



**Branscome Confidential**

This document is the property of Branscome and may not be copied or disclosed to others without authorization.

<b>Subject:</b>	<b>SH – 8 Incident Investigation Procedure</b>	<b>Page - 1 -</b>
<b>Issue Date: 08/01/13</b>		<b>Effective Date: 11/01/13</b>

**Summary**

This safety & health program expresses Branscome’s policy for incident investigation, reporting, and notification, and applies to all Branscome facilities. This program is to be used for all safety & health related incidents, including those involving contractors and visitors.

The Branscome management team is responsible for ensuring that this program is followed. The Safety Department is responsible for notification of incidents as outlined in this program and maintaining the incident investigation reports with the resolution of corrective action items for a minimum of five (5) years.

**1.0 Purpose**

Incident investigation is of prime importance to the success of any loss prevention program. The goal is to determine the facts regarding circumstances leading to the incident and from these facts develop and initiate preventative measures to minimize the possibility of recurrence. Investigations are fact-finding, not fault-finding. This is not to say that responsibility should not be fixed where personal failure has caused injury or property damage, nor that such person should be excused from the consequences. However, the investigation itself is concerned only with developing the facts.

The principal purposes of the program are as follows:

- 1.1 To determine the basic cause(s) and contributing causes of the incident so that appropriate preventative measures may be taken to prevent recurrence.
- 1.2 To publicize the particular hazard or circumstances, so that appropriate preventative measures may be taken by others with similar exposures.

**2.0 Scope**

- 2.1 This program is applicable to all Branscome Companies employees, visitors, and contractor personnel. This program establishes minimum requirements; however, changes in its administrative aspects are permissible to allow for variations in management structure.
- 2.2 This program outlines separate incident investigation requirements for potential incidents, minor incidents, and major incidents.



**Branscome Confidential**

This document is the property of Branscome and may not be copied or disclosed to others without authorization.

<b>Subject:</b>	<b>SH – 8 Incident Investigation Procedure</b>	<b>Page - 2 -</b>
<b>Issue Date: 08/01/13</b>		<b>Effective Date: 11/01/13</b>

**3.0 Responsibilities**

3.1 Regional Manager:

Participate in all ‘major’ incident investigations;  
Review all ‘minor’ and ‘major’ incident investigation reports;  
Ensure completion of incident investigation report documentation;  
Ensure that all personnel are trained in this program; and  
Track incident investigation report’s recommended corrective action items to ensure completion by identified milestone dates;

3.3 Supervisors:

- Review circumstances of incidents with injured crew or team members;
- Lead investigations for ‘minor’ and ‘major’ incidents;
- Coordinate and communicate the date and time which incident investigation meetings will occur; and
- Ensure that recommended corrective action items are completed by identified milestone dates.

3.4 Employees:

- Immediately inform supervisor that an incident, injury, or illness has occurred;
- Promptly report to one of the Panel of Physicians (if necessary) for evaluation and treatment;
- Promptly notify supervisor if injury or illness will result in time away from work; and
- Participate in incident investigations.

3.5 Safety Department:

- Participate in ‘major’ incident investigations;
- Participate in ‘minor’ incident investigations, if available;
- Review incident investigation reports for accuracy and completeness; and
- Maintain file of incident investigation reports

**4.0 Definitions**

4.1 Incident: an event that causes personal injury or illness, equipment or property damage, catastrophic release of a hazardous substance, or which could have reasonably resulted in any of the above.

Incidents are classified as follows:



**Branscome Confidential**

This document is the property of Branscome and may not be copied or disclosed to others without authorization.

<b>Subject:</b>	<b>SH – 8 Incident Investigation Procedure</b>	<b>Page - 3 -</b>
<b>Issue Date: 08/01/13</b>		<b>Effective Date: 11/01/13</b>

4.1.1 Minor Incidents

- 4.1.1.1 Report Only - An injury or illness that involves no medical treatment. The employee notifies his supervisor of a work-related physical complaint or incident. Evaluation of the employee's physical complaints or related incident by a medical professional may be encouraged but is not mandatory.
- 4.1.1.2 First Aid Case - An incident resulting in an injury or illness which requires initial, basic treatment. These incidents do not have the potential for significant injury or adverse health affects.
- 4.1.1.3 Dangerous Occurrence - Incidents, including first aid cases, that **could have reasonably** resulted in significant personal injury, illness, or equipment or property damage, or a catastrophic release of a hazardous substance.
- 4.1.1.4 Minor Equipment or Property Damage - An incident that results in damage estimated to be \$2,000 or less.
- 4.1.1.5 Medical Treatment - An injury or illness requiring medical treatment beyond basic first aid, such as sutures, fractures, second-degree burns, and injuries treated with prescription medication.
- 4.1.1.6 Restricted Workday Case - An injury or condition that prevents the employee from performing all job responsibilities, or from performing their job for an entire work shift.

