

Use this guide when completing the 52E40 Incident Investigation Report, in conjunction with the requirements of the *Workers Compensation Act (WCA)*, Part 3 Division 10, and the Occupational Health and Safety Regulation (OHS Regulation), 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 WorkSafeBC.

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 WorkSafeBC unless requested by a WorkSafeBC 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, WHERE, & WHEN		
Employer information	Employer name	Employer number
	Employer head office address	
	City	Province
		Postal code
Location where incident occurred	Address where incident occurred	
	City (nearest)	Province
		Postal code
Date and time of the incident	Date of incident (yyyy-mm-dd)	Time incident occurred
		a.m. <input type="checkbox"/>
		p.m. <input type="checkbox"/>
Injured person(s)	Injured person(s) ref: s. 3.4(b) OHS Regulation	
	Last name	First name
	Job title/Occupation	
	1)	
	2)	
Other person(s) involved in the incident, and witnesses	Witnesses ref: s. 174(4) Workers Compensation Act (WCA) and s. 3.4(c) OHS Regulation	
	Last name	First name
	1)	
	2)	
	3)	

WHAT
A brief description of the incident, including the sequence of events that preceded the incident.
<p>Incident description ref: s. 3.4(d)-(e) OHS Regulation</p> <p>Briefly describe what happened, including the sequence of events preceding the incident. Please refer to the "Incident Investigation Reference Guide" for assistance when completing this report. The guide is available on WorkSafeBC.com.</p>
<p>A sequence of events should highlight all of the events prior to the incident. This may include events from the day of the incident, however, may also extend back to years prior (e.g., installation of new machinery, changing ownership of company, product changes, etc). In addition, if activities which occurred after the incident, such as first aid or the evacuation process, need to be analyzed for future improvements you can include those events in your sequence.</p> <p>When developing a sequence of events diagram, each event should:</p> <ul style="list-style-type: none"> • Indicate one action or decision (e.g., worker stops forklift on loading ramp A). • Never include something that did NOT happen (e.g., worker should have, could have, would have ...), as these actions or decisions cannot be analyzed (e.g., worker should have parked on level ground). • Helpful to include date and time of action/decision. <p>Sequence of events diagram (sample)</p> <pre> graph LR A[Worker stops forklift on loading ramp A] --> B[Worker exits forklift] B --> C[Worker runs over to truck driver on loading ramp B] C --> D[Forklift begins to roll] </pre>

WHY

The sequence of events illustrates “what” happened leading up to, and possibly after, the incident. In order to understand “why” the incident occurred, events in the sequence need to be analyzed.

