

SOP Template: Incident Reporting and Documentation Requirements

This SOP details the **incident reporting and documentation requirements**, emphasizing timely and accurate reporting of workplace incidents, proper documentation protocols, roles and responsibilities in the reporting process, confidentiality and data protection standards, investigation procedures, and follow-up actions to prevent recurrence. The goal is to ensure a systematic approach to managing incidents, enhancing workplace safety, regulatory compliance, and continuous improvement.

1. Purpose

To establish standardized procedures for reporting, documenting, and investigating workplace incidents to ensure safety, facilitate compliance, and promote continuous improvement.

2. Scope

This SOP applies to all employees, contractors, and visitors within the organization premises or engaged in company-related activities.

3. Definitions

- **Incident:** Any unplanned event that results in, or could result in, injury, illness, property damage, environmental harm, or business disruption.
- **Near Miss:** An unplanned event that did not result in injury, damage, or loss, but could have done so under different circumstances.
- **Reporter:** The individual reporting the incident.

4. Responsibilities

Role	Responsibilities
All Employees	Immediately report all incidents and near-misses; assist in investigations as needed.
Supervisors/Managers	Ensure incident reports are completed accurately and submitted promptly; initiate investigations.
HSE/HR Department	Maintain incident records; lead investigations; ensure corrective and preventive actions are implemented.
Data Protection Officer	Ensure compliance with confidentiality and data protection standards.

5. Procedure

1. **Incident Occurrence**
 - Ensure safety of all affected individuals.
 - Seek first aid or emergency assistance as needed.
2. **Immediate Reporting**
 - Report incident verbally and/or via the designated reporting system within **24 hours** of occurrence.
 - Complete the initial incident report form (see Appendix A).
3. **Documentation Requirements**
 - Record the following details: date/time, location, people involved, description, and immediate actions taken.
 - Attach relevant photos, witness statements, and other evidence if available.
4. **Confidentiality & Data Protection**
 - All incident reports are confidential documents. Access is limited to authorized personnel only.
 - Store all reports in secure, password-protected systems or locked files.
5. **Investigation Procedures**
 - The HSE/HR department, together with the immediate supervisor, will conduct an investigation within **3 days** of the report.
 - Identify root causes and contributing factors.
 - Document all findings and evidence collected.

6. Corrective & Preventive Actions

- Develop action plans to address root causes and prevent recurrence.
- Assign responsibilities and deadlines for implementation.
- Follow up on action items until closure.

7. Regulatory Compliance

- Report incidents to regulatory bodies as required by law and internal policies.

6. Documentation and Recordkeeping

- Retain all incident reports, investigation documents, and corrective action records for a minimum of **5 years** or as required by law.
- Records should be regularly reviewed for trends and improvement opportunities.

7. Training

- All employees must receive training on incident reporting procedures and confidentiality requirements during onboarding and at least annually thereafter.

8. Review and Continuous Improvement

- This SOP is to be reviewed **annually** or after any significant incident, process change, or regulatory update.
- Improvements are to be incorporated as necessary to enhance incident management processes.

Appendix A: Incident Report Form (Template)

Field	Description
Date/Time of Incident	[_____]
Location	[_____]
Individuals Involved	[_____]
Description of Incident	[_____]
Immediate Actions Taken	[_____]
Reported By	[_____]
Date Reported	[_____]
Supervisor/Manager Notified?	[] Yes [] No
Attachments (photos, witness statements, etc.)	[_____]