

Sample Incident Investigation and Reporting Plan

1.0 The purpose of this procedure is to outline the method that this facility will use for incident investigation and reporting. Incidents are defined as any events that cause or may have caused injury/damage to employees, the public, the environment, buildings and/or equipment.

2.0 Scope

The types of incidents covered by this plan include:

- 2.1 Employee Near Miss (no injury occurs)
- 2.2 Employee First Aid Accident (treated onsite)
- 2.3 Employee Medical Treatment Accident (treated offsite)
- 2.4 Chemical / Material Release
- 2.5 Process Upsets or Deviations
- 2.6 Fire
- 2.7 Catastrophic Events

3.0 Responsibility

3.1 Unless otherwise specified by the Facility Manager, the current shift leader is responsible for ensuring the completion of all Initial Incident Investigations and reports. Form A should be used for incidents 2.1 through 2.3. Form B should be used for incidents 2.4 through 2.7. Multiple forms should be completed if applicable to the incident(s).

3.2 The facility Safety Coordinator is responsible for ensuring the completion of all Main Incident Investigations and reports. Main Incident Investigation and reports are required for incident types 2.3 through 2.7.

4.0 Initial Incident Investigation

Initial Incident Investigation is the first investigation done after an incident has been resolved. Initial Incident Investigations must be lead by the shift leader or designee who has been trained and certified to perform the investigation per the facility's "Incident Investigation and Reporting" training program. The initial investigation committee should consist of at least two other shift personnel and include contractors if involved in the incident. Completed Initial Incident Investigation forms and all other pertinent information (samples, witness reports, photographs, etc.) should be forwarded to the facility Safety Coordinator as soon as the initial investigation is complete.

5.0 Main Incident Investigation

Main Incident Investigations are follow-up investigations to initial incident investigations. Main Incident Investigations must be lead by an individual who has been trained and certified to perform the investigation per the facility's "Incident Investigation and Reporting" training program. Members of the investigation committee should avoid including those involved in the incident. Exclude supervisors, designers, and managers of the employees and/or processes involved in the incident. Employees / operators (not involved in the incident) that are familiar with the job/processes should be preferred committee members. Incidents involving chemical releases or other environmental impact must include the facility environmental coordinator. The facility safety coordinator should choose the committee leader and both must approve all committee members. Committee size should be between 5 to 10 members.

The investigation committee will use JSA (Job Safety Analysis) for incident types 2.1 through 2.3. where the incident only involved one employee. The JSA method used is the one specified by OSHA in document XYZ. For all other incidents, Fault Tree Analysis or Change Analysis will be used as outlined in facility document , FTACAv-X.X. The committee is responsible for selecting the analysis method. The committee can only do one analysis method per incident investigation.

All main incident investigation reports should be completed no later than 7 days after the incident. An interim report should be issued if the investigation is not complete within 10 days. A final report should be issued once the investigation is complete.

All committee members must sign/approve the final investigation report. Those not on the committee are not allowed to modify/approve the investigation report.

The Distribution of final reports should be as follows:

5.1 Incident types 2.1 through 2.3 and 2.5

Facility Manager, Facility Safety Coordinator, All shift supervisors

Note: Shift supervisors should review incident investigation reports with their shift personnel at the next shift safety meeting.

5.2 Incident types 2.4, 2.6 and 2.7

Facility Manager, Facility Safety Coordinator, All shift supervisors, Facility Environmental Coordinator, Corporate Safety Coordinator, Corporate Environmental Coordinator

If chemical release exceeded a reportable quantity, copy of the incident investigation report should be sent to the LEPC and SERC within 10 days after the incident.

Note: Shift supervisors should review incident investigation reports with their shift personnel at the next shift safety meeting.

5.3 Recommendations

All recommendations should be resolved as soon as possible. Note completion time on incident forms/final reports, if all recommendations are completed before completion of the incident form/final report. Enter Work Maintenance Request numbers on the incident form/final report, if a work request is issued to resolve a recommendation. For other recommendations that are not resolvable by operations or maintenance personnel, enter a recommendation request through the facility Recommendation Resolution System (RRS). Record the RRS tracking number on the incident investigation form/final report.