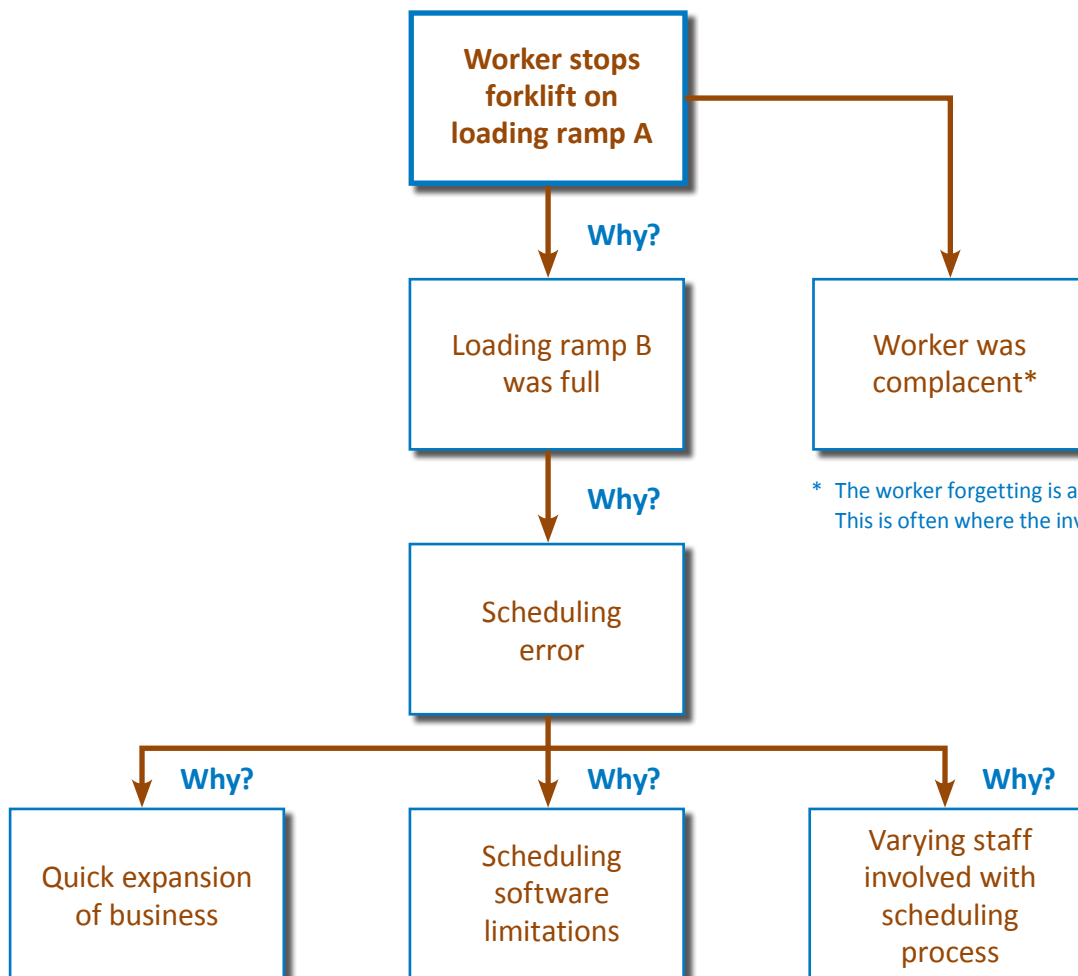
Analysis

From the sequence of events, identify what events may have been significant in this incident occurring. An analysis of these events will assist in determining the underlying or causal factors in the occurrence. Please refer to the “Incident Investigation Reference Guide” for assistance when completing this report. The guide is available on WorkSafeBC.com.

When analyzing:

1. Choose events that were either undesirable or somehow contributed to the incident occurring. In the example above, one event has been selected for further analysis. This event is shown in **bold**.
2. The analysis then involves asking “why” repeatedly until you end up at a workplace factor (e.g., tools, equipment, process, procedures, environment, communication, etc.).
3. Avoid stopping at personal factors, such as “he/she was complacent,” “he/she was not paying attention,” and/or “he or she did not follow procedures,” as they provide a limited opportunity to improve safety in the workplace.
4. Ensure that your conclusions are based on information compiled during the investigation, and therefore are objective, and not based solely on one’s personal opinion of the situation. Objective information will come from interviews, paperwork, observations, analysis of equipment, etc.

Analysis of an event (sample)



HOW

An incident investigation report should recommend corrective actions, based on contributing or causal factors, to prevent the same or similar incidents from recurring. Some points to remember when you are investigating:

- Avoid focusing on what you feel the workers should have been able to anticipate. Our goal as investigators is to understand why the worker's actions made sense to them at the time. Understanding why it made sense to the worker will help you to identify what workplace factors need to be changed to reduce the likelihood of recurrence.
- There is often more than one cause, or contributing factor, to an incident occurring. Drawing conclusions prematurely can limit the information you collect, thereby limiting your ability to identify other causes or contributing factors.
- Analyze the information until you identify workplace factors. Remember that stopping at personal factors limits the opportunity to improve workplace safety.

Statement of causes *ref: s. 174(2)(a)-(b) WCA and s. 3.4(f) OHS Regulation*

List any unsafe conditions, acts, or procedures that in any manner contributed to the incident. Please refer to the "Incident Investigation Reference Guide" for assistance when completing this report. The guide is available on WorkSafeBC.com.

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

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

Recommended corrective action	Action assigned to	Completion date or expected completion date (yyyy-mm-dd)
1)		
2)		
3)		
4)		

APPROVAL AND SUBMISSION

The names of the worker and employer representatives that conducted the investigation must be provided on the form. If the employer wishes to have these persons sign the report, it must be printed then signed, as the form will not accept digital signatures. Employers must submit a copy of their incident investigation reports to WorkSafeBC. The date provided should indicate the date the report was submitted by email, fax, or any other means.

Persons conducting investigation *ref: s. 3.4(h) OHS Regulation*

Representative of	Name (please print)	Signature (optional)	Date signed (yyyy-mm-dd)
Employer			
Worker			
Employer <input type="checkbox"/> Worker <input type="checkbox"/> Other <input type="checkbox"/>			

Date Incident Investigation Report submitted to WorkSafeBC *ref: s. 175(2)(b) WCA*
(yyyy-mm-dd)

Tips

- Avoid focusing on what you feel the workers should have been able to anticipate. Our goal as investigators is to understand why the worker's actions made sense to them at the time. Understanding why it made sense to the worker will help you to identify what workplace factors need to be changed to reduce the likelihood of the incident recurring.
- If you develop a theory about what happened early in the investigation, ensure you do not collect data to prove the theory. There is more than one cause, or underlying factor, and by narrowing the data you are collecting early on in the investigation you limit your ability to identify other causes or contributing factors.

Definitions

Sequence of events: A chronology of actions/decisions leading up to, and possibly occurring after, an incident.

Unsafe acts: An unsafe act is an action, or lack of action, made in the presence of a hazard. For example, a worker uses a grinder without a guard, works on energized equipment, or doesn't wear PPE, etc.

Unsafe conditions: May include things like the work environment (e.g., congested work area, poor housekeeping, poor visibility) or equipment (e.g., lack of safeguarding, poor maintenance).

Procedure: When looking at the procedures, there are some important considerations:

1. Were procedures present?
2. Were procedures utilized?
3. Were procedures applicable to this equipment, work task, etc.?
4. Were the procedures adequate?
5. Were the procedures understood?

Some of the questions that may come from the above considerations:

- Were the procedures written?
- How were the procedures communicated to the worker?
- Where is the procedural information kept?
- How long ago was the information communicated?
- Were the procedures understood by the worker (e.g., procedures provided in English to workers with English as a second language)?
- How do you know that the procedures were understood?
- Have there been any changes to the equipment, product, or work process since procedures were implemented? These changes may affect one's ability to continue to follow the procedures.
- Are there any maintenance issues with the equipment? Often, if machines are not maintained regularly, workers will adapt the way they perform their task in order to ensure the equipment continues to run.
- Can they follow procedures and still complete the job