

Standard Operating Procedure for Incident and Accident Reporting and Investigation

1. Purpose

- 1.1. To define the procedure for reporting and investigating of safety and health-related incident in NERI Lab.

2. Scope

- 2.1. This applies to all NUS staff, students, visitors and contractors who are involved in any safety & health related incident occurring from the activities and/or premises under the management or control of NERI.

3. Responsibility

3.1 NERI Senior Management

- a. Has the ultimate responsibility to ensure that NERI complies with all statutory safety and health requirements.
- b. Based on the outcomes of investigations, may consider taking executive actions necessary to protect the safety and health of individuals and property which may include cessation of activities, closure of workplaces in NERI and disciplinary measures against staff or students.

3.2 Director

- a. Ensure that all incidents are investigated in accordance with NUS Accident / Incident Reporting and Investigation Standards.
- b. Ensure that the recommendations made on the investigation report are appropriate and effective.
- c. Ensure that resources required to implement corrective and preventive actions are available.

3.3 Principal Investigators / Supervisors

- a. Conduct / participate in the investigation of accident and incident occurring in their workplace/work area/ or work site in consultation with the OSHE Safety & Health Officer, where necessary.
- b. Ensure corrective and preventive actions are implemented, monitored and reviewed for effectiveness.

3.4 Staff and Students

- a. Report all incidents, which occur both within and outside NUS, to the immediate supervisors as soon as reasonably practicable and to OSHE within 24 hours.
- b. Report on behalf of visitors / contractors that they are hosting who are involved in incident arising from work or visit in NERI.

3.5 Visitors and Contractors

- a. Report all incidents they are involved in to the NUS staff or student supervising / hosting

Standard Operating Procedure for Incident and Accident Reporting and Investigation

them.

3.6 NERI Safety & Health Committee (SHC)

- a. May investigate incident in NERI as instructed by the Director.
- b. Ensure the closure of all corrective and preventive actions identified in the incident investigation.
- c. Communicate the lesson(s) learnt from the incident to the other staff/students in NERI.

4. Procedures

4.1 When an incident occurs, NERI staff and students should

- a. Where it is safe to do so, take appropriate immediate actions to minimize further injury/damage.
- b. Ensure injured person(s) has received first aid treatment.
- c. Assist the injured person(s) receive seek further medical attention at University Health Centre (UHC) or nearest hospital if necessary
- d. Ensure that the incident site is not disturbed until investigation is completed.

4.2 Reporting of incident

- a. **All safety and health-related incidents** are required to be reported to OSHE including those reportable to regulators (refer to this SOP - Appendix A for Incident Reporting Flowchart).
- b. For reportable incidents, OSHE will submit the report to regulators on behalf of the University (refer to NUS Accident / Incident Reporting and Investigating Standards – Appendix A: List of Incidents Reportable to Regulators).
- c. Except for fatality cases, all incidents are to be reported to OSHE within twenty four (24) hours using the Accident & Incident Management System (AIMS) via the following link:
https://inetapps.nus.edu.sg/osh/portal/eServices/ehs360_aims.html.
- d. For fatality cases, notify Campus Security at 68741616 immediately.
- e. The AIMS report can be submitted by either:
 - i. The injured staff / student
 - ii. Supervisor / representative of the injured staff or student if they are incapable of submitting the report
 - iii. Staff / student supervising/hosting the injured visitor or contractor
- f. Upon receipt of the incident report, OSHE will forward a copy of the incident report to the respective unit safety and health officer for their follow up within the next working day.

Standard Operating Procedure for Incident and Accident Reporting and Investigation

4.3 Evaluating incident impact level

- a. Upon receipt of the incident, OSHE administrator shall evaluate the incident impact level as this will determine the level of incident investigation required (refer to this SOP - Appendix B for Incident Evaluation & Investigation Flowchart).
- b. The OSHE administrator may consult the respective SHO, Principal Investigator / Supervisor in assisting with this evaluation process.

