TATA

TATA POWER

# Incident Reporting & Investigation Procedure

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|---|---|---|---|---|
| Rev 00 | First release | R&P Sub-committee | D R Kamath | Vijay Chourey |
| Rev 01 | Standardization of procedure | --Sd--<br>Debashis Barik<br>(Lead-Associate Corporate Safety) | --Sd--<br>Navendra Singh<br>( Head – Operations- Corp Safety.) | --Sd--<br>Gaurang Baxi<br>(Chief Safety Officer) |
| Rev 02 | Periodic Revision | Navendra Singh<br>Head- Safety (T&D)<br>Corp safety | Rajesh Sharma<br>Head- Safety (Generation)<br>Corp safety | Suresh Khetwani<br>Chief - Corporate Safety & Environment |
| Rev 04 | Refinement of Fire incidents Investigation Process | Navendra Singh<br>Head- Safety (T&D)<br>Corp safety | Rajesh Sharma<br>Head- Safety (Generation)<br>Corp safety | Suresh Khetwani<br>Chief - Corporate Safety & Environment |

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## 1. OBJECTIVE:

Objective of this procedure is to outline the process for reporting, recording and investigating an incident, recommending corrective and preventive actions and to communicate the lessons learned to prevent recurrence of similar incidents.

## 2. SCOPE:

This procedure applies to all operating and project sites of Tata Power Group companies including JVs/Subsidiaries.

## 3. EXPECTED RESULTS:

3.1. Investigation of incidents as per laid down procedure.
3.2. Control recurrence of incidents
3.3. Compliance to Regulatory requirements related incident reporting and investigation.

## 4. ACCOUNTABILITY & RESPONSIBILITY:

4.1. **ACCOUNTABILITY:** Concerned Division's Chiefs/Establishment Custodians.

4.2. **RESPONSIBILITY:**

| Responsibility | Accountability | Consultation | Information |
|---|---|---|---|
| All Tata Power employees and contractor's employees. | Division's Chiefs/ Establishment Custodians | Safety R&P Sub Committee, Safety advisors | SBU Heads, Divisions Chiefs, Head - ES&A, Safety R&P Sub Committee, Safety advisors |

(1) For reporting of incidents including nearmiss - All Tata Power employees and contractor's employees.

(2) – Response to senior management on incidents including nearmiss - Concerned Division's Chiefs/ Establishment Custodians.

(3) For formation of investigation team – Concerned Division's Chiefs/ Establishment Custodians.

(4) External/Internal Communication - Concerned Division's Chiefs/ Establishment Custodians or as assigned by them.

(5) Taking actions on Corrective/Preventive actions – as assigned by Concerned Division's Chiefs/ Establishment Custodians.

## 5 GLOSSARY/ DEFINITIONS:

**Contractor employee**: A person employed by a contractor to carry out work under the terms of a contract.

**Fire:** An unplanned combustion. This includes electrical arcs that also involve a subsequent fire or evidence of combustion. Evidence of combustion includes flames, smoke, or charring.

**Fatality:** Fatality is defined as the death of an employee resulting from an accident caused while performing his/her work related activities.

- Note: Following categories are excluded
- Death arising from Medical Causes (e.g. Heart Attack).

  However, if the medical causes arise out / significantly aggravated due to work (in the opinion of the doctor) then it will be considered a work related case
- Suicide
- Personal Behaviour of the employee (Death during violence, murder etc.)

**First-aid Case:** A First Aid Case is a minor work related injury in which the employee gets back to his/her duties in the same shift for which he/she may or may not take the medical assistance from the dispensary/Occupational Health Center (OHC).

- First aid generally consists of one-time or short term treatment.
- First aid treatments are usually simple and require little or no technology.
- First aid can be administered by people with little training (beyond first aid training) and even by the injured or ill person.
- First aid is usually administered to keep the condition from worsening, while the injured or ill person is awaiting medical treatment.

