

## Element 9

# Incident & Investigation Reporting





## Table of Contents

Incident Reporting and Incident Investigation Program.....	3
Purpose .....	3
Legislation .....	3
Serious Injuries Reporting Requirements .....	3
Potential Serious Injuries Reporting and Investigation Reporting Requirements .....	4
OHS Officers - Serious Incident or Potential Serious Incident Reporting .....	4
Preservation of the Scene – Serious or Potential Serious Incident .....	4
Workers’ Compensation Act Reporting Obligations .....	5
First Aid Reporting Obligations .....	5
Incident Reporting and Investigation Directive Statement .....	5
Responsibilities .....	6
Managers .....	6
Supervisors.....	6
Workers.....	7
Definitions.....	7
General Incident Reporting Process .....	8
General Investigation Process.....	9
Steps in Conducting Investigations - Minor Incident Types.....	9
Steps in Conducting Investigations - Serious and Major Incident Types .....	10
Investigation Kit Items – Major or Serious Incident Investigations .....	11
Vehicle Incident Investigations .....	11
Managers Responsibilities .....	11
Other Documentation, (if required).....	11
Managers and Supervisors Responsibilities.....	12
Drivers/Operators Responsibilities .....	12
Notice to Injured Employee .....	13
An Offer of Modified Work .....	14
Element 9 – Forms & Checklists.....	15



# Incident Reporting and Incident Investigation Program

## Purpose

Incident reporting is a legislative requirement and provides employers with information on correcting deficiencies and prevent recurrences.

The following are business, insurance and legislative requirements for incident reporting and investigations;

- Collects information to calculate statistics and other information for tracking trends.
- Helps to identify training needs; problems with work procedures; and requirements for personal protective, safety, and emergency equipment.
- Collects information necessary for completing the investigation and insurance reports and complying with regulatory requirements.
- Investigations identify deficiencies in the safety management program.

The goal of an incident investigation is to find the root causes of the incident, identify appropriate corrective measures, implement the corrective measures in a timely fashion to reduce the recurrence of similar types of incidents.

## Legislation

*The Alberta Occupational Health and Safety Regulation, Section 14 Duties of workers. A worker who is not competent must not perform work that may endanger the worker or others and must not perform that work unless under the direct supervision of a competent worker.*

*The Alberta Occupational Health and Safety Act, Section 5, Obligations of workers. A worker must report to the employer or supervisor a concern about an unsafe or harmful worksite act that occurs or has occurred or an unsafe or harmful worksite condition that exists or has existed.*

*The Alberta Occupational Health and Safety Act, Section 37, Right to refuse dangerous work. A worker may refuse to work or to do particular work at a worksite if the worker believes on reasonable grounds that there is a dangerous condition at the worksite or that the work constitutes a danger to the worker's health and safety or to the health and safety of another worker or another person.*

## Serious Injuries Reporting Requirements

*The Alberta Occupational Health and Safety Act, Part 5, Section 40, Serious injuries and incidents states that if any of the following occur the employer, prime contractor or contractor (when there is no prime contractor) responsible for the worksite must notify the Director of Inspection as soon as possible;*

- *An injury or accident that results in the death of a worker.*
- *An injury or accident that results in a worker being admitted to hospital, admitting to a hospital means when a physician writes admitting order to cause a worker to be an inpatient of a hospital, excludes a worker being assessed in an emergency room or urgent care centre without being admitted.*



## Element 10 - Program Administration & Communication

Implemented: 2020-01-01

Revised:

- *An unplanned or uncontrolled explosion, fire, or flood that causes a serious injury or has the potential to cause serious injury.*
- *The collapse or upset of a crane, derrick, or hoist.*
- *The collapse or failure of any component of a building or structure necessary for the structural integrity of the building or structure.*
- *Any injury or incident or class of injuries or incidents specified in the regulations.*

### Potential Serious Injuries Reporting and Investigation Reporting Requirements

*The Alberta Occupational Health and Safety Act, Part 5, Section 40(5), If an injury or incident occurs at a worker site or in any other injury or any other incident that has the potential of causing serious injury to a person occurs at a work site, the prime contractor, or if there is no prime contractor, the employer shall;*

