**SUPERVISOR’S INCIDENT INVESTIGATION REPORT –**

**Important Notes:**

1. This form shall be completed by Immediate Supervisor and/or Supervisor of work area where incident occurred
2. Use extra papers when you think you require more columns to write your report. Also, you may attach any relevant documents, photos, etc. as required
3. Submit the report to BU Head for data verification and approval. BU Head is responsible to submit the completed report to Safety.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **IDENTIFYING INFORMATION** | DIVISION      | DEPARTMENT      | CREW       | WORK SHIFT       |
| EXACT LOCATION OF INCIDENT      |  DATE OF INCIDENT      |  TIME[ ]  AM / [ ]  PM | DATE OF REPORT      | REPORTED BY:      |
| **INJURY /OCCUPATIONAL ILLNESS/NEAR MISS** | **PROPERTY DAMAGE / EQP INCIDENT/ FIRE/NEAR MISS** |
| NAME & ID | TITLE | PART OF BODY | NATURE OF INJURY | TYPE OF EQUIPMENT & NUMBER | OPERATOR NAME & ID |  COST (US $) |
| EST | ACTL |
|       |       |       |       |       |       |       |       |
|       |       |       |       |       |       |       |       |
|       |       |       |       |       |       |       |       |
|       |       |       |       |       |       |       |       |

|  |
| --- |
| **ENVIRONMENT (SPILLAGE) – OPTIONAL** |
| Source of Spill:[ ]  Storage Tank  | [ ]  Pipelines [ ]  Mobile Equipment | [ ]  Refilling site [ ]  Others:       | Type of Spill:[ ]  Petroleum Product[ ]  Concentrate | [ ]  Hazardous Chemical[ ]  Other       |
| **Causes of Spill:**       | [ ]  Human error[ ]  Equipment failure  | [ ]  Facility struck by[ ]  Purposeful | [ ]  Natural Occurrence[ ]  Unknown/Other:       | Quantity of Spill (ltrs):       |

|  |  |  |  |
| --- | --- | --- | --- |
| **RISK** | EVALUATION OF LOSS POTENTIAL/RISK | **POTENTIAL CONSEQUENCE OF EVENT**[ ]  MAJOR [ ]  SIGNIFICANT [ ]  MODERATE [ ]  MINOR | **PROBABILITY/FREQUENCY** *(Likelihood of Recurrence)*[ ]  ALMOST CERTAIN [ ]  LIKELY [ ]  POSSIBLE [ ]  UNLIKELY |

|  |  |
| --- | --- |
| **DESCRIPTION** | DESCRIBE HOW THE EVENT OCCURRED (ACTIVITY BEING ATTEMPTED, ACCIDENT SEQUENCE, EMERGENCY RESPONSE)      |
| **CAUSES****ANALYSIS** | **IMMEDIATE CAUSES**: WHAT SUB-STANDARD ACTIONS AND/OR CONDITION CAUSED OR COULD CAUSE THE EVENT (See incident analysis in the following pages, write the number and description)      | **BASIC CAUSES**: INDICATE WHAT BASIC CAUSES LEAD TO THE IMMEDIATE CAUSES (See incident analysis in the following pages, write the number and description)      |

|  |  |  |  |
| --- | --- | --- | --- |
| **ACTION PLAN** | REMEDIAL AND PREVENTIVE ACTIONS: WHAT SHOULD BE DONE TO CONTROL THE CAUSE LISTED (as listed/described) | PIC | WHEN |
|       |       |       |
|       |       |       |
|       |       |       |
|       |       |       |

|  |
| --- |
| **INVESTIGATORS:** |
|      IMMEDIATE SUPERVISOR (NAME, ID, SIGNATURE & DATE) |      AREA OHS REPRESENTATIVE (NAME, ID, SIGNATURE & DATE ) |
| **REVIEW** | NAME AND SIGNATURE | DATE | COMMENT | NAME AND SIGNATURE | DATE | COMMENT |
|      Reviewer # 1 (Area Supervisor) |  |  |      Reviewer # 4 (Safety Mgr) |  |  |
|      Reviewer # 2 (Area Safety) |  |  |      Reviewer # 5 (GM / VP)for Fatality or Damage/Spill $10,000US or more |  |  |
|      Reviewer # 3 (Supt/Dept Head) |  |  |

