

POLICY

Hawk Energy, LLC is committed to appropriately investigating all near misses, accidents and incidents according to their severity to find the root cause and make changes that prevent them from happening again.

David Slim is designated as the qualified person to conduct investigations once the company is notified of the incident. All incidents will be investigated as soon as practicable after the incident occurs and the extent of the investigation will reflect the seriousness of the incident.

RESPONSIBILITIES

Accident investigation and reporting is a responsibility shared between the Company and its employees. David Slim will establish before an incident occurs, how and when proper employees will be notified, who will conduct the investigation and the training they will receive and who is responsible for implementing any corrective actions.

Employer Responsibilities

- Ensuring appropriate staff receives suitable training to carry out their role in hazard and incident reporting, investigation and recording.
- Completing the training for incident investigation.
- Promptly investigating incidents.
- Implementing identified risk control measures to prevent the recurrence of incidents.
- Consulting with staff in relation to the measures to be taken to prevent the recurrence of incidents.
- Reviewing hazard/incident reports to ensure that all recommendations are implemented.
- Ensuring, as far as is reasonably practicable, that adequate financial provision and other resources are made available to institute the recommended actions.
- Communicate with the members of the investigation team and ensure that the team is:
 - Trained, qualified and competent
 - Knowledgeable of their roles and responsibilities for incident response
 - Familiar with the techniques used in incident investigations

Safety Committee Responsibilities

Safety committee members are encouraged to participate in investigations of incidents and assist with developing measures to prevent their recurrence.

- The employee will be trained in their roles and responsibilities for incident response and incident investigation techniques.
- Training requirements relative to incident investigation and reporting (awareness, first responder, investigation and training frequency) will be identified in this program.

Employee Responsibilities

- Not placing themselves or others at risk of injury.
- Reporting incidents to their supervisor or manager and health and safety representative (if applicable), as soon as possible after the event.
- Participating in the development of appropriate risk control measures to prevent the recurrence of similar incidents.
- Using risk control measures as required and any other action taken, which is designed to protect health and safety.

TRAINING

As part of the training in avoiding and preventing accidents and injuries, all employees will receive instructions concerning their roles and responsibilities in the event of an accident or incident. This training will include:

- What qualifies as reportable accidents or incidents (and near misses)
- Who will be contacted in the event of a reportable incident?
- An explanation of the accident/incident investigation plan
- Incident investigation techniques and employee responsibilities during and after an incident/accident

PROCEDURES

Hawk Energy, LLC, regardless of size and impact will investigate all injuries, illness, near misses and fatalities. All work-related fatalities and catastrophes will be reported to the Occupational Safety and Health Administration (OSHA) within eight (8) hours. Serious accidents that result in hospitalizations, amputations, or loss of an eye, will be reported to OSHA within 24 hours. OSHA requires reporting of work-related incidents resulting in the death of an employee or the hospitalization of one (1) or more employees. Incidents involving employees such as injuries, spills, property damage, fires, explosions and vehicle damage will be reported to the owner client as soon as possible but no later than 24 hours.

Accidents and near-miss incidents that result in personal injury, property damage, chemical spill, or other emergencies will be immediately reported to the assigned supervisor at the time of the event and emergency medical service (EMS), fire department, or hazardous materials (HAZMAT) services will be immediately summoned. Such events will be investigated and documented on the appropriate form. All forms will be fully completed and submitted to David Slim for review and discussion at the next scheduled safety committee meeting. These investigations demonstrate the Company's commitment to providing a safe and healthful work environment. Disciplinary policy will be enforced.

To ensure accidents will be reported, employees will be encouraged to participate in the "fact-finding" process. The point emphasized will be that "hazardous conditions" and "unsafe practices" are an indication of a much bigger problem with a breakdown in the safety and health policy. The purpose of the accident investigation then becomes one (1) that will uncover these system problems and provide solutions that will result in long-term corrective action.

