

ARPAC

INCIDENT INVESTIGATION

Employer First Aid/ Incident Investigation/ Work Refusal/ Near
Miss Report

ARPAC Employer First Aid/ Incident Investigation/ Work Refusal/ Near Miss Report

1. Head Office Information

Arpac Storage Systems Corporation
 7663 Progress Way, Delta, BC V4G 1A2
 David Clausen (604)940-4000/ dclausen@arpac.ca

2. Place, Date, And Time of Incident (Includes WorkSafe/ WCB Account #)

<input type="checkbox"/> Delta SP 7663 Progress Way Delta, BC V4G 1A2 375418 (Ind. 764028)	<input type="checkbox"/> Delta LT 7593 Progress Way Delta, BC V4G 1E8 375418 (Ind. 712027)	<input type="checkbox"/> Calgary #8 6000 72 Ave SE Calgary, AB T2C 5C3 302845	<input type="checkbox"/> Edmonton #1 12632 184 Street NW Edmonton, AB T5V 1T4 302845	<input type="checkbox"/> Lethbridge Unit 1-109 Broxburn Blvd Lethbridge, AB T1J 4C9 302845
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Location where incident occurred, if different from Arpac locations listed above (street address, city, province, and postal code)

Date of Incident (yyyy-mm-dd) Time of Incident (include am/pm): Shift Scheduled For (From-Until):

3. Report Type (select all that apply) - If this is a revised version of a previous report, please check here

<input type="checkbox"/> First Aid Report - No medical (only complete page 1)	<input type="checkbox"/> Preliminary Investigation Report (Within 48hrs)	<input type="checkbox"/> Interim Corrective Action Report	<input type="checkbox"/> Full Investigation Report (Within 30 days)	<input type="checkbox"/> Full Corrective Action Report
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Report date (yyyy-mm-dd) Date sent (only for full report)(yyyy-mm-dd)

4. Injured Person (s) - If An Injury Occurred

Last name	First name	Job title

5. Involved Persons/ Witnesses/ Others (may include persons whose presence might be necessary for proper investigation and/or other relevant workplace parties)

Last name	First name	Job title
a)		
b)		

6. Full Description of the Incident (Sequence of Events) Including First Aid Provided

Was first aid provided? Yes No If yes: Name of first aid attendant:
 Where any days of work lost due to incident? Yes No If yes, how many: Ongoing

Describe events that happened in the incident, earlier that day or even in previous years that led up to the incident. Examples may include events such as training given or changes in equipment, procedures, or company management.

7. Injury Coding

Type of Contact		Contact With		Contact To		Location
<input type="checkbox"/> Struck against	<input type="checkbox"/> Fall same level	<input type="checkbox"/> Electricity	<input type="checkbox"/> Caustics	<input type="checkbox"/> Face	<input type="checkbox"/> Arm	<input type="checkbox"/> Left side
<input type="checkbox"/> Struck by	<input type="checkbox"/> Fall to below	<input type="checkbox"/> Heat or Cold	<input type="checkbox"/> Noise	<input type="checkbox"/> Head	<input type="checkbox"/> Hand	<input type="checkbox"/> Right side
<input type="checkbox"/> Caught in/ on	<input type="checkbox"/> Overexertion	<input type="checkbox"/> Pressure	<input type="checkbox"/> Toxic/ noxious substance	<input type="checkbox"/> Eyes	<input type="checkbox"/> Torso	<input type="checkbox"/> Front
<input type="checkbox"/> Caught between	<input type="checkbox"/> Slip	<input type="checkbox"/> Radiation		<input type="checkbox"/> Foot	<input type="checkbox"/> Leg	<input type="checkbox"/> Back
<input type="checkbox"/> Other:		<input type="checkbox"/> Other:		<input type="checkbox"/> Other:		<input type="checkbox"/> Details:

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8. Documents to review and include in the investigation (select all that are used)

<input type="checkbox"/> Position Hazard Assessment	<input type="checkbox"/> SOP Hazard Assessment
<input type="checkbox"/> Position Description	<input type="checkbox"/> HR/ Safety Policies
<input type="checkbox"/> Field Level Hazard Assessment	<input type="checkbox"/> Training Documents/ Manuals
<input type="checkbox"/> SOP (Standard Operating Procedure)	<input type="checkbox"/> Orientation documents/ records
<input type="checkbox"/> Other not listed:	

9. Type of Occurrence (select all that apply)

<input type="checkbox"/> Near Miss	<input type="checkbox"/> Death of an employee
<input type="checkbox"/> Incident (no injury)	<input type="checkbox"/> Serious injury to an employee (**Complete section Below)
<input type="checkbox"/> Injury requiring medical treatment beyond first aid	<input type="checkbox"/> Major structural failure or collapse
<input type="checkbox"/> Vehicle Accident	<input type="checkbox"/> Major release of hazardous substance
<input type="checkbox"/> Minor Injury requiring no, or only first aid	<input type="checkbox"/> Blasting accident, causing personal injury
<input type="checkbox"/> Other (specify):	<input type="checkbox"/> Dangerous incident involving explosives (not blasting)
	<input type="checkbox"/> Incident of fire/ explosion with potential for serious injury

