SAFETY, SECURITY AND EMERGENCY MANGEMENT
3700 Willingdon Avenue
Burnaby, BC V5G 3H2
T 604.456.8011 **F** 604.456.1070

INCIDENT INVESTIGATION PROCEDURE AND REPORT FORM

This document provides information on how to conduct the investigation and how to complete the report form. The purpose of conducting an investigation is not to lay blame on anyone, but to determine the root cause(s) and prevent reoccurrence.

Who should do the accident investigating?

The principal investigator for most investigations will be the Supervisor or Instructor of the affected individual. For assistance, contact the Occupational Health & Safety Group (OHS Group) at BCIT_Occupational_Health_&_Safety@bcit.ca or 604.456.8044.

What are the steps involved in investigating an accident?

The accident investigation process involves the following steps:

- Gathering information
  - Conducting interview
  - Observing the scene
- Identify the causes
- Report the findings
- Develop a plan for corrective action
- Complete corrective actions

As little time as possible should be lost between the moment of an accident or near miss and the beginning of the investigation. In this way, one is most likely to be able to observe the conditions as they were at the time, prevent disturbance of evidence, and identify witnesses.

Upon completion of the Incident Investigation Form, the form should be sent to the OHS Group via:

- Email: BCIT_Occupational_Health_&_Safety@bcit.ca
- Inter-office mail: SSEM SW01-1001
- Fax: 604.456.1070

Why look for the root cause?

The important point is that even in the most seemingly straightforward accidents, seldom, if ever, is there only a single cause. By determining the root cause, it allows the opportunity to take steps to minimize reoccurrence.

What should be looked at as the cause of an accident?

An open mind is necessary in accident investigation: preconceived notions may result in some wrong paths being followed while leaving some significant facts uncovered. All possible causes should be considered.

Contributing factors of any accident can be grouped into five categories - material, task, environment, management and personnel. When this model is used, possible contributing factors in each category should be investigated. Each category is examined more closely below.

Material

To seek out possible contributing factors resulting from the equipment and materials used, investigators should ask:

- Was there an equipment failure?
- What caused it to fail?
- Were hazardous substances involved?
  - Were they clearly identified?
  - Was a less hazardous alternative substance possible and available?
- Was the raw material substandard in some way?
- Should personal protective equipment (PPE) have been used?
- Was the PPE used?
- Were users of PPE properly trained?

Again, each time the answer reveals a contributing factor, the investigator must ask **why** this situation was allowed to exist.

Task

Here the actual work procedure being used at the time of the accident is explored. Look for answers to questions such as:

- Was a safe work procedure used?
- Had conditions changed to make the normal procedure unsafe?
- Were the appropriate tools and materials available?
  - Were they used?
- Were safety devices working properly?
- Was lockout used when necessary?

Environment

The physical environment, and especially sudden changes to that environment, are factors that need to be identified. The situation at the time of the accident is what is important, not what the "usual" conditions were. For example, accident investigators need to know:

- What were the weather conditions?
- Was poor housekeeping a problem?
- Was it too hot or too cold?
- Was noise a problem?
- Was there adequate light?
- Were toxic or hazardous gases, dusts, or fumes present?

Management

Management holds the legal responsibility for the safety of the workplace and therefore the role of supervisors and higher management and the role or presence of management systems must always be considered in an accident investigation. Failures of management systems are often found to be direct or indirect factors in accidents. Ask questions such as:

- Were safety rules communicated to and understood by all employees?
- Were written procedures and orientation available?
- Were they being enforced?
- Was there adequate supervision?
- Were workers trained to do the work?
- Had hazards been previously identified?
- Had procedures been developed to overcome them?
- Were unsafe conditions corrected?
- Was regular maintenance of equipment carried out?
- Were regular safety inspections carried out?

Personnel

The physical and mental condition of individuals directly involved in the event must be explored. The purpose for investigating the accident is **not** to establish blame against someone but the inquiry will not be complete unless personal characteristics are considered. Some factors will remain essentially constant while others may vary from day to day:

- Were workers experienced in the work being done?
- Had they been adequately trained?
- Can they physically do the work?
- What was the status of their health?
- Were they tired?
- Were they under stress (work or personal)?

Corrective Actions

Corrective actions are assigned at the end of the investigation process, the intention is to rectify and improve any areas where improvement is required. Corrective actions have a direct relationship with the causes of the incident. Usually there is at least one corrective action item linked to each of the causes/contributing factors.

By completing the corrective actions, not only are the areas that require improvement being corrected, but it allows the persons involved to take responsibility to prevent reoccurrence. Each corrective action item is assigned to a person with an expected completion date. Some examples of corrective actions include:

- Train employee/student on safe work procedures
- Refresh employee/student on how to use & maintain personal protective equipment
- Inspect work area for hazards, unsafe conditions
- Sit down with employee/student to discuss hazards associated with their work
- Submit a facilities management work request for housekeeping, cleanup, repair, etc.
- Perform maintenance on machine/equipment

INCIDENT INVESTIGATION REPORT

Safety, Security and Emergency Management
3700 Willingdon Avenue
Burnaby, BC V5G 3H2
T 604.456.8011 • **F** 604.435.6035

EMPLOYEE/STUDENT INFORMATION

◯ Employee ◯ Student

First Name	Last Name	BCIT ID# (A00...)	
Department Supervisor	Occupation (if applicable)	First Aid Provided ◯ Yes ◯ No	Attendant

LOCATION, DATES AND TIMES

Date of Incident	Time of Incident	Date Reported
Location of Incident		

INVESTIGATOR (Supervisor or Instructor)

First Name	Last Name	Phone
Title	Work Area	

INCIDENT SPECIFICS

◯ Injury ◯ Near Miss	Hazardous Materials Released ◯ Yes ◯ No If yes, please list:	
Environmental Impact ◯ Yes ◯ No	Please explain	Amount
Evacuation Required ◯ Yes ◯ No	Emergency Services Called ◯ Yes ◯ No	

DESCRIPTION OF EVENT

From start to end, describe the entire event in detail. If more space is required, attach another sheet to this report.

RESET FORM

WITNESSES

1	First Name	Last Name	Phone
2	First Name	Last Name	Phone

CONTRIBUTING FACTORS (Check any/all that apply)

Material	Task	Environment	Management	Personnel
◯ Equipment failure	◯ Work procedures	◯ Temperature	◯ Inadequate written procedures	◯ Fatigue
◯ Machinery design	◯ Tools and materials	◯ Noise	◯ Lack of training	◯ Lack of training
◯ Hazardous substance	◯ Safety devices	◯ Lighting	◯ Supervision	◯ Inattention/careless
◯ Lack of equipment maintenance	◯ Lockout	◯ Housekeeping	◯ Maintenance	◯ Stress
◯ PPE not used	◯ Other:	◯ Uneven/slippery surface	◯ Other:	◯ Physically able to perform task
◯ PPE failure		◯ Other:		◯ Other:
◯ PPE inadequate for task				

ROOT CAUSE(S)

CORRECTIVE ACTIONS (For each contributing factor and root cause, have a corrective action)

Corrective Action Item	Person In Charge	Date Completed

INVESTIGATION CLOSURE

Investigator/Supervisor Name	Signature	Date
Employee/Student Name	Signature	Date
OH&S Representative Name	Signature	Date

Upon completion:

Email: BCIT_Occupational_Health_&_Safety@bcit.ca **Inter-office mail:** SSEM at SW1-1001 **Fax:** 604.456.1070

SUBMIT CLEAR FORM