**High Potential Nearmiss (HiPO Nearmiss):** Any Nearmiss having RPN as High or very High as per Risk Matrix in SAP EHSM. Such HiPO nearmiss have potential of fatality or severe damage to asset.

**Incident:** An unplanned or an unusual event or a series of events and circumstances that resulted in or had the potential that could result in, an adverse or undesirable safety, health, fire consequence. Undesirable consequences related to incidents include, but are not limited to the following:

- Injuries and Occupational illnesses
- Property damage
- Fire

**Lost Work Day Case (LWDC):** If an employee is unable to work on a subsequent scheduled shift because of a work related injury or illness, the case is classified as an LWDC. The shift on which the case occurred is not counted as a lost workday. If an employee is unable to work within 24 hrs. on his scheduled shift because of a work related injury or illness the case is classified as LWDC. *Injury occurred in LWDC is termed as also Lost Time Incident (LTI).*

**Lost Work Day Cases (LWDC) Reportable:** If an employee is unable to work on a subsequent scheduled shift because of a work related injury or illness, the case is classified as an LWDC. The shift on which the case occurred is not counted as a lost workday. If an employee is unable to work within 48 hrs. on his scheduled shift because of a work related injury or illness the case is classified as LWDC. Such incidents are reportable to local legal authorities as per prescribed format within time limit as per legal requirements. *Injury occurred in LWDC is also termed as Lost Time Incident (LTI)-Reportable.*

**Medical Treatment Case (MTC)**: Medication or treatment that is normally administered by a health-care professional and that case is a work related injury, It goes beyond first-aid treatment in which the employee post medical treatment, resumes his/her duties from the next shift after the Incident and is able to perform his/her assigned activities.

**Nearmiss:** A Nearmiss is an unplanned event that did not result in injury, illness, or damage – but had the potential to do so. Only a fortunate break in the chain of events prevented an injury, fatality or damage.

**Non Work-related Incident:** Incident involving in any activity that is beyond the condition of employment that may be business premises or outside of the premises (refer Annexure -3 for typical examples).

**Restricted Work Day Case (RWDC):** A Restricted Work Case is a work-related injury in which the employee resumes his/her duties from the next shift but is unable to perform his/her assigned activities (the person is given light duty).

**Occupational illness**: A health condition caused by, precipitated by, contributed to, or aggravated by exposure to workplace hazards over a period.

**TATA POWER Employee:** an individual employed by TATA POWER or a majority-owned subsidiary or joint venture, including person hire on Fixed Duration Assignment (FDA).

**Work Related Incident:** Incident involving any activity that is within the condition of employment that may be within business premises or outside of the premises (refer Annexure -1 for typical examples).

**Visitor:** A person on TATA POWER premises who is neither a contract employee nor a contractor employee.

**Shall:** Mandatory requirement

**Should:** Optional requirement

**Unsafe Act:** Any act which is in noncompliance of safe system of work like violation of safety procedures, SOP/WIs, legal & other compliance. Such unsafe act if not corrected timely may cause injury, illness to person, damage of asset or unsafe conditions.

**Unsafe Condition:** Unsafe condition is hazards that have the potential to cause injury, illness to person, damage of asset.

**Safe Act:** Any act which is in compliance of safe system of work like following of safety procedures, SOP/WIs, legal & other compliance.

**Abbreviations**

CAPA – Corrective actions and Preventive actions

DISH - Director Industrial Safety & Health (also known as Factories Inspectorate)

DIR - Daily Incident Report

FAC - First Aid Case

IRIS - Incident Reporting and Investigation System (SAP EHSM)

LWDC - Lost Work Day Case

LTIFR - Lost Time Injury Frequency Rate

LTISR - Lost Time Injury Frequency Rate

MTC - Medical Treatment Case

OHC- Occupational Health Centre

PPE - Personal Protective Equipment

RACC Matrix -Responsibility, Accountability, Communication and Consultation Matrix

RWDC - Restricted Workday Case

SAP EHSM- System Application Products-Environment Health Safety Management System

TIFR – Total Injury Frequency Rate

## 6 PROCEDURES:

### 6.1. General Guidelines:

6.1.1. Both work-related and non work-related (off the job) incidents shall be reported.

6.1.2. Work-related incidents shall be investigated as per legal requirements and guidelines laid in this procedure. Refer Annexure 1 for more details of work-related incidents.

