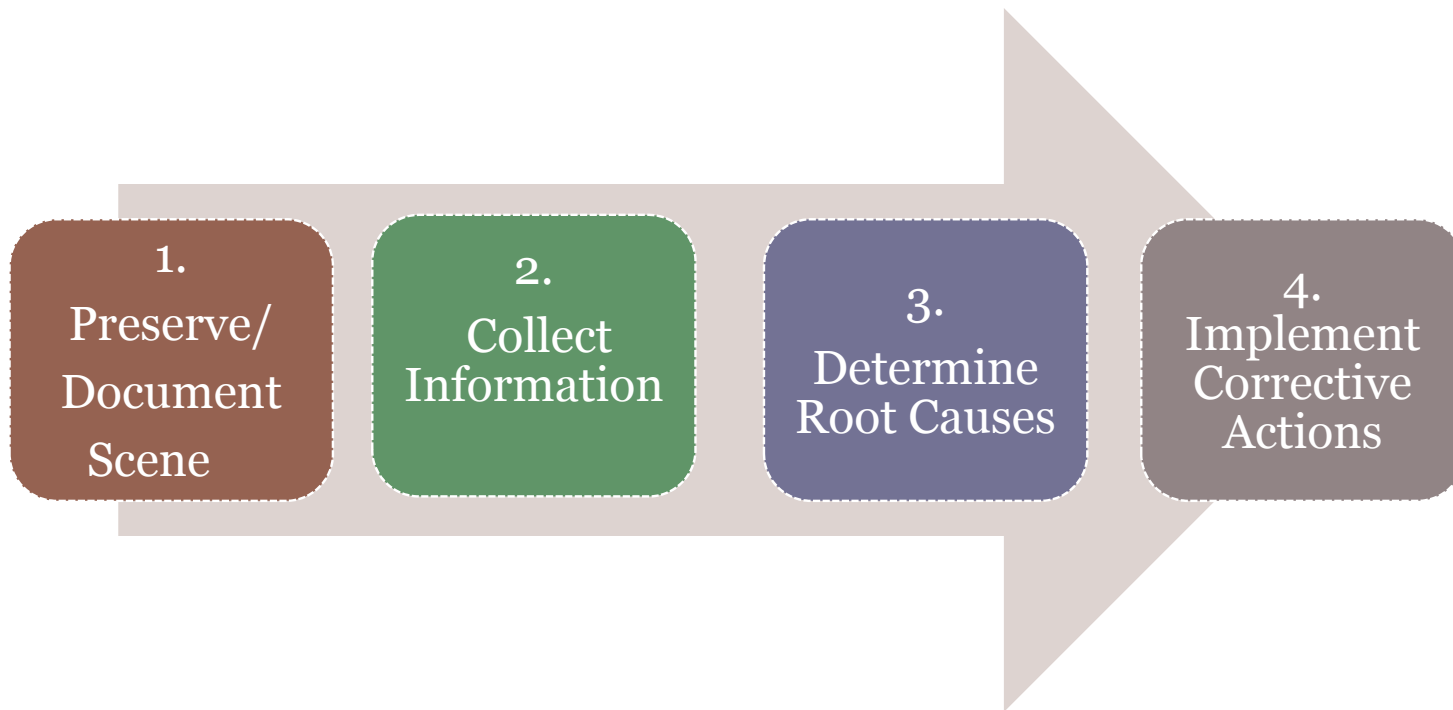


Incident [Accident] Investigations



Objectives for Today

- Discuss the importance of why all incidents, regardless of size or impact, need to be investigated.
- Discuss a four step process on how to conduct an incident [accident] investigation.
 - Step 1. Preserve/Document the Scene
 - Step 2. Collect Information
 - Step 3. Determine the Root Causes
 - Step 4. Implement Corrective Actions
- Look beyond *what* happened to discover *why* it happened.

