

Introduction to Incident Investigation



Cape Breton Safety First Network - 2019 Symposium

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The Workers' Compensation Board of Nova Scotia (WCB) is the province's provider of workplace injury insurance.

We provide insurance to about 19,500 employers in Nova Scotia and insure 336,000 workers.

WCB insurance provides protections for employers and benefits for injured workers.

We are guided by and administer the [Nova Scotia Workers' Compensation Act and Regulations.](#)



Incident investigation: more than good practice!

Nova Scotia Occupational Health and Safety Act
S. 28, 2.G

*The employer shall establish and maintain a written occupational health and safety program... . The program shall include a system for the **prompt investigation of hazardous occurrences to determine their causes and the actions needed to prevent recurrences....***

In incident investigation we ask:

1. What Happened? *(description of incident)*
2. Why Did it Happen? *(identify immediate and root causes)*
3. What will be done to prevent it happening again?
(corrective actions to be taken)

Why do we ask this?

Because without properly answering:

Why did it happen?

We cannot answer:

What will be done to prevent it happening again?

This is the main reason for incident investigation!

Investigating Incidents: Six Key Steps

1. Emergency response

- *First aid requirements*
- *Other emergency response procedures*
- *Other injury response options*
(eg. direct access to physio, transitional duties)
- *Incident reporting*



2. Secure, notify, report

- *WCB requirements*
- *OHS Division requirements*
- *Other regulatory/licensing requirements*

| | | | | |
|--|------------------------------|---|--------------------------|---------------------|
| Who was hurt? <input type="checkbox"/> Employee <input type="checkbox"/> Visitor <input type="checkbox"/> Contractor <input type="checkbox"/> Other | Last Name: Donovan | First Name: Paul | Initial: | Phone or Extension: |
| | Job Title: WCB NS | Department: Workplace Consultant | Supervisor: | |
| | Date & Time of Incident: | Date Reported: | Type of Incident: | |
| Description of Incident: Hurt back moving boxes for Safety Symposium | | | | |
| <input type="checkbox"/> Slip*, trip or fall <input type="checkbox"/> Struck by / against object <input type="checkbox"/> Over exertion <input type="checkbox"/> Repetitive strain <input type="checkbox"/> Electrical contact <input type="checkbox"/> Exposure to hazardous material <input type="checkbox"/> Other (describe) | | | | |
| *If this was a SLIP, describe footwear: | | | | |
| Witnesses to the incident: (names and phone numbers) | | | | |
| What was the injury (indicate what part of the body): | | | | |
| Did you see a medical professional? <input type="checkbox"/> Yes <input type="checkbox"/> No If YES, please provide name, address and phone number: | | Treatment of Injury: <input type="checkbox"/> First Aid <input type="checkbox"/> Walk-in Clinic <input type="checkbox"/> Family Doctor <input type="checkbox"/> Emergency Room <input type="checkbox"/> Other (describe) _____ | | |
| THIS SECTION TO BE COMPLETED BY THE SUPERVISOR | | | | |
| Contributing Factors: What conditions contributed to the incident? | | | | |
| <input type="checkbox"/> Unsafe equipment <input type="checkbox"/> Inadequate illumination <input type="checkbox"/> Not or improperly guarded <input type="checkbox"/> Hazardous environment <input type="checkbox"/> Insufficient training <input type="checkbox"/> Improper position/posture <input type="checkbox"/> Insufficient care <input type="checkbox"/> Infraction or unsafe practice <input type="checkbox"/> Failure to use PPE <input type="checkbox"/> Operating without authority <input type="checkbox"/> Failure to lockout <input type="checkbox"/> Other (Explain) | | | | |
| Explanation of contributing factors: | | | | |
| Details of property damage (if any): | | | | |
| To your knowledge, has the employee had a previous similar injury or has this similar hazard been reported before? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A | | | | |
| Corrective Measures: Actions taken to prevent a reoccurrence (more than one item may apply): | | | | |
| <input type="checkbox"/> Request job safety analysis <input type="checkbox"/> On-the-job training <input type="checkbox"/> Perform housekeeping <input type="checkbox"/> Review PPE <input type="checkbox"/> Improve work procedure <input type="checkbox"/> Check with manufacturer <input type="checkbox"/> Re-training of person(s) <input type="checkbox"/> Discipline of persons <input type="checkbox"/> Repair or replace equipment <input type="checkbox"/> Install safety guard/device <input type="checkbox"/> Reassignment of person <input type="checkbox"/> Other (Explain) | | | | |
| Explanation of corrective measures: Use proper body mechanics when lifting | | | | |
| Signature of Employee Reporting Incident: | | Date: | Signature of Supervisor: | |
| | | | | |

SAMPLE Incident Report

Small Business Safety Toolkit WCB Nova Scotia

Reporting Requirements Include:

WCB Nova Scotia

- All injuries receiving medical attention and/or that result in lost time from work must be reported.
- Reporting must be within five business days
- Can report securely online with My Account

OHS Division

- An explosion and any incident resulting in death must be reported within 24 hours
- Fire resulting in injury and any incident resulting in serious bodily injury must be reported within seven days.