4.4 Investigating an incident

- a. All incidents and accidents shall be reviewed to prevent recurrence of similar incident in the near future.
- b. The extent and depth of the investigation should be proportionate to the incident impact level and should commence as soon as reasonably practicable or at least within 24 hours of receiving notice of the incident.
- c. **For Level 1 incident**
 - i. PI/Supervisor shall carry out his/her own internal investigation and implement necessary preventive and correction measures.
 - ii. Depending on the outcome of the investigation, the Director of NERI or OSHE administrator may require need to conduct further investigation if necessary.
 - iii. PI/Supervisor may refer to OSHE's Quick Guide - Accident and Incident Investigation for Level 1 Incidents.
- d. **For Level 2 & 3 incident**
 - i. NERI shall conduct an investigation into the Incident.
 - ii. The incident investigation will include a root cause analysis to determine any underlying causes to the incident. (refer to NUS Accident / Incident Reporting and Investigating Standards - Appendix G for Checklist to identify causal factors & root causes)
- e. Depending on the complexity and nature of the incident, the investigation may involve other stakeholders and expertise from an external source.
- f. The conduct of the internal investigation shall not interfere with any investigation conducted by regulators and external consultants.

4.5 Evidence collection

- a. All documentary, photographic, video or other forms of evidence that may aid in the investigation shall be made accessible to the investigation team.
- b. Staff, students, contractors or visitors who are witnesses to the incident or hold information that may assist in the investigation shall cooperate fully with the requests of the investigators and present all information in an accurate and truthful manner
- c. Staff or students to attend may be required to attend an interview session with the investigation team and the department shall allow their staff or students time off to attend the

Standard Operating Procedure for Incident and Accident Reporting and Investigation

interview if required by the investigation team

4.6 Corrective and preventive actions

- a. The PI/Supervisor/investigation team shall identify the corrective and/or preventive measures necessary to prevent a recurrence of the incident.

4.7 Communication of findings

a. For Level 1 incident

- i. An incident assessment report is required to be completed and submitted to OSHE within seven (7) days for case closure (report template can be downloaded from NUS Accident / Incident Reporting and Investigating Standards - Appendix E for Incident Assessment Report Template).
- ii. Records of the investigation shall be kept by NERI and shall remain accessible upon request. The retention period is 3 years.

b. For Level 2 & 3 incident

- i. An investigation report should be completed within **fourteen (14) days** from the date of the reported incident (report template can be downloaded from NUS Accident / Incident Reporting and Investigating Standards - Appendix F for Incident Investigation Report Template).
- ii. Records of the investigation shall be kept by NERI and shall remain accessible upon request. The retention period is 3 years.

c. For incident requiring COI

- i. Reports should be submitted within three months after the committee has been established.
- ii. In cases where the investigation is prolonged, a progress report is to be submitted to NUS Senior Management.

- d. Where there is a finding of safety and health non-compliance involving staff, appropriate actions shall be taken in accordance to the [Staff Disciplinary Procedures and Sanctions Policy](#).

4.8 Monitor and review actions for effectiveness

- a. NERI shall track and monitor the implementation of the corrective and/or preventive actions and review the effectiveness of the controls in consultation with the relevant stakeholders.

Standard Operating Procedure for Incident and Accident Reporting and Investigation

5. Appendices

Appendix A: Incident Reporting Flowchart

Appendix B: Incident Evaluation & Investigation Flowchart

6. References

6.1 NUS Accident/Incident Reporting and Investigation Standard

https://share.nus.edu.sg/corporate/procedures/safety_and_health/General-Safety-and-Health/accident_reporting_and_investigation_standards.pdf

6.2 Quick Guide: Accident and Incident Investigation for Level 1 Incidents

https://inetapps.nus.edu.sg/osh/portal/eServices/AIMS/quick%20guide_level%20%20incident%20investigation.pdf

6.3 User Guide for AIMS

For Informants

https://inetapps.nus.edu.sg/osh/portal/eServices/AIMS/user%20guide_informants.pdf

