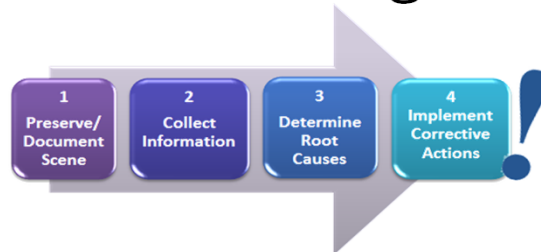


OSHA 7505

Introduction to Incident [Accident] Investigation



A SYSTEMS APPROACH TO HELP PREVENT INJURIES AND ILLNESSES



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Objectives

TLO 1: Explain basic incident investigation procedures.

ELO1.1: Explain the language of incident investigations including the difference between accident and incident.

ELO1.2: Explain the value of conducting an incident investigation.

ELO1.3: Explain employer responsibilities related to workplace incident investigations.

TLO 2: Apply the 4-Step Incident Investigation Process to conducting an incident investigation.

ELO 2.1: Preserve/document the scene

ELO 2.2: Collect information

ELO 2.3: Determine root causes

ELO 2.4 Implement corrective actions



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OSHA 7505: Introduction to Incident [Accident] Investigation
Table of Contents

<i>Intro</i>	Introduction	Page 5
<i>Module 1</i>	Basic Incident Investigation Procedures	Page 27
<i>Module 2</i>	The Four Step Incident Investigation Process	Page 43
<i>Appendix A</i>	OSHA's Incident [Accident] Investigations: A Guide for Employers	Page 93
<i>Appendix B</i>	Regulations Requiring Incident Investigation	Page 119
<i>Appendix C</i>	Incident Investigation Review	Page 133
<i>Appendix D</i>	Knowledge Check	Page 141



Module 1

Basic Incident Investigation Procedures



“Accident” vs. “Incident

- This course uses the term “incident,” not “accident”
- “accident” conveys a *random act that could not be prevented*
- Actually, these are wholly preventable

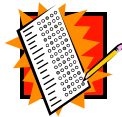
Page 29 (Module 1, page 1)



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Pretest: We do Incident Investigations Because (T or F):



1. It's required for the Worker's Compensation Claim.
2. We like doing all the extra paperwork- so we don't have to do any real work!
3. It's an important tool for determining root causes of incidents, identifying corrective actions, and making sure this same incident never occurs again.



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Answers: Incident Investigation Benefits Us Because:

- A thorough investigation will identify corrective actions that will prevent future accidents.
- Positive effect on morale.
- Continuous improvement in overall operation.
- Raises safety awareness.



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Language of Incident Investigation

Incident	A work-related event in which an injury or ill-health (regardless of severity) or fatality occurred, or could have occurred.
Root Causes	The underlying reasons why unsafe conditions exist or if a procedure or safety rule was not followed in a workplace. Root causes generally reflect management, design, planning, organizational or operational failings (Such as damaged guard had not been repaired; failure to use the guard was routinely overlooked by supervisors to ensure the speed of production).
Close Call	An incident that could have caused serious injury or illness but did not; also called a “near miss.”

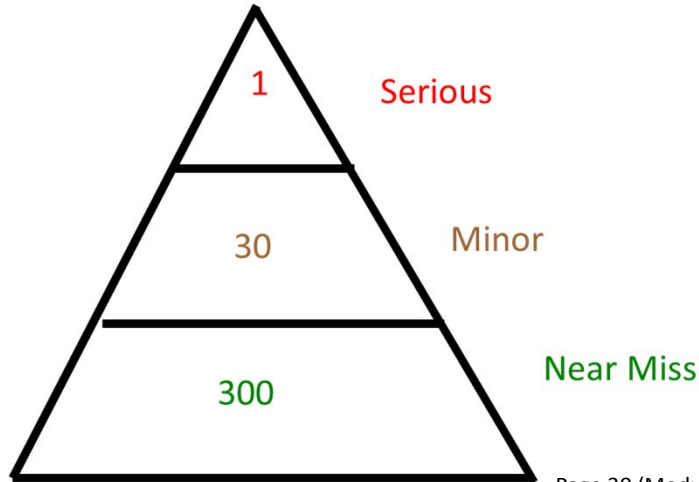
Page 30 (Module 1, page 2)



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Heinrich's "Accident" Triangle:



Page 30 (Module 1, page 2)



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Activity/Discussion:

Exercise/Discussion: What are some examples of "workplace factors" that can lead to incidents?

