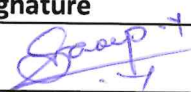
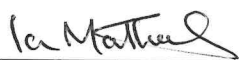


**MOHAMED BIN ZAYED
UNIVERSITY OF
ARTIFICIAL INTELLIGENCE**

INCIDENT REPORTING AND INVESTIGATION PROCEDURE

Rev.01

26.03.2024

	Name	Designation	Date	Signature
Prepared by:	Swaroop Vijayan	EHS Officer	26.03.2024	
Reviewed by:	Hasan Albishr	Director of General Services	24.05.2024	Confirmed via email
Approved by:	Ian Mathews	Vice President Corporate Services	25.5.24	



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1. PURPOSE:

This procedure outlines the mandatory steps required for the reporting and investigation of incidents that take place at Mohamed Bin Zayed University of Artificial Intelligence (MBZUAI) is committed to safety and security programs designed to minimize the risk of incidents. However, when incidents do occur, it is important to ensure consistent reporting, investigation and recording of the incident details in order to prevent a reoccurrence of the same or related incidents.

2. SCOPE

This procedure applies to all individuals within the MBZUAI community, including students, faculty, staff, contractors, and visitors, who are involved in or witness incidents that occur on MBZUAI premises or during MBZUAI-related activities. It encompasses incidents ranging from minor accidents to near misses and major emergencies. The scope includes all facilities, laboratories, research areas, classrooms, offices, outdoor spaces, gym, swimming pool and any other locations under the jurisdiction of MBZUAI. Additionally, this procedure extends to incidents involving property damage, environmental hazards, and breaches of security protocols.

3. TERMS AND DEFINITIONS:

EHS:	Environment, Health & Safety
MBZUAI:	Mohamed Bin Zayed University of Artificial Intelligence.
MBZUAI Community Members	Students, Staff, Faculty and Researchers (Including Visiting students and faculty)
Hazard:	Any source of potential harm or adverse health effect.
Incident	An event that occurs involving an employee, student or member of the public that results in or could result in injury or financial loss or damage to university property as defined below.

Nearmiss:	An incident or occurrence that did not cause injury but had the potential to cause harm.
First Aid Injuries	An injury that requires onsite first aid by the Campus Nurse or First Aid Delegate.
Health Care Injuries:	An injury that requires onsite medical evaluation/care from the Campus Nurse Practitioner or an offsite Medical Professional.
Lost time Injuries:	An injury that requires lost time from work beyond the day of the injury, for employees.
Critical Injury:	An injury of a serious nature that: <ul style="list-style-type: none"> • places life in jeopardy; • produces unconsciousness; • results in substantial loss of blood; • involves the fracture of a leg or arm, but not a finger or toe; • involves the amputation of a leg, arm, hand or foot but not a finger or toe; • consists of burns to a major portion of the body; or causes the loss of sight in one eye • Fatality: An injury causing death.
Occupational Illness:	An incident involving an exposure to an employee of a chemical or biological substance or an exposure to noise, through the course of employment, which causes an occupational illness.
Property Damage:	An incident that results in damage to university property or the property of employees, students or members of the public while that property is on MBZUAI Campus.
Environmental release:	<ul style="list-style-type: none"> • Release of chemicals or hazardous materials
TFM	Total Facility Management contractor (Service provider)
OSHAD	Abu Dhabi Occupational Safety and Health Center

4. RESPONSIBILITIES

- **MBZUAI Community Members :** In the event of an incident, secure the incident location immediately to prevent further damage or injury to employees or others in the area, and report all incidents, including near misses/close calls, property and environmental damage incidents, and personal injuries, to their supervisor as soon as safe to do so. Additionally, inform the security control room/facilities office or EHS officer about the incident and be prepared to participate in the investigation if needed.
- **Security Team :**
 - Provide emergency response and first aid if required.

