidence to support the finding.

### **SECTION C (To be completed by Client, see sample forms for examples)**

14. Correction is the immediate action taken by the Client to correct the issue. This is the action taken before a thorough evaluation of the problem. Evidence can be detailed in the form but there are times in which additional reference documents may need to be submitted.
15. Containment is the action taken to make sure the finding does not spread. Note not all findings require containment.
16. Check to see if there are other similar discrepancies in other areas of the QMS that need to be addressed. Details findings, if applicable.
17. Determine the cause of the discrepancy. There are many methods for conducting a root cause analysis, for example 5-why's or Causal Factor analysis, etc. Depending on the analysis, this can be detailed in the form or through an attachment.
18. The long-term action taken to ensure that the discrepancy has been adequately addressed now that root cause has been determined. This is broader action than what is listed in Block 14 as prevention of a reoccurrence needs to be evaluated.
19. Company representative signature
20. Projected date
21. Completion date
22. Verification that Corrective Action taken was implemented and effective. There is no required wait-time to determine effectiveness. Client defines the timeframe.
23. Company representative signature
24. Completion date

### **SECTION D (To be completed by Auditor)**

25. Auditor review of CAR responses and either accepts or rejects response.
26. Detail the evidence used to determine Block 25.
27. Auditor Signature
28. Date of evaluation
29. If needed, for second evaluation
30. If needed, for second evaluation
31. If needed, for second evaluation

### **SECTION E (To be completed by Auditor at next ASA-100 audit)**

32. Validation is performed and implemented actions were effective to prevent reoccurrence of the issue.
33. Evidence to make validation determination
34. Auditor Signature
35. Date of validation