

Insight aims to provide useful information, links and tips in the areas of Risk Management, Work Health and Safety, Business Continuity Management, and other areas relating to management systems and corporate governance.

Taking Corrective Action

Internal and external audits and gap analyses are an important part of everyday operations to ensure worker safety, legislative compliance and best practice in modern organisations.

However, the next step – actioning the audit findings – is often less structured and inconsistent, which both devalues the audit process and potentially puts workers and the organisation at risk.

Translating the audit findings into clear, concise and practical corrective action plans is the critical step.



An effective corrective action plan should:

- **List the findings** (Major non-conformances, Minor non-conformances and Opportunities for Improvement):
 - Ensure findings are clearly understood and expressed in terms people can associate with the organisation.
- **Document** specific and measurable corrective actions to resolve findings:
 - Corrective actions must be specific and must address the finding directly as well as the root cause and lateral implications. For example, where it was found that safety data sheets are outdated, a 'quick fix' would be to replace the outdated safety data sheets. A more appropriate corrective action would be to establish why this had not been detected internally and ensure that

inspections include checking safety data sheets, train staff in undertaking inspections, develop an inspection schedule and then undertake an inspection.

- **Allocate corrective action** responsibilities and timeframes:
 - Ensure specific responsibilities for each action are allocated to staff who have the training, skills, experience and authority to develop and implement the corrective action.
- **Prioritise** the corrective actions
 - Always prioritise corrective actions based on the risk to the organisation to ensure what is safety critical or high risk is not de-prioritised in favour of more trivial issues.
- **Review** the corrective action plan
 - Set a realistic review period for actions to ensure that their implementation has effectively addressed the initial finding and ensure progress is monitored at Management meetings.
 - Ensure that subsequent audits review the progress on the findings from the previous audit.

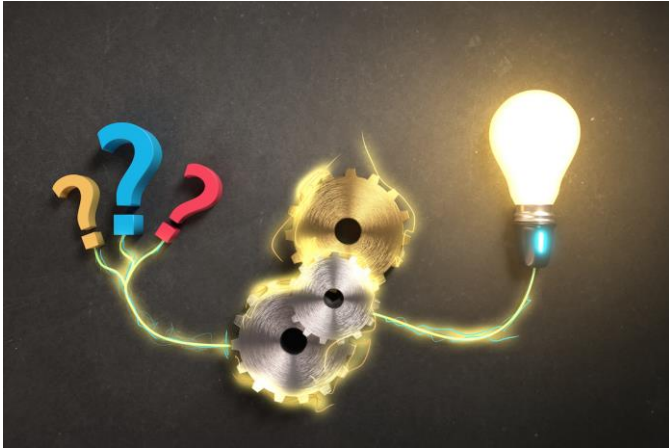
Please [contact QRMC](#) for more information.

Implementing Change

Last month's edition of *Insight* included [An Introduction to Change Management](#) outlining how more and more organisations are adopting a change management approach when undertaking improvement initiatives and for managing key risks and opportunities. As highlighted, the primary focus of the change management approach is to identify and guide *individuals* within the organisation through the change process to the new way of working. Key to the success of this process is good planning and processes around implementation.

When the need for change is identified, organisations must make decisions on how best to

go about introducing the new process, new strategy, new technology or new way of working (i.e. the new state). Typically, these decisions are made by adopting a project management approach that focuses on the technical delivery and implementation of the new state. That is, planning what the new process or solution is, and how it is to be implemented and managed via an allocated budget to achieve the desired outcome.



Change management complements project management by providing a structured approach:

1. *Consider how individuals will respond to the new state.*

Identify early adopters in the organisation, and those who will resist the change. Besides being a natural response, there can be many reasons why people resist change. Plan strategies for identifying and understanding people's resistance to the new process or solution. It could be that they simply don't understand the need for the change.

2. *Communicate the benefits of the new state.*

This should start from the moment the project is approved and be reinforced frequently. There may be financial savings or efficiencies to be made, or improvements to worker safety that come from reducing risks. Communicate the benefits and communicate them often.

3. *Identify what individuals need to assist them through the transition from the current state to the new state.*

What's it in for them? Will they need new skills to adopt or additional knowledge and training to successfully embed the change? Most people

are more responsive to change when they understand how the change impacts them personally and what the organisation is doing to support them.

4. *Once implemented, reinforce why the change was made.*

For any new process or solution to be embedded successfully, organisations must ensure their people don't fall back into the old way of doing things. Continue to reinforce why the new process or solution was introduced by reiterating why the change was made and the benefits that will be derived from the new state.

QRMC can work with you to incorporate a change management approach to managing the key risks and opportunities unique to your business. [Contact](#) one of our consultants for further information.

Transitioning to AS/NZS ISO 45001



Standards Australia [recently re-classified](#) AS/NZS 4801:2001 *Occupational health and safety management systems* as "available superseded".

This means that AS/NZS 4801 has formally been superseded by AS/NZS ISO 45001:2018 *Occupational health and safety management systems*.

However, AS/NZS 4801 is being maintained because it is referenced in safety laws and codes of practice across Australia.

With AS/NZS 4801 now superseded may be timely to begin transitioning workplace health and safety management systems to AS/NZS ISO 45001.

QRMC can assist by undertaking a gap analysis of your organisation's existing systems against the requirements of AS/NZS ISO 45001 and providing recommendations for updating documentation whilst maintaining compliance to legislation as currently written. Please [contact QRMC](#) for more information.