

# SOP Template: Incident Reporting and Corrective Action Workflow

This SOP defines the **incident reporting and corrective action workflow** to ensure timely documentation, analysis, and resolution of incidents. It includes steps for identifying incidents, notifying relevant personnel, investigating causes, implementing corrective actions, and monitoring effectiveness. The goal is to improve workplace safety, prevent recurrence, and maintain compliance with regulatory requirements through a structured and transparent process.

## 1. Purpose

To establish a standardized procedure for reporting, documenting, investigating, and resolving incidents, with documented corrective actions and monitoring to prevent recurrence.

## 2. Scope

This SOP applies to all employees, contractors, and visitors across company facilities and operations. It covers all incidents relating to health, safety, environment, security, compliance, and quality.

## 3. Definitions

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

## 4. Responsibilities

Role	Responsibility
All Employees	Identify and promptly report all incidents or near misses.
Supervisors/Managers	Ensure incidents are reported, conduct initial evaluation, initiate investigations, implement corrective actions.
Safety Officer/Committee	Lead investigations, analyze root causes, monitor corrective actions, and maintain incident records.
HR/Compliance	Verify regulatory reporting, documentation, and closure of corrective actions.

## 5. Procedure

1. **Incident Identification**
  - Recognize all incidents and near misses, regardless of severity.
2. **Immediate Notification**
  - Notify supervisor/manager immediately.
  - Escalate to Safety Officer if required, for serious incidents.
3. **Incident Reporting**
  - Complete the incident report form within 24 hours.
  - Document key details: date, time, location, persons involved, description, and immediate actions taken.
4. **Investigation**
  - Assign investigation team (Safety Officer, relevant department representative, supervisor).
  - Conduct root cause analysis using tools such as 5-Whys or Fishbone diagram.
5. **Corrective Actions**
  - Identify and document corrective actions to address root causes.
  - Assign responsible persons and completion dates for each action.
6. **Follow-Up & Monitoring**
  - Verify completion and effectiveness of corrective actions.
  - Review and close the incident report once actions are confirmed.
7. **Documentation & Recordkeeping**
  - Maintain all incident records, investigation documents, and corrective action logs as per company policy and regulatory requirements.

## **8. Regulatory Reporting (if applicable)**

- Submit regulatory notifications and reports within statutory timeframes.

## **6. Forms & Attachments**

- Incident Report Form
- Corrective Action Log
- Root Cause Analysis Template

## **7. Review & Revision**

This SOP shall be reviewed annually and as needed following major incidents or regulatory changes.

## **8. References**

- [Applicable regulatory standards, e.g., OSHA, ISO 45001, local laws]
- Company's Health & Safety Policy