

04. Incident Investigation

The purpose of incident investigation is to complete the process steps of collecting the evidence that leads to conclude a root cause, recommendations and implementation of corrective actions to prevent the reoccurrence of the incident. As safely practicable; the incident investigation process shall begin immediately after an incident by the employee(s) with either direct or indirect employee oversight of the activity.

04.01. Responsibilities

04.01.01. Responsibilities for incident investigation will be assigned prior to occurrence of an incident. The Primary Incident Investigation Team shall be designated with logical backup for each member of the team to respond to requests for incident investigation. Individual responsibilities for reporting and investigation must be pre-determined and assigned prior to incidents.

04.02. All Employees

04.02.01. Immediately report any near miss, non-injury, injury, suspected hazardous material exposure, job related illness, fatality, environmental spill and or damage to any property to their immediate supervisor. If their immediate supervisor is not available, the employee is then to immediately notify an authority designated by supervision.

NOTE: Employees who volunteer as first responders shall be trained and qualified in CPR/AED and or first aid techniques to control the degree of loss during the immediate post-incident phase.

04.03. Procedure

04.03.01. Immediately post incident; attending to all injured including securing transport and or emergency medical response to a medical facility; after a competent person and or command authority renders the location safe; the completion of assessed actions to prevent further loss shall occur at the location of the incident

NOTE: For example, emergency response personnel shall govern incident location activities until incident location is released for investigation; maintenance personnel should be summoned to assess integrity of buildings and equipment; engineering personnel to evaluate the need for bracing of structures and special equipment; response requirements such as safe rendering of hazardous materials.

04.04. Investigations of Incidents & Non-conformances

04.04.01. Investigation is a critical element of an effective safety program in that it determines the root cause and corrective actions necessary to prevent similar incidents or non-conformances. The process of investigation and implementation of corrective actions; once completed shall mistake proof the activity to eliminate any potential reoccurrence.

04.05. The following shall be reported to a supervisor and or designated authority immediately.

04.05.01. Near miss incidents with the potential to harm people, the environment or property.

04.05.02. Work related injury or illness.

04.05.03. Work related fatality.

FP&M Physical Plant Safety Manual - July 2016

- 04.05.04. Property damage including vehicle incidents
- 04.05.05. Hazardous chemical spillage, loss of containment and or contamination
- 04.05.06. Non-conformance to human safety, environmental policies, procedures and or codes adopted to preserve and protect human life by any person on campus.
- 04.06. The supervisor shall make the necessary notifications and begin the incident investigation process.
- 04.07. In the case of all major injury or a fatality incident the scene of the event shall be closed off; barricaded and shall remain undisturbed from the exact time of the incident. This is vital for effective incident investigation.
- 04.08. Incident investigation occurs immediately, as soon as the incident location will allow, while the facts are still at the forefront of those involved. Take the opportunity to interview all involved before they become unavailable or memory fades.
- 04.09. An incident investigation shall be:
 - 04.09.01. Thorough and concerned with cause and prevention.
 - 04.09.02. A separate activity from any administrative disciplinary action.
- 04.10. Equipment
 - 04.10.01. Proper equipment will be available to assist in conducting an investigation. Equipment may include some or all of the following items; writing equipment such as pens, paper, measurement equipment, cameras, small tools, audio recorder, PPE, flags, equipment manuals, etc. Incident Investigation Team shall have an incident investigation kit prepared in advance.
- 04.11. Incident Notification Matrix
- 04.12. The Incident Notification Matrix identifies, based on type of incident, who within supervision shall be verbally notified and when. It also specifies which type of report from the field shall be completed based on the type of incident.
 - 04.12.01. Reporting of the incident shall occur in a specified manner based on site specific requirements and the reporting sequence shall be posted.
- 04.13. Incident Notification Matrix

Type of Incident	Who to Notify Verbally	When	Incident Report Form
First Aid Injury Remain on campus	Supervisor or designated authority	ASAP	
First Aid Medical Attention Injury Self or assisted transport Off campus	Supervisor or designated authority	ASAP	

FP&M Physical Plant Safety Manual - July 2016

Type of Incident	Who to Notify Verbally	When	Incident Report Form
Medical Attention Injury Assisted transport Off campus	Supervisor or designated authority	ASAP	
Medical Attention Injury Emergency transport Off campus	911 Supervisor or designated authority	Immediately	
Fatality	911 Supervisor or designated authority	Immediately	
Fire and/or Explosion	911 Supervisor or designated authority	Immediately	
Reportable Spill	Environment, Health & Safety Department Supervisor or designated authority	ASAP	
Non-Injury Property and/or Vehicle Damage	Supervisor or designated authority	<24 Hours.	

04.14. Time Elements for Notification

04.14.01. Incidents shall be verbally reported to the proper authority as soon as possible. Incident reports shall be completed and submitted by employee and supervisors as soon as possible or within 24 hours of incident.