Investigating Incidents: Remaining Key Steps



3. Investigate

4. Prepare report

5. Implement corrective actions

6. Evaluate and monitor

Investigating measures and tools include:

Investigating Kits

- Suitable for the hazards of the workplace
- Should always have cue cards, contacts list, forms, paper, clipboard, pens, pencils, markers, access to a camera, flashlight, tape measure, gloves, tags, barricade tape

Gathering physical and documentary evidence

- May include damaged items, photos, security footage, testimony, training records, inspection reports, policies, etc.

Interviewing affected workers and witnesses

- Asking effective questions
- Awareness of interviewing “Do’s and Don’ts”

Asking Paul about his injury could sound like...

- *How long were you lifting boxes?*
- *What task did you perform prior to this?*
- *Did you take appropriate breaks?*
- *Were you permitted or directed to take any breaks?*
- *When did you notice discomfort?*
- *Can you show or describe how you lifted the boxes?*
- *Where any lifting tools or assistance available?*

Interviewing “Do’s and Don’ts” include:

Do:

- Interview separately and in an appropriate setting
- Be calm; show empathy
- Ask them to describe their experience
- Listen fully. Ask open questions , eg. “What happened next?”
- Confirm understanding statements
- Keep lines of communication open

Don’t:

- Infer or state blame
- Show them anger, frustration
- Interview in groups
- Interrupt witness’s account
- Use leading questions
- “Put words in their mouth”
- Ignore them by concentrating solely on note-taking

People

Contributing Factors
("immediate causes")

Equipment

Materials

Environment

Process

Root Causes

Use PEMEP's
contributing factors to
organize information
into immediate causes,
to get to root causes.

| Fall in parking lot | Before | During | After |
|---------------------|---|---------------------------------------|---|
| People | Staff arriving for work 30 minutes early | 7:30am Slipped on ice, breaking wrist | Additional staff attended to injured party, called ambulance |
| Equipment | Salt spreading equipment available | Not used | Salt spread |
| Materials | Salt available | Not used | Salt effective in controlling hazard |
| Environment | Ice on parking lot, Cold weather; Lighting poor (before sunrise) | Unchanged | Temperature higher, salt effective, sunrise brightened area |
| Process | Maintenance not on until 8:00am | Called in early to control situation | Shift changed to have one member of crew arrive ½ hour early to salt and one to stay ½ hour later |

Remember:

If corrective actions only address the immediate causes found in contributing factors, and not root causes as a whole, the investigation will not give the needed results.

Preparing an investigation report

Report - general outline:

- Describe the event and actions
- Describe immediate causes
- Describe root causes
- Describe corrective actions: already made and to be made
- Required timelines



Employer – required actions:

- Evaluates and signs
- Implements, follows up and continuously monitors
- Follows up with internal and external groups as required

CLOSE THE LOOP!



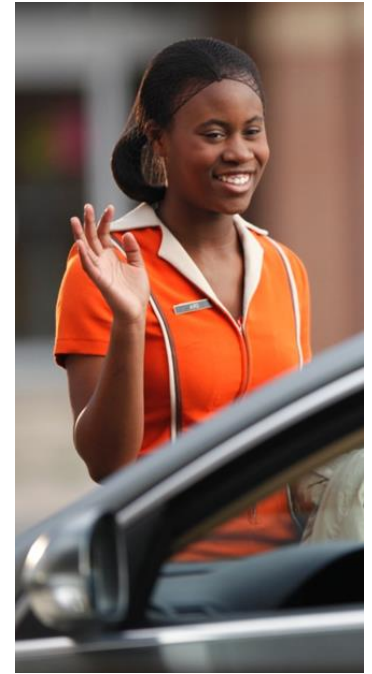
Our Resources Include:

www.wcb.ns.ca

- [MyAccount](#)
- [Returning to Work](#) & [Working to Well](#)

www.worksafeforlife.ca

- [Small Business Safety Toolkit](#)
- [Safety Cost Calculator](#)
- [Your Safety Culture Quiz](#)
- [Injury Prevention Resources: Incident Investigation](#)
- [OH&S Risk Mapping Tool](#)
- [NS Work Safe For Life YouTube Channel](#)



Thank you!

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