Incident Response Management

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OVERVIEW

ADB

What is incident management?

Why is it important?

How should project teams identify, report and manage incidents?

INCIDENT MANAGEMENT
for Finance Partner Projects

Government/Recipients are required to report all environment, social and health and safety incidents to the Asian Development Bank (ADB) where we are a funding partner.

Incidents refer to unplanned events that happen in a project or because of a project which have, or could have, negative environment, health and safety and /or social impacts.

Examples of

Environmental incidents:

- Pollution of water sources
- hazardous chemical spills
- destruction of forests or habitats for animals.

Occupational health and safety incidents:

- Events such as falls from heights
- vehicle/pedestrian collisions
- car jacking etc. leading to injuries or fatalities.

Social incidents:

- Child labor
- discrimination among project workers
- unequal access to resources for women and marginalized groups
- increased GBV or VAC in project area.

AREA OF PROJECT INFLUENCE

"The area likely to be affected by the project, including all its ancillary aspects, such as…access roads, laydown and disposal areas, and construction camps.

The area of influence may include, for example…any affected estuary and coastal zone…migratory routes of humans, wildlife, or fish…and areas used for livelihood activities (hunting, fishing, grazing, gathering, agriculture, etc.)…"

WHY?

Help to reduce poverty and increase prosperity in a sustainable manner for the benefit of the environment and people.

- Wellbeing of your workforce, local communities and the environment
- Project implementation success, Better project outcomes
- Legacy and social license

Also

- **Legally required – refer Financing Agreement**
- Good international practice
- Fulfil national and international environmental and social obligations

Questions to consider initially:

- **WHAT** - What was the incident? What happened? To what or to whom?

- **WHERE/WHEN** - Where and when did the incident occur?

- **COMMUNICATIONS** - What is the information source? How did you find out about the incident? Ease of accessing follow up information?

- **CERTAINTY** - Are the basic facts of the incident clear and uncontested, or are there conflicting versions?

- **FACTORS** - What were the conditions or circumstances under which the incident occurred?

- **FINITE** - Is the incident still ongoing or is it contained?

- **HUMAN FACTOR** - Is loss of life or severe harm involved?

- **SUPPORT REQUIRED** - How serious was the incident? How is it being addressed? How is the Borrower responding – do they need immediate support?

- **NEXT STEPS** What, if any, additional follow up action is required, and what are the associated timelines?

CLASSIFICATION

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Indicative

- Relatively minor and small-scale incident that negatively impacts a small area or number of people
- Does not result in serious or irreparable harm
- Failure to implement agreed E&S measures with limited immediate impact
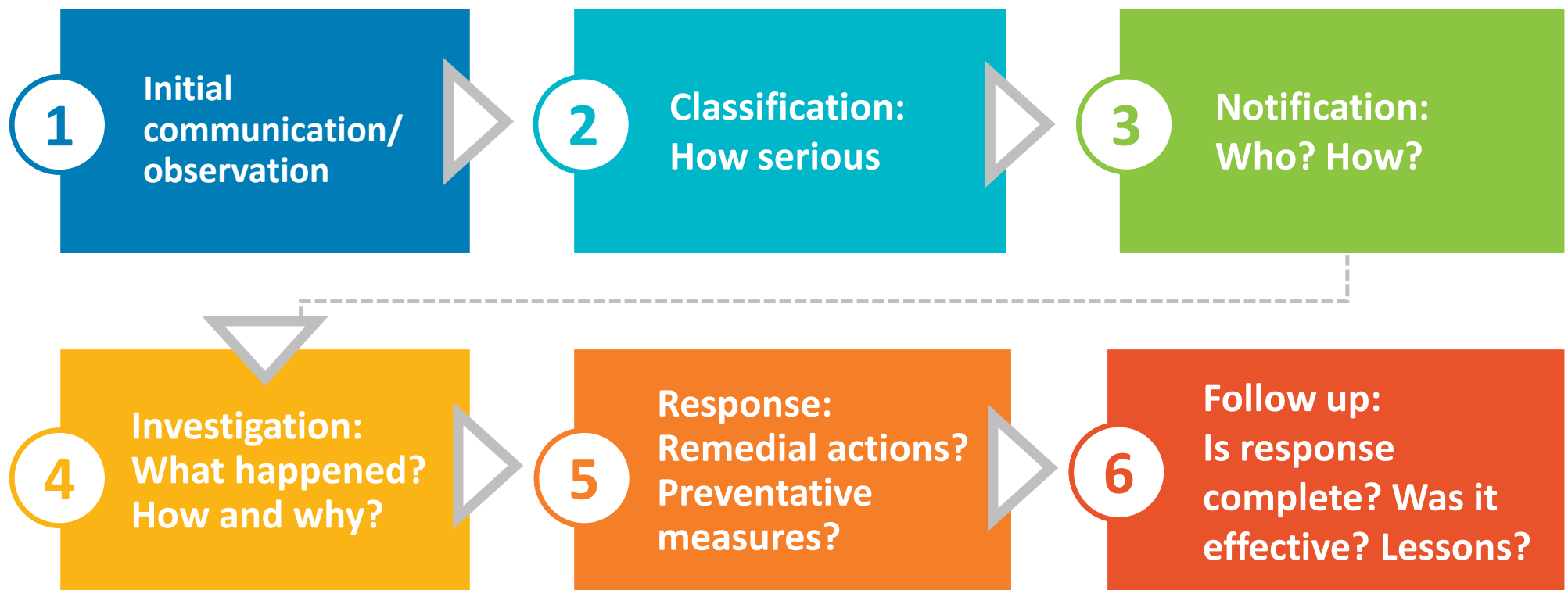
Serious

