HS/01 **Accident/Incident/Near-miss Reporting and Investigation**
Rev: 6

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1.0 PURPOSE.

1.1 The purpose of this procedure is to describe the process of reporting and investigation of accidents, incidents and near misses related to Chemifloc's activities, in order to prevent future occurrences, possibly with more serious consequences.

1.2 Accidents, incidents and near-misses occur, even in well-managed sites, and an important part of SHEQ management involves minimising the personal, environmental and financial costs of such incidents and learning from them to prevent future occurrences.

1.3 An effective accident, incident and near-miss investigation procedure is the best way of ensuring that we learn from these occurrences and document the changes necessary to make the work environment a safer place for all employees, sub-contractors and visitors

2.0 SCOPE.

2.1 This procedure applies to all accidents, incidents and near misses.

3.0 REFERENCES / ATTACHMENTS.

- Safety, Health and Welfare at Work Act, 2005.
- IPPC License.
- Induction Training Manual.
- Emergency Plans.
- EPA Guidance to Licensees on the Notification, Management and Communication of Environmental Incidents.
  If the accident/Incident is of Environmental consequence, you must use the template attached to notify the EPA immediately. EPA Incident Notification Guidance is attached to this procedure and must be used.
- Attachment 1, EPA Notification Guidance
- Attachment 2, EPA Incident Notification Template
- Attachment 3, MAI Procedure for Reporting and Investigating Incidents and Accidents.
- MAI online system for recording of SHEQ information
- Chemifloc Accident Reporting Log located on MAI
- QP3 Non-conformance, Preventive & Corrective Action

4.0 DOCUMENT CONTROL

All records, reports, etc. resulting from the operation of this procedure are to be maintained for a minimum period of 7 years.

5.0 **DEFINITIONS.**

Accident	Any unplanned event that resulted in injury or ill health of people, or damage or loss to property, plant or the environment or a loss of business opportunity. Example: A builder dropping a brick from a height, which caused injury to a person underneath, would be classed as an accident.
Near Miss	Any event, which under slightly different circumstances, may have resulted in injury or ill health of people, or damage or loss to property, plant, materials or the environment or a loss of business opportunity. Example: A builder dropping a brick from a height, which just missed a person standing underneath, would be classed as a "near-miss" incident. This incident did not cause an injury to a person but, under slightly different circumstances (the person standing nearer to the contact point) the person may have been injured.
Incident:	Anything untoward not covered by the above, such as threatening behaviour, physical violence, work related road traffic accident, major spills, leaks, odours etc.
Dangerous Occurrence	An accident of one of the types as listed in the Twelfth Schedule, General Application Regulations S.I. No. 44 of 1993.
Non-Conformance:	The non-fulfillment of a specified requirement. Ex: deviation from a procedure or work instruction, failure to comply with applicable regulations. Not all non-conformances are incidents, but all accidents, incidents, dangerous occurrences and near-misses are non-conformances.
SHEQ MAI	Safety, Health, Environment and Quality *Measure, Analyse, Improve*: a cloud-based software system which Chemifloc uses to record its SHEQ information. Proprietor is EHASoft Ltd. The location is http://www.maiworks.net/mai_chemifloc/login.aspx?ReturnUrl=%2fmai_chemifloc%2fdefault.aspx
RCA	Root Cause Analysis: a method of problem solving that tries to identify the root causes of faults or problems. RCA practice tries to solve problems by attempting to identify and correct the root causes of events, as opposed to simply addressing their symptoms.
Chemifloc S-Drive	The location on the company's server where electronic files related To Health and Safety are held, along with other files and folders.
IR1	Incident Reporting Form for Accidents, to be submitted to the Health and Safety Authority
IR3	Incident Reporting Form (IR3) Dangerous Occurrences, to be submitted to the Health and Safety Authority
HSA	Health and Safety Authority: The national statutory body with responsibility for ensuring that approximately 1.8 million workers (employed and self-employed) and those affected by work activity are protected from work related injury and ill-health. www.hsa.ie

6.0 **Responsibility.**

6.1 The responsibility for the implementation of this procedure lies with the SHEQ Manager.

6.2 Employees are responsible for reporting all accidents, incidents and near misses.

7.0 **PROCEDURE.**

Reporting Accidents, Incidents and Near misses.

7.1 **Situations requiring mandatory reporting:** Any event resulting in injury to the companys or or its customers' employees, or damage to the company's or its customers' property must be reported to their Supervisor or Manager immediately. The SHEQ Manager must be also informed immediately. Failure to report such events may lead to disciplinary action.

7.2 When an accident, incident or near miss occurs and the initial problem has been dealt with, e.g. first aid rendered, spill cleaned up, etc., the employee concerned must report the event to their their Supervisor or Manager immediately. The SHEQ Manager must be also informed immediately.

If there is an issue with any process, manufacturing process or a deviation from an operating procedure or work instruction in error, the employee concerned must report the event to their their Supervisor or Manager immediately. The SHEQ Manager must be also informed immediately.

When a production fault occurs, and initial troubleshooting does not remedy the problem, no later than one hour following on from identification of the issue, the Production Manager and SHEQ Manager must be informed, so that appropriate escalation of the production issue can be managed and even if the issue is resolved the issue should still be reported to the to their Supervisor or Manager and the SHEQ Manager as soon as possible so a plan can be put in place to prevent such issues arising in the future.

The SHEQ Manager (or designate), in the presence of the reporting employee shall enter the Incident onto the MAI Risk Management Software. (Refer to Attachment 3 for instructions on how to report and investigate an incident using MAI).

7.3 The reporting employee may be required to sign a copy of a witness statement and any statements must be scanned and uploaded onto the MAI Incident report.

7.4 When the report is completed, the SHEQ Manager shall decide whether the incident warrants a full investigation or whether a summary investigation will suffice and whether or not a Root Cause Analysis (RCA) is required. The timescale and investigative requirements of the incident are recorded onto the Register of Incidents, Accidents and Near Misses which are saved on the Health & Safety folder on the Chemifloc S-Drive.

7.5 All Corrective actions derived from the Incident Investigation or RCA are entered onto MAI under the Incident Record.

7.6 All accidents when required must be reported to the Health and Safety Authority on form IR1 or IR3. All environmental incidents, when required, must be reported to the EPA using guidance in Attachment 1 and Attachment 2.

7.7 All reports and logs are maintained on the Chemifloc MAI Risk Management Software.

7.8 Training - All employees are trained in the operation of the

accident/incident/near miss procedure. New employees are introduced to this procedure as part of their Induction Training.

