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ADB Health, Safety and Security (HSS)


Awareness Training Course

ADB



Training on Health and Safety in Pakistan

19–22 August 2024 • Islamabad, Pakistan



MODULE 6
Incident
Reporting &
Investigation

Identify best practices for
incident reporting and
investigation

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ADB

Incident Reporting and Investigation

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What is incident management?

Why is it important?

How should project teams identify, report and manage incidents?

For Finance Partner Projects

Incident Management

ADB

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.



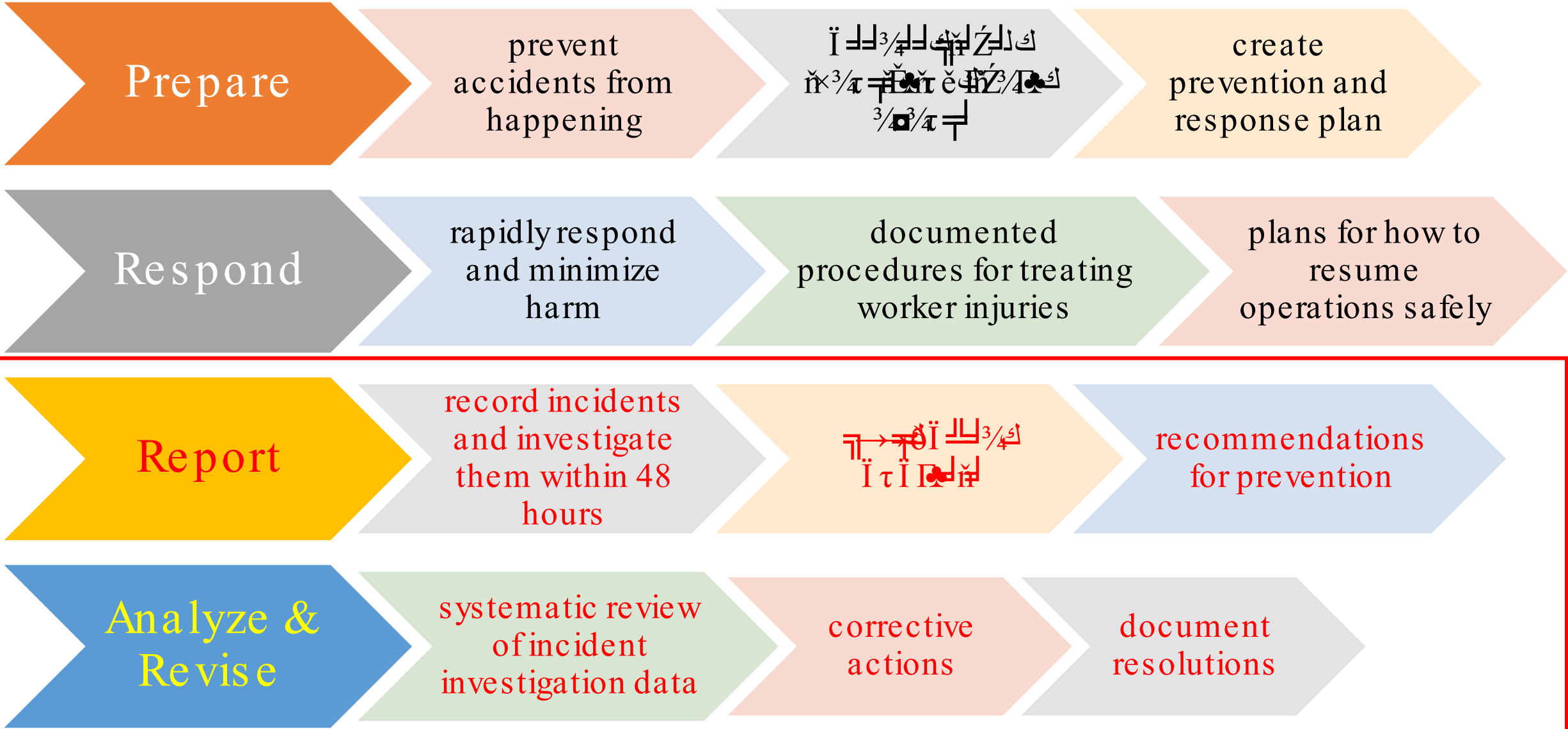
process of identifying, analyzing, reporting, and solving any incident to prevent them from happening again



Why is incident management important?

