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Subject Area: **Investigation of Incidents, Accidents, and Injuries**

Contents: Investigation of Incidents, Accidents, and Injuries

Effective Date: **February 2000**

Point of Contact: [Safety Engineering](#)

Section	Overview of Content (see section for full process)
Introduction 1. Investigation Coordination	<ul style="list-style-type: none"> • Secure scene of incident. • Notify management and ES&H Coordinator. • Report injuries, illnesses, and possible exposures to OMC. • Determine incident recordability and types of reports and notifications. • Release scene to investigators. • Implement corrective actions.
2. Investigating and Reporting	<ul style="list-style-type: none"> • Record information as soon as possible. • Collect witness statements. • Preserve collected evidence. • Determine immediate cause of the event. • Provide recommendations to management.
3. Recovery and Return-to-Normal Activity	<ul style="list-style-type: none"> • Initiate salvage and other recovery activities. • Release location for normal activities after hazards are mitigated.
4. Close-Out/Lessons Learned	<ul style="list-style-type: none"> • Provide statement of lessons learned. • Forward statement to Lessons Learned Coordinator. • Determine whether or not a critique is necessary.
Definitions	
Exhibits BNL Type C Investigations	
Determining the Type of Reporting Form to Use	
Incident Recordability	
Forms BNL Employee Illness/Injury Report	

[Line Organization Accident/Incident Investigation Report](#)

[Typical Committee Charges](#)

[Witness Statement Form](#)

Training Requirements and Reporting Obligations

This subject area does not contain training requirements.

This subject area may or may not contain reporting obligations. See the subject area until obligations are listed here.

References

[Critiques](#) subject area

[Emergency Preparedness](#) subject area

[Occurrence Reporting and Processing System \(ORPS\)](#) subject area

[ES&H Standard 1.3.5, Planning and Control of Experiments](#)

[ES&H Standard 1.3.6, Work Planning and Control for Operations](#)

[ES&H Standard 1.9.0, Traffic Safety](#)

[Lessons Learned](#) subject area

[Liquid Effluents](#) subject area

OSH-019, Accident Investigation

OSH-021, DOE Accident/Injury/Illness Reporting Systems

[Records Management](#) subject area

[Spill Response](#) subject area

[Supervisors' Personnel Manual](#)

29 CFR 1904, Labor/Recording and Reporting Occupational Injuries and Illnesses

Standards of Performance

All staff and guests shall share information based on experience (e.g., lessons learned) to promote continuous improvement in business and work practices.

All staff and guests shall carry out appropriate emergency responses and off-normal event follow-up activities.

All staff and guests shall promptly report accidents, injuries, ES&H deficiencies, emergencies, and off-normal events in accordance with procedures

Management System

This subject area belongs to the management system.

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Introduction: Investigation of Incidents, Accidents, and Injuries

Effective Date: **February 2000**

Point of Contact: [Safety Engineering](#)

It is requirement at Brookhaven National Laboratory (BNL) that all incidents, accidents, injuries, and illnesses must be investigated, with worker participation, by BNL personnel with line authority. Investigations of incidents that involve occupational injury, occupational illness, property damage, motor vehicle accidents, radiation exposure, and/or environmental releases are conducted using a graded approach that takes into account the severity and consequences of the incident. Prompt and complete investigation of incidents and accidents are keys to identifying the causes and establishing effective corrective actions to prevent recurrence.

This subject area covers all incidents and accidents applicable to all BNL operations. Unless otherwise directed by DOE or a BNL Level One Director, a Type C Investigation will be conducted for incidents (on- or off-site) that involve employees on BNL business. See the exhibit on [BNL Type C Investigations](#). Similar investigations may be conducted for injuries, exposures, or damages involving guests, visitors, contractors, subcontractors, and vendors.

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1. Investigation Coordination

Effective Date: **February 2000**

Point of Contact: [Safety Engineering](#)

Applicability

This information applies to personnel with line authority. Investigations of incidents that involve occupational injury, occupational illness, property damage, motor vehicle accidents, radiation exposure, and/or environmental releases are conducted using a graded approach that takes into account the severity and consequences of the incident.

Required Procedure

Management reviews the event and coordinates the investigation when people working under their direction are involved in any of the following incidents: occupational injury, occupational illness, motor vehicle accident, radiation accident or incident, environmental release, or property damage.

Upon notification of the event, the line authority completes the following steps as they apply to the incident.