- *Report the time, place, and nature of the incident to a Director of Inspections, OHS Officer.*
- *Carry out an investigation into the circumstances surrounding the injury or incident.*
- *Prepare a report outlining the circumstances of the injury or incident and the corrective action, if any, undertaken to prevent a recurrence of the injury or incident.*
- *Ensure that a copy of the report is readily available and provided to an officer on demand.*
- *Provide a copy of the report to a Director of Inspections, the joint work site health and safety committee or health and safety representative.*

### OHS Officers - Serious Incident or Potential Serious Incident Reporting

- An officer may request the incident report.
- Samples of substances, materials, products, tools, appliances or equipment or copies of documentation may be taken to determine the cause of the incident.
- Affected workers, witnesses, or any other person present at the time of the serious incident may be requested to provide further details to the OHS officer.
- Have copies of the internal investigation and supporting documentation available for the OHS Officer to take, when duplicates are not available, the OHS Officer will take the original copy of the paper document, and this can hinder the managers or supervisors and investigation team members in conducting a thorough investigation.

Submitting a report to OHS Contact Centre for Potential Serious Incidents; (OHS website, <https://psi.labour.alberta.ca/>).

#### OHS Contact Centre Information:

- Phone: 1-866-415-8690 (toll free)
- Phone: 780-415-8690 (Edmonton)
- TTY Phone: 780-427-9999 (Edmonton) or 1-800-232-7215 in other locations

### Preservation of the Scene – Serious or Potential Serious Incident

*The Alberta Occupation Health and Safety Act, Part 5 Section 40(9), after a serious or potential serious incident has occurred, it is vital to preserving the scene of the incident.*

*Except as otherwise directed by a Director of Inspection, an occupational health and safety officer or police officer a person shall not disturb or conduct work at the scene or an injury or incident required to be reported as a serious or potentially serious incident, including the immediate area where the incident*



## Element 10 - Program Administration & Communication

Implemented: 2020-01-01

Revised:

*occurred, or alter, move or remove equipment, documents or together information that may be related to the incident, except insofar as is necessary in;*

- *Attending to persons injured or killed.*
- *Preventing further injuries or incidents.*
- *Protecting property that is endangered as a result of the injury or incident.*

### Workers' Compensation Act Reporting Obligations

*The Workers Compensation Act requires an employer must report when a worker suffers a personal injury on the worksite or requires medical aid as a result of an incident or illness. If the incident is likely to disable the worker for more than the day of the incident, Section 33 of the WCB Act requires employers;*

- *Report the injury to the Workers' Compensation Board within 72 hours.*
- *Notify the Board within 24 hours of learning that the worker has returned to work or can do so.*
- *Lost time or the need to temporarily or permanently modify work beyond the date of the accident.*
- *Death or permanent disability (amputation, hearing loss, etc.).*
- *A disabling or potentially disabling condition caused by occupational exposure or activity (poisoning, infection, respiratory disease, dermatitis, etc.).*
- *The need for medical treatment beyond first aid (assessment by a physician, physiotherapy, chiropractic, etc.).*
- *Incurring medical aid expenses (dental treatment, eyeglass repair or replacement, prescription medications, etc.).*
- *The municipality is responsible for paying the worker's full day's wages for the date of injury. Subsequent days a worker misses work due to an injury or illness; wages are paid by WCB.*
- *The municipality is responsible to notify WCB within 24 hours once the worker returns to the work after being absent due to an injury or illness.*

Submitting a report to WCB if the incident results in, or is likely to result in; (WCB website, <https://www.wcb.ab.ca/claims/report-an-injury/for-employers.html>).

### First Aid Reporting Obligations

*The Alberta Occupational Health and Safety Code Part 11 First Aid require employers to create and maintain records of first aid injuries and the treatment given.*

*All employees are to report first aid injuries to their direct supervisor immediately and complete a first aid report.*

*When providing first aid treatment, a First Aid record is completed and given to the manager/supervisor. The first aid reports are available at first aid stations.*

### Incident Reporting and Investigation Directive Statement

It is the goal of the Town of Sexsmith to have an incident free workplace. The use of training, hazard assessments, communication, PPE, emergency planning, and inspections will reduce the risk.