4.1.2 Major Incidents

- 4.1.2.1 Catastrophic Release - An incident that results in an uncontrolled emission, fire, or explosion, involving hazardous substances that presents a serious threat or danger to employees, the work place, or community. This determination will be made by the affected regional manager with guidance from the Safety Department.
- 4.1.2.2 Major Equipment or Property Damage - An incident that results in damage estimated to be in excess of \$2,000.
- 4.1.2.3 Lost Workday Case - An injury or illness which prevents the employee from returning to work on the next day.



**Branscome Confidential**

This document is the property of Branscome and may not be copied or disclosed to others without authorization.

<b>Subject:</b>	<b>SH – 8 Incident Investigation Procedure</b>	<b>Page - 4 -</b>
<b>Issue Date: 08/01/13</b>		<b>Effective Date: 11/01/13</b>

4.1.2.4 Hospitalization - An injury or illness which results in an individual being admitted to the hospital for observation or treatment.

4.1.2.5 Fatality - An incident which results in a loss of life.

4.2 Temporary Employee - A non-Branscome employee providing services or performing work for Branscome under the direct supervision of Branscome personnel. For the purposes of this program, temporary employees shall be treated as Branscome employees.

4.3 Contractor Employee - A non-Branscome employee providing services or performing work for Branscome while under the direct supervision of their employer.

4.4 Safety Department -

- Individual(s) with site safety & health program responsibility, i.e., Safety Specialist, Director of Safety.

5.0 **References**

6.0 **Program**

6.1 **Reporting Incidents**

6.1.1 All incidents shall be reported immediately by the employee(s) involved in, or discovering the incident. The report should be made to the involved employee's supervisor who shall initiate the incident investigation. Additionally, incidents involving property damage or release of a hazardous substance should be immediately reported to the Regional Manager.

6.1.2 After a minor or major incident, a safety gram shall be written, describing the incident and any (potential) corrective actions. The safety gram should be written by the supervisor with the help of the employee(s) involved. The safety gram shall be distributed to all affected employees, including those in other departments, by the end of the shift in which the incident occurred, whenever practical, but in all cases within 8 hours of the time of the incident.

6.1.3 The employee shall receive a "Problem and Findings Worker's Compensation" form or equivalent from the medical provider when the employee initially is evaluated, and/or receives treatment. Distribution of the Problem and Findings Worker's Compensation shall occur as follows:



**Branscome Confidential**

This document is the property of Branscome and may not be copied or disclosed to others without authorization.

<b>Subject:</b>	<b>SH – 8 Incident Investigation Procedure</b>	<b>Page - 5 -</b>
<b>Issue Date: 08/01/13</b>		<b>Effective Date: 11/01/13</b>

6.1.3.1 A copy will be given to the employee when he leaves the medical provider with instructions to deliver it to his immediate supervisor within 24 hours.

6.1.3.2 The supervisor shall provide the Safety Department with a copy to assess the impact on workers compensation and OSHA recordkeeping.

6.1.4 OSHA Accident Reporting

In the event of a fatality or the hospitalization of (1) or more employees due to a work-related incident, the Safety Department shall be notified immediately and will subsequently notify the appropriate Occupational Safety & Health regulatory authority within (8) hours of the incident.

**ONLY THE SAFETY DEPARTMENT SHALL CONTACT THE VIRGINIA DEPARTMENT OF LABOR AND INDUSTRY OR THE NORTH CAROLINA DEPARTMENT OF OCCUPATIONAL SAFETY AND HEALTH.**

6.1.5 MSHA Accident Reporting

In the event of

- (a) A death of an individual at the mine;
- (b) An injury of an individual at the mine which has a reasonable potential to cause death;
- (c) An entrapment of an individual at the mine which has a reasonable potential to cause death; or
- (d) Any other accident,

The following order of contact is to be followed:

1. Supervisor of Mines
2. Regional Manager
3. Alvin Trotman – 757-342-8995

If contact with none of the above is established within 15 minutes of discovery of the accident, the employee attempting to report that accident is authorized to notify MSHA at 1-800-746-1553.



**Branscome Confidential**

This document is the property of Branscome and may not be copied or disclosed to others without authorization.

<b>Subject:</b>	<b>SH – 8 Incident Investigation Procedure</b>	<b>Page - 6 -</b>
<b>Issue Date: 08/01/13</b>		<b>Effective Date: 11/01/13</b>

