

INCIDENT INVESTIGATION REPORT

Worker and Employer Services Division

This form is provided to employers for the purpose of documenting the employers investigation into a workplace incident. Please attach a separate sheet if necessary.

Employer name	Employer number
Address where incident occurred <i>(including nearest city)</i>	

Incident Occurred *ref: s. 3.4(a) Occupational Health and Safety Regulation (OHSR)*

Place	Date <small>YY / MM / DD</small>	Time <input type="checkbox"/> a.m. <input type="checkbox"/> p.m.
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Injured Person(s) *ref: s. 3.4(b) OHSR*

Last name	First name	Job title
1)		
2)		

Nature of Injury/Injuries

1)
2)

Witnesses *ref: s. 174(4) WCA and s. 3.4(c) OHSR*

Last name	First name	Address	Telephone
1)			()
2)			()
3)			()

Incident Description *ref: s. 3.4(d)-(e) OHSR*

Briefly describe what happened, including the sequence of events preceding the incident.

Statement of Causes *ref: s. 174(2)(a)-(b) WCA and s. 3.4(f) OHSR*

List any unsafe conditions, acts, or procedures that in any manner contributed to the incident.

Recommendations *ref: s. 174(2)(c) WCA and s. 3.4(g) OHSR*

Identify any corrective actions that have been taken and any recommended actions to prevent similar incidents.

Recommended corrective action	Action by whom	Action by date
1)		
2)		
3)		
4)		

Persons Conducting Investigation *ref: s. 3.4(h) OHSR*

Name	Signature	Type of representative			Date
		<input type="checkbox"/> Employer	<input type="checkbox"/> Worker	<input type="checkbox"/> Other	
		<input type="checkbox"/> Employer	<input type="checkbox"/> Worker	<input type="checkbox"/> Other	
		<input type="checkbox"/> Employer	<input type="checkbox"/> Worker	<input type="checkbox"/> Other	

For additional information on the Workers' Compensation Board and on the requirements for incident investigations, please refer to the WCB web site: www.WorkSafebc.com

Mailing Address Workers' Compensation Board of B.C.
PO Box 5350 Stn Terminal
Vancouver BC V6B 5L5

Fax number: 604 276-3247

Telephone Information

Call centre: 604 276-3100 or toll free within B.C. 1 888 621-SAFE (7233)

After hours health and safety emergency: 604 273-7711 or toll free 1 866 922-4357 (WCB-HELP)

A GUIDE TO INCIDENT INVESTIGATION

Use this guide in conjunction with the requirements of the *Workers Compensation Act (WCA)*, Part 3 Division 10, and the Occupational Health and Safety Regulation (OHSR), section 3.4.

When is an investigation required?

Employers are required to immediately undertake an investigation into any accident or other incident that:

- Is required to be reported under section 172 of the *Workers Compensation Act*, or
- Resulted in injury requiring medical treatment, or
- Did not involve injury to a worker or involve a minor injury that did not require medical treatment but had the potential for causing serious injury, or
- Was an incident required by regulation to be investigated.

Who should conduct the investigation?

- Incidents must be investigated by people knowledgeable about the type of work involved at the time of the incident.
- If reasonably available, investigations must be carried out with the participation of one employer representative and one worker representative.

What is the purpose of an investigation?

The purpose of an investigation is to determine the cause or causes of the incident, to identify any unsafe conditions, acts, or procedures that contributed to the incident, and to recommend corrective action to prevent similar incidents.

Who receives copies of the report?

Incident investigation reports required by the *WCA* must be provided to the joint health and safety committee or worker representative as applicable, and to the WCB.

What follow-up action is required after an incident investigation?

After an investigation, the employer must without undue delay undertake any corrective action required to prevent recurrence of similar incidents and must prepare a report of the action taken. The report must be provided to the joint health and safety committee or worker representative as applicable. The follow-up report does not have to be provided to the WCB unless requested by a Board officer.

What information should be included in the investigation report?

An incident investigation report should answer the **WHO, WHERE, WHEN, WHAT, WHY, and HOW** questions with regard to the incident.

- | | |
|--------------|---|
| WHO | Employer, injured person(s), other person(s) involved in the incident, witnesses, and persons carrying out the investigation |
| WHERE | Place, location where incident occurred |
| WHEN | Date and time of the incident |
| WHAT | A brief description of the incident, including the sequence of events that preceded the incident
<i>Before the incident occurred:</i> <ul style="list-style-type: none">• What were the events that led up to the incident?• What process(es) was/were occurring immediately prior to the incident?• What was/were the worker(s) doing immediately prior to the incident?• What was the last event before the incident occurred? <i>At the time of the incident:</i> <ul style="list-style-type: none">• What happened at the time of the incident?• What process(es) was/were occurring at the time of the incident?• What was/were the worker(s) doing at the time of the incident? |



- What hazard(s) was/were the worker(s) exposed to?
- What hazards may have contributed to the incident occurring?
- What hazards did the worker(s) encounter?
- What personal factors may have contributed to the incident occurring?

Other information:

- Other observations
- Other related information

WHY From the answers to “what,” identify any unsafe conditions, acts, or procedures that in any manner contributed to the incident. Why did the unsafe conditions, acts, or procedures occur? Why were the personal factors not identified and/or addressed before the incident occurred?

HOW An investigation report should recommend corrective actions to prevent similar incidents from occurring. Once it is known why an incident occurred, determine how to prevent recurrence. For example:

- Improve workplace inspection and maintenance programs
- Repair or replace equipment/building
- Install safeguards
- Establish or revise safe work procedures
- Train/retrain person(s)
- Improve supervision

Additional Information for Determining Why an Incident Happened

To determine the most probable cause(s) of an incident, consider all details of the investigation, including witness statements and, where possible, the injured worker’s statement.

Determine if the incident was due to an unsafe act, an unsafe condition, unsafe or inadequate procedures, or a combination of these. Consider whether the accepted/current procedures adequately address safety concerns associated with the activity that was taking place when the incident happened. Consider training, supervision, equipment controls, safeguards, and lock-out.

Unsafe Acts – An unsafe act is a specific action or lack of action by an individual that is under the individual’s control. Examples of unsafe acts include: knowingly not following established rules, knowingly not following established procedures, knowingly disregarding a hazard, willful misconduct, abusing equipment, knowingly using equipment incorrectly, choosing not to use personal protective equipment, and not locking out when required. Generally, violating a safety rule, not following a safe work procedure, or disregarding a hazard are considered unsafe acts.

Unsafe Conditions – Examples include poor housekeeping, congested areas, deficient equipment, equipment lacking safeguarding or having ineffective safeguarding, lack of personal protective equipment, poor visibility, poor weather conditions, and lack of or inadequate training. Inadequate training should be considered an unsafe condition as opposed to a deficiency in skill or ability (personal factors).

Inadequate Procedures – Indications that procedures are inadequate include:

- Procedures are not available in written form
- Procedures do not identify inherent hazards
- Procedures do not identify hazard control methods
- Procedures do not identify safeguards that must be in place
- Procedures do not address pre-operation inspection requirements
- Procedures do not address lock-out requirements
- Procedures direct improper use of equipment or tools

Personal Factors – A personal factor is a deficiency in skill or ability, a physical condition, or a mental attitude. It is a factor inherent in an individual at the time of the incident. Examples include work fatigue due to manual exertion, distress due to emotional problems, the influence of alcohol or drugs, or illness. A condition causing an allergic reaction in some but not most workers should be considered a personal factor, not an unsafe condition.

