



# Incident Investigation & Analysis

Revision: 2.0

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## 12.1 Incident Reporting and Investigation Policy

This policy was created to provide guidance, outline responsibility, and provide a preferred procedure to respond should an incident, near miss, or occupational illness occur on any of The Town of Daysland site. Incident investigations will assist in identifying the cause of incidents and the controls required to prevent recurrence and improve work environments at The Town of Daysland. This policy affects all employees, volunteers and management employed by The Town of Daysland. Visitors and contractors that may be involved in an incident are also asked to comply with the following requirement. For the purpose of this policy, volunteers are classified as employees.

### Related Documents

Incident Report Form  
Incident Investigation Report  
Statistical Records  
Modified Work Package

### Responsibilities

#### Chief Administrative Officer

- Ensure staff is adequately trained in incident reporting and investigation.
- Ensure appropriate allocation of resources for follow-up and implementation of recommendations where appropriate.
- Review all investigations on an annual basis to ensure that the corrective actions are implemented and follow-up to ensure that the corrective actions are effective.
- Support the foreman and supervisors in the implementation of identified control measures.

#### Foreman/Supervisors

- Involve employees with the implementation and completion of corrective action items.
- Review reported hazards, near misses, incidents, and first aids to identify potential hazards and follow through on action items to reduce reoccurrence.
- Complete an incident report with an employee in a timely manner.
- Start investigations immediately after an incident and direct the paperwork to the correct person.
- Ensure unsafe and/or hazardous conditions are corrected immediately.
- Ensure appropriate communication to their employees.
- Communicate identified root causes to staff through toolbox meetings as well as posting results in work areas.



## Employees

- Report all incidents, including near misses and illnesses to their foreman or supervisor.
- Participate in investigations when requested.
- Provide feedback when required.

All occurrences will be recorded on our Incident Report Form by the employee and their foreman or supervisor and forwarded to the CAO for review.

Incident Investigation reports will be started on all incidents, by the foreman or supervisor and sent to the CAO for further investigation.

All incidents, resulting in a loss and all near misses with the potential for severe injury or loss will be investigated.

Incidents immediately reportable to Workplace Health and Safety include the following:

- An injury or incident that results in the death of an employee;
- An injury or incident that results in an employee being admitted to a hospital, and for the purposes of this clause, “admitted to a hospital” means when a physician writes admitting orders to cause an employee to be an inpatient of a hospital, but excludes an employee being assessed in an emergency room or urgent care centre without being admitted;
- An unplanned or uncontrolled explosion, fire or flood that causes a serious injury or that has the potential of causing a serious injury;
- The collapse or upset of a crane, derrick or hoist;
- The collapse or failure of any component of a building or structure necessary for the structural integrity of the building or structure; and
- Any injury or incident or a class of injuries or incidents specified in the regulations.

Notifiable diseases include the following:

- Asbestosis;
- Mesothelioma;
- Asbestos-induced lung cancer;
- Asbestos-induced laryngeal cancer;
- Asbestos-induced gastrointestinal cancer;
- Any other kind of asbestos-induced cancer;
- Coal employee’s pneumoconiosis;
- Silicosis;
- Elevated blood lead level, that is, an employee’s blood lead level greater than 0.5 micromoles per litre ( $\mu\text{mol/l}$ ); and
- Noise-induced hearing loss.



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Notifiable diseases must be submitted by a physician to a Director of Medical Services within seven (7) days of the initial diagnosis of the disease.

Reports will be retained for a period not less than five (5) years from the date of incident.

A complete investigation includes the facts, opinions, statements, and related information, as well as a plan to prevent or control a similar situation from happening again.

Our investigation policy is intended to:

- Prevent recurrence.
- Maintain a safe and healthy work environment.
- Maintain good employer/employee relations.
- Prevent further down time for the employee and losses to the company.
- Assist in reporting to the Employee's Compensation Board and/or Workplace Health and Safety.

Investigations should be conducted immediately after the incident has taken place, where reasonably practicable. Ideally this is during the shift on which the event occurred but after medical treatment has been given and the area has been stabilized.

Investigations are to be started conducted by the foreman or supervisor. The investigators will be qualified to complete an incident investigation.

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Rod Krips, Chief Administrative Officer

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Date



## 12.2 Incident Investigation Procedure

The purpose of this procedure is to ensure a safe workplace for all employees, volunteers, contractors, and visitors through effective and systematic incident investigation and reporting mechanisms to ensure that further risks related to a workplace incident are minimized. This procedure applies to all employees, volunteers, contractors, and visitors of The Town of Daysland. For the purpose of this policy, volunteers are classified as employees.