Step 1	Refer to the section Emergency Response - All Staff in the Emergency Preparedness subject area. Address any injuries, mitigate any safety issues, and secure the scene of the incident.
Step 2	Notify management and the Environmental Safety and Health Coordinator .
Step 3	Immediately report all injuries, illnesses, and possible exposures to the Occupational Medicine Clinic (OMC). The supervisor or designee must accompany the injured person to the clinic. The OMC will issue a notice to the cognizant supervisor, Environmental Safety and Health Coordinator , Facility Support Representative , and others indicating non-confidential information regarding the injury or illness on the BNL Employee Illness/Injury Report .
Step 4	Assist management and Safety Engineering in determining incident recordability. See the exhibit on Incident Recordability for the criteria for making this determination. Assist management in determining if a critique is necessary. See the Critiques subject area.
Step 5	Determine the types of reports required (Motor Vehicle, Occupational Injury [OI]/Occupational Illness [OI], Property Damage, Radiation, Environmental). See the exhibit Determining the Type of Reporting Form to Use for the criteria for making such a determination.
Step 6	Determine the appropriate notifications according to the exhibit on BNL Type C Investigations . In addition, if DOE initiates a formal investigation (known as a Type A or B Investigation), BNL managers and staff are to provide their full cooperation and support to the DOE investigation team.

Step 7	If investigators are appointed, define their charge. (If applicable, include worker participation and subject matter experts on the investigation team). Refer to the exhibit on Typical Committee Charges for examples of charges. Note: Level Two Managers may designate investigators other than the line authority to handle recordable investigations.
Step 8	Release the scene to the investigator(s).
Step 9	Assist as required with the investigation, reporting requirements, return-to-normal and lessons learned activities.
Step 10	Implement all appropriate corrective actions and report this information back to management and the ES&H Coordinator.

Guidelines

Managers have overall responsibility for coordinating the investigation and reporting requirements. This procedure should be performed by personnel with sufficient authority and knowledge of reporting processes and requirements. Managers may have a standing committee or Safety Coordinator perform this procedure. Workers should be involved as much as possible to ensure their input into the corrective actions.

The manager may request the Assistant Director for Environment, Safety, Health and Quality to appoint an independent committee or board to investigate and report in detail appropriate recommendations to the manager.

References

[Critiques](#) subject area

[Occurrence Reporting and Processing System \(ORPS\)](#) subject area

[ES&H Standard 1.9.0, Traffic Safety](#)

29 CFR 1904, Labor/Recording and Reporting Occupational Injuries and Illnesses.

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2. Investigating and Reporting

Effective Date: **February 2000**

Point of Contact: [Safety Engineering](#)

Applicability

This information applies to all employees assigned by management to investigate and report on incidents and those employees requested to participate in investigations of incidents of occupational injuries and illnesses, vehicle accidents, radiation incidents, and/or environmental releases. Routine reports, such as Police/Fire, Traffic, and Fire Rescue Basic Incident, do not necessarily fulfill requirements for reporting.

Required Procedure

The investigator or member of an investigating committee follows the investigation's charge as established and completes these steps, as appropriate.

Step 1	<p>Examine the scene and record information as soon as possible to avoid loss of information. This may include taking photographs, obtaining operating logs from the facility, recording dimensions, or recording position/status of equipment. Log the collected information. Use the Line Organization Accident/Incident Investigation Report.</p> <p>Note: If a criminal action is suspected, Safeguards and Security must be contacted immediately.</p> <p>Note: Seek assistance from subject matter experts when topics require specialized knowledge.</p>
Step 2	<p>Collect witness statements, as soon as practicable. Documentation includes the person's name, affiliation, and date of statement (See the Witness Statement Form).</p>
Step 3	<p>For non-criminal actions, recommend to the facility management release of the scene to allow recovery efforts only when all information needed has been gathered. Additional clearance may be needed from other areas of management to release the scene, depending on the severity of the event.</p>
Step 4	<p>If required by the nature of the incident, preserve collected evidence by maintaining a chain of custody and ensuring that any samples are not tainted or contaminated before analysis.</p>
Step 5	<p>Determine immediate cause of the event and bring urgent matters to the attention of management.</p> <p>Note: Bring root and immediate causes to the attention of facility management as soon as they are identified.</p>

Step 6	Following the guidelines in the appointing charge, document the conditions and events leading up to and beyond (when charged) the event.
Step 7	Develop recommendations that are brief and to the point, and provide management with whatever range of options are available.