## Element 10 - Program Administration & Communication

Implemented: 2020-01-01

Revised:

All managers, supervisors, workers, visitors, volunteers, contractors, sub-contractors, elected officials hired as contractors or volunteers, and any other worksite party is expected to work together in preventing workplace incidents, accidents.

All types of incidents including, injuries, illnesses, work refusals, first aid incidents, near misses and hazardous conditions/acts and vehicle/equipment/property incidents need to be reported immediately to the worker's direct supervisor or any manager if the direct supervisor is unavailable.

It is everyone's responsibility to report unsafe or unhealthy conditions, acts, or worksites deemed dangerous.

Unreported health and safety conditions or acts are a leading cause of workplace incidents happening in the first place.

Managers, supervisors and anyone identified as a lead incident investigator is required to have training in Incident Investigation.

All incidents, (injuries, first aid, illnesses, work refusals, near misses/hazardous conditions, vehicle/equipment/ property incidents, etc.) need to be recorded using the appropriate form, signed, dated, witness statements (when required), details, photos and any other details and pertinent information regarding the incidents.

When required in addition to internal incident/investigation reports, OHS Potential Serious Injury, Serious Injury, and WCB reports may need to be completed, as outlined by the Alberta OHS and WCB legislation.

### Responsibilities

#### Managers

Managers are responsible for reporting all incidents, including injuries, illnesses, work refusals, near misses to the CAO.

Notifying Alberta Labour OHS Contact Centre and WCB when necessary.

Participating in incident investigations when necessary, reviewing incident reports, identifying corrective actions, and ensuring the corrective actions are carried out.

Managers are not to make a worker work in dangerous conditions, Alberta Act, Section 34(1), when the supervisor knows or ought to know of a condition at the worksite that is or likely to be dangerous to the health and safety of a worker, the employer, (manager), or supervisor shall not permit any worker to do that work until the dangerous condition is remedied.

#### Supervisors

Supervisors are responsible for reporting all incidents, including injuries, illnesses, work refusals near misses to their direct supervisor.



## Element 10 - Program Administration & Communication

Implemented: 2020-01-01

Revised:

Participating in all incident investigations in their area of responsibility and ensuring the corrective actions are carried out.

Supervisors are not to make a worker work in dangerous conditions, Alberta Act, Section 34(1), when the supervisor knows or ought to know of a condition at the worksite that is or likely to be dangerous to the health and safety of a worker, the employer or supervisor shall not permit any worker to do that work until the dangerous condition is remedied.

### Workers

Workers are responsible for reporting all incidents, injuries, illnesses, first aids, work refusals, and near misses/ hazardous conditions/acts to their direct supervisor and participating in incident investigations as required.

Alberta OHS legislation prohibition of discriminatory action against a worker, by reason of the worker;

- Acting in compliance with the OHS Act, Regulations, Code or any other order given under the Act, Regulation or Code.
- Giving relevant information about worksite conditions affecting the health and safety of any worker engaged in work or any other person present at the worksite.
- Refusing dangerous work, as defined in the Alberta Act, Section 31.
- Taking reasonable action to protect the health and safety of that worker or any other person.

### Definitions

Incidents defined as an event that could or does result in unintended harm or damage.

#### **Hazardous Condition**

Hazardous Condition reporting are deficiencies found in the field where an intervention has been reported to eliminate the hazardous condition before the commencement of work.

The incident reporting form will be completed to record the hazardous condition to the worker's direct supervisor or manager to identify the corrective actions and the follow-up completed.

#### **Near Miss and Work Refusal**

Near Miss incidents are the incidents that could have, but did not, cause harm or damage; they are "close calls." All near misses and work refusals must be investigated and reported on the incident form.

Near Miss and Work Refusal reports will be reviewed by management and the affected workers to identify gaps in the Safety Management System and recommend corrective actions to be implemented.

