

Incident Investigation: Requirements Summary

Department: Risk Management and Response

Program: Incident Investigation

Owner: Program Manager

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

This exhibit summarizes requirements for any type of incident and also links to applicable procedures, forms, and resources. The table is organized into incidents by types and investigation stages.

Incident Types

The table divides incidents into the three main types, from most serious to least: type A or type B injury; non-type A or type B injury; and non-injury. Each main type is subdivided into categories that require specific responses, forms, and procedures, as indicated by footnotes.

The incident investigation program manager and/or the facility manager designee are responsible for classifying incidents and determining requirements. Most incidents will fit into the given categories but some may involve more than one – for instance an injury accident involving a government-owned vehicle. In such cases, requirements for both categories generally apply.

Incident Investigation Stages

Incident investigation requirements depend on the incident type. Notifying the appropriate responder(s) is always the first step in order to set the required level of response and investigation in motion. Once notifications are made, required reports and forms must be completed within the indicated time frame. Investigation review is the final step.

Requirements		Type A or Type B Injury ²	Non-type A or Type B Injury ³		Non-injury ⁴		Accident Involving Government-owned Vehicle ⁵
			DOE Recordable (Type C)	First Aid	Close Call / Near Hit	Incident	
Notification and Response	Emergency responders / 911	Required: person on scene notifies	If needed	–	–	If needed	–
	SLAC Site Security (ext. 5555) (Security then contacts FMD and/ or provides contact information, as required)	Required: person on scene notifies	If SLAC Medical is closed, call ext. 5555 for information about closest medical facility		Required; initiates investigation notification to IIPM		
	Facility Manager Designee (FMD)	Required: Security notifies	–	–	If needed		–
	Incident investigation program manager (IIPM)	Notified immediately by SLAC Medical, SLAC Site Security, or FMD					
	SLAC Medical ⁶	Injured SLAC employees must report to Medical in all instances. If injury occurs after hours, call ext. 5555 for help and report to SLAC Medical the next day.			–	–	–
Supervisor of involved party or area		Employee notifies supervisor immediately (subcontractors notify SLAC point of contact immediately)					

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Investigation	ORPS incident investigator ⁷	Lead investigator	–	–	As needed		–
	Incident investigator ⁸	Investigates as requested by supervisor or assigned by IIPM or FMD					–
	IIPM	Coordinates and supports all investigation types					
	ES&H coordinator	Investigates as requested by supervisor or assigned by IIPM or FMD					–
	Supervisor of affected employee or area ^{9,10,11} university technical representative (UTR)	Assists investigation	Is the primary investigator				–
	SLAC Site Security	–	–	–	–	–	Required
Reports and Forms	ORPS Investigative Report ¹²	Prepared by lead investigator	–	–	Contact FMD		–
	Preliminary notification report (PNR) ¹³	Prepared by FMD and IIPM	–	–	Prepared by FMD and IIPM		–
	Employee First Report of Injury (SU-17A) ¹⁴	Injured party reports to SLAC Medical within 24 hours; must submit SU-17A			–	–	–
	Incident Investigation Form (SU-17B) ¹⁵	Supervisor completes within 3 business days and submits to worker's compensation administrator			Supervisor completes within 3 business days / submits to IIPM		–
	Standard Forms SF 91 and SF 94	–	–	–	–	–	SLAC Site Security
	Lessons learned report ¹⁶	Required	As initiated by line management or as requested by IIPM				
Review	IIPM	Reviews all investigation types					
	ES&H director	Required		–	–	–	
	Associate lab director	Required		As requested by IIPM			
	SLAC lab director	Required	–	–	–	–	
	IRAT	–	Required		–	–	–
	VIRAT	–	–	–	–	–	Required

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>

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- 2 Incident Investigation: DOE ORPS Reportable Investigation Procedure (SLAC-I-730-0A21C-013), <http://www-group.slac.stanford.edu/esh/eshmanual/references/incidentsProcedORPS.pdf>
- 3 Incident Investigation: Investigation Procedures (SLAC-I-730-0A21C-022), <http://www-group.slac.stanford.edu/esh/eshmanual/references/incidentsProcedInvestigate.pdf>
- 4 Incident Investigation: Investigation Procedures (SLAC-I-730-0A21C-022), <http://www-group.slac.stanford.edu/esh/eshmanual/references/incidentsProcedInvestigate.pdf>
- 5 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>
- 6 “SLAC Medical Department”, <http://www-group.slac.stanford.edu/esh/medical/default.htm>
- 7 Has completed ES&H Course 315, Causal Analysis, https://www-internal.slac.stanford.edu/esh-db/training/slaonly/bin/catalog_item.asp?course=315 and ES&H Course 316, https://www-internal.slac.stanford.edu/esh-db/training/slaonly/bin/catalog_item.asp?course=316
- 8 Has completed ES&H Course 316, Incident Investigation, https://www-internal.slac.stanford.edu/esh-db/training/slaonly/bin/catalog_item.asp?course=316
- 9 Incident Investigation: Interview Guidelines (SLAC-I-730-0A21T-004), <http://www-group.slac.stanford.edu/esh/eshmanual/references/incidentsGuideInterview.pdf>
- 10 Incident Investigation: Chain of Custody Form (SLAC-I-730-0A21J-013), <http://www-group.slac.stanford.edu/esh/eshmanual/references/incidentsFormCustody.pdf>
- 11 Incident Investigation: Evidence Collection Guidelines (SLAC-I-730-0A21T-014), <http://www-group.slac.stanford.edu/esh/eshmanual/references/incidentsGuideEvidence.pdf>
- 12 “Occurrence Reporting Processing System (ORPS) Program”, <https://www-internal.slac.stanford.edu/operations/orps/>
- 13 “Occurrence Reporting Processing System (ORPS) Program”, <https://www-internal.slac.stanford.edu/operations/orps/>
- 14 Employee First Report of Injury Form (SU-17A) (SLAC-I-730-0A21J-029), <http://www-group.slac.stanford.edu/esh/eshmanual/references/incidentsFormInvestigateSU17A.pdf>
- 15 Incident Investigation: Incident Investigation Form (SU-17B) (SLAC-I-730-0A21J-014), <http://www-group.slac.stanford.edu/esh/eshmanual/references/incidentsFormInvestigateSU17B.pdf> | [.doc \(Word\)](#)
- 16 “Lessons Learned”, http://www-group.slac.stanford.edu/esh/concerns/lessons_learned/