6.2 Investigating Incidents

6.2.1 Minor Incidents

- Investigation team for ‘minor incidents’ shall consist of the following:
    - injured employee\*
    - employee’s supervisor
    - all eye witnesses
    - Regional Manager\*
    - Safety Department\*
    - supervisor from area in which incident occurred (typically for incidents involving property damage)
- \*Denotes ‘if available’
- Other persons not assigned to the investigation team should be consulted, as necessary, to help determine the cause of the incident, as well as identify appropriate corrective actions.
  - The investigation team shall convene promptly to commence the investigation so that the pertinent facts concerning the incident are not lost. Within 24 hours of the incident, a written report shall be documented to the Director of Safety using the ‘Branscome Incident Investigation Report’ form. This report must come through the Safety Specialist and shall be accompanied by the Regional Manager's Incident Report. Between the time of the incident and the investigation, potential evidence that could aid in the investigation shall be preserved by such means as securing the area or equipment, taking samples, using photography or videotapes, etc.
  - The injured employee is expected to sign the incident investigation form. If the employee disagrees with what the investigation team determined to be the cause of the incident, and/or the corrective action items to prevent recurrence, the original investigation team shall re-investigate the incident prior to preparation of a final report. If no resolution is reached to abate the employee’s concerns, the reason(s) which the employee refused to sign the incident investigation form shall be noted.
  - The incident investigation reports shall be maintained with the Safety Department for minimum of (5) years.



**Branscome Confidential**

This document is the property of Branscome and may not be copied or disclosed to others without authorization.

<b>Subject:</b>	<b>SH – 8 Incident Investigation Procedure</b>	<b>Page - 7 -</b>
<b>Issue Date: 08/01/13</b>		<b>Effective Date: 11/01/13</b>

- The supervisor shall ensure that the final incident investigation report is reviewed with all affected employees whose job tasks are relevant to the incident investigation’s conclusions. This information shall also be shared with employees of other departments/shifts as well as contractor personnel, as required. All review meetings shall be documented and maintained in the affected department’s safety & health meeting file.

6.2.2 Major Incidents

- Investigation team for ‘major’ incidents shall consist of the following:
  - Regional Manager
  - employee’s supervisor
  - injured employee\*
  - all eye witnesses
  - employee’s crew or team members\*\*
  - Safety Department\*

\* Denotes ‘if available’  
\*\*Denotes ‘if required’
- Other persons not assigned to the investigation team should be consulted, as necessary, to help determine the cause of the incident, as well as identify appropriate corrective actions. If an involved employee is not immediately available due to an injury or illness, he should be interviewed as soon as medically and psychologically practical to gain details of the events leading up to the incident.
- The investigation team shall immediately commence the investigation so that the pertinent facts concerning the incident are not lost. Within 24 hours of the incident, a written report shall be documented to the Director of Safety using the ‘Branscome Incident Investigation Report’ form. Between the time of the incident and the investigation, potential evidence that could aid in the investigation shall be preserved by such means as securing the area or equipment, taking samples, using photography or videotapes, etc.
- The injured employee is expected to sign the incident investigation form. If the employee disagrees with what the investigation team determined to be the cause of the incident, and/or the corrective action items to prevent recurrence, the original investigation team shall re-investigate the incident prior to preparation of a final report. If no resolution is reached to abate the employee’s concerns, the



**Branscome Confidential**

This document is the property of Branscome and may not be copied or disclosed to others without authorization.

<b>Subject:</b>	<b>SH – 8 Incident Investigation Procedure</b>	<b>Page - 8 -</b>
<b>Issue Date: 08/01/13</b>		<b>Effective Date: 11/01/13</b>

reason(s) which the employee refused to sign the incident investigation form shall be noted.

- The incident investigation reports shall remain on file with the Safety Department for minimum of (5) years.
- The Regional Manager shall ensure that the final incident investigation report is reviewed with all affected employees whose job tasks are relevant to the incident investigation’s conclusions. This information shall also be shared with employees of other departments as well as contractor personnel, as required. All review meetings shall be documented and maintained in the affected department’s safety & health meeting file.

6.2.3 Corrective Action

If the ‘minor’ or ‘major’ incident investigation form identifies any recommended corrective action to prevent recurrence of the incident, the affected supervisor shall ensure these actions are completed consistent with the schedule included in the investigation report. Once all corrective action items are completed, the supervisor shall document their resolution and forward to the Safety Department.

**7.0 Training**

All employees shall be trained in the requirements of this program during their New Employee Orientation. Refresher training will be provided as part of the annual safety & health training program or more frequently if needed.

**8.0 Documentation**

- 8.1 Appendix A - Incident Investigation Report
- 8.2 Appendix B - Outline for Major Incidents
- 8.3 Appendix C – Regional Manager’s Report





**Branscome Confidential**

This document is the property of Branscome and may not be copied or disclosed to others without authorization.

<b>Subject:</b>	<b>SH – 8 Incident Investigation Procedure</b>	<b>Page - 9 -</b>
<b>Issue Date: 08/01/13</b>		<b>Effective Date: 11/01/13</b>

**9.0 Document History**

<b>Number</b>	<b>Effective Date</b>		<b>Author</b>
Original	May, 2006		
Revision 1	January, 2012		Alvin Trotman
Revision 2	July 1, 2012	Addition of section 6.1.5 MSHA Accident Reporting.	Alvin Trotman
Revision 3	October 1, 2013	Revise incident reporting procedures.	Alvin Trotman
Revision 4	October, 2017	Change Hospitalization or Fatality reporting from 3 employees to 1 employee.	Alvin Trotman