

# Cefic / ECTA / FECC 's Incident Investigation Guideline :

a tool to comply with  
**ISO9001:2015 elements**

25 February 2016  
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A COMPOSITE IMAGE OF THE WORLD'S MOST NOTORIOUS "BLACK HATS"

RISKS,  
you can  
predict?



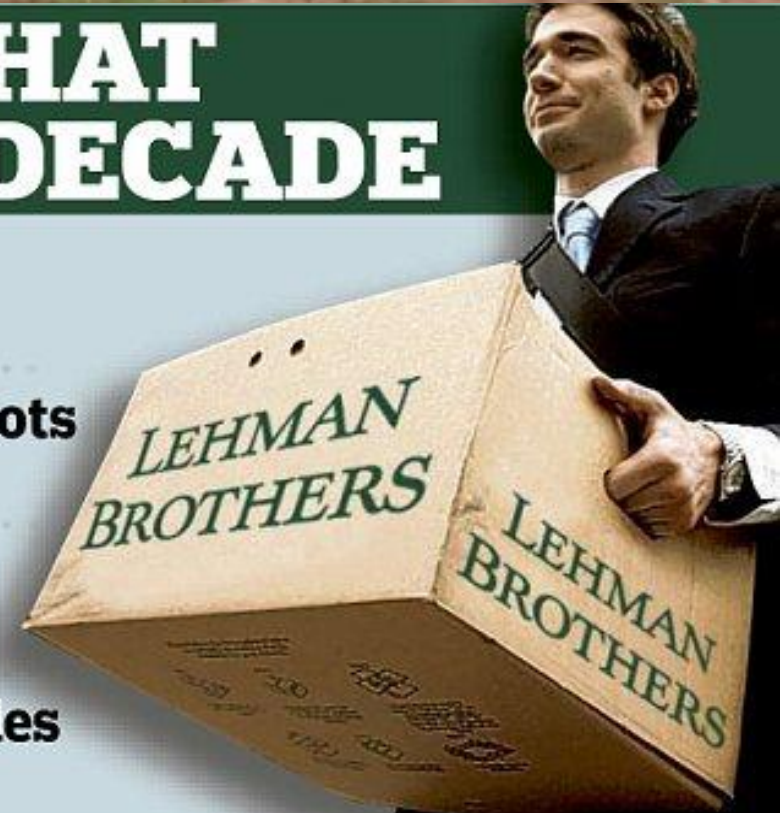
## THE WEEK THAT CHANGED A DECADE

**Sep 10** Lehman Brothers announces a \$3.9bn loss

**Sep 13** Federal Reserve moots liquidation option

**Sep 14** UK regulators veto rescue bid from Barclays

**Sep 15** Lehman Brothers files for bankruptcy protection







## ISO 9001 : 2015 “Risk Based Thinking”

Risk Based Thinking in Chemical Logistics must include:

- Prevention of Accidents and Incidents
- Continuous Improvement & PDCA
- Prevention of the re-occurrence of Accidents and Incidents

All are referred to in ECTA’s Best Practice Guideline



## Definitions:

### Risk (*noun*)

A situation involving (possible) exposure to danger.

"flouting the law was too much of a risk"

synonyms: possibility, chance, probability,  
likelihood, danger, peril, threat,  
menace, fear, prospect

"do not use the stove inside a tent because of the risk of fire"



## Definitions

### Opportunity (*noun*)

A time or set of circumstances that makes it possible to do something.

"increased **opportunities** for export"

synonyms: chance, lucky chance, good time, golden opportunity, time, occasion, moment, favourable time/occasion/moment, right set of circumstances, appropriate time/occasion/moment, suitable time/occasion/moment



## Risk Management Reflections

What are we all looking for from a management perspective:

- Controls
- Efficiency and Effectiveness of our systems

How do we achieve more efficiency:

- By actively searching for overlaps and dealing with them



## Risk Management Reflections

Risk: Something that can happen

Incident: Something that has happened but could have been worse

Accident: Something That has happened

Risk: Something (an incident or accident) that can happen again



## Risk Management Reflections

Examples:

Plan	Think about risk	Establish Policy and procedures (Risk Management System)
Do	Work	<b>Register Incidents/Accidents</b>
Check	<b>Root Cause Analysis</b>	
Act	<b>RCA Follow Up</b>	
Plan	Think about risk	Establish Policy and procedures (Risk Management System), incl. <b>Guidelines</b> & Audit-procedures
Do	Work	
Check	Audit	Register short-comings
Act	Audit Follow Up	

