



Incident Investigation and Learning

Purpose

To log, investigate and learn from Incidents¹.

Who is this for?

- Business Heads;
- Business Leaders;
- Managers; and
- LFI coordinators, personnel involved in, communicating or applying Learning from Incidents (LFI).

What situations are covered?

Incidents that are related to activities carried out, and Learning from Incidents.

Requirements

Managers are accountable for establishing and maintaining procedures that cover the requirements 1 to 8 below, including defining who is responsible for each requirement.

1. Report all Incidents, including Near Misses, to the supervisor of the work activity.
 - 1.1. All personnel must report any incident they become aware of, as soon as possible: and no later than end of the same working day or shift.
 - 1.2. Include in the initial report the following if known: incident location, what happened, when it happened, the outcome and who was involved.
2. Make an initial classification of the incident. Use the *Risk Assessment Matrix*², to determine in two steps how the incident must be notified and investigated (see Figure 1 – RAM ratings):

¹ Underlined terms in this document are included in the HSSE Control Framework Glossary.

² Italicized terms reference manuals and manual sections in the HSSE Control Framework.

Step 1 – Use the actual consequences to determine the initial RAM Severity Rating: 0-5, for People, Assets, Environment, or Reputation.

Step 2 – Use the combination of the potential consequences severity rating (0-5) and their likelihood rating (A-E) to determine the initial RAM Risk Rating: Red, Yellow or Blue.

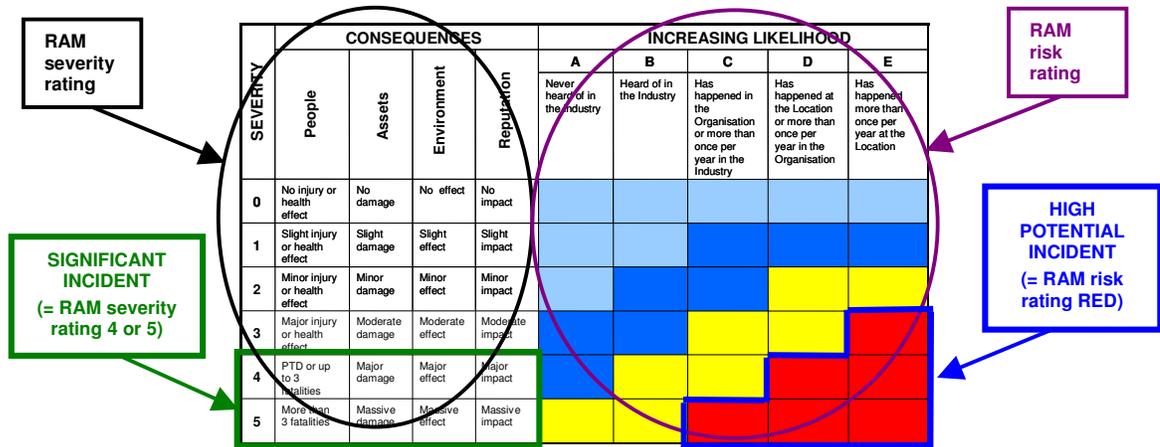


Figure 1 – RAM ratings

- 2.1. Classify incidents with actual consequences 4 or 5 as Significant Incidents.
- 2.2. Classify incidents and near misses that have a red RAM risk rating as High Potential Incidents.
3. Log the incident in Fountain Incident Management (FIM) or equivalent recording system.
 - 3.1. Appoint an Incident Owner.
4. Notify the appropriate Line Manager as soon as practical.
 - 4.1. The supervisor’s Line Manager must be notified of any incident, including any near miss.
 - 4.2. The Manager must be notified of any incident with actual consequence RAM severity rating 2 or higher and any incident with RAM risk rating Yellow or Red.
 - 4.3. Treat all Non-Accidental Death cases including suicides and homicides, and Third Party Fatalities from Work Related Activities, as Significant Incidents until determined otherwise.
5. Investigate the incident as soon as practical after it occurred.

- 5.1. The notified line manager, or a nominated delegate from the line organisation where the incident occurred, must take on the role of incident owner and must determine the level of investigation.
 - 5.2. The Incident Owner must approve the investigation report, recommendations and action plan within 3 months of the incident, and follow up the action plan until implemented.
 - 5.3. Obtain legal advice before beginning to write any investigation report that may need to be shared with external parties and obtain a legal review before it is finally approved.
- 6. Notify, investigate, review and apply LFI to Significant Incidents and High Potential Incidents with a RAM risk rating of C5, D5 or E5 as specified in the Table 1.**
- 6.1. Send initial incident notification reports and final investigation reports to the Business or Function LFI Coordinator.
 - 6.2. The Incident Owner must appoint an Incident Investigation Team Leader of a seniority appropriate to the incident's actual severity and level of risk and establish an investigation team that includes an Incident Investigation Facilitator who is competent in the methodology used.
 - 6.3. The investigation report must include an analysis of immediate and underlying causes and weaknesses in the HSSE management system
- 7. Make a final classification of the incident based on the outcome of the incident investigation.**
- 7.1. Review the initial classification of RAM severity rating of actual consequences and the RAM risk rating and revise if necessary.
 - 7.2. Apply the requirements specified in the HSSE Management System manual sub-section *Performance Monitoring and Reporting* for all other aspects of classification.
- 8. Update the incident record in Fountain Incident Management, or equivalent recording system, with the investigation report including final classification and action plan.**

Business Leaders and LFI Coordinators are accountable for requirement 9 as specified.

9. Learn from Significant Incidents and High Potential Incidents through communication and implementation of required actions.

- 9.1. Business Leaders are accountable for nominating LFI Coordinators in each business and function.
- 9.2. LFI Coordinators must communicate learning and required actions within their business or function and to all other LFI Coordinators using LFI Alerts.

- 9.3. LFI Coordinators must review initial incident notification reports and, if immediate action is required, communicate the known key facts about the incident and the required immediate action in an LFI Alert.
- 9.4. LFI Coordinators must obtain Business line approval of actions proposed by LFI Alerts.

Table 1 – Timelines for Notification, Investigation, and Review of Significant Incidents and High Potential Incidents

Significant Incidents	
Notification	Notify Business Head or Function Head, senior Business Leader or Function Leader, Business or Function HSSE VP and Group HSSE VP Within 24 hours
Underlying causes analysis method	TRIPOD, TRIPOD Beta, Causal Learning
Investigation report	To Business Head or Function Head, senior Business Leader or Function Leader, Business or Function HSSE VP and Group HSSE VP Within 1 month. Business or Function HSSE VP can agree an extension to the deadline
Significant Incident Review (SIR) Meeting	Review by Business or Function Head Within 3 months of incident. Business or Function HSSE VP can agree an extension to the deadline Follow-up report within 12 months of SIR by Incident Owner
Learning From Incidents	Apply process
High Potential Incidents with a RAM risk rating of C5, D5 or E5	
Notification	Notify Regional or Class of Business Executive VP and Business or Function HSSE VP. Further mandatory notification is discretion of Business / Function Leader Within 24 hrs
Underlying causes analysis method	Discretion of Business HSSE VP
Investigation report	To Business or Function HSSE VP. Further mandatory distribution of investigation report is discretion of Business / Function Leader Within 1 month. Business or Function HSSE VP can agree an extension to the deadline
Include in Significant Incident Review Meeting	Discretion of Business HSSE VP
Learning From Incidents	Apply process

Version 3, March 2009