



**INCIDENT, ACCIDENT & NEAR  
MISS REPORTING and  
INVESTIGATION**

INITIAL ISSUE DATE	SEPT 19, 2011
REVISION DATE:	Jan 2021
REVISION NO.	8
NEXT REVISION DATE	Jan 2022

# **5 ACCIDENT - INCIDENT - NEAR MISS REPORTING AND INVESTIGATION**



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## 5.1 Incident, Accident and Near Miss Policy

The purpose of this guideline is to determine the cause of incidents, accidents, occupational illnesses, work refusals and near misses so that the corrective action can be taken to prevent reoccurrence. First of all, our goal is to prevent these from happening by conducting pre-job safety meetings and Hazard Assessments.

All incidents, accidents, occupational illnesses, work refusals and near misses that occur are required to be reported immediately to management.

Terrafirma Resources management will fully investigate all incidents, accidents, occupational illnesses, work refusals and high level near misses in accordance with the Investigation guidelines included below.

We will ensure that regular monthly meetings, inspections and pre-job meetings are conducted and the minutes are handed in to management. We will also promote safety awareness on the jobsite and ensure that all safety equipment is easily identifiable and located in appropriate locations.

Management will participate in safety inspections, audits and pre-job safety meetings.

The safety information in all guidelines does not take precedence over applicable legislations and the OHS Code. All employees are responsible to become familiar with applicable legislations and code.

MANAGEMENT SIGNATURE  
NICOLE SAFRON- PRESIDENT

DATE: January 15, 2021  
TERRAFIRMA RESOURCES

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## 5.2 Reporting Requirements

All incidents, accidents, occupational illnesses, work refusals and near misses occurring at a job site will be reported immediately to management. At this time a Report Form will be filled out identifying the type of event, cause and injuries. This report will be forwarded to management for review as soon as possible.

**Near Miss:** An undesired event that, under slightly different circumstances, could have resulted in personal harm, property damage, or loss.

**Incident:** An undesired event that does result in unintended physical harm to a person or damage to property.

**Accident:** by court definition is something that could not be foreseen. “An Act of God”

**Occupational Illness:** a condition that results from exposure in a workplace to a physical, chemical or biological agent to the extent that the normal physiological mechanisms are affected and the health of the worker is impaired.

Recordable Cases Include:

- Medical Aid,
- Lost Time Injuries,
- Modified Duty,
- Fatalities

## 5.3 Company Obligations

**The Alberta Occupational Health and Safety** must be notified as soon as possible but no later than 24 hours from the time of incident. Reports must be made whenever there is a serious injury on a worksite or when there is an incident/accident that has the potential to cause serious injury. Injuries and accidents to be reported under the OHS act include:

- An injury or accident that results in death or a disabling injury
- The loss by an employee of a body member, part of, or loss of usefulness of a body member
- The permanent impairment of a body function
- An Explosion
- Damage to a boiler or pressure vessel that results in fire or the rupture of the boiler or pressure vessel
- An injury or accident that results in a worker being admitted to a hospital for more than 2 days
- An unplanned or uncontrolled explosion, fire, or flood that causes a serious injury or that has the potential of causing a serious injury
- The collapse or upset of a crane, derrick, or hoist
- Damage to an elevating device that renders it unserviceable
- A free fall from an elevating device
- The collapse or failure of any component of a building or structure necessary for the structural integrity of the building or structure.

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The employer shall report to a health and safety officer, the date, time, location and nature of any accident, occupational disease, or other hazardous occurrence.

**The Workers Compensation Act** comes into effect whenever an employee suffers personal injury at a worksite, or is entitled to medical aid as a result of an accident. WCB is also applicable if the accident/incident is likely to disable the worker for more than the day of the incident.

**PROTOCOL (Employers/Supervisors)**

Initial Response

When an incident/accident occurs, your first step as a supervisor should be to take control of the situation and do the following:

1. Identify and control imminent danger hazards so that no further injury or damage occurs.
2. Attend to injured persons
3. Maintain the scene of the accident/incident undisturbed other than to attend to an injured person, prevent further injuries, or control imminent danger hazards created by the incident/accident.