# Risk Management Reflections

## ISO 9001 : 2015 - Risk Based Thinking, *to be integrated*

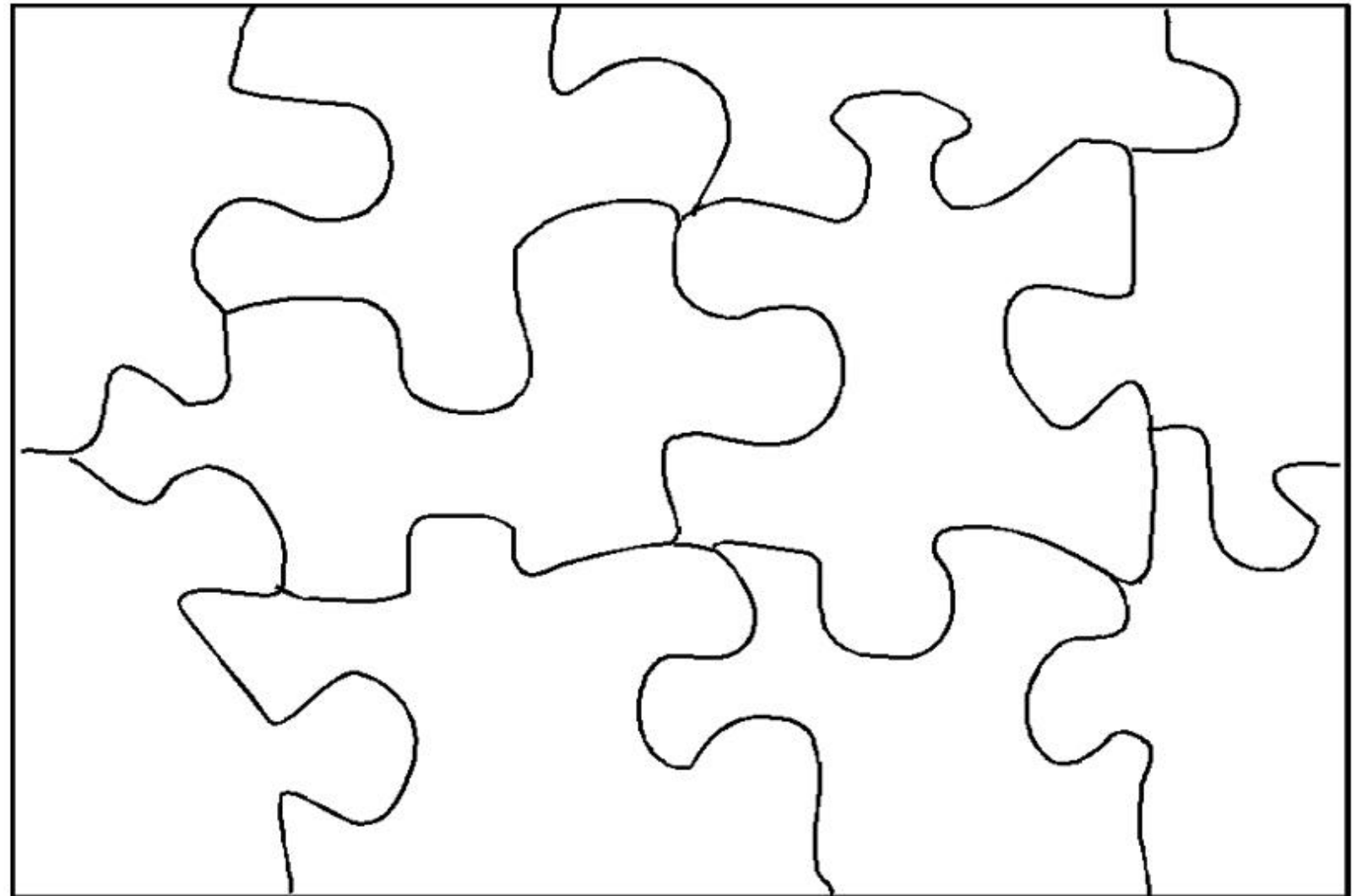
The Law  
SQAS

**Best Practice Guidelines**

And

Industry Standards, such as  
ISO 9001 : 2015

But .....



Number	Title
<a href="#"><u>ISO 9001:2015</u></a>	Quality management systems -- Requirements
<a href="#"><u>ISO 10004:2012</u></a>	Quality management -- Customer satisfaction -- Guidelines for monitoring and measuring
<a href="#"><u>ISO/FDIS 13485</u></a>	Medical devices -- Quality management systems -- Requirements for regulatory purposes
<a href="#"><u>ISO/TR 14969:2004</u></a>	Medical devices -- Quality management systems -- Guidance on the application of ISO 13485: 2003
<a href="#"><u>ISO/TS 17582:2014</u></a>	Quality management systems -- Particular requirements for the application of ISO 9001:2008 for electoral organizations at all levels of government
<a href="#"><u>ISO 18091:2014</u></a>	Quality management systems -- Guidelines for the application of ISO 9001:2008 in local government
<a href="#"><u>ISO/AWI 19443</u></a>	Quality management systems -- Specific requirements for the application of ISO 9001 and IAEA GS-R requirements by organizations in the Supply Chain of the Nuclear Energy sector
<a href="#"><u>ISO/NP 21001</u></a>	Educational organization management systems -- Requirements with guidance for use
<a href="#"><u>ISO/IEC 80079-34:2011</u></a>	Explosive atmospheres -- Part 34: Application of quality systems for equipment manufacture



