

Use this guide when completing the Incident Investigation Report, in conjunction with the requirements of the *Workers Compensation Act (WCA)*, Part 3 Division 10, and the interim prevention policies D10-175-1 and D10-176-1.

When is an investigation required (section 173 of the *Workers Compensation Act*)?

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

- Serious injury to or death to a worker
- Major structural failure or collapse
- Major release of hazardous substances
- Blasting accident causing personal injury
- Dangerous incident involving explosives, whether or not there is personal injury
- Diving incident, as defined by regulation
- Injury requiring medical treatment
- Minor injury or no injury but had potential for causing serious injury

Employers must conduct both a preliminary investigation and a full investigation.

What are the timelines to conduct the investigation?

Employers must immediately undertake the preliminary investigation and complete a preliminary investigation report within 48 hours of the incident. Employers must undertake the full investigation and then submit the full investigation report to WorkSafeBC within 30 days of the incident, unless WorkSafeBC grants an extension.

Depending on the complexity of the incident, an employer may complete its full investigation report within 48 hours.

The 48 hour period can be extended if it expires on a Sunday or other holiday, or it expires the day the employer is not normally open.

Who should conduct incident investigations?

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 an employer representative and a worker representative.

What types of reports are employers required to prepare?

Employers are required to prepare the following four reports:

1. A preliminary investigation report (within 48 hours of the incident)
2. An interim corrective action report that addresses the findings of the preliminary investigation
3. A full investigation report (within 30 days of the incident)
4. A full corrective action report that addresses the findings of the full investigation

What sections need to be completed and who receives copies of each report?

- Preliminary report: Complete sections 1, 2, and 4, and submit to WorkSafeBC if requested.
- Interim corrective action report: Update section 4 and provide a copy (section 4) to your occupational health and safety (OHS) committee or worker OHS representative. If there is no joint committee or worker health and safety representative, post the report at the workplace.
- Full report: Update sections 2 and 4. Complete section 3. Submit a copy of the report to WorkSafeBC.
- Full corrective action report: Update section 4 and provide a copy (section 4) to your OHS committee or worker OHS representative. If there is no joint committee or worker health and safety representative, post the report at the workplace.

What is the purpose of the preliminary investigation and what must be included?

In the preliminary investigation, employers must identify any unsafe conditions, acts, or procedures — as far as possible — in order to ensure that work can be continued or resumed safely during the interim period between the incident and the conclusion of the full investigation. Complete sections 1, 2, and 4.

What is the purpose of the full investigation and what must be included?

In the full investigation, employers must determine the cause or causes of the incident. “Determining the cause or causes” means analyzing the facts and circumstances of the incident to identify the underlying factors that led to the incident. This includes identifying the underlying factors that made the unsafe conditions, acts, or procedures possible and identifying health and safety deficiencies. Update sections 2 and 4. Complete section 3.

What is the purpose of the interim corrective action investigation and what must be included?

During the interim period — that is, until the full investigation is completed — employers must take all actions reasonably necessary to prevent a recurrence. If an employer is only able to identify some, or only able to identify in broader or more general terms, the unsafe conditions, acts, or procedures that significantly contributed to the incident, the interim corrective action may include a full or partial shutdown of a worksite, removing equipment, or reassigning workers. Complete Section 4.

What is the purpose of the full corrective action investigation and what must be included?

Once the full investigation is completed, the employer must prepare a corrective action report that identifies:

- The unsafe conditions, acts, or procedures that made the corrective action necessary
- The corrective action taken to prevent the recurrence of similar incidents following the full investigation
- The names and job titles of the persons responsible for implementing the corrective action following the full investigation, and
- The date the corrective action was taken
- The employer should at a suitable point after the full corrective has been implemented, review to determine if the corrective actions taken are effective

Why is important to investigate incidents that involved minor injury or no injury but had potential for causing serious injury.

In many cases, serious or catastrophic incidents were preceded by minor or close call incidents. Investigating incidents that involved minor injury or no injury, provides employers with an opportunity to identify health and safety issues that may have been overlooked had an investigation not been completed. By scrutinizing and investigating these types of incidents, the employers can identify and implement control measures to prevent similar or more serious incidents.

EMPLOYER INFORMATION

Employer information

Employer's information

Employer's name		WorkSafeBC account number
Employer's head office address		
City	Province	Postal code
Employer's contact (Name/phone/email)		

SECTION 1

The type of report being documented

Report stage

Please select any or all that apply

Preliminary report Interim corrective action report Full report Full corrective action report

Note: Save each report separately so you don't overwrite and lose the previous report.