Page 31 (Module 1, page 3)

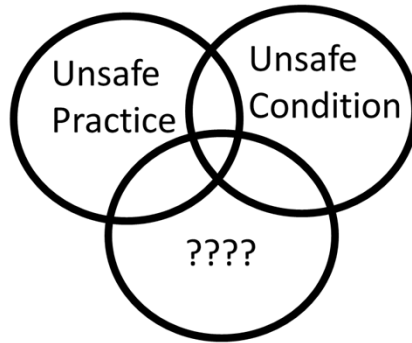


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A combination of factors causes the incident:

Human Component: Actions of Incident Victim AND Coworkers



Environmental Conditions, Machinery, Tools, Etc

The difference between an injury and a near miss

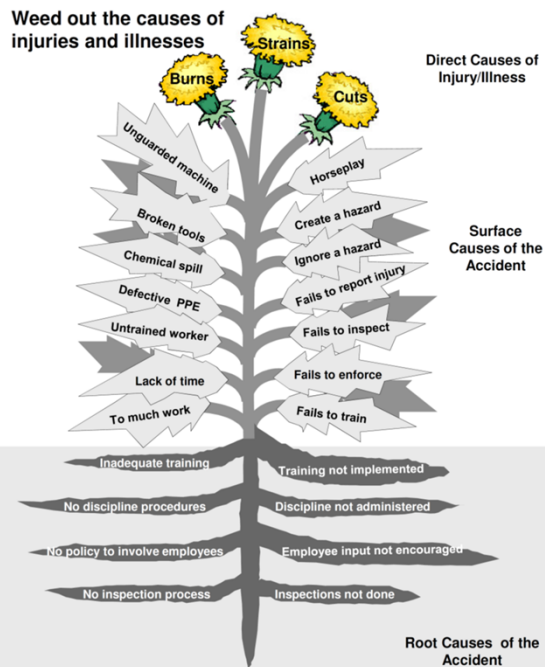
Page 31 (Module 1, page 3)



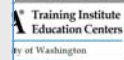
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Weed out the causes of injuries and illnesses



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Value of Incident Investigations

- Prevent injuries and illnesses
- Save lives
- Save money
- Demonstrate commitment to health and safety
- Promote positive workplace morale
- Improve management

Page 33 (Module 1, page 5)



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Prevention Saves Lives

- Investigations are incident prevention tools
- Should be integral to an Occupational Safety and Health Management Program
- Uncover root causes that were the underlying factors
- Prevent future incidents IF actions are taken to correct root causes uncovered in the investigation

Page 33 (Module 1, page 5)



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Prevention Saves Money

On average, preventing a:

- Workplace injury can save \$39,000
- Fatality can save more than \$1.4 million

OSHA is a resource for the Business Case for Safety and Health, visit the OSHA website to learn more:

<https://www.osha.gov/dcsp/products/topics/businesscase/costs.html>

SAFETY AND HEALTH TOPICS



Page 34 (Module 1, page 6)



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What do Incidents Cost a Company?

Direct - Insured Costs “Just the tip of the iceberg”

Unseen costs can sink the ship!

Indirect - Uninsured, Hidden Costs - Out of Pocket

Examples:

1. Lost time by fellow employees and supervisor.
2. Investigation of incident.
3. Schedule delays.
4. Legal fees.
5. Training costs for new/replacement workers.
6. Damage to tools and equipment.
7. Lower morale.
8. Increased absenteeism.
9. Poorer customer relations.
10. Others?

Practice Scenario

- During a safety inspection, you notice that an elevated platform area in a warehouse does not have a proper guardrail. You note that several workers work on the platform each day, and a well-used walkway passes directly under the platform.
- **Determine the costs:**
 - Estimate direct and indirect costs for the most likely resulting injury/illness if corrective actions are not taken
 - Briefly list what factors you considered in arriving at your estimate in each area

Page 35 (Module 1, page 7)



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Practice: Determine total cost

To calculate **Direct Cost** of the *Most likely injury: Fall to lower level*
Total value of the insurance claim for injury or illness **\$40,043**

To calculate **Indirect Cost**, multiply direct cost by a cost multiplier.
The cost multiplier that you use will depend on the size of the direct cost.