6.1.3. Safety index like Lost Time Injury Frequency Rate (LTIFR), Lost Time Injury severity rate (LTISR), Total Injury Frequency Rate (TIFR) etc. shall be calculated based upon Work-related incidents.

6.1.4. Abovementioned safety index shall be calculated per legal guidelines. In case of absence of legal guidelines, these shall be calculated based on one million man hours worked as denominator. Refer Annexure-2 for details.

6.1.5. For every fatality, 6000 man days lost will be considered for calculation of LTISR unless it is otherwise specified by legal requirements.

6.1.6. Non work-related (off the job) incident shall be analyzed and key learnings shall be shared to prevent recurrence of such incidents. Refer Annexure-3 for more details of work-related incidents.

6.1.7. Incident Investigation Methodology: Following eight steps shall be followed as part of incident reporting and investigation methodology-

I. Initial reporting and response
II. Forming investigating teams
III. Determining facts
IV. Determining key factors
V. Determining systems that need strengthening
VI. Recommending corrective and preventing actions
VII. Documenting and communicate the findings
VIII. Follow-up

**6.2. Initial Response and Reporting (Step-I):**

6.2.1. **Initial Response:** When an incident occurs, and comes to the knowledge of the shift engineer / shift in charge / area in charge / In-charge, Security Control Centre, he / she is to organize, whenever necessary:

i. Rescue of personnel / medical help
ii. Fire Fighting
iii. Preventive measures to mitigate the impact of the incident
iv. Preserve the incident site to the extent possible and collect physical, human and systems evidence to the extent possible
v. Inform management about the incident

6.2.2. **Initial Reporting and Communication:** Any Tata Power employee or contractor's employee shall report all incidents in which they are involved, or

witnessed or came to know at any stage after occurrence of the same. All Incidents shall be reported in SAP EHSM at the earliest (within one working day). Following applications are currently available to report an incident.

I. SAP EHSM Online system
II. Tata Power Suraksha Mobile App.
III. Incident reporting form at Sangam web Page as per Annexure-4

Abovementioned applications are also having provisions for reporting of unsafe acts (UA) and unsafe conditions (UC). The same application shall also be used for reporting UA &UC.

6.2.2.1. Communication of fatal and LWDC- reportable incident shall be done by respective division to concerned legal authorities as prescribed in local legal requirements

6.2.2.2. Communication to senior management and corporate safety for all fatal and LWDC incidents shall be done by respective division at the earliest but not later than four hours of occurrence.

6.2.2.3. SAP-EHSM generate Daily Incident Report (DIR) and a mail is triggered to senior management, Division's Chiefs/Establishment Custodians and safety advisors. Division's Chiefs/Establishment Custodians shall update on corrective/Prevention actions on the incidents reporting in their respective divisions/establishment at the earliest.

6.2.2.4. Concerned incident Manager shall review the incident reported in SAP EHSM and he can make following changes to incident as appropriate-

I. Change the category of incident work-related/non-work related (off the job) as appropriate.
II. Change the category of incident based upon severity. Nearmiss with very high risk rating will HiPo nearmiss.
III. Void the incident in case reported same incident more than once (duplicity in reporting of the incident).
IV. Void the incident in case incident not related to safety & Health (for example security incident like theft posted wrongly)

6.2.2.5. Safety time out shall be done for all fatal incident within one working day of the occurrence. During safety time out, concerned division chiefs/Establishment custodian shall brief about how fatality occurred and immediate learnings. Persons attending time out shall take necessary action based upon the learnings from time out.

