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Preiskava potrošniških incidentov - Zahteve in smernice

Consumer incident investigation — Requirements and guidance

Analyse des incidents affectant les consommateurs — Exigences et recommandations

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**Consumer incident investigation —
Requirements and guidance**

*Analyse des incidents affectant les consommateurs — Exigences
et recommandations*

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ISO copyright office
CP 401 • Ch. de Blandonnet 8
CH-1214 Vernier, Geneva
Phone: +41 22 749 01 11
Email: copyright@iso.org
Website: www.iso.org

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Contents

	Page
Foreword	iv
Introduction	v
1 Scope	1
2 Normative references	1
3 Terms and definitions	1
4 Principles of consumer incident investigation	3
4.1 General.....	3
4.2 Objective.....	5
4.3 Mission.....	5
4.4 Incident investigation organization and incident investigation team characteristics.....	5
4.4.1 General.....	5
4.4.2 Independence.....	5
4.4.3 Impartiality.....	6
4.4.4 Expertise.....	6
4.4.5 Resources.....	6
4.5 Respect for victims and victims' families.....	6
5 Incidents to be investigated	7
6 Conducting an incident investigation	8
6.1 Terms of reference.....	8
6.2 Investigation flow.....	8
6.3 Forming an incident investigation team.....	8
6.3.1 General.....	8
6.3.2 Expertise and skills of incident investigation team members.....	9
6.3.3 Conflicts of interest.....	9
6.3.4 Documentation.....	9
6.4 Creating an incident investigation plan.....	10
6.5 Initial investigation and data collection.....	10
6.5.1 Scene management.....	10
6.5.2 Data collection.....	11
6.5.3 Data validation.....	12
6.5.4 Experiments.....	12
6.6 Cause and factor analysis.....	13
6.6.1 Perspectives on cause and factor analysis.....	13
6.6.2 Cause and factor analysis techniques.....	14
6.7 Risk reduction measures to prevent recurrence.....	15
6.8 Incident investigation report.....	15
6.8.1 General.....	15
6.8.2 Structure of the incident investigation report.....	15
7 Follow-up on recommendations	16
Annex A (informative) Factor analysis methods	17
Annex B (informative) Root cause analysis method	25
Annex C (informative) Example of a scene risk assessment	29
Bibliography	33

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Foreword

ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). The work of preparing International Standards is normally carried out through ISO technical committees. Each member body interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular, the different approval criteria needed for the different types of ISO document should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2 (see www.iso.org/directives).

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Any trade name used in this document is information given for the convenience of users and does not constitute an endorsement.

For an explanation of the voluntary nature of standards, the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the World Trade Organization (WTO) principles in the Technical Barriers to Trade (TBT), see www.iso.org/iso/foreword.html.

This document was prepared by Project Committee ISO/PC 329, *Consumer incident investigation guideline*.

Any feedback or questions on this document should be directed to the user's national standards body. A complete listing of these bodies can be found at www.iso.org/members.html.

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ISO 5665:2024(en)

Introduction

The objective of this document is to provide a process to any person or any organization of any size, whether it is public, private or not-for-profit, to investigate consumer incidents in order to prevent them from occurring in the future.

To prevent incidents from recurring, it is essential to conduct incident investigations that can lead to effective measures.

Some manuals and guides describing the principles and methods of incident investigation already exist in many fields (e.g. the aviation industry). Even though the fields are different, the literature have a common investigative purpose – to analyse the causal factors leading to the incident and propose preventative measures.

However, the development of effective incident investigation guidelines has yet to include incidents that affect consumers involving the use of products, services or facilities. These incidents can occur anywhere.

This document focuses on the investigation of consumer incidents. Thus, the incident investigation organization can trust other organizations conducting investigations according to this document. It would activate data sharing, respecting confidentiality policy or regulation, among organizations including full and complete data and related information on consumer incidents. This document encourages the full and complete sharing of information arising from an investigation, including the final report and all of the data developed during the investigation.

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Consumer incident investigation — Requirements and guidance

1 Scope

This document provides general requirements and recommendations on the principles, procedures, and methods for investigating incidents where there have been injuries, illnesses, damage to health, fatalities to consumers, damage to property or environmental damage related to the use of products, services or facilities by consumers.

NOTE 1 These incidents can occur anywhere.

This document is applicable to any person or any organization of any size, whether it is public, private or community-based.

NOTE 2 This document is not limited to incidents while products, services or facilities are in use, but also includes incidents that occur when products, services or facilities are not in use, such as during transportation or storage by consumers.