1. Introduction

This guidance does not purport to be a legal interpretation of the requirements of licences/certificates of authorisation (COA) issued by the Environmental Protection Agency. The aim of this document is to provide guidance to licensees/COA holders on communicating the necessary information to those dealing with environmental incidents to ensure that they can respond promptly and effectively and relay the appropriate level of communication to stakeholders.

This guidance is related primarily to notification of incidents to the EPA, and other bodies. Licence's/COA's issued by the Agency include conditions requiring notification of incidents to the Agency and other relevant bodies. Licensees/COA holders are reminded of their obligations under these conditions and should ensure compliance as required.

Licensees/COA holders should strive to build a good relationship with their local community and keep local residences informed of the activities carried out within their area. The licensee/COA holder should ensure that the local community is kept informed of any incidents or issues that may affect them. This guidance also provides information on how information on incidents is published to the EPA's website.

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2. Classification of Environmental Incidents

To determine the significance of an incident the Agency provides the following classification system, which is based on their effect or potential to impact on the environment. Licensees/COA holders should rank all reported incidents into one of the rankings listed below when reporting incidents to the EPA.

An incident is typically defined in the IPPC/Waste licences as:

(i) an emergency[1];
(ii) any emission which does not comply with the requirements of this licence;
(iii) any exceedance of the daily duty capacity of the waste handling equipment;
(iv) any trigger level specified in this licence which is attained or exceeded;
(v) any indication that environmental pollution has, or may have, taken place.

and in UWWTP licences/COA's as:

(i) any discharge that does not comply with the requirements of this licence;
(ii) any incident with the potential for environmental contamination of surface water or groundwater, or posing an environmental threat to land, or requiring an emergency response by the relevant Water Services Authority.

[1] An emergency is defined as any unexpected or potentially dangerous situation, requiring immediate action which may have caused, or might have caused if the action had not taken place, an unauthorised environmental release or breach of licence conditions

Table 1 provides the definitions associated with each level of environmental impact and should be used as a basis for the assessment of an incident. The following should also be considered as part of the assessment:

- The effects on water quality
- The potential for damage to an ecosystem (e.g. impact on fish population)
- Any requirement for notification or closure of potable water extractors
- The potential reduction in amenity value
- The potential for damage to agriculture or commerce
- The broader impact on man
- The remedial action necessary
- The likely timescale of short term and longer term environmental consequences
- The environmental consequences of likely response action
- Any injury or loss of life caused by the incident

The environmental impact scale used in Table 1 is the same as that used in the National Framework for Major Emergency Management (MEM). The MEM definitions are given in italics below with further EPA criteria in regular font. The new classification system goes from 1 to 5 with one being a minor impact on the environment up to 5 being Catastrophic. The classification system being replaced went from 3 to 1 with 3 being the classification of minor impact.

Table 1 – Environmental Impact Assessment Criteria

Ranking	Classification	Impact on the environment
1	Minor	• ***No contamination, localised effects*** • Minor effect on air quality as evidenced by dust or odour complaint(s) • ELV breaches • An emission which does not comply with the requirement of the licence/COA (A pattern of repeated minor incidents should be taken into account when considering the level of response)
2	Limited	• ***Simple contamination, localised effects of short duration*** • Local limited impact to water, land and air • Notification to and short term closure of potable water extractors required
3	Serious	• ***Simple contamination, widespread effects of extended duration*** • Significant effects on water quality • Major damage to an ecosystem (e.g. significant impact on fish population) • Longer term closure of potable water extractors • Significant reduction in amenity value • Significant Damage to agriculture or commerce • Significant Impact on man
4	Very Serious	• ***Heavy contamination, localised effects of extended duration***
5	Catastrophic	• ***Very heavy contamination, widespread effects of extended duration***

Rankings of very serious or catastrophic impact on the environment are new incident classifications and are for incidents at a level that would be considered major emergencies. A major emergency is defined as an event which, usually occurs with little or no warning, causes or threatens death or injury, serious disruption of essential services, or damage to property, the environment or infrastructure beyond the normal capabilities of the principal emergency services in the area in which the event occurs and requiring the activation of specific additional procedures to ensure an effective, co-ordinated response.

3. Response by Licensees/COA holders to Incidents

Licensees/COA holders should take the appropriate response in accordance with the level of ranking of the incident. The licensee's/COA holder's response should include the following:

- Deploy the necessary resources to deal with the incident.
- Notify the relevant bodies as specified in the licence/COA plus other bodies as deemed necessary.
- Activate the facility's Emergency Response Procedure where necessary
- Initiate appropriate corrective actions to deal with the incident
- Initiate appropriate preventative actions to prevent a reoccurrence of the incident.
- Comply with the requirements of the licence/COA conditions in relation to the investigation, notification, management and reporting.
- Ensure an appropriate level of contact with the public/media for the impact ranking.

4. Notification of the incident to the EPA and other Bodies

The licensee/COA holder is required to communicate the details of the incident by telephone and by fax to the EPA. The licensee/COA holder should fill in the Incident Notification Form in Annex 1 and fax it to the EPA as per the incident notification requirements of your licence/COA. The licensee should document an Incident Notification Procedure which incorporates the incident notification requirements of the licence and this guidance document. Licensees/COA holders should continue to report incidents to the EPA Regional Inspectorate from where your OEE inspector is based. The contact details for each of the Regional Inspectorates are provided in the attached guidance (Annex 2).

During Office Hours

The licensee/COA holder is required to communicate the details of the incident to an EPA inspector by telephone and by fax. It is not appropriate to email or leave a telephone message for an inspector. Office hours are 09:00 – 17:00, Monday to Friday.

Outside Office Hours (Annex 3)

The licensee/COA holder is required to communicate the details of the incident by telephone and by fax using the Incident Notification Form in Annex 1 of this Guidance. Notifications of environmental incidents outside normal working hours can be made by telephone to EPA headquarters on telephone

number 053 9160600, or by telephoning any of the Regional Inspectorates[2]. Callers are given the option to record a message or an urgent environmental pollution incident message.

Licensees/COA holders are advised that all Rank 2 to 5 incident notifications should be recorded as urgent environmental pollution incidents to ensure that the message is accessed and assessed by EPA staff. The EPA staff member will assess the message and decide what action/response is required by the EPA. Rank 1 Incident notifications should be recorded as a non-urgent environmental incident.

