Project Management & Construction Services

Standard Operating Procedures

Incident Investigation

When to Conduct an Investigation?

- All injuries (even the very minor ones)
- All accidents with a potential for injury
- Incidents involving product or property damage
- All Near Misses where there was a potential for serious injury

The Goal or Objective of the Investigation

The goal is determine the events and causal/contributing factors leading to, during and after the incident in order to determine root cause and corrective actions to prevent recurrence of the incident.

Create a Defined Plan and Trained Personnel!

Consider the following:

- Who should be notified of the incident
- Determine who is authorized to contact outside agencies (Fire, EMS, PD, OSHA, EPA, TCEQ, etc.)
- Define emergency response procedures/prepare an investigation kit (flip charts, post-it's, RGB Markers, Mort Chart, Mort guide and questions book, investigation and interview guides, forms and questions, yellow - caution/red –danger marking tape , camera)
- Mechanism for initiating an incident investigation
- Who is assigned to conduct investigations
- Define level of training for investigators
- Who receives and acts on investigation reports
- Define acceptable time tables for correcting the hazards

INCIDENT HAS OCCURRED. WHAT DO YOU DO?

1. **Responder(s):** If personnel are injured, CALL UTPD (911 on a landline or 512-471-4441), Notify Management
2. **Responder(s):** Attend to and stabilize the injured, DO NOT TRANSPORT on your own
3. **Responder(s):** Secure the scene (protect the evidence) (OSHA may inspect)
4. **Management**: to convene and charter the investigation committee via memorandum & assign duration (5 working days)
5. **Investigation Committee** to:
   a. Gather information

b. Interview Witnesses separately
c. Interview other interested persons.
d. Review records
    i. Training records
    ii. Disciplinary records
    iii. Medical records
    iv. Maintenance records
    v. Injury and Illness Records (OSHA 300), previous investigations
    vi. Photos, sketches, videotape, measurements
e. Develop a sequence of events using events and causal/contributing factors diagram
    i. Someone unfamiliar with the incident should be able to clearly determine the facts and contributing factors and root cause of the incident.
f. Analyze the accident and collected data
    i. Focus on causal and contributing factors
    ii. Ask why or how this could have happened?
    iii. Consider hazardous conditions

- Materials
- Machinery
- Equipment
- Tools
- Chemicals
- Facilities
- Workstations
- Environment
- People
- Workload

    iv. Consider unsafe behavior of employee/supervisor

- Failing to comply with rules
- Using unsafe methods
- Taking shortcuts
- Horseplay
- Failing to report injuries
- Failing to report hazards
- Allowing unsafe behaviors
- Failing to train or attend training
- Failing to supervise or follow procedure
- Failing to correct others
- Scheduling to much work pushing production
- Ignoring worker stress

    v. Consider root causes (Use a Fault Tree Diagram or Management Oversight and Risk Tree)
        a. System design/control weaknesses
        b. Missing or inadequate safety procedures and rules

c. Training program not in place or less than adequate
d. Poorly written operating procedures
e. Inadequate process, work phasing, facilities layout
f. No operating procedures in place
g. Non-existent preventative maintenance or less than adequate
h. Consideration of human factors
i. Operational readiness
j. Barriers & controls
k. System Implementation Weaknesses
    i. Safety & departmental policies/procedures/rules not enforced
    ii. Safety and craft/technical training not conducted
    iii. Adequate supervision not conducted
    iv. Incident/analysis less than adequate not conducted
    v. Risk assessment and control systems
    vi. Design and development of process/equipment
    vii. Proactive assessment of programs/procedures

vi. Recommend corrective actions to prevent recurrence

6. **Actionee(s):** to implement corrective actions
7. **Safety Committee:** to follow-up on corrective actions