- Incident caused, or may cause, significant harm to the environment, workers, communities or natural or cultural resources
- Is complex or costly to reverse
- May result in lasting damage or injury
- Requires urgent response
- Could pose reputational risk to Govt or Bank
- Failure to implement E&S measures with serious impacts or repeated non-compliance

Severe

- Any fatality
- Caused, or may case great harm to environment, workers, communities, or natural or cultural resources
- May result in high levels of lasting damage or injury
- Requires immediate response
- Poses a significant reputational risk to Govt or Bank
- Failure to remedy serious non-compliance with E&S measures

ROLES AND RESPONSIBILITIES (serious/severe)

Step	Government/Recipient Role	Bank Role
Incident occurs	• Inform local authorities, secure safety of people, provide immediate care, inform Bank	• Inform appropriate Task Team members and Bank management
Classify incident	• Provide information promptly to Bank	• Task team classifies incident according to severity
Notification	• Report incident to Bank • Suppliers report to Government as per contract • Follow national requirements • Respond to Bank's requests for information	• Task team prepares incident report within 48 hours for Bank management • Notify Government about Bank process for investigation
Investigation	• Conduct Root Cause Analysis within 10 days of incident	• May conduct fact-finding mission
Response	• Design a Safeguard Corrective Action Plan (SCAP)	• Support development of SCAP and agree on contents
Follow up	• Implement SCAP • Monitor progress • Report to Bank	• Support implementation of SCAP • Adjust project risk ratings • Report internally • Report to Bank Management

PROPOSED ADB REQUIREMENTS

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- **Initial Notification** of incidents is to be provided to ADB no later than **3 working days** (for severe cases **24 hours** is recommended)

- A more detailed incident investigations report is require**d within 21 days** of the incident
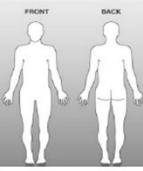
INCIDENT NOTIFICATION FORM

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Project:		Incident Date:	
Location:		Incident Time:	
Equipment Involved:		Operation in Progress:	

Weather: ☐ Clear ☐ Dark ☐ Rain ☐ Snow ☐ High Winds ☐ Other (describe):
Visibility: ☐ Artificial Light ☐ Dark ☐ Dawn ☐ Daylight ☐ Dusk

Reporting Level of Incident:

☐ Fatality ☐ Lost Time ☐ Restricted Work ☐ Medical Aid ☐ First Aid	☐ Near Miss ☐ Equipment Damage ☐ Property Damage ☐ Fire/Explosion	☐ Business Interruption ☐ Security/Trespass/Theft ☐ Mobile Equipment ☐ Vehicle ☐ Spill/Release	☐ Government Reportable ☐ Non-reportable ☐ Contravention ☐ Public Complaint

Contractor Incident: ☐ Yes ☐ No **Contractor name:**

Report Prepared by:	**Supervisor's Name:**
Signature: Date:	Tel. No. Date:

AFFECTED PERSONS (Worker Positions)

DESCRIPTION OF INCIDENT (Describe what, when, why, who and how. Use separate pages if required. Attach photos if applicable.)

WITNESSES– Provide separate witness reports

Name	Position	Contact Information

NOTIFICATIONS

What internal notifications have been made?	What external notifications have been made?