6.2.2.6. Safety red strip bulletin shall be shared by concerned division/establishment within four working days of fatal incident as per Annexure-5.

**6.3. Incident Investigation (Step-II-VII):**

6.3.1. Based upon the severity of incident investigation team shall be formed by Division's Chiefs/Establishment Custodians as per Annexure-6.

6.3.2. *Fatal, LWDC and Major Fire Incident investigation team shall be chaired by Senior/Middle level official from Other division. Corporate safety shall coordinate in finalization of name of chairman from other divisions*.

6.3.3. All incidents involving injuries, High Potential nearmiss (HiPO) shall be investigated as Annexure-6. Annexure-7 shall be used for investigation report.

6.3.4. RCA (Root cause analysis) also called 5-Why analysis tool shall be used for all Lost work days cases (LWDC), Fatal incident and HiPO nearmis.

6.3.5. All root causes shall be linked with THSMS 13 elements. Refer Annexure-8 for list of 13 Elements.

6.3.6. Qualitative analysis of Incident investigation report of fatal incident shall be done as per Annexure 10 by cross functional team formed by Incident Investigation Sub Committee

6.3.7. Concerned incident manager shall update incident investigation report including its attachments, lesson learned in SAP EHSM. He shall also create tasks in SAP EHSM based upon CAPA of the incidents. He shall set status of incident investigation complete/closed once investigation report is updated and tasks are assigned in SAP EHSM.

6.3.8. CAPA for Fatal incident and HiPO nearmiss across Tata Power shall be compiled and tracked by corporate safety.

6.3.9. Lesson learned for all Lost Work Day Case (LWDC) including fatal incident shall be shared by concerned division/establishment custodian with Corporate safety as per time period mentioned as per Annexure-9

6.3.10. Corporate safety team shall share such lesson learned to other divisions and Tata group Companies as appropriate.

6.4. **Incident Closure (Step-VIII):** Concerned Incident manager shall follow up till necessary actions required to complete all tasks of the incident. He shall set the status of incident as "close" in SAP EHSM once all tasks are completed and updated in SAP EHSM.

**7. Records:**

I. Incident Investigation Report – Data in SAP EHSM Lifetime

**8. Training & Communication:**

I. Training of Safety Communication shall be included and covered in Safety Training Calendar as per Safety Training needs.

II. Initial Communication to be done through Corporate Communication, Email and subsequently shall be made available at safety portal at Sangam.

**9. VERIFICATION:**

I. Verification of implementation shall be done during Safety audit, field safety visit and site inspections.

10. **Exceptions:** Any other Exception to this procedure shall only be done as per Document Control Procedure (TPSMS/GSP/DC/014).

**11. REFERENCES**

I. Tata Power Safety Management System Manual
II. EPM 01.08.06 - Incident and safety observation management
III. Tata Group guidelines on recording & reporting of Occupational Injuries & Illness.
IV. Indian Factory Act 1948 and State Factory Rules
V. 29 CFR 1910 OSHA Part 1904 Recording and Reporting Occupational Injuries and Illness.

12. **Review:**

a. Review of this procedure shall be done as and when but not later than once in every three (03) years. Typical Factors like Changes in legislation, Review of Incident Reports, Inspection & Audit findings, Feedback from users,

Recommendations in Incident investigation reports may be inputs for the review and revision of the procedure.

b. In case release of revised procedure gets delay due to obtaining feedback or any other reasons, safety advisory may be issued immediately to take precautions for the proposed changes in the procedure and revised procedure should be released subsequently.