Direct Cost	Cost Multiplier
\$0 - \$2,999	4.5
\$3,000 - \$4,999	1.6
\$5,000 - \$9,999	1.2
\$10,000 or more	1.1

Direct Cost \$40,043 X 1.1 = \$44,047 Indirect Cost

TOTAL = \$84,090

Page 35
(Module 1, page 7)



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Employer Responsibilities

- Easy to follow written procedures
- Training on incident investigation and company procedures
- Collaboration between workers, worker representatives and management
- Focuses on identifying root causes
NOT on establishing fault
- Emphasize correcting root causes timely based on investigation findings
- Annual program review

Page 36 (Module 1, page 8)



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Investigation Plans Identify:

WHO

- Who to notify
- Who contacts police, fire, etc.
- Who conducts investigation
- Who receives/acts on reports

WHEN

- Timetables for investigation and follow-up

HOW

- Requirements to conduct investigator training

Page 36 (Module 1, page 8)

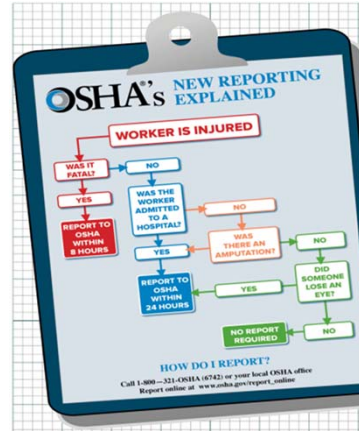


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OSHA Reporting Requirements

- Fatalities: Report within 8 hours
- Hospital admissions, amputations and loss of an eye: Report within 8 hours
- State plans may be more stringent



Page 36 (Module 1, page 8)



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Alaska Reporting Requirements

Occupational accidents that result in the **death or overnight hospitalization** of one or more employees must be reported to AKOSH within **8 hours**.

Immediately report accidents to:

- **1-800-770-4940**
or **(907) 269-4940**
(8 am to 5 pm M-F; AK time)
- **1-800-321-6742**
(After 5 pm or on weekends and holiday)

Page 37 (Module 1, page 9)



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Oregon Reporting Requirements

Report within 8 hours:

- **Death** of any employee or a **catastrophe**
 - Catastrophe: Two or more employees are fatally injured, or three or more employees are admitted to a hospital or clinic as a result of the same incident

Report within 24 hours:

- Inpatient hospitalization, loss of an eye, and either an amputation or avulsion that results in bone loss

Page 37 (Module 1, page 9)



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Washington Reporting Requirements

- A workplace **fatality or in-patient hospitalization of any employee within eight (8) hours** of the incident.
- A **non-hospitalized amputation or loss of an eye(s) of any employee within twenty-four (24) hours** of the incident.

Page 37 (Module 1, page 9)



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Investigation: Promote a Positive Workplace

- Focus on finding root causes, not blame or fault
- Investigations should be a team effort. A supervisor may take the lead.
- Working together:
 - Everyone “owns” conclusions and recommendations
 - Jointly ensure timely corrective actions taken

Page 38 (Module 1, page 10)



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Investigation Ground Rules:

- Fact finding, not fault finding
- Treat injured employee and witnesses with respect
- Avoid atmosphere of blame
- Set aside any personal issues
- Be objective
- Thank others for their participation



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Investigate Programs, Not Behaviors

IF...	WHY...
A procedure or safety rule was not followed...	Was the procedure or rule not followed?
Production pressures play a role...	Were production pressures permitted to jeopardize safety?
Procedure is out-of-date or safety training is inadequate...	Hasn't the procedure been updated? Why isn't safety training adequate?
If it had been identified...	Wasn't it addressed?

Page 38 (Module 1, page 10)



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Activity

Review of Module 1 Concepts:

Exercise/Discussion: In groups, list as many items as possible for each of the questions below:

Why do we use the term "incident" instead of "accident?"

How does incident investigation add value to a work organization?

Page 41 (Module 1, page 13)

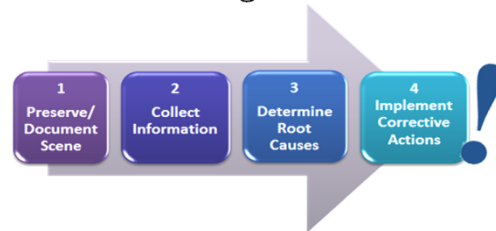


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Module 2

The 4-Step Incident Investigation Process



A SYSTEMS APPROACH TO HELP PREVENT INJURIES AND ILLNESSES

Page 43



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A Systems Approach

A systems approach always looks beyond the immediate causes of the incident.

Example:

If a worker suffers an amputation on a table saw, the investigator would ask questions such as:

- Was the machine adequately guarded? If not, why not?
- Was the guard damaged or non-functional? If so, why hadn't it been fixed?
- Did the guard design get in the way of the work?
- Had the employee been trained properly in the procedures to do the job safely?



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Systems Approach That is Documented

Who is the audience of the report?

- Worksite management
- Worker's compensation adjudicators
- Medical professionals
- Safety committee
- Yourself (or your successor) in future years

Page 45 (Module 2, page 1)



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Activity

Exercise/Discussion: Review the sample incident investigation forms on the following pages. What elements on these forms could you adopt for an incident investigation form in your workplace?