5. Emergency Response Procedure (ERP)

The typical licence/COA requires that a licensee/COA holder prepare and maintain an environmental emergency response procedure. The ERP should be activated where necessary in responding to incidents. The ERP should reference the Incident Notification Procedure and/or the incident notification requirements of the licence. As part of the ERP the Environmental Manager is required to ensure that at a minimum the following action is taken:

The Environmental manager is required to:

- Contact the Emergency Response Agencies and the Environmental Protection Agency to communicate the incident details.
- Be available to take calls regarding the incident.
- Keep appraised of the on-going situation in order to determine the appropriate level of response from staff.
- Provide and support the technical response to the incident.
- Ensure that suitable safety precautions are in place regarding any on-site response.
- Provide and support the monitoring and analytical response.
- Advise on notification to the public and other Agencies.
- Advise on remedial action necessary including preventative action i.e. potable water supplies.
- Ensure compliance with the incident notification conditions of the licence.

Interaction with Other Agencies

The following emergency response Agencies have a role to play in incident response and should be contacted where necessary: Local Authority, Fire Service, Health Service Executive, Gardaí, Health and Safety Authority, Fisheries Board, Sanitary Authority, Food Safety Authority, Irish Coast Guard, RNLI, Harbour Masters.

As part of the ERP the licensee/COA holder should identify the relevant Agencies and their contact details that may be required for incident response at their facility.

6. Policy on Publication to the EPA Website

Publication of incidents to the web-site

Typically incidents of Rank 2 and higher will be posted to the Web where the following occurs or has potential to occur.

- Major fish kill.

[2] Regional Inspectorates switchboards are forwarded to HQ at close of business each day. In the event of any line fault; licensees/COA holders should call the Wexford office directly.

- Gross environmental pollution.
- Significant disruption of downstream WWTP'S.
- Disruption of drinking water supplies.
- Disruption to users of amenity areas.
- Danger as a result of environmental pollution to residents in the locality.
- Major fire resulting in environmental pollution.
- Significant clean-up expected as a result of a specific incident.
- Involvement of emergency services.
- Where there are a notable number of complaints or there is a need to reassure the public that there is no environmental impact.

Prior to publication of an incident on the website, a review with site personnel will be conducted by the EPA and the facility will be informed of the intention to post the notification.

In general, incidents that have no offsite impact or onsite health impact will not be posted on the website. Typical incidents that will not be published to the EPA web site include:

- Spills that are fully contained on site in bunds or tanks.
- Minor spills where the material is removed in sawdust/sand/soil.
- Non-compliance with licensed/COA emissions that are not significant and that are being dealt with by way of an agreed programme of works or corrective action by the company.
- Thermal oxidiser bypasses that are in accordance with the EPA protocol for such by-passes.
- Odour complaints unless indicating more significant pollution problems.
- Exceeded trigger levels at landfills that are not significant and that are being dealt with by way of an agreed programme of works or corrective action by the company.
- Landfill Flare breakdown.
- Acts of vandalism with no environmental impact.
- Minor fires that are dealt with on-site.

Follow up and close out of incidents by the EPA

Following the investigation of an incident the EPA's site inspection report, when completed, will be placed on the public file. Further follow up of the incident may include verification of the corrective actions, preventative actions and remediation measures taken by the company, determination of the significance and impact if any and specification of any further enforcement action considered necessary by the Agency.

The timeline for close out of the notification on the website will vary depending on the complexity and seriousness of the incident. The objective will be to post an update to the original website notice within *one month* of the incident occurring in the case of non complex incidents and within *two months* of complex incidents. Notices will be removed from the website *two months* after the close out paragraph has been added to the original notice or in the case of incidents which result in enforcement action after the case has been heard.

Attachment 2

Annex 1 Incident Notification Form

Licence/COA Number Licence/COA Name	
Licensee/COA Address:	
Incident notification form submitted by:	
Licensees/COA holders Environmental Impact Ranking:	1 ☐ 2 ☐ 3. ☐ 4. ☐ 5. ☐
Details of incident:	
Date of incident:	
Approximate start time of incident(Provide range if time is not known)	
Details of when incident first noticed:	
Still ongoing: Yes/No Finish time and date	
New or reoccurring incident[1]	
Uncontrolled release:	Air ☐ Water ☐ Sewer ☐ Ground ☐ No uncontrolled release ☐
Incident Nature (Explosion, Fire, Spillage, Odour, Breach of ELV, Monitoring Equipment offline, Trigger Level Reached, Uncontrolled Release, Other – specify)	
Details of any vulnerable receptors	
Details of ELV Exceedance if available[2] (Provide measurement units for values provided)	Parameter | | | | | | | Value | | | | | | |
Grab or Composite sample	
Location of incident: Discharge point/Other	

Annex 1

Digital Photographs taken:	Yes/No
Odour[3]	Not applicable ☐ Odour detected ☐
Odours detected	
Extent[4]	Intermittent ☐ Persistent ☐
Sensitivity[5]	Remote ☐ Low ☐ Moderate ☐ High ☐ Extra ☐
Intensity[6]	Faint ☐ Moderate ☐ Strong ☐ Very strong ☐
Weather at time of incident:	
Wind Direction:	
Details of who was notified:	EPA by telephone ☐ Local Authority ☐ Fisheries ☐ Other
Corrective actions taken:	
Preventative actions taken or planned:	
Likelihood of reoccurrence	
Details of any other relevant detail or supporting information for submission to the Agency	
This section should be completed by the licensee/COA holder for their records once the corrective and preventative actions are complete[7]	
Follow up actions	
Close out date	
Signed	
Position	

Annex 1

Explanatory notes:

1. A Reoccurring incident is defined as an incident that has taken place which is similar to a previous incident and both took place because of the same cause.
2. If monitoring results are not available at the time of the incident notification they should be forwarded to the Agency as soon as they become available.
3. For further information on Odour Assessment please refer to the document 'Odour impact Assessment Guidance for EPA licensed sites' on the EPA website: http://www.epa.ie/downloads/advice/air/emissions/name,28713,en.html
4. Odour Extent: Intermittent (detected intermittently during the period of assessment) or Persistent (detected throughout the period of assessment).
5. Odour Sensitivity: Remote (no housing, commercial/industrial premises or public area within 500m of observation point); Low sensitivity (no housing, commercial/industrial premises or public area within 100m of observation point); Moderate sensitivity (housing commercial/industrial premises or public area within 100m of observation point); High sensitivity (housing, commercial/industrial premises or public area within area of observation point); Extra sensitive (complaints arising from residents, business and users of public areas within area of observation point).
6. Odour Intensity: Faint Odour (barely detectable, need to stand still and inhale facing into wind); Moderate Odour (easily detectable while walking and breathing normally, possibly offensive); Strong Odour (bearable but offensive – might make clothes / hair smell?); Very Strong Odour (unbearable, difficult to remain in area affected by odour).
7. This section is separate to the initial incident notification. This section should be completed by the licensee/COA holder after the corrective and preventative actions have been completed and the incident can be closed out. It should be maintained on site as part of the licensee's /COA holder's records.

