Continual Improvement

Process

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Change History

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<th>Date</th>
<th>Author</th>
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<td>2</td>
<td>9/06/06</td>
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<td>Revision</td>
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<td>3</td>
<td>9/18/06</td>
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<td>Revision to provide more guidance</td>
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<tr>
<td>A</td>
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<td>Initial Release</td>
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<td>B</td>
<td>1/5/07</td>
<td></td>
<td>Revised Preventive Action Procedure and flow chart; fix typos.</td>
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<td>3/15/07</td>
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<td>Updated the “Proprietary and Confidential” statement</td>
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<td>2/20/2013</td>
<td>Hart InterCivic</td>
<td>Update to current revision process</td>
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<td>Clarified the CAR and PAR common process, these were redundant processes with different names</td>
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1 PURPOSE

To describe the process by which Hart InterCivic's Quality Management System considers every problem, such as systemic problems or opportunities for improvement, audit findings, etc. to ensure that the problem is identified, investigated and prevented from reoccurring.

2 INFORMATIVE REFERENCES

- ISO9001:2000 8.5 Improvement
- ISO27001:2005 8.1 Continual Improvement
- ISO27001:2005 8.2 Corrective Action
- ISO27001:2005 8.3 Preventive Action

3 FLOW CHART

4 CORECTIVE AND PREVENTATIVE ACTION PROCESSES

4.1 CR Initiation Stage

A Corrective Action Request or a Preventive Action Request in the form of a Change Request (CR) may be requested by any employee as a result of an internal findings, customer findings, or supplier issues. A CR is submitted in to Change Control Board via Agile (or current PLM system). Sources for a CR may be any of the following, but not limited to:

- Action Items derived from a Management Review Meeting
- Supplier non-conformances
- Major service non-conformances
• Significant trends (or recurrence) of minor service non-conformances
• Recurring problems with a process or work operation
• Goals for the measurable quality objectives are not achieved
• Major information security non-conformances
• Significant trends (or recurrence) of information security non-conformances
• Previous corrective or preventive actions are found to be ineffective
• Hart Support Online (HSO) entry for customer identified product issues

4.1.1 Initiate Stage - Steps

Once logged into the Agile, the document control application software, the next steps must be followed:

a. Right click and select New from the pop-up window
b. Select QMS from the Object List *
c. Click on the button “123”. This will assign the QMS number and open the form
d. Fill out the entire cover page of the form:
   a. Effected Product Line(s) – select all appropriate items
   b. select “Change Request” for Document Category
   c. provide enough detail to assure that the issue is completely understandable and why the change is needed.
e. Click on Save
f. Click on the Next Status Button to submit the CR to the CCB.
g. Select OK

When the request is complete, the system forwards an email to the CCB for notification.

* If this option is not available on the New Object list, then access to this module has not been granted. Please contact the Agile administrator for further instructions.

4.2 CR Acknowledgment

The Change Control Board (CCB) receives an email prompting them about the new CR. Their job is to assign the CR to the appropriate individual(s) for investigation using the steps below:

a. Go to the Sign Off tab and click on the Next Step button
b. Select Approver(s) for investigation *
c. Select Observer(s) if desired
d. Click on the Route button to submit the CR to the Approver(s).
e. Select OK

When the acknowledgement is complete, the system forwards an email to the Approver(s) for notification.

* Approvers can be persons suggested by the CR originator, the Department Manager or the Process owner. This person will then assign the appropriate resource to investigate the corrective/preventative action.

4.3 CR Investigation

The investigation stage deals with finding the root cause of the problem and devising short and long term action plans. Once logged into the Agile with the CR open, the next steps must be followed:

a. Fill out the Investigation page.
   b. *Fill out the Root Cause Analysis
c. Define and enter Short Term Actions required.
d. Define and enter Long Term Actions required.
e. Determine the Implementation Date
f. Click the Approve button

*If root cause analysis indicates that changes to the item called out in the QMS are required to resolve the issue, then an ECO request is generated.

In Agile:

h. Right click and select New from the pop-up window
i. Select ECO from the Object List *
j. Click on the button "123". This will assign the ECO number and open the form
k. Fill out the entire cover page of the form:
   a. effected product line(s)
   b. document type and category, also
   c. reference the QMS # and provide enough detail to assure that the issue is completely understandable and why the change is needed.
l. Click on Save
m. Click on the Next Status Button to submit the CR to the CCB.
n. Select OK

4.4 CR Implementation

Once short term and long term goals are entered, an implementation date must be selected before moving on to the next step. Once the implementation date is selected, the Next Step button will route the CR to the CCB for notification.

4.5 CR Verification

After the Investigation/Implementation steps have been completed, the CCB will forward the results to the Process Owner or Department Manager. Process Owners or Department Manager will then follow up to determine that the proposed short term and long term actions have been carried out. Results of this analysis will be entered into the appropriate section and then the Verification Status will be approved by the Process Owner or Department Manager.

4.6 CR Validation

The CCB will confirm that the original problem has not reoccurred. Validation is typically done three months after CR Verification; however each case may be different. Results of this analysis will be entered into the appropriate section and then the Validation Status will approved by the CCB.

4.6.1 Response to Third Parties

The person who initiated a third party CR is responsible for communicating and reporting back to the third party regarding the outcome and conclusion of the CR.
5 SUPPORT PROCESSES INSTRUCTIONS

5.1 Customer Complaints

Customer complaints are collected by the field teams and logged into Hart Support Online (HSO). They are then triaged, and if required submitted to engineering for root cause analysis. If an appropriate resolution cannot be identified, the issue is submitted to program management for evaluation to deem if a Change Request (CR) is required. Proposed action is then communicated to Hart Customer Services to pass along the customer.