04.15. Incident Investigation Team and Incident Investigation Report

04.15.01. All incidents shall be investigated to the appropriate level with regard to incident severity. While all incidents shall be investigated, the extent of such investigation shall reflect the seriousness of the incident utilizing a root cause analysis (RCA) process or other similar methodology. The Incident Investigation Team shall participate in the determination of the root cause for inclusion in the final incident report.

04.16. Initial Identification and Assessment of Evidence

04.16.01. Initial identification of evidence immediately following the incident shall include a listing of affected employees, victims, witnesses, equipment, and materials involved and a recording of environmental factors such as workplace conditions, activity scope, weather, illumination, temperature, noise, ventilation, etc.

04.17. Collection, Preservation and Security of Evidence

04.17.01. Evidence such as positions of people, positions of equipment, tools, parts, and papers shall be preserved, secured and collected through notes, photographs, witness

FP&M Physical Plant Safety Manual - July 2016

statements, flagging, and impoundment of documents and equipment. All shall be photographed with date affixed to evidence items.

04.18. Witness Interviews and Statements

04.18.01. Witness interviews and statements shall be collected. Witness statement shall be taken separate from others in a location that is conducive for an interview while gathering information. Locating witnesses, ensuring unbiased testimony, obtaining appropriate interview locations, and use of trained interviewers asking the same series of investigative questions shall be detailed. The need for follow-up interviews shall also be addressed. All items shall be dated.

04.19. Preparation of the Written Incident Report

04.19.01. Written incident reports shall be prepared; include the Incident Report with a detailed narrative statement concerning the events. The format of the narrative report may include an introduction, methodology, summary of the incident, Incident Investigation Team member names, narrative of the event, findings and recommendations. Photographs, witness statements, drawings, etc. shall be included where deemed permissible by policy.

04.20. Supervisors In Charge

04.20.01. Provide emergency assistance, as needed and qualified for.

04.20.02. Secure the area as quickly as possible to retain area in the same condition at the time of the incident

04.20.03. Notify management by phone.

04.20.04. Identify potential witnesses

04.20.05. Use investigation tools, as needed (camera, drawings, video, etc.)

04.20.06. Tag out for evidence any equipment that was involved

04.20.07. Interview witnesses (including the affected employee(s)) and obtain written, signed statements

04.20.08. Prepare Incident Report, sign the form.

04.20.09. Implement any immediate corrective actions needed

04.21. Incident Investigation Team

04.21.01. Shall provide documentation of lessons learned.

04.21.02. Shall review similar activities to determine if existing safety procedures accurately reflect the control measures of potential hazards to prevent further occurrence. Lessons learned shall be reviewed and communicated to all employees. Changes to procedures shall be placed into effect to prevent reoccurrence or similar events.

04.21.03. In order to communicate incident information and lessons learned from incidents The Incident Investigation Team shall send the Incident Notice to all department supervisors

FP&M Physical Plant Safety Manual - July 2016

for review and posting. The form shall be posted on employee bulletin boards and shall be discussed in safety meetings until all employees have been informed of the incident.

04.22. Corrective Actions Resulting from Incident Investigations

- 04.22.01. Incident investigations shall result in corrective actions, individuals shall be assigned responsibilities relative to the corrective actions and these actions shall be tracked to closure.
- 04.22.02. Supervisors are held accountable for closing corrective actions. Corrective actions for safety improvement input are posted and tracked by the Incident Investigation Team to ensure timely follow up and completion.
- 04.22.03. Corrective actions shall also be used as needed for revisions to specific standard operating procedures and Physical Plant Safety Program Management.
- 04.22.04. The final incident investigation report consists of findings with activity summary, critical factors, evidence, root cause, recommended corrective actions, responsible parties, and timelines for corrective action completion.

04.23. Results of incident investigations; based upon severity; are communicated to employees via the following methods:

- 04.23.01. All employee safety stand down
- 04.23.02. Departmental safety meeting
- 04.23.03. Safety bulletin
- 04.23.04. Email
- 04.23.05. Electronic broadcast

04.24. Notification means shall insure all employees are alerted of the incident investigations results where required.

04.25. Training

The Incident Investigation Team shall insure the investigative team members are trained in their responsibilities and incident investigation techniques. Training requirements relative to incident investigation and reporting are described below:

- 04.25.01. The initial investigation at the incident scene
- 04.25.02. Managing information:
 - 04.25.02.01. Collection
 - 04.25.02.02. Recording
 - 04.25.02.03. Retention
 - 04.25.02.04. Analyzing
- 04.25.03. Developing Judgment of Cause and Conclusions

04.25.04. Developing Corrective Action Plans

04.25.05. Reporting the Results

Note: AED/CPR (voluntary enrollment only-not required to serve on investigative team)