INCIDENT REPORTING AND INVESTIGATION PROCEDURES

<table>
<thead>
<tr>
<th>Office of Administrative Responsibility</th>
<th>Agri-Food Discovery Place</th>
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</thead>
<tbody>
<tr>
<td>Approver</td>
<td>Executive Director</td>
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<tr>
<td>Scope</td>
<td>Compliance with this Procedure extends to all employees, faculty, students, researchers, clients, contractors and sub-contractors at Agri-Food Discovery Place</td>
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Overview
Health and Safety is an integral part of all our business and research activities at Agri-Food Discovery Place, and we are continually working towards making measurable improvements in the health and safety aspects of our workplace on an ongoing basis.

Purpose
The purpose of these procedures is to ensure that every unsafe working condition, unsafe working behaviours and every incident, defined as any event that requires investigation, either due to the harm it has caused to people, the environment or property, or due to the potential harm that it could have caused, is investigated and reported appropriately and evaluated for potential corrective actions to prevent re-occurrence.

Scope
These procedures cover:
- Life threatening injuries or illnesses
- Non life-threatening injuries or illnesses/medical aid and first aid
- Non injury incidents, including near misses
- Property damage.
- Unsafe working conditions
- Unsafe working behaviours

Responsibilities
- Executive Director or Designate
  - Ensure adequate resources and support are available to implement this procedure
  - Hold managers and supervisors accountable for the implementation and application of this procedure
  - Review all incident and near miss reports to determine the scope of the investigation
  - Sign off on all investigations
Ensure all corrective actions are completed in a timely manner

- Management
  - Provide incident prevention and investigation training for supervisors
  - Ensure all necessary medical care is provided to injured workers
  - Immediately advise the Executive Director or Designate of all incidents and near misses
  - Ensure all incident and near misses are reported to EHS and ARD within 48 hours
  - Ensure all incidents and injury investigations are initiated within 72 hours
  - Ensure immediate and long term corrective actions are taken to prevent reoccurrences
  - Sign off on all investigations

- Supervisors/Functional Supervisors
  - Take action to protect people and property from secondary effects of incidents
  - Report all incidents to management, EHS and ARD as soon after the event as possible and within 48 hours
  - Conduct immediate incident investigations using the appropriate report forms for the worker’s respective employer (See Schedule “A”)
  - Complete and sign the appropriate report form for the worker’s employer (See Schedule “A”)
  - Collect and preserve all evidence that may be useful in an investigation
  - Conduct interviews of witnesses in a polite and professional manner
  - Do not attempt to find or assign blame for incidents
  - Complete Incident Investigation Training as provided by management

- Health and Safety Coordinator
  - Review Part I of the Incident Report and decide whether the safety event is reportable or non-reportable
  - Review Part IA of the incident Report for non-reportable safety event and ensure the corrective actions are completed in a timely manner
  - Ensure injured worker’s supervisor is notified of the incident
  - Ensure proper document is filled out and is sent to AFDP management EHS, and/or GoA
  - May facilitate investigation process and to ensure proper paperwork is completed as required
  - Document the incident and file original incident report in Incident Report binder
• **Workers**
  - Immediately report all incidents and injuries to supervisors and Health and Safety Coordinator
  - Complete and sign the appropriate section of your employer’s Incident Report and Investigation Form
  - Assist as requested in all incident investigations
  - Report all hazardous conditions, hazardous behaviors and near misses to Health and Safety Coordinator or supervisors

• **First Aider**
  - Provide first aid treatment to injured workers as required
  - Complete and sign First Aid Report
  - Assist as required in incident investigations

• **Worksite Health and Safety Committee**
  - Assist if necessary in incident investigations
  - Review incident investigations and corrective actions

**Initial Investigation Procedures**

- Prevent further possible injury and property damage
- Collect facts about the incident
- Collect and preserve evidence

**Steps**

- Secure the area. Do not disturb the scene unless a hazard exists
- Prepare necessary sketches and photographs. Label each carefully and keep accurate records
- Interview all persons involved, including witnesses. Keep accurate records of each interview
- Determine causes of the incident through incident analysis
- Identify and explain both immediate and underlying causes of the incident
- List the causes in order of the degree to which they contributed to the incident and its outcome
- What was normal before the incident?
- Where did the abnormality occur?
- When was it first noted?
- How did it occur?

