

## Audit/Inspection Checklist

|                   |                                     |                 |             |                 |     |
|-------------------|-------------------------------------|-----------------|-------------|-----------------|-----|
| <b>Code Title</b> | Incident reporting ad investigation | <b>Code No.</b> | OSHJ-COP-17 | <b>Rev. No.</b> | 1.0 |
|-------------------|-------------------------------------|-----------------|-------------|-----------------|-----|

| Sr. | Checklist Item  | Clause in the Code  | Acceptable means of compliance  |
|-----|---|---|---|
| 1   | Is there internal system available for recording and reporting incidents? | 5: Requirements   | <ul style="list-style-type: none"> <li>– Copy of incidents records</li> <li>– Confirm an internal system is in place for reporting to all employees within the entity (email, presentations, phones, etc).</li> </ul>   |
| 2   | Are reportable incidents recorded and reported to SPSA in specified time? | (5.1.1: Fatality)<br>(5.1.2: Injuries)<br>(5.1.3: Occupational Diseases)<br>(5.1.4: Injuries) | <ul style="list-style-type: none"> <li>– Check the internal reporting system</li> <li>– Check Incident record</li> <li>– Copy of medical report or police investigation report (if needed) ( includes deaths that occur in hospital or at a later stage due to a work-related incident or disease)</li> <li>– Verify by SPSA OSHJ incident report record, if required.</li> </ul> |
| 3   | Is the periodic report submitted within the allotted time frame?          | 5.2.1: Periodic Reporting of Incident Data to SPSA  | <ul style="list-style-type: none"> <li>– Verify by SPSA OSHJ system, if required.</li> </ul>  |
| 4   | Are the incidents in the workplace investigated and reported?             | 5.3: Incident Investigation   | <ul style="list-style-type: none"> <li>– Verify by SPSA OSHJ system, if required</li> <li>– Check copy Investigation Reports</li> </ul>   |

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| 5 | Are the investigation team members competent and trained? | 5.3.2 : Who Should Conduct Investigations | <ul style="list-style-type: none"> <li>– Check for the investigation team profiles</li> <li>– Check the investigation team qualifications</li> <li>– Check the training records/ certificate..</li> </ul> |
| 6 | Are employees trained for reporting incidents?            | 6: Training                               | <ul style="list-style-type: none"> <li>– Check training session meetings (minutes of meetings)</li> <li>– Check the internal reporting system (reporter names).</li> </ul>                                |