## 13. ATTACHMENTS/APPENDIX:

Annexure-1: FAQ: Work Related Incident

Annexure -2: Safety Index Calculation

Annexure -3: Non- Work-Related Incident (Typical Examples)

Annexure -4: Incident Reporting Form

Annexure -5: Red Strip Bulletin

Annexure -6: Investigations Team Formations

Annexure -7: Incident Investigations Reporting Format

Annexure -8: Tata Health Safety Management System: 13 Element

Annexure -9: Lesson Learned Format

Annexure-10: Quality Check for Investigation report - Format

**Annexure-1**

## FAQ: Work Related Incident

1. Is every work-related injury or illness case involving a loss of consciousness recordable?

Yes, you must record a work-related injury or illness if the worker becomes unconscious, regardless of the length of time the employee remains unconscious.

2. How do I record a case where the worker works only for a partial work shift because of a work-related injury or illness?

A partial day of work is recorded as a day of job transfer or restriction for recordkeeping purposes except for the day on which the injury occurred or the illness began.

3. How do I handle vague restrictions from a physician or other licensed health care professional, such as that the employee engage only in “light duty” or “take it easy for a week”?

If you are not clear about a physician or other licensed health care professional’s recommendation, you may ask that person whether the employee can perform all of his or her routine job functions and work all of his or her normally assigned work shift. If the answer to both of these questions is “Yes,” then the case does not involve a work restriction and does not have to be recorded as such. If the answer to one or both of these questions is “No,” the case involves restricted work and must be recorded as a restricted work case. If you are unable to obtain this additional information from the physician or other licensed health care professional who recommended the restriction, record the injury or illness as a case involving job transfer or restricted work.

4. What do I do if a physician or other licensed health care professional recommends a job restriction meeting definition but the employee does all of his or her routine job functions anyway?

make a decision as to which recommendation is the most authoritative, and record the case based upon that recommendation. You must record the injury or illness as a restricted work case. If a physician or other licensed health care professional recommends a job restriction, you should ensure that the employee complies with that restriction. If you receive recommendations from two or more physicians or other licensed health care providers, you may final recommendation by Tata power doctor.

5. Do I count the day on which the injury occurred or the illness began?

No, you begin counting days away on the day after the injury occurred or the illness began.

6. How do I record an injury or illness when a physician or other licensed health care professional recommends that the worker stay at home but the employee comes to work anyway?

You must record these injuries and illnesses as LTI and count the number of calendar days away recommended by the physician or other licensed health care professional. If a physician or other licensed health care professional recommends days away, you should encourage your employee to follow that recommendation. However, the days away must

be recorded whether the injured or ill employee follows the physician or licensed health care professional's recommendation or not. If you receive recommendations from two or more physicians or other licensed health care professionals, you may make a decision as to which recommendation is the most authoritative, and record the case based upon that recommendation.

7. How do I handle a case when a physician or other licensed health care professional recommends that the worker return to work but the worker stays at home anyway?

In this situation, you must end the count of days away from work on the date the physician or other licensed health care professional recommends that the employee return to work.

8. How do I count weekends, holidays, or other days the employee would not have worked anyway?

You must count the number of calendar days the employee was unable to work as a result of the injury or illness, regardless of whether or not the employee was scheduled to work on those day(s). Weekend days, holidays, vacation days or other days off are included in the total number of days recorded if the employee would not have been able to work on those days because of a work related injury or illness.

9. How do I record a case in which a worker is injured or becomes ill on a Friday and reports to work on a Monday, and was not scheduled to work on the weekend?

You need to record this case only if you receive information from a physician or other licensed health care professional indicating that the employee should not have worked, or should have performed only restricted work, during the weekend. If so, you must record the injury or illness as a case with days away from work or restricted work, and enter the day counts, as appropriate.

10. How do I record a case in which a worker is injured or becomes ill on the day before scheduled time off such as a holiday, a planned vacation, or a temporary plant closing?

You need to record a case of this type only if you receive information from a physician or other licensed health care professional indicating that the employee should not have worked, or should have performed only restricted work, during the scheduled time off. If so, you must record the injury or illness as a case with days away from work or restricted work, and enter the day counts, as appropriate.

