



# **JOINT OPERATIONS**



**SAUDI ARABIAN CHEVRON INC. – KUWAIT GULF OIL COMPANY (K.S.C.)**

## **SHEERS Process**

# **Incident Investigation Reporting & Learning**

**13 September 2022**

# **Incident Investigation Reporting & Learning**

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## **1.0 PURPOSE**

The purpose of the Incident Investigation Reporting & Learning Process is to define requirements for:

- Investigating incidents and near misses
- Communicating lessons learned
- Promoting learnings from events

## **2.0 OBJECTIVES**

The objective of this SHEERS Process is to set expectations on how to effectively:

- Establish an investigation team
- Execute a high-quality incident investigation
- Reinforce learning
- Document and analyze information and
- Share lessons learned in support of broader enterprise learning

## **3.0 SCOPE**

This Standard applies to JO operations for both company and contractors, for all activities within [SHEERS reporting boundaries](#) as defined.

The SHEERS Process includes the following items:

- Assessment and Notification
- Leadership and SHEERS Culture
- Investigation Team Mobilization
- Investigation Criteria
- Investigation Methodology Selection
- Alternative Methodology Approval
- Lessons Learned
- Investigation Quality Reviews
- Assuring Investigation Corrective Action(s)
- Investigation Information Management

This SHEERS Process aligns with:

- International conventions and protocols ratified by the government of Kuwait and by the Kingdom of Saudi Arabia.
- JO Management System

Where there is a conflict between legislation and the requirements set out in this Process, the more stringent requirements shall be followed while ensuring legal compliance requirements are met.

The following event types are specifically excluded from the scope of this Standard:

- Events deemed outside of the JO SHEERS Reporting Requirements.
- Non-work-related events
- Allegations of impropriety involving JO personnel, including, but not limited to, allegations of fraud, conflict of interest, or harassment of any kind. Immediately refer all such matters to Human Resources, Security, and Legal.

## **4.0 REQUIREMENTS**

### **4.1 Assessment and Notification:**

When an event occurs, the Join Operation (JO) shall assess the severity and determine whether an immediate notification is required to inform Non-Operators (KGO & Chevron).

For more details, see [JO Severity Determination Incident Notification Procedure](#).

### **4.2 Leadership and SHEERS Culture:**

Reinforce leadership expectations in fostering trust, positively responding to feedback, and encouraging the workforce to learn by:

- Understanding how JO responds to incidents plays a key role in the outcome of a successful investigation.
- Demonstrate a caring attitude for people and the facility involved and avoid the use of language that could bias the investigation, thus creating an environment that supports development of a rich, contextual understanding of incidents.
- Play a key role in the makeup of the investigation team and providing time for the organization to learn.
- All personnel and contractors shall receive training to ensure that they understand the importance of incident recording and reporting and are competent in how and when to apply the incident management system.

### **4.3 Investigation Team Mobilization:**

Investigation team member roles and responsibilities shall be established, clearly defined, understood, documented, and disseminated for all personnel who are part of the investigation. Investigation team roles listed in [Roles & Responsibilities](#) shall be filled relevant to the complexity of the event and learning value to the JO.

*Note:* For probable Level 3 investigations where an external or Non-Operator Representative Investigation Facilitator/Team Leader/Team Member is deemed appropriate, JO shall provide external Investigation Facilitators/Team Leaders access to specific document repositories/systems of record, local storage folders, and/or networks, ensuring all relevant JO specific content (i.e. assurance documents, maintenance records, risk assessment records, investigation templates, report requirements, etc.) is available prior to investigation team commencement.

### **4.4 Investigation Criteria:**

**Key objectives that should be considered for a successful Investigation outcome**

1. Investigate events at the probable level of consequence., The rigor of investigation, will be based upon learning opportunity and event severity
2. Identify and analyze safeguard and underlying systems performance related to risk assessment, assurance, and verification programs
3. Identify and analyze causal factors using the investigation methodology approved by the JO
4. Develop specific, measurable, achievable, relevant, and time-bound (SMART) actions that address safeguard performance related to the hazard and eliminate those underlying system causes.
5. Track recommended actions to closure.

#### **Additional supporting objectives**

1. Mobilize a team for more serious events within a reasonable timeframe to work with the JO to gather data and establish key facts
2. Clarification at the beginning of the investigation regarding team member role, investigation report requirements.
3. Gather data as soon as safe to do so and in accordance with local incident investigation protocols
4. Establish a sequence of events and/or timelines with applicable safeguard success/failures listed, where appropriate
5. Document the investigation using the JO report format and JO requirements.
6. JO-specific investigation documents listed in [the Roles & Responsibilities appendix](#) may be used to determine the investigation level and team composition

#### **4.5 Investigation Methodology Selection:**

Events shall be investigated using one of the investigation methodologies listed below and shall be approved by the Investigation Management Sponsor.

