

**EXECUTIVE OFFICE INSTRUCTION REF. EOI.CSG.2017.02
REPORTING AND MANAGEMENT OF
HEALTH & SAFETY AND SOCIAL & ENVIRONMENTAL INCIDENTS**

1. Authority:

- 1.1. This Executive Office Instruction (EOI) is promulgated by the Director, Corporate Support Group, on the basis of a delegation of authority from the Executive Director under EOD Ref. EOD.ED.2017.03 – Occupational Health & Safety and Social & Environmental Management of 13 March 2017.

2. Purpose:

- 2.1. 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.
- 2.2. 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 will be addressed under a separate Operational Directive and Instruction(s).

3. Effective Date:

- 3.1. This EOI shall be effective **from 01 September 2017**.

[signature redacted]

Karsten Bloch
Director, Corporate Support Group

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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. 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 can be made.
- 1.3. A diagram summarising the HSSE incident reporting and management processes as set out below is attached, as Annex 1.

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) **Reportable social issue/incident:** An issue arising from negative interactions with the public, community or other stakeholders leading to a significant negative impact on society or reputational risk for UNOPS.

Note that an incident may fall under one or more definitions.

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) **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.

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. Except for incidents occurring at UNOPS HQ in Denmark, all HSSE incidents shall be reported to the most senior UNOPS Representative in the Country. Class 1 HSSE incidents shall also be reported by the most senior UNOPS Representative to the HSE Manager at HQ. The HSE Manager at HQ shall assess the report and simultaneously share the information with the Hub Director (as applicable), the Regional Director, and the Director, CSG. The Regional Director (in consultation with the Director, CSG) shall inform the Executive Office, the General Counsel, the Communications Group and other relevant HQ Groups, as appropriate.
- 4.3. For UNOPS HQ in Denmark, the HSSE incident, whether Class 1 or Class 2, shall be reported directly to the HSE Manager at HQ following the same deadlines as above.

- 4.4. The above reporting shall be done by using the HSSE Incident Reporting Form available on the HSE HQ Team's intranet page.
- 4.5. The HSE Manager at HQ shall maintain records of HSSE incidents that have been reported in the year and shall report such incidents to the Director, CSG annually.

5. Investigation of HSSE Incidents:

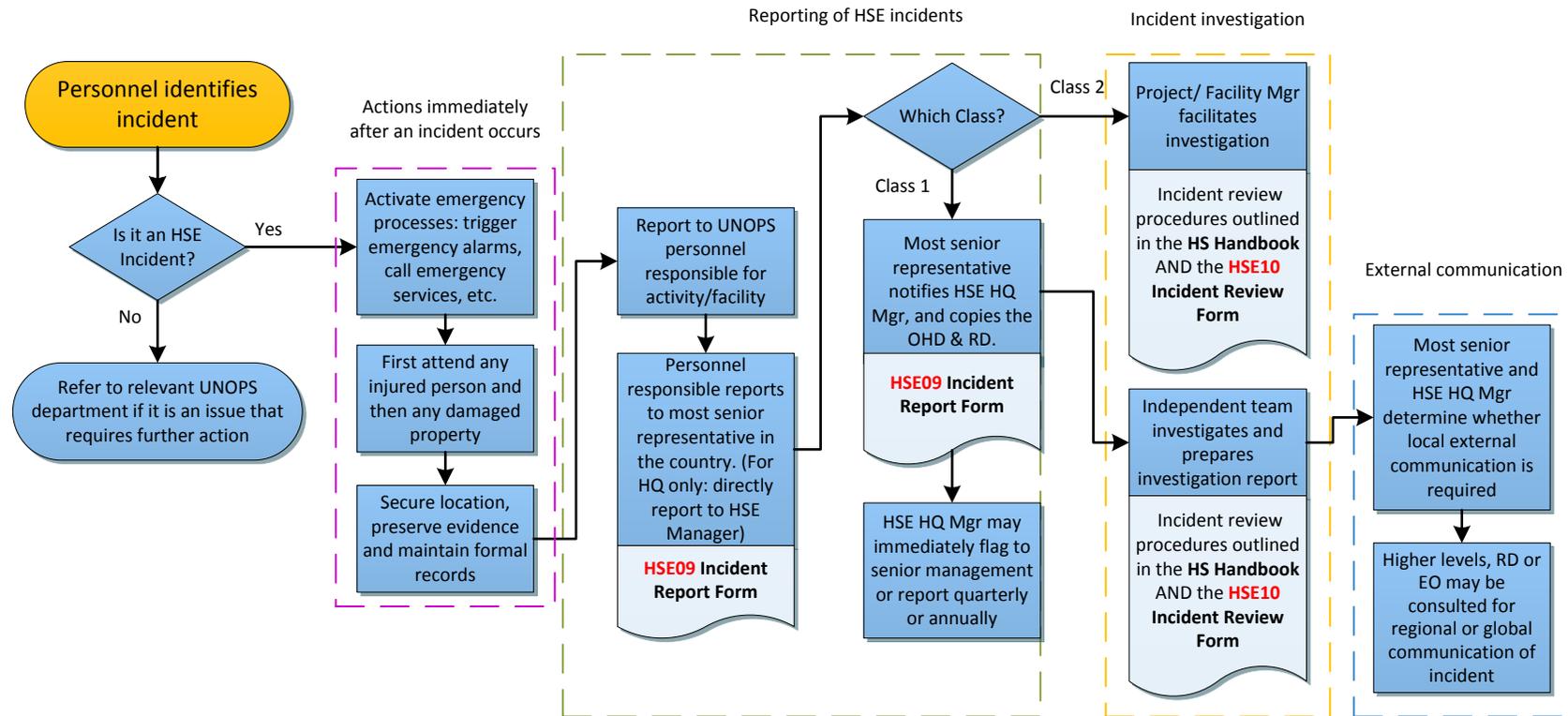
- 5.1. All HSSE incidents shall be investigated, to understand the causes of the incident, draw lessons learned, and take corrective measures to mitigate the risk of similar incidents from happening again.
- 5.2. For Class 2 HSSE incidents, the investigation shall be facilitated by the Project or Facility Manager, or at a higher level as may be determined by the most senior UNOPS Representative in the Country. A full investigation report is recommended but is not mandatory for Class 2 incidents. Indicating causes and corrective actions on the reporting form is acceptable.
- 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. The HSE Manager at HQ may use his/her discretion to recommend the participation of a reviewer from outside of the location where the incident has occurred.
- 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 a month.
- 5.5. For Class 1 HSSE incidents, an investigation report shall be prepared to show causes of the incident, the corrective measures that have been done to address the incident and to prevent similar incidents from happening again. The investigation report shall also contain a section on lessons learned.

6. External Communication:

- 6.1. For each Class 1 HSSE incident, the UNOPS most Senior Representative in the country where the Class 1 HSSE incident occurred, in coordination with the HSE Manager at HQ, shall determine whether and to what extent local external communication on the incident, for example, to safeguard public safety or to explain to third parties what happened and what has been done to address the incident, may be required.
- 6.2. Acting on advice from the HSE Manager at HQ, the Director, CSG in coordination with the Regional Director may decide to consult with the Executive Office on the need for the involvement of the Executive Office in the regional or global external

communication of the incident. The General Counsel and the Communication Group shall be consulted, as appropriate.

Annex 1. Flow diagram for HSSE Incident Management



Acronyms

OHD: Operational Hub Director, **RD:** Regional Director, **EO:** Executive Office, **GC:** General Counsel, **CG:** Communications Group, **HSE HQ Mgr:** Health, Safety and Environmental HQ Manager, **CSG:** Corporate Support Group