INCIDENT NOTIFICATION FORM

ADB

INJURY INFORMATION (if applicable)

Position:	Current condition:

Was injured person(s) taken to hospital? Yes ☐ No ☐
(If yes, provide name and location of the hospital)

Indicate the area of injury, if applicable, on the diagram to the right, and describe the injury in the space below:

FRONT BACK

VEHICLE INFORMATION (if applicable)

Driver's Name:	Driver's Licence No.:
Year, Make & Model:	Driver's Phone Number:
Licence Plate or Serial Number:	Insurer and Policy No.:
Was seat belt done up? ☐ Yes ☐ No	Was a cell phone being used? ☐ Yes ☐ No
Were police notified? Yes ☐ No ☐	Name of police officer:
Road conditions: ☐ Dry ☐ Gravel ☐ Wet ☐ Icy	Other Info/Attachments:

Spill/Release Information (if applicable)

Product:	Volume:	Quantity Recovered:

Initial Causal Analysis of Incident:

Direct Cause: (what / how)

Root Cause: (why)

Corrective Actions to Prevent Recurrence:

Note: Refer to the "ADB Root Cause Investigation & Corrective Action Form" for further detail.

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Assessment methodology

Root Cause Analysis - RCA

- **Root case analysis should answer:**
  - ○ **What happened?**
  - ○ **How did it happen?**
  - ○ **Why did it happen?**
  - ○ **What needs to be corrected to prevent it from happening again?**

Five Whys Method

- **Why?**

- **Why?**

- **Why?**

- **Why?**

- **Why**

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Problem – A workers slips and falls and suffers a head injury

- **Why –** There was oil on the floor
- **Why –** Oil spilled from a valve
- **Why –** The oil leak from was not detected
- **Why –** The valve and other equipment was not inspected and maintained regularly
- **Why -** The valve was not in the maintenance system
- **Why –** Financial cutbacks reduced the scope of the maintenance program

Investigation

- **Root cause analysis (RCA) is required for all serious and severe incidents.**

- The root-cause is the fundamental, underlying, system-related reason for an incident occurs.

- In its most simple form, it's implementing the '5 Whys' approach' (i.e. keep asking 'why' until you get to the root cause)C

Above the surface you see the
SYMPTOMS
of the problem

Dig deeper to find the
ROOT CAUSE
of the problem

Response

Safeguard Corrective Action Plan is driven by the RCA or other analysis and is specific to the type of incident, it's location, severity and the borrowers' capacity to implement corrective actions and preventative measures.

Example SCAP Sections	Intervention Type	Possible Borrower Actions
• **Immediate actions** • **Medium term actions**	• At site • Systems • Capacity	• Stop work, secure and clean site, provide medical attention • Develop maintenance procedures • Training and awareness

GRM & SEAH

Each project or country team is required to have project support GRMs which are:

- Accessible & appropriate

- Understandable & trusted

- Have robust response & reporting mechanisms

- Response appropriately to SEAH incidents

  » Survivor-centred, confidential, works closely with local service providers, reportable if required, accessible, Child Abuse Protection(CAP)
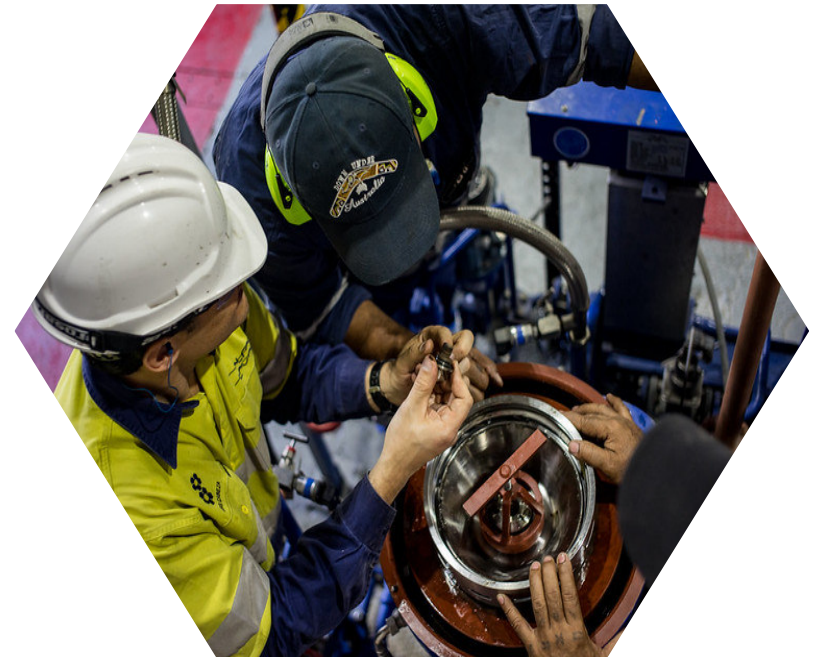
Summary

All incidents and near-misses should be reported

All reported incidences should be investigated

Identifying the root cause of an incident is crucial

Thank you

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