



ACCIDENT, INCIDENT REPORTING and INVESTIGATION PROCEDURE

Effective date: 1 April 2022

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1. Purpose

This procedure aims to ensure all accidents and incidents are reported, recorded and investigated. A risk management approach is applied to the findings of accidents and incident investigations so hazards identified are controlled using the Hierarchy of Control and ensure that agreed preventative and corrective actions are implemented, monitored and reviewed for effectiveness.

2. Operational Requirement

When an accident/incident occurs

- Take immediate action to minimise the risk of further injury or damage (for example, isolating the hazard, evacuation, containing spills). In case of injury, depending on the severity and the injured worker's preference, appropriate first aid or medical attention should be sought.
- All work-related accidents and incidents must be reported to the immediate people leader as soon as reasonably practicable after they occur and, via the Incident Report Form register the incident.

3. How do you define a serious incident?

Workplace Safety and Health Division considers an incident to be serious if it results in:

- death, or serious injury (as defined below),
- collapse or structural failure of a building, tower, crane, hoist, temporary construction support system or excavation,
- an uncontrolled spill or escape of a toxic, corrosive or explosive substance
- explosion, fire or flooding.

Serious injuries are defined as:

- fracture of a major bone
- amputation
- loss of sight
- internal hemorrhage
- third degree burns unconsciousness resulting from concussion, electrical contact, asphyxiation
- poisoning
- cuts requiring hospitalization or time off work
- any injury resulting in paralysis
- any other injury likely to endanger life or cause permanent disability.

Workers may take such steps as are necessary:

- to assist an injured person,
- to allow emergency services to remove a deceased person, or
- that is essential to make the site safe or to minimise the risk of a further notifiable incident
- to comply with a police investigation or
- with an inspector of the regulator where permission has been given.

4. Why do we investigate incidents?

Prevention is the purpose of an investigation. An incident investigation should:

- determine what actually happened,
- determine the cause or causes of the incident,
- identify any unsafe conditions, acts or procedures,
- help management to identify practical corrective actions,
- determines whether due diligence was observed,
- show the commitment of management that an adequate investigation system is in place.

The purpose of these activities is not to find fault or lay blame, but rather to identify the basic causes of incidents so that controls can be put in place to prevent further occurrences. Information from the investigation should be put on the record, but not used to discipline anyone. This policy encourages witnesses to tell investigators everything they know.

5. Incident Investigation Steps

The Director of HSE Department will investigate the accident/incident. The focus of the investigation is to obtain an accurate picture of what occurred by:

- Examining the accident scene and recording any physical evidence related to the event.
- Interview people involved or any witnesses
- Review background information such as procedures for the work being carried out, maintenance reports, training reports or previous similar events.

For serious and notifiable incidents, the findings of the investigation, including relevant corrective actions must be recorded in the form of a report addressed to the Executive Committee member representing the area.

For less serious incidents investigation details, can be noted on the Incident Report form along with any correction actions.

Some tips to consider:

- Biases (Individual, Team, Others?)
- Your experience and skills (how it affects your perception)
- Avoid jumping to conclusions • Use appropriate voice tone
- Minimize stress wherever possible
- Be aware of your non-verbal communication (e.g. facial expressions, gestures)
- Behave professionally (representative of your company's safety and health culture, courteous, open, honest, candid, non-threatening)

6. Visiting The Scene

Speed and thoroughness are both necessary in incident investigations. Memories fade and evidence disappears. Balancing the numerous activities to be undertaken when visiting the scene is a great challenge for the investigator.

6.1. Take Control

of the situation and make the area safe for yourself and any others entering the scene. Consider any imminent risk situations (e.g. moving equipment in order to secure the scene). It is imperative that management be notified immediately of the incident, injured parties, damaged material and equipment and any requests to shut down operations to secure the area. Chaos may result from an incident and people may be in a panic. The situation must be brought under control at once in order for

rescue work to proceed. Secondary incidents (such as fires, equipment or structural failures) may result from the initial incident. These hazards should be controlled as soon as possible.

6.2. Care for the injured:

First aid or medical attendants should be called to care for the injured immediately. If chemicals are involved, ensure that copies of the material safety data sheets (MSDS's) are provided to the hospital with the injured.

6.3. Secure The Area

To protect evidence and to avoid further injuries or damage, people should be kept out of the incident scene until the investigators arrive (except to relieve suffering). One method is to rope off the area and notify management that the incident scene is non-accessible.

6.4. Collecting evidence/samples:

Depending on the incident, you may want to take one or more samples of evidence found at the incident scene, which may require examination by qualified personnel. (The decision to utilize experts to collect evidence should be exercised – e.g. handling controlled products or analysis of engineered systems). An investigator must ensure that s/he exercises caution when handling evidence for two distinct reasons:

- to protect themselves against harm from handling evidence such as damaged equipment or chemical substances, one should assess the need to wear personal protective equipment.
- to preserve the evidence, care should be taken to maintain the original state of the evidence.