- Assume control of an incident scene where a victim has been seriously injured or killed until Emergency Services personnel arrive, unless a more qualified first aider is on scene.
- Ensure that no part of the scene is disturbed or materials removed until permission to do so has been given by the concerned person or the Police Service , except to provide care to an injured party or to protect against further injury or damage.
- Notify Supervisors, EHS Officer, Facilities, GS Director, HR, Educational Affairs, Faculty Affairs, and Authorities (Police or Civil Defence) immediately where a community member or visitor has been seriously injured or killed, or in the event of any other significant or potentially significant incident.
- Collect evidence and assist in the investigation of incidents involving students and visitors, as well as criminal incidents, security responses, and matters of Campus Security.

➤ **EHS Officer:**

- Administer the Incident Management Program and oversee the management of incidents, including reviewing all incident and investigation reports, monitoring incident trends, and participating in incident investigations to provide technical and best practice advice. Additionally, report incidents to the GS director, relevant departments (HR, educational affairs, or Faculty affairs), and authorities if necessary.
- Notify the EHS Committee and present the investigation report to the committee with recommended actions.
- Follow up on incident and investigation reports, reviewing and providing recommendations for corrective actions as needed.

➤ **TFM Service providers/Contractors /Tennats :**

- Respond to incidents occurring on their work sites immediately and obtain emergency medical attention for injured workers when applicable. Protect the safety of MBZUAI and contractor employees, students, the public, equipment, and facilities from further injury or damage.

- Report all incidents, including near misses/close calls, to MBZUAI Security, the EHS Officer, and the Facilities Department.
 - When required as per the OSHAD Act, report incidents to the authorities.
 - Investigate all incidents, including near misses/close calls, and submit report findings, including root causes and corrective actions, to the MBZUAI EHS Officer and the Facilities Department.
- **EHS Committee :**
- Participate in incident investigations for serious incidents, including significant near misses, serious injuries, and fatalities.
 - Consult on corrective actions to reduce or eliminate workplace hazards.
 - Receive reports on workplace incidents and follow up as necessary through requests for further information, additional investigation, or recommendations to management.

5. INITIAL RESPONSE PROCEDURE

Initial incident response procedures are outlined in the MBZUAI Emergency Response plan. Additional information and escalation matrix can be found in Crisis Management Policy. In the event of a critical injury or fatality, after calling 999/998 and / or Campus Security, the Security personnel or the Supervisor of the area where the incident occurred will:

- Immediately secure and cordon off the scene.
- Ensure that no part of the scene is disturbed or materials removed until permission to do so has been given by the concerned person or the Police Service , except to provide care to an injured party or to protect against further injury or damage.
- If the incident involves an MMBZUAI community member or contractor, immediately notify MBZUAI Facilities /EHS Officer/GS Director to contact authorities if applicable, and senior management.

6. INCIDENT REPORTING PROCEDURE

Incidents are unexpected, undesired events that result in injury, property, or environmental damage. When these events do not result in damage or injury, they are referred to as near misses. All incidents, including close calls, are reported and investigated to determine immediate and root causes and develop corrective actions to prevent the incident from recurring. Anyone can report the incidents through phone (02811 3100) (02811 3369) or mail (mbzuai.facilites@mbzuai.ac.ae). All the incidents (for employees, contractors, students, or visitors) shall be entered into the incident log maintained by the security.

➤ Community Member Incidents:

- All the community members (Student, Staff, Faculty and researchers) incidents shall be reported to their direct supervisor as soon as possible, ideally no later than 24 hours after the occurrence.
- The member or the supervisor needs to inform security at the same time as they are the first respondent.
- If the Staff / Faculty / Researcher is involved in an incident that results in medical aid treatment or lost time, the concerned department shall be notified (HR /Faculty affairs).
- Students notified to is involved in an incident that results or not in medical aid treatment needs to be reported to the Educational affairs/ Campus life team.

