

This sample policy/procedure must be customized to fit the needs of your company. It must be integrated into other policies/procedures and processes as required. This is not meant to be used "as-is", but must be adapted to reflect your company needs and processes.

[insert company info here]

INCIDENT INVESTIGATION AND ANALYSIS

Date of Issue:	
Written by:	Date:
Reviewed by:	Date:
Approved by:	Date:

PURPOSE

To identify all immediate and basic causes of relevant injury and/or incident at (enter your company name) and make the necessary recommendations to prevent injury and/or incident from recurring.

SCOPE

This procedure applies to all employees of (enter your company name) and the entire workplace (including all workplace locations, sites, buildings, vehicles used for company purposes).

Investigations will be conducted for ;

- Fatalities
- Critical injuries
- Lost-time injuries
- No lost-time injuries (i.e. medical aid)
- First Aid and near misses
- Occupational Illnesses
- Property Damage
- Fires
- Environmental Releases
- Workplace Violence and harassment
- Incidents with potential for psychological injury

DEFINITIONS

First Aid: Includes but is not limited to: cleaning minor cuts, scrapes or scratches; treating a minor burn, applying bandages and/or dressings, cold compress, cold pack, ice bag, splint, changing a bandage or a dressing after a follow-up observation visit and any follow-up for observation purposes only.

Health Care: An injury that results in attention received from a recognized health care provider but that does not result in time away from scheduled work nor a wage loss.

Near Miss: An event that under different circumstances could have resulted in physical harm to an individual or damage to the environment, equipment, property and/or material.

The following categories of injury / Incidents may produce a loss of people, equipment, materials and / or environment. Immediate investigation of the following is required.

Fatality: An injury that results in the loss of life

Critical Injury: As defined in the Ontario Regulation 834/90

Lost Time: A work related injury that results in the injured employee missing scheduled time from work resulting in a wage loss.

No Lost Time: A work related injury that does not result in the injured employee missing scheduled time from work resulting in a wage loss.

First Aid and Near Misses:

Property Damage: An event where contact is made between two objects resulting in alteration to one or both of the objects.

Occupational Illness: A condition that results from exposure in a workplace to a physical, chemical or biological agent to the extent that normal physiological mechanisms are affected and the health of the worker is impaired.

Environmental Release: An accidental discharge of a physical, biological or chemical substance into the workplace and/or community.

Fire/Explosion: An event where undesired combustion occurs.

Workplace Violence and Harassment:

Incidents with Potential for Psychological Injury.

ROLES & RESPONSIBILITIES

Senior Management is responsible for:

- Ensuring the requirements of this procedure are established, implemented, monitored and maintained
- Ensuring that managers/supervisors complete the investigations and follow this procedure

Manager/Supervisor is responsible for:

- Completing the investigations
- Overseeing that this procedure is followed

JHSC/Health and Safety Worker Representative are/is responsible for:

- Participating in investigations per this procedure

Employees are responsible for:

- Cooperating with the investigations as applicable

PROCEDURE

In the case of personal injury the supervisor ensures that the injured employee(s) receives appropriate medical care.

The supervisor notifies appropriate personnel, as soon as possible;

Internal – by (paging/phoning cell phone of) the Health and Safety Co-ordinator

External – see communications at bottom of this section

The supervisor contacts a worker representative from the Joint Health & Safety Committee (JHSC) designated to investigate the injury/incident, to assist with the investigation.

The manager / supervisor investigates the injury/incident and completes the Accident Investigation form within 24 hours of the injury/incident.

Note: The supervisor and the worker representative can request assistance from other managers, supervisors, or any other source that may be available. They are also responsible for securing the scene of the injury/incident.

The worker representative must be involved in the investigation of a fatality or critical injury.

The worker representative and the supervisor together conduct the investigation and assist in completing the report. Both the supervisor and the worker representative sign the Injury/incident investigation report, upon completion.

Where required by legislation the worker representative submits a copy of the injury/incident investigation to the appropriate authority (see Communication at bottom of this section).

The Joint Health and Safety Representatives ensure the checklist and investigation reports are completed and signed by the appropriate worker and management representative of the Joint Health and Safety Committee.

The investigators need to be trained and competent in conducting investigations. This training will occur within the first month of appointment to the JHSC or as a supervisor / manager or as soon as practical.