**BASIC/ROOT CAUSE ANALYSIS**

**circle category numbers for entry into the IMS (Incident Management System)**

|  |  |
| --- | --- |
| **INJURY** | **1. PART OF BODY**  |
| * 1. Head
	2. Eye
	3. Nose
	4. Tooth/Teeth
	5. Jaw
 | * 1. Face
	2. Ear
	3. Neck
	4. Shoulder
	5. Upper Arm
 | * 1. Elbow
	2. Lower Arm
	3. Wrist
	4. Hand
	5. Finger
 | * 1. Chest
	2. Abdomen
	3. Upper Back
	4. Lower Back
	5. Hip
 | * 1. Buttocks
	2. Groin
	3. Upper Leg
	4. Knee
	5. Lower Leg
 | * 1. Ankle
	2. Foot
	3. Toe
	4. Internal
	5. Systemic
 |
| **2. NATURE OF INJURY** |
| * 1. Abrasion
	2. Allergy
	3. Amputation
	4. Bite / Sting
	5. Bruise / Contusion
 | * 1. Burn (chemical)
	2. Burn (electrical)
	3. Burn (heat)
	4. Concussion
	5. Crack / Chip
 | * 1. Crushing
	2. Cut / Laceration
	3. Dislocation
	4. Exhaustion
	5. Food Poisoning
 | * 1. Foreign body [embedded]
	2. Foreign body [loose]
	3. Fracture
	4. Headache
	5. Hernia
 | * 1. Hypothermia
	2. Inhalation
	3. Irritation
	4. Obstruction
	5. Poisoning
 | * 1. Puncture
	2. Shock
	3. Sprain / Strain
	4. Suffocation
	5. Wound
 |
| **CONTACT** | **3. AGENCY INVOLVED (choose only ONE)** |
| * 1. Aircraft/Watercraft
	2. Animal/Wildlife
	3. Boiler & Pressure Vessel
	4. Building/Structure
	5. Chemicals
 | * 1. Container
	2. Conveyor
	3. Dust
	4. Electrical Apparatus
	5. Elevator/Tram
	6. Explosive Device
 | * 1. Fixed Walkway
	2. Gases
	3. Hand Tools
	4. Heavy Equipment
	5. Highly Flammable Hot
	6. Hoisting Apparatus
 | * 1. Installation
	2. Ladder/Stair/Walkway
	3. Light Vehicle
	4. Machinery
	5. Material/Goods (wet muck, boulder, etc.)
 | * 1. Mechanical Power Transmission
	2. Obstruction
	3. Projectile
 | * 1. Radiation/Radiating Substances
	2. Sharp Edge
	3. Stressing/Ground Pressure
	4. Working Surface
 |
| **4. MECHANISM OF INJURY (choose only ONE)** |
| * 1. Aggravation
	2. Bite or Sting
	3. Blast
	4. Bodily Reaction
	5. Caught in (Pinch point)
	6. Caught on (Snag, Hung)
 | * 1. Caught under or between (Crushed or Amputated)
	2. Contact with (Hot, Cold, Radiation, Chemical, Noise)
	3. Exposure to temperature extremes
 | * 1. Fall from elevation(To lower level)
	2. Fall from same level (Slip and fall, Trip over)
	3. Foreign Bodies in eye (dust, chip, particle, etc)
 | * 1. Inhalation, Absorption, Swallowing
	2. Lifting, Pulling, Pushing
	3. Overexertion / Stress(Overload, Overexposure)
	4. Rubbed or Abraded
 | * 1. Shock / Arc / Flash
	2. Slip (not fall)
	3. Struck against (Running, Bumping into)
	4. Struck by / with (Hit by moving object)
 |
| **IMMEDIATE CAUSES** | **5. SUBSTANDARD PRACTICES (choose only ONE)** |
| * 1. Failure to follow rule or procedure
	2. Inadequate work area inspection
	3. Inadequate pre-op inspection
	4. Inadequate assessment of risk
	5. Failure to initiate corrective action
	6. Operating without authority
	7. Failure to warn
 | * 1. Failure to secure
	2. Operating at improper speed
	3. Removing/defeating safety devices
	4. Using defective equipment
	5. Using equipment improperly
	6. Failing to use personal protective equipment
	7. Improper loading
 | * 1. Improper placement
	2. Improper lifting
	3. Improper position for task
	4. Horseplay
	5. Under influence of alcohol and/or other drugs
	6. Unfit for duty
 |
| **6. SUBSTANDARD CONDITIONS (choose only ONE)** |
| * 1. Inadequate guards or barriers
	2. Inadequate or improper protective equipment
	3. Defective tools, equipment or materials
	4. Congestion or restricted action
	5. Inadequate warning system
 | * 1. Fire and explosion hazards
	2. Poor housekeeping; disorderly workplace
	3. Hazardous environmental conditions: gases, dusts, smokes, fumes, vapors
	4. Noise exposure
 | * 1. Radiation exposures
	2. High or low temperature exposures
	3. Inadequate or excessive illumination
	4. Inadequate ventilation
 |
| **BASIC/ROOT CAUSES** | **7. PERSONAL FACTOR (choose ONE or no more than TWO)** |
| * 1. **INADEQUATE PHYSICAL/PHYSIOLOGY CAPABILITY**
	2. Inappropriate height, weight, size, strength, reach, etc.
	3. Restricted range of body movement
	4. Limited ability to sustain body position
	5. Limitation or incompatibility with assigned task (permanent disability)
	6. Limitation or incompatibility with assigned task (temporary disability)
	7. Substance sensitivities or allergies
	8. Sensitivities to sensory extremes (temperature sounds, etc.)
	9. Vision deficiency
	10. Hearing deficiency
	11. Other sensory (touch, taste, smell, balance)
	12. Respiratory incapacity
	13. Other permanent disabilities
	14. Temporary disabilities
	15. **INADEQUATE MENTAL/PSYCHOLOGICAL CAPABILITY**
	16. Limitation or incompatibility with assigned task (permanent disability)
	17. Limitation or incompatibility with assigned task (temporary disability)
	18. Fears and phobias
	19. Emotional disturbance
	20. Mental illness
	21. Intelligence level
	22. Inability to comprehend
 | * 1. Poor judgment
	2. Poor coordination
	3. Slow reaction time
	4. Low mechanical aptitude
	5. Low learning aptitude
	6. Memory failure
	7. Inadequate initial training

