



# RCP Additions: Incident Investigation, Near Miss Reporting, Corrective Actions

August 4, 2015



# Background

- ▶ Mike Weisend, AEP River Operations
  - ▶ Involved in company's safety program for 26 years
  - ▶ Member of the RCP Gap Analysis Working Group and RCP Standards Board for 10+ years
  - ▶ Worked with AWO on very first requirements early 90's
- ▶ Agenda - New RCP requirements
  - ▶ Incident Investigation Procedure
  - ▶ Near Miss Procedures
  - ▶ Corrective and Preventive Actions Procedure

# Incident Investigation Procedures

“Incident reporting **and investigation** procedures, to include:

- a) Personal injury
- b) Oil or hazardous substance spill
- c) Vessel accident
- d) Bridge, lock, or dock allision
- e) Grounding
- f) Other company-specific reporting procedures”**

# Incident Investigation Procedures

- ▶ Required Investigation Elements for each type incident
  - ▶ Written procedures to describe investigation process
  - ▶ Responsibilities for incident investigations assigned
  - ▶ Procedures for investigations and review established
  - ▶ Amount of time allowed for initiating investigations
  - ▶ Company's expectations for communicating lessons learned
  - ▶ Detailed investigation report on incidents



# Incident Investigation Procedures

- ▶ Examples of 'Other Company-Specific Procedures' that may require reporting **and** investigation may include:
  - ▶ Equipment Failures
  - ▶ Suspicious Activity
  - ▶ Unidentified Cargoes
  - ▶ Dry Cargo Spillage
  - ▶ Personnel Issues
  - ▶ Loss of Steering

# Incident Investigation Procedures

- ▶ Other Investigation Procedures Considerations
  - ▶ Processes / Procedures Failures
  - ▶ Root Cause Analysis
  - ▶ Preventive and Corrective Actions
  - ▶ Timely Notifications
  - ▶ Breaches of Regulations Identified
  - ▶ Training and Qualifications of Investigators
  - ▶ Investigative Team Identified



## Near Miss Procedure

- ▶ “Near Miss policy and procedures, to include reporting, investigation and corrective and preventive action.”
- ▶ Definition: A near miss is an unplanned event that did not result in injury or damage, but had the potential to do so.
- ▶ Benefit: Near misses provide an opportunity to learn without consequences.



# Near Miss Procedure

- ▶ Required elements of a Near Miss Policy and Procedures include:
  - ▶ Written policies and/or procedures for addressing near miss reporting
  - ▶ Procedures for near miss investigations (all near miss reports may not require investigation)
  - ▶ Procedures to address near miss corrective and preventive actions
  - ▶ Near miss report information incorporated into future risk assessments





# Near Miss Procedure

- ▶ Other Near Miss Policy & Procedures Considerations
  - ▶ Responsibilities for near miss investigations
  - ▶ Root cause analysis
  - ▶ Lessons Learned reports and communications
  - ▶ Time lines established for actions and completion
  - ▶ Timely notifications
  - ▶ Training for employees and investigators
  - ▶ Branches of policy violations identified
  - ▶ Inspections following near miss incidents

# Corrective and Preventive Actions Procedure

“ Corrective and **preventive action policy and procedures that apply to findings from internal and external incident investigations and audits, employee and customer suggestions, and management review, to include:**

- a) Method for identifying non-conformities
- b) Follow-up time frame **for initiating** corrective action
- c) Method of tracking **initiation and completion of** corrective action, including assigned responsibility
- d) **Lessons Learned policy and procedures**, to include communication procedures for disseminating lessons learned”

# Corrective and Preventive Actions Procedure

- ▶ Required Corrective and Preventive Policy and Procedures Elements
  - ▶ **Written corrective actions for deficiencies identified during external & internal incident investigations, and audits**
  - ▶ Method of tracking corrective actions include assigning responsibility
  - ▶ Method of tracking corrective actions include management review
  - ▶ Method of tracking include time frame for follow-up for initiating corrective actions
  - ▶ **Method of tracking include initiation and completion of corrective actions**
  - ▶ Method of identifying non-conformities
  - ▶ Written procedures for addressing and communicating lessons learned
  - ▶ **Written corrective actions for deficiencies identified during maintenance**
  - ▶ **Written corrective actions for deficiencies identified during employee and customer suggestions**
  - ▶ **Written corrective actions for deficiencies identified during management review**

# Corrective and Preventive Actions Procedure

- ▶ Other Corrective and Preventive Policy & Procedures Considerations
  - ▶ Risk Assessments
  - ▶ Management of Change process
  - ▶ Inspection of Non-Conformities
  - ▶ Key Performance Indicators (KPI) Trending
  - ▶ Best Practice Discovery
  - ▶ Near Miss Incident Investigations

# Sample Form

COMPANY NAME | INCIDENT REPORT

Title

Date

**INCIDENT DESCRIPTION:**

(1-2 sentences)

**TIMELINE:**

(Bulleted timeline of all events, including notifications made)

**INVESTIGATION SUMMARY:**

(1-2 paragraphs summarizing the process and findings)

**CORRECTIVE ACTION(S):**

(Steps taken for immediate mitigation. Identify who has done/will do them and date due.)

**PREVENTIVE ACTION(S):**

(Steps taken to address root causes to prevent reoccurrence throughout the company's operations. Typically this requires a system change. Identify who will do them and date due.)

# Resources

- ▶ Mike Weisend, AEP
  - ▶ 304-674-1130, [maweisend@aepriverops.com](mailto:maweisend@aepriverops.com)
- ▶ Holly Riester, AWO
  - ▶ 703-841-9300, [hriester@americanwaterways.com](mailto:hriester@americanwaterways.com)
- ▶ AWO website – RCP Transition
  - ▶ [www.americanwaterways.com](http://www.americanwaterways.com), prominent link on Homepage
- ▶ TViB website – Management Audit Worksheet and other audit documents
  - ▶ [www.tvib.org](http://www.tvib.org)



# Webinar and Meeting Schedule

- ▶ Future Webinars

- ▶ August 14 at 3:00 p.m. EDT – Identification of Critical or Essential Equipment/Systems
- ▶ September 10 at 3:00 p.m. EDT – Additional requirements related to organizational authority, document control, and tracking of spills.

- ▶ AWO Safety Committee Meeting

- ▶ August 18-19, Memphis

- ▶ Questions?