

SEMP COMPLIANCE QUESTIONNAIRE

Element 11: Investigation of Incidents

Date: _____

Organization Name: _____ Facility Name: _____

Additional Information about Auditee and Audit Site:

Auditors:

No.	Q. Code (F/P/B)	Questions and Expectations	Finding (C/N/NA)	Refs.	Observations
1	P	Does the management program establish procedures for investigation of all incidents with serious safety or environmental consequences? Example Expectation: 1. Written plan describing the procedures for incident investigation, including definition of the types of incidents requiring investigation.		RP 75, 11.1	

Question Codes: F -- Facility Related; P -- Program Related; B -- Facility and Program Related.
 Finding Codes: C -- Conforming; N -- Non-conforming; NA -- Not Applicable.

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2	P	<p>Does the management program require investigation of incidents that are determined by facility management to have possessed the potential for serious safety or environmental consequences?</p> <p>Example Expectation:</p> <ol style="list-style-type: none"> 1. Written plan that requires the reporting and investigation of near misses. 		RP 75, 11.1	
3	B	<p>Has a system been established to promptly document, address, and resolve the incident investigation findings and recommendations?</p> <p>Example Expectations:</p> <ol style="list-style-type: none"> 1. Written procedures for documenting an action plan and resolving action items. 2. Reports of completed investigations showing the resolution of recommended actions. 3. Computerized action plan tracking systems. 		RP 75, 11.1	
4	B	<p>Are multiple incidents analyzed for common root causes?</p> <p>Example Expectations:</p> <ol style="list-style-type: none"> 1. Written analyses of multiple incidents. 2. Safety alerts or other notification systems describing the results of the analyses. 3. Interviews with employees who have participated in these reviews. 		RP 75, 11.1	

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5	P	<p>Are incidents investigated by personnel knowledgeable in the process involved, investigation techniques, and other specialties that are viewed as relevant or necessary?</p> <p>Example Expectation:</p> <ol style="list-style-type: none"> 1. Written plan describing the knowledge, skills, and abilities necessary for investigation team members. 		RP 75, 11.1	
6	B	<p>Do the incident investigation procedures require consideration of the following:</p> <ol style="list-style-type: none"> a. nature of the incident; b. factors (human or other) that contributed to the initiation of the incident and its escalation/control; and c. recommendations identified as a result of the investigation? <p>Example Expectations:</p> <ol style="list-style-type: none"> 1. Written procedures describing the scope and content of an investigation. 2. Completed investigation report that include the content listed in items a-c under question 6. 		RP 75, 11.2	

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7	B	<p>Are the findings of the investigation retained for possible use in the next hazard analysis update, company audits, or for a minimum of 2 years, whichever is greater?</p> <p>Example Expectations:</p> <ol style="list-style-type: none"> 1. Written plan stating a retention policy. 2. Copies of investigation reports showing retention or disposal policy. 		RP 75, 11.3.1	
8	B	<p>Is a system in place whereby results of investigations are distributed to similar facilities and/or appropriate personnel within the organization?</p> <p>Example Expectations:</p> <ol style="list-style-type: none"> 1. Written plan requiring the systematic distribution of investigation results. 2. Interviews with appropriate personnel describing details of the distribution system and their receipt of investigation results. 		RP 75, 2.2.2; RP14J, 6.2.2	