

# SOP Template: Incident Investigation and Root Cause Analysis

This SOP details the process of **incident investigation and root cause analysis**, focusing on systematically identifying the underlying causes of workplace incidents. It covers initial incident reporting, evidence collection, witness interviews, data analysis, and the formulation of corrective actions to prevent recurrence. The aim is to improve workplace safety by addressing hazards at their source and promoting a culture of continuous improvement and accountability.

## 1. Purpose

To provide a standardized process for the investigation of workplace incidents and facilitate root cause analysis to prevent recurrence and ensure a safe work environment.

## 2. Scope

This SOP applies to all incidents, accidents, near-misses, and unsafe conditions occurring within the organization, including employees, contractors, and visitors.

## 3. Definitions

- **Incident:** An unplanned event that results in, or could have resulted in, injury, illness, damage, or loss.
- **Root Cause:** The fundamental underlying cause(s) of an incident, identified through a systematic investigation process.
- **Corrective Action:** Steps taken to eliminate or mitigate identified root causes and prevent recurrence.

## 4. Responsibilities

Position/Role	Responsibilities
Employee	Immediately report incidents and cooperate in investigations.
Supervisor/Manager	Ensure incidents are reported, initiate investigations, and implement corrective actions.
Investigation Team	Lead the investigation process, collect evidence, perform root cause analysis, and recommend actions.
Safety Officer	Oversee investigation quality and maintain records.

## 5. Procedure

- Incident Reporting**
  - All incidents must be reported immediately to the direct supervisor or designated authority.
  - Complete the incident report form detailing what happened, when, where, and those involved.
- Initial Response**
  - Secure the scene and provide medical assistance as required.
  - Preserve evidence and prevent further incidents.
- Evidence Collection**
  - Gather photographs, physical evidence, and documentation relevant to the incident.
  - Obtain equipment maintenance records, training logs, or other pertinent documents.
- Witness Interviews**
  - Identify and interview witnesses as soon as possible.
  - Record accurate statements of observations and actions taken.
- Root Cause Analysis**
  - Utilize appropriate methods (e.g., 5 Whys, Fishbone Diagram) to systematically identify underlying causes.
  - Distinguish between immediate causes and root causes.

6. **Corrective Actions**

- Develop an action plan to address root causes.
- Assign responsibility and set deadlines for implementation.

7. **Follow-up and Review**

- Monitor the effectiveness of corrective actions and track through completion.
- Reassess to ensure no recurrence and update risk assessments or procedures as needed.

8. **Documentation and Reporting**

- Maintain complete investigation records and share findings with relevant stakeholders.
- Submit reports as required by regulatory agencies.

6. **Records**

- Incident report forms
- Investigation notes and evidence records
- Witness statements
- Corrective action plans and completion status

7. **References**

- Company Health & Safety Policy
- Applicable national health & safety regulations
- Incident Investigation Form (Annex A)

8. **Revision History**

Version	Date	Description	Approved By
1.0	2024-06-07	Initial SOP Release	Safety Manager