References

OSH-019, Accident Investigation

OSH-021, DOE Accident/Injury/Illness Reporting Systems

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3. Recovery and Return-to-Normal Activity

Effective Date: **February 2000**

Point of Contact: [Safety Engineering](#)

Applicability

This information applies to personnel who are responsible for initiating recovery and protective actions, as well as resuming normal activities. Decisions about return-to-work for individuals who have suffered occupational injury or illnesses are determined by the Occupational Medicine Clinic and the Human Resources Division, and are not covered in this section. See the [Supervisors' Personnel Manual](#).

Required Procedure

A graded approach is followed, commensurate with the severity and consequences of the incident.

Step 1	Ensure that formal work planning, as required by ES&H Standard 1.3.6, Work Planning and Control for Operations , is provided for the proposed activities. These plans must incorporate "immediate corrective actions" and actions to protect the safety of personnel or the environment, as required.
Step 2	Initiate salvage and other recovery activities when the investigators release the scene. Ensure that any restrictions that have been placed on this activity are followed.
Step 3	Release the location for normal activities after incident-related hazards have been mitigated.
Step 4	Ensure that equipment and procedures that have been involved in the incident are not used until their safety and utility have been reviewed, including review per ES&H Standard 1.3.5, Planning and Control of Experiments , as applicable.

References

[ES&H Standard 1.3.5, Planning and Control of Experiments](#)

[ES&H Standard 1.3.6, Work Planning and Control for Operations](#)

[Supervisors' Personnel Manual](#)

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4. Close-Out/Lessons Learned

Effective Date: **February 2000**

Point of Contact: [Safety Engineering](#)

Applicability

This information applies to individuals assigned by management to review incidents for the purpose of determining whether or not a critique is necessary and to disseminate lessons learned information.

Note: By uncovering the factors leading to the incident and distributing this information as a lessons learned tool, it is hoped that reoccurrence can be prevented.

Required Procedure

BNL has a published Lessons Learned Program for the distribution of information to identify adverse work practices or experiences (see the subject area on [Lessons Learned](#)). Each department/division has a [Lessons Learned Coordinator](#) to assist in forwarding the information to the [Laboratory Lessons Learned Coordinator](#) for site-wide distribution.

A graded approach is followed, commensurate with the severity and consequences of the incident.

Step 1	Adapt a narrative from the investigation or the critique report of the incident.
Step 2	Provide a statement of the lessons learned.
Step 3	Forward the information to the Lessons Learned Coordinator for distribution, as appropriate.
Step 4	Laboratory management compiles a record of the investigation period, which typically includes the report, corrective actions, and a plan to address corrective actions. The package must be filed according to the Laboratory's Records Management Program. See the Records Management subject area for retention schedules.
Step 5	Refer to the Critiques subject area for details on scheduling and conducting a critique. Determine whether or not a critique is necessary. A critique of the incident may be conducted for the purpose of fact-finding and identifying lessons learned.

References

[Critiques](#) subject area

[Lessons Learned](#) subject area

[Records Management](#) subject area

[Records Management](#) subject area

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BNL Type C Investigations

Incident Type	Notification	Investigator	Management Review
Recordable injury with or without Lost or Restricted Work Days	Line Authority, OMC	Line Authority or Manager Designee,* ES&H Coordinator,	SHS-SE Group Leader, Cognizant Department/Division Manager
Recordable Illness	Line Authority, OMC ESHS-IH	Line Authority or Manager Designee,* ES&H Coordinator,	SHS-SE Group Leader, Cognizant Department/Division Manager
DOE Reportable Service Contractor Injury or Illness	Line Authority, ASD ES&H Coordinator, OMC	Line Authority or Manager Designee,* ES&H Coordinator	SHS-SE Group Leader, Cognizant Department/Division Manager, Staff Services Manager, Laboratory Counsel
Reportable Lump Sum Contractor Injury or Illness	Line Authority, OMC, Plant Engineering Safety Manager	Line Authority or Manager Designee,* EP ES&H Coordinator	SHS-SE Group Leader, EP Safety Manager, EP Division Manager, SHS Division Manager, Lab Counsel
Work-related property loss or damage > \$5000	Line Authority, Facility Use Manager, SHS-SE (quarterly)	Line Authority or Manager Designee*	SHS-SE Group Leader, Cognizant Department/Division Manager
Government Vehicle Damage > \$1000	Line Authority, SHS-SE, Staff Services, Safeguards and Security	Line Authority or Manager Designee*	Cognizant Department/Division Manager
Property Damage	Line Authority, Facility Use Manager, SHS-SE, Safeguards and Security	Line Authority or Manager Designee*	SHS-SE Group Leader, Cognizant Department/Division Manager, Safeguards and Security
Environmental releases equal to or > RQs in 40 CFR	Line Authority, SHS-SE, SHS Environmental Compliance Representative	Line Authority or Manager Designee,* ES&H Coordinator	SHS Environmental Compliance Section Head, Cognizant Department/Division Manager
Radiation Accident/Incident	Line Authority, Facility Use Manager, OMC, SHS-IH, RCD	Line Authority or Manager Designee, ES&H Coordinator,	Cognizant Department/Division Manager, ESH Division Manager
Non-recordable injuries (first aid cases)	Line Authority, OMC	Line Authority	ES&H Coordinator
Precautionary OMC Visit	Line Authority, OMC	Line Authority	ES&H Coordinator
Injuries to Visitors and Guests	Line Authority, OMC	Line Authority	ES&H Coordinator
Injuries to Students and Collaborators	Line Authority, OMC	Line Authority	ES&H Coordinator