Key Terms

- **Accident Investigation:** A detailed, defined, and recorded review of an occurrence, the factors, causes and relationships which lead to an accident or incident.
- **Incident:** A work-related event in which an injury or illness or fatality occurred, or could have occurred
- **Root Causes:** The underlying reasons why unsafe conditions exist or if a procedure or safety rule was not followed in the workplace
- **Close Call:** An incident that could have caused serious injury or illness but did not; also known as a “near miss.”

Why Investigate?

- **Incident investigations help employers:**
 - Prevent injuries and illnesses
 - Save lives
 - Save money
 - Demonstrate commitment to health and safety
 - Promote positive workplace morale
 - Improve management

Look Beyond *What* to Discover *Why*

- All incidents, regardless of size or impact, need to be investigated. By using the four steps we will discuss today, the process will help look beyond *what* happened to discover *why* it happened.

Step 1.

Preserve/Document the Scene



Preserve the Scene

- Preserve the scene to prevent material evidence from being removed or altered. Use cones, tape and/or guards.



Document the Scene

- Document the incident facts such as the date of the investigation and who is investigating.
- Essential to documenting the scene is capturing the injured employee's name, injury description, whether they are a temporary or permanent worker, and date and location of the incident.

Document (cont'd)

- The investigator can also document the scene by use of video recording, photographing and sketching.



Step 2.

Collect Information



Investigators must be sure to answer the following questions:

WHO?

WHAT?

WHEN?

WHERE?

WHY?

HOW?

WHO?

- Who was injured?
- Who saw the incident?
- Who was working with the employee?
- Who had instructed/assigned the employee?
- Who else was involved?
- Who else can help prevent recurrence?

WHAT?

- What was the incident?
- What was the injury?
- What was the employee doing?
- What had the employee been told to do?
- What tools was the employee using?
- What machine was involved?
- What operation was the employee performing?
- What instructions had the employee been given?
- What specific precautions were necessary?
- What specific precautions was the employee given?
- What protective equipment should have been used?
- What protective equipment was the employee using?
- What had other persons done that contributed to the incident?
- What problem or questions did the employee encounter?
- What did the employee or witnesses do when the incident occurred?
- What extenuating circumstances were involved?
- What did the employee or witnesses see?
- What will be done to prevent recurrence?
- What safety rules were violated?
- What new rules are needed?

WHEN?

- When did the incident occur?
- When did the employee start on that job?
- When was the employee assigned on the job?
- When were the hazards pointed out to the employee?
- When was the employee's supervisor last check on job progress?
- When did the employee first sense something was wrong?

WHERE?

- Where did the incident occur?
- Where was the employee at the time?
- Where was the supervisor at the time?
- Where were fellow workers at the time?
- Where were other people who were involved at the time?
- Where were witnesses when incident occurred?

WHY?

- Why was the employee injured?
- Why and what did the employee do?
- Why and what did the other person do?
- Why wasn't protective equipment used?
- Why weren't specific instructions given to the employee?
- Why was the employee in the position?
- Why was the employee using the tools or machine?
- Why didn't the employee check with the supervisor when the employee noted things weren't as they should be?
- Why did the employee continue working under the circumstances?
- Why wasn't the supervisor there at the time?

HOW?

- How did the employee get injured?
- How could the employee have avoided it?
- How could fellow workers have avoided it?
- How could supervisor have prevented it - could it be prevented?

Interviews

- Incident information is collected through interviews, document reviews and other means.
- Interviews can often yield detailed, useful information about an incident. Since memories fade, interviews should be conducted as promptly as possible.

Other sources of useful information

- In addition to interviews, investigators may find other sources of useful information. These include:
 - Equipment manuals
 - Industry guidance documents
 - Company policies and records
 - Maintenance schedules, records and tags
 - Training records (including communication to employees)
 - Audit and follow-up reports
 - Enforcement policies and records
 - Previous corrective action recommendations

SUPERVISOR'S ACCIDENT/INJURY INVESTIGATION REPORT

Instructions: Supervisor & employee shall complete the report, attach photographs, applicable documentation and submit to the Human Resources Department.

