

Incident Investigation

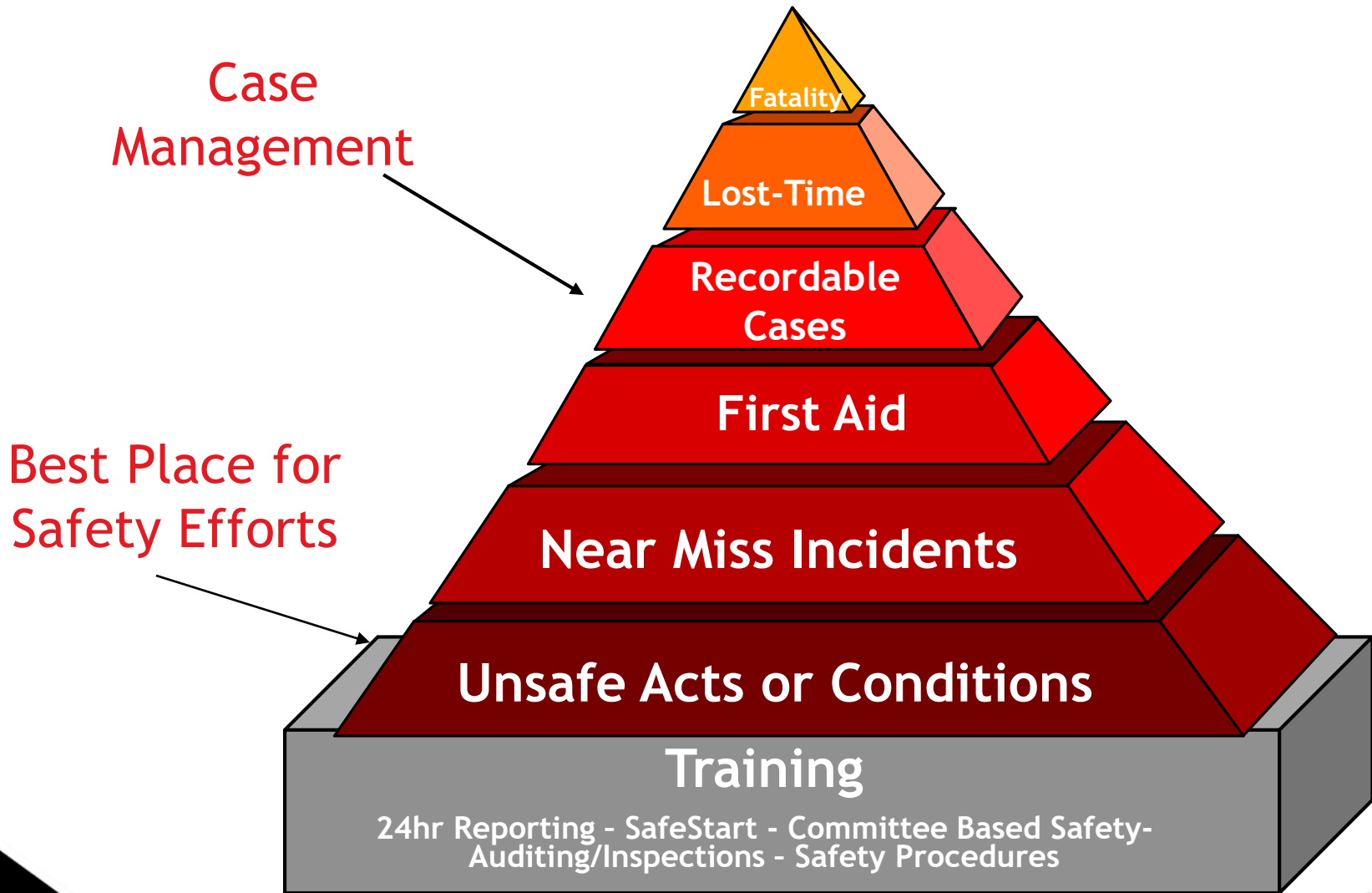
Agenda

- Your initial Incident investigation
 - Gathering facts
 - Witness Interviews
 - Potential “Red Flag” indicators
- Reporting and Follow up
- Control Hierarchy
- Group Activity

What is an Incident?

