

INCIDENT / ACCIDENT INVESTIGATION REPORT

[illegible]

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L O S S P O T E N T I A L	STEP 2 - Circle the letter(s), which best identifies the loss potential if the hazard(s) is not eliminated or controlled.				
	ACTUAL / POTENTIAL SEVERITY				
	PROBABILITY OF RECURRENCE	Death, permanent total disability or property damage > \$100,000	Lost time injury or property damage > \$10,000 < \$100,000	Medical aid injury only or property damage > \$1,000 < \$10,000	First aid injury only or property damage < \$1,000
	Frequent	A	D	G	J
	Occasional	B	E	H	K
	Rare	C	F	I	L

STEP 3 - Identify the type of contact or near contact with energy or substance
<input type="checkbox"/> Struck against (running / bumping into) <input type="checkbox"/> Struck by (hit by moving object) <input type="checkbox"/> Fall to lower level <input type="checkbox"/> Fall on same level (slip & fall, trip over) <input type="checkbox"/> Caught in (pinch and nip points) <input type="checkbox"/> Caught on (snagged, hung) <input type="checkbox"/> Caught between or under (crushed or amputated) <input type="checkbox"/> Overstress, overexertion, overload <input type="checkbox"/> Contact with (electricity, heat, cold, radiation, caustics, toxics, noise)

I M M E D I A T E / D I R E C T	STEP 4 - Identify the substandard work practices and work conditions that caused or could have caused this mishap.									
	For each item mark Yes or No. Explain Yes selections in the space below.									
	YES	NO	CODE	SUBSTANDARD WORK PRACTICES	YE	NO	CODE	SUBSTANDARD WORK CONDITIONS		
	<input type="checkbox"/>	<input type="checkbox"/>	SWP-1	Operating equipment without authority	S	<input type="checkbox"/>	SWC-1	Inadequate guards or barriers		
	<input type="checkbox"/>	<input type="checkbox"/>	SWP-2	Failure to warn	<input type="checkbox"/>	<input type="checkbox"/>	SWC-2	Inadequate / improper protective equipment		
	<input type="checkbox"/>	<input type="checkbox"/>	SWP-3	Failure to secure / make safe	<input type="checkbox"/>	<input type="checkbox"/>	SWC-3	Defective tools, equipment or materials		
	<input type="checkbox"/>	<input type="checkbox"/>	SWP-4	Operating at improper speed	<input type="checkbox"/>	<input type="checkbox"/>	SWC-4	Congestion or restricted action		
	<input type="checkbox"/>	<input type="checkbox"/>	SWP-5	Making safety devices inoperative	<input type="checkbox"/>	<input type="checkbox"/>	SWC-5	Inadequate warning system		
	<input type="checkbox"/>	<input type="checkbox"/>	SWP-6	Removing safety devices	<input type="checkbox"/>	<input type="checkbox"/>	SWC-6	Fire and explosion hazards		
	<input type="checkbox"/>	<input type="checkbox"/>	SWP-7	Using defective / improper equipment	<input type="checkbox"/>	<input type="checkbox"/>	SWC-7	Poor housekeeping / disorder		
<input type="checkbox"/>	<input type="checkbox"/>	SWP-8	Using equipment improperly	<input type="checkbox"/>	<input type="checkbox"/>	SWC-8	Hazardous environmental conditions; gases, dusts, smoke, fumes, vapours			
<input type="checkbox"/>	<input type="checkbox"/>	SWP-9	Failure to use PPE properly	<input type="checkbox"/>	<input type="checkbox"/>	SWC-9	Noise exposure			
<input type="checkbox"/>	<input type="checkbox"/>	SWP-10	Improper loading	<input type="checkbox"/>	<input type="checkbox"/>	SWC-10	Radiation exposure			
<input type="checkbox"/>	<input type="checkbox"/>	SWP-11	Improper placement	<input type="checkbox"/>	<input type="checkbox"/>	SWC-11	Temperature extremes			
<input type="checkbox"/>	<input type="checkbox"/>	SWP-12	Improper lifting	<input type="checkbox"/>	<input type="checkbox"/>	SWC-12	Inadequate or excessive illumination			
<input type="checkbox"/>	<input type="checkbox"/>	SWP-13	Improper position for task	<input type="checkbox"/>	<input type="checkbox"/>	SWC-13	Inadequate ventilation			
<input type="checkbox"/>	<input type="checkbox"/>	SWP-14	Servicing equipment in operation	<input type="checkbox"/>						
<input type="checkbox"/>	<input type="checkbox"/>	SWP-15	Horseplay							
<input type="checkbox"/>	<input type="checkbox"/>	SWP-16	Influence of alcohol / drugs suspected							
<input type="checkbox"/>	<input type="checkbox"/>	SWP-17	Inattention / negligence							
<input type="checkbox"/>	<input type="checkbox"/>	SWP-18	Failure to follow a specific work procedure							