Employee Information:

Employee Name:	Employee Phone Number:	
Employee Address, City, State, Zip Code:		
Social Security Number:	Date of Birth:	Sex:
Department:	Occupation:	
Date of Hire:	Supervisor Name:	

Incident Information:

Date of Incident:	Time of Incident:	AM	PM
Date Claim Reported:	Name of Representative:		
Location of Incident:			
Type of Incident:			
Description of Incident			

Vehicle Information (If Applicable):

Did the incident involve vehicle damage: <input type="checkbox"/> Yes <input type="checkbox"/> No (If yes, complete below)	
Were Police Notified? <input type="checkbox"/> Yes <input type="checkbox"/> NO	
Vehicle Number:	
Vehicle's Make and Model:	Vin Number:
Tracking Number (PD ONLY): _____	

SUPERVISOR'S ACCIDENT/INJURY INVESTIGATION REPORT

Injury/Treatment Information (If Applicable):

Any Injuries? Yes No
Initial Treatment Received: First Aid Medical Refused
If applicable, did employee received mandatory drug/alcohol screening: Yes No
Hospital/Treatment Center Name:
Part of Body Affected:
Describe Treatment Received:

Witness Information:

Were there Witnesses? Yes No (If yes, complete below)
Witness (1) Name:
Witness (1) Phone number:
Witness (2) Name:
Witness (2) Phone number:

Prevention Information:

* Do you feel that any process or procedures could be changed to prevent this type of incident from occurring in the future?
Were safeguards or safety equipment provided or in place? Yes No
Were Safeguards or safety equipment used? Yes No
* If yes, please explain:

EMPLOYEE'S ACCIDENT/INJURY STATEMENT

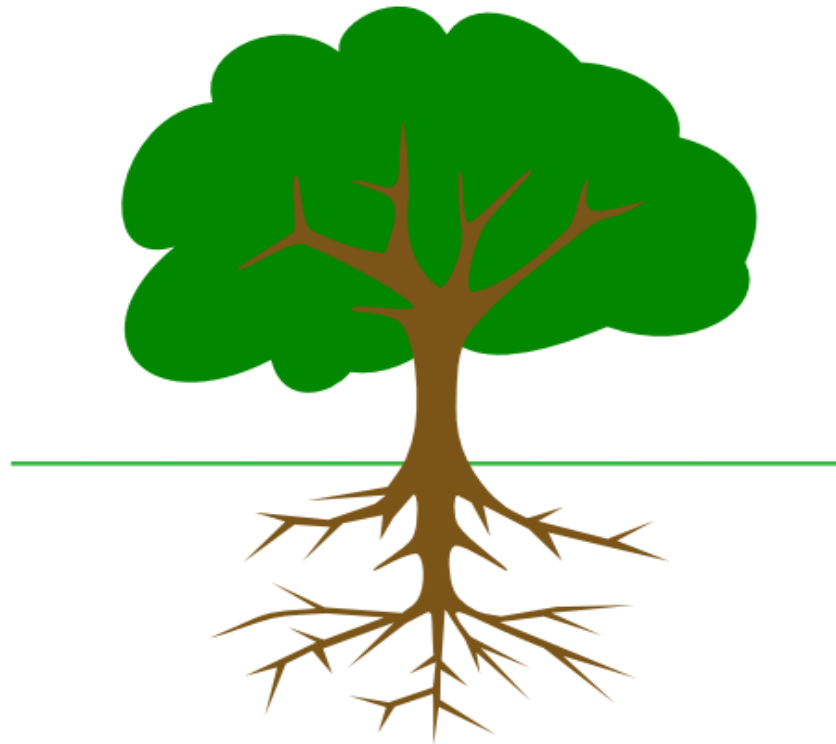
Incident Information:

Please describe in detail the cause of the accident/injury. Include place of the accident and description of injury sustained. What was taking place prior to the accident? What occurred to cause the incident?

Employee's Signature: _____ Date: _____
Supervisor's Signature: _____ Date: _____
Department Head's Signature: _____ Date: _____
Human Resources Director's Signature: _____ Date: _____

Step 3.

Determine Root Causes



Why?