➤ Contractor involved incidents:

- Contractors/TFM shall report all incidents, including close calls, to their MBZUAI Project Manager at the same time of the incident. The MBZUAI Project Manager/Security will report the incident to the EHS Officer / MBZUAI facilities and authorities if necessary.
- EHS Officer will follow up with the Project Manager within two business days to assist with the investigation if required.

➤ **Serious injury or incidents:**

- Critical injury or incidents (including fatality) needs to be reported to the concerned authorities (Ministry of Education, Police, OSHAD etc..) as required.
- During serious incidents for ambulance and meical services anyone can use the toll free no **999** (Police), **998** (Ambulance) and **997** (Civil Defence).
- It is EHS Officer responsible for providing initial investigation report including time, place and type of incident to the MBZUAI management, EHS Committee and concerned authorities (if required).
- It is EHS Officer responsible for providing detailed final investigation report to the MBZUAI management, EHS Committee and concerned authorities (if required).
- If any serious incidents occur on a contracted project/TFM , the Prime Contractor has the responsibility to complete the reporting and investigation as outlined in the OSHAD, and shall provide a copy of the final investigation report to MBZUAI EHS Officer.

7. INCIDENT INVESTIGATION PROCEDURE

All incidents, including near misses, require investigation, with the depth of inquiry determined by the severity and likelihood of recurrence. Various departments may have legal obligations to investigate, while MBZUAI insurers may also mandate investigations. In cases of overlapping departments, a cross-functional investigation is conducted. Although external organizations (AD Police or AD authorities) may carry out their own investigations, MBZUAI conducts independent internal investigations.

7.1 RESPONSIBILITIES:

- Members of the EHS Committee can assign a task force or delegate responsibility to investigate any and all incidents.
- The department in which the incident occurs will be part of the investigation process and is responsible for conducting internal investigations.

- The security team will investigate all criminal incidents, security responses, and matters of Campus Security.
- Incidents involving community members and visitors will be investigated by the EHS Officer in cooperation with the involved department, Facilities team, and security.
- Medium and high-severity incidents involving students and/or visitors will be investigated by the EHS Officer and Security or other personnel assigned by the EHS Committee. EHS Officer and facilities team will incorporate/assist with external investigation if required.
- The HR/Faculty Affairs/Student Affairs will be involved in investigations whenever required.

7.2 PROCESS:

The primary objective of an incident investigation is to identify the underlying or root cause of the incident and devise effective solutions to prevent its recurrence. The process emphasizes the discovery of factual information rather than assigning blame or fault. This approach ensures a thorough examination of circumstances, enabling informed decision-making for corrective and preventive actions without attributing individual culpability.

➤ STEP 1: GATHERING INFORMATIONS

○ KEY DETAILS TO DETERMINE:

- Identification of Individuals Involved: Who was present or affected?
- Incident Description: What precisely occurred?
- Location of Incident: Where did it happen?
- Time of Incident: When did it occur?
- Work Environment and Tasks: What were the conditions and tasks at the time?

○ PHYSICAL EVIDENCE:

- **Equipment and Tools:** Identify items in use, including personal protective equipment if applicable.
- **Positioning:** Note the positions of individuals and equipment involved.

- **Damage Assessment:** Document any damage incurred.
- **Environmental Conditions:** Assess factors such as housekeeping, noise levels, lighting, weather, air quality, or any other relevant conditions influencing the event's outcome.
- **Preservation of Evidence:** In cases of serious injury or fatality, refrain from disturbing the scene until authorized by appropriate authorities (AD Police or AD Authorities). Physical evidence, like damaged equipment, may be preserved for further analysis by experts. Photographs, sketches, or diagrams can aid in documentation, especially in complex events like vehicle incidents.
- **WITNESS TESTIMONIES:**
 - **Importance of Witness Accounts:** Gather firsthand accounts to understand the sequence of events and identify preventive measures.
 - **Prompt Statements:** Encourage witnesses, including the injured party if feasible, to provide written statements promptly post-incident.
 - **Timely Interviews:** Conduct interviews with witnesses as soon as feasible after the incident, keeping witnesses separate to prevent consensus bias.
 - **Open-ended Questions:** Ask non-leading questions to allow witnesses to freely share their observations and perspectives.
 - **Interview Focus:** Initially prioritize witnesses directly involved in the incident, expanding to others as needed for a comprehensive understanding.
 - **Note-taking and Confirmation:** Document interview details and summarize information provided to ensure accuracy.
 - **Appreciation:** Conclude interviews positively, expressing gratitude for cooperation and assistance.
- **BACKGROUND CONTEXT:**
 - **Previous Incidents:** Review any relevant incident reports or near misses related to the current incident.
 - **Policy and Procedure Review:** Assess applicable policies, safe work procedures, guidance documents, or maintenance records.