It is important to gather facts and interview witnesses as soon as possible after an accident to ensure the most accurate information is being recorded. The efficiency of the corrective measures is determined by the accuracy of the information gathered. The best place to conduct an interview is wherever the employee being interviewed feels most comfortable. The most important interviewing technique you can use to ensure accuracy is to "listen". **NOTE:** Consider the event a "serious accident" if an employee is admitted to a hospital for treatment or observation because of injuries suffered from a workplace accident. Hawk Energy, LLC will report severe injuries and/or fatalities using one (1) of the following methods:

- By telephone or in person to the OSHA area office that is nearest to the site of the incident,
- By telephone to the OSHA central telephone number, 1-800-321-OSHA (1-800-321-6742),
- By using the reporting application located on OSHA's web site at www.osha.gov.

On-Site First Response

Employees who will be first responders will be trained and qualified in first aid techniques to control the degree of loss during the immediate post-incident phase.

Prevent Further Loss

After an immediate rescue, Hawk Energy, LLC will take actions to prevent further loss. For example, maintenance employee will be summoned to assess the integrity of the building and equipment, engineering employee to evaluate the need for bracing of structures and special equipment/response requirements such as safe rendering of HAZMAT or explosives employed.

Secure the Accident/Incident Scene

Before investigating, the accident team needs to ensure the incident site is safe and secure for proper entry and investigation.

Securing the incident site will also help preserve any material evidence that might be altered or removed. Investigators can use cones, tape, or guards to help keep the site secure.

Reporting Requirements

Local reporting sequence of events

Injuries

If a fatal injury, illness, or hospitalization of one (1) or more employees occurs, the plant manager will immediately notify the following persons and agency:

- Corporate Environmental Health and Safety (EHS) director
- Division manager (or any superior at this level)
- Group manager or Team leader (or any superior at this level)
- The area OSHA office [will be notified within eight (8) hours]

Involving the Environment

If an environmental incident occurs that will be reported to local, state and/or federal agencies, the following persons will be notified:

- Corporate EHS director
- Division manager (or any superior at this level)
- Group manager or Team leader (or any superior at this level)
- Appropriate local, state and/or federal agency

Time Elements of When Incident Will Be Reported

Hawk Energy, LLC is required to verbally report incidents to OSHA within eight (8) hours of discovery. Incidents will be reported to owner client as soon as possible (or within 24 hours).

Reportable Incidents

- Injury, illness, death and hospitalization of employees
- Spills, property damage, fires, explosions and vehicle damage

ACCIDENT/INCIDENT CAUSES

Accidents occur when hazards escape detection during preventive measures, such as a job or process safety assessment, when hazards are not obvious, or as the result of combinations of circumstances that were difficult to foresee. A thorough accident investigation may identify previously overlooked physical, environmental, or process hazards, the need for new or more extensive safety training, or unsafe work practices.

The primary focus of any accident investigation will be the determination of the facts surrounding the incident and the lessons that can be learned to prevent future similar occurrences. The focus of the investigation will never be to place blame. The process will be positive and thought of as an opportunity for improvement.

WHEN ACCIDENT/INCIDENT INVESTIGATIONS ARE REQUIRED

As a rule, investigations will be conducted for:

- All injuries (even the very minor ones)
- All accidents with potential for injury
- Fires, explosions, Spills
- Property and/or product damage situations
- All “near misses” where there was potential for serious injury

Near misses and incidents, reporting and investigation allow you to identify and control hazards before they cause a more serious incident. Accident/incident investigations are a tool for uncovering hazards that either were missed earlier or hazards where controls were defeated. However, it is important to remember that the investigation is only useful when its objective is to identify root causes. In other words, every contributing factor to the incident will be uncovered and recommendations made to prevent recurrence.

Accident/Incident Investigation Plan

When a serious accident occurs in the workplace, everyone will be too busy dealing with the emergency at hand to worry about putting together an investigation plan, so the best time to develop effective accident investigation procedures is before the accident occurs. Part of an effective accident and incident investigation plan is to assign responsibilities. The plan will include procedures that determine:

- Who will be notified of accident?
- Who is authorized to notify outside agencies? (Fire, police, etc.)
- Who is assigned to conduct investigations?
- Training required for accident investigators
- Who receives and acts on investigation reports?
- Timetables for conducting hazard correction

GATHER INFORMATION

The next step is to gather useful information about what directly and indirectly contributed to the accident.