Reason for conducting the investigation

Type of occurrence

1. Please select any or all that apply

Serious injury to or death to a worker Dangerous incident involving explosives other than blasting incident
 Major structural failure or collapse Diving incident, as defined by regulation
 Major release of hazardous substance Injury requiring medical treatment
 Blasting accident causing personal injury Minor injury or no injury but had potential for causing serious injury

2. If none of the above apply, don't submit this report to WorkSafeBC. Instead, check one of the following and keep this report on file.

Minor injury (e.g., first-aid-only injury) Other — required by company policy (specify)

Employers must submit a copy of their full incident investigation reports to WorkSafeBC.

Incident Investigation Report copy to WorkSafeBC

Is a full report required?

Yes No

If yes, date submitted (yyyy-mm-dd)

The names of the worker and employer representatives who conducted the investigation must be provided on the form. If the employer wishes to have these persons sign the report, it must be printed and then signed, as the form will not accept digital signatures. Examples of "other" include a knowledgeable person such as a worker, supervisor or third party subject matter experts.

Persons conducting investigation

Representative of	Name (please print)	Job title/Occupation	Signature (optional)	Date signed (yyyy-mm-dd)
Employer				
Worker				
Other				

Examples of "other" include a knowledgeable person such as a worker, supervisor or third party subject matter experts.

SECTION 1 (continued)

Location where incident occurred

Place, date, and time of incident

Address where incident occurred		
City (nearest)	Province	Postal code
Date of incident (yyyy-mm-dd)	Time incident occurred	<input type="checkbox"/> a.m. <input type="checkbox"/> p.m.

Date and time of the incident

Injured person(s) information

Injured person(s)

Last name	First name	Job title/Occupation
1)		
2)		
3)		

Witnesses

Witnesses

Last name	First name	Job title/Occupation
1)		
2)		
3)		

Other persons with relevant information

Other persons with relevant information

Last name	First name	Role
1)		
2)		
3)		

SECTION 2

Details of the incident

Sequence of events preceding the incident

Briefly describe the sequence of events preceding the incident

Preliminary report Full report

Describe what happened

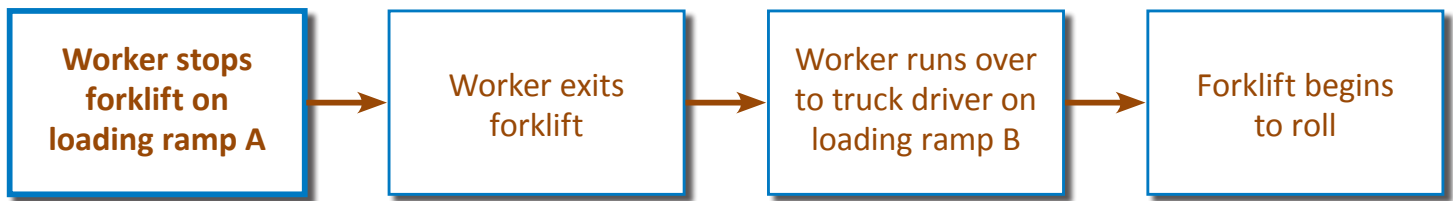
Briefly describe the incident

Preliminary report Full report

Identify any factors beyond your control that don't allow you to complete any part of sections 1, 2, or 4

Preliminary report only

Sequence of events diagram (sample)



In describing what happened, 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, strategic decisions, policies and safe work procedures, 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.

When developing a sequence of events diagram, each event should:

- 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, etc.), as these actions or decisions cannot be analyzed (e.g., worker should have parked on level ground).

It is helpful to include the date and time of the action/decision.

SECTION 3

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.