Reporting

1. Report Immediately to Alberta Employment, and Immigration – Workplace Health and Safety Director of Inspections. Reporting the time and place the accident/incident occurred and the nature of the accident/incident.
2. Investigate the circumstances surrounding the serious injury or accident.
3. The Occupational Health and Safety Act requires that the employer responsible for the worksite is responsible for reporting the injury or incident and preparing an incident investigation report.
  - When authorities who have jurisdiction are notified, make sure you note on your report:
  - Who was notified (name of organization)
  - Which person you contacted (name and position)
  - When they were notified (time and date)
  - Where the accident/incident took place (location)
  - Why they were notified (in general terms, describe the reason for notification.)
4. If applicable contact WCB within 72 hours following an incident/accident. Notify them within 24 hours, when you learn that the employee has returned to work or is able to do so.
5. If a fatal accident occurs you must also contact the police

**Note:** Report to the appropriate authorities yourself even if one or more of the above say they have notified them, make sure you call as well – due diligence.

**Annual Reports**

Every employer shall, not later than March 1 in each year, submit to the Minister a written report setting out the number of accidents, occupational diseases, and other hazardous occurrences of which the employer is aware affecting any employee in the course of employment during the 12 month period ending on December 31 of the preceding year. The report shall be made using the form found in Part 15 of the Regulations.

**Injury recording**

Terrafirma Resources keeps a record of each minor injury on a First Aid Log to ensure awareness injuries of any employee in the course of employment. The log contains:

1. the date, time, and location of the occurrence that resulted in the minor injury;
2. the name of the employee affected;

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3. a brief description of the minor injury; and
4. the causes of the minor injury.

## 5.4 Investigation

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Should Terrafirma Resources become aware of an incident, occupational illness, work refusal, near miss or other hazardous occurrence affecting any employees or subcontractors on a Terrafirma Resources worksite, we will without delay:

1. appoint a qualified person to carry out an investigation of the hazardous occurrence
2. notify the safety representative of the hazardous occurrence and of the name of the person appointed to investigate it
3. take necessary measures to prevent a recurrence of the hazardous occurrence.

Investigation must be a written report and is done to determine the direct and indirect causes of the accident or incident. Investigations also help measure the effectiveness of Terrafirma’s health and safety program. The Investigator will use the “Root Cause” technique followed by recognizing the corrective actions to be implemented to prevent reoccurrence of a similar incident.

Terrafirma Resources will investigate the following types of Incidents/Accidents including those:

- that result in injuries requiring medical aid
- that cause property damage or interrupt operations with potential loss
- that have the potential to result in injury requiring medical aid
- that cause property damage or interrupt operations with potential loss
- Notifications by workers of Imminent Danger. These will be controlled or eliminated before commencing or continuing work.

## 5.5 Completing an Investigation

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1. Get an overview of the situation: Basic information about who was involved in the accident / incident and the general conditions at the time of the occurrence will help the investigator decide on the scope of the investigation and who may be required to provide further information. The overview often uncovers the substandard act or condition that directly contributed to the accident/incident.
2. Gather Physical Evidence: Note what you observe and take photographs and/or draw diagrams. Look for things such as:
  - Positions of injured employees and/or equipment machinery etc.,
  - Condition of equipment and materials
  - Where objects are in relation to each other
  - The angle something came from or the force behind an object
  - Safety devices that were in use and their positions
  - Housekeeping in the area
  - Noise and lighting levels, etc.

**Note:** At this time you may also want to hand out witness statements for witnesses to fill out while the event is fresh in their mind.

3. Interview Witnesses: Exactly which questions you should ask depend upon the circumstances of the accident or incident? However there are six basic questions you can include in any interview.

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- Who was injured?
- What were the materials, machines, equipment, or conditions involved?
- When did it happen?
- Where did it happen?
- Why did it occur?
- How did the accident/incident happen?

It is a good idea to analyze witness statements prior to interviewing. By putting together what different people tell you, not only will you have a much clearer picture of what happened, but also how and why it came about. Interview as soon you can and when practical.

4. Check Background Information: Relevant information may come from analysis of conditions at the time of the accident/incident or from prior records such as:
  - Technical data sheets, maintenance reports.
  - Past accident/incident reports, training records
  - Safety meeting minutes
  - Safe Work Practices
  - Safe job procedures.