Annex 2

EPA Regional Offices

EPA Headquarters
PO Box 3000
Johnstown Castle Estate
Co. Wexford
Tel: 053-9160600
Fax:053-9160699

EPA Regional Inspectorate Dublin
McCumiskey House
Richview
Clonskeagh Road
Dublin 14
Tel: 01-268 0100
Fax: 01-268 0199

EPA Regional Inspectorate Cork
Inniscarra
Co. Cork
Tel: 021-4875540
Fax: 021-4875545

EPA Regional Inspectorate Castlebar
John Moore Road
Castlebar
Co. Mayo
Tel: 094-9048400
Fax: 094 9048499.

EPA Regional Inspectorate Kilkenny
Seville Lodge
Callan Road
Kilkenny
Tel: 056-7796700
Fax: 056-7796798

Annex 2

Annex 3

Leaving a Phone Message Outside Office Hours

The licensee/COA holder is required to communicate the details of the incident by telephone and by fax. Notifications of environmental incidents outside normal works hours can be made by telephone to EPA headquarters on telephone number 053 9160600, or by telephoning any of the Regional Inspectorates[3]. Callers are given the option to record a message or an urgent environmental pollution incident message.

If a caller dials HQ, or a *Regional Inspectorate they will hear a standard greeting and are given options to record a message as follows:

"Thank you for calling the Environmental Protection Agency. Our office hours are from 9 am to 5pm Monday to Friday. Please hold now to hear further options"

"If you wish to leave a message for the Environmental Protection Agency, which will not be dealt with until the following day, please dial 1 now"

"If you wish to report an urgent environmental pollution incident requiring immediate response please dial 2 now"

"To listen to this recorded message again, please dial 3 now"

If the caller selects Options 1 or 2 a further message is played as follows:

Option 1

"After the tone please leave a message for the Environmental Protection Agency and your name and contact telephone number. Your message will be dealt with when our offices re-open" If you wish to return to the main menu press 0.

Option 2

"After the tone please leave a message detailing the nature, extent and location of the environmental pollution and your name and contact telephone number. If you wish to return to the main menu press 0.

Note: Urgent environmental Pollution incidents are for incidents with a ranking of 2 to 5.

[3] Regional Inspectorates switchboards are forwarded to HQ at close of business each day. In the event of any line fault; licensees/COA holders should call the Wexford office directly.

Attachment 3

Objective

The safety management system must ensure that all incidents and near misses are reported immediately, investigated and the underlying safety deficiencies and other factors that might be causing or contributing to the occurrence of incidents and near misses are determined to prevent a recurrence. The risk assessment process must be reviewed after the occurrence of all incidents and near misses.

Expectations

Incident and Near Miss Report
All incidents must be reported promptly and comprehensively.

Incident type
The process must allow for the reporting of different types of incidents and near misses.

Investigation
Thorough investigations must be undertaken in a timely manner to identify underlying safety deficiencies and other factors that might be causing or contributing to the occurrence of incidents and near misses.

Corrective and preventive actions
Corrective and Preventive actions must be taken to prevent the recurrence of the incident and near misses and identify opportunities for preventive action.

Risk assessment
The relevant risk assessments must be reviewed as part of every investigation.

Communication
The results of investigations must be communicated so that lesson learned can be shared across the organization.

Training
All personnel involved in incident and near miss investigations should receive appropriate training.

Periodic reviews
The incident report and investigation process must be periodically reviewed as part of the continual improvement program.

Introduction

EHA Soft Solutions must develop a detailed process for reporting and investigating all incidents and near misses. Forms have been developed to help make this process simpler. The Incident and Near Miss report form captures such information as what happened, when did it happen, where did it happen, who needs to be notified, details of the injured person (if any) and other additional information as required.

The incident investigation form is more detailed and the purpose of this form is to ensure that any underlying safety deficiencies and other factors that caused or contributing to the occurrence of incident are identified and corrective and preventive actions implemented to prevent a recurrence. The incident investigation form captures such information as loss potential, basic investigation details and root cause analysis, and the overall summary report of all the information considered during the investigation.

It should be remembered that incidents happen because of a failure in the risk management process. It may be that the hazard had not been identified in the risk assessment, or that it had been identified controls were not identified or simply were not being managed properly. It is essential that the relevant risk assessments are updated after each incident investigation to prevent a recurrence of similar Incidents in the futures.

Information to help comply with this requirement

This section is written in two parts comprising of various sections as detailed below.

Part 1: Reporting an Incident

Section 1: Incident Details

Section 2: Injured Person Details (to be completed if appropriate)

Part 2: Investigating an Incident

Section 3: Basic Investigation Details

Section 4: Investigation Causes

Section 5: Investigation Details / Root Cause Analysis

Section 6: Sign Off

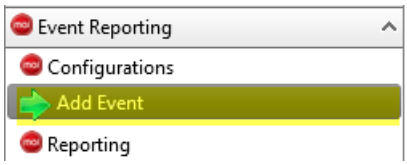
Part 1: Reporting an Event

There are 4 different stages involved in reporting an Event. These are:

