

	<b>COMPANY HEALTH AND SAFETY PROGRAM</b>	
	<b>Document No.</b> 3.1	<b>Date:</b> August 8, 2006
	<b>Incident Investigation &amp; Review</b>	<b>Revision:</b> 0

## **1.0 PURPOSE**

The purpose of this document is to provide an outline of the steps needed to investigate and analyze the findings and circumstances involved in an incident/ event in an effort to prevent any future similar incidents.

## **2.0 SCOPE**

This Policy applies to all departments, affiliates, subcontractors and joint ventures of HES.

## **3.0 POLICY**

All personnel will be instructed to report any incident to their immediate supervisor as soon as safely possible after the incident. Incidents reported promptly may provide enough information to enable the reviewer / investigator to take appropriate action to prevent similar events from occurring. All incident reports must be initially investigated by the employee's immediate supervisor or the health and safety officer and the information documented accordingly.

HES management will expeditiously review each incident report investigated and determine the appropriate actions to inform HES personnel to minimize and mitigate the potential for a future recurrence to potentially reduce loss in process, people and profits to the company

## **4.0 SUPERVISORS INCIDENT REPORT**

Once an incident has occurred it is the responsibility of the injured employees immediate supervisor to conduct a preliminary investigation of the accident, complete the State of New York Report of Injury Form and take any necessary steps to prevent the recurrence of a similar incident and forward the form to the Health & Safety Manager. The Health & Safety Manager will in turn complete the OSHA 301 Supplementary Form as applicable.

In the event of heavy equipment or vehicle involved accident/incident the attached Document No. 3.2.1 Accident/Incident Reporting procedure and form will be completed by the project supervisor and affected employee(s). Upon completion the form will be distributed as noted. If personnel injuries occur, the applicable forms in the preceding paragraph will be completed.

## **5.0 INVESTIGATION PROCEDURE**

1. Interview injured personnel and witnesses, separately as soon as safely possible after the incident.

Incident Investigation & Review	
Document No.: 3.2	Revision: 0

2. Define the sequence of events leading up to and including the incident.
3. Identify the location, injured personnel, job activities, project, and time and date of the incident.
4. Determine if safe work practices were being implemented.
5. Do not move or replace any piece of equipment from the scene pending safe conditions and without consultation from the Health & Safety Manager.

## 6.0 ACTION TO BE TAKEN

Once the information revolving around the incident has been gathered the action to be taken needs to be identified. Causative and Contributing factors are typically present in an incident and once identified are beneficial in defining the action to be taken.

Causative factors are those that are self evident or readily identifiable by observed facts as the reason(s) the incident occurred (e.g., a foreign object in the eye, not wearing PPE). Contributing factors may either underlie the causative factor(s) or combine with them (e.g., why the injured party did not wear PPE).

It is important to remember that the action to be taken is an outcome of the facts, findings of the investigation and not an opinion of conjecture based on incomplete or inconclusive information.

## 7.0 INCIDENT REVIEW

The primary purpose of the Incident Review Process is to:

1. Ensure that appropriate members of management are directly involved in the review of each incident;
2. Ensure that all facts contributing to the incident are identified;
3. Ensure that all of the information developed is used in a timely manner to prevent a reoccurrence of the incident.

**NOTE:** The incident review process should not be looked upon as a means of determining who is at fault, but rather is intended to be an extremely useful tool to ensure that key management personnel are involved in the review of every incident that occurs.

Members of the incident review group should be composed of the following personnel:

Incident Investigation & Review	
Document No.: 3.2	Revision: 0

Health & Safety Manager  
Supervisor during incident  
Employee(s) involved

Project Manager  
Witnesses during incident

The incident review group meeting will be documented and filed.

## 8.0 KEY TERMS INVOLVING INCIDENTS & INJURIES

In an effort to understand personal injuries, it is helpful to classify the nature of injuries in several different ways. The classifications are as follows:

**Struck By** - a person contacted abruptly and forcefully by an object in motion.

**Contacted By** - a person is contacted by some substances which have an injury-upon-contact characteristic.

**Struck Against** - a person contacts abruptly and with force some object in the surroundings.

**Contact With** - a person contacts some substance or object capable of injury without forceful contact being made.

**Caught In** - a person or part of a person's body is trapped or caught in some type of opening.

**Caught Between** - a person is pinched, crushed, or otherwise caught between two moving, or one moving and one stationary object.

**Fall to Below** - a person falls to a point below the level of the feet prior to falling.

**Fall to Level** - a person falls to the same level as the feet prior to the falling.

**Exposure** - a person is injured or becomes ill as a result of exposure; for example, to toxics, heat, cold, or radioactivity.

**Over Exertion** - a person does harm to the body through excessive strain.

The interpretation of injury causes are important in order to properly investigate and eliminate incidents. Injury causes may be loosely defined as anything and everything that contributes to the event. Four major types of incident causes can be identified:

**Unsafe Acts** - the actions of the individual that precede and bring about the incident.

<b>Incident Investigation &amp; Review</b>	
<b>Document No.:</b> 3.2	<b>Revision:</b> 0

**Unsafe Conditions** - the physical environment as it contributed to the accident.

**Indirect human factors** - the condition, characteristic, or attitude of the individual that influenced the incident.

**Indirect environmental factors** - the cause for the unsafe condition to exist in the environment.

Each of these may be present in an incident or some combination of some of them may exist. A good investigation seeks causes in each category.

## **9.0 UNSAFE ACTS AND CONDITIONS**

The following are twelve basic types of unsafe acts to consider:

1. Operating equipment without authorization;
2. Failure to secure against unplanned movement;
3. Operating at an unsafe rate;
4. Removal of safety devices;
5. Failure to warn or signal;
6. Use of defective tools or equipment;
7. Using tools or equipment improperly;
8. Working from an unsafe or unstable position;
9. Servicing energized or moving equipment;
10. Riding hazardous moving equipment;
11. Failure to use personal protective equipment; and
12. Horseplay.

The following are twelve basic types of unsafe conditions that can contribute to or make possible an injury:

1. Lack of or inadequate machine guards;
2. Fire or explosion hazards;
3. Lack of warning devices;
4. Unexpected movement hazards;
5. Poor housekeeping practices;
6. Protruding objects, corners, edges, or surfaces;
7. Clearance or congestion hazards;
8. Defective tools or equipment;
9. Hazardous storage or physical arrangement;
10. Atmospheric conditions;
11. Environmental: lighting, noise; and
12. Personal attire inappropriate.