11. If a case occurs in one year but results in days away during the next calendar year, do I record the case both years?

No, you only record the injury or illness once. You must enter count the year in which the injury or illness occurred.

12. When a work-related heart attack occurs in the workplace and the employee dies one or more days later, how should the case be reported?

The employer must report it to Group Safety & Health Team. Post the Post Mortem report the case can be decided as appropriate.

**Annexure:2**

## Safety Index Calculation

1) Lost Time Injury Frequency Rate (LTI FR) =

$$\frac{\text{Number of Lost Time Injuries} \times 10{,}00{,}000}{\text{Total Number of Man-hours worked}}$$

2) Lost Time Injury Severity Rate (LTI SR)=

$$\frac{\text{Number of Man-days lost} \times 10{,}00{,}000}{\text{Total Number of Man-hours worked}}$$

3) Total Reportable Injury Frequency Rate (TRI FR) =

$$\frac{\text{Number of Total Reportable injuries} \times 10{,}00{,}000}{\text{Total Number of Man-hours worked}}$$

**Annexure -3**

## Non Work related Incident (Typical Examples)

The following are not work related incidents:

1. At the time of the injury or illness, the employee was present in the work environment as a member of the general public rather than as an employee. (For example employee of a retail store patronized that store as a customer on a non-work day and was injured in a fall).

2. The injury or illness involves signs or symptoms that surface at work but result solely from a non-work-related event or exposure that occurs outside the work environment.

3. The injury or illness results solely from voluntary participation in a wellness program or in a medical, fitness, or recreational activity such as blood donation, physical examination, flu shot, exercise class, or cricket.

4. The injury or illness is solely the result of an employee doing personal tasks (unrelated to their employment) at the establishment outside of the employee's assigned working hours.

5. The injury or illness is solely the result of personal grooming, self-medication for a non-work related condition, or is intentionally self-inflicted.

6. The illness is the common cold or flu (Note: contagious diseases such as tuberculosis, brucellosis, hepatitis A, or plague are considered work-related if the employee is infected at work).

7. The illness is a mental illness. Mental illness will not be considered work-related unless the employee voluntarily provides the employer with an opinion from a physician or other licensed health care professional with appropriate training and experience (psychiatrist, psychologist, psychiatric nurse practitioner, etc.) stating that the employee has a mental illness that is work related.

Other Cases:

1. Checked into a hotel for one or more days- When a traveling employee checks into a hotel, motel, for one or into a temporary residence (guesthouse), he or she establishes a "home away from home." You must evaluate the employee's activities after he or she checks into the hotel, motel, or other temporary residence for their work-relatedness in the same manner as you evaluate the activities of a non-traveling employee. When the employee checks into the temporary residence (guesthouse), he or she is considered to have left the work environment. When the employee begins work each day, he or she re-enters the work environment. If the employee has established a "home away from home" and is reporting to a fixed worksite each day, you also do not consider injuries or illnesses work-related if they occur while the employee is commuting between the temporary residence and the job location.

2. Taken a detour for personal reasons - Injuries or illnesses are not considered work-related if they occur while the employee is on a personal detour from a reasonably direct route of travel (e.g., has taken a side trip for personal reasons).

3. How do I decide if a case is work-related when the employee is working at home?

Injuries and illnesses that occur while an employee is working at home, including work in a home office, will be considered work-related if the injury or illness occurs while the employee is performing work for pay or compensation in the home, and the injury or illness is directly related to the performance of work rather than to the general home environment or setting. For example, if an employee drops a box of work documents and injures his or her foot, the case is considered work-related. If an employee's fingernail is punctured by a needle from a sewing machine used to perform garment work at home, becomes infected and requires medical treatment, the injury is considered work-related. If an employee is injured because he or she trips on the family dog while rushing to answer a work phone call, the case is not considered work-related. If an employee working at home is electrocuted because of faulty home wiring, the injury is not considered work-related.