- An event that results in or has the potential to result in injury of persons or damage to property or environment
- Common categories of incidents:
 - Lost time / recordable injuries
 - First aids
 - Near misses
 - Unsafe acts or conditions

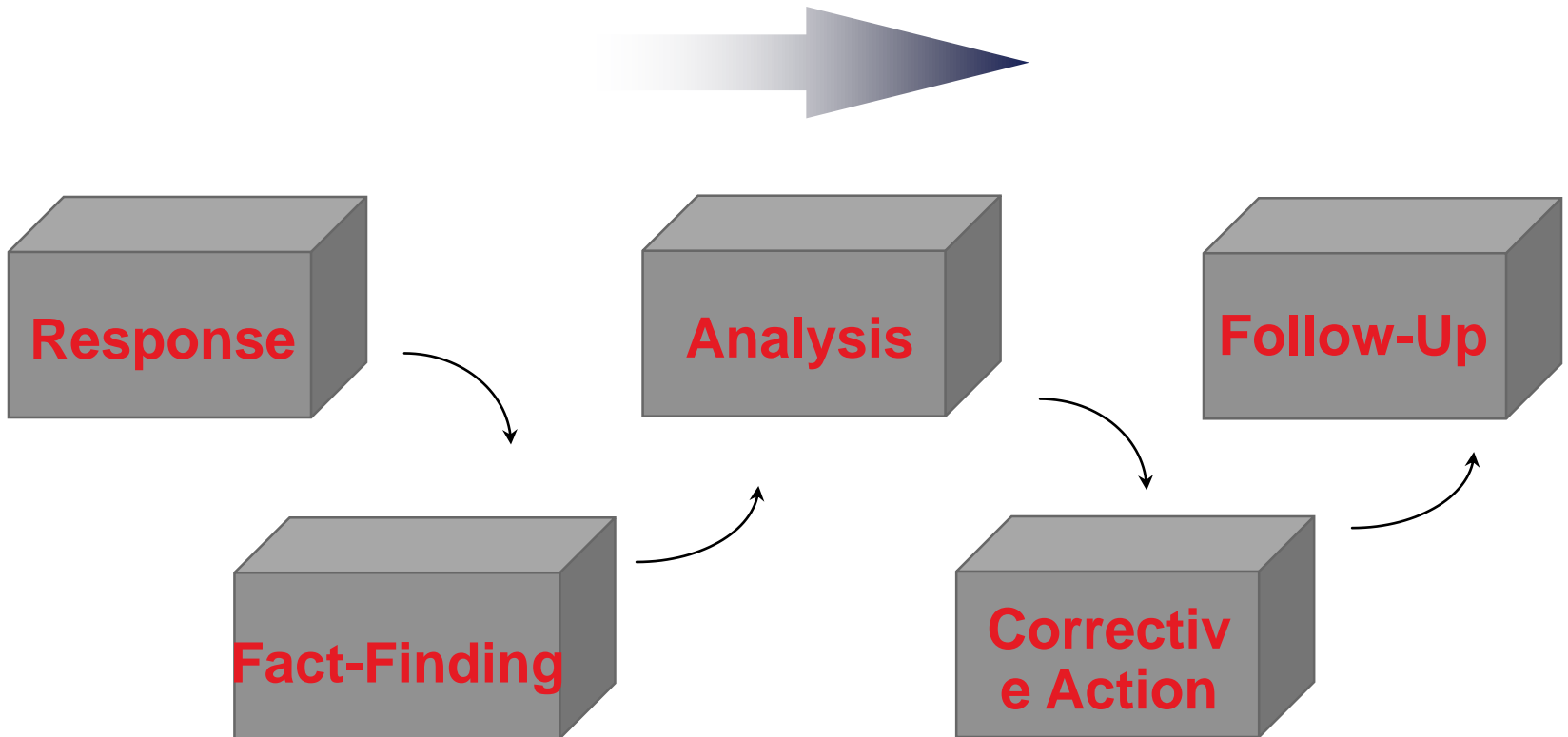
The Incident Triangle



The Investigation

- What are our Primary Goals?
 - To find the root causes of the incident
 - To control/eliminate the causes
- Controlling or eliminating the cause will prevent a reoccurrence.
 - Keeping employees safe
 - Saving time/ \$\$\$\$
 - Maintaining workflow and operations

Incident Investigation Process



Response

- *Who* - Responsible individual(s)
- *When* - Timing of response
- *Where* - Location of investigation
- *What*- At what levels do we respond
- *How* - Protocol and methods/ forms



Respond Immediately

- Ensure prompt and appropriate medical treatment
- Escort employee to the medical facility
- Eliminate obvious hazards if safe to do so
- Secure the area and preserve evidence
 - Lock out the equipment
 - Review all similar equipment to ensure it is safe
- Try to get the big picture



How to Investigate

- When investigating we want to (G.A.I.N.) knowledge!
 - **G**o to the scene and bring your investigation toolkit.
 - ◆ Report form (FILL OUT COMPLETELY!)
 - **A**sk
 - ◆ Open ended questions; Tell me how...
 - ◆ For a demonstration; Show me how...
 - ◆ For employee input; What do you think can be done?
 - **I**nterview Separate Witnesses (grapevine)
 - **N**EVER place blame; look for FACTS ONLY!