- **Gap Analysis:** Identify any absent safety measures or procedures that may have contributed to the incident.

➤ **STEP 2: ANALYZING AND IDENTIFYING ROOT CAUSES**

During this stage, we delve into the facts to understand why the incident occurred. We consider various factors, including events, conditions, and circumstances that may have played a role. These factors can be classified into two main categories: unsafe conditions and unsafe acts.

○ **UNSAFE CONDITIONS:**

- Inadequate or faulty tools, equipment, or supplies
- Ineffective hazard control measures
- Poor workplace hygiene and maintenance
- Substandard working conditions, such as noise levels or ventilation
- Lack of established procedures or safety practices
- Insufficient training

○ **UNSAFE ACTS:**

- Failure to use or improper use of personal protective equipment (PPE)
- Non-compliance with established procedures, like lock-out/tag-out protocols
- Disabling or bypassing safety mechanisms
- Use of defective equipment
- Misuse of tools or equipment

For each identified unsafe act or condition, we delve deeper to determine the root cause by asking "why." Examples include:

- Why was the correct equipment not used?
- Why were the victim not wearing PPE?
- Why did the victim not receive adequate training?
- Why did the victim deviate from established procedures?

Throughout this process, we maintain an open-minded approach and seek all relevant facts. Additional interviews or information may be necessary to fill any gaps in our understanding.

In cases where human error contributed to the incident, we acknowledge this without assigning blame. Our focus is on understanding the facts and identifying areas for improvement rather than on punitive measures. Incidents offer valuable learning opportunities, and our analysis reflects this perspective.

➤ **STEP 3: RECOMMENDING CORRECTIVE ACTIONS**

During the interim period between the preliminary and complete investigation, immediate actions should be taken to address any unsafe conditions and acts that contributed to the incident. The objective is to ensure work can proceed safely without the risk of further incidents.

○ **Interim Corrective Actions:**

- Implement interim measures to address immediate hazards identified during the preliminary investigation.
- Maintain these interim actions until the full investigation is concluded.
- Evaluate the effectiveness of these measures and adjust as necessary.

○ **Full Investigation Corrective Actions:**

- Once the investigation is complete, identify and implement comprehensive corrective actions to prevent recurrence.
- Ensure that corrective actions target the root causes identified during the investigation.
- Make sure corrective actions are reasonable, practical, and sustainable.
- Assign responsibility for each corrective action to a specific individual or department.
- Establish concrete and measurable objectives for each corrective action.
- Set a timeline or due date for completing each corrective action.

○ **Examples of Corrective Actions:**

- Development or revision of procedures and standards to address identified deficiencies.
- Training or retraining programs for relevant employees to enhance skills and knowledge.
- Review of job requirements and responsibilities to ensure alignment with safety procedures.
- Upgrades or modifications to equipment, including the installation of engineered controls.

By following these steps and implementing appropriate corrective actions, we aim to address the root causes effectively and prevent similar incidents from occurring in the future.