*** In addition to Line Authority or Management Designee, depending on the severity or possible consequences of the incident, other subject matter experts may be involved in the investigation.**

ASD: Administrative Services Division
 OMC: Occupational Medicine Clinic
 RCD: Radiological Control Division
 SHS: Safety & Health Services Division
 SE: Safety Engineering Group
 IH: Industrial Hygiene

Note: Type A and B investigations are initiated at the direction of DOE or a BNL Level One Director.



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Determining the Type of Reporting Form to Use

Effective Date: **February 2000**

Point of Contact: [Safety Engineering](#)

Use the [Line Organization Accident/Incident Report](#) to document your investigations of motor vehicle, occupational injury/illness (OI), property damage, radiological or environmental events when appropriate. Using this report completes the requirements for the DOE-required Computerized Accident/Incident Investigation Reporting System (CAIRS) for OI, motor vehicle, and property damage exceeding the thresholds of \$1,000 and \$5,000, respectively. Radiological and environmental event requirements may also be met.

The seriousness of the incident determines whether or not you need to use other forms and refer to other subject areas to fulfill other requirements.

You may wish to consult the following:

- [Occurrence Reporting and Processing System \(ORPS\)](#) subject area
- [Critiques](#) subject area
- [Emergency Preparedness](#) subject area
- [Spill Response](#) subject area
- [Liquid Effluents](#) subject area
- Emergency Services Division Fire/Rescue Incident Report (for BNL ambulance runs)
- Safeguards & Security Police Incident Report (firearms, violence, or criminal activity)
- MV-104 (or equivalent) filled out by the cognizant police agency for a motor vehicle incident
- Radiological Controls Division Radiological Awareness Report (witnessing a violation)

Based on the type of incident, there may be a need to elevate the level of investigation, which will require a more substantial report by a committee or board. Such an elevation may require the involvement of the cognizant Level One Manager and the Assistant Director for Environment, Safety, Health and Quality.

Please note: Where the requirements of this subject area overlap those of another requirement, both are required unless overruled by someone with authority to do so.

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Incident Recordability

Effective Date: **February 2000**

Point of Contact: [Safety Engineering](#)

BNL Type C Investigations, conducted by the line authority, or a designee, are required for the following:

- All recordable injuries with or without lost or restricted work days
- All recordable illnesses
- Contractors and subcontractors with injuries/illnesses (required by DOE)
- DOE property damage/loss valued greater than \$5000 per incident
- DOE vehicle damage/loss valued greater than \$1000 per incident.

In addition to using the [Line Organization Accident/Incident Report](#) for occupational injuries and illnesses, it should also be used to meet the following reporting requirements: Serious injuries to contractor and subcontractor personnel who are not BNL employees, which should be documented to the extent that information is available; damage to DOE property resulting in losses of \$5,000 or more (i.e., building fire); and damage to DOE motor vehicles resulting in losses of \$1,000 or more (i.e., DOE pickup truck damaged in intersection accident).

Occupational injury/illness cases are recordable if they result in medical treatment beyond first aid, lost or restricted work days, loss of consciousness, or a permanent change of job.

First aid is limited to one-time treatment and subsequent observation and involves treatment of minor injuries only. Injuries are not minor if they can only be treated by a physician, or other licensed medical practitioner; impair normal bodily function; cause the individual to rest for the remainder of the shift; result in damage to the physical structure (i.e., fractures), or involve complications requiring follow-up medical treatment.

Recordability is determined by Safety Engineering in accordance with criteria established by the Occupational Safety and Health Administration. If a case is recordable, a BNL Type C investigation is required.