Fact-Finding Tools (Toolkit)

- Report forms
- Tape measure(s)
- Camera/video equipment
- Safety policies and procedures
- Safety regulations and standards
- Measurement instruments
 - Sound level meter
 - Light meter
 - Thermometer



How to Interview: Some Points to Remember

#1 Rule: Avoid placing blame

- Ask open-ended questions
- Let people tell their own story
- Be aware of personality traits
- Test and investigate all evidence
- Probe into all aspects of the Incident
- Get all sides of the story

Remember employee safety is **YOUR** responsibility, and this investigation will improve your results.



What are We Analyzing?

- Equipment
 - Correct tool for the job
 - Proper Maintenance
 - Proper safety controls
- Personnel
 - Proper Training
 - Experience
 - Other Factors
 - **SafetyFirst**
- Environment
 - Proper Layout
 - Proper lighting
 - Exposures
 - ◆ Vapors
 - ◆ Noise
 - ◆ Temperature
- Processes
 - Adequate
 - Defined and posted
 - Followed or deviated from
- Materials
 - Appropriate for job
 - Proper type and form
 - On specification
- Methods
 - Consistent
 - Safe
 - Approved
 - Documented



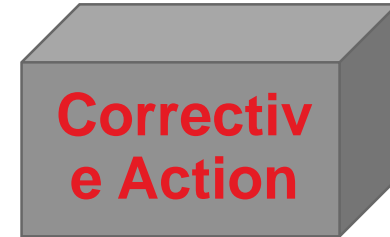
How do we analyze?

Using the facts we've gathered

- 5 why's
- Pareto analysis
- Fishbone diagrams



Corrective Action



Document the investigation

- Identifies root causes
- Documents corrective actions / approvals
- Provides a basis of approval for needed changes
- Locates common loss sources and tracks progress
- Communicate results to all personnel
- Fulfill state reporting requirements and WC information

Identifying Fraud

Be aware of “RED-FLAGS”

- Not necessarily fraud, but may raise questions
- No witnesses to the Incident
- Incident details from injured person are vague with little detail
- Incident occurs late Friday or shortly after employee starts work on Monday
- Employee on the job less than 2 months
- The incident is not reported promptly
- First notice of injury is through an attorney letter

More...Red Flags

- Co-workers contradict facts presented by injured employee
- Injury claimed after announcement of cut-backs, layoffs, shut-down of operation
- Injury reported just after employee is laid off
- Incident occurs in area where employee should not be
- Incident is a type that should not occur in the job assigned (e.g., office worker lifting heavy objects)
- Employee was disciplined just prior to Incident

What Employers Can Do About Fraud?

- Ensure that all employees know to immediately report any injuries, incidents, and “near hits” to their supervisor
- Inform employees of their WC benefits and company policy to investigate fraud indicators
- **Notify safety manager of the incident immediately.**
- Conduct immediate and thorough investigations noting possible Red-Flags as you conduct your analysis.
- Discuss **Red-Flags** with management **AS SOON AS POSSIBLE**

Prompt Reporting

- Allows for immediate direction of proper medical care to network doctors.
 - Reduces medical costs
 - Shortens recovery time for the employee
- Reduces confusion about care and possible attorney involvement. (could reduce claim by 75%, saving everyone money, including the injured employee)
- Allows for investigation to be completed quickly and loss source controls to be implemented

Hierarchy of Control

Control the health and safety risks to prevent injury and illness.

- Identify and assess the risks
- Decide on the best way to control (i.e. remove or reduce) by applying the Hierarchy of Controls.

Measure the Effectiveness of Corrective Actions:

- Rank corrective actions on a scale of 1-4
- 1 is most effective
- 4 is least effective

Hierarchy of Control

1. Elimination - controlling the hazard at source.

- **DESIGN.** Try to ensure that hazards are 'designed out' when new materials, equipment and work systems are being planned for the workplace.
- **REMOVE** the hazard or **SUBSTITUTE** less hazardous materials, equipment or substances.

2. Substitution - replacing one substance or activity with a less hazardous one.

3. Engineering - installing guards on machinery

- **ENCLOSE OR ISOLATE THE HAZARD** through the use of guards or remote handling techniques
- **PROVIDE EFFECTIVE VENTILATION** through local or general exhaust ventilation systems. Administrative Controls
- **ADOPT A SAFER PROCESS.** Alterations to tools, equipment or work systems can often make them much safer.

Hierarchy of Control

4. Administration/Personal Protective Equipment - policies and procedures for safe work practices as well as PPE.

- Job rotation to reduce exposure or boredom, or timing the job so that fewer workers are exposed
- Routine maintenance and housekeeping procedures
- Training on hazards and correct work procedures
- Respirators, ear plugs, etc...

Incident Investigation: A Summary

- How will actions and team-work help...
 - Control post incident costs?
 - Prevent reoccurrence of similar incidents?
 - Prevent and identify possible “red flags” once they have occurred?
 - Identify and form unsafe work behaviors?
 - Identify long and short term corrective actions?

Join Us in Charlotte, NC June 16-17th for BBS Training



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