➤ **STEP 4: COMPLETING THE REPORT AND COMMUNICATING FINDINGS**

○ **Final Report Content:**

- Provide a detailed account of the sequence of events and a clear description of what occurred, highlighting areas of concern.
- Include sufficient information for readers to understand the incidents and analysis, specifying the source of evidence (e.g., facts, witness accounts, investigator assumptions).
- Exclude irrelevant or inconclusive information from the report.
- Justify conclusions reached during the analysis and recommend corrective actions for each root cause identified.

○ **Distribution of Report:**

The finalized report will be distributed as follows:

- Department head of the involved person or area.
- EHS Committee
- Director of General Services

A key consideration is ensuring that corrective actions address the identified root causes; otherwise, they won't effectively prevent future incidents. Additionally, evaluating corrective actions can validate the accuracy of root cause identification. If actions prove ineffective, further analysis is warranted to explore alternative risk mitigation strategies

8. ANALYZING INCIDENT TRENDS

Tracking incidents, including nearmiss, is essential for identifying trends and patterns. EHS Officer and the EHS Committee will oversee trend monitoring and may initiate further investigations upon recognizing recurring incident patterns. Incident trends and crucial metrics in incident management will be reported to the EHS Committee, which may take additional action as necessary.

9. DOCUMENTATION

To ensure compliance with the current MBZUAI Record Retention Schedule and pertinent legislative mandates, incident records are meticulously maintained. Documentation stemming from incident reporting, encompassing witness statements, investigation notes, diagrams, photos, and summaries outlining findings alongside recommended corrective actions, ought to be archived within the respective department where the incident or injury occurred.

Additionally, copies of these records must be furnished to the EHS Officer and the pertinent department for reference purposes. Retention of these records spans a duration of 5 years, and periodic review of the procedure checklists is mandated every 2 years, alongside any instances necessitating immediate updates spurred by new insights changes in process/procedure/equipment/condition or regulatory requirements

10. TRAINING REQUIREMENTS

Individuals tasked with leading investigations, comprising supervisors, managers, and members of the investigation team, are mandated to undergo internal Incident Investigation training. This training covers essential aspects of the procedure, delineates respective responsibilities, and elucidates the investigation process in detail. While initial training is compulsory, refresher courses will be readily accessible as required to maintain proficiency and ensure continuous competence in executing investigative duties.



11.REFERENCE:

- MoE - Educational Sector Occupational Environment, Health and Safety Management System MoE (ED OEHSMS), Version 2.0 , 2020
- OSHAD Mechanism 11