The proper equipment will be available to assist in investigating, writing equipment such as paper, pens, measuring equipment, cameras, small tools, audio recorder, personal protective equipment (PPE), marking devices such as flags, equipment manuals, etc.

The following tools will be used to gather as much information as possible:

- Locate witnesses, ensure unbiased testimony and obtain appropriate interview location.

- To ensure detailed interviews, interviewers will be trained.
- Interview eyewitnesses as soon as possible after the accident. Interview witnesses separately, never as a group. Statements will be collected.
- Interview other interested people such as supervisors, co-workers, etc.
- Follow-up interviews with all witnesses.
- Review related records such as: Training records, disciplinary records, medical records, maintenance records, OSHA 300 log and safety committee records.

Documentation

All incident investigations will be documented in a written report and include the following:

- Name of injured employee
- The time, date and location of the incident
- The severity and a detailed description, including the cause of incident or injury
- Name of the investigator and the date the investigation took place
- Evidence collected
- Corresponding corrective actions

The incident can also be documented by photos, videos or sketches of the scene.

Evidence

Evidence will be collected, secured and preserved immediately following the incident and will include witness statements and interviews.

Evidence is defined as: Environmental factors such as weather conditions, illumination, temperature, ventilation, and physical factors such as age and medical conditions, people, equipment, material, and papers will be preserved, secured, and collected through, notes, photographs, witness statements, flagging and impounding of documents and equipment.

Develop a Sequence of Events

Use the information gathered to develop a detailed description of the accident. Make sure the accident is documented in enough detail to enable an individual unfamiliar with the situation to envision the sequence of events. Do not just describe the accident itself; include a description of events that led up to the accident.

Analyze the Accident/Incident

The next step is to determine the cause(s) of the accident. This is the most difficult step because first, the events will be analyzed to discover the surface cause(s) for the accident and then, by asking “why” a number of times, the related root causes are uncovered. Remember, surface causes are usually obvious and not too difficult to determine. However, it may take a great deal more time to accurately determine the weaknesses in the management system, or root causes, that contributed to the conditions and practices associated with the accident.

SURFACE CAUSES

The surface causes of accidents are those hazardous conditions and individual unsafe employee/manager behaviors that have directly caused or contributed in some way to the accident.

Hazardous Conditions May Exist in Any of the Following Categories

- Materials
- Machinery
- Equipment
- Tools
- Chemicals
- Environment
- Workstations
- Facilities
- People
- Workload

It is important to know that most hazardous conditions in the workplace are the result of unsafe behaviors that produced them. Individual unsafe behaviors may occur at any level of the organization.

Some Example of Unsafe Employee/Manager Behaviors Includes

- Failing to comply with rules
- Using unsafe methods
- Taking shortcuts
- Horseplay
- Failing to report injuries
- Failing to report hazards
- Allowing unsafe behaviors
- Failing to train
- Failing to supervise
- Failing to correct
- Scheduling too much work
- Ignoring worker stress

ROOT CAUSES

The root causes for accidents are the underlying system weaknesses that have somehow contributed to the existence of hazardous conditions and unsafe behaviors that represent surface-related causes of accidents. Root causes always preexist surface causes. Inadequately designed system components have the potential to feed and nurture hazardous conditions and unsafe behaviors. If root causes are left unchecked, surface causes will flourish. Root causes may be separated into two (2) categories:

System Design Weaknesses

Missing or inadequately designed policies, programs, plans, processes and procedures will affect conditions and practices generally throughout the workplace. Defects in system design represent hazardous system conditions.

System Implementation Weaknesses

Failure to initiate, carry out, or accomplish safety policies, programs, plans, processes and procedures. Defects in implementation represent ineffective management behavior.

System design weaknesses: Missing or inadequate safety policies/rules; training program not in place; poorly written plans; inadequate process; no procedures in place; develop preventive actions.

System implementation weaknesses: Safety policies/rules are not being enforced; safety training is not being conducted; adequate supervision is not conducted; incident/accident analysis is inconsistent; lockout/tagout procedures are not reviewed annually.