<a href="#"><u>ISO 18788:2015</u></a>	Management system for private security operations -- Requirements with guidance for use
<a href="#"><u>ISO/WD 22000</u></a>	Food safety management systems -- Requirements for any organization in the food chain
<a href="#"><u>ISO 22004:2014</u></a>	Food safety management systems -- Guidance on the application of ISO 22000
<a href="#"><u>ISO 22301:2012</u></a>	Societal security -- Business continuity management systems --- Requirements
<a href="#"><u>ISO 22313:2012</u></a>	Societal security -- Business continuity management systems -- Guidance
<a href="#"><u>ISO 24518:2015</u></a>	Activities relating to drinking water and wastewater services -- Crisis management of water utilities
<a href="#"><u>ISO 28007-1:2015</u></a>	Ships and marine technology -- Guidelines for Private Maritime Security Companies (PMSC) providing privately contracted armed security personnel (PCASP) on board ships (and pro forma contract) -- Part 1: General
<a href="#"><u>ISO/DIS 34001.3</u></a>	Security management system -- Fraud countermeasures and controls
<a href="#"><u>ISO/WD TS 34700</u></a>	Animal welfare management -- General requirements and guidance for organizations in the food supply chain
<a href="#"><u>ISO/WD 35001</u></a>	Laboratory biorisk management system -- Requirements
<a href="#"><u>ISO 39001:2012</u></a>	Road traffic safety (RTS) management systems - Requirements with guidance for use
<a href="#"><u>ISO/CD 45001</u></a>	Occupational health and safety management systems -- Requirements
<a href="#"><u>ISO/IEC 80079-34:2011</u></a>	Explosive atmospheres -- Part 34: Application of quality systems for equipment manufacture

<a href="#"><u>ISO/DIS 11000</u></a>	Collaborative business relationship management -- Framework
<a href="#"><u>ISO 19600:2014</u></a>	Compliance management systems -- Guidelines
<a href="#"><u>ISO 30300:2011</u></a>	Information and documentation -- Management systems for records -- Fundamentals and vocabulary
<a href="#"><u>ISO 30301:2011</u></a>	Information and documentation -- Management systems for records -- Requirements
<a href="#"><u>ISO/DIS 37001</u></a>	Anti-bribery management systems
<a href="#"><u>ISO/DIS 37101</u></a>	Sustainable development of communities -- Management systems -- Requirements with guidance for resilience and smartness
<a href="#"><u>ISO 30302:2015</u></a>	Information and documentation -- Management systems for records -- Guidelines for implementation
<a href="#"><u>ISO/AWI 41000</u></a>	Facilities Management -- integrated Management System -- Requirements [with Guidance for Use]
<a href="#"><u>ISO/AWI 50501</u></a>	Innovation management - Innovation management system - Guidance
<a href="#"><u>ISO 55001:2014</u></a>	Asset management -- Management systems -- Requirements
<a href="#"><u>ISO 55002:2014</u></a>	Asset management -- Management systems -- Guidelines for the application of ISO 55001

[ISO 14001:2015](#)

Environmental management systems -- Requirements with guidance for use

[ISO/FDIS 14004](#)

Environmental management systems -- General guidelines on principles, systems and support techniques

[ISO 14005:2010](#)

Environmental management systems -- Guidelines for the phased implementation of an environmental management system, including the use of environmental performance evaluation

[ISO 14006:2011](#)

Environmental management systems -- Guidelines for incorporating ecodesign

[ISO/AWI 19443](#)

Quality management systems -- Specific requirements for the application of ISO 9001 and IAEA GS-R requirements by organizations in the Supply Chain of the Nuclear Energy sector

[ISO 50001:2011](#)

Energy management systems -- Requirements with guidance for use

[ISO 50004:2014](#)

Energy management systems -- Guidance for the implementation, maintenance and improvement of an energy management system



# Risk Management Practices in Logistics

## 1. Common Sense

## 2. Knowledge

- Use of knowledge, internally available
- Use of knowledge, externally available (Cefic, ECTA, FECC, EFTCO)

## 3. Use of tools

- SQAS, Best Practice Guidelines ..... ISO 9001 : 2015

## 4. Continuous Improvement & PDCA

- Prevention of Accidents & Incidents
- Prevention of the re-occurrence of Accidents and Incidents

LSP's listen to their stakeholders:  
And then they define their own priorities