



COUNTY OF NORTHERN LIGHTS

POLICY

INCIDENT/ NEAR MISS INVESTIGATION & REPORTING

CREATED: 4/20/2025

REVISED: 4/21/2026

TOTAL PAGES: 2

INTRODUCTION

It is essential that all incidents are thoroughly investigated, reported, and reviewed. These incidents provide valuable insights for auditing and trend analysis, helping us evaluate the effectiveness of the Safety Management System (SMS).

The purpose of this program is to establish consistent and effective methods for reporting, assessing, and investigating incidents and deviations from standard procedures. The primary objective is to prevent similar occurrences in the future. The first and most critical step in this process is to ensure that any injured individual(s) receive prompt and appropriate medical care. Employee health and immediate treatment are always the top priority.

When an incident occurs, it is crucial to investigate the root causes. The goal of incident investigations is to identify previously uncontrolled hazards that may have contributed to the incident and prevent them from continuing. The investigation also determines whether changes to training, personal protective equipment (PPE), or procedures are necessary to improve workplace safety. It is important to emphasize that incident investigations are conducted not to assign blame but to identify preventive measures that can be implemented.

Investigating incidents—from close calls to fatalities—is not only a legal requirement but also a critical tool for improving workplace safety. Investigators are tasked with collecting and analyzing data to identify the root causes of the incident. Once these causes are determined, corrective actions are developed and implemented to prevent similar incidents in the future.

One of the key challenges in conducting objective health, safety, or environmental investigations is understanding how those involved in the incident perceived their actions as rational based on their awareness of the situational factors.

For clarity, the following definitions apply:

- **Incident:** An undesired event that results in physical or psychological harm to a person or damage to property.
- **Near Miss:** An undesired event that had the potential to cause harm to a person or damage to property but did not.

REPORTING, INVESTIGATION AND DISCIPLINE WHERE NECESSARY

Incidents and Near Misses must be reported by the person directly involved. The person reporting will conduct the initial investigation. The documented report must be forwarded to the applicable Supervisor, Manager, CAO and safety representative as soon as reasonably practicable.

The direct Supervisor (or Management if there is conflict of interest) will immediately investigate the Incident/Near Miss. As part of the investigation, the incident will be discussed with all involved persons separately. The Employer must notify the Employee of any interview or meeting that is of disciplinary nature or may lead to disciplinary action and indicate that the Employee has the right to be accompanied by a Union Representative or a Union Steward. The Employer shall disclose the nature of the allegation(s) to the Employee 24 hours in advance of the interview or meeting.

An Incident Report will be completed after the investigation. The situation may then be mediated and/or dealt with through the disciplinary policy according to the situation.

1. The Investigator:
 - Is responsible for ensuring a thorough, fair and impartial investigation of the allegations in the complaint.
 - Will notify the Respondent of the complaint and provide them with a copy of your written complaint.
 - Will interview all persons involved as well as any relevant witnesses, as well as gather documents relevant to the matters in the complaint. All Staff are required to cooperate with the Investigator. All statements taken will be in private, and as soon as possible.



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- Will, wherever possible, complete the investigation within 30 days of receiving the assignment.
- After the investigation, the investigator will prepare a written report summarizing incident and the investigation results and will forward the report to CAO/Management.
2. Consultation with external parties including legal counsel and the police may occur.
3. All reasonable measures to reduce the risks identified by the incident will be taken.
4. Based on the findings in the Investigator's report, the Chief Administrator Officer and the Manager will decide whether this Policy has been violated.
5. If this Policy is violated, the CAO/Manager will proceed as follows:
 - Determine the appropriate consequences for the Respondent who violated this Policy, adhere to the *Coaching and Enforcement Policy* and the *AUPE Collective Agreement*. These consequences may include:
 - An apology
 - Counselling
 - Conflict Resolution including Mediation;
 - Education and training
 - Verbal or written reprimand
 - Suspension with pay
 - Suspension without pay
 - Transfer
 - Termination of Engagement, including immediate termination of Engagement with Just Cause.
 - In determining the appropriate consequences, consider the nature of the violation of the Policy, its severity, and whether the Respondent has previously violated the Policy.
 - Where a violation of the Policy is found, take any steps necessary to repair the effects of the Discrimination or Harassment on you, and to prevent further recurrences of Harassment or Discrimination in the organization.
 - Communicate the results of the investigation and any corrective actions to you and the Respondent. You and the Respondent will each be provided with a copy of the Investigator's report.

Chief Elected Official

Chief Administrative Officer

4/20/2026