Page 45 (Module 2, page 1)



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Step 1: Preserve and Document the Scene

What items do you need?

- Camera
- Measuring devices
- Clipboard and something to write with
- Incident investigation forms
- Flashlight
- Magnifying glass
- PPE
- ????



A SYSTEMS APPROACH TO HELP PREVENT INJURIES AND ILLNESSES

Page 53 (Module 1, page 9)



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Discussion

Exercise/Discussion: Review the sample incident investigators tool kit in Appendix B of OSHA's Incident Investigations: A Guide for Employers. What items do you want in your incident investigation toolkit for use in your workplace?

Page 52 (Module 2, page 8)



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Determine What Happened

OSHA recommends beginning the investigation immediately

- Before material evidence moves or disappears
- Before memories fade or become distorted
 - Emotional response
 - People talk!



Page 54 (Module 2, page 10)



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Preserve the Scene

- Maintain scene safety
- Control hazards
- Keep people out who don't need to be there
 - Cones and tape
 - Security guard



Page 54 (Module 2, page 10)



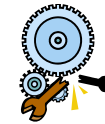
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1
Preserve/
Document
Scene

Investigation Methods

- Witness interviews
- Injured worker statement
- Photographs/sketches
- Measurements
- Physical evidence: i.e., broken parts or damaged equipment
- Look at accident site



Page 55 (Module 2, page 11)



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1
Preserve/
Document
Scene

Document the Scene

- Personal observation (notes)
- Video
- Initial statements
- Sketches
- Photos
- Samples



Page 55 (Module 2, page 11)



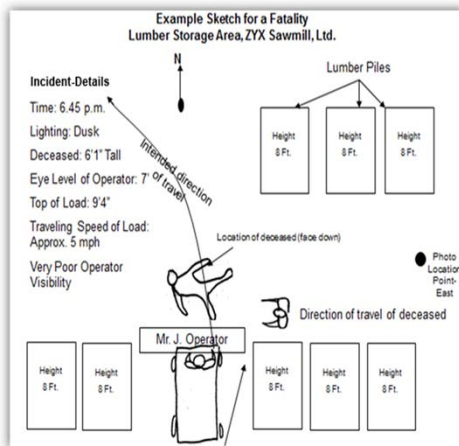
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1
Preserve/
Document
Scene

Sketch the Scene Techniques

- Reconstruct the incident
- Include incident details:
Time, date, location, conditions
- Note distances
- Indicate direction (north, south, east, west)
- Mark locations where photos are taken
- Location of people or objects



Page 57 (Module 2, page 13)



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Activity

Exercise:

DEAN CASE STUDY: SKETCH OF THE SCENE -
Draw a sketch of the scene given the scenario on the next page. Then, compare your sketch to those done by your classmates.

Page 59 (Module 2, page 15)

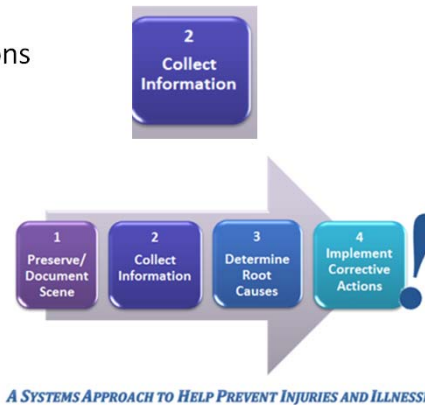


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Step 2: Collect Information

- Look into details
- “Why” and follow up questions
- Sources of information?
 - Witness interviews
 - Equipment manuals
 - Industry guidance
 - Maintenance
 - Training records
 - Audit reports
 - Enforcement policies
 - ???



Page 63 (Module 2, page 19)



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What Documents Should be Reviewed?

- Equipment manuals
- Industry guidance documents
- Audit reports
- Policies/procedures
- Previous corrective actions
 - Recommendations
 - Actions taken
- OSHA logs/incident reports
- Safety committee records
- Other...?



Page 63 (Module 2, page 1)



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Interview Preparation

- Who should be interviewed?
Why?
- When is it best to interview?
Why?
- Where should the interview be conducted?
- When *shouldn't* the interviews be conducted?



