Executive Office Instruction REF. EOI.SSC.2021.02 Reporting and Management of Health & Safety and Social & Environmental Incidents

Authority:

This Executive Office Instruction (EOI) is promulgated by the Chief Financial Officer and Director of Administration, on the basis of a delegation of authority from the Executive Director under EOD Ref. EOD.ED.2021.01 – Occupational Health & Safety and Social & Environmental Management.

Purpose:

The purpose of this EOI is to set out UNOPS minimum standards regarding the reporting and management of Health & Safety and Social & Environmental (HSSE) incidents.

This EOI does not address the reporting and management of Safety and Security related matters, that are already covered by the United Nations Security Management System (UN SMS) and administered through the United Nations Department of Safety & Security (UNDSS), which are addressed under a separate Operational Directive and Instruction(s).

Effective Date:

This EOI shall be effective immediately.

Promulgation Date:

10 Nov 2021

Consequential changes:

This EOI version abolishes and replaces EOI.CSG.2017.02: Reporting and Management of Health & Safety and Social & Environmental Incidents of 25 August 2017. The purpose of this revision is to differentiate between incidents in which UNOPS has direct control and those in which UNOPS has influence but has no direct control. This version also introduces the definition of a minor social issue or incident.

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1. Introduction

1.1 This EOI applies to HSSE incidents that may occur during the implementation of UNOPS projects or at UNOPS facilities.

1.2 All HSSE incidents that are at UNOPS workplaces or are as a result of UNOPS activities shall be reported as indicated in this instruction. However, incidents shall only be recorded as UNOPS incidents when UNOPS has control over the activity or area where the incident occurred. UNOPS controlled activities refer to work activities by UNOPS personnel or by contractors or agents that are contracted to carry out activities on behalf of UNOPS.

1.3 The objective is to ensure that HSSE incidents are being reported and managed appropriately so that lessons learned and improvements in preventing and managing HSSE incidents may be made.

2. HSSE Incidents that Must be Reported and Addressed In accordance with this EOI

Class 1 HSSE Incidents

a) Fatal Incident: a work-related injury or illness that results in death. This also includes deaths of non-UNOPS people caused by UNOPS activities.

b) Lost-time injury or illness: a work-related injury or illness that results in a person not being able to perform his/her duties for at least seven (7) days. Weekends are included in the calculation of these days.

c) Major environmental incident: an incident resulting in negative environmental impacts that have any of the following characteristics- i) impossible or difficult to reverse within reasonable time and cost, ii) persist beyond the duration of the project, iii) extend beyond the immediate neighbours of the operations.

d) Major property damage incident: an incident resulting in damage to property where the cost of the damage is equal to or above $20 000.

e) Major social issue/incident: An issue arising from negative interactions with the public, community or other stakeholders leading to a significant negative impact on society, beneficiaries or project affected people.

Class 2 HSSE Incidents

f) Minor environmental incident: any localised environmental impact that does not lead to greater impacts outside of the operations area and may be corrected relatively easily within UNOPS operations area.

g) Minor Injury/illness: Minor injury/illness requires immediate attention, but either does not interrupt the workflow or results in a person not being able to perform his/her duties for less than seven (7) days; and does not lead to significant reduction in quality of life of the affected person.

h) Minor property damage: Incident with the cost of damage amounting to less than $20 000.

i) Minor social issue/incident: a minor issue or incident arising from interaction with the public, community and/or other stakeholders, that has limited negative impacts on society and beneficiaries, but needs to be recorded and monitored to avoid escalation.

j) Near Miss: An incident in which there was no harm to personnel or reportable damage to property or the environment, but the occurrence had such potential for harm that it deserves to be addressed to avoid harm in the future.

Note that incidents are categorised according to the definitions given above. The significant categories may be highlighted during incident classification if an incident falls into two or more categories. However, the incident category with the most severe consequences shall be used as the overall category of the incident.

3. Actions Immediately After an Incident Occurs

3.1 In the event of an emergency situation resulting from an HSSE incident, any UNOPS personnel and contractors that become aware of the emergency shall immediately activate the emergency processes at the location of the HSSE incident, such as triggering emergency alarms and calling emergency services.

3.2. Priority shall be given to attending any injured persons, ensuring public safety and limiting additional damage to sensitive environments.