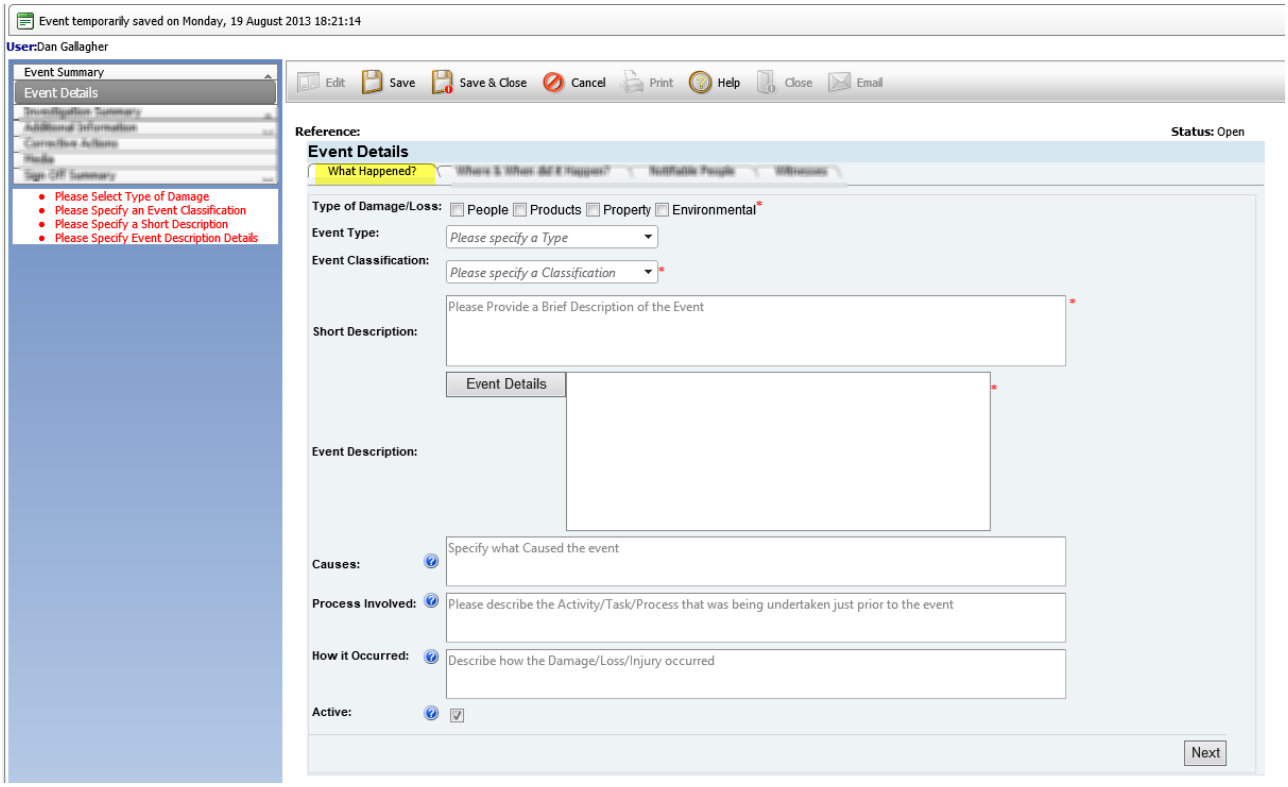
- *What happened?*
- *Where and When did it happen?*
- *Notifiable People*
- *Witnesses*

Section 1 – Event Details

In the main navigation menu on mai™ please select Add Event:



The following screen will appear:



1. **Reference.** The system administrator can pre-configure a nomenclature for the event reference numbers. Each new event number will increment automatically as they are added to mai™.

Note 1: Mandatory information. While an Event can be edited, opened and closed as many times as required throughout the report / investigation stages, there is a certain amount of mandatory information which much be captured before the vent if saved for the first time, and these fields are shown in red underneath the main navigation menu (Type of Damage, Event Classification, Short Description, Event Description Details).

2. **Status.** The status of all new Events will be open until such time as the relevant signatories have signed off the Event electronically, in which case the Event status will change to CLOSED.

3. Type of Damage/Loss: Determine if the Event type was one which involved **People**, **Products**, **Property** or the **Environment**.

   Note 2: If someone was injured, the 'People' field should be ticked. When the People box is ticked, then the second panel in the Accident Report becomes active (details about the injured person, type of injury, first aid etc).

   Note 3: If the event involved the environment, then the 'Environment' field should be ticked; additional detail about the event will need to be completed in the first panel (quantity emitted, where it was emitted to etc.).

   Note 4: Multiple categories can be selected as required.

4. Event Type. Determine the appropriate event type. Comment descriptions here include **Incident** (where an actual loss occurred i.e., it did happen) and **Near Miss** (where no actual loss occurred i.e., it almost happened). Organisations sometimes refer to Accidents instead of Incidents.

   Note 5: These event types are configured by the system administrator

5. **Event Classification.** Classify the event in terms of its significance. Common classifications include **Major (**potential fatality or death), **Serious** (serious injury, e.g., broken leg, but not going to die) or **Minor (**not much damage).

6. **Short Description.** Give a brief (1-line) description of the event. This will be used to find the particular event in a search report or when viewing a summary report of events for a period.

7. **Event Description-Event Details**. Select the Event Details button to choose some descriptors in relation to the Event.

Note 6: These are configured by the system administrator. Usually they contain at least a list of the most common contributing hazards in an Event, which can be reported on separately.

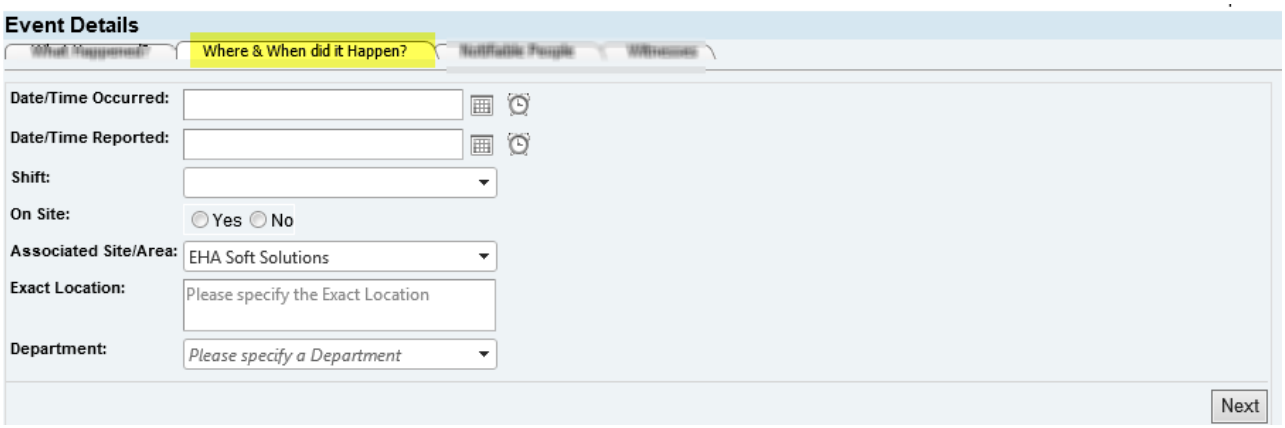
8. **Causes.** Outline what caused the event in your opinion (what objects or substances were involved).