****Nature of the Serious Injury (complete only if serious injury selected above)****

<input type="checkbox"/> Life threatening or resulting in loss of consciousness	<input type="checkbox"/> Punctured lung or other serious respiratory condition
<input type="checkbox"/> Major broken bones in head, spine, pelvis, arms, or legs	<input type="checkbox"/> Injury to internal organ or internal bleeding
<input type="checkbox"/> Major crush injuries	<input type="checkbox"/> Injury likely to result in loss of sight, hearing, or touch
<input type="checkbox"/> Major cut with severe bleeding	<input type="checkbox"/> Injury requiring CPR or other critical intervention
<input type="checkbox"/> Amputation of arm, leg, or large part of hand or foot	<input type="checkbox"/> Serious chemical or heat/cold stress exposure
<input type="checkbox"/> Major penetrating injuries to eye, head, or body	<input type="checkbox"/> Other (specify)
<input type="checkbox"/> Severe (third-degree) burns	

10. Immediate Cause Checklist (check all that apply)

Substandard Actions	Substandard Conditions	Personal Factors
<input type="checkbox"/> Operating equipment without authority	<input type="checkbox"/> Inadequate guards or barriers	<input type="checkbox"/> Inadequate capability
<input type="checkbox"/> Operating at improper speed	<input type="checkbox"/> Inadequate or improper PPE	<input type="checkbox"/> Lack of knowledge/ skill
<input type="checkbox"/> Improper loading/ placement	<input type="checkbox"/> Inadequate or excess illumination	<input type="checkbox"/> Lack of sound judgement
<input type="checkbox"/> Improper lifting	<input type="checkbox"/> Inadequate ventilation	<input type="checkbox"/> Stress: mental/physical
<input type="checkbox"/> Improper position for task	<input type="checkbox"/> Inadequate warning	<input type="checkbox"/> Improper motivation
<input type="checkbox"/> Failure to warn	<input type="checkbox"/> Defective tools, equipment or materials	
<input type="checkbox"/> Failure to secure	<input type="checkbox"/> Congestion or restricted action/ area	Job Factors
<input type="checkbox"/> Failure to use PPE properly	<input type="checkbox"/> Fire and explosive hazards	<input type="checkbox"/> Inadequate engineering
<input type="checkbox"/> Removing/ making safety devices inoperable	<input type="checkbox"/> Poor housekeeping	<input type="checkbox"/> Inadequate tools/equipment
<input type="checkbox"/> Using defective equipment	<input type="checkbox"/> Noise exposures	<input type="checkbox"/> Wear and tear
<input type="checkbox"/> Using equipment improperly	<input type="checkbox"/> High or low temperature exposures	<input type="checkbox"/> Abuse or misuse
<input type="checkbox"/> Servicing equipment while in operation	<input type="checkbox"/> Environmental conditions (ie. dust, smoke, fumes, vapors)	<input type="checkbox"/> Other:
<input type="checkbox"/> Horseplay	<input type="checkbox"/> Other:	
<input type="checkbox"/> Under influence of alcohol and/or drugs		
<input type="checkbox"/> Other:		

11. Root Cause Checklist (check all that apply)

The root cause is the one aspect that if addressed will provide long-term resolution to the issue at hand:

<input type="checkbox"/> Improper/ inadequate training/ orientation	<input type="checkbox"/> Improper/ inadequate work standards
<input type="checkbox"/> Improper/ inadequate policies/ procedures	<input type="checkbox"/> Improper/ inadequate maintenance/ inspections
<input type="checkbox"/> Improper/ inadequate supervision	<input type="checkbox"/> Improper/ inadequate workplace inspections
<input type="checkbox"/> Improper/ inadequate hazard controls/ implementation of controls	<input type="checkbox"/> Improper/ inadequate performance management

12. Determination of Causes of Incident

Analyze the facts and circumstances of the incident to identify underlying factors that led to the incident. Underlying factors include factors that made the unsafe conditions, acts, or procedures. Describe anything, or the absence of anything, that contributed to the hazard such as poor housekeeping or poor visibility, using equipment without guards, or the lack of safe work procedures.

Immediate Cause(s) are:

Root Cause(s) are:

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13. Sketch of the Site Involved in Investigation (Include Photos)



Front Back

14. Investigation Completed By

Representative	Name	Job title
Employer representative		
Worker representative		
Other		
Other		

15. Corrective Actions/ Recommendations Approved to Prevent Recurrence of Similar Incidents

Category	Description (Update in Full Report, if necessary.)	Approval	Action assigned to (name and job title)	Completed Date (yyyy-mm-dd)
Elimination		<input type="checkbox"/>		
Substitution		<input type="checkbox"/>		
Engineering		<input type="checkbox"/>		
Administrative		<input type="checkbox"/>		
PPE		<input type="checkbox"/>		

16. Senior Management Review & Sign Off

Briefly describe your reactions to the investigators analysis of this accident and the remedial actions directed at possible inadequacies in the program, its standards or compliance to the standards.

*Please review recommendations listed, approve, and assign with a due date.

Management's Signature	Title	Date
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Step 1. Reporting

If an incident occurs it must be immediately (or as soon as is safe to do so) reported to a manager/ human resources/ Health and Safety Coordinator/ safety committee member. This includes all incidents (occupational illness, health, and safety), near misses, and work refusals. Management will report as applicable to external governing bodies (ie/ WCB, OHS, etc.).

Step 2. Injury management

Provide first aid and medical care to injured person(s) and prevent further injuries or damage. (see Appendix M in the Occupational Health and Safety Manual for this full process).

Step 3. Secure the scene

The scene of this incident must be secured to ensure the integrity of the evidence is maintained and it is safe for investigators to do their job. To secure the scene we want to:

1. Take care of any immediate potential for injury/ incident to further/ re occur (this includes examples such as putting out flames, removing flammable materials)
2. Put up pylons/ barricades/ signage
3. If the circumstances around the incident require an immediate disturbance of the scene, take photos/ video to refer to in the later steps of the investigation.

Step 4. Witness management

Witness are an integral asset to the investigation process. To manage witnesses, we need to:

1. Remove them from the scene in a private quiet location away from others (including any other witness/ individuals involved). The witness will be part of the interview process, this step will help to avoid any interference in their perception of the incident.
2. Collect witness contact information.
3. Provide support as necessary (post-incident support through LifeWorks).

Step 5: Collect the data

Before attempting to gather information, examine the site for a quick overview, take steps to preserve evidence, and identify all witnesses. Physical evidence is probably the most non-controversial information available. It is also subject to rapid change or obliteration; therefore, it should be the first to be recorded. Based on your knowledge of the work process, this includes checking items such as:

- Date, time, and the shift
- Equipment and products being used
- Safety devices in use
- Damage to equipment
- Housekeeping of area
- Weather conditions
- Lighting and noise levels You may want to take photographs before anything is moved. A later study of the pictures may reveal conditions or observations that were missed initially. Sketches of the scene based on measurements taken may also help in later analysis and will clarify any written reports.

When we are collecting data, it is important to consider and include all factors. This includes the work being performed, the environment, personnel, and the organization. When looking at evidence compared to the scene, we should be observing the actual work procedure being used at the time of the incident is explored. Members of the investigation team will look for answers to questions such as:

- Was a safe work procedure used? Had conditions changed to make the normal procedure unsafe?
- Were the appropriate tools and materials available? If so, were they used?
- Were safety devices working properly?



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To seek out possible causes resulting from the equipment and materials used, investigators might ask:

- Was there an equipment failure? If so, what caused it to fail?
- Was the machinery poorly designed or was the raw material substandard in some way?
- Were hazardous products involved? If so, were they clearly identified?
- Was a less hazardous alternative product possible and available?
- Should personal protective equipment (PPE) have been used? If so, was the PPE used? If so, were users of PPE properly educated and trained?

Work Environment

The physical work environment needs to be identified. The situation at the time of the incident is what is important, not what the "usual" conditions were. For example, investigators may want to know:

- What were the weather conditions?
- Was poor housekeeping a problem?
- Was it too hot or too cold?
- Was there a noise or lighting problem?
- Were toxic or hazardous gases, dusts, or fumes present?

Personnel

Some factors will remain essentially constant while others may vary from day to day:

- Did the worker follow the safe operating procedures?
- Were workers experienced in the work being done?
- Had they been adequately educated and trained?
- Can they physically do the work?
- Was fatigue or shiftwork an issue?
- Were they under stress (work or personal)?
- Was there pressure to complete tasks under a deadline, or to by-pass safety procedures?

Organizational factors

Management holds the legal responsibility for the safety of the workplace and therefore this area must always be considered in an incident investigation. Failures of management systems are often found to be direct or indirect causes. Ask questions such as:

- Were safety rules or safe work procedures communicated to and understood by all employees?
- Were written procedures and orientation available?
- Were the safe work procedures being enforced?
- Was there adequate supervision?
- Were workers educated and trained to do the work?
- Had hazards and risks been previously identified and assessed?
- Had procedures been developed to eliminate the hazards or control the risks?
- Were unsafe conditions corrected?
- Was regular maintenance of equipment carried out?
- Were regular safety inspections carried out?
- Had the condition or concern been reported beforehand? Was action taken?

Step 6: Interviews

Although there may be occasions when you are unable to do so, every effort should be made to interview witnesses including those involved in the incident. In some situations, witnesses may be your primary source of information because you may be called upon to investigate an incident without being able to examine the scene immediately after the event.



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Witnesses and those involved in the incident should be kept apart and interviewed as soon as possible after the incident. If they have an opportunity to discuss the event among themselves, individual perceptions may be lost in the normal process of accepting a consensus view where doubt exists about the facts.

The purpose of the interview is to establish an understanding with the witness and to obtain his or her own words describing the event. Ask open-ended questions that cannot be answered by simply "yes" or "no". The actual questions you ask the witness will naturally vary with each incident, but there are some general questions that apply to most incidents:

- Where were you at the time of the incident?
- What were you doing at the time? What did you see, hear?
- What were the work environment conditions (weather, light, noise, etc.) at the time?
- What was (were) the injured worker(s) doing at the time?
- In your opinion, what caused the incident?
- How might similar incidents be prevented in the future?

Asking questions is a straightforward approach to establishing what happened. But, care must be taken to assess the accuracy of any statements made in the interviews. Some help do's and don'ts are provided below:

DO...

- Put the witness, who is probably upset, at ease
- Emphasize the real reason for the investigation, to determine what happened and why
- Let the witness talk, listen
- Confirm that you have the statement correct
- Try to sense any underlying feelings of the witness
- Make short notes or ask someone else on the team to take them during the interview
- Ask if it is okay to record the interview, if you are doing so
- Close on a positive note

DO NOT...

- Intimidate the witness
- Interrupt, prompt or ask leading questions
- Show your own emotions
- Jump to conclusion

Step 7: Analyze the Data and Identify the Root Cause(s)

At this stage of the investigation most of the facts about what happened and how it happened should be known. This data gathering has taken considerable effort to accomplish but it represents only the first half of the objective. Now comes the key question - why did it happen?

Keep an open mind to all possibilities and look for all pertinent facts. There may still be gaps in your understanding of the sequence of events that resulted in the incident. You may need to re-interview some witnesses or look for other data to fill these gaps in your knowledge. When your analysis is complete, write down a step-by-step account of what happened (the team's conclusions) working back from the moment of the incident, listing all possible causes at each step. Each conclusion should be checked to see if:

- a) It is supported by evidence
- b) The evidence is direct (physical or documentary) or based on eyewitness accounts, or
- c) The evidence is based on assumption.



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The important point is that even in the most seemingly straightforward incidents, **seldom, if ever, is there only a single cause**. For example, an "investigation" which concludes that an incident was due to worker carelessness, and goes no further, fails to find answers to several important questions such as:

1. Was the worker distracted? If yes, why was the worker distracted?
2. Was a safe work procedure being followed? If not, why not?
3. Were safety devices in order? If not, why not?
4. Was the worker trained? If not, why not?

Step 8: The Written Report

The prepared draft of the sequence of events can now be used to describe what happened. Remember that readers of your report do not have the intimate knowledge of the incident that you have so include all relevant details, including photographs and diagrams. Identify clearly where evidence is based on certain facts, witness accounts, or on the team's assumptions.

If doubt exists about any particular part of the event, say so. The reasons for your conclusions should be stated and followed by recommendations (step 9). Do not include extra material that is not required for a full understanding of the incident and its causes such as photographs that are not relevant and parts of the investigation that led you nowhere. The measure of a good report is quality, not quantity.

Step 9: Recommendations

The most important final step is to come up with a set of well-considered recommendations designed to prevent recurrences of similar incidents. Recommendations will come from a functional expert in the department where the incident occurred. This will often be the manager involved in the investigation, but may also be in collaboration with other managers, supervisors, trainers, and area experts.

In the unlikely event that you have not been able to determine the causes of an incident with complete certainty, you probably still have uncovered weaknesses within the process, or management system. It is appropriate that recommendations be made to correct these deficiencies. The written report including recommendations are then sent to senior management.

Step 10: Approvals and Follow Up

The completed report is submitted to senior management for review, additional recommendations, approval of corrective actions and sign off. Approved forms are kept on file. Management is responsible for acting on the recommendations in the investigation report that are approved by senior management and reporting the statuses back to the committee. Follow-up actions include:

- Respond to the recommendations in the report by explaining what can and cannot be done (and why/ why not).
- Develop a timetable for corrective actions.
- Monitor that the scheduled actions have been completed.
- Check the condition of injured worker(s).
- Educate and train other workers at risk.
- Re-orient worker(s) on their return to work.
- Update hazard assessments where applicable.

Following the completion of the report and corrective action, the report will be provided to the joint