3.3. Then, or concurrently as need be, focus shall be on endangered or damaged property.

3.4. First aid, firefighting equipment, spill kits and other initial response mechanisms shall be used to limit the impact of the incident before emergency services such as ambulance and fire brigade services or other help arrives.

3.5. Depending on the nature of the incident, the UNOPS person responsible for the location where the incident has occurred may call for assistance in responding to the incident from the police, civil protection units, or other local authority who may be equipped to assist in ensuring public safety.

3.6. The location where the incident occurred shall be secured to preserve evidence until further investigations into the incident have been conducted.

4. Reporting of HSSE Incidents

4.1 Any UNOPS personnel or contractors that become aware of a Class 1 or Class 2 HSSE Incident shall report such incident to the UNOPS personnel responsible for the activity or facility where the incident occurred. This shall be done as soon as possible and within no more than 24 hours for a Class 1 HSSE incident and within no more than 48 hours for a Class 2 HSSE incident.

4.2. All class 1 HSSE incidents shall be reported to the most senior UNOPS Representative in the Country. The most senior UNOPS Representative shall report the incident to the Head of the HSSE Unit at HQ within 24 hours. The Head of the HSSE Unit shall assess the report and advise the Director, SSC on whether the Senior Leadership Team (SLT) should be notified immediately. If notification is required,

the SSC Director shall inform the CFO and Director of Admin) who shall inform the Executive Director and other members of the SLT.

4.3. For the purposes of this instruction, a Class 2 incident shall be considered to have been reported only when an incident report form has been completed and made available to the HSSE country coordinator and the UNOPS personnel responsible for the activity or facility.

4.4. For UNOPS HQ in Denmark, the HSSE incident, whether Class 1 or Class 2, shall be reported directly to the Head of the HSSE Unit following the same deadlines as above.

5. Investigation of HSSE Incidents

5.1. All HSSE incidents shall be investigated, to understand the causes of the incident, draw lessons learned, and take corrective measures to mitigate the risk of similar incidents from happening again.

5.2. For Class 2 HSSE incidents, the investigation shall be facilitated by the Project or Facility Manager, or at a higher level as may be determined by the most senior UNOPS Representative in the Country. Class 2 investigation findings, causes and corrective actions may be recorded on the reporting form.

5.3. For Class 1 HSSE incidents, the investigation shall be carried out by a multi disciplinary team led by UNOPS personnel different from the Project or Facility Manager responsible for the project or facility where the incident occurred to ensure independent review of the incident. That team shall be appointed by the most senior UNOPS Representative in the country in consultation with the Head of the HSSE Unit at HQ. The Head of the HSSE Unit at HQ may also assign another investigation team, that is independent of the business unit where the incident has occurred, to perform an independent review of the incident. The investigation team may consist of UNOPS personnel or third party service providers or a combination of UNOPS personnel and third party service providers.

5.4. The investigation shall be initiated as soon as possible, and within a maximum of 48 hours from the occurrence of the incident, and shall be concluded within seven (7) days. If expert assistance from outside the country where the incident occurred is needed to assist with the investigation, the investigation shall be completed within a maximum of six weeks.

5.5. An investigation report for the Class 1 HSSE incident shall be prepared to show the causes of the incident and the corrective and preventative measures that are to be put in place to address the incident.

5.6. After investigations have been completed, the Head of the HSSE Unit at HQ shall collaborate with the business unit where the incident occurred to facilitate the sharing of lessons learned with other business units.

6. External Communication

6.1. Class 1 HSSE incidents (a), (c), (d), (e) are considered to be a high risk, high probability event in accordance with OI.CG.2019.03 on Crisis Communications and as such, the UNOPS most Senior Representative must report the event to the Director, Communications Group within the applicable 48hr timeframe.

6.2. Should a public statement need to be issued in response to the incident, the Director, Communications Group shall advise on the content, timing, distribution and delivery of a public statement by a duly authorized member of personnel in accordance with OI.CG.2020.02 on Media Relations. This will be guided by information, advice and consultation with the officials detailed in OI.CG.2019.03 as well as the Head of the HSSE Unit at HQ.

6.3. In addition to public communications considerations, the Director, Communications Group shall advise the UNOPS most Senior Representative and management team on relevant internal communications considerations and recommendations as required.

6.4. Reporting and incident management requirements of partners shall complement the requirements set out in this instrument and shall not replace or compromise the need to comply with this instruction.