9. **Process Involved.** Describe the activity, task or process that was being undertaken just prior to the event. This is normally a description of what should happen every day etc.

10. **How It Occurred?** Please describe how the event occurred. Note any differences from what normally happens with the process in Step 8 above with what actually happened on this occasion.

Where and When did the Event Happen?

Please select the relevant tab on the screen, or use the Next bottom as appropriate.



11. The date and time of the event should be recorded. Select the date and you can amend the time manually as required. The system automatically records the Date Reported, and this can only be amended by an Administrator.

    Note 7: If the Event is reported more than 24 hours after the event occurred, then it will be recorded as a 'Late Reported' event.

12. **Shift.** Please enter the Shift during which the Event occurred.

    Note 8: These are configured by the system administrator. Typical Shifts are Day, Evening and Night.

13. **On-Site or Off-site.** Specify if event occurred onsite or offsite. For example, an engineer working at a client location is off-site and so the area will not appear in the Location list. In this case, the Location will default to the organsiation name to ensure that it is captured as part of the statistics.

14. **Associated Site/Area.** Please type in the location of the event i.e., the site.

    Note 9: all sites, areas, departments and activities need to be entered in mai™ before event details can be recorded. The Event will default to the site associated with the person creating the Event.

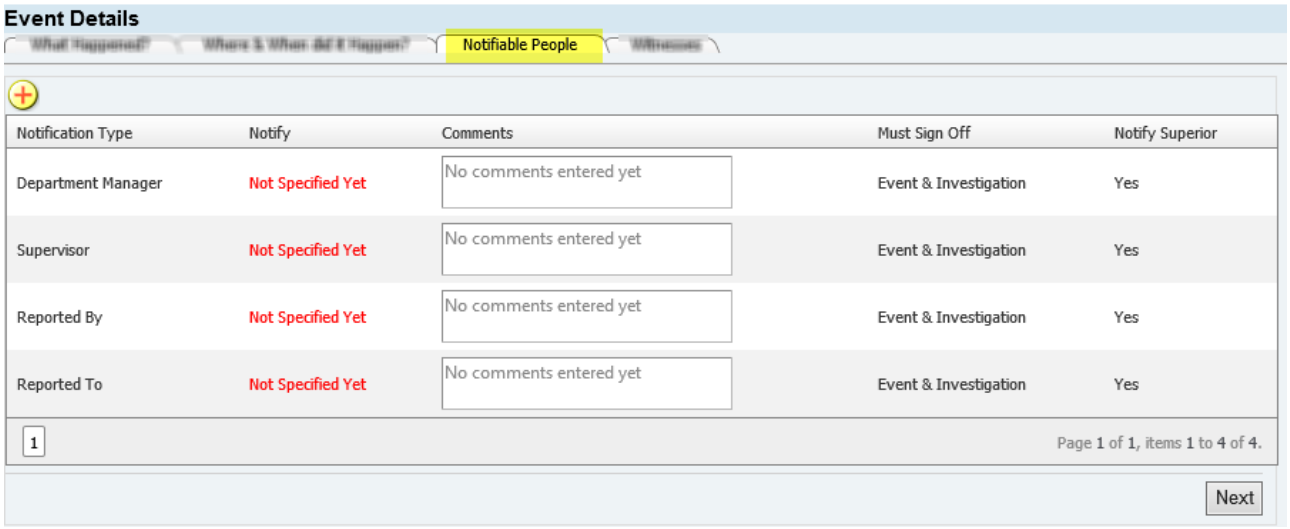
15. **Exact Location.** Use free text to add any additional information to describe the exact area where the event occurred as required e.g., next to the entrance door no. 8A.

16. **Department of Occurrence.** Enter the name of the department where the event occurred.

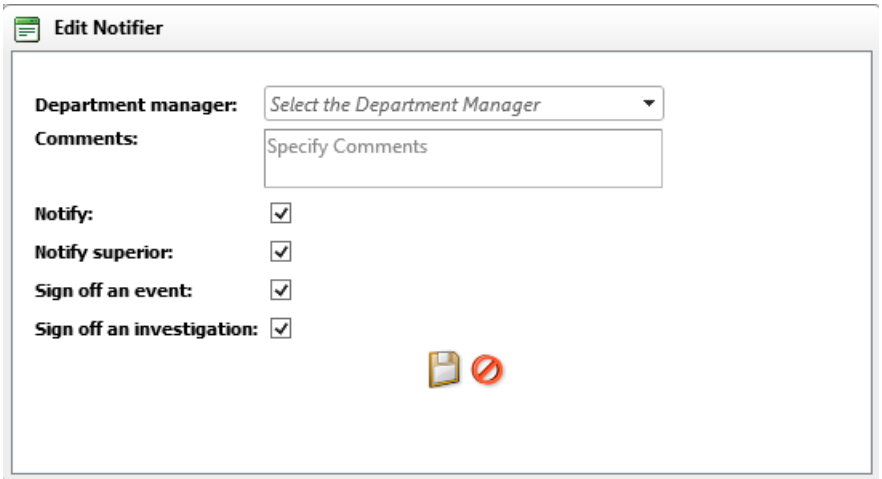
    Note 10: all sites areas, departments and activities need to be entered in mai™ by the system administrator.

Notify the following people?

Please select the relevant tab on the screen or use the NEXT button as appropriate. The following screen appears:



Enter the names of the relevant personnel who should be notified. To select a name, please select the *Not Specified Yet* text. The following screen will appear:



Select the name of the person whom you require to be notified as indicated. The system will also notify that persons supervisor as well when an email is being sent. If the person is not required to subsequently sign off either the Event Report or the Event Investigation then the tick box can be deselected at this stage and the name will not appear in the Sign Off section later. The Comments box can be used by the specified person to record any comments they might have as appropriate.

Note 11: the names that are entered here for 'Reported by' 'Reported to', 'Department Manager' and 'Department Supervisor' will ensure that these personnel receive an email notification about the new event.

Note 12: the names of all employees should already be entered in mai™ by the system administrator before event details are recorded.

Note 13: Reference could be made in the comments section to the Multimedia attachment section below as well if any comments were entered using this approach.

Note 14: Additional persons may be notified using the ' ' button as required, and these will be added to this Event only.

Note 15: It is possible for the system administrator to set up multiple other automatic notifications in the Configuration section for other personnel depending on the Event Type and Location.