- Determining the root cause is the result of persistently asking “why.”
- Determining the root cause is the most effective way to ensure the incident does not happen again.



Example of WHY Questions

- If a procedure or safety rule was not followed, WHY? Was the procedure out of date or safety training inadequate? Was there anything encouraging deviation from job procedures such as incentives for speed of completion? If so, WHY had the problem not been identified or addressed before?

WHY?

- Was the machinery or equipment damaged or failed to operate properly? If so, WHY?



WHY?

- Was a hazardous condition a contributing factor? If so, WHY was it present? Was there defects in equipment/tools/materials, unsafe condition previously identified but not corrected, inadequate equipment inspections, incorrect equipment used or provided?

WHY?

- Was lack of personal protective equipment (PPE) a contributing factor? If so, WHY? Was PPE not used at all, inadequate or used incorrectly? PPE incorrectly specified for the job/task?

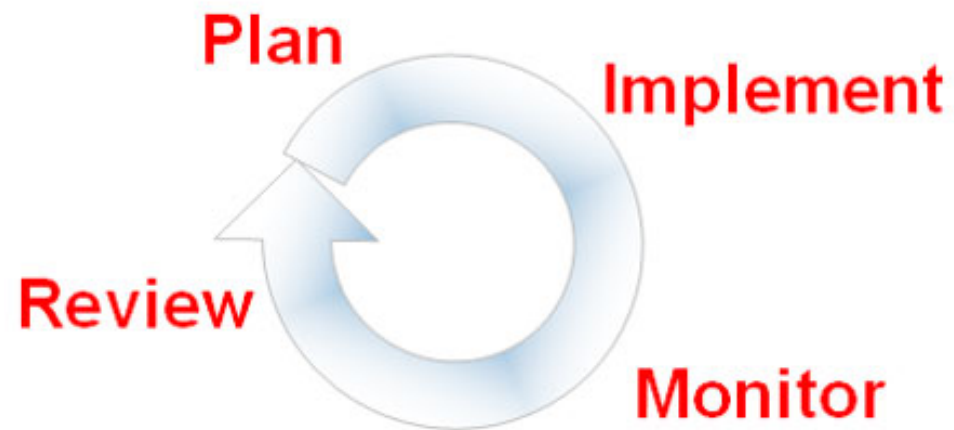


WHY?

- Was a management program deficit a contributing factor? If so, WHY? Failure of a supervisor to detect or report hazardous condition, supervisor accountability not understood, supervisor or worker inadequately trained, failures to initiate corrective actions previously recommended?

Step 4.

Implement Corrective Actions



Implementing Corrective Actions

- The investigation is not complete until corrective actions are implemented that address the root causes of the incident.
- The corrective actions may be of limited preventive value if they do not address the root causes of the incident.
- The findings and how they are presented will shape perceptions and subsequent corrective actions.

Follow Up

- Follow up to ensure corrective actions that are decided upon are implemented by rules established for each action.
- Check on the accuracy and effectiveness of the rules during follow up.
- Talk to people involved to ensure that necessary training was received and that the corrective actions work. Some questions to ask:
 - Are similar incidents still occurring?
 - What is the quality of supervision?
 - Are employees able to take individual action?

Remember

- A successful investigation must always focus on discovering the root causes.
- Investigations are not effective if they are focused on finding fault or blame.
- The main goal must always be to understand how and why the existing barriers against the hazards failed or proved insufficient, not to find someone to blame.

Conclusion

- All incidents, regardless of size or impact, need to be investigated.
- By using the four steps discussed today, the process will help look beyond *what* happened to discover *why* it happened.
 - Step 1. Preserve/Document the Scene
 - Step 2. Collect Information
 - Step 3. Determine the Root Causes
 - Step 4. Implement Corrective Actions

THANK YOU



Cheryl Riley
Claim Manager
criley@pgcs-tpa.com

P.O. Box 958456
Lake Mary, FL 32795
1-800-237-6617

Wendy Hall
Claim Supervisor
whall@pgcs-tpa.com