This information may help you identify causes behind the accident/incident you're investigating and may indicate whether it is part of a trend.

5. Determine Causes: Most people have a tendency to focus on the immediate or direct cause of an accident/incident. However, in order to prevent a reoccurrence of what happened, you must also identify the contributing or indirect causes – that is, the underlying factors that set up the circumstances that led to the accident/incident. There is rarely a single cause behind an incident/accident – even the simplest of situations come out of a combination of factors.
6. Causes may include; Task, Material, Environment, Personnel, Management. The last two are the most common.
7. Recommend Corrections
8. Write the Investigation Report

Reviews will be conducted based on these reports to design preventive and corrective measures. The Incident Investigation Report will be completed to identify:

- Date, time, location, who is reporting and any injuries sustained.
- Type of near miss/incident/accident. This must be specific and identify personnel injuries, health effects, environmental spills, operation upset, equipment failure, equipment damage, etc.
- All estimated costs associated with the near miss/incident, materials, labour, transportation, replacement costs.
- How the near miss/incident/accident occurred. This requires the worker to identify:
  - Hazard encountered
  - Precautionary measures taken
  - Procedures that were or were not in place
  - Substandard conditions and practices that were present at the time
  - Personnel and job factors that lead to the near miss/accident.

Investigations must be performed by an individual who is trained with proper investigation techniques. The investigator should know when insurance or government investigators are required. Proper training helps the investigator to find the underlying cause of the event.

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Investigations identify both the factors that contributed to an accident and the root causes behind those factors. Direct and indirect causes are identified at this time.

9. Follow up: Investigation using the root cause method assists in determining why the events occurred. From this investigation corrective actions may be identified. It is very important to follow-up to ensure that corrective actions have indeed been implemented to minimize the chance of reoccurrence.

Near miss reports also need to be reviewed, checking for any possible trends or actions which are becoming contributing factors. Again, implementing corrective actions identified through the evaluation of these near misses.

Management will review all investigations and follow-up.

10. Review and Sign off by Management

## 5.6 Responsibilities

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- All employees shall report all incidents/accidents/near misses as soon as possible to their immediate supervisor and assist in the investigation when requested.
- Supervisors shall conduct initial investigation and submit their reports to Terrafirma Resources promptly.
- The Safety Administrator shall determine the need for and if necessary shall direct, detailed investigations. They shall also determine causes, recommended corrective action and report directly to Management and all other required authoritative bodies.
- Safety Administrator shall review all reports to determine the corrective action to be taken, and ensure that the proper corrective measures are implemented.
- Management will oversee all processes and review required paperwork.
- Subcontractors are responsible for investigations of all near misses, incidents and accidents. They must report any unsafe acts or conditions immediately and must do follow up investigations to ensure measures have been taken to correct any unsafe conditions.