Page 64 (Module 2, page 20)



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Interview Tips

- Build rapport
- Communicate clearly
- Ask them to recount their version of the incident
- Allow the interviewee to complete their statements
- Repeat questions and answers for clarity
- Ask follow-up questions

Page 64 (Module 2, page 20)



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Interview Techniques

- Take notes
- Keep in mind the focus is determining root causes of the incident
- Put the person at ease
- Ask open-ended questions
- Let the individual talk
- Active listening
- Check understanding
- Repeat the facts & sequence of events back to the person

Page 64 (Module 2, page 20)



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Investigator Do's and Don'ts

- | | |
|--|--------------------------------|
| ✓ Do explain who you are | ✗ Don't argue |
| ✓ Do be specific as to why you're there | ✗ Don't ask "yes/no" questions |
| ✓ Do be positive-their knowledge is important | ✗ Don't be defensive |
| ✓ Do be diplomatic and understanding | ✗ Don't suggest answers |
| ✓ Do be adaptable | ✗ Don't accuse |
| ✓ Do express concern and desire to prevent similar incidents | ✗ Don't rush |
| ✓ Do ask their opinion | ✗ Don't interview in a crowd |
| ✓ Do thank them for their cooperation | |

Page 64 (Module 2, page 20)



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Exercise

Exercise: Work in groups.
Review the Carol Dean case study incident. Make a list of witnesses that you would like to interview, and write down what questions you would like to ask them. Be prepared to report out to the class.

Page 59 (Module 2, page 15)



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Step 2 Review

1. What relevant information might be obtained by reviewing the OSHA Injury and Illness records?
2. What is the purpose of the interview process?
3. What is an effective interview technique?
4. Why is it important to repeat the facts and sequence of events back to the interviewee?

Page 39 (Module 1, page 41)



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3 Determine Root Causes

Step 3: Determine Root Causes

Identify Root Causes

Environment Training "Hurry" factor Supervision
 Tools Person Involved Habits/Practices
 Supervision Equipment Trip hazards
 Floor Condition Maintenance
 Work Rules & Procedures Work Pressure
 Guard rails, ladders Guards, safety devices



A SYSTEMS APPROACH TO HELP PREVENT INJURIES AND ILLNESSES

Page 68 (Module 2, page 24)



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3 Determine Root Causes

Identify Root Causes

- Software
- Flow charting
- Fishbone diagram
- Fault tree
- Create a timeline
- Ask "why" five times

Page 68 (Module 1, page 24)

My car will not start. (the problem)

- 1) Why? - The battery is dead. (first why)
- 2) Why? - The alternator is not functioning. (second why)
- 3) Why? - The alternator belt has broken. (third why)
- 4) Why? - The alternator belt was well beyond its useful service life and has never been replaced. (fourth why)
- 5) Why? - ***I have not been maintaining my car according to the recommended service schedule.*** (fifth why and the root cause)



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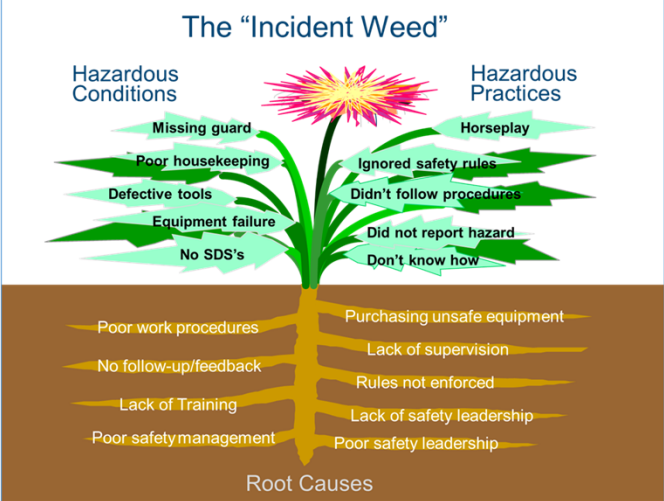


3
Determine
Root
Causes



Incident Investigation

Typically, incidents are caused by multiple failures or "root causes"



Page 71
(Module 2, page 27)



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Exercise



Exercise: In groups, create a sequence of events to identify root causes for the following case study. Be prepared to share findings with the class.

CONLIN CASE STUDY:
Mary Alice Conlin - Application Case Study
The accident occurred on a Walsh 55-ton full-revolution mechanical power press at Tool and Die, Inc. Mary Alice Conlin, 37 years old, lost three fingers and part of her thumb on the right hand when she reached into the press to extract a part.
The maintenance man did not secure the shield a week before the injury event as he was in a hurry to get to another machine breakdown. Besides, he needed a part to fix this press and had to wait for the part to be ordered.

