



LOSS PREVENTION

Business Safety Leadership

Part 2: Incident and Root Cause Analysis

Outline

- **Importance of investigation process**
- **Incident reporting best practices**
- **7 key steps of incident investigation**
- **Effective root cause analysis and corrective action**
- **Completing an incident report**

Importance of Incident Investigation

- Determine multiple root causes
- Identify corrective actions
- Prevent recurrence and maintain awareness among workers – they are your lifeline
- Control costs



Reporting

- Investigate all incidents (including minor/first aid)
- Initiate investigation immediately
- Investigation to be completed by a *trained* person
- Facility manager should be involved if incident at station
- Utilize your Accident/Injury Report



Incident Investigation Procedures

- **Step 1** – Manage the incident scene
- **Step 2** – Gather facts
- **Step 3** – Interview
- **Step 4** – Determine the sequence of events
- **Step 5** – Determine root causes
- **Step 6** – Develop prevention activities
- **Step 7** – Complete Incident Report



Step 1 – Manage the Incident Scene

- Ensure care and treatment of injured person(s)
- Secure the area for the duration of the investigation when possible
- Preserve the scene of the incident
- Eliminate any remaining hazards (e.g. clean up spill, secure electrical)



Step 2 – Gather Facts

- Identify key people
- Observe control settings
- Observe weather and environmental conditions
- Take pictures of location and equipment
- Review documents