Since liquids can evaporate quickly and other materials may be cleaned up before you can get a sample, it is very important to take your samples as soon as possible. Examples of things you might want to sample include:

- Any tools, materials, machinery part or subassembly which is suspected of failure, malfunction, misfit or faulty design.
- Air samples or other samples if the presence of impurities or toxic substances may have contributed to the incident.
- Liquids or solids which are not normally present at the site of the incident.
- Carefully wrap and label everything in clean, dry and leak proof containers. Note where each specimen came from and what the initial appearance was like. Avoid destroying or altering exhibits during examination.

Note the environment (e.g. noise, heat, cold, ventilation and chemical contaminants). Find out what the weather conditions were at the time of the incident, if applicable. Note: If a serious incident occurs at the workplace, a Safety and Health Officer may conduct an incident investigation. The Officer will require that items involved in the incident (e.g. equipment, materials) not be moved unless it is necessary to release an injured person or to avoid creating additional hazards.

6.5. To Find The Root Cause

Write out the events of the incident, step by step. Recall the five factors identified under "Incident Causation:" Consider the sample questions within each of the following factors:

These are questions intended for the investigator to assess root causes. They should not necessarily be used for witness interviews since they could intimidate the witness.

Task – The work procedure used at the time of the incident.

1. Was a safe work procedure used?
2. Had conditions changed to make the normal procedure unsafe?
3. Were the appropriate tools, materials available?
4. Were they used?
5. Was all of the required personal protective equipment available?
6. Were inherent safety devices, alarms or other systems in place?
7. Were all backup safety devices or systems in place?
8. Was the task structured to encourage/discourage safe work practices or procedures?

Material/Equipment – Causes brought about by the equipment or materials used.

1. Was there an equipment malfunction or failure?
2. What caused it to fail?
3. Was the material or equipment substandard in some way?
4. Was personal protective equipment used? Should it have been?
5. Were hazardous substances involved?
6. Were tools, machinery and equipment being used correctly? (Check manufacturers specifications for operating tools, machinery and equipment as well as any other applicable standards)
7. Were tools or machinery modified in any way?

Worker(s) – The factors related to workers include individual experience, skills and abilities as well as one’s physical capabilities, and emotional state at the time of the incident. Your inquiry of a worker is not to place blame, but to uncover the factors they experienced at the time of the incident. Consider the following questions:

1. Were workers aware of the standards, practices, procedures or legislation governing the activity?
2. Were workers adequately trained to do the task in question according to standards, practices and procedures prescribed?
3. What training had the worker received?
4. What experience did the worker have to do the task?
5. Was the worker physically capable?
6. Was judgement, health and/or ability impaired for any reason? (e.g. Were they Tired? Rushed? Stressed? Using Medication?)

Management – The employer is responsible for ensuring the safety and health of workers at the workplace and is therefore responsible for the policies, procedures and rules on the job. This also includes enforcing the policies, procedures and rules. Management staff (managers, supervisors, lead hands, etc.) must always be considered in an incident investigation since they are responsible for providing direction and supervision.

1. Were the hazards which led to this incident known to supervisors?
2. Were standards, practices and procedures developed and implemented to overcome these hazards?
3. Were supervisors aware of the standards, practices, procedures or legislation governing the

activity?

4. Were safety and health rules in effect?
5. Were they being enforced?
6. Was adequate supervision given?
7. Was regular maintenance of equipment carried out?
8. Were unsafe conditions corrected?

7. Preparing The Report

The intent of the report is to effect change. If after an investigation, there are no recommendations or actions taken to improve the safety and health at the workplace, it is likely incidents will continue to happen and workers will feel a sense of irresponsibility on the part of the employer and safety and health committee. A succinct report detailing specific recommendations is critical to the effectiveness of prevention at the workplace. The report should be written with consideration as to who is the target group that will be reading the report. If your company has developed a form for reporting incidents, you will want to complete such a form for each incident. Attached is a report format recommended by WSH. It covers the following aspects:

7.1. Report Format

Part I

- Particulars
- Injured party Information
- Where and when the incident occurred
- Damaged property/material information
- First Aid response

Part II

- Description of the Incident
- Description of what happened in detail

Part III

- Evidence
- Sketch of the incident scene
- Photographs, diagrams and physical evidence
- Persons with information and statements

Part IV

- Incident Causation
- Direct and indirect causes of the incident
- Five factor analysis

Part V

- Corrective Action
- Immediate and long term corrective actions
- Target completion dates

Part VI

- Report Review
- Who prepared the report and when it was prepared

- Report distribution list
- Signatures of the Safety and Health Committee Co-Chairs

8. Corrective and preventative actions

All stake holders involved in the investigation must identify corrective or preventative actions required to prevent the accident or incident reoccurring.

9. Monitor and Review actions for effectiveness

The immediate people leader will

- Track and monitor the implementation of corrective/preventive actions
- Evaluate controls for effectiveness in consultation with workers in the affected area and any other stakeholders
- Review any new hazards as they are identified
- Include new control measures into the workplace inspection process
- Communicate outcome of incident investigation to the management so results can be added to the appropriate file.
- Close out any outstanding corrective or preventative actions and report.