Incident Investigation
Incident, Accident, and Near Miss Reporting

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ATTACHMENT A
NEAR MISS REPORT

ATTACHMENT B
INJURY/INCIDENT REPORT
Incident Investigation
Incident, Accident, and Near Miss Reporting

I. INTRODUCTION
   a. The management of The Hillis Group, LLC is committed to providing a safe work environment for all employees. These Procedures contribute to a safe and healthy work environment by:
      i. Improving communication and training associated with the causes of Accidents, Incidents; and near Misses;
      ii. Increasing awareness of potentially unsafe practices, acts and conditions; and
      iii. Ensuring investigations and fact-finding to minimize the potential for future accidents and incidents.
   b. The Safety & Health department will conduct accident, incident and near miss investigations with all the parties involved.
   c. Investigations will focus on fact-finding and root cause analysis.

II. PURPOSE
   a. The purpose of the Incident Reporting and Investigation Policy is to make certain that incidents are investigated according to the injury, or injury potential of an event, in accordance with company policy and OHSA Standards. This will help to control further losses of human and material resources by identifying and correcting unsafe acts and conditions that lead to an incident.
   b. This policy applies to any and all work-related incidents, near misses and hazards identified, and to injuries involving employees, contractors, and visitors at The Hillis Group, LLC facilities and worksites.

III. POLICY
   a. All staff and others working with the company are required to report all incidents and close calls (Near Miss), including ergonomic issues, soft tissue damage and any signs or symptoms of musculoskeletal (MSI) injury to their supervisor or company contact.
   b. All incidents will be reported and investigated following company and regulatory requirements.
   c. Incident sites should not be disturbed unless the safety of workers is at risk.
   d. The company uses the word “incident” rather than “accident” because there is an inherent belief by many people that accidents just happen and cannot be prevented. We use the word incident because we believe that all incidents can be prevented. Belief that all incidents can be prevented will drive the level of investigation to determine causes that could otherwise be missed.
   e. Incident reports will be reviewed by a supervisor and other management as appropriate to the severity or potential severity of the incident.
   f. Action items from incidents will be documented and tracked for completion and follow-up using our Corrective Action Log.
      i. Implementation of action items will be monitored and reviewed by the Safety Manager.
      ii. Safe work procedures will be reviewed by the Safety Manager after an incident to ensure that changes required by the investigation findings are implemented and that they meet or exceed jurisdictional requirements.
   g. Injuries or incidents resulting from ergonomic hazards must be investigated.

IV. DEFINITIONS
   a. Accident - an undesired event that results in a personal injury or property damage.
b. **Incident** - an unplanned, undesired event that adversely affects completion of a task. Incidents may include property damage, personal injury, death, identified hazards, or near misses.

c. **Near Miss** - an incident where no property was damaged and no personal injury sustained, but where, given a slight shift in time or position, damage and/or injury easily could have occurred.

V. **RESPONSIBILITIES**
   a. Management
      i. A manager will investigate an incident reported by a direct report. A manager will participate in an investigation of an incident if the severity or potential severity requires action appropriate to the manager’s authority.
      ii. All investigations will be attended by the appropriate management personnel. Copies of investigations will be provided by the appropriate management personnel.
   b. Supervisor’s
      i. A supervisor must advise new and returning workers of the requirement to report all incidents including close calls. An annual reminder to all employees to report incidents is recommended.
      ii. A supervisor must investigate incidents in a manner that is timely and appropriate to the circumstances and severity of the incident.
      iii. A supervisor’s incident review and signoff are a requirement.
   c. Employees
      i. Employees will report to the supervisor all incidents including near misses. An employee will attend the incident investigation unless unable to do so as a result of injury.
      ii. Employees must report a near miss using the company’s Near Miss Report Form.
   d. Joint Occupational Health and Safety Committee (JOHSC) Member
      i. A JOHSC member should be included in an incident investigation. If not available, another employee knowledgeable in the investigation process may be included in the investigation.

VI. **PROCEDURE**
   a. Incident Reporting and Investigations
      i. The Hillis Group, LLC has an obligation to make certain that all our employees, staff, contractors, inspectors and visitors are aware of the importance of and requirements for reporting and investigating near misses, injuries, and other incidents. Investigations provide a learning and improvement opportunity to help prevent someone from being injured.
   b. An investigation is held to prevent recurrence, not to place blame.

VII. **REPORTING**
   a. You must report the following to OSHA:
      i. Any employee fatality as a result of a work-related incident.
      ii. Any in-patient hospitalization of one or more employees as a result of a work-related incident.
      iii. Any employee amputation as a result of a work-related incident.
      iv. Any employee loss of an eye as a result of a work-related incident.