TPSMS/GSP/IRI/011/FORM-01 **Annexure:4**

**Incident Reporting Form**

# Report Incident

**Reporting Person**

Employee No*:

**What happened and which immediate actions have been carried out?**

Title *:

Description of Events:

Immediate Actions:

**When did it happen?**

Date * 2017-10-04 00:00:00

☐ Time Unknown

**Where did it happen?**

Plant *:

Location

Location Description:

**Who was injured?**

Employee No:

**Who witnessed the incident?**

Employee No:

Send

**Annexure: 5**

TPSMS/GSP/IRI/011/FORM-02

**Red Strip Bulletin:**

| Red Strip Bulletin | | |
|---|---|---|
| Red Strip Bulletin Number | RD 01/17-18 | |
| Date & Time of the Incident | 00.00.201, 11.00 AM | |
| Incident Description | | |
| Location | | |
| Type of Red Strip Report | Initial/~~Interim/Final~~ | |
| | | Remarks |
| Probable Cause | Procedural Violation | Yes/~~No~~ |
| | Equipment Failure | Yes/~~No~~ |
| | Others | Yes/~~No~~ |
| | Description:<br>As per the eye witnesses: | |
| Current Status of Investigation | In Process/~~Completed~~ | |
| Immediate Actions Recommended | i.<br>ii.<br>iii. | |
| Prepared by (Name & Signature: | | |

**Annexure: 6**

## Incident Investigations Team Formations

| Severity | Incident Type | Typical Investigation team | Timeline for Team formation | Time for Investigation report Submission |
|---|---|---|---|---|
| 5 | An Incident which has resulted into Fatal/Total Permanent Disability (TPD)/*Major Fire*. | Senior /Executive Management<br>Senior /Executive Management (Tata Group)<br>Safety Professional<br>Technical Experts | Within two working days | 30 calendar days |
| 4 | An incident which has resulted into Partial Permanent Disability/ Lost work Day case (LWDC)/*Medium Fire*. | Middle Management<br>Safety Professional<br>Technical Experts | Within two working days | 15 calendar days |
| 3 | An incident which has resulted into Disability (MTC/ RWDC)/*Minor Fire.* | Middle Managers<br>Safety Professionals | Within two working days | 7 calendar days |
| 2-1 | An incident which has resulted into Noticeable and requiring First Aid. | Front line Manager<br>Supervisor of Person Involved | Within two working days | 7 calendar days |
| 5 (Potential) | An incident that has potential to cause Fatal/Total Permanent Disability (TPD) - HiPO Nearmiss | Senior /Executive Management<br>Front line Manager<br>Supervisor of Person Involved | Within two working days | 15 calendar days |

**Annexure: 7**

TPSMS/GSP/IRI/011/FORM-03

## Incident Investigations Reporting Format

Investigations Team Details:

| S.No | Name of the Team Member | Designations | Signature |
|---|---|---|---|
| 1 | | | |
| 2 | | | |
| 3 | | | |
| 4 | | | |
| 5 | | | |
| 6 | | | |

Incident Details:

| | |
|---|---|
| Incident ID | |
| Name of the Division | |
| Locations | |
| Date | |
| Time | |
| Name of Injured Person | |
| Employee Type | |
| Age | |
| Date of Joining | |
| Cause of Injury | |
| Type of Injury | |
| Nature of Injury | |
| Body Part Injured | |

Descriptions of Incident:

_____
_____
_____
_____

Sequence of Event:

_____
_____
_____
_____

Key Finding

_____
_____
_____

Root Cause:

_____
_____
_____
_____
_____

1. PHYSICAL FACTORS: (Element Ref :)

_____
_____
_____
_____

2. HUMAN FACTORS: (Element Ref :)

_____
_____
_____

**2.** SYSTEM FACTORS: (Element Ref :)

_____
_____
_____

RECOMMENDATIONS:

| S.No | Recommendation/Task | Action By/Responsibility person | Target Date | Status |
| --- | --- | --- | --- | --- |
| 1 | | | | |
| 2 | | | | |
| 3 | | | | |
| 4 | | | | |

Attachment: RCA, other evidences such as drawings, images, statements etc.