Near Miss is an undesired event that, under slightly different circumstances, could have resulted in personal harm, property damage, or loss.

#### **Incident**



## Element 10 - Program Administration & Communication

Implemented: 2020-01-01

Revised:

Incidents are situations that have resulted in harm, exposure, or damage. All types of incidents, illnesses, injuries, or vehicle/equipment incidents must be investigated and reported on the Incident Report Form.

All incident reports will be reviewed by management and affected workers to identify gaps in the Safety Management System and recommend corrective actions to be implemented.

### **Serious Incident or Potential Serious Incident**

Serious and Potential Serious Incidents are situations as outlined in the Alberta OHS legislation include;

- Incidents resulting in death,
- results in a worker being admitted to hospital,
- involves an unplanned or uncontrolled explosion,
- fire or flood that causes or may cause a serious injury,
- involves the collapse or upset of a crane, derrick or hoist,
- involves the collapse or failure of any component of a building or structure,
- involves an incident listed in section 40(3) of the OHS Act at a mine,
- potential for a serious injury to happen needs to be reported as soon as possible to OHS.

The employer or prime contractor is responsible for reporting to the OHS website for reporting serious or potentially serious incidents.

OHS website address; <https://www.alberta.ca/report-serious-injuries-incident.aspx>.

### General Incident Reporting Process

Reporting of any incident, injury, occupational illness, near miss, work refusal, vehicle accident, loss of revenue or damages to municipal property must be reported to a manager or supervisor as soon as practical or within 24 hours.

Every incident that causes or may cause the death of a worker or requires a worker to be admitted to a hospital as an in-patient must be investigated as soon as it is reasonably practicable and reported to OHS and WCB.

Document the incident and forward the report to the department manager or supervisors within a reasonable period.

Report to a manager or supervisor any near miss, hazardous condition, or work refusal at a worksite.

A written report must be created and identify details that led up to and occurred;

- Description of the incident
- Any graphics, photographs or other evidence that may assist in determining the causes of the incident
- An explanation of the cause or causes of the incident which lead up to the incident
- Suggestions or recommendations on immediate corrective action, and any long-term action to prevent the occurrence of a similar accident or the reasons for not taking any action.





### General Investigation Process

Trained investigators may be a worker, manager or supervisor and must investigate all types of incidents; injuries, near misses, work refusals, occupational illnesses, first aid, vehicle incidents.

Investigations must be completed promptly and preserve all evidence.

The lead investigator completes a report, (for minor incident types documents on the second page of the incident report or for major and serious incident types completes the separate investigation report), identifies the root causes and corrective actions to prevent the incident recurrence and submits to management for final review and sign off.

Managers, supervisors, safety committee members or health and safety representatives will discuss the results of investigations to affected workers.

Managers and supervisors may need to conduct a formal or informal inspection of the corrective action to ensure the corrective and preventative measures implemented are effective in supporting recurrences of similar incidents.

The information gathered from the incident investigation will be used to trend data to identify appropriate preventative measures and corrective measures to further reduce injuries and losses in the workplace.

### Steps in Conducting Investigations - Minor Incident Types

The person conducting the investigation should proceed with the following steps for minor incidents identified on the incident report form. Investigations of minor incident types may be resolved immediately and often do not require as extensive and detailed investigation process to identify the root causes and appropriate level of corrective actions.

If the incident type falls within any of the categories of a minor incident, then the lead investigator completes the last section on the incident report form.

The following steps are identified as a guide for the lead investigator, investigating a minor incident;

1. A full securement of the scene may not be necessary or possible, depending upon the hazards present that lead up to the minor incident, such as a first aid or an identified hazardous condition.
2. Obtain witness statements, if there were any witnesses present.
3. Review with the person making the minor incident report to determine what lead up to the incident and any possible root causes.
4. Identify corrective actions, and may be a review of policies, procedures or rescheduling a worker with a competent worker, if it was a near miss or hazardous condition.
5. Ensure completion of the corrective action in the description sections on the Incident Report form.
6. Sign off from the injured worker/worker reporting the incident.
7. The department manager needs to review the incident report and sign off.
8. The health and safety representative will need to sign off on the minor incident report, especially if the incident was reported to the committee member/representative or if there are recommendations or follow-up items.
9. Minor type of incidents does not typically need a CAO formal review and sign-off.