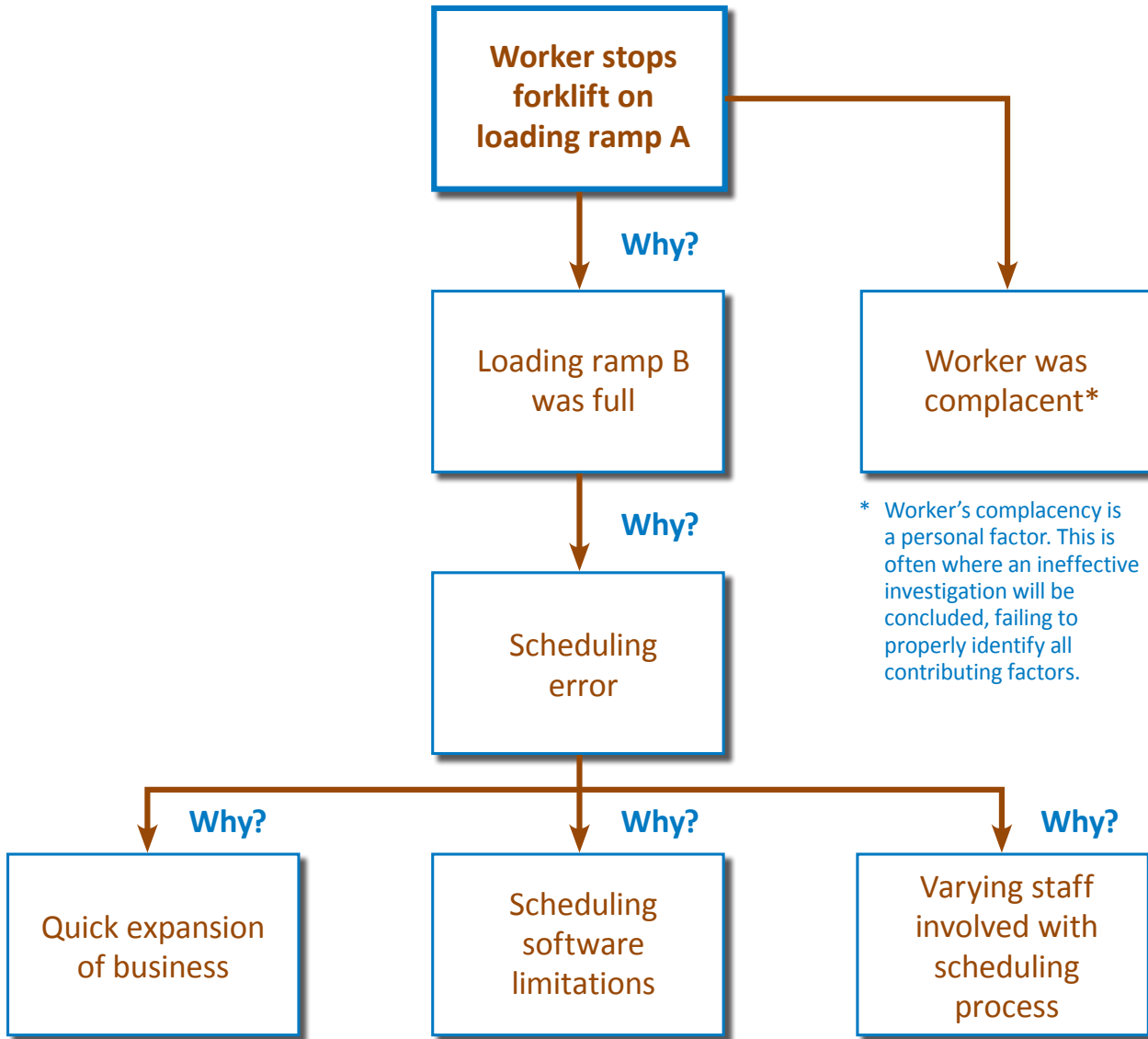
Determination of cause or causes of incident (Full report only)

From the sequence of events, identify what events may have been significant in this incident occurring. An analysis of these events and all other relevant information will assist in determining the underlying or causal factors in the occurrence. Only required for Full Report.

When analyzing:

1. Choose events that in some manner 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 the limited analysis reduces opportunities to improve workplace safety.
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, documentation, observations, analysis of equipment, etc.

Analysis of an event (sample)



SECTION 4

An incident investigation report should recommend corrective actions, to prevent a recurrence through identification and analysis of contributing or causal factors. Some points to remember when you are investigating:

- Avoid focusing on what you feel the workers should have been able to anticipate. The goal of an investigation 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 to identify workplace factors need to be changed to prevent a 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 all 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.

Place, date, and time of incident

Address where incident occurred		
City (nearest)	Province	Postal code
Date of incident (yyyy-mm-dd)	Time incident occurred	<input type="checkbox"/> a.m. <input type="checkbox"/> p.m.

Identification of unsafe conditions, acts, or procedures and their underlying factors

<input type="checkbox"/> Preliminary report: List the unsafe conditions, acts, or procedures that significantly contributed to the incident.
<input type="checkbox"/> Full report: List any additional unsafe conditions, acts, or procedures that significantly contributed to the incident and determine the cause of the incident. This may include the underlying factors for all unsafe conditions, acts, and procedures as well as other health and safety deficiencies.

Corrective action

Identify any corrective actions necessary to address unsafe conditions, acts, or procedures identified above in order to prevent similar incidents.

Recommended corrective action	Interim or full corrective action	Action assigned to	Completion date or expected completion date (yyyy-mm-dd)
1)	<input type="checkbox"/> Interim <input type="checkbox"/> Full		
2)	<input type="checkbox"/> Interim <input type="checkbox"/> Full		
3)	<input type="checkbox"/> Interim <input type="checkbox"/> Full		
4)	<input type="checkbox"/> Interim <input type="checkbox"/> Full		

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 without locking out, 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).

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

1. Were procedures developed and available?
2. Were procedures utilized?
3. Were procedures applicable to the equipment, work task, etc.?
4. Were the procedures adequate to address hazards present?
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?
- What processes were in place to ensure procedures were followed (e.g inspection supervision)?
- 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.