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LEARNING OBJECTIVES



ISO 45001:2018 Clause 10 Improvement

10.1 General

10.2 Nonconformity and Corrective Action

10.3 Continual Improvement



ISO 45001:2018 CLAUSE 10 IMPROVEMENT

Due to the new structure and risk focus of the standard, there are no preventive action requirements in this clause. The organization should react accordingly to nonconformities and incidents, and take action to control, correct them, cope with their consequences, and eliminate their source so as to prevent recurrences.

However, there are some new more detailed corrective action requirements. The first is to react to incidents or nonconformities and take action in a timely manner, to control and correct these and deal with the consequences. Root cause analysis can be used to explore all possible factors associated with an incident or nonconformity by asking what happened and why it happened.

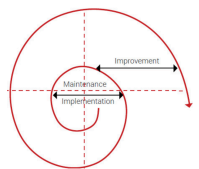
The second is to determine whether similar incidents or nonconformities exist, or could potentially occur, leading to appropriate corrective actions across the whole organization if necessary.

ISO 45001:2018 CLAUSE 10 IMPROVEMENT +

Clause 10, the final major section, delineates the concept of continual improvement within the context of specific activities. Any organization wishing to adopt the principles of ISO 45001 must have a plan for addressing nonconformities in a timely manner.

Organizations should take direct action to control conditions and deal with consequences. Nonconformities can be identified from investigations, audits, or other events. The corrective actions should be evaluated and the results should be documented. To achieve continual improvement, the organization shall have an OH&S management system that:

- 1.Prevents the occurrence of incidents and nonconformities
- 2.Promotes a positive OH&S culture
- 3.Enhances OH&S performance



10.1 GENERAL +

Outputs from management reviews, internal audits, and compliance and performance evaluations should all be used to form the basis for improvement actions. Improvement examples could include corrective action, reorganization, innovation, and continual improvement programs.

The chosen methods must consider the following:

- ✓Means of reporting including incidents to the right groups of workers and interested parties
- ✓The timescale of reporting
- ✓How the information is going to be recorded as documented information, for example, near-miss report cards, accident reports, defect reports, reports to senior leadership
- ✓Using workers to participate in investigations to determine root cause analysis
- ✓A structured system to prevent recurrence
- ✓Hierarchy of control measures to reduce risk as far as is reasonably practicable
- ✓Assessment of OH&S risks prior to the introduction of a corrective action to prevent the introduction of new hazards
- ✓Training and competence for workers and interested parties on the means of reporting OH&S hazards, incidents and opportunities for improvement

10.2 INCIDENT, NONCONFORMITY AND CORRECTIVE ACTION

Separate processes may exist for incident investigations and nonconformities reviews, or these may be combined as a single process, depending on the organization's requirements. Examples of incidents, nonconformities, and corrective actions can include, but are not limited to:

1. incidents: same level fall with or without injury; broken leg; asbestosis; hearing loss; damage to buildings or vehicles where they can lead to OH&S risks;
2. nonconformities: protective equipment not functioning properly; failure to fulfil legal requirements and other requirements; or prescribed procedures not being followed;
3. corrective actions: eliminating hazards; substituting with less hazardous materials; redesigning or modifying equipment or tools; developing procedures; improving the competence of affected workers; changing frequency of use; using personal protective equipment.

The organization should have a process in place for reporting and investigating incidents and other nonconformities, and for taking action to correct them and deal with their consequences.

ROOT CAUSE ANALYSIS

Root cause analysis refers to the practice of exploring all of the possible factors associated with an incident or nonconformity by ascertaining what happened, how it happened, and why it happened, to provide input for what can be done to prevent it from happening again.

When determining the root cause of an incident or nonconformity, the organization should use methods appropriate to the nature of the incident or nonconformity being analyzed. The focus of root cause analysis is prevention.

Root cause analysis can identify multiple contributory failures, including factors related to communication, competence, fatigue, equipment, or documentation. While root cause analysis is being performed, the organization may also have to undertake immediate but temporary actions to prevent the occurrence of the same nonconformity or incident. This would form part of the corrective action.

ROOT CAUSE ANALYSIS +

The organization should retain documented information as evidence of:

- ✓ The nature of the incidents that occurred or nonconformities encountered, and any subsequent actions taken;
- ✓ The results of any actions and corrective actions taken, including their effectiveness.

Unlike ISO 9001 Quality and ISO 14001 Environmental management systems, ISO 45001 introduces 'Incident' alongside nonconformity and corrective action. Clause 3 'Terms of Definition' within the standard provides the parameters in which 'Incident' can be interpreted and reported. An 'Incident' is an occurrence that does not result in an injury and/or ill health. Therefore, the organization must implement a system of reporting that captures events that have not necessarily been foreseen within processes of the management system.

Often these are referred to as 'near misses', 'near-hit, or a 'close call'. When a near miss is reported there may be a process in which during the investigation the findings are recorded within a non-conformance report.

10.3 CONTINUAL IMPROVEMENT

The organization shall continually improve the suitability, adequacy, and effectiveness of the OH&S management system, by enhancing OH&S performance. It must promote a culture that supports an OH&S management system. It must promote the participation of workers in implementing actions for the continual improvement of the OH&S management system. It must communicate the relevant results of continual improvement to workers, and, where they exist, workers' representatives. It should be maintaining and retaining documented information as evidence of continual improvement.

The concept of continual improvement is embodied in all management systems based on annex SL such as ISO 9001, ISO 14001, ISO 27001, ISO 22301, and of course ISO 45001. The opportunities for continual improvement must be reported. It may come from new technology, non-conformances, failures, and any other IMS issues. This system is successful by identifying, establishing, and maintaining OH&S objectives and processes based on relevant risks. Involving top management and all levels of the organization, these processes should be evaluated upon completion for the purpose of continual improvement.





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