10. Submit the completed incident report to the CAO for filing in the Employee/Volunteer/Contractor File. The CAO will need to have access to all incident reports in order to collect relevant incident statistics for determining trends analysis in incidents reported.

### Steps in Conducting Investigations - Serious and Major Incident Types

The person conducting the investigation should proceed with the following steps for major or serious incidents identified on the incident report form. If the incident type falls within any of the categories of a major incident, then a separate investigation report requires completion.

The following steps are identified as a guide for the lead investigator;

1. Secure the scene to preserve evidence, weather, members of the public, and other workers in the area can be factors to consider and gathering the evidence right away is critical when collecting evidence.
2. Wherever possible, take and include photos, measurements, sketches of the scene with the report.
3. Obtain witness statements, take down contact information for further follow-up.
4. Interview witnesses and other employees separately and as soon as possible to document the facts leading up to the incident.
5. When interviewing witnesses often there may be seemingly conflicting information, as each witness will have a different perspective on the incident, and it is essential to capture the details and facts from each witness.
6. Additional documentation may need to be reviewed, such as maintenance records, training records, work schedules.
7. Determine the direct cause of the incident (what happened and to whom did the incident happen to).
8. Determining the root causal factors includes reviewing basic or indirect causes, such as;
  - Substandard Practices are failing to identify the hazards, failing to don PPE, etc.
  - Substandard Acts are inadequate or improper PPE, inadequate guards/barriers, inadequate preparing or job planning, etc.
  - Personal Factors are inadequate orientation/training, lack of training or training updates, lack of coaching or misunderstanding of job instruction, lack of experience.
  - Job and System Factors (inadequate supervision related to; conflicting objectives/goals, inadequate work planning, inadequate directive/procedures, inadequate identification, and evaluation of job hazard).
  - Root Causal Factors (management system failures; knowledge, skill, training, leadership and administration training, performance/competency assessments, PPE, engineering controls, communication, materials, or services).
9. Identify appropriate corrective actions and follow up requirements for ensuring corrective actions are implemented and effective to reduce recurrences.
10. Prepare a report outlining the circumstances and managers, supervisors, workers, health and safety representative/committee member, if required, to sign the investigation report.
11. Submit the completed report to the department manager for final review and sign off. The department manager is responsible for ensuring all corrective actions are implemented and



## Element 10 - Program Administration & Communication

Implemented: 2020-01-01

Revised:

effective to support the injury loss program. A copy may be kept at the department filing, keeping with privacy requirements.

12. The completed original investigation report is sent to the CAO for filing in the Employee File/Contractor File/Volunteer File.
13. The CAO is to review the completed investigation report and formally sign off on all major incident types of incidents and serious incident investigation reports.
14. The CAO will need to have access to all incident reports in order to collect relevant incident statistics for determining trends analysis in incidents reported.

### Investigation Kit Items – Major or Serious Incident Investigations

The person conducting the investigation should proceed with the investigation using the following items:

- The completed incident report outlining the details to the event
- Caution tape
- Flashlight
- Extra batteries
- Blank investigation reports
- Lined paper, pens and clipboards witness statements
- Ruler
- Ziploc baggies and labels
- Sanitized containers with lids
- Extra water bottles, help hydrate the investigation team
- Additional items may include any specialized PPE

### Vehicle Incident Investigations

In addition to the incident reporting and investigation requirements, specific requirements exist for vehicle incidents.

#### Managers Responsibilities

Complete a background check of the driver involved in any vehicle incident, including;

- Driver's abstract
- Driver's record
- Hours of service
- Work schedule
- Driver's activities for 72 hours before the incident.

#### Other Documentation, (if required)

- Ensure the WCB Automobile Accident Report, as well as the Incident and Investigation Report, are completed and investigated to determine the root causes of the vehicle incident.
- Inform the municipal's insurance agent of vehicle accidents soon after the vehicle accident.



