

Incident Investigation: Investigation Procedures

Department: Risk Management and Response

Program: Incident Investigation

Owner: Program Manager

Authority: ES&H Manual, Chapter 28, Incident Investigation¹

Introduction

An incident is any event that requires investigation, either due to the harm it has caused to people, the environment, or property, or due to the potential that it could have caused such harm. This exhibit includes procedures for three types of work-related incidents:

1. Life-threatening injuries or illnesses
2. Non life-threatening injuries or illness / first aid
3. Non-injury incidents, including close calls and near hits

Each procedure includes notification requirements that set in motion the response appropriate for the level of emergency or incident. Making the required notifications initiates an investigation process that ensures that all SLAC external and internal reporting requirements are met and that the any root causes for incidents are identified and remedied. All incidents occurring at SLAC must be investigated.

Note Certain reporting requirements are time sensitive: the employee first report of injury (SU-17A) form is usually completed by the injured person when they report to SLAC Medical for treatment. It should be completed **within 24 hours** of the injury if SLAC Medical is closed. The incident investigation form (SU-17B) must be completed by the supervisor and returned to the workers' compensation administrator **within three business days**.

Subcontractor Requirements

When an incident occurs, the affected subcontractor or their supervisor must notify the SLAC point of contact (POC) immediately. Depending on the contract type, the POC could be the university technical representative (UTR), project manager, facilities technical services representative, or buyer/contract administrator.

The SLAC POC is responsible for meeting all SLAC reporting and investigation requirements as outlined below. Subcontractors must follow the procedure set forth by their employer in addition to cooperating with the SLAC POC.

Note Requirements for subcontractors are called out in each procedure.

¹ SLAC Environment, Safety, and Health Manual (SLAC-I-720-0A29Z-001), Chapter 28, "Incident Investigation", <http://www-group.slac.stanford.edu/esh/general/accidents/policies.htm>

Investigation Resources

For an overview of all incident types and associated roles, responsibilities, and forms, see Incident Investigation: Requirements Summary.²

For a flow chart representation of the investigation procedure for incidents that involve an injury, see Incident Investigation: Occupational Injury Investigation Flow Chart.³

Exhibits that can help in conducting an investigation include

- Incident Investigation: Evidence Collection Guidelines⁴
- Incident Investigation: Interview Guidelines⁵
- Incident Investigation: Chain of Custody Form⁶

Acronym List

ALD	associate lab director
BII	Basic Incident Information
CAIRS	Computerized Accident/Incident Reporting System
CATS	Corrective Action Tracking System
DOE	Department of Energy
ES&H	Environment, Safety, and Health Division
ESHCC	Environment, Safety, and Health Coordinating Council
FM	facility manager
FMD	facility manager designee
IIPM	incident investigation program manager
IRAT	Incident Review and Assistance Team
LD	laboratory director
ORPS	Occurrence Reporting and Processing System
POC	point of contact
PNR	preliminary notification report
SU-17A	Employee First Report of Injury (SU-17A)
SU-17B	Incident Investigation Form (SU-17B)
UTR	university technical representative

2 Incident Investigation: Requirements Summary (SLAC-I-730-0A21S-048), <http://www-group.slac.stanford.edu/esh/eshmanual/references/incidentsReqSummary.pdf>

3 Incident Investigation: Occupational Injury Investigation Flow Chart (SLAC-I-730-0A21S-013), <http://www-group.slac.stanford.edu/esh/eshmanual/references/incidentsFlowInjury.pdf>

4 Incident Investigation: Evidence Collection Guidelines (SLAC-I-730-0A21T-014), <http://www-group.slac.stanford.edu/esh/eshmanual/references/incidentsGuideEvidence.pdf>

5 Incident Investigation: Interview Guidelines (SLAC-I-730-0A21T-004), <http://www-group.slac.stanford.edu/esh/eshmanual/references/incidentsGuideInterview.pdf>

6 Incident Investigation: Chain of Custody Form (SLAC-I-730-0A21J-013), <http://www-group.slac.stanford.edu/esh/eshmanual/references/incidentsFormCustody.pdf>

Life-threatening Injury or Illness

A life-threatening injury or illness requires a quick appropriate medical response and may require one or more types of in-depth investigation, as indicated below.