Corrective Actions

Hawk Energy, LLC will include on in the written investigation, immediate corrective actions to be taken as well as long term actions to prevent the recurrence of the incident. All the work done to this point culminates with recommendations to prevent similar accidents from happening in the future. Recommendations will relate directly to the surface and root causes of the accident. These recommendations will include recommended actions such as:

- Assigned responsibilities relative to the corrective actions
- Actions will be tracked to closure
- Engineering controls (e.g., local exhaust ventilation or use of a lift-assisting device)
- Work practice controls (e.g., pre-plan work and remove jewelry and loose-fitting clothing before operating machinery)
- Administrative controls (e.g., standard operating procedures or worker rotation)
- PPE (e.g., safety glasses or respirators)

It is crucial that, after making recommendations to eliminate or reduce the surface causes, the same procedure is used to recommend actions to correct the root causes. If root causes are not corrected, it is only a matter of time before a similar accident occurs.

Written Incident Report

Written incident reports will be prepared and include an incident report form and a detailed narrative statement concerning the event. The format of the narrative may include an introduction, methodology, summary of the incident, investigation board members names, narrative of the event, findings and recommendations. Photographs, witness statements, drawings, etc. will be included

Documentation and Communications of Lessons Learned

Lessons learned will be reviewed and communicated to affected employees. Changes to processes will be placed into effect to prevent reoccurrences or similar events.

SUMMARY

A successful accident investigation determines not only what happened but determines how and why the accident occurred. Investigations are crucial as an effort to prevent a similar or perhaps more disastrous sequence of events.

Research has shown that a typical accident is the result of many related and unrelated factors that somehow all come together at the same time. Usually, ten (10) or more factors contribute to a serious accident. Although, this combination of factors normally makes an investigation very time consuming and resource intensive, the good news is that the accident can normally be prevented by removing only a few of the contributing factors.

Employee Incident Report

Reported By:	Date of Report:
Title / Role:	Incident No:
Employee Incident Information	
Employee Name:	Date:
Title / Role:	Time:
Location:	
Specific Area of Location:	
Additional Person(s) Involved:	
Witnesses:	
Incident description including any events leading to or immediately following the incident:	
Employee explanation of events / circumstances:	
Resulting action executed, planned, or recommended:	

CODE OF CONDUCT

Proactive management includes supervisory leadership and control to change unproductive activities. Conformance with safety policies, rules and regulations is a necessary component of our safety program.

Employee safety responsibilities are communicated during initial orientation. Safety rules and regulations are reviewed with employees by their supervisors and are part of the documented safety training process.

Supervisors understand and enforce safety rules as a part of their job. This process may involve coaching, counseling, verbal or written reprimands and discipline in the form of suspension and/or termination. When appropriate, documented verbal warnings and reprimands are issued and carried out by supervisors.

Failure to adhere to any of the safety rules and safe work practices will result in disciplinary action. All discipline will be documented in the employee's folder. Discipline may be more severe depending on the offense.

_____ Employee Name:	_____ Employee Signature	_____ Date
_____ Reporting Staff Name:	_____ Reporting Staff Signature:	_____ Date
_____ HR Name:	_____ HR Signature:	_____ Date