VIII. **INCIDENT REPORTING and INVESTIGATION STEPS**
   a. The incident is reported by a person to the company. (An incident involving an employee may be reported by others to the company.)
   b. The incident site must be visited if possible and the site preserved until the investigation is complete, if safe to do so. Photographs, sketches and other evidence collection should be
undertaken promptly. Note: Incidents requiring immediate notification to OSHA will require communication with OSHA with regard to site access and preservation of evidence.

c. The direct supervisor of the employee involved or the person who reported the incident will organize and lead the investigation. The investigation must be carried out by those knowledgeable about the type of work involved and, if reasonably available, with the participation of a Joint Safety Committee member.

d. The investigation team will include those appropriate to the severity or potential severity and type of incident. The team may include people not under the scope of this policy (for example a prime contractor representative if the incident occurred on a worksite).

e. The investigation will follow the Incident Investigation Template format, which includes root cause analysis.

f. The investigation must be held in a timely manner. A preliminary investigation may be necessary if required attendees are not able to attend due to injury or other reasons.

g. Action required as the result of an investigation will be recorded using a Corrective Action Log (CAL) format and tracked for completion by the Safety Manager.

h. The Safety Manager and the Joint Safety Committee will evaluate any future risks that recommendations or corrective actions could create.

i. The Safety Manager will monitor the effectiveness of any changes or implementations.

j. The Safety Manager will communicate the recommendations and corrective actions to all relevant parties.

k. All investigation reports will be forwarded to the Safety Manager. The Safety Manager will review the reports for completeness and determine if additional investigation or distribution is required.

IX. TRAINING

a. Managers, supervisors and JOHSC members must be familiar with this policy and associated forms.

b. Training in the investigation process and the company’s specific policy and forms will be determined by company management.

c. The requirement to report and investigate near misses and other incidents will be covered during new employee orientation.

X. REVIEW

a. This policy should be reviewed annually, or when revision is required.

b. Incident investigation historical records shall be reviewed annually by the JOHSC in order to:
   i. confirm that action required was implemented
   ii. determine if the action was effective in prevention of recurrence
   iii. identify trends
   iv. Determine areas for improvement.

XI. RECORDS

a. Copies of incident investigations will be electronically filed on a company Intranet or kept in a secure filing area.

XII. CORRECTIVE ACTION LOG

a. A Corrective Action Log (CAL) is used to record deficiencies and is included with the JOHSC monthly minutes.

b. The CAL is updated and posted every month.
   i. It identifies an issue,
   ii. determines the appropriate action,
   iii. assigns the action to a person,
v. assigns a date for completion of the action, and

v. has an actual completion date.

c. CALs are reviewed monthly by the JOHSC for completion and determination as to the whether the deficiency was addressed to prevent recurrence.
### NEAR MISS REPORT

<table>
<thead>
<tr>
<th>Name of Person making report</th>
<th>Date of Report</th>
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<tbody>
<tr>
<td>Date and Time of the Incident</td>
<td>Name(s) of Witness</td>
</tr>
<tr>
<td>Describe Incident: (use back of report if necessary)</td>
<td></td>
</tr>
<tr>
<td>Location of Incident:</td>
<td>Was proper PPE being utilized? Yes ___ No</td>
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**Root cause of incident:**

**Possible Severity of Incident.**
- **High** = Fatality, permanent disability, high dollar loss
- **Medium** = Temporary disability, some dollar loss
- **Low** = No injury, no property damage, no dollar loss

**Consider factors such as physical injury, property/equipment damage, and environmental impact.**

**Probability of recurrence if corrective actions are not applied.**
- **High** = same task occurs frequently
- **Medium** = same task occurs regularly
- **Low** = Task rarely occurs

**Corrective actions applied immediately:**

**Corrective actions required:**

**Person responsible for Corrective actions:**

**Date Corrective actions are to be applied/completed:**

**Miscellaneous information and/or recommendations which you feel are pertinent to the incident.**
### Time and Place of Accident

<table>
<thead>
<tr>
<th>Location of Incident:</th>
<th>Date of injury:</th>
<th>Time of injury:</th>
<th>Crew:</th>
<th>Foreman:</th>
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<tr>
<td></td>
<td></td>
<td>a.m. p.m.</td>
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<th>Person to whom reported:</th>
<th>Name of other witness and phone number:</th>
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<th>Insurance Claim Probable?</th>
<th>Number of dependent children:</th>
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<td>Yes ☐ No ☐</td>
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### Nature and Cause of Accident

**Describe Accident:**

**Contributing Factors:**

**Resulting Injuries:**

**PPE that was used:**

**Comments Regarding Prevention/Reoccurrence:**

**Root Cause Analysis Completed?**

☐ Yes ☐ No

**RCA Findings:**

**Corrective Action:**

**Additional Comments:**

### Medical Treatment Information

**Physician (name, address, and phone number):**

**Hospital (name, address, and phone number):**

**Positive X-Ray:**

☐ Yes ☐ No ☐ N/A

**Prescription Drugs:**

☐ Yes ☐ No

**Surgery Expected:**

☐ Yes ☐ No

**Needs Return Visit:**

☐ Yes ☐ No

**Probable Time Off:**

☐ Yes ☐ No

**Date Should Return To Work:**

☐ Yes ☐ No

**Drug Test:**

☐ Yes ☐ No

**Drug Test Results:**

☐ Positive ☐ Negative ☐ N/A

### Reporter's Information

**Report Prepared By:**

**Date:**

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Controlled Document        Review and Approval

Procedure Number THG_0032 Revision 3          Effective Date: 11/14/2014

Originator: S.C. Brockman

_________________          _______________________
Signature          Date

Safety Committee Review          Date:_______________________
Chairman: __________________________________________

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