Life-threatening Injury Response and Investigation Procedure

Step	Person	Action
1.	Person observing the incident / reporting party / injured person	<p>Calls 911</p> <p>Then calls SLAC Site Security at ext. 5555 (650-926-5555 from an external phone)</p> <p>Then notifies the responsible person as follows.</p> <p>SLAC employees: notify supervisor</p> <p>Subcontractors: Notify supervisor and SLAC POC / UTR</p>
2.	SLAC Site Security	Notifies responders based on incident particulars, such as emergency medical responders, FM, or FMD
3.	FM or FMD	<ul style="list-style-type: none">▪ Notifies lab director, ES&H director, and SLAC legal counsel, as necessary▪ Notifies IIPM
4.	Responsible person on scene (supervisor / manager / UTR)	<ul style="list-style-type: none">▪ Stops all work in the immediate area▪ Helps guide responders to the scene
5.	FM, FMD, and/or IIPM	<p>Determines investigation requirements.</p> <ul style="list-style-type: none">▪ A serious injury may be an ORPS recordable event. For requirements, see Incident Investigation: DOE ORPS Reportable Investigation Procedure.⁷▪ Injury accidents involving government-owned vehicles must follow two lines of investigation as illustrated in Incident Investigation: Government-owned Vehicle Incident Investigation Flow Chart⁸

From this point forward the procedure is the same as for a non-life threatening procedure in the next section, beginning with step 5.

7 Incident Investigation: DOE ORPS Reportable Investigation Procedure (SLAC-I-730-0A21C-013), <http://www-group.slac.stanford.edu/esh/eshmanual/references/incidentsProcedORPS.pdf>

8 Incident Investigation: Government-owned Vehicle Incident Investigation Flow Chart (SLAC-I-730-0A21S-014), <http://www-group.slac.stanford.edu/esh/eshmanual/references/incidentsFlowVehicle.pdf>

Non Life-threatening Injuries/ First-aid Initial Response and Investigation Procedure

Step	Person	Action
1.	Injured (or reporting) person	<p>SLAC employee: Immediately notifies supervisor</p> <p>Subcontractor: Informs his/her supervisor, who then must report the injury to the SLAC POC as soon as possible</p> <p>Note: In addition, must follow own employer's procedures for employer notification</p>
2.	Injured person's supervisor / SLAC POC	<p>Ensures that the injured person gets medical help and that the injury is reported</p> <ul style="list-style-type: none"> ▪ If the injury occurs while SLAC Medical is open (Monday through Friday, 8 to 4:30), requests injured person to report to SLAC Medical, even if no medical services will be sought <p>Note: It is strongly recommended that the supervisor accompany the injured person to SLAC Medical.</p> <ul style="list-style-type: none"> ▪ If the injury occurs while SLAC Medical is closed, calls SLAC Site Security at ext. 5555 (650-926-5555 from an external phone) if the injured person has not already done so to report injury and to get current information on the nearest appropriate / approved medical facility
3.	Injured person	<p>SLAC employees:</p> <p>Monday through Friday, 8 to 4:30: Goes to SLAC Medical⁹ for treatment</p> <p>If SLAC Medical is closed, calls ext. 5555 for current information on approved workers' compensation health care providers (including location and hours of operation)</p> <p>Note: May go to the physician designated on the physician predesignation form on file. For additional information, see the workers' compensation web page¹⁰</p> <p>Subcontractor: May go to SLAC Medical, SLAC's workers' compensation health care providers, or subcontractor's worker's compensation health care provider</p> <p>Note: for additional information, see the "Details for Non-SLAC Employees" section on the workers' compensation web page¹¹</p>
4.	SLAC Medical	Makes first medical determination of injury, as required by the circumstance or requested by injured person, and provides initial treatment
5.	SLAC Medical	Notifies IIPM and the workers' compensation administrator
6.	Injured person	<p>SLAC employees: Complete SU-17A form¹² at SLAC Medical. If Medical is closed when the injury occurred, reports to Medical within 24 hours to submit a completed SU-17A form.</p> <p>Subcontractor: Completes or assists SLAC POC in completing the SU-17A within 24 hours of the incident</p> <p>Note: The SLAC POC is responsible for completing the SU-17A and submitting it</p>

