SOP: Incident Reporting and Follow-Up Procedures

1. Purpose

To establish standardized procedures for reporting, documenting, investigating, and following up on incidents. The aim is to ensure timely communication, effective resolution, accurate record-keeping, and proactive prevention of future incidents.

2. Scope

This SOP applies to all employees, contractors, and visitors within *[Organization/Department Name]* and covers all incidents, including safety, security, environmental, and operational events.

3. Definitions

- **Incident:** Any unplanned event resulting in, or with the potential to cause, injury, illness, property damage, environmental harm, or disruption of normal operations.
- **Corrective Action:** Steps taken to eliminate the cause of an incident and prevent recurrence.
- **Incident Reporter:** Any individual who becomes aware of or involved in an incident.

4. Roles and Responsibilities

Role	Responsibilities
All Staff	Immediately report incidents and near-misses using the prescribed method.
Supervisors/Managers	- Ensure incidents are reported, documented, and investigated. - Initiate and track corrective actions.
Incident Investigation Team	- Conduct thorough investigation and root cause analysis. - Recommend corrective and preventive measures.
Safety/Compliance Officer	- Maintain incident records. - Monitor follow-up actions and closure. - Report findings to management and relevant authorities.

5. Procedures

1. **Immediate Response**
   - Ensure safety of personnel and prevent further harm.
   - Provide first aid or emergency response as required.
2. **Incident Reporting**
   - All incidents must be reported to the supervisor/manager as soon as possible, and within *[XX]* hours at the latest.
   - Use the *[Incident Report Form / Online System]* to record the details including:
     - Date, time, and location of incident
     - People involved
     - Description of events
     - Immediate actions taken
     - Witnesses
3. **Investigation**

- Supervisor/manager assembles the investigation team within *[XX]* hours of report.
- Conduct root cause analysis using tools such as the "5 Whys" or Fishbone Diagram.
- Document findings and contributing factors.

4. **Corrective Actions**
   - Identify appropriate actions to address root causes.
   - Assign responsibility and deadlines for each action item.
   - Communicate corrective actions to all relevant stakeholders.

5. **Follow-Up and Closure**
   - Monitor the implementation of corrective actions.
   - Verify effectiveness of actions and document closure in the incident log.
   - Escalate unresolved issues to management.

6. **Continuous Monitoring**
   - Conduct periodic reviews of incident trends.
   - Update training and procedures based on findings.
   - Share learnings and preventive measures across the organization.

6. Documentation and Record Keeping

- All incident reports and related investigation documents must be securely stored for a minimum of *[XX]* years in accordance with organizational and regulatory requirements.
- Access to records is restricted to authorized personnel only.

7. Communication

- Regular communication to all staff on incident trends and key lessons learned.
- Escalation protocols in place for serious incidents.
- External reporting to authorities as required by law.

8. Review and Revision

- This SOP shall be reviewed annually or when significant changes occur in processes or regulations.
- Revisions will be communicated to all staff and implemented promptly.

9. References

- *[Related policies, incident reporting forms, investigation guidelines, regulatory requirements, etc.]*

10. Appendices

- Appendix A: Sample Incident Report Form
- Appendix B: Investigation Checklist
- Appendix C: Corrective Action Log Template