### Related Documents

Incident Report Form  
Incident Investigation Report  
Statistics Report

### Responsibilities

#### Chief Administrative Officer

- Oversee the overall operation of the health and safety management system.
- Review all investigations on an annual basis to ensure that the corrective actions are implemented and follow-up to ensure that the actions are effective.

#### Foreman/Supervisors

- Review all Incident Report Forms to determine if investigation and further reporting is necessary.
- Complete required reporting paperwork and submit to the CAO for review.
- Initiate the investigation through the CAO.
- Communicate identified root causes to staff through tool box meetings, as well as posting results in work areas.
- Involve employees in the implementation and completion of corrective action items.

#### Employees

- Verbally report and complete an Incident Report on each incident, near miss, or occupational illness to their foreman or supervisor immediately after the incident.
- Take part in incident investigation as requested by their foreman, supervisor or any member of the management team.
- Assist in the development of control measures to prevent against recurrence of the incident.

#### Health and Safety Representative

- Review all investigations on an annual basis to ensure that the corrective actions are implemented and follow-up to ensure that the actions are effective.
- Review all incident report forms to determine if investigation and further reporting is necessary.
- Complete required reporting paperwork and submit to the manager for review.



- Initiate the investigation through the supervisor.
- Communicate identified root causes to staff through toolbox meetings, as well as posting results in work areas.
- Involve employees in the implementation and completion of corrective action items.

## Procedure

### Reporting Process:

1. When an employee witnesses or is involved in an incident or near miss, the employee must complete an Incident Report Form and report to their foreman or supervisor as soon as possible.
2. For all incidents resulting in medical treatment and/or time off, the WCB Employees Report and WCB Employers Report are to be completed and distributed as required.
3. The employee's foreman or supervisor, in consultation with employee(s), will ensure immediate interim action is taken as required to minimize risk within the workplace.
4. The employee's foreman or supervisor, along with the employee (when possible), will investigate the incident and review concerns raised. The level of investigation will be determined at this stage.
5. The foreman or supervisor will carry out the necessary interviews and review the documentation.
6. The foreman or supervisor will complete the Incident Investigation Form.
7. The incident investigation will be submitted to the CAO for review.
8. The health and safety representative will review the task hazard assessment and associated safe work procedures to ensure that they are still adequate.
9. Corrective actions will be implemented according to the risk action plan.
10. All documentation must be kept on file for easy access and retrieval for a period not less than five (5) years.
11. All incidents will be tracked using the incident summary and reviewed on an annual basis.

## Determining the Root Cause

There are essentially two (2) major reasons why The Town of Daysland investigates incidents, these are the following:

- To determine the true and accurate circumstances which lead up to and contributed to the event.
- To prevent the event from occurring again, potentially with even greater repercussions.

Identifying the root cause of an incident may be a relatively complicated process. Several coincidental causes making up a chain of causation factors may be identified, none of which alone may have resulted in the incident.



The basic concept of incident prevention is that incidents can have several causes, each of which must be identified and controlled.

Accurate, clear and complete information is needed from the investigation process. Details which should be recorded and included in the incident investigation report include the following:

- A description of the sequence of events leading to the incident.
- Correct identification of all causal factors.
- A description of all causal factors.
- The corrective actions already taken.
- Further recommendations for corrective actions.
- Review and sign-off by management.

The root cause and all contributing factors will be included in the Incident Investigation Form. This document will be retained for a period of no less than five (5) years.

## Investigation of Incidents

Accurate, clear, and complete information is needed from the investigation process. It is important when investigating incidents not to allocate blame. The following results could be from assigning blame:

- Witnesses not revealing all of the circumstances and events surrounding the incident.
- Deliberate obstruction or provision of false information.
- The removal of relevant information, documents, or evidence.

The investigator(s) must remain impartial and objective if all of the causes are to be established.

For the incident investigation to be successful in identifying all of the causes of the incident, it will be necessary to establish:

- The events and circumstances leading up to the incident including:
  - The system of work currently in place.
  - The instructions given for the work.
  - Variations from instructions or safe work systems.
  - Workplace conditions such as lighting, floor surfaces, warning signs, temperature, and weather if the incident occurred outside.
  - The exact location of the incident, with sufficient detail for the spot to be readily identified by somebody else reading the report.
  - The materials in use or being handled.
  - The type of equipment in use.
- Facts of the incident – facts relevant to the incident may include:
  - The state of the work system and the actions which occurred at the moment of the incident.
  - The people directly involved, and those involved at a distance, if any.





