Corrective and Preventative Action Policy

Category:	*Operational*	**Approval Date:**	*April 2026*
Last Reviewed:	*New Policy*	**Next Review**	*March 2029*

Authorised by: *Chief Executive*

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1. Policy Statement:

1.1. Vision Drive is committed to proactively identifying, correcting, and preventing incidents, non-conformances, hazards, and system failures that may affect quality, environmental performance, health and safety, or legal compliance.

1.2. This policy supports Vision Drive's obligations under the Health and Safety at Work Act 2015 (HSWA) and promotes a safety and compliance culture through continuous improvement.

1.3. This Policy establishes a structured and consistent approach to:

- Investigating issues of concern and non-conformances
- Implementing effective corrective and preventive actions
- Preventing recurrence through root cause analysis and continual improvement

2. Purpose:

2.1. The purpose of this policy is to:

- Ensure issues of non-conformances are addressed promptly and in a consistent manner
- Eliminate or minimise risks as far as is reasonably practicable
- Prevent recurrence of such events and undesired incidents
- Support continuous improvement across Vision Drive operations

3. Definitions:

3.1. Corrective Action:
Action taken to eliminate the cause of a detected non-conformance, incident, injury, illness, near miss, or unsafe condition, to prevent recurrence.

3.2. Preventive Action:
Action taken to eliminate the cause of a potential non-conformance event before an incident occurs.

3.3. Non-Conformance:
A deviation from company policy, procedures, legal requirements, or safe systems of work.

3.4. Incident:
An unplanned event that results in, or could have resulted in, injury, illness, damage, or loss.

3.5. Near Miss:
An unplanned event that did not result in harm but had the potential to do so.

3.6. Root Cause Analysis:
A structured process used to identify underlying causes rather than immediate symptoms.

4. Scope:

4.1. This policy applies to:

- All Vision College staff
- All Vision Drive employees, contractors, trainers and trainees
- All business activities, sites, and operations under the control of Vision Drive
- Health and safety incidents, quality issues, environmental issues, and legal or procedural non-conformances.

5. Responsibilities

5.1. Management

- Ensure policy processes are implemented and maintained
- Allocate appropriate resources to corrective and preventive actions
- Ensure actions are completed within agreed timeframes
- Verify completion of assigned actions
- Ensure staff understand and comply with control measures

5.2. Employees, Contractors and Trainers

- Report issues of non-conformances promptly
- Report incidents, hazards, near misses via the BWARE Safety Management System
- Participate in investigations where required
- Comply with corrective and preventive actions

5.3. Health and Safety Officer/Representative

- Coordinate incident investigations via the BWARE Safety Management System
- Maintain Health & Safety systems, forms and documentation
- Monitor effectiveness of corrective safety and preventive actions
- Escalate trends or unresolved risks to management

6. When Corrective and Preventive Actions Are Required

6.1. Corrective and preventive actions must be initiated following:

- Issues of non-conformances
- Audit findings, if any
- Breaches of legislation, policy, or procedures
- Customer, client, or stakeholder complaints relating to safety or compliance

7. Procedure

7.1. Identification and Reporting

- All events must be reported immediately to the Manager or Senior Management.
- Health & Safety incidents should be entered into the BWARE Safety Management System

7.2. Initial Risk Assessment

- Assess immediate risk and implement temporary controls where required.
- Serious risks must be escalated to Senior Management without delay.
- Notifiable events must be managed and reported in accordance with HSWA sections 56–57. The CEO or delegated manager is responsible for ensuring WorkSafe notification occurs as required and that sites are preserved where necessary.

7.3. Investigation

- Investigations must focus on underlying causes, not individual blame
- Workers and Health and Safety representatives must be actively engaged where relevant.

7.4. Corrective and Preventive Actions

7.4.1. Anyone can raise an issue by filling up the Corrective and Preventive Action Form – CAPA 001. A record is kept based on the headings specified below:

Number	Issue Identified	Causes	Action Required	Responsible Person	Timeframe	Evidence of Action Taken

The CAPA 001 Form is attached in the Appendix below:

7.4.2. Actions may include:

- Administrative controls
- Changes to procedures or safe work instructions
- Training or retraining
- Engineering or equipment controls
- Policy or systems updates

7.5. **Verification and Closure**

- Actions must be verified for effectiveness before closure.
- Evidence of completion must be recorded.
- Ineffective actions must be reviewed and reassigned as required.

8. Training and Awareness

8.1. Staff will receive information and training on:

- Incident and hazard reporting (BWARE Safety Management System)
- Policy expectations and responsibilities
- Their role in corrective and preventive actions

9. Non-Compliance

Failure to comply with this policy or assigned corrective actions may result in disciplinary action.

10. Review and Updates

This policy will be reviewed by management and updated as necessary.

11. Relevant Legislation and References

- Health and Safety at Work Act 2015 (HSWA 2015)
- Health and Safety at Work (General Risk and Workplace Management) Regulations 2016
- WorkSafe New Zealand - Incident Investigation and Risk Management Guidance

12. Related Policies

- Health and Safety Policy
- Forklift Use and Risk Management Policy
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13. Policy Document Storage

This policy and associated forms will be stored in the approved document management system.

14. Amendments to this Policy

Vision Drive reserves the right to change this policy from time to time.

Disclaimer

Vision Drive reserves the right to change or replace this policy at any time. Where there is a dispute with regard to the interpretation of this policy or any part thereof, Vision Drive reserves the right to clarify the intention and meaning of this policy. The clarification as provided by the Vision Drive will be seen as the final decision on the interpretation of this policy.

Appendix A

Corrective and Preventive Action Form (CAPA 001)

Document Control

Field	Details
Form Title	Corrective and Preventive Action Form
Form Number	CAPA 001
Related Policy	Corrective and Preventative Action Policy

Section 1 – Issue Identification

Field	Details
CAPA Number	
Date Raised	
Reported By (Name & Role)	
Type of Issue (tick all that apply)	☐ Incident ☐ Near Miss ☐ Non-Conformance ☐ Hazard ☐ Audit Finding ☐ Complaint
Description of Issue / Event	

Section 2 – Immediate Actions Taken (if applicable)

Field	Details
Immediate Controls Implemented	
Is the risk controlled?	☐ Yes ☐ No
If No, details of escalation to Management	
Date Immediate Action Completed	
Person Responsible	

Section 3 – Risk Assessment

Field	Details
Actual or Potential Consequences	
Risk Level (before controls)	☐ Low ☐ Medium ☐ High ☐ Extreme
Risk Level (after controls)	☐ Low ☐ Medium ☐ High ☐ Extreme
Is the event notifiable under HSWA?	☐ Yes ☐ No
If Yes, WorkSafe notified by	
Date of Notification	

Section 4 – Investigation and Root Cause Analysis

Field	Details
Investigation Conducted By	
Investigation Date	
Root Cause(s) Identified	
Contributing Factors	

Section 5 – Corrective and Preventive Actions

Number	Action Type (Corrective / Preventive)	Action Required	Responsible Person	Target Completion Date	Evidence Required
1					
2					
3					

Actions may include administrative controls, procedure updates, training, engineering controls, equipment changes, or policy/system updates.

Section 6 – Verification of Effectiveness

Field	Details
Effectiveness Confirmed	☐ Yes ☐ No
If No, further actions required	
Verified By	
Verification Date	

Section 7 – Closure

Field	Details
All actions completed	☐ Yes ☐ No
CAPA Closed By (Manager)	
Closure Date	
Comments	

Record Management

- This form is stored in the approved document management system.
- Health & Safety incidents are to be reported via the BWARE Safety Management System.