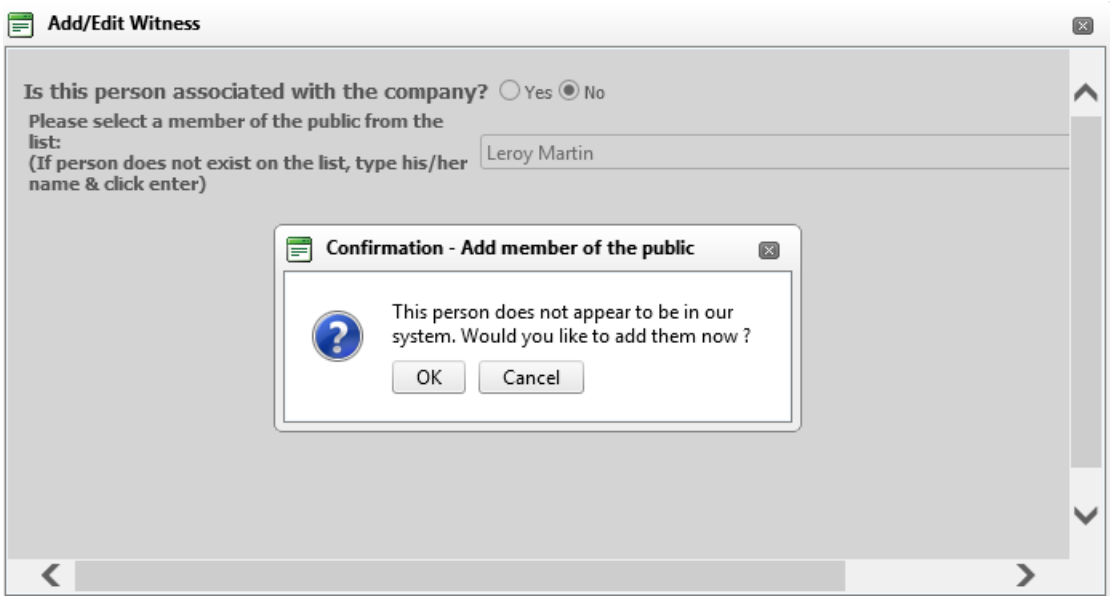
Witnesses?

Select the relevant tab on the screen or use the NEXT button as appropriate.

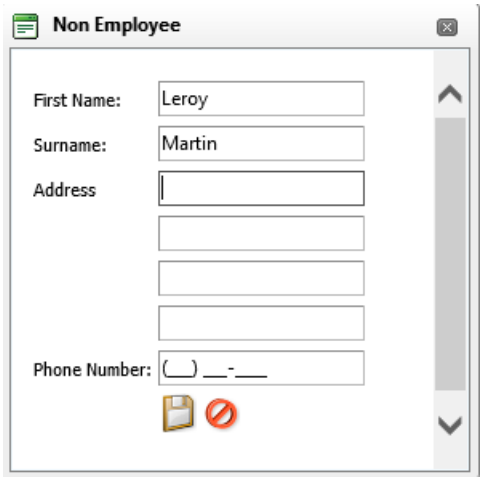
17. **Witnesses.** Add details of any witnesses, including statements, if relevant. If there was a Witness, then select the YES button.

    You will be asked if the person is associated with the company (i.e., an employee) in which case you should select the YES button and enter their name.

If the Witness was not an employee, then select the NO button. Enter the first and last name of the person, and assuming that they do not already appear on the list, hit the ENTER button and the following screen will appear:



Select OK to save and complete the employee details as required (address and telephone):



After you have finished, select the SAVE '' button and complete the Witness Statement section as appropriate for that witness if required.



Note 16: Use the multimedia attachment section in the main menu as appropriate and refer out to this from the witness statement box if a lot of information is to be captured.

Section 2 – Injured Person Details

18. Select the name of the **injured person**, and then complete the details that appear for that injured person.

    Note: If there is more than 1 injured person, then additional personnel can be added as required after the details of the first injured person have been entered. In this manner, an accident with several injured persons will have the same accident number, regardless of the number of persons injured.

19. Confirm the details shown about the employee: **Name, Department and ID number.**

20. Determine if the event was **Fatal** or **Non-Fatal.**

21. Select the appropriate **Injured Person Type**<configurable> (Full time employee, part time employee, contractor or visitor etc.)

22. Select the relevant **Occupation**<configurable> of the Injured Person (Process Engineer, Safety Officer, Laboratory Technician etc.)

23. Determine **how long** the Injured Person was performing their current job.

24. Identify the relevant **Injury Details**<configurable> under the headings provided (body part affected/injury/illness/cumulative trauma). Multiple selections are possible.

25. Describe the **Injury Reaction**<configurable> that the injured person had. (Became Unconscious, Required an Ambulance)

26. Describe the **Action Taken**<configurable> to assist the injured person (Sent Home, Sent to Hospital)

27. Determine if **First Aid** was provided to the injured person. If it was provided, please provide the name of the First Aider.

    Note: Select 'Not Known' or 'Not Required' as appropriate.

28. Determine if the person visited a **Medical Professional**. If yes, please provide the name of the medical professional.

    Note: Select 'Not Known' or 'Not Required' as appropriate.

29. Determine if the injured persons occupation **was explained to the medical professional**.

    Note: For certain occupations it is essential that the occupation is explained to the medical professionals as symptoms may be confused with more general ailments e.g., a Waste Water Treatment Plant operator with Weils disease/Leptospirosis can exhibit flu like systems before symptoms can become fatal.

30. Determine if the Injured Person **continued working after the event** for any period and if so for how long.

31. Determine if the injured person is **back at work**

    Note: for accident involving Lost Time, the initial report may record 'No' but it is easy to edit the report when the exact number of lost working days are known.

32. Record any **Lost Working Days** for the injured person

    Note: the value for Lost Working Days here is used in Statistical Calculations for Accident Frequency and Severity rates.

33. Determine if the injured person is undertaking any **restricted work** (i.e., they are at work but unable to fulfil their normal duties due to the current injury)

34. Record any **Restricted Work Days** for the injured person

35. Determine if any **Personal Protective Equipment**<configurable> was specified for the particular job, if it was made available to the injured person and if it was being used by the injured person.

    Note 1: the risk assessment should be consulted to determine if PPE was required.

    Note 2: if PPE was specified then a further list of PPE that is used by the organisation will appear and it is necessary to determine what PPE was required from this list.

36. Identify if any T**raining** was required for the particular task and if it was provided.

    Note: the risk assessment should be consulted to determine if PPE was required.