- The tools, equipment, materials, and fixtures directly involved.
- The time the incident occurred.
- Relevant facts from events which occurred immediately after the incident including:
  - The injuries or damage resulting directly from the incident.
  - The events leading to consequential injury or damage.
  - The people involved, including those rendering aid.
  - Any problems in dealing with the injuries, such as the lack of a process for releasing a trapped person, presence of a faulty extinguisher, etc.

## Basic Factors

In the investigation of the events leading up to an incident, there will be a number of basic factors to consider. They are important in determining causation. The basic factors comprise elements which must exist to enable the sequence to continue, and hence the damage to occur. These elements contribute to all incidents. In conducting an effective incident investigation, it is essential to look for each of these components and not to look for any single cause:

- Design factors – Poor systems design may result in exposure to hazards such as unguarded dangerous parts of machinery, ineffective safety devices or inadequate ventilation.
- Environmental factors – The environment has a direct effect on safety behaviour. How people function in the work environment depends on what they experience in it. The environmental factors may be both physical and psychosocial.
- Behavioural factors – Behavioural factors can result in exposure to hazards. Examples of behavioural factors are the misuse of safeguards, the improper use of tools and equipment, ignoring cautionary notices, failure to wear personal protective equipment, horseplay, or poor housekeeping.

The reasons that lie behind the disregard for accepted safe systems of work and safety practices, procedures, or rules need to be examined. Such behaviour is not accepted within The Town of Daysland. Management should look at improved communication, further training, supervision, counselling, or modification of controls before disciplinary procedures are to be initiated.

## Systems and Management Factors

It is necessary to locate, within the various levels of the management system, errors and omissions which permitted the event to occur. Such elements will always be present and the design, environmental, and behavioural factors identified above can be traced or related to management failures.

## Review of Corrective Actions

The CAO will review the information gained from the incident investigation and ensure corrective actions are completed.





## Risk Identification, Assessment and Control

The Town of Daysland shall identify and assess all hazards that have caused incidents using the following risk management methods:

- Defining the scope of the activity that is to be assessed.
- Identifying the risks.
- Assessing the risks.
- Controlling the risks.
- Monitoring and reviewing the process.

The Town of Daysland shall implement all controls using the following hierarchy of hazard control:

- Eliminating the hazard.
- Substituting out the hazard.
- Implementing engineering controls.
- Implementing administrative controls.
- Implementing the use of personal protective equipment.
- Implementing a combination of controls.

In addition, The Town of Daysland shall:

- See that all corrective actions identified in an investigation are authorized by the CAO with signed documentation.
- Allocate responsibility against each corrective action, to ensure everyone is aware of what is required of them. Any lack of response shall be tracked to the responsible person.
- Ensure any corrective actions have a time frame allocated to them for completion.
- Ensure all employees concerned have received sufficient training, or arrange for training, as deemed necessary by the findings of the investigation.
- Where a specific task or process has caused the incident, a hazard assessment and analysis will be completed in order to re-assess the risks associated with in the area.
- After implementing corrective actions, ensure they are evaluated. This is to ensure that the controls have not caused any further hazards, and that they are in fact appropriate to reducing the likelihood of a recurrence of the same event.

## Use of Incident Statistics

The Town of Daysland will use the information gained from incident statistics to measure trends over a period of time so that The Town of Daysland has an indication of whether it is improving, stable, or deteriorating with regards to health and safety performance.



## Negative Performance Indicators

The Town of Daysland will measure “Average Lost Time Rate” and the average time lost per occurrence of injury or disease. This rate is an indication of the severity of occurrences being experienced by employees over a period of time.

## Positive Performance Indicators

It is important to note that negative performance indicators such as “Average Lost Time Injuries” give an indication of the state of the health and safety program and should be used with caution. Positive performance indicators are pro-active and show the effectiveness of training, management commitment, and support, and resources given to safety, which are all part of the larger picture.

Statistics will also provide The Town of Daysland with an indication of the effectiveness of the corrective or preventative actions taken to minimize or eliminate the hazard which caused the incident.

## Privacy Considerations

The Freedom of Information and Protection of Privacy Act (Canada) is a locally legislated and enforced document that provides the legislative basis for protection of individuals' rights in regard to disclosure of personal information. Personal information may only be divulged in circumstances which correspond with the stated use as per the local legislation.