Page 72 (Module 2, page 28)



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3
Determine
Root
Causes

Step 3 Review:



1. An “event” occurs as a result of...

2. Root causes are...

3. Developing the sequence of events is critical to...



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4
Implement
Corrective
Actions

Step 4: Implement Corrective Actions



- Link corrective actions to the root causes identified
- Make sure the corrective action gets done



A SYSTEMS APPROACH TO HELP PREVENT INJURIES AND ILLNESSES

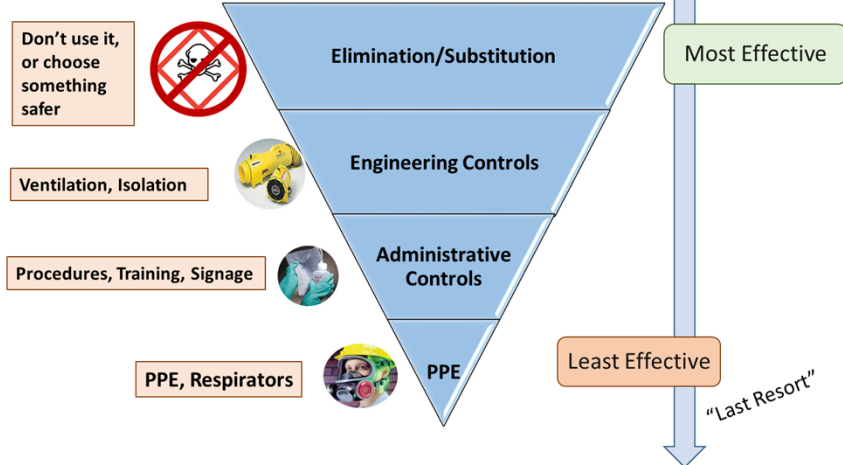
Page 70 (Module 1, page 42)



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Hierarchy of Controls



Page 79 (Module 2, page 35)



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Elimination/Substitution

Eliminate the hazard or substitute it with something less harmful

- If using substitution, look for something less hazardous



Page 80 (Module 2, page 36)



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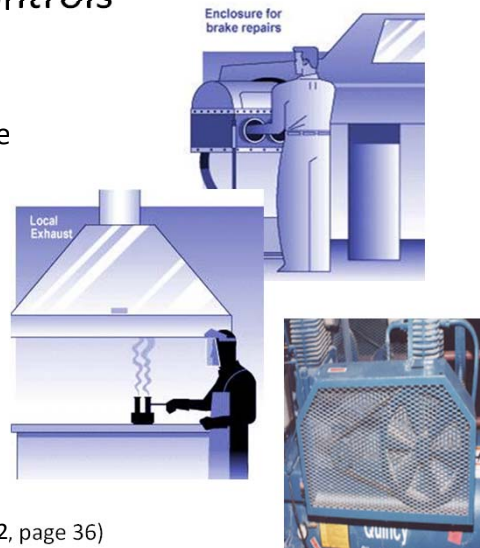
4
Implement
Corrective
Actions

Engineering Controls

W

Reduce hazards by applying the principles of:

- Removal
- Substitution
- Enclosure
- Barriers or local ventilation



Page 80 (Module 2, page 36)



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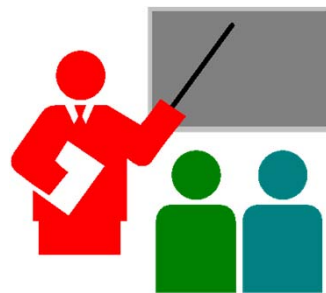
4
Implement
Corrective
Actions

Administrative Controls

W

Administrative controls change the way people work:

- Signs
- Training
- Job rotation
- Work practices
- Procedures (SOPs)
- Established safe work routines



Page 81 (Module 2, page 37)



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Personal Protective Equipment (PPE)

PPE is specialized clothing or equipment used by employees to protect against hazards

- Face shields
- Steel toed shoes/boots
- Hard hats
- Gloves
- Harnesses
- Forearm guards
- Hearing protectors
- Respirators



Page 82 (Module 2, page 38)



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Personal Protective Equipment (PPE)

If PPE is provided, employers must:

- Conduct hazard assessment
- Match PPE to the hazards
- Train employees
- Maintain PPE
- If respirators:
 - Fit tests and medical evaluations
- If hearing protection
 - Hearing conservation program

Head Protection 1910.135

- Type I: Top protection
- Type II: Top and Lateral Protection
- Electric
 - E >2200 volts
 - G <2200 volts
 - C-not for electrical work
- Bump Caps: Protect from protruding objects
- Must meet ANSI standards
 - Z89.1-1986 or later
 - Z89.1 1997 or later in Washington & Oregon



Page 82 (Module 2, page 38)



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Case Study



- **Incident:** Employee on 3rd shift went into the vacuum pump room and became very ill. He opened the doors to air out the room. The next morning two other employees were ill. One went to the doctor, who diagnosed carbon monoxide poisoning. Monitoring showed high carbon monoxide levels.
- **Observation:** The vacuum pump had over-heated and had no oil.

