

California Institute of Technology
Facilities Department

**INCIDENT INVESTIGATION AND
REPORTING WORKGROUP
RECOMMENDATION**

INCIDENT INVESTIGATION AND REPORTING WORKGROUP RECOMMENDATION

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1. SCOPE AND PURPOSE

The hazard / incident reporting and investigation process provides guidance for the identification of potential hazards and the reporting and investigation of incidents.

All incidents should be investigated to:

- Prevent a similar incident from reoccurring
- Identify incident root cause
- Identify corrective actions and tracked until they are completed
- Review trends, identify gaps, and develop improvement plans
- Generate lessons learned to be used as a training tool
- Guide to update procedures

2. DEFINITIONS

- **Hazard:** Anything with the potential to cause harm, injury, illness or loss
- **Incident:** An event that has led to or could have led to an injury. Incidents include near misses, accidents and injuries
- **Near Miss:** A near miss is defined as any occurrence that might have led to an injury or illness to people, danger to health and/or damage to property or the environment
- **Injury:** Physical damage or harm to a person (includes work-related illness)
- **Mishap Report:** a form to document hazards, first aid, and near misses, see attached copy
- **Supervisors Injury Report:** a form to document injuries, see attached copy

3. ROLES AND RESPONSIBILITIES

Facilities Supervisors

- Communicate to all employees, the requirement to report hazards and incidents
- Ensure the investigation begins within 24 hours of the incident
- Gather the facts about the incident
- Ensure the investigation identifies the root cause
- Make and/or implement recommendations to control or eliminate the hazard
- Make management aware of the accident
- Inform employees of incident investigation findings and of the preventative control measures implemented

Facilities Employees

- Immediately report all workplace injuries
- Report any incident and/or hazard to the supervisor as soon as reasonably practical
- Participate in the investigation process
- Follow safe work procedures and instructions

Environment, Health, and Safety (EHS) Representatives

Participate in the incident investigation process in consultation with the Workplace Supervisor and/or designee and help identify preventative control measures in response to incident investigation findings.

5. INCIDENT INVESTIGATION AND REPORTING PROCESS

Supervisor	<ul style="list-style-type: none">• Made aware of incident and/or hazard• Makes area safe• Investigates in consultation with the affected person (if possible) within 24 hours of the incident• Completes appropriate incident investigation report form, in consultation with person injured/involved when possible• Determines corrective actions• Takes action to prevent recurrence• Completes Supervisors Injury Report for all injuries and submits report to:<ul style="list-style-type: none">○ <i>Disability and Leave</i>○ <i>EHS</i>○ <i>Appropriate level of senior management</i>• Completes Mishap Report for all near misses and submits report to:<ul style="list-style-type: none">○ <i>EHS</i>• Address recommendations within 30 days of the incident. If longer time is needed, an extension from the Safety Office must be acquired
Employee	<ul style="list-style-type: none">• Identifies incidents and/or hazard• Obtains first aid/medical attention as appropriate• Reports incident to supervisor as soon as reasonably practical
EHS	<ul style="list-style-type: none">• Investigates further into immediate and underlying causes where necessary• Initiates further action as needed• Monitors follow up

6. DOCUMENT THE FINDINGS

Once the incident investigation is completed, the Facilities Supervisor and/or designee must complete a Supervisor Injury Report in case of an injury, or a Mishap Report for first aid, near misses, and mishaps.

7. REVIEW OF IMPLEMENTED CORRECTIVE ACTIONS

Corrective actions as a result of an incident investigation shall be documented and monitored by the supervisor against an assigned timeline. Regular reviews by the Department head of the corrective actions should be conducted to ensure that they have been implemented within the assigned time for completion.