- makes workplaces safe
- prevents disruption of business operations
- reduces unnecessary costs
- avoids worker's compensation and property damage claims, environmental clean-up costs, and insurance premium hikes
- helps companies meet regulatory compliance requirements
- addresses damage to its reputation

The incident management process:



- 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 required within 21 days of the incident

INCIDENT NOTIFICATION FORM



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:

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

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?
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INCIDENT NOTIFICATION FORM

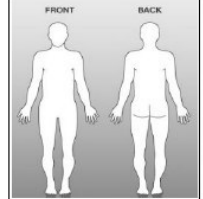


INJURY INFORMATION (if applicable)

Position:	Current condition:
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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:



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? <input type="checkbox"/> Yes <input type="checkbox"/> No	Was a cell phone being used? <input type="checkbox"/> Yes <input type="checkbox"/> No
Were police notified? Yes <input type="checkbox"/> No <input type="checkbox"/>	Name of police officer:
Road conditions: <input type="checkbox"/> Dry <input type="checkbox"/> Gravel <input type="checkbox"/> Wet <input type="checkbox"/> Icy	Other Info/Attachments:

Spill/Release Information (if applicable)

Product:	Volume:	Quantity Recovered:
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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.

Roles and Responsibilities

Step	Government/Recipient Role	ADB Role
Incident occurs	<ul style="list-style-type: none"> Inform local authorities, secure safety of people, provide immediate care, inform Bank 	<ul style="list-style-type: none"> Inform appropriate Project Team members and ADB management
Classify incident	<ul style="list-style-type: none"> Provide information promptly to ADB 	<ul style="list-style-type: none"> Project team classifies incident according to severity
Notification	<ul style="list-style-type: none"> Report incident to ADB Suppliers report to Government as per contract Follow national requirements Respond to ADB's requests for information 	<ul style="list-style-type: none"> Project team prepares incident report within 48 hours for ADB management Notify Government about ADB process for investigation
Investigation	<ul style="list-style-type: none"> Conduct Root Cause Analysis (RCA) within 10 days of incident 	<ul style="list-style-type: none"> May conduct fact-finding mission
Response	<ul style="list-style-type: none"> Design a Safeguard Corrective Action Plan (SCAP) 	<ul style="list-style-type: none"> Support development of SCAP and agree on contents
Follow up	<ul style="list-style-type: none"> Implement SCAP Monitor progress Report to ADB 	<ul style="list-style-type: none"> Support implementation of SCAP Adjust project risk ratings Report internally Report to Bank Management

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?

1. General information		
Preparation date: 19/08/2024	Prepared by: Name, surname: [REDACTED] ID: [REDACTED] Phone number: [REDACTED]	Type of the accident: <input checked="" type="checkbox"/> Damage to health <input type="checkbox"/> Illness <input type="checkbox"/> Fatality <input type="checkbox"/> Property damage <input type="checkbox"/> Road traffic
2. Company information		
Name of company: [REDACTED] ID: [REDACTED] Address: [REDACTED] Field of activity: Roads and bridges construction		
3. Information about the incident		
Date of an accident: 16/08/2024		
Outcome:	Property damage:	Relation to work:
<input checked="" type="checkbox"/> Damage to health <input type="checkbox"/> Illness <input type="checkbox"/> Death <input type="checkbox"/> Other (Specify) <input type="checkbox"/> N/A	<input type="checkbox"/> Building/facility <input type="checkbox"/> Mobile equipment (dump truck) <input type="checkbox"/> Machinery <input type="checkbox"/> Other (Specify) <input type="checkbox"/> N/A	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
4. Personal information of the affected person		
Name: [REDACTED] Surname: [REDACTED] ID: [REDACTED] Address: [REDACTED] [REDACTED] Date of birth: [REDACTED] Position: Formwork Installer	Mobilization date: 23.07.2024 Work experience: 30 years Number of working days per week: 6 Shift duration: 8 hours Medical check-up before the start of work: Not available	
5. Nature of injury		
<input type="checkbox"/> Amputation <input type="checkbox"/> Asphyxia/suffocation <input type="checkbox"/> Animal/insect bite <input type="checkbox"/> Burn <input type="checkbox"/> Burn-chemical <input type="checkbox"/> Bone fracture	<input type="checkbox"/> Electric shock <input type="checkbox"/> Infection <input type="checkbox"/> Loss of consciousness (asphyxiation) <input type="checkbox"/> No apparent injury <input type="checkbox"/> Poisoning <input type="checkbox"/> Puncture wound	