Page 83 (Module 2, page 39)



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Unsafe Conditions

- Carbon Monoxide
- Old equipment
- Overheating pump
- Enclosed room-no ventilation
- Equipment failed
- Oil level empty
- Burning oil



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Human Factors

- Technician on 2nd shift did not report malfunction of vacuum pump (overheating)
- PM records: Last oil change not completed (due to staff shortage)
- Supervisor had purchased a grade of oil not rated for vacuum pumps



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Corrective Action

- Rebuild vacuum pump
- Provide ventilation in room
- Purchase correct grade of oil
- Technicians to properly maintain vacuum pump-review PM procedures & compliance
- Increase communication between shifts



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Exercise

Exercise: Fill out an incident investigation report with corrective actions for the Mary Conlin incident.

XYZ MANUFACTURING CO.
Our widgets make a better world.

Incident Investigation Report

Name of Employee: _____ Job Title: _____

Department: _____ Date/Time of Incident: _____

Location of Incident: _____

Description of Injury(ies). (If no injury write "none" or "near miss")

Investigation Conducted by: _____

Page 84 (Module 2, page 40)



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Safety Committee Review

Oregon and Washington require safety committees and that safety committees review incident reports

- Was the root cause properly identified?
- Will the corrective action actually fix the hazard?

Page 86 (Module 2, page 42)



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Case Study-Incident report

- **Incident:** Employee was installing a belt. He had to hold two clips open and slip the belt in between. His finger slipped and was caught between the clips.
- **Corrective Action:** Re-train employee on procedure.



Page 86 (Module 2, page 42)



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Case Study



Safety Committee Review: Why does this accident keep happening? Shouldn't we have a tool to hold the clips open so the employees can keep their fingers away from the clips?



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Results

- Further investigation revealed there **was** a tool. It was being used to prop the door open. One of the more senior employees remembered using it to hold the clips open a long time ago.
- Employees started using this tool, and this accident stopped happening.

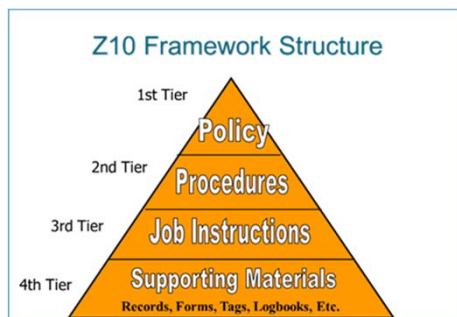


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Fix the System

- Policies, procedures, training, or lack thereof, may be the root cause
- Until these are fixed, incidents can recur



Page 86 (Module 2, page 42)



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4
Implement
Corrective
Actions

Occupational Safety and Health Management Systems

Workplace incidents are an opportunity for improvement



Page 87 (Module 2, page 43)



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Exercise

Exercise/Discussion: Based on what you have learned through investigating the Mary Conlin incident, what changes would you make to policies, procedures, and training programs that support the safety program?

Page 88 (Module 2, page 44)

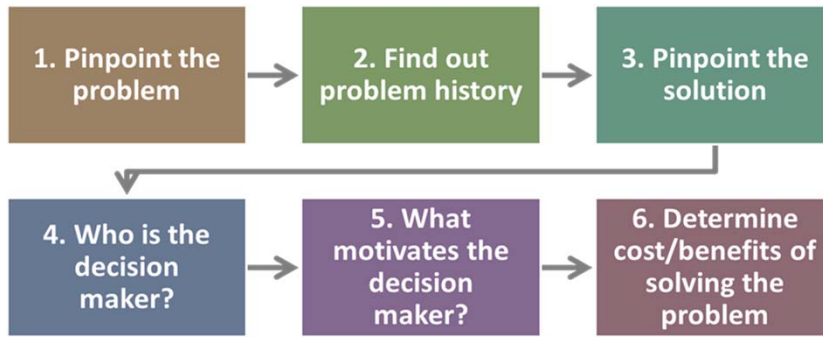


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Justify Recommendations



Page 89 (Module 2, page 45)



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Begin with Total Cost



- Recall guard rail example from Module 1
- Demonstrate Return on Investment (ROI) for this corrective action

Practice: Determine Total Cost

To calculate **Direct Cost** of the *Most likely injury: Fall to lower level*
Total value of the insurance claim for injury or illness **\$40,043**

To calculate **Indirect Cost**, multiply direct cost by a cost multiplier.
The cost multiplier that you use will depend on the size of the direct cost.