### Applicable Legislation

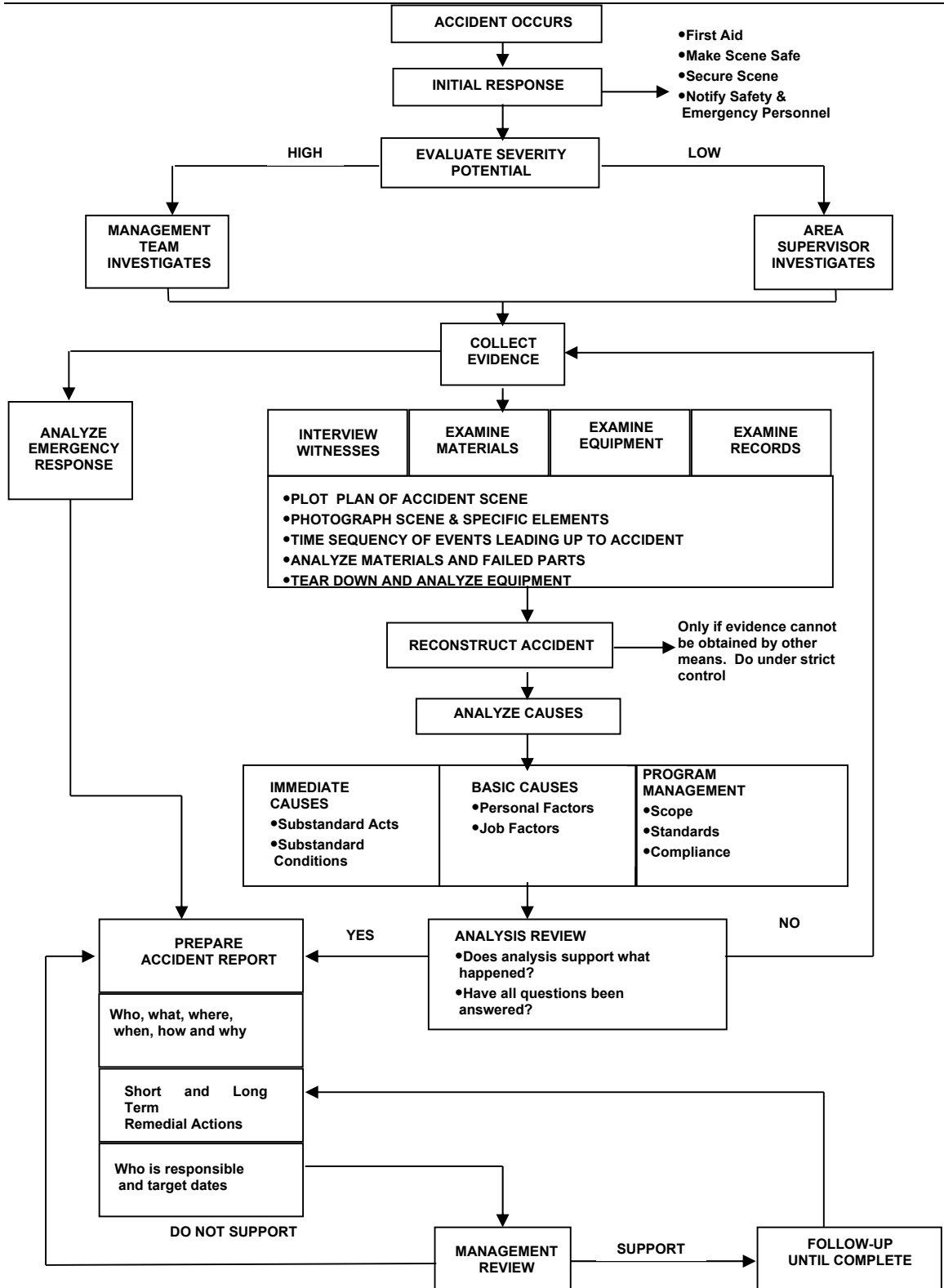
**Alberta** – OHS Act Sections 18 & 19

**British Columbia** – Workers Compensation Act Divisions 10 & 11



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## ACCIDENT INVESTIGATION PROCESS FLOW CHART





## 5.7 Accident - Incident - Near Miss Report - FORMS

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**ACCIDENT - INCIDENT - NEAR MISS REPORT FORM**

