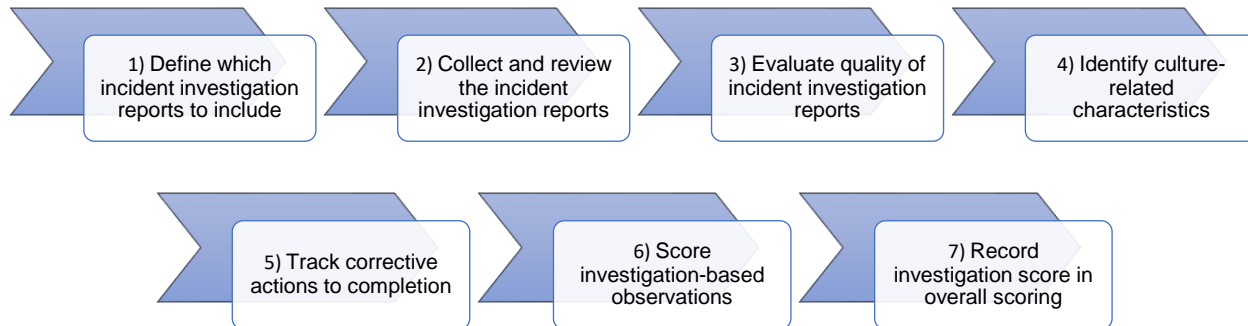


Job Aid – Incident Investigation Reviews

Purpose

- A review of incident investigation reports can provide insight into the safety culture of a facility
- All reported incidents must be investigated and evaluated for potential corrective actions

Workflow



Incidents Definition and Incident Investigation

- Common incident type descriptors include Unsafe Conditions, Unsafe Behavior, Near Miss, Contact-Only, First Aid, Medical Treatment, Restricted Duty, Lost Time, and Fatality
- For severe incidents Corporate HSQE Department will determine if a formal investigation is required. The investigation team is to be led by a formally trained person. The initial reviewer will perform a root-cause analysis
- Results will be made available to everyone and stored electronically

Incident Investigation Report Procedure

- Filter incident investigation reports that relate to the topic of the culture assessment from the previous 5-year period
- Evaluate available time and scope to make final report selection
- The facility will provide incident reports; ideally, this should be done weeks prior to the onsite assessment
- The quality of the incident investigation reports indicates the facilities' priority. The assessment team should evaluate a sampling of investigation reports using a checklist of characteristics for each report
- Loss Events are irreversible physical events with the potential for loss of health or time, Causal Factors are any contributing cause to an incident, and Root Cause is an initiating cause of either an incident or causal chain
- The investigation report often contains content pointing to a safety culture's strengths or weaknesses

Tracking Corrective Actions

- An organization's response to recommendations is telling of its safety culture. There should be a work process to track completion recommendations. This process should include a method of extending due dates
- The evaluation of corrective action completion should consider if actions were clear and traceable to the investigation report, one person assigned responsibility, realistic completion date, the corrective action plan includes management review and endorsement, action tracking tool in place, and includes resolution work description, independent verification, the process to communicate action status to managers
- A sample of corrective action completions should be reviewed depending on the number of reports and time, ~10 total

Incident Investigation Evaluation Tool

- A spreadsheet has been developed to aid the reviewer. The spreadsheet contains typical questions when reviewing previous incident reports. Some or all the questions in the spreadsheet can be used and tailored to the organization. The file's name is "NAS Safety Culture Toolkit – Incident Investigation Review – FINAL.xlsx"
- The checksheet automatically generates a score. A traffic light grading system allows easy visualization of the results and a percentage score. Where >85% (Green) – most items appear to be in good practice; 70% - 85% (Yellow) - some items appear to be in good practice, or 70% - (Red) opportunities for improvement have been identified