9 SLAC Medical Department, <http://www-group.slac.stanford.edu/esh/medical/>

10 Workers' Compensation – SLAC Human Resources, <http://www-group.slac.stanford.edu/hr/wc/>

11 Workers' Compensation – SLAC Human Resources, <http://www-group.slac.stanford.edu/hr/wc/>

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Step	Person	Action
		to SLAC Medical within 24 hours if the subcontractor does not.
7.	IIPM	Sends the required SU-17B¹³ form to the injured person's supervisor / SLAC POC Notifies ES&H coordinator of the affected directorate.
8.	SLAC Medical	Sends the original completed SU-17A to the supervisor or SLAC POC and sends copies of SU-17A to: <ul style="list-style-type: none"> ▪ Incident investigation program manager at M/S 84 ▪ Workers' compensation administrator at M/S 11
9.	IIPM and directorate ES&H coordinator	Assists as needed with investigation, root cause analysis, and corrective actions or assigns an investigator
10.	Workers' compensation administrator	Provides information to relevant agencies, as required, depending on the severity of the injury: <ul style="list-style-type: none"> ▪ Workers' compensation insurance carrier ▪ DOE Computerized Accident/Incident Reporting System (CAIRS) system ▪ Stanford University Risk Management Department (for OSHA log 300)
11.	Injured person's supervisor	<ul style="list-style-type: none"> ▪ Conducts the investigation: interviews involved parties, identifies root cause and appropriate corrective actions with the help of subject matter experts, if needed ▪ Completes the incident investigation form within three working days of knowledge of the incident and returns original SU-17A and completed SU-17B to the workers' compensation administrator at M/S 11¹⁴
12.	Workers' compensation administrator	Reviews SU-17B and forwards to all members of the SLAC Incident Review and Assistance Team (IRAT)
13.	Injured person's supervisor / SLAC POC	Attends IRAT meeting if requested by IRAT
14.	SLAC IRAT	<p>Holds periodic meetings as needed to process current cases:</p> <ul style="list-style-type: none"> ▪ Evaluates injury incident classification to clarify reporting requirements ▪ Reviews the incident investigation form submitted by the injured person's supervisor for thoroughness and sufficiency to ensure that root causes are addressed and suitable corrective actions are identified and initiated ▪ If deficiencies are noted and cannot be rectified at the meeting, IRAT members will note what the supervisor / SLAC POC must complete by the next IRAT meeting. The IRAT will help identify assistance and resources if needed. ▪ Once all requirements are met, the IRAT chair signs the form
15.	Injured person's supervisor / SLAC POC	Finalizes investigation as determined by IRAT: <ul style="list-style-type: none"> ▪ Completes SU-17B as required, if necessary ▪ Implements corrective actions, as required

12 Incident Investigation: Employee First Report of Injury (SU-17A) (SLAC-I-730-0A21J-029), <http://www-group.slac.stanford.edu/esh/eshmanual/references/incidentsFormInvestigateSU17A.pdf>

13 Incident Investigation: Incident Investigation Form (SU-17B) (SLAC-I-730-0A21J-014), <http://www-group.slac.stanford.edu/esh/eshmanual/references/incidentsFormInvestigateSU17B.pdf> | [.doc \(Word\)](#)

14 "Workers' Compensation - SLAC Human Resources", <http://www-group.slac.stanford.edu/hr/wc/>

