

ACCIDENT OR INCIDENT INVESTIGATION

TOTAL POSSIBLE POINTS =280

AUDIT MEASUREMENT

| 9.1 ACCIDENT/INCIDENT INVESTIGATION PROCEDURE (110 Points) | | Yes/No | Score |
|--|---|--------|-------|
| * | 9.1.1. Is there an accident investigation procedure? (X0-10) | | |
| * | 9.1.1.1. Is the accident investigation procedure* in writing? (X0-15) | | |
| * | 9.1.1.2. Is the accident supervisor included in the reporting and investigation aspects of the procedure? (X0-15) | | |
| * | 9.1.2. Does the investigation procedure require that injuries, occupational illness, property damage, accidents and incidents (near-accidents) be reported? (X0-10) | | |
| ** | 9.1.3. Do procedures* require training supervisors in investigation and reporting? (X0-15) | | |
| * | 9.1.4. Is there standard form* for accident investigation? (X0-15) | | |
| *** | 9.1.4.1. Is the accident investigation form designed so that it leads the investigator to consider the basic/underlying causes, as well as, substandard acts or conditions? (X0-10) | | |
| ***** | 9.1.4.2. Does the accident investigation form include evaluation of the potential severity and probable frequency of recurrence? (X0-10) | | |

| | | | |
|---|--|--|--|
| * | 9.1.5. Has a procedure* been developed for employees' safety and health committees/safety and health representative to conduct accident investigations? (X0-10) | | |
|---|--|--|--|

| 9.2 | SCOPE OF ACCIDENT/INCIDENT INVESTIGATION (35 Points) | Yes/No | Score |
|-----|--|--------|-------|
| * | 9.2.1. Does the investigation program require a complete investigation of the following items by the immediate supervisor with results recorded on a standard form? (5/35) All non-disabling injuries and occupational illnesses? Disabling injuries and occupational illnesses? Fatalities? Fire & explosions? Property damage at or above established cost base? Chemical spills and other related accidents/incidents? Other accidents/incidents? | | |
| 9.3 | REMEDIAL FOLLOW-UP AND ACTION (80 Points) | Yes/No | Score |
| * | 9.3.1. Is there a written procedure* for ensuring that remedial actions and follow-up of these actions, are carried out as recommended in the investigation report? (X0-5) | | |

| | | | |
|------|--|--|--|
| **** | 9.3.2. Is there an organized system to ensure that all remedial action listed on reports of major and high potential loss accidents have been taken? If yes, does it include the following: 9.3.2.1. Actual follow-up* by appropriate individual with check-off on an item for actions completed? (X0-15) 9.3.2.2. Report* required from supervisor concerned, at least monthly, for status of incomplete remedial actions? (X0-15) | | |
|------|--|--|--|

| 9.3 | REMEDIAL FOLLOW-UP AND ACTION (80 Points) | Yes/No | Score |
|-------|---|--------|-------|
| ***** | 9.3.3. How frequently is top management made aware of the progress of remedial action taken on major and high potential loss accidents? Every month (25) Every 2 months (20) Every 3 months (15) Every 6 months (10) Yearly (5) Not at all (0) | | |
| ***** | 9.3.4. Is the progress* of follow-up action on major and high potential loss accidents communicated in written form to the management and/or health and safety committee as appropriate? (X0-20) | | |
| 9.4 | SENIOR MANAGEMENT PARTICIPATION (40 Points) | Yes/No | Score |

| | | | |
|-----|---|--|--|
| *** | <p>9.4.1. Is there a review meeting conducted by senior managers no later than the next working day after?</p> <p>9.4.1.1. All fatalities? (X0-10)</p> <p>9.4.1.2. All major injuries and illnesses? (X0-10)</p> <p>9.4.1.3. All major fires and general property damage accidents? (X0-10)</p> <p>9.4.1.4. All high potential loss accidents? (X0-10)</p> | | |
|-----|---|--|--|

| 9.5 | EVALUATION OF PROGRAM EFFECTIVENESS (15 Points) | Yes/No | Score |
|-------|---|--------|-------|
| ***** | <p>9.5.1. How often is an evaluation* conducted by an unbiased person of the percentage of accidents investigated of high priority issues within the organization compared to those required to be investigated by organization?</p> <p>Every 3 months (15)</p> <p>Every 6 months (10)</p> <p>Yearly (5)</p> <p>Not done (0)</p> | | |

| | | | |
|--|---|--|--|
| | <p>TOTAL POINTS SCORED for ACCIDENT/INCIDENT INVESTIGATION =</p> <p>TOTAL POSSIBLE POINTS = 280</p> <p>Percentage Score for ACCIDENT/INCIDENT INVESTIGATION =</p> <p>Total points scored divided by total possible points multiplied by 100.</p> <p>Figure nearest 1/10 of 1%</p> | | |
|--|---|--|--|