- [Why Tree](#)
  - May be used on all levels of events, but primarily on complex and/or high consequence events where multiple causal factors may be present
- [Five Why](#)
  - May be used as a standalone methodology on Level 1 and 2 investigations
- [Learning Teams](#)
  - May be used as a standalone methodology on Level 1 and 2 investigations or as a data gathering supplement to Level 3 investigations

#### **4.6 Alternative Methodology Approval:**

**Five Why**, or **Learning Teams** may be used for Level 3 investigations if the event scenario is not complex and has prior approval from the Management Sponsor.

Contractor investigation techniques

may be utilized with level 3 scenarios requiring approval from the JO EHS General Manager.

#### **4.7 Lessons Learned:**

- Post-investigation learning and lessons learned shall be shared where the investigation team and/or JO has indicated broader learning value
- JO to share lessons learned to address similar hazards that may exist across the Operation as well as to Nonoperators (KGOC & Chevron)

#### **4.8 Investigation Quality Reviews:**

JO should conduct and document Quality Reviews (QR's) for probable Level 3 investigations to validate that investigation quality is being maintained.

Non-Operator EHS Teams may provide independent quality review feedback to JO on select probable Level 3 investigations. When requested, investigation data shall be submitted by the JO II&R Process Advisor to the Non-Operators for post-closure QR.

#### **4.9 Assuring Investigation Corrective Action(s):**

- Verification & Validations (V&V's) should be conducted for all Level 3 investigations to ensure corrective actions were properly implemented and remain effective.
- Ensuring the long-term effectiveness of the corrective actions should be updated and monitored through the local assurance process.

#### **4.10 Investigation Information Management:**

Investigation findings shall be documented and tracked in the incident database of record and supporting documentation shall be maintained in an approved JO location.

Critical investigation documentation and data are to be managed and handled as defined by JO Policy 566 "Critical" information is defined as the required documentation and information captured and created during the investigation.

## **5.0 MEASUREMENT AND VERIFICATION**

### **5.1 Measurement**

The following metrics shall be tracked to determine that the Incident Investigation Reporting & Learning process is effective in meeting its stated purpose. Metrics shall include the following leading and lagging measures.

#### **5.1.1 Leading Measures**

- Percentage of investigation action items that are completed by their due date
- Percentage of improvement in investigation quality review scores

#### **5.1.2 Lagging Measures**

- Total number of level 3 incidents quarterly (by incident category)
- Ratio of near misses to the total of level 2 and level 3 incidents (excluding near misses). (Over time, near miss reporting should increase and the occurrence of actual incidents should decrease.)
- Total number of JO level 3 incidents, with similar root causes identified in previous incidents and major incident studies

## 5.2 Verification

The following steps shall be conducted to verify process performance.

### 5.2.1 Verification of Conformance

The JO II&R Process Sponsor and JO II&R Process Advisor shall verify adherence and identify nonconformance to the SHEERS process as designed and documented. A documented verification of conformance of the SHEERS process shall occur in accordance with the Management System Process (MSP) Self-Assessment and shall be based upon the following:

- Documents and records
- Demonstrated competence at the point of execution
- Process leading and lagging metrics

### 5.2.2 Review of Process Effectiveness

Annually, the JO II&R Process Sponsor and JO II&R Process Advisor shall determine the extent to which the process is accomplishing its purpose and meeting its objectives.

## 6.0 LINK TO OTHER REFERENCES

This process comprises references to additional supporting procedures, policies and other resources (e.g.: Standards, requirements etc.) including those that address JO IIR process.

This standard references the following **internal** processes and documents:

- SHEERS Process Compliance Assurance
- SHEERS Process Emergency Management
- SHEERS Process Management System Cycle
- SHEERS Process Environmental Risk Management
- SHEERS Process Control of Work
- SHEERS Process Contractor EHS Management

## 6.1 Other Resources

Table 1.0

Related IIR Resources
<a href="#">Operational Excellence Data Reporting Standard (OEDRS)</a>
<a href="#">KPC HSSE Management System Standard - Incident Reporting &amp; Investigation</a>
<a href="#">Chevron Incident Investigation OE Standard</a>
<a href="#">U&amp;M II&amp;R Reporting &amp; Classification Procedure</a>
<a href="#">Chairman's Serious Incident Reporting Requirements</a>
<a href="#">U&amp;M IIR Toolkit</a>

[OE IMPACT IMS Quick Reference Guides](#)

[Operational Learning – Learning Teams Guidelines](#)

[OE IMPACT IMS Quick Reference Guides](#)

JO Policy 566

[Chevron Learning Standard](#)

## **APPENDIXES**

### **APPENDIX A – ROLES, RESPONSIBILITIES AND COMPETENCIES**

[JO Roles & Responsibilities](#)

### **APPENDIX B – ABBREVIATIONS & DEFINITIONS**

[IIR Abbreviations and Definitions](#)

### **APPENDIX C – PROCEDURES**

**JO Injury Management Procedure**

[Link to JO Injury Management Procedure](#)

**JO Severity Determination Incident Notification Procedure**

[Link to JO Severity Determination Incident Notification Procedure](#)

**JO SHEERS Reporting Boundaries**

[Link to JO SHEERS Reporting Boundaries](#)

**JO SHEERS Learning Procedure**

[Link to SHEERS Learning Procedure](#)