Direct Cost	Cost Multiplier
\$0 - \$2,999	4.5
\$3,000 - \$4,999	1.6
\$5,000 - \$9,999	1.2
\$10,000 or more	1.1

Direct Cost \$40,043 X 1.1 = \$44,047 Indirect Cost

TOTAL = \$84,090

Page 90 (Module 2, page 46)



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Determine Total Cost

W

- Preventable incident: A fall to a lower level
- Total Cost: Preventable incident total direct and indirect costs: \$84,090
- Investment: Cost to purchase and install guardrail: \$1,500
- Cost: \$82,590

$$\begin{array}{r}
 \$84,090 \\
 - \quad \underline{1,500} \\
 \hline
 \$82,590
 \end{array}$$

Page 90 (Module 2, page 46)



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Determine Return on Investment

W

- Divide Cost by Total Investment
- Return on Investment (ROI) = 5506%

$$\begin{array}{r}
 \$84,090 \\
 - \quad \underline{1,500} \\
 \hline
 \$82,590
 \end{array}
 \qquad
 \begin{array}{r}
 \underline{\$82,590} \\
 \$ \quad 1,500 \\
 \hline
 =55.06 \\
 =5506\%
 \end{array}$$

Page 90 (Module 2, page 46)



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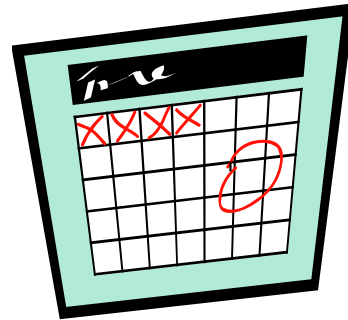


4
Implement
Corrective
Actions

Prevention



- Corrective actions should be feasible given the resources available.
- Recommendations must be clear, well defined, and specific.
- Provide completion date or estimated completion date



Page 90 (Module 2, page 46)



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4
Implement
Corrective
Actions

Track to Completion



- Corrective actions don't prevent incidents if they are not implemented
- Corrective action tracking log

Sample Action Item Tracking Log:

Hazard:	Corrective Action	Responsible Person	Status (date)	Assigned Completion Date



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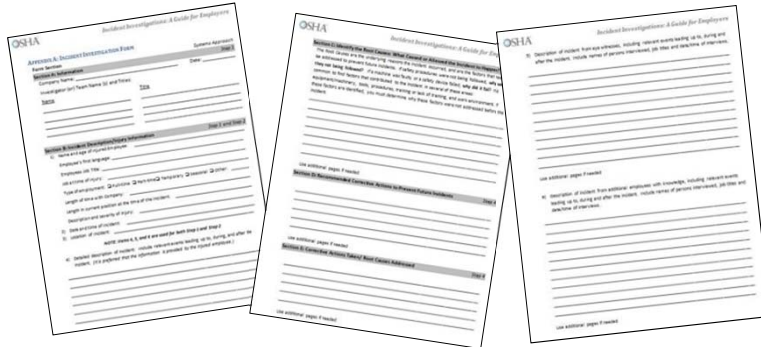


4
Implement
Corrective
Actions

Review Reports



- Make final edits to your incident reports.
- Review with class.



Page 90 (Module 2, page 46)



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4
Implement
Corrective
Actions

Key Course Takeaways



- Incidents are preventable
- Incident investigations must focus on the root causes of the incident
- An effective incident investigation:
 - Uses a systems approach
 - Promotes a positive workforces
 - Encourages all parties to “own” conclusions and recommendations to facilitate implementation



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Sample Safety Committee Review

Appendix C

Date	No.	Location	Description	Root Causes	Corrective action	Safety Committee Discussion
1/20/20XX	1	Maintenance Carpenter shop	Caulking a window and was punctured by a bird wire mounted to the sill. Latex gloves were being worn.	Sharp wire-employee was surprised at how sharp wire was.	1. Wear leather gloves, or at least something tougher than latex. 2. Discuss topic at safety meeting.	
1/23/20XX	2	Fire station	Climbing ladder to roof access in an attempt to adjust antennae. While climbing through hole, struck head on door lock mechanism.	1. Door does not fully open and has a tendency to fall closed slightly unless you hold the door open.	1. Remind people to hold door open throughout climbing to roof.	
2/2/20XX	3	Carpenter shop	Just got done cutting bottom plate out for door installation. Was measuring opening. Then some debris got in eye. Was wearing safety glasses at the time.	1. Lot's of dust in area, debris lingering on hat and clothes.	1. Brush off after cutting. 2. Carpenters are going to 100% PPE compliance.	
2/18/20XX	4	Parking Garage	Came from exit 4 back to Exit 6, stepped on curb, slipped, and fell on both knees.	1. Slippery curbs 2. Possible condensation on paint	3. Short term: Warn employees about curbs being slick. 4. Long term: Look into applying an anti-slip paint to curbs.	



Knowledge Check/Test



Questions?

What will you do when you get back to work?



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