<input type="checkbox"/> Concussion <input type="checkbox"/> Closed craniocerebral injury/hematoma, <input checked="" type="checkbox"/> Dislocation/stretching (dislocation of finger's joints)	<input type="checkbox"/> Radiation exposure <input type="checkbox"/> Wound/scratch <input type="checkbox"/> Other (Specify)
6. Location of injury	
<input checked="" type="checkbox"/> Upper limb (right hands fingers) <input type="checkbox"/> Shoulder <input type="checkbox"/> Lower limb <input type="checkbox"/> Spinal column <input type="checkbox"/> Chest <input type="checkbox"/> Back <input type="checkbox"/> Ear <input type="checkbox"/> Eye <input type="checkbox"/> Throat	<input type="checkbox"/> Pelvis/thigh <input type="checkbox"/> Internal organs <input type="checkbox"/> Face <input type="checkbox"/> Brain <input type="checkbox"/> Head <input type="checkbox"/> Extensive injuries <input type="checkbox"/> Other
7. Medical treatment provided	
After the incident, the Contractor's medical personnel examined Mr. Hua Zhang at the Camp No. 1 medical facility and it was decided to transfer him to the hospital in Tbilisi. Medical examination in the hospital identified only the dislocation of three fingers joints, but no fractures. These dislocations were stabilized through the necessary medical assistance and the plaster was applied to the palm and forearm. Affected person was released from the hospital on the same day.	
8. Incident description	
On August 16 th 2024 Mr. Hua Zhang was working at Bridge No. 2 Pier No. 4 when he was unwinding a roll of steel rope which was delivered to the Pier No. 4 for the use in the tensioning works. During the unwinding process, once the steel rope roll was loosened, it snapped back hitting Mr. Hua Zhang in the right hand, and causing mentioned damage. Affected person was immediately delivered to the Contractor's medical facility and later, transferred to the hospital in Tbilisi.	
9. Work Process-Work being conducted at the time of the incident.	
Unwinding of steel rope roll.	
10. Plant, equipment & tools.	
Steel rope for bridge tensioning works	

Signature:

[REDACTED]

Classification of Incidents

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 cause 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

Investigation

- Conduct Root Cause Analysis (RCA) within 10 days of incident



Above the surface you see the
SYMPTOMS
of the problem

Dig deeper to find
ROOT CAUSE
of the problem

Root Cause Analysis Process



1 Realize the problem



2 Gather data



3 Determine possible causal factors



4 Identify the root cause



5 Recommend and implement solutions



Root Cause Analysis should answer:

- What happened?
- How did it happen?
- Why did it happen?
- What needs to be corrected to prevent it from happening again?

5 Whys Method

- iterative interrogative technique used to explore the cause-and-effect relationships underlying a problem.
- goal is to determine the root cause of a problem by repeating the question “Why?”.
- each answer forms the basis of the next question.

- Why?
- Why?
- Why?
- Why?
- Why?

5 Why Method

- Why?
- Why?
- Why?
- Why?
- Why?



Incident:
A worker
slipped,
fell, and
suffered 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 was not in the maintenance system



Why - The valve was not in the maintenance system



Why – Financial cutbacks reduced the scope of the maintenance program

From SAEMRs:

Table 21A: Types of accidents reported (July – Dec 2023) LOT-1

Accident Type	Reporting Period (July–December 2023)	Total (from commencement)
Near Miss	0	27
Accident Moderate	0	7
Accident Major	0	0
Minor Injuries (First Aid Cases)	0	86
Major Injuries	0	04
COVID 19 Caes	0	0
Fatalities	0	0

Table 21B: Types of accidents reported (July – Dec 2023) LOT-2

Accident Type	Reporting Period (July – Dec 2023)	Total (from commencement)
Near Miss	02 (reporting started from Sep-2023)	02
Accident Moderate	0	0
Accident Major	0	0
First Aid Cases)	06	27
Major Injuries	0	00
COVID 19 Caes	0	0
Fatalities	0	0

Response

- Design a Safeguard Corrective Action Plan (SCAP)

The SCAP is driven by the RCA or other analysis and is specific to the type of incident, its location, severity, and the borrowers' capacity to implement corrective actions and preventative measures.

Example SCAP Sections	Intervention Type	Possible Borrower Actions
<ul style="list-style-type: none">• Immediate actions• Medium term actions	<ul style="list-style-type: none">• At site• Systems• Capacity	<ul style="list-style-type: none">• Stop work, secure and clean site, provide medical attention• Develop maintenance procedures• Training and awareness

- All incidents and near-misses should be reported
- All reported incidences should be investigated
- Identifying the root cause of an incident is crucial