Investigations need to be conducted in a professional manner. Their responsibilities include;

- Interview workers involved
- Interview witnesses
- Interview outside experts, if applicable; for example: suppliers, equipment designers
- Ensure the interviews are conducted as soon as reasonably possible.
- The interviews should be conducted in a quiet place (for example a manager's office), one on one
- The interview must be documented (see Witness Statement form)

The scene shall be assessed as follows;

- Make observations, and use the scene assessment form to document the scene (site, equipment, material).
- Use photographs/sketches/drawings etc.
- A written narrative (objective) of what happened, include witness statements

Identify Root Causes and Contributing Factors

- Factors to be considered are People, Equipment, Material, Environment and Process and include what role the factor played.
- Actions must be taken to mitigate any additional consequences of an incident

Write the Report;

- Use the injury investigation report form to identify contributing factors through a review of items such as maintenance records, plant layout, training records, time of day, length of service in this - work area, etc.
- The standard investigation reporting system (form) must capture all the requirements contained in the investigation procedure. In some cases, additional forms or documentation may be needed. This might include witness statements and / or scene assessment forms and police reports.

- Copies of the investigation report are sent (when investigation is completed) to the Health and Safety Co-ordinator, Plant Manager and Co-Chairs of the JHSC.

Recommendations for corrective action;

- Responsibilities must be assigned for implementation of the recommended actions.
- Recommendations are documented on the Corrective Action form.
- The recommendations must focus on corrective actions(s) to all the contributing factors identified.

Recommendations should specify:

- What needs to be done
- Why it needs to be done
- When it should be completed

Recommendations are acted upon;

- Responsibility must be assigned to implement the recommendations.
- The actions must be recorded on the company standard form, it must include:
 - What has been done
 - Who has completed the actions, and
 - When the actions were completed

In addition, the investigators shall identify opportunities for continual improvement.

The results and recommendations of the injury/incidents will be communicated to the employees in a number of ways:

- Minutes of the Joint Health & Safety Committee meetings
- Supervisors holding monthly safety talks with employees
- Through postings on the safety bulletin boards
- Injury / Incident Logbook

The Joint Health & Safety Committee will assist in all areas with remedial actions and recommendations. They shall follow up with appropriate workplace parties to ensure the corrective actions are completed.

Notification Requirements:

Critical and fatal injuries (under Critical injury regulation)

Require you contact the Ministry of Labour immediately and a written investigation report must be completed and sent within 48 hours.

Fire and Explosion:

Require you contact the Ministry of Labour immediately, if it results in an injury

Chemical Releases:

Require you contact the Ministry of Environment immediately

Lost time, Health Care, Modified work required as a result of first aid and only extending beyond 7 days:

Workplace Safety and Insurance Board - Form 7 completed within 3 days of being advised of the injury and submitted to WSIB within 7 days

EVALUATION

This procedure will be evaluated on an annual basis or if an investigation identifies revisions are required.

REFERENCES

Occupational Health and Safety Act (Section 51, 52)
Regulation 834/90: Definition of Critical Injury

Dated at _____ this _____ day of _____, 20__.

Signature

Witness

Name & Title (please print)

Name

Continuous Improvement Review Tracking		
Date of Review/Change	Notes	Name of Reviewer

BE CAREFUL OF ALL DATES:

DO NOT USE OLD INCORRECTLY DATED DOCUMENTS

ALL DATES MUST BE IN CHRONOLOGICAL ORDER: policy, communicate, train, evaluate, act

WSIB GUIDELINE:

Incident investigation and analysis

Prerequisite(s): Injury, illness and incident reporting

Summary:

Incident investigations highlight the reasons why accidents occur and how to prevent them. The primary purpose of incident investigations is to improve health and safety performance by exploring the reasons for the event and identifying both the immediate and underlying root causes to prevent it from happening again.

Requirements:

Your business will establish, implement, monitor and maintain a procedure to investigate, analyze, document and maintain records for all incidents.

The procedure must include:

- Roles and responsibilities for management, joint health and safety committee, health and safety representatives and others who may be assigned to or are required to participate in the investigation process
- Requirement for the person or people investigating incidents to be trained and competent
- Identification of root causes, including all contributing factors
- Requirement to take actions to mitigate any additional consequences of an incident
- Identification and implementation of recommended corrective and preventive actions
- Identification of opportunities for continual improvement
- Requirement for the investigation process to be conducted in a professional manner
- Investigation timelines
- Reporting/notification requirements for both internal and external parties
- Communication of investigation results and follow up with appropriate workplace parties

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