For Investigators

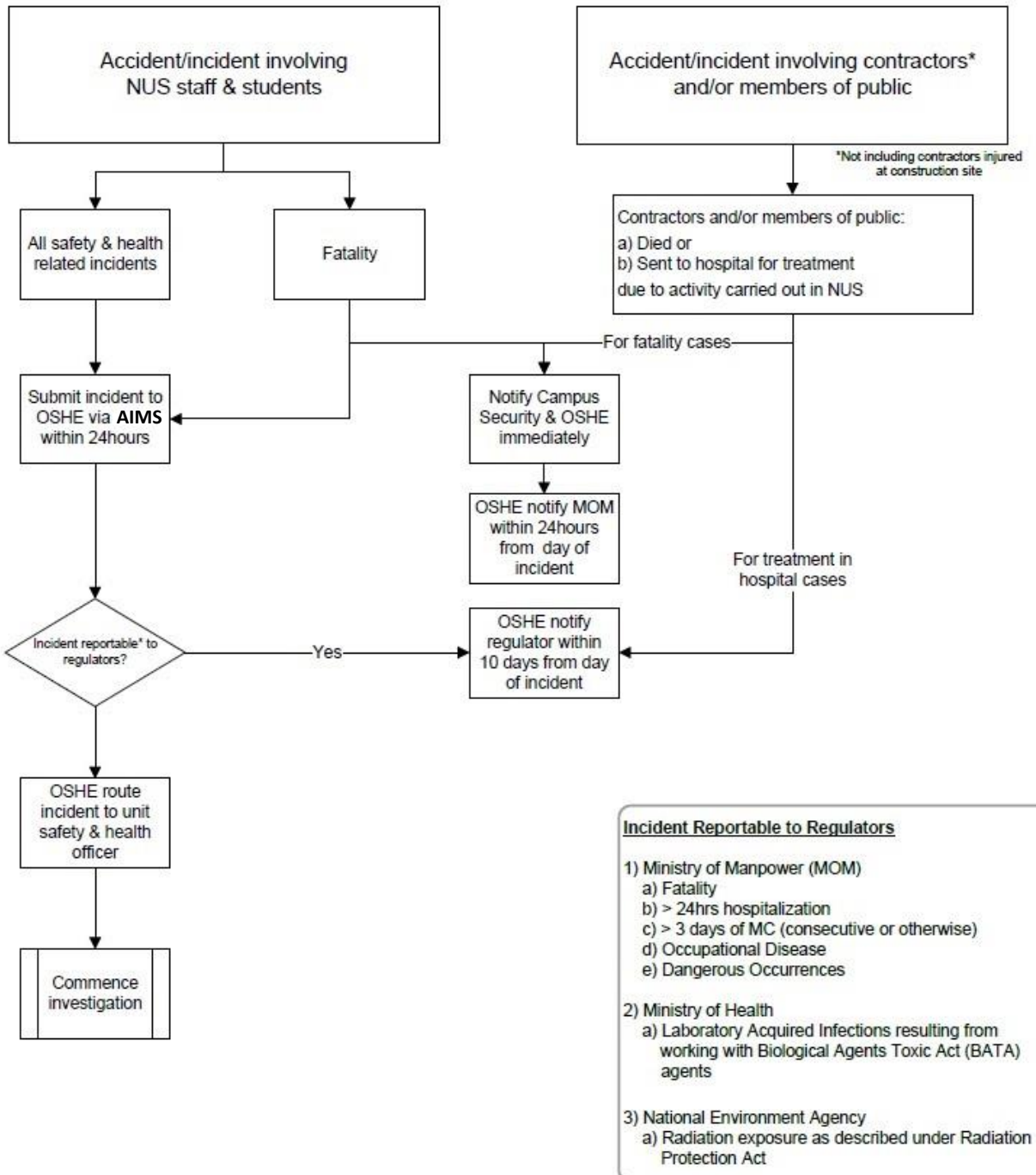
https://inetapps.nus.edu.sg/osh/portal/eServices/AIMS/user%20guide_investigators.pdf

For Approvers

https://inetapps.nus.edu.sg/osh/portal/eServices/AIMS/user%20guide_approvers.pdf

Standard Operating Procedure for Incident and Accident Reporting and Investigation

Appendix A: Incident Reporting Flowchart



Standard Operating Procedure for Incident and Accident Reporting and Investigation

Appendix B: Incident Evaluation & Investigation Flowchart