**Fact Finding**

Conduct a fact finding to gather as much evidence as possible from witnesses, site inspections, photographs, reports, maintenance records, pre-accident work site conditions, hazard assessment documents, safe work procedures or sop’s. etc.
Preventative Measures and Follow-up Actions.
Prevention of future injuries or incidents is one of the key reasons for performing an incident investigation. This step is used to analyze the data and determine the causes and corrective actions necessary to prevent reoccurrence.

- Indicate the preventative measures and actions that have been taken and when
- Describe the preventative measures and actions, in order of priority that must be taken immediately and those to be completed within the pre-determined timeframe
- Indicate who is responsible for seeing them completed and by when. This includes such actions as additional safety meetings with employees, review of SOPs, implementing new procedures, engineering controls, etc.

Investigation Report
Complete an incident investigation report to be submitted to Management and the worker’s employer. The purpose of the investigation is to prevent future incidents. Include the following in the report:

- Background information
  - When and where the incident occurred.
  - Who and what were involved
  - Operating personnel and other witnesses
- Account of the incident (what happened)
  - Sequence of events
  - Extent of damage
  - Accident type
  - Source of energy or hazardous material
- Analysis of the incident (how, why)
  - Direct causes (energy sources, hazardous materials)
  - Indirect causes (unsafe acts and conditions)
  - Basic causes (management, policies, personal or environmental factors)
- Recommendations (to prevent a recurrence) for immediate and long range action to remedy
  - Basic causes
  - Indirect causes
  - Direct causes
- Recommendations may include:
  - Employee training or re-training
  - Work station design
  - Policies or procedures
**DEFINITIONS**

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use

<table>
<thead>
<tr>
<th>Title</th>
<th>Definition</th>
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<tbody>
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<td>Executive Director</td>
<td>Refers to the senior manager at AFDP</td>
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<tr>
<td>Manager</td>
<td>Refers to the individual who is responsible for the administration of a department or specific service component</td>
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<tr>
<td>Supervisor</td>
<td>A person who has been delegated to supervisory responsibility for others working or studying at AFDP</td>
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<tr>
<td>Worker</td>
<td>A person who is engaged in an occupation</td>
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<tr>
<td>Incident</td>
<td>An undesired, unplanned, unexpected event that results in, or has the potential to result in, physical harm to a person or damage to property (with or without loss). This includes, but not limited to,</td>
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<tr>
<td></td>
<td>- Environmental Release</td>
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<td>- First Aid</td>
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<td>- Lost Time</td>
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<td>- Medical Aid</td>
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<td>- Dangerous Good Accident/Incident</td>
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<td>Person who directs the daily work activities of the worker</td>
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<td>Unsafe working condition, unsafe employee work habits, improper use of equipment or use of malfunctioning equipment.</td>
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Related Documents
AFDP Health and Safety Policy
AFDP Health and Safety Responsibilities Procedure

Approval:

[Signature]
Executive Director
Date: Feb 7, 2012

[Signature]
Chair WHSC
Date: Feb 7, 2012
In Incident Reporting and Investigation Procedure

Approval Date: 02/07/2012    Review Date: 12/21/2011    Revision Date: 02/06/2012
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**Definition:**

**Functional Supervisor:** Person who directs the daily work activities of the worker

**Reportable Safety Event:** Injury, Spill/Contamination/environmental Release, property damage and Near Miss.

**Near Miss:** An incident that had the potential to cause personal injury, property damage or both, but did not. E.g.: *A box falls off the shelf (incident), landing just a foot behind a person walking down the aisle.*

**Non-reportable Safety Event**

Unsafe working condition, unsafe employee work habits, improper use of equipment or use of malfunctioning equipment.