12.APPENDIX

ACCIDENT/INCIDENT INVESTIGATION REPORT – Page 1

Environment, Health and Safety



ACCIDENT/INCIDENT INVESTIGATION REPORT									
Date:		Reference No:							
Risk Level:		High Risk <input type="checkbox"/>		Medium Risk <input type="checkbox"/>		Low Risk <input type="checkbox"/>			
Type of Accident/Incident:									
Near miss <input type="checkbox"/>	First Aid <input type="checkbox"/>	Fire <input type="checkbox"/>	Illness <input type="checkbox"/>	Road Traffic incident <input type="checkbox"/>	Dangerous Occurrence <input type="checkbox"/>	Others: <input type="checkbox"/>			
Details of the injured/affected person:									
Incident Date:		Incident Time:							
Name of IP:		Emp/Stud ID:							
Category:		Admin Staff <input type="checkbox"/>		Faculty <input type="checkbox"/>		Visitor <input type="checkbox"/>		Others (Specify): <input type="checkbox"/>	
EID /Passport No:		Student <input type="checkbox"/>		Researcher <input type="checkbox"/>		Contractor <input type="checkbox"/>			
Gender:		Male <input type="checkbox"/>		Female <input type="checkbox"/>		NA <input type="checkbox"/>		Age:	
Incident type:		Work-related <input type="checkbox"/>		Non-work-related <input type="checkbox"/>		Date of Join:		Date of return to work:	
Witness details									
Name		Organization		Trade		Witness statement(Y/N)			
1									
2									
INCIDENT DETAILS									
Body parts affected:									
Head <input type="checkbox"/>	Face <input type="checkbox"/>	Eye <input type="checkbox"/>	Nose <input type="checkbox"/>	Mouth <input type="checkbox"/>	Neck <input type="checkbox"/>	Shoulder <input type="checkbox"/>	Back <input type="checkbox"/>	Chest <input type="checkbox"/>	
Stomach <input type="checkbox"/>	Genitals <input type="checkbox"/>	Upper arm <input type="checkbox"/>	Elbow <input type="checkbox"/>	Long arm <input type="checkbox"/>	Wrist <input type="checkbox"/>	Hands <input type="checkbox"/>	Fingers <input type="checkbox"/>	Upper Leg <input type="checkbox"/>	
Knee <input type="checkbox"/>	Lower leg <input type="checkbox"/>	Ankle <input type="checkbox"/>	Toes <input type="checkbox"/>	Others: (Specify) <input type="checkbox"/>					
Effect on the person:									
Fatal <input type="checkbox"/>	Fracture <input type="checkbox"/>	Amputation <input type="checkbox"/>	Unconscious <input type="checkbox"/>	Asphyxiation <input type="checkbox"/>					
Poisoning <input type="checkbox"/>	Elec. Shock <input type="checkbox"/>	Burns <input type="checkbox"/>	Sprains/Strains <input type="checkbox"/>	Laceration <input type="checkbox"/>					
Contusion <input type="checkbox"/>	Heat Stress <input type="checkbox"/>	Bump <input type="checkbox"/>	Others(Specify) <input type="checkbox"/>						
Asset Damaged:									
Structure <input type="checkbox"/>	Machinery <input type="checkbox"/>	Equipment <input type="checkbox"/>	Elec.Installation <input type="checkbox"/>	Materials <input type="checkbox"/>	Vehicle <input type="checkbox"/>				
Type of accident/incident									
<input type="checkbox"/> Slips, Trips, or fall on the same level					<input type="checkbox"/> Equipment failure or damaged				
<input type="checkbox"/> Fall from height and injury					<input type="checkbox"/> Trap or crush injury in something				
<input type="checkbox"/> Material fails from height and injury					<input type="checkbox"/> Environmental release or accident				
<input type="checkbox"/> Struck against while running or bumping					<input type="checkbox"/> Hit by a vehicle or moving object				
<input type="checkbox"/> Fire					<input type="checkbox"/> Sharp edges (injury or fall)				
<input type="checkbox"/> Eye injury					<input type="checkbox"/> Drowning in pool/water tank				
<input type="checkbox"/> Asphyxiation due to fumes/gases/oxygen deficiency					<input type="checkbox"/> Trapped (Lift/confined space/tanks/rooms)				
Accident/Incident report		Ref No: EHS-MBZUAI-IRPT		Rev no: 00		Date :01-01-2023			



Page 2 (Continue..)

Environment, Health and Safety



<input type="checkbox"/> Exposure to Electricity or heat or cold or chemical or biological hazard	<input type="checkbox"/> Others (Specify):
<input type="checkbox"/> Process or procedures not followed	

Description of the incident/accident

Cause Analysis
<i>Immediate Cause:</i> -
<i>Underlying cause:</i> -
<i>Root cause:</i> -

Substandard behaviour and/or condition			
<i>Unsafe Behaviour</i>	<i>Unsafe conditions</i>	<i>Personal factors</i>	<i>Job factors</i>

Corrective actions
<i>Immediate action:</i> -
<i>Planned actions:</i> -

Further investigation or H & S Committee review necessary: - YES NO

Signatures:			
<i>First aider / Clinic Nurse:</i>	<i>Security Officer:</i>	<i>EHS Officer:</i>	<i>FM Coordinator:</i>

Distribution:
Director of GS, VP of Corporate service, HR, SAO, Faculty Affairs, Facility department, etc...

Evidence photos: -

Accident/Incident report	Ref No: EHS-MBZUAI-IIRPT	Rev no: 00	Date :01-01-2023
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