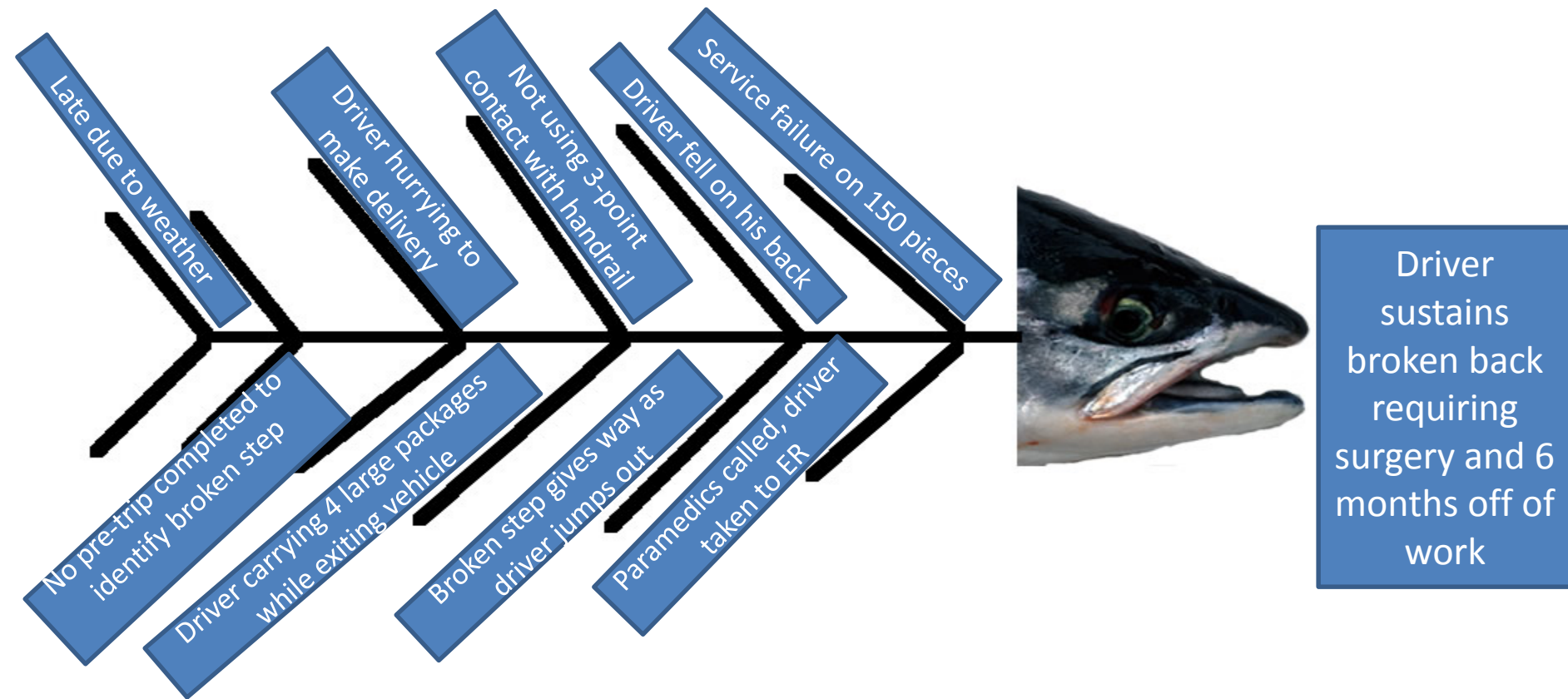


Step 3 – Interview

- Conduct the interview as soon as possible
- Keep the interview as private as possible
- Let worker/witness know purpose is not to find blame
- Put the person at ease
- Ask for worker/witness version of the incident
- Ask only necessary questions
- Repeat the worker/witness account when finished
- Close the interview on a positive note

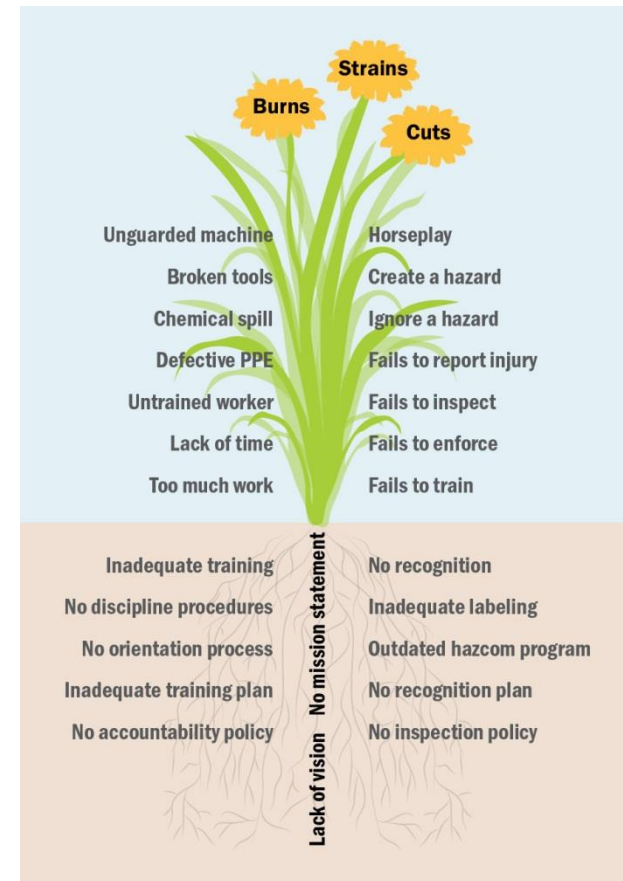


Step 4 - Determine Sequence of Events



Step 5 - Determine Root Causes

- **Direct cause**
 - An event that produces injury or illness
- **Surface cause**
 - Specific unsafe behaviors or hazardous conditions that result in an accident
- **Root cause**
 - Common behaviors and conditions that ultimately result in an accident



Root Cause Analysis Categories

Environment	People	Materials	Methods	Machines
Weather	Prior observations, history	Improper packaging	Correct Procedures	Vehicle / Equipment failure
Lighting	Job Function Steps	Cargo placement and securement	Training	Adequate Maintenance, inspection, records
Walking surface, Housekeeping	Tenure	Inadequate labeling	Enforcement	Proper equipment / tools
Distractions	Procedure adherence	Damaged / Defective	Lack of oversight	Lack of needed equipment / tools
General Public / Animals	Hiring & qualifications	Pallets	Trends, Recurrence	Proper use



Step 6 – Develop Corrective Action

- Treat the *cause* not the *symptom*
- Determine and implement corrective actions that eliminate or reduce root causes
- Engineer the hazard out or reduce the risk
- Change work practices
- Implement behavior-based safety process:
 - Observations
 - Feedback
- Use administrative controls: enforce the rules, hold both employees and management accountable
- Education and training
- Use appropriate Personal Protective Equipment if necessary



Step 7 – Complete Internal Incident Report

SUPERVISOR'S VEHICULAR ACCIDENT REPORT
ACCIDENT DESCRIPTION

PLANT _____ DATE OF ACCIDENT _____ DATE OF REPORT _____

NAME OF EMPLOYEE DRIVER _____ CLOCK NO. _____ SHIFT _____

DESCRIPTION OF HOW COLLISION OCCURRED: _____

MAKE DIAGRAM OF COLLISION IN SPACE BELOW:

DRIVER'S RECOMMENDATIONS TO PREVENT REOCCURRENCE: _____

SUPERVISOR'S VEHICULAR ACCIDENT REPORT
INFORMATION PAGE

CLOCK NO. _____ SHIFT _____

LENGTH OF TIME DRIVING _____ LENGTH OF EMPLOYMENT _____

DATE OF COLLISION? _____ WAS CO. DRIVER WEARING SEAT BELT? _____

DRIVER'S NAME _____ TIME OF COLLISION _____ AM / PM _____

CO. VEH. I.D. NUMBER _____

IF YES, EXTENT OF INJURY _____ WHERE TREATED _____

IF YES, WHERE _____ DAMAGED AND SEVERITY ESTIMATE _____

OFFICE OF AUTHORITY (POLICE, SHERIFF, STATE TROOPER, F.D.) _____

RPT # _____ WERE CITATIONS ISSUED? _____ TO WHOM? _____

VEHICLE _____

D.L. # _____ FROM WHAT STATE _____

DESCRIPTION (LIC PLATE NO., MAKE, YEAR, COLOR) _____

WERE THEY INJURED? _____ EXPLAIN _____

TOTAL NO. OF INJURED _____ NAMES OF INJURED _____

SUPERVISOR'S VEHICULAR ACCIDENT REPORT
ACCIDENT PROFILE

DATE OF ACC. _____ SHIFT _____

POTENTIAL CAUSES

MANAGEMENT	DRIVING TASKS
<ul style="list-style-type: none"> INATTENTIVE OR DROWSINESS IMPROPER SPEED OR ONCOMING TRAFFIC MISJUDGING SPEED AND CLOSURE OF VEHICLES WANDERING OVER LANE DIVIDERS FAILURE TO ANTICIPATE LANE MERGERS FAILURE TO SIGNAL 	<ul style="list-style-type: none"> FOLLOWING TOO CLOSELY INATTENTIVE OR DROWSINESS MISJUDGING SPEED OR ONCOMING TRAFFIC WANDERING OVER LANE DIVIDERS FAILURE TO ANTICIPATE LANE MERGERS FAILURE TO SIGNAL
<ul style="list-style-type: none"> FAILURE TO ADJUST MIRRORS FAILURE TO SCAN SPACE TO THE SIDES FAILURE TO BLOCK AREA TO THE RIGHT FAILURE TO USE TURN SIGNALS TURNING FROM WRONG LANE FAILURE TO GIVE RIGHT-OF-WAY TO PASSING TRAFFIC ASSUMING OTHER DRIVER WILL SEE AND AVOID ADVERSE CONDITIONS UNABLE TO JUDGE SAFE SPEED FOR ROAD VISIBILITY/CONDITIONS AGGRESSIVE BRAKING ON SLIPPERY ROAD FAILURE TO ANTICIPATE OBJECTS ON ROAD/ROAD SURFACE FAILURE TO USE HEADLIGHTS AND RUNNING LIGHTS SUDDEN STOPPING IN TRAVEL LANE PARKING IN TRAVEL LANE WITHOUT USE OF EMERGENCY EQUIPMENT EXCESSIVE SPEED FOR CURVE INATTENTIVE TO PEDESTRIAN TRAFFIC FAILURE TO ANTICIPATE A PEDESTRIAN ERROR RUNNING ON TO CURVE OVERUSE OF BRAKES ON DOWNGRADE OVERUSE OF TRAILER ONLY BRAKES FAILURE TO RESPOND TO SYMPTOMS DURING DRIVING FAILURE TO START UP SLOWLY FAILURE TO CHECK ALL AROUND VEHICLE FOR CLEARANCE FAILURE TO BEGIN BACKING UP IMMEDIATELY AFTER CHECKING AROUND VEHICLE FAILURE TO SECURE VEHICLE AFTER PARKING 	<ul style="list-style-type: none"> FAILURE TO CHECK BRAKE ADJUSTMENT IMPROPER COUPLING DAMAGED HITCH TRIPLE HOOK NOT LATCHED SAFETY CHAINS NOT USED

RECOMMENDED ACTION TO PREVENT REOCCURRENCE

SUPERVISOR'S RECOMMENDATIONS: _____

COMMENTS: _____

SUPERVISOR'S VEHICULAR ACCIDENT REPORT
CONCLUSION

DATE OF ACC. _____ SHIFT _____

SURROUNDING THE ACCIDENT, IT IS DETERMINED THAT THE

UNABLE TO DETERMINE

SAFETY COORDINATOR SIGNATURE _____

DATE _____

FOLLOW UP



Questions & Comments?

Thank you!

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