The exhibit [BNL Type C Investigations](#) outlines the types of incidents requiring BNL Type C Investigations. In addition, it indicates required notifications, additional investigators, and management review. A more formal investigation may be conducted at the direction of DOE (Types A and B).

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BROOKHAVEN NATIONAL LABORATORY EMPLOYEE ILLNESS/INJURY REPORT

INJURED	Name _____	Occup. _____
	Supervisor _____	Organiz. _____
	<input type="checkbox"/> BNL Staff (Life No.) _____	<input type="checkbox"/> Guest <input type="checkbox"/> Visitor <input type="checkbox"/> Other
INJURY	Date first reported to Clinic _____	Date of injury _____
	Description - as given by injured: _____	
	Did accident occur during (regular) (shift) _____ (after) hours?	
	Place where accident occurred _____	Witness to accident: _____
	Has injured visited personal physician? (yes) (no) _____	
	Interviewer: _____	Date: _____
RESULT	Diagnosis: _____	
	Category of injury: <input type="checkbox"/> Work-Incurred	<input type="checkbox"/> Athletic or other
	Treatment rendered by Clinic: <input type="checkbox"/> First Aid	<input type="checkbox"/> Medical Treatment
	<input type="checkbox"/> Sent home (Time) _____	<input type="checkbox"/> Expected duration of absence: _____
	<input type="checkbox"/> Sent to Doctor (Name of doctor, if known) _____	
	<input type="checkbox"/> (Sent) (Taken) to Doctor (Name of Doctor, if known) _____	
	<input type="checkbox"/> Returned to work (Reg) (Mod) _____	Please specify if (Mod): _____
	<input type="checkbox"/> If there is a restriction, will this apply to work? _____	
	<input type="checkbox"/> Requested to return to Clinic on: _____	

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NOTE TO DEPARTMENTS --- Your Employees Should Be Aware Of The Following

**BROOKHAVEN NATIONAL LABORATORY
EMPLOYEE WORK-INCURRED INJURY OR DISEASE**

Most injuries (or disease) arising out of and in the course of employment at BNL are relatively minor and do not require extensive treatment or loss of time from work. You should, however be aware of the following:

1. **Posting Notices.** The Posting Notices on Clinic, Cafeteria, Safety, Personnel, Director's Office and Security bulletin boards outline your benefits under the New York State Workmen's Compensation Law.

2. **Medical Treatment.** If you receive any treatment other than at the BNL Clinic, you must immediately report (telephone is adequate) that fact to the BNL Clinic.

3. **Sent Home.** If you are sent home by the BNL Clinic, do not assume it to be authorization to stay out beyond the remainder of the day unless specifically so advised.

4. **Reporting Absence.** If you are absent because of a work-incurred injury (or disease) you must immediately report (telephone is adequate) that fact to your supervisor (you are not eligible for reduced charge to your accrued sick leave until you do so) stating the date that you will either return or report again.

5. **Return to Work.** Upon returning after any absence necessitated by a work-incurred injury (or disease) you must obtain a "Return to Work" slip from the BNL Clinic before actually performing any duties.

In order for an absence of three days or more (total for one injury) to be charged to sick leave, you must present a physician's certificate upon return to work. Such certificates will not be issued by the BNL Clinic unless the absence was ordered by them.

6. **Additional Information** is contained in the Supervisor's Personnel Manual and the Safety Manual. Details may be obtained from your **supervisor or from the Safety & Environmental Protection Division.**

COMMENTS:-

BROOKHAVEN NATIONAL LABORATORY
Line Organization Accident/Incident Investigation Report

Case Number: _____ Date of Occurrence: ___/___/___ Time: _____AM/PM

Location: _____ [] On site [] Off site

Type of Accident/Incident: [] Injury/Illness [] Property [] Vehicle [] Radiological [] Environmental

Type of Investigation: [] Type C [] First Aid [] Near Miss [] MVA [] Contamination [] Fire [] Other

Individual(s) Involved/Injured/Witnesses/Employee or non-employee:

Name	Occupation	Hospital, if transported	Life #/ID	Telephone	Organization	Supervisor

Have any other incident report (s) been made? [] Yes [] No If yes, please attach copy.