**7.3 PHYSICAL OR PHYSIOLOGICAL STRESS*** 1. Injury or illness
	2. Fatigue due to task load or duration
	3. Fatigue due to lack of rest
	4. Fatigue due to sensory overload
	5. Exposure to health hazards
	6. Exposure to temperature extremes
	7. Oxygen deficiency
	8. Atmospheric pressure variation
	9. Constrained movement
	10. Blood sugar deficiency
	11. Drugs
	12. Non-work related medical condition/medication
	13. **MENTAL OR PSYCHOLOGICAL STRESS**
	14. Emotional overload
	15. Fatigue due to mental task load or speed
	16. Extreme judgment/decision demands
	17. Routine, monotony, demand for uneventful vigilance
	18. Extreme concentration/perception demands
	19. “Meaningless” or “degrading” activities
 | * 1. Confusing directions
	2. Conflicting demands
	3. **LACK OF KNOWLEDGE**

7.5.1 Lack of experience7.5.2 Inadequate orientation7.5.3 Inadequate initial training7.5.4 Inadequate update training7.5.5 Misunderstood directions* 1. **LACK OF SKILL**

7.6.1 Inadequate initial instruction7.6.2 Inadequate practice7.6.3 Infrequent performance7.6.4 Lack of coaching* 1. **IMPROPER MOTIVIATION**