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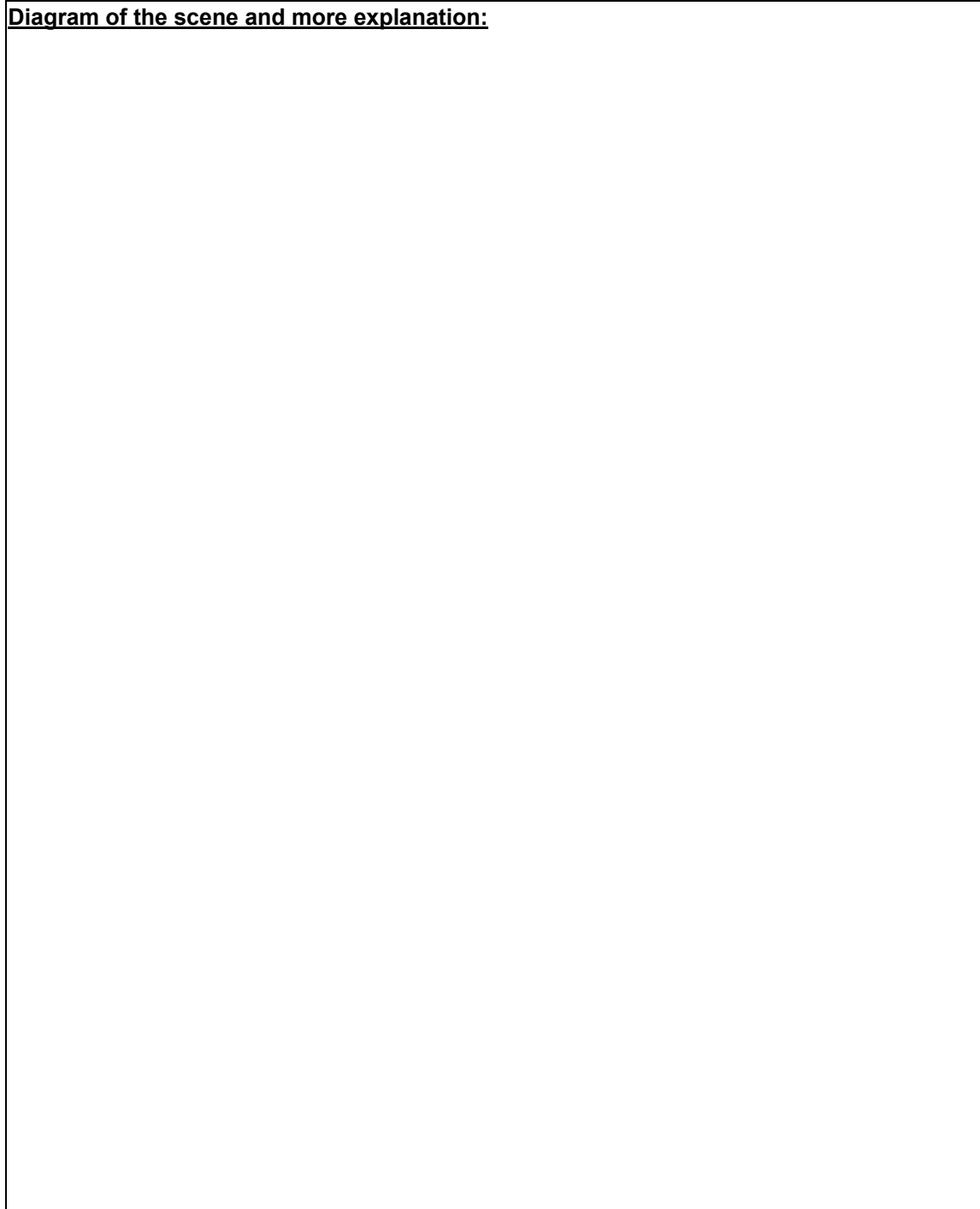
Who was involved:	
What Happened:	
Date of incident	Time
Location	Company
What was the direct cause	
What was the indirect causes	
What training, instructions, cautions were given before the incident	
How can similar incidents be prevented in the future	
Recommendation for further action	
Action taken by whom	Date / Time
Injured Worker (sign)	
Person in charge	
Manager	
<i>Diagram of scene on reverse page</i>	

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**ACCIDENT / INCIDENT / NEAR MISS REPORT FORM (PAGE 2 OF 2)**

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Diagram of the scene and more explanation:



Initial \_\_\_\_\_





<b>FREQUENCY POTENTIAL:</b> <input type="checkbox"/> FREQUENT <input type="checkbox"/> OCCASIONAL <input type="checkbox"/> RARE		<b>SEVERITY POTENTIAL:</b> <input type="checkbox"/> MAJOR <input type="checkbox"/> SERIOUS <input type="checkbox"/> MINOR		
<b>INVESTIGATING SUPERVISOR:</b>  <b>TYPE OF INVESTIGATION:</b> <input type="checkbox"/> INITIAL <input type="checkbox"/> INTERIM <input type="checkbox"/> FINAL		<b>SIGNATURE:</b>  <b>DATE:</b>		
<b>IS FURTHER INVESTIGATION REQUIRED?</b> <input type="checkbox"/> YES <input type="checkbox"/> NO		<b>WILL A FOLLOW UP INVESTIGATION FOLLOW?</b> <input type="checkbox"/> YES <input type="checkbox"/> NO		
CORRECTIVE FOLLOW-UP ACTION REQUIRED	ACTION BY	TARGET DATE	DATE COMPLETED	INITIALS

**MANAGEMENT APPROVAL OF ACTION TAKEN:**

**Addition Information/Comments:**

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