OSHA Information (Injury/Illness):

[] Injury
 [] Skin Disease or Disorder
 [] Dust Diseases of the Lungs
 [] Poisoning
 [] Disorders from Physical Agents
 [] Disorders from Repeated Trauma
 [] All Other

Is this a Lost Work Case? [] Yes [] No
 Death [] Yes [] No
 Are there Multiple Victims? [] Yes [] No
 Was employee hospitalized overnight? [] Yes [] No
 Has employee returned to full duty? [] Yes [] No
 If applicable, has employee brought BTW slip from OMC? [] Yes [] No
 Experience on job [] under 3 mos
 [] 3-12 mos [] over 12 mos

Property/Vehicle and/or Radiological or Environmental Losses:

Property Loss Type:

Fire/Smoke: [] Building [] Equipment [] Brush [] Vehicle [] Other
 Electrical: [] Equipment Contact [] Wiring [] Overload [] Insulation [] Polarity [] Grounding [] Other
 Explosion: [] Vapor [] Chemical [] Fluids [] Dust
 Mechanical: [] Linear energy [] Rotational energy [] Pressure [] Falls [] Mechanical breakdown [] Overload
 Acts of Nature: [] Wind [] Rain/Hail [] Freezing rain [] Snow [] Lightning [] Earthquake [] Other
 Leaks, Spills, Releases, or Contamination: [] Chemical [] Nuclear/Radiological [] Environmental impairment/Impact [] Poisoning [] Other
 Miscellaneous: [] Thermal Damage [] Corrosion [] Water Damage [] Sabotage [] Other

Vehicle Type: [] Government-owned [] Contractor-owned [] Personal/Private-owned [] Other

Light Highway: [] Automobile [] Van
 [] Pickup Truck [] Motorcycle, moped [] Highway vehicle n.e.c [] Cushman-type
 Heavy Highway: [] Bus [] Delivery Truck [] Dump truck [] Semi [] Crane [] Truck, n.e.c.
 Construction Vehicles: _____
 Other Vehicles: _____

Was vehicle equipped with seat belts? [] Yes [] No
 Did vehicle accident involve a recordable injury? [] Yes [] No
 Did equipment design or defect contribute to accident cause or severity? [] Yes [] No

Total Damage: \$ _____ (if known)

Management Notification by _____ Date/Time: _____
Manager notified: _____ Title: _____

What was the **activity** in progress at the time of the accident/incident? (using equipment, handling chemicals, etc.)

Describe the accident sequentially, beginning with initiating events. Tell what happened, how it happened and end with the nature and extent of injury or damage.

Name any objects or substances that contributed to this event and how they were involved.

Describe the nature of the incident (i.e., right shoulder strain/ chemical spill/ radiological contamination/vehicle accident).

Name of medical provider, if applicable _____
Hospital, only if admitted overnight _____

Accident Causes:

Conditions _____
Actions _____
Other _____

Corrective Actions: (If risk is acceptable, corrective actions may not be necessary. If so, indicate "Not Applicable").

Immediate Actions/Mitigated

Actions Recommended

Follow Up: Individuals Interviewed:

Name: _____ ID: _____ Date: _____ Org: _____
Name: _____ ID: _____ Date: _____ Org: _____
Name: _____ ID: _____ Date: _____ Org: _____

Is a Critique and/or further investigation required? Yes No If yes, by whom? _____
Has a separate investigation committee been assigned/charged? Yes No
Has this report been forwarded to the organization's Lessons Learned Coordinator? Yes No If yes, when? _____
Has the organization's ESH Coordinator been notified? Yes No

Report Prepared by _____ Date: _____
Employee Signature _____ Date: _____
Line Authority Signature _____ Date: _____
Manager Approval _____ Date: _____

Manager's
Notes: _____

INSTRUCTIONS FOR COMPLETING THIS INITIAL REPORT

Please Note : These are initial reports and should be used on a graded approach according to severity of the accident/incident and the needs of the cognizant organization.