7.7.1 Improper performance is rewarded7.7.2 Proper performance is punished7.7.3 Lack of incentives7.7.4 Excessive frustration7.7.5 Inappropriate aggression7.7.6 Improper attempt to save time or effort7.7.7 Improper attempt to gain attention7.7.8 Inappropriate peer pressure7.7.9 Inappropriate leadership example7.7.10 Inadequate performance feedback7.7.11 Inadequate reinforcement of proper behavior7.7.12 Improper production incentives |

|  |  |
| --- | --- |
| **BASIC/ROOT CAUSES** | **8. JOB FACTORS (choose ONE or no more than TWO)** |
| * 1. **INADEQUATE LEADERSHIP AND/OR SUPERVISION**
	2. Unclear or conflicting reporting relationship
	3. Unclear or conflicting assignment of responsibility
	4. Improper or insufficient delegation
	5. Giving inadequate policy, procedure, practices or guidelines
	6. Inadequate work planning or programming
	7. Inadequate instructions, orientation, and/or training
	8. Providing inadequate reference documents, directives and guidance publications
	9. Inadequate identification and evaluation of loss exposures
	10. Lack of leader/management job knowledge
	11. Inadequate matching of individual qualifications and job/task requirements
	12. Inadequate performance measurement and evaluation
	13. Inadequate or incorrect performance feedback
	14. **INADEQUATE ENGINEERING**
		1. Inadequate assessment of loss exposure

8.2.2 Inadequate consideration of human factors/ergonomics8.2.3 Inadequate standards, specifications, and/or design criteria* + 1. Inadequate monitoring of construction
		2. Inadequate assessment of operational readiness
		3. Inadequate monitoring of initial operation
		4. Inadequate evaluation of changes
 | * 1. **INADEQUATE PURCHASING**
		1. Inadequate specifications on requisitions
		2. Inadequate research on materials/equipment
		3. Inadequate standards, specifications to vendors
		4. Inadequate mode or route acceptance
		5. Inadequate receiving inspection and acceptance
		6. Inadequate communication of safety and health data
		7. Improper handling of materials
		8. Improper transportation of materials
		9. Inadequate identification of hazardous items
		10. Inadequate salvage and/or waste disposal

**8.4 INADEQUATE MAINTENANCE*** + 1. Inadequate preventative - assessment of needs
		2. Inadequate preventative - lubrication and servicing
		3. Inadequate preventative - adjustment/assembly
		4. Inadequate preventative - cleaning or resurfacing
		5. Inadequate reparative - communication of needs
		6. Inadequate reparative - scheduling of work
		7. Inadequate reparative - examination of units
		8. Inadequate reparative- part substitution

**8.5 INADEQUATE TOOLS AND EQUIPMENT*** + 1. Inadequate assessment of needs and risks
		2. Inadequate human factors/ergonomics considerations
		3. Inadequate standards or specifications
		4. Inadequate availability
		5. Inadequate adjustment/repair/maintenance
		6. Inadequate salvage and reclamation
		7. Inadequate removal and replacement of unsuitable items
 | * 1. **INADEQUATE WORK STANDARDS**

 **(Inadequate development of standards)*** + 1. Inadequate inventory and evaluation of exposures and needs
		2. Inadequate coordination with process design
		3. Inadequate employee involvement
		4. Inadequate/inconsistent standards/procedures/rules

 **(Inadequate communication standards)*** + 1. Inadequate publication
		2. Inadequate distribution
		3. Inadequate translation to appropriate languages

 **(Inadequate maintenance standards)*** + 1. Inadequate tracking of work flow
		2. Inadequate updating

8.6.10 Inadequate monitoring use of standards/procedures/rules**8.7 WEAR AND TEAR*** + 1. Inadequate planning of use
		2. Improper extension of service life
		3. Inadequate inspection and/or monitoring
		4. Improper loading or rate of use
		5. Inadequate maintenance
		6. Use by unqualified or untrained people
		7. Use for wrong purpose
	1. **ABUSE OR MISUSE**
		1. Condoned by supervision – intentional
		2. Condoned by supervision – unintentional
		3. Not condoned by supervision – intentional
		4. Not condoned by supervision – unintentional
 |
| **MANAGEMENT CONTROL** | **9. MANAGEMENT CONTROL (SYSTEMS, STANDARDS, COMPLIANCE)****For each basic/root cause identified, refer to the management systems below to assist in determining your corrective action to eliminate an/or improve Management Control** |
| * 1. **EMPLOYEE DEVELOPMENT**

