Procedure: Corrective and Preventive Action

Cathodic Anodes Australasia

Purpose

- To identify and prevent the cause of problems
- To document positive and negative feedback
- To document incidents relevant to the operation of the company, including OHS and Environmental incidents.

References

1. Form – Corrective Action Report (www.anodesonline.com.au/2020/corrective-action-reports/)
2. Form – Approved Suppliers
3. Procedure – Environmental Site Based Management Plan

Procedure

Part 1: Corrective Action Reports (CAR)

By documenting all major problems and potential problems and outlining immediate action and a long term solution, the chance of the problem re-occurring is minimised. This part of the procedure outlines how the Corrective Action Report (ref 1) is to be used.

When to Write a CAR

A CAR is to be written when a problem occurs or a potential problem is identified that is a safety or environmental incident or an issue that impacts on our ability to supply high quality products on time. This includes problems identified during day-to-day operations as well as during audits. Some examples of when to write a CAR include:

- Steel inserts are not cut and punched according to the technical drawing.
- An employee gets an injury while lifting an anode.
- An audit shows that a procedure is not being followed.
- A Purchase Order has inadequate information for the supplier.
- A hazardous chemical escapes into the drain.
- A customer has received anodes which do not meet weight requirements.
- An improvement in the safe handling of hot anodes is identified.
- A supplier machines anodes that are non in compliance with CAA drawing.

Writing A CAR

When a problem/issue is identified the details are to be documented on the Corrective Action Report form (ref 1). This part of the procedure should be read whilst looking at a CAR form.

1. ***Corrective Action Report Name:*** One line identifying the issue.
2. ***Source of Issue:*** Where did the incident originate?
3. ***Description of Issue:*** Details on what occurred, including names and dates where possible.
4. ***Immediate Action:*** What steps were taken to immediately resolve the issue in the short-term?
5. ***Root Cause:*** Brief statement of cause of issue.
6. ***Corrective Action:*** What changes were made to the system or process to prevent the incident re-occurring?
7. ***Verification:*** Has the resolution been successful. Provide proof of success.
8. At the bottom of the page add:
    a. ***Reported by:*** Who reported the incident?
    b. ***Closed by:*** Who closed the incident?
    c. ***Date Closed:*** The date the incident was closed
9. ***Corrective action Category:*** Identify which categories are applicable. This assists when reviewing the CARS.

Management Review
All CARs are reviewed at each management review meeting. If there are numerous CARs of the same incident, additional action is undertaken, such as training or changes in a process.
If a supplier has a large number of CARs and does not appear to be resolving the problems, they can be removed from the approved suppliers list (ref 2). Also, if a customer causes ongoing difficulties and does not appear to be rectifying the problems, we may choose to decline to supply to them.

Workplace Health & Safety Incidents
In addition to reporting workplace safety incidents in the CAR system, incidents that fall within the categories listed below must be reported to Work Health and Safety Queensland (WHSQ) as soon as possible (but within 48 hours) of becoming aware of the event.

- Immediate hospital treatment as an in-patient
- Medical treatment within 48hrs of exposure to a substance.
- Work caused illness
- Notifiable incident
- Serious electrical incident
- Dangerous electrical event

A **fatality** must be reported to Work Health and Safety Queensland **immediately** by contacting 1300 362 128.

Environmental Incidents
In addition to reporting environmental Incidents in the CAR system, details of the incident must be provided to the EPA within 14 days. For more information, refer to the Environmental Site Based Management Plan procedure (ref 3).

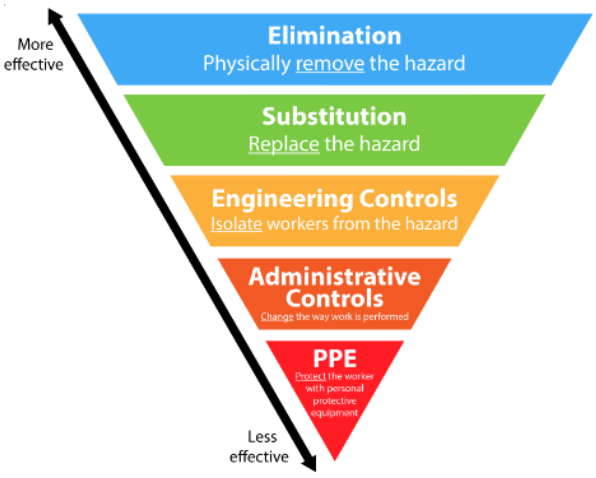
Part 2 Preventive Action

Particular focus should be put on preventive action, especially when new processes are being implemented. Some examples include:

1. When new staff commence employment.
2. When there are changes in the way a manufacturing process is carried out.
3. When installing new factory equipment and training staff to operate the new equipment.
4. When installing a new computer system.

To aid in the prevention of problems, an assessment of the potential risks in each step in the process must be carried out (see the "Process Analysis" section of the Business Process Status Report) and the implications of the changes on all departments, customers and suppliers must be undertaken prior to implementing the changes.

HIERARCHY OF CONTROLS



The assessment must identify potential risks and how they can be eliminated or minimised, where possible the Hierarchy of Controls (left) should be adhered to. The assessment should also include an action plan for the worst case scenario if the potential risk becomes a reality.

Once the new process has been implemented, review the risk assessment against what actually occurred. What worked? What didn't work? Was there any unforeseen risks or problems? Report on what would be done differently next time.

END OF DOCUMENT