2 Normative references

There are no normative references in this document.

3 Terms and definitions

For the purposes of this document, the following terms and definitions apply.

ISO and IEC maintain terminology databases for use in standardization at the following addresses:

- ISO Online browsing platform: available at <https://www.iso.org/obp>
- IEC Electropedia: available at <https://www.electropedia.org/>

3.1

causal factor

condition, event, omission, deficiency or action that contributed directly to the incident

3.2

conflict of interest

situation where business, financial, family, political or personal interests can interfere with the impartial judgment of persons in carrying out their duties for the *incident investigation organization* (3.10)

3.3

consumer

individual member of the general public purchasing or using products, services or facilities for private purpose

[SOURCE: ISO 26000:2010, 2.2, modified — "property" was deleted from the definition "facilities" has been added to the definition.]

ISO 5665:2024(en)

3.4 consumer incident incident

occurrence, condition or situation that resulted in, or can result in injuries, illnesses, damage to health, or fatalities to *consumers* (3.3), damage to property, or an environmental damage related to use of products, services or facilities by consumers

Note 1 to entry: The term “accident” is used in some sectors as a synonym for incident but it is not used synonymously in this document.

3.5 consumer incident investigation incident investigation investigation

series of processes to collect as much *data* (3.6) as possible related to the incident to be investigated, to understand the events that occurred, to analyse the factors, to identify or estimate the causes and factors of the incident, and to develop and submit *recommendations* (3.13) on measures to prevent the incident from recurring

3.6 data

information collected during the course of an investigation for reference or analysis

Note 1 to entry: Data can be in, but is not limited to, the following forms: documents, records, dictations, interview transcripts, photographs, videos, materials, instruments, tools, statistical information, analytical results, research data, papers, hospital records and coroner’s records, social media posts.

Note 2 to entry: Data can include discovery of non-incident related data that, although not directly related to the incident, can potentially pose a hazard or identify a deficiency.

[SOURCE: CSA Z1005-17:2017, 3.1]

3.7 direct cause

last *causal factor* (3.1) in the chain of causation leading to the incident

Note 1 to entry: There can be more than one direct cause.

3.8

harm <https://standards.iteh.ai/catalog/standards/sist/61d92dfa-4a82-421e-9712-90722a103973/sist-iso-5665-2024>
injury or damage to the health of people, or damage to property or the environment

[SOURCE: ISO/IEC Guide 51:2014, 3.1]

3.9 human error

discrepancy between the human action taken or omitted, and that intended or required

[SOURCE: IEC 62740:2015, 3.1.10]

3.10 incident investigation organization

organization whose purpose is to conduct *consumer incident investigations* (3.5)

3.11 incident investigation team

people assigned by an *incident investigation organization* (3.10) to perform *consumer incident investigations* (3.5)

ISO 5665:2024(en)

3.12

reasonably foreseeable misuse

use of a product or system in a way not intended by the supplier, but which can result from readily predictable human behaviour

[SOURCE: ISO/IEC Guide 51:2014, 3.7, modified — Notes 1 and 2 to entry have been deleted.]

3.13

recommendation

advice to the relevant department or organization regarding matters identified as needing to be corrected to prevent recurrence as a result of the incident investigation

Note 1 to entry: Corrective actions to remove potential for *harm* (3.8) and to reduce *risk* (3.14) can include, but are not limited to: additional product or facility redesign, instructions, warning statements, signage, service procedures, training for service providers and organizational management issues.

3.14

risk

combination of the probability of occurrence of *harm* (3.8) and the severity of that harm

[SOURCE: ISO/IEC Guide 51:2014, 3.9, modified — Note 1 to entry has been deleted.]

3.15

root cause

causal factor (3.1) or *underlying factor* (3.17) with no predecessor, that is relevant for the purpose of the investigation

Note 1 to entry: An incident normally has more than one root cause.

3.16

safety

freedom from *risk* (3.14) which is not tolerable

[SOURCE: ISO/IEC Guide 51:2014, 3.14]

3.17

underlying factor

condition, event, omission, deficiency or action that contributed indirectly to the incident

Note 1 to entry: Underlying factors are factors, if eliminated, that would not necessarily prevent the incident, but can help prevent future incidents.

Note 2 to entry: Underlying factors include management and organizational factors.

Note 3 to entry: Some documents apply the term “contributing factor” to this definition.