Code	How did the immediate / direct cause(s) contribute to the mishap?

B A S I C / U N D E R L Y	STEP 5 - Identify the basic / underlying causes for the existence of the substandard work practices and conditions selected above by marking each factor below with a Yes or No.									
	YES	NO	CODE	PERSONAL FACTORS	YES	NO	CODE	JOB FACTORS		
	<input type="checkbox"/>	<input type="checkbox"/>	PF-1	Inadequate physical / physiological capability	<input type="checkbox"/>	<input type="checkbox"/>	JF-1	Improper motivation		
	<input type="checkbox"/>	<input type="checkbox"/>	PF-2	Inadequate mental psychological capability	<input type="checkbox"/>	<input type="checkbox"/>	JF-2	Inadequate leadership and / or supervision		
	<input type="checkbox"/>	<input type="checkbox"/>	PF-3	Physical or physiological stress	<input type="checkbox"/>	<input type="checkbox"/>	JF-3	Inadequate engineering		
	<input type="checkbox"/>	<input type="checkbox"/>	PF-4	Mental or psychological stress	<input type="checkbox"/>	<input type="checkbox"/>	JF-4	Inadequate purchasing		
	<input type="checkbox"/>	<input type="checkbox"/>	PF-5	Lack of knowledge	<input type="checkbox"/>	<input type="checkbox"/>	JF-5	Inadequate maintenance		
	<input type="checkbox"/>	<input type="checkbox"/>	PF-6	Lack of skill	<input type="checkbox"/>	<input type="checkbox"/>	JF-6	Inadequate tools / equipment		
					<input type="checkbox"/>	<input type="checkbox"/>	JF-7	Inadequate work standards		
					<input type="checkbox"/>	<input type="checkbox"/>	JF-8	Excessive wear and tear		
				<input type="checkbox"/>	<input type="checkbox"/>	JF-9	Abuse or misuse			

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I N G C A U S E S	Describe how does the immediate / direct causes stem from the basic / underlying causes.		
C O N T R O L	Basic / underlying causes or mishaps are the result of lack of control. Lack of control in this mishap was the result of <i>(multiple selections possible)</i>		
	Inadequate H&S system / infrastructure	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	Inadequate standards	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	Inadequate compliance to standards	<input type="checkbox"/> Yes	<input type="checkbox"/> No

STEP 6 - Recommended actions to correct immediate / direct causes.		Responsibility	Date to be Completed	Date Completed
STEP 7 - Recommended H&S infrastructure improvements to address the basic / underlying (root) causes. Use the 5*22 framework outlined below. If necessary, use the back of this page.		Responsibility	Date to be Completed	Date Completed
(1) H&S Responsibility				
1. Health & Safety Policy				
2. Health & Safety Plan				
3. General Health & Safety Rules				
4. Health & Safety Procedures/Practices				
5. Legal Obligations				
6. Health & Safety Actions				
(2) Management Commitment				
7. Health & Safety Communication				
8. Management Support				
9. Well-being of Employees				
(3) Employee Involvement				
10. Health & Safety Orientation				
11. Employee Participation				
12. Required Safe Work Practices				
(4) Hazard & Risk Management				
13. Identification of Hazards & Risks				
14. Control of Hazards & Risks				
15. Hazard & Risk Reporting				
16. Accident Reporting				
17. Accident Investigation				
18. Accident and Injury Analysis				
19. Health & Safety Inspections				
(5) H&S Education				
20. Health & Safety Educational Needs				
21. Health & Safety Education Delivery				
22. Health & Safety Education Effectiveness				