Accident /Incident Report

HAWK ENERGY, LLC HSE

Date	Time	Day of Week <input type="checkbox"/> S <input type="checkbox"/> M <input type="checkbox"/> T <input type="checkbox"/> W <input type="checkbox"/> T <input type="checkbox"/> F <input type="checkbox"/> S		Shift <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3	Department
Injured Person					
Name:			Address:		
Age:	Phone:				
Job Title:			Supervisor Name		
Length of Employment at Job Title:			Length of Employment with Company:		
Employee Classification: <input type="checkbox"/> Fulltime <input type="checkbox"/> Part Time <input type="checkbox"/> Contractor <input type="checkbox"/> Temporary					
Nature of Injury		<input type="checkbox"/> Foreign Body	<input type="checkbox"/> Other (specify):		
<input type="checkbox"/> Strain/Sprain	<input type="checkbox"/> Bruising	<input type="checkbox"/> Dislocation	Remarks:		
<input type="checkbox"/> Fracture	<input type="checkbox"/> Chemical Reaction	<input type="checkbox"/> Internal			
<input type="checkbox"/> Laceration/Cut	<input type="checkbox"/> Amputation	<input type="checkbox"/> Burn/Scald			
Treatment		Name of Treating Physician or Facility:			
<input type="checkbox"/> First Aid	Address:				
<input type="checkbox"/> Emergency Room					
<input type="checkbox"/> Drs Office					
<input type="checkbox"/> Hospitalization					
Damaged Property					
Property, Equipment or Material Damaged			Describe Damage		
Object or Substance Inflicting Damage					
Incident Description					
Describe what happened: (attach any photographs or diagrams if necessary):					
Root Cause Analysis (check all that apply)					
Unsafe Acts		Unsafe Conditions		Management Deficiencies	
<input type="checkbox"/> Improper Work Technique		<input type="checkbox"/> Poor Workstation Design/Layout		<input type="checkbox"/> Lack of Written Policies & Procedures	
<input type="checkbox"/> Safety Rule Violation		<input type="checkbox"/> Congested Work Area		<input type="checkbox"/> Safety Rules Not Enforced	
<input type="checkbox"/> Improper PPE Or PPE Not Used		<input type="checkbox"/> Hazardous Substances		<input type="checkbox"/> Hazards Not Identified	
<input type="checkbox"/> Operating Without Authority		<input type="checkbox"/> Fire or Explosion Hazard		<input type="checkbox"/> PPE Unavailable	
<input type="checkbox"/> Failure to Warn or Secure		<input type="checkbox"/> Inadequate Ventilation		<input type="checkbox"/> Insufficient Worker Training	
<input type="checkbox"/> Operating at Improper Speeds		<input type="checkbox"/> Operating at Improper Speeds		<input type="checkbox"/> Insufficient Supervisor Training	
<input type="checkbox"/> By-Passing Safety Devices		<input type="checkbox"/> Improper Tool or Equipment		<input type="checkbox"/> Improper Maintenance	
<input type="checkbox"/> Guards Not Used		<input type="checkbox"/> Insufficient Knowledge of Job		<input type="checkbox"/> Inadequate Supervision	
<input type="checkbox"/> Improper Loading or Placement		<input type="checkbox"/> Slippery Conditions		<input type="checkbox"/> Inadequate Job Planning	
<input type="checkbox"/> Improper Lifting		<input type="checkbox"/> Poor Housekeeping		<input type="checkbox"/> Inadequate Hiring Practices	
<input type="checkbox"/> Servicing Machinery in Motion		<input type="checkbox"/> Excessive Noise		<input type="checkbox"/> Inadequate Workplace Inspection	
<input type="checkbox"/> Horseplay		<input type="checkbox"/> Inadequate Hazards Guarding		<input type="checkbox"/> Inadequate Equipment	
<input type="checkbox"/> Drug or Alcohol Use		<input type="checkbox"/> Defective Tools/Equipment		<input type="checkbox"/> Unsafe Design or Construction	
<input type="checkbox"/> Unnecessary Haste		<input type="checkbox"/> Insufficient Lighting		<input type="checkbox"/> Unrealistic Scheduling	
<input type="checkbox"/> Unsafe Act of Others		<input type="checkbox"/> Inadequate Fall Protection		<input type="checkbox"/> Poor Process Design	
<input type="checkbox"/> Other:		<input type="checkbox"/> Other:		<input type="checkbox"/> Other:	

Accident/Incident Analysis			
Using the root cause analysis list on the previous page, explain the cause(s) of the incident in as much detail as possible.			
Make sketches or illustrations to help describe incident:			
How bad will the accident have been? <input type="checkbox"/> Very Serious <input type="checkbox"/> Serious <input type="checkbox"/> Minor		What is the chance of the accident happening again? <input type="checkbox"/> Frequent <input type="checkbox"/> Occasional <input type="checkbox"/> Rare	
Preventative Actions			
Describe actions that will be taken to prevent recurrence:	Deadline	By Whom	Complete
Investigation Team			
Name	Signature	Position	

Training Record

Trainer:	
Signature:	
Date:	
Content of Training:	
Attendees	
Print Name:	Signature:

