## Instructions for the Incident/Accident Investigation Form

**Purpose of Form:**
Effective loss control efforts require documentation of incidents and accidents to determine hazards or problem areas, procedures, or systems and to perform trending. Thorough investigation is required to determine the facts surrounding events so that remedial action can be taken, if required. The Incident/Accident Investigation Form provides an outline of needed information. The document may become a legal accounting of the facts surrounding the incident/accident.

**Filing Deadline:**
(Determined by your company and state workers compensation program policy. May consider 24 hours, 3 days but should be no more than 5 days).

**Completed by:**
(Insert name and contact information of investigator)

### A. Employee Data
Complete the top of the form with the identifying information and the date and time of the incident/accident. If a claim has been filed, complete the space for the claim number.

### B. Incident Description
Attachment 1 contains benchmarked accident investigation procedures. Sufficient action is necessary to ensure that all facts surrounding the incident/accident are obtained so that effective loss control procedures can be established to protect against future incidents/accidents occurring. The form is developed to capture this information and to help the accident investigator come to reasonable conclusions concerning the events.

1. Where did the incident happen? – Go to the scene. Provide a visual image of the location of the incident. The reader should be able to visualize the area and the surrounding environment.

2. What was happening at the time of the incident? – Document the sequence of events leading up to the incident/accident. Include names of people interviewed and activities surrounding the event.

3. Describe any injury incurred, body parts and kind/s of injury/ies or illnesse(s). – Through interview with the affected employee, determine what kinds of injuries were sustained and what body parts were involved.

4. What exactly caused the physical injury, or if an injury was avoided, what could have caused an injury? – What were the mechanics that caused the injury or could have caused an injury? Were procedures followed? Are the procedures faulty? Was equipment in good repair? Were there environmental hazards?

### C. Investigation Results

5. After review of all facts, what was the hazardous condition, unsafe work practice or other basic and root cause of the incident/ injury?

### D. Corrective Action

6. What is recommended to help prevent this type of incident/accident from occurring again? Provide short term and long term corrective actions that will prevent or eliminate the hazardous condition, unsafe work practice, and root causes

8. Who will be contacted concerning recommended action to ensure follow-up? Completion of this section ensures that the management staff involved knows that action has been taken to remedy the hazardous condition.
**Distribution:**

**Original:** Risk Manager or Risk Management Contact

**Copies:**
- Safety Manager
- Affected Employee’s Supervisor
- Director/Manager of Department or Section

**NOTES/COMMENTS:**
### A. Employee Data

<table>
<thead>
<tr>
<th>Claim # (if known):</th>
<th>Date of incident:</th>
<th>Time:</th>
<th>A.M</th>
<th>P.M.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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<tr>
<td>Employee Name:</td>
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</tr>
<tr>
<td>Working Title:</td>
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<td></td>
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<tr>
<td>Dept.</td>
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<tr>
<td>Employee Contact #:</td>
<td>Hm.</td>
<td>Wk.</td>
<td>Other</td>
<td>Wk</td>
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<tr>
<td>Supervisor Contact:</td>
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</tbody>
</table>

### B. Incident Description

*Obtain written and/or recorded statements from injured employee. What happened? What caused the accident? What were the contributing factors? Reconstruct the sequence of events that led to the injury. Attach additional sheets if necessary. This document becomes a legal accounting of the facts surrounding the incident/accident. When documenting the facts, include answers to the following questions:*

1. Where did the incident happen? Provide a full description of the surroundings of the location.
2. What was happening at the time of the incident? What were the events leading up to the incident?
3. What exactly caused the physical injury? What were the mechanics involved? Or, if a physical injury was avoided, what could have happened to cause an injury?
4. Describe any injury incurred by the employee, what body part/s and what kind/s of injury/ies and/or illness(es). If there are no injuries/illness, so state.
### C. Incident Findings

After review of all facts, what was the hazardous condition, unsafe work practice or other root cause of the incident/ injury?

<table>
<thead>
<tr>
<th>Action taken to ensure recommendations are considered:</th>
</tr>
</thead>
</table>

### D. Corrective Action

What is recommended to prevent this type of incident/accident from occurring again?

<table>
<thead>
<tr>
<th>Signature of Accident Investigator</th>
<th>Date</th>
<th>Time</th>
</tr>
</thead>
</table>

**Internal Distribution:**

**Original:** Risk Manager or Risk Management Contact

**Copies:** Safety Officer

Employee’s Supervisor

Director/Manager of Department or Section

Maintain one copy in any retrievable format in the site file for a minimum of _______ (e.g. 3) years, or in the case of an occupational illness or injury, for 30 years following duration of employment.

**Notes:**
ACCIDENT INVESTIGATION BEST PRACTICES

I. Fact-Finding (not Fault Finding)
1. Emphasis is placed on gathering facts; not to place blame, or determine the cause of accident.
2. Inspect the accident site before any changes occur
3. Preserve essential and critical evidence
4. Take photographs and/or make sketches of the accident scene.
5. Interview the injured employee and witnesses as soon as possible after an accident. Record pre-accident conditions, the accident sequence, and post-accident conditions.
6. Document the location of injured employee, witnesses, machinery, equipment, energy sources, and hazardous materials.
7. Ask who, what, when, where, why, and how during interviews.
8. Re-interview injured employee and witnesses to resolve conflicting accounts of the accident.
9. Remain completely objective during interviews and in documentation – no opinions, just the facts.
10. Keep complete and accurate notes.

II. Interviews
1. Get preliminary statements from victims and witnesses as soon as possible.
2. Explain the purpose of the investigation (accident prevention) and put each witness at ease.
3. Let each witness speak freely and take notes without distracting the witness.
4. Record the exact words used by the witness to describe each observation.
5. Be sure that the witness understands each question.
6. Identify the witness completely (name, occupation, years of experience, phone number).
7. Supply each witness with a copy of his or her statement (signed statements are desirable).

III. Accident Reconstruction
1. Accident Reconstruction should only be considered if it is entirely SAFE to do so.
2. Develop a sequence of events from the information obtained from the victims and witnesses.
3. Identify hazardous conditions present during the accident.
4. Identify unsafe work practices present during the accident.
5. Identify system issues that caused or contributed to the accident.
6. Determine root causes of the accident by Job Safety Analysis, Activity Hazard Analysis, Fault Tree Analysis or other methods.
7. If discrepancies exist, consider seeking assistance from professional accident investigator/reconstructionist.
IV. Investigation Reporting

1. Provide complete, thorough information about the accident (the who, what, when, and where data).
2. Describe the accident. Document the sequence of events of the accident. Identify the extent of damage to the employee and/or property.
3. Identify hazardous conditions and/or unsafe work practices for each event of the accident.
4. Identify the root cause of each hazardous condition or unsafe work practice.
5. Provide short-term and long-term corrective actions that prevent or eliminate the identified hazardous conditions, unsafe work practices, and root causes.
6. Describe the corrective actions recommended, the persons who are accountable for each corrective action, and the approximate time frame for correction.

V. Corrective Actions

1. Recommend immediate corrective actions to eliminate or reduce hazardous conditions and/or unsafe work practices.
2. Recommend long-term corrective actions that correct policies, programs, plans, processes, and/or procedures.
3. Recommend engineering controls, administrative controls, and/or personal protective equipment.
4. Estimate the cost to implement each immediate and long-term corrective action.
5. Develop an action plan for each corrective action.
6. Monitor implementation of the action plan to ensure appropriate corrective action is taken.