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Step	Person	Action
16.	SLAC IRAT members	Evaluate each case to confirm current classification or reclassify if needed (for example first aid case may become a recordable case if additional medical treatment was sought)
17.	Workers' compensation administrator	Follows up on recordkeeping requirements for any changes in injury classification
18.	Directorate ES&H coordinator and/or investigator	Enters approved corrective actions into the corrective actions tracking system (CATS), ¹⁵ which ensures that corrective actions are tracked and completed
19.	IIPM	<ul style="list-style-type: none">▪ Enters incident in the BII database▪ Provides a copy of the approved form the affected associate laboratory director
20.	Associate laboratory director	On a bi-weekly basis, briefs the ES&H Coordinating Council (ES&HCC) of any cases that occurred in his or her directorate
21.	Workers' compensation administrator	Keeps reports in a secure location once all causes are identified and corrective actions taken

Non-injury Incident, Close Call, and Near Hit Investigation Procedure

All non-injury incidents, close calls, and near hit incidents are investigated as described in this section.

- A non-injury incident is any event that requires investigation due to the harm it has caused to the environment or property.
- A non-injury accident that involves a government-owned vehicle is investigated by SLAC Site Security. For details see Incident Investigation: Government-owned Vehicle Incident Investigation Flow Chart.¹⁶
- A close call is an incident that did not result in property damage greater than \$10,000 or cause bodily harm, but had the potential to do so.
- A near hit (or near miss) is an incident in which no barrier or only one barrier prevented an event from having an Occurrence Reporting and Processing System (ORPS) reportable consequence.

Close calls and near hits will be investigated as determined by the ES&H incident investigation program manger. The Risk Management and Response Department will supply investigative resources to cases with the greatest potential for learning value.

15 "CATS - Main", <https://www-internal.slac.stanford.edu/esh-db/CATS/CATS-Main.aspx>

16 Incident Investigation: Government-owned Vehicle Incident Investigation Flow Chart (SLAC-I-730-0A21S-014), <http://www-group.slac.stanford.edu/esh/eshmanual/references/incidentsFlowVehicle.pdf>

Non-injury Incident, Close Call, and Near Hit Response and Investigation Procedure

Step	Person	Action
1.	Person observing the incident, close call, or near hit	Informs supervisor or SLAC POC and calls SLAC Site Security at ext. 5555 (650-926-5555 from a cell phone)
	SLAC Site Security	Notifies appropriate responders as necessary and the ORPS facility manager designee (FMD)
	FMD	If circumstances warrant, makes required notifications within the applicable time frame (usually immediately to within 24 hours) <ul style="list-style-type: none"> ▪ Notifies ES&H program managers ▪ Notifies IIPM
	Supervisor / SLAC POC	Controls or helps control environmental impacts by containing or diverting any releases into the environment if trained to do so, and only if it is safe. ¹⁷
	IIPM	<ul style="list-style-type: none"> ▪ Provides the supervisor / SLAC POC with an incident investigation form (SU-17B)¹⁸ ▪ Notifies directorate ES&H safety coordinator
	Supervisor / SLAC POC	If needed, requests assistance from directorate ES&H safety coordinator or IIPM in completing the investigation
	Directorate ES&H safety coordinator or IIPM	Assists with root cause analysis and recommended corrective actions, as appropriate
	Supervisor / SLAC POC	Returns completed SU17-B within three business days to IIPM
	IIPM or designee	Enters corrective actions into the corrective action tracking system (CATS) ¹⁹
	IIPM or designee	Enters incident, close call, or near hit into the BII database
	IIPM	Analyzes incident data on a quarterly basis and presents findings to the Environment, Safety, and Health Coordinating Council (ES&HCC) and others, as requested

17 *SLAC Environment, Safety, and Health Manual* (SLAC-I-720-0A29Z-001), Chapter 16, “Spills”, <http://www-group.slac.stanford.edu/esh/environment/spills/policies.htm>

18 Incident Investigation: Incident Investigation Form (SU-17B) (SLAC-I-730-0A21J-014), <http://www-group.slac.stanford.edu/esh/eshmanual/references/incidentsFormInvestigateSU17B.pdf> | [.doc \(Word\)](#)

19 “CATS - Main”, <https://www-internal.slac.stanford.edu/esh-db/CATS/CATS-Main.aspx>