1. The Case Number is required for your own use in tracking such reports. The database into which the report will be entered will automatically assign its own case number.
2. Date of Occurrence, and Time refer to the actual date and time the incident occurred.
3. Be specific on Location by indicating the room and building if known. Please indicate if it occurred on or off site.
4. The Type of Accident/Incident requires a check mark. More than one type may be indicated.
5. The Type of Investigation should be dictated by the incident. Please check one.
6. Depending on the incident, more than one individual may be involved, with or without witnesses. If this is an investigation of an occupational injury/illness, continue up to the dotted line and skip over to the next page and continue. For all other incidents, please complete all pertinent information on both pages.
7. If there have been other incident reports filed, such as the Safeguards and Security Automobile Accident Date Report (BNL F 2619), the Fire/Rescue Ambulance Report, or the OMC's Employee's Injury/Illness Report (BNL F 2754A), please check the box and attach copies as available.
8. OSHA Information should be completed for occupational injuries and illnesses only to the extent you are aware.
9. Property and Vehicle Type losses should also be completed to the extent of your knowledge. Some BNL organizations will be more involved in these incidents than others. Remember that property damage in excess of \$5,000 and vehicle damage in excess of \$1,000 is reportable to DOE. Only include damages if you know.
10. (PAGE TWO) Those individuals involved in any of the incidents covered here are required to notify their management as soon as possible. On this form you should complete that related information in the spaces provided.
11. Indicate what the actual activity was at the time the accident/incident occurred (e.g., The employee was mowing the lawn outside Building 463.) This should be completed whether or not it had anything directly to do with the incident.
12. Describe what happened. Include those events leading up to the incident and conclude with the diagnosis, if known. (e.g., While mowing, the blade struck an unseen pipe, causing the employee to fall onto the left shoulder. The employee went to the clinic and x-rays revealed that the shoulder was fractured at the AC joint. A small quantity of some chemical from the ruptured pipe spilled onto the ground. Environmental personnel were notified to follow-up. Grounds personnel transported the lawnmower to the site repair building to determine damage.)
13. Identify any objects that may have contributed to the incident (e.g., unseen pipe...not previously, nor obviously identified...)
14. Describe the nature of the incident (e.g., left shoulder fracture, chemical spill less than reportable quantity, lawnmower with broken shaft and blade).
15. Provide the names of the non-BNL medical provider and hospital if known and applicable.
16. Evaluate the human, environmental, mechanical causes etc., for each incident. Indicate if any conditions caused the incident, directly or indirectly (e.g., unmarked and unseen pipe in the grass). Identify any unsafe acts, or other acts, which may have contributed (e.g., employee had ear phones on and was singing to the music and not paying close attention to the path of travel of the mower).
17. Factors that may have contributed (e.g., rain was forecast and employee was in a hurry...in fact he had forgotten to wear his glasses and could not have seen the pipe).
18. What is being done to avoid recurrence of this accident/incident? Identify corrective measures taken to mitigate the incident and what further actions are recommended. Indicate also by whom.
19. The next spaces are to identify those individuals interviewed. If more space is needed, please attach another sheet.
20. Should a special critique meeting be needed, or further investigation be required, check here.
21. Make sure that this paperwork is forwarded to your organizational ESH Coordinator and Lessons Learned Coordinator.
22. Required signatures follow; if this involves an employee, the employee's signature is required.

Upon completion of this report a copy must be sent to Safety Engineering, Building 129B within six (6) business days.

Sample Appointing Memo for Committee

To: Committee Members

From: (name)

Subject: Investigation of the (Fire/Vehicle/Windstorm/Occurrence) at

_____ on _____

You are hereby appointed to investigate the subject occurrence. The committee chairperson will be (name)_____.

You are hereby authorized to take the reasonable actions necessary to conduct and complete this investigation in a timely manner. A draft report is due by (date)_____. The final report is due (date)_____. Periodic briefings are expected to report on corrective actions that need immediate attention, development of findings, and resources required to provide a quality report in the time specified.

In addition to the personnel, equipment, and procedures directly related to the incident/accident scene, the scope of the report shall include evaluations of all management systems leading up to the incident/accident, and management systems mitigating the consequences of the incident/accident. The investigation is to be conducted following the BNL Subject Area on Investigation of Incidents, Accidents, and Injuries, and the DOE guidelines for accident investigation.

Sample Appointing Memo for Generic Minor Investigations

To: Investigator

From: (name)

Subject: Investigation of the (Fire/Vehicle/Windstorm/Occurrence) at

_____ on _____

You are hereby appointed to investigate the routine minor incidents/accidents within our Department/Division.

You are hereby authorized to take those reasonable actions necessary to perform and complete this investigation in a timely manner. Incident/Accident investigations shall be started within 48 hours (after collection of the initial facts) of notification being received by you. A report will be submitted to my office within 30 days.

In addition to the personnel, equipment, and procedures directly related to the accident scene, the scope of the report shall include evaluations of all management systems leading up to the accident and management system mitigating the consequences of the accident. The investigation is to be conducted following the BNL Subject Area on Investigation of Incidents, Accidents, and Injuries, and the DOE guidelines for accident investigation.

WITNESS STATEMENT FORM

Name:

Job Title:

Telephone No.:

Supervisor:

Work Location:

Location of Accident:

Accident Time and Date:

Please fully describe the work and conditions in progress leading up to the accident (use additional paper as needed):

Please fully describe the accident sequence from start to finish (use additional paper as needed).