**Annexure:8**

**Tata Health Safety Management System: 13 Element**

| Element No. | Element Name |
|---|---|
| 1 | Leadership & Accountability |
| 2 | Hazard Identification, Risk Assessment & Management |
| 3 | Compliance Assurance |
| 4 | Design, Construction & Operational Control |
| 5 | People, Competency & Behaviours |
| 6 | Communication, Consultation & Empowerment |
| 7 | Incident Reporting, Investigation & Learning |
| 8 | Asset Management |
| 9 | Management of Change |
| 10 | Working with Contractors |
| 11 | Emergency preparedness, Response & Crisis Management |
| 12 | Document Control & Record Management |
| 13 | Measuring Performance, Audit & Review |

**Annexure:9**

TPSMS/GSP/IRI/011/FORM-04

**Learnings from Incident**

Name of the Division:……..

Date & Time of The Incident:……...

Type of Incident:……

Incident ID :(SAPEHSM)……

Injured Person:……

Employee Of:……..Age……...

Descriptions of Incident:

……

……

Pictorial Descriptions……

……

Root Cause

Human Factor:……..

Element Ref:……

Physical Factor:……..

Element Ref:……

System Factor:……

Element Ref:……

Key Learnings:

| Sr. No | Learning |
|---|---|
| 1 | |
| 2 | |

**Annexure-10**

TPSMS/GSP/IRI/011/FORM-05

## Quality Check of Investigation Report

SAP Incident ID:

Incident Title: Incident Date:

Overall Rating:

[4 : Excellent; 3.99 -3 : Good; 2.99-2 : Average; 1.99-1: Poor; 0.99 -0 : very poor]

Evaluation Team :

| | | | Rating of each Category: Select One and Tick | | | | | |
|---|---|---|---|---|---|---|---|---|
| | Category | Criteria/Description | Excellent 4 | Good 3 | Average 2 | Poor 1 | Absent 0 | Remarks |
| 1 | Thorough | Have all sections of the report template been completed? No omissions? No unanswered questions? | | | | | | |
| 2 | Accurate | Report correctly reflects reality. The presentation is coherent and logical. Were the event, impact and severity clearly described? | | | | | | |
| 3 | No Blame | Were the language and style of the writing used by the authors objective? Were inflammatory remarks absent? Were blame and accusation avoided? | | | | | | |
| 4 | Illustrations | Were illustrations, such as, photographs, drawings, schematics, diagrams, etc. used effectively? Did the illustrations enhance and clarify the explanation? | | | | | | |
| 5 | Potential Impact | Were the possibilities for additional injuries and/or damage assessed? Are preventative measures recommended to eliminate such dangers/threats? | | | | | | |
| 6 | Good aspects | What went well? Was the human response to the incident appropriate and effective? Did safety devices & equipment perform as intended? | | | | | | |
| 7 | Causes | Were physical, human and management system causes identified? Was a logical RCA method used to determine the causes (e.g. Fishbone, Why Tree, FMEA) Did Performance Influencing Factors contribute to the incident? | | | | | | |
| 8 | Corrections | Were the recommended corrections &/or remedies aligned to the causes? Is there, at least, one correction for each cause? Hazards eliminated? | | | | | | |
| 9 | Assignment | Is each correction assigned to a responsible individual? Due date for expected completion noted, also? | | | | | | |
| 10 | Recurrence | Did an identical or similar incident occur in the past 24 months? Was this noted in the report? Were the affected persons unaware of the past incident? Were past recommended corrections not implemented? Or not effective? | | | | | | |