9.1.1 Training needs regularly analyzed9.1.2 Training materials developed/formalized9.1.3 Training provided to new employees9.1.4 Training regularly updated9.1.5 Refresher training9.1.6 Training records maintained9.1.7 Instructor qualifications9.1.8 Competency evaluations conducted9.1.9 Training effectiveness measured/monitored* 1. **EMPLOYEE ACCOUNTABILITY**
		1. Accountability system established/formal
		2. Roles/expectations for all job classes
		3. Accountability measurement systems
		4. Accountability evaluations regularly conducted
		5. Accountability in place for negative/positive behavior
	2. **RISK/CHANGE MANAGEMENT**
		1. Risks identified
		2. Risks analyzed and rated
		3. Risk controls identified
		4. Risk action plan
		5. Risks mitigated (ALARP)
		6. Risk measurement/monitoring system
		7. Change management identification system
		8. Change management identification process
		9. Change management communication process
		10. Risk/change management employee involvement

**9.4 COMMUNICATIONS**9.4.1 Communications for entire audience9.4.2 Top – down – up communications9.4.3 Task instructions9.4.4 Personal contacts9.4.5 Group employee meetings9.4.6 Audited for effectiveness/timeliness | **9.5 INSPECTIONS/AUDITS**9.5.1 Planned general inspection process9.5.2 Workplace examination process9.5.3 Equipment inspection process9.5.4 Job/Task observation process9.5.5 Management involvement9.5.6 Employee involvement9.5.7 Corrective action follow-up process9.5.8 Effectiveness measured/monitored9.5.9 Evaluation for practices and conditions**9.6 EMERGENCY PREPAREDNESS**9.6.1 Administrative roles established9.6.2 Identification of potential emergencies9.6.3 Written emergency plans9.6.4 Emergency contact information9.6.5 Emergency teams trained9.6.6 Emergency equipment available9.6.7 Coordination with outside agencies9.6.8 Emergency/evacuation drills9.6.9 Employee emergency training**9.7 POLICIES/GUIDELINES//JSA’S/SOP’S/WI’S**9.7.1 Developed for jobs/tasks9.7.2 Available to employees9.7.3 Reviewed as part of job training9.7.4 Reviewed before job/tasks begin9.7.5 Reviewed/revised regularly* 1. **CONTRACTORS/MATERIALS MANAGEMENT**
		1. Written policy/procedures established
		2. Procurement of goods and services include safety reviews
		3. H&S review of contractor selection
		4. Onsite management of contractors
		5. H&S review of incoming services
		6. H&S training of contractors
		7. System/training in place for MSDS
 | * 1. **ENGINEERING/DESIGN**
		1. Regulations/codes followed
		2. Hazard/risk identification conducted
		3. H&S review of projects
		4. H&S analysis conducted
		5. Operational/work process controls in place
	2. **OPERATIONS & MAINTENANCE**
		1. Preventative maintenance system in place
		2. Critical processes/parts identified/reviewed
		3. Pre-use equipment process in place
		4. Work order system in place
	3. **OCCUPATIONAL HEALTH**
		1. Hazard identification/evaluation/controls in place
		2. IH monitoring in place and conducted
		3. Information and training in place
		4. Medical surveillance conducted
		5. Recordkeeping tracked and maintained
	4. **HUMAN ENGINEERING**
		1. Ergonomic designed equipment in place
		2. Ergonomic reviews conducted
		3. Ergonomic education provided
		4. Fatigue factors identified
		5. Fatigue awareness training provided
	5. **HUMAN RESOURCES**
		1. Job capability requirements evaluated and established
		2. Pre-placement exam provided
		3. New hire skills analysis completed
		4. General orientation/training conducted
		5. Pre-employment qualification checks made
		6. Mentoring systems in place
	6. **ENVIRONMENTAL**

9.14.1 Spill release reporting/controls in place |