

# SOP Template: Incident Reporting and Corrective Action Workflow

This SOP details the **incident reporting and corrective action workflow**, including the steps for identifying, documenting, and reporting incidents, the process for investigating root causes, implementing corrective measures, tracking action items, and evaluating the effectiveness of interventions. The goal is to ensure timely and systematic resolution of incidents to prevent recurrence and promote a safe and compliant working environment.

## 1. Purpose

To establish a systematic process for reporting, investigating, correcting, and preventing incidents within the organization.

## 2. Scope

This SOP applies to all employees, contractors, and temporary staff across all departments who may identify or be involved with an incident.

## 3. Definitions

- **Incident:** Any unplanned event that results in or could have resulted in injury, illness, damage to property, or disruption of operations.
- **Corrective Action:** Steps taken to eliminate the root cause of an incident and prevent recurrence.

## 4. Responsibilities

Role	Responsibility
All Employees	Report incidents promptly; cooperate with investigations.
Supervisors/Managers	Ensure incidents are documented; support root cause analysis; oversee corrective actions.
Safety/Compliance Team	Monitor workflow; conduct or facilitate investigations; track and evaluate effectiveness of corrective actions.

## 5. Workflow Steps

1. **Incident Identification**
  - Recognize and classify an event as an incident.
  - Ensure immediate safety measures, if required.
2. **Incident Reporting**
  - Report the incident immediately using the designated form or system.
  - Include key details: *who, what, where, when, how*.
3. **Incident Documentation**
  - Supervisors ensure incident reports are complete and evidence (photos, records) is collected.
4. **Initial Review and Categorization**
  - Safety/Compliance team reviews reports for urgency and assigns priority.
5. **Root Cause Investigation**
  - Assign an investigator/team.
  - Conduct interviews and gather facts.
  - Analyze data to determine root causes.
6. **Corrective and Preventive Actions**
  - Develop action plan to address root causes.
  - Assign responsible persons and deadlines.
7. **Implementation of Actions**
  - Carry out corrective measures as assigned.
  - Document completion and updates.
8. **Tracking and Monitoring**
  - Track action items until closure.
  - Maintain records for audit and review.

#### **9. Effectiveness Review**

- Evaluate corrective measures after implementation.
- Verify if incident recurrence risk is eliminated/reduced.

#### **10. Reporting and Continuous Improvement**

- Share lessons learned with relevant stakeholders.
- Update procedures and training as needed.

## **6. Record Keeping**

- Maintain incident reports, investigation records, and action logs for a minimum of *X* years.
- Ensure confidentiality and secure access.

## **7. Review and Revision**

This SOP will be reviewed annually and after any major incident or process change.

## **8. Appendices**

- Incident Report Form (sample)
- Root Cause Analysis Checklist
- Corrective Action Plan Template