37. Include **any comments** from the Injured Person as relevant.

Section 3 – Loss Potential and Sign Off

38. Identify if the hazard was identified in the **risk assessment**<configurable>. If yes, please provide additional details as required.

39. Determine if the **specified controls** in the risk assessment, if any, were in place at the time of the event.

40. Determine if **ACTUAL loss potential**<configurable> of the event.

    Note: if the Event has happened then Likelihood is set to the maximum value. If the Event was a near miss, the likelihood could be set to a lower value.

41. Determine the **POTENTIAL** for **future loss**<configurable> from this Event

Note: this is an indication as to how serious the event was and how fast actions need to be put in place to prevent a possible recurrence of the event.

42. Determine if any **external agencies**<configurable> need to be notified about the event (Environmental Regulator, Health and Safety Regulator, Insurance, Police)

    Note: this will not send any notification; rather it acts to remind relevant personnel that the notifications need to take place. In the Investigation section, it is necessary to record if notification has occurred, and the notification can be attached as a multimedia file if required.

43. **Notifications** will be sent by Email to relevant persons. They will automatically go to:
    - Person reporting the accident
    - Injured person (if their details are on the system)
    - Manager of the area where event happened
    - Supervisor of the area where event happened
    - Email group that has been set up in the configuration section

    Note: Additional personnel can be selected as required in the pop-up email window.

44. **Corrective Actions** can be generated at this stage. This may be useful for those reported events which will not require an Investigation but for which actions are necessary.

45. Determine if an **Investigation** is required for the Event that is being reported
    Note 1: in most organisations it is the EHS Manager who determines if an investigation is required or not.
    Note 2: If an investigation is required, then additional panels of information will appear which need to be recorded for the Event.

46. In an investigation is required, when the Report has been saved it is necessary to determine who the I**nvestigators** are going to be.
    Note 1: Investigators should not be from the area where the event occurred
    Note 2: the names of the investigators selected here will appear in the Sign Off panel of the Investigation automatically for the first level sign off.

Part 2: Investigating an Event

The purpose of the Investigation is to ensure that the cause(s) of the Event are determined systematically, and that Corrective Actions are put in place to prevent a recurrence of the Event. Any information that is captured must be recorded so that all the evidence is retained in one place for future reference. In the first panel the Event is broken down into a series of time events, which

should highlight what gaps may be present in the management system to allow certain hazards be present and the event to occur and cause harm. The second panel can be used to expand further into the detail of what factors caused the Event to occur.

Section 4 – Basic Investigation Details

47. The first part of the investigation requires that the timeframe of event is broken down and analysed in detail.
    - *The Event*- quick description of the event that occurred e.g., fell from a ladder

    - *After the Event*- describe what happened as a result of the event that occurred e.h., arm broken (*as a result of the fall from the ladder above*).
      Note: it is necessary to 'Save' the data at this stage.

    - Next, identify what *Hazard(s) were present* prior to the event that resulted, or could have resulted, in the event occurring and give a brief explanation of your selection.

    - Finally, determine what *part(s) of the EHS management systems MAY have failed* such that the hazards were present, and the resulting event came to pass. Give a brief explanation of your selection.

    At this stage, some root causes of the Event are being identified, and it is possible to generate **Corrective Actions** to address the identified weaknesses in relation to *Hazards* and *Management System Causes* that were identified.
    Note: Any actions identified will also appear automatically in the Corrective Actions panel below.

Section 5 –Investigation Causes

48. Depending on which investigation causes have been configured on the system, it is necessary to determine which additional factors<configurable> may have contributed to the Event. These include system cause and immediate causes.

Section 6 –Investigation Details

49. There are many activities that are undertaken by various personnel at different times during an Investigation. It is important that these are collated in one place as changes to personnel over time and different locations for storing documents all make data retrieval in the future a very difficult task. This section requires that all of the details associated with the Investigation are noted, and there are various 'prompts'<configurable> that suggest particular items that must be considered that need to be ticked. The multimedia section can be used to record files, picture and videos are required.

Note 1: The attachment section can be used to attached documents related to the investigation. A note in the Investigation Details box to 'Please see attached below' may be useful if there are many attachments.
Note 2: the various options that appear just need to be 'selected' to indicate that they were considered during the investigation. Any details that are relevant should be attached or documented in the investigation as required. This will ensure greater consistency in documenting and recording investigations.

50. Determine if the relevant risk assessment has been updated to ensure that the accident will not reoccur.

51. Verify that the external notifications identified at the report stage have been sent.
    Note: any external communications should be attached in the media section of the investigation as well.

Section 7 –Corrective Action

52. This section is used to control all of the actions that arise as a result of the event Report or Investigation. When an action is generated the following information needs to be entered:
    - A *description* of the non-conformance.
      Note: this description will automatically appear, except for those actions that are generated from the Event Report, in which case the reason willhave to be manually entered.
    - the *category*<configurable> of the Action, which describes how long the person assigned the Action has to complete the task.
      Note: the category determines the timeframe for closing out the action on mai™. Defauly configurations are 7 days, 30 days, 60 days etc.
    - the *Group*<configurable> of the Action, which is used for analysis of the actions at a later date to determine where the gaps are mainly occurring (e.g., documentation, training)
    - the *Root Cause* of the problem, which was the reason why the Event happened and Action is now required
      Note: this is generally blank when the action is being assigned in the first instance, and should actually be completed by the Responsible Person for the Action
    - the *Corrective Action* itself that was completed to prevent a recurrence of the Event
      Note: when the Action is assigned in the first instance, this box is used to describe what needs to happen. When the Responsible Person for the Action has completed the Action, they should update this box and then update the Root Cause and Preventive Action boxes as well.
    - the *Preventive Action* undertaken that ensure that the Corrective Action properly implemented and adequate

- *Note: this is generally blank when the action is being assigned in the first instance, and should actually be completed by the Responsible Person for the Action*
- a *multimedia* section that can be used to demonstrate that the Preventive Action is in place.
- the name of the *Responsible Person* to whom the Action has been assigned

Section 8 –Sign Off

53. This panel is used to sign off the Investigation. There are 3 levels of Sign-off required.
    - Level 1 is by the investigators of the accident, whom were selected at the Loss Potential and Sign Off panel in the Event Report
    - Level 2 is by the departmental manager and supervisor for the area affected.
    - Level 3 is by the EHS Manager.

    Note: The names will default to those names configured on the system, but can be changed as required.

54. There is information provided at the end of this Sign Off panel presents a running total for the Lost Working Days and Days with Restricted Work, which is derived from the Injured Person section.