3.18

vulnerable consumer

consumer (3.3) who can be at greater *risk* (3.14) of *harm* (3.8) from products, services or facilities due to their demographic, level of literacy, physical condition or limitations, or inability to access product *safety* (3.16) information

[SOURCE: ISO 10377:2013, 2.30, modified — “services or facilities” has been added and “age” has been replaced by “demographic” in the definition.]

4 Principles of consumer incident investigation

4.1 General

The incident investigation process described in this document is shown in [Figure 1](#). Each stage in the process is discussed in detail in the subclauses of [Clause 4](#). [Figure 1](#) includes the relevant clause numbers at each step to help find the relevant information.

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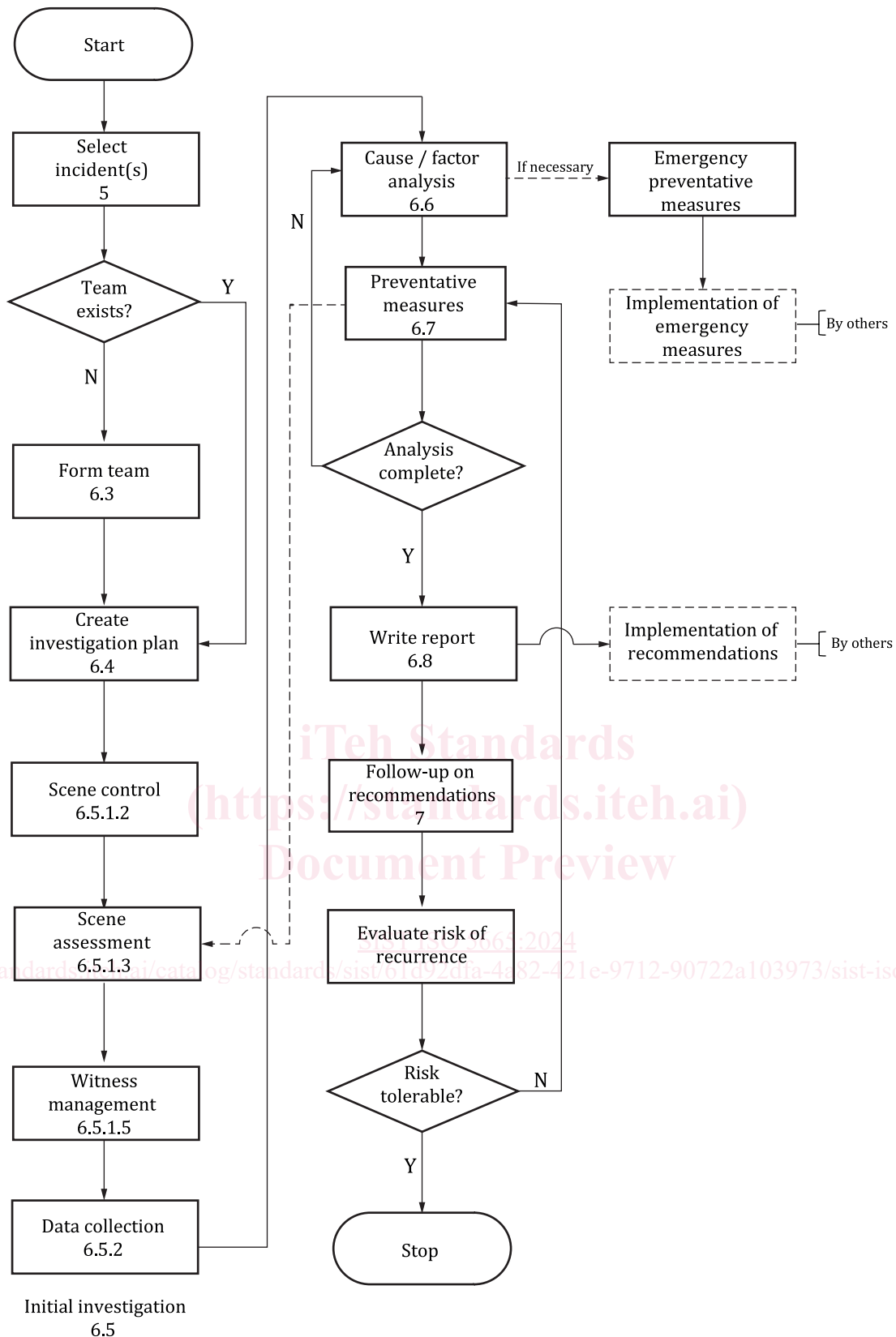


Figure 1 — Consumer incident investigation process