Note anything unusual you observed prior to or during the accident (sights, sounds, odors, etc.).

What was your role in the accident sequence?

What conditions influenced the accident (weather, time of day, equipment malfunctions, etc.)?

How did people influence the accident (actions, emergency response, etc.)?

What do you think caused the accident?

How could the accident have been prevented?

Please list other possible witnesses:

Additional comments/observations:

Print Name _____

Signature _____ Date _____



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Subject Area: **Investigation of Incidents, Accidents, and Injuries**

Definitions: Investigation of Incidents, Accidents, and Injuries

Effective Date: **February 2000**

Point of Contact: [Safety Engineering](#)

Term	Definition
accident/incident	An unexpected event that produces personal injury, illness, or death; damage to, or loss of, property or vehicles; or radiological incidents; or environmental occurrences involving reportable quantities (RQs) of specific substances.
Computerized Accident Incident Investigation Reporting System (CAIRS) report	DOE requires its contractors to provide quarterly reports on recordable injuries and illnesses, and vehicle and property damage. However, due to volume, DOE requests that reports on recordable injuries and illnesses be submitted monthly. These reports are generated from completed investigation reports submitted to the electronic database in Safety Engineering. Copies of these reports are supplied to the Line Organizations as requested.
contributing causes	Those systems or events leading up to the incident, which were neither the direct, nor the root causes.
corrective actions	Those initiatives taken to ameliorate the situation and prevent recurrence of the incident.
direct cause	The initiating event of an incident. For example, "Failed electrical device started fire," or "Skid on wet road resulted in damage to vehicle."
environmental event	A real-time incident (e.g., pipe break, valve failure, loss of power) that results in the spilling, leaking, pumping, pouring, emitting, emptying, discharging, injecting, escaping, leaching, dumping, or disposing of oil, hazardous substances, or radioactive materials into the environment.
first aid incidents	First aid is limited to one-time treatment and subsequent observation and involves treatment of minor injuries only. Injuries are not minor if they can only be treated by a physician, or other licensed medical practitioner; impair normal bodily function; cause the individual to rest for the remainder of the shift; result in damage to the physical structure (i.e., fractures), or involve complications requiring follow-up medical treatment.
lessons learned	Lesson learned is text that documents changes in activities or procedures made because of an event considered significant enough to become part of the corporate memory. This event may have either a positive or negative connotation.
near misses	Situations in which inappropriate action occurs, or a necessary action is omitted, but is detected and corrected before an adverse effect results.

occupational injuries/illnesses	Injuries or illnesses which occur while the injured person is performing work in accordance with their jobs.
Occurrence Reporting and Processing System (ORPS)	A separate DOE investigation and reporting requirement from CAIRS that overlaps, but reporting on one does not eliminate the requirement for reporting on the other.
property damage	Destruction or damage to U.S. government property. An incident is recordable if damage/loss is greater than \$1000 to a government vehicle or \$5000 to other government property.
radiological event	An unplanned radiological exposure to an individual, or an unplanned release of radioactive material to the environment, both of which exceed the limits set forth in the BNL Radiological Control Manual .
root cause	The cause that, if corrected, would prevent or minimize recurrence of this or related incidents/accidents. For example, "Inadequate system design which allows a failed electrical device to lead to a major, uncontrolled fire," or "Poor vehicle maintenance (bald tires) leading to skidding accidents."
trained investigator	One who has been trained in the principles of accident investigation.
Type A Investigation	A DOE Headquarters-mandated investigation comprising DOE personnel only. BNL employees may serve in an advisory role only.
Type B Investigation	A DOE Field Office-mandated investigation comprising DOE personnel only. BNL employees may serve in an advisory role only.
Type C Investigation	A BNL required investigation performed by trained investigators or committees at the discretion of the cognizant manager. Higher level internal investigations may be assigned by the Assistant Director for Environment, Safety, Health and Quality at the request of department/division management and led by the Office of Independent Oversight.
vehicle damage	Destruction or damage to U.S. government vehicles.

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Subject Area: *Investigation of Incidents, Accidents, and Injuries*

Revision History: Investigation of Incidents, Accidents, and Injuries

Point of Contact: [Safety Engineering](#)

Revision History of this Subject Area

Date	Description	Management System
February 2000	This information was developed by a team using the process for Standards-Based Management development. This is a new subject area.	Worker Safety and Health

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