## Element 10 - Program Administration & Communication

Implemented: 2020-01-01

Revised:

- If the phone or device can be a significant piece of evidence in a severe case, it could be subject to seizure to gather the proof by court standards. Law enforcement agencies return cell phones once they have extracted the pertinent information; this could be several days.

### Managers and Supervisors Responsibilities

Participate in the recovery and follow-up to ensure that a complete and thorough investigation is performed, and that additional equipment damage is not incurred during the recovery.

### Drivers/Operators Responsibilities

Report all vehicle incidents to their direct supervisor or manager immediately. Notify the local police immediately if a vehicle collision results in damage to private property, serious injury or death or vehicle damage over \$2,000.00.

Collect information from third parties and witnesses, including insurance and contact numbers.



## Notice to Injured Employee

### ***Town of Sexsmith***

#### ***Procedures Following Injury***

You are a valuable resource to the Town of Sexsmith, and we are committed to doing everything we can to work with you to achieve a successful recovery and return to work.

Our Disability Management program is designed to help you return to work safely and at the earliest opportunity, using modified work alternatives if required.

We have provided you with a package of information that includes the following:

1. Notice to Injured Employee
2. A physical demands analysis of your current job and available modified work
3. Notice to Health Care Provider

#### **These forms are essential in planning for your return to work.**

Please complete the Authorization to Release Information section of the Notice to Health Care Provider form and ask the treating health care provider to complete the Fitness-for-Work section while you are there. Ensure it is immediately returned to us or contact \_\_\_\_\_ at \_\_\_\_\_ if you are unable to do so.

If you must be off work, please contact \_\_\_\_\_ at \_\_\_\_\_ each week and after seeing your treating health care provider to advise us of your progress.

For work-related injuries accepted by the WCB, they will be responsible for compensating you for lost wages beyond the date of injury.

Should it be necessary to temporarily place you on modified work duties to accommodate an early return to work, we will continue your regular job rate of pay.

Please contact \_\_\_\_\_ at \_\_\_\_\_ if you have any questions or if there is anything we can do to assist you.

Yours truly,

---

*Municipal Designate*



## Element 10 - Program Administration & Communication

Implemented: 2020-01-01

Revised:

### An Offer of Modified Work

**Municipality Name:** \_\_\_\_\_

**Employee Name:** \_\_\_\_\_  
(Print full name)

In keeping with our directive to consider suitable alternate employment for any employee unable to perform their regular work due to injury, we are offering the following modified work placement.

The modified work position is \_\_\_\_\_  
(Name or description of position and department or location)

The duties you will be required to perform are as follows:


(Describe specific job duties and the physical requirements of the position)

The hours of work will be from \_\_\_\_\_ to \_\_\_\_\_,  
(Hrs.) (Hrs.) (Days of week)

The duration of the modified work placement will be from \_\_\_\_\_ to \_\_\_\_\_  
(Date) (Date)

During the modified work placement your supervisor will be \_\_\_\_\_  
(Name of supervisor)

Your rate of pay will be \_\_\_\_\_  
(Pre-accident job rate recommended)

It is expected you will only perform the duties outlined above. \_\_\_\_\_ will monitor your progress and meet with you weekly to adjust your duties and/or length of placement as required based on your ability and relevant fitness information. If you have any difficulties performing the modified work, please notify your supervisor immediately.

Offer accepted Yes or No

Offer rejected \_\_\_\_\_  
(Reason)

Employee signature: \_\_\_\_\_ Date: \_\_\_\_\_

Employer signature: \_\_\_\_\_ Position: \_\_\_\_\_

#### **IMPORTANT**

**For WCB cases provide:** \_\_\_\_\_

(Injured employee's WCB claim number **OR** date of accident and SIN or birth date)

**Fax directly to WCB adjudicator/case manager, if known, or to (780) 427-5863.**



## Element 10 - Program Administration & Communication

Implemented: 2020-01-01

Revised:

## Element 9 – Forms & Checklists