



Training Solutions, Delivered!

ACCIDENT INVESTIGATION FOR EVERYONE

(Concise)

**Leader's Guide, Fact Sheet
& Quiz**

Item Number: 3972

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This easy-to-use Leader's Guide is provided to assist in conducting a successful presentation.

PREPARING FOR THE MEETING

Here are a few suggestions for using this program:

- a) Review the contents of the Fact Sheet that immediately follows this page to familiarize yourself with the program topic and the training points discussed in the program. The Fact Sheet also includes a list of Program Objectives that details the information that participants should learn from watching the program.
- b) If required by your organization, make an attendance record to be signed by each participant to document the training to be conducted.
- c) Prepare the area and equipment to be used for the training. Make sure the watching environment is comfortable and free from outside distractions. Also, ensure that participants can see and hear the TV screen or computer monitor without obstructions.
- d) Make copies of the Review Quiz included at the end of this Leader's Guide to be completed by participants at the conclusion of the presentation. Be aware that the page containing the answers to the quiz comes before the quiz itself, which is on the final page.

CONDUCTING THE PRESENTATION

- a) Begin the meeting by welcoming the participants. Introduce yourself and give each person an opportunity to become acquainted if there are new people joining the training session.
- b) Introduce the program by its title and explain to participants what they are expected to learn as stated in the Program Objectives of the Fact Sheet.
- c) Play the program without interruption. Upon completion, lead discussions about your organization's specific policies regarding the subject matter. Make sure to note any unique hazards associated with the program's topic that participants may encounter while performing their job duties at your facility.
- d) Hand out copies of the review quiz to all of the participants and make sure each one completes it before concluding the training session.

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FACT SHEET

LENGTH: 10 MINUTES

PROGRAM SYNOPSIS:

Accident investigation is a key component of an effective safety process, but very few investigations achieve their intended purpose. All too often the focus of an investigation is finding someone responsible for an incident, but it should really be about finding facts, finding real causes and finding the fixes that will prevent the incident from happening again. For an accident investigation to be successful, it must lead to proactive safety improvements and injury prevention.

This program will help everyone involved in an investigation—management, employees and investigators—understand their roles in the process. Viewers will also learn how to recognize common mistakes made during investigations and how to make the right changes that can prevent injuries and improve workplace safety.

PROGRAM OBJECTIVES:

After watching the program, the participant will be able to explain the following:

- The role of employees, management and investigators in the investigative process;
- The process for analyzing components of risk and implementing solutions;
- The importance of following up after solutions have been implemented.

INSTRUCTIONAL CONTENT:

THE IMPORTANCE OF ACCIDENT REPORTING

- A good accident investigation can lead to solutions that will prevent recurrence of common workplace incidents and quite possibly a more serious injury.
- The focus of an accident investigation is finding facts, finding real causes and finding the fixes that will keep it from happening again.
- Everyone plays a role; it's a team effort: employees, management and the investigators must all understand their role and responsibilities.

THE EMPLOYEE'S ROLE & RESPONSIBILITIES

- Say a co-worker in a machine shop suffers a pretty severe hand injury. Call 911 or however you activate your emergency response system.
- Once the victim gets help, we need to preserve the scene. We need to install caution tape or some type of barricade, just like you've seen done in crime scenes on TV.
- Employees who witnessed the incident or who work in the immediate area must be prepared to describe what they have seen because they are likely to be interviewed.
- It is also important to remain calm because factual recall following a traumatic incident can be unpredictable, especially as time passes. Take a moment to reflect on your observations; write down details such as machine settings, positions of people and equipment and anything else you feel may be important.
- During the interview, keep your observations factual. Don't speculate, guess or make assumptions about what you think happened.
- Don't try to hide or cover up details that may make yourself or others look bad.
- If you follow these guidelines, you'll do just fine and you'll provide valuable information.

MANAGEMENT'S ROLE IN THE INVESTIGATION

- Management must be willing to let the investigative process happen and provide the resources and support for the effort.
- Of course, we cannot provide infinite resources to every investigation. Decisions must be made on a case-by-case basis as to how much time, effort and money we're going to apply to any given incident.
- Some factors that will help make this decision are the complexity, potential and severity of the incident.

- Finally, management is responsible for considering and approving the proposed solutions and then ensuring they are implemented.

THE ROLE OF INVESTIGATORS

- The people with the most visible role in the process are the investigators. They will examine the facts and evidence, conduct interviews, determine true causes and make recommendations for corrective actions.
- Each investigation is an opportunity to find true causes and real solutions. Many investigations go wrong at the start because investigators make assumptions based on preconceived ideas or incomplete information.
- A good investigator will start by documenting the evidence and the facts, then analyzing them to determine what happened and ultimately, why it happened.
- An important part of the investigator's job is helping everyone understand and believe that the investigation is looking for solutions, and not simply seeking to hold someone responsible and move on.
- Lastly, we must consider the human factor—employee actions. For example, if an employee decides to carry a large box that blocks his view and blindly walks down the stairs, resulting in a missed step and fall, our control systems cannot prevent that.
- If an employee removes the guard and tries to clean the machine while it is running, our control systems can't prevent that either.

EVALUATING COMPONENTS OF RISK

- We begin to analyze how and why the incident occurred so we can determine the underlying causes. To analyze the causes, we must consider the “components of risk”—hazards, control systems and employee actions.

An employee slips on some fluid in a walkway.

The Hazard

- Asking how and why can help us understand how the hazard came to be there.
- Why is the fluid there? We learn that it leaked from a nearby container.
- How did it leak? Upon examination, it was found that a valve was leaking.
- Why was the valve leaking? It was installed without a gasket.
- Why was it installed without a gasket? The worker who installed it didn't know where to find one and he didn't think it would matter anyway.
- Why didn't he know where to find the gasket? The parts area is a big mess and the only guy who seems to be able to find anything is on vacation.
- Notice we asked how or why about five times to identify some causes of the hazard. If we had just stopped at identifying the hazard as fluid on the floor or at the leaking valve, we would have missed out on some important information.

Control Systems

- When looking at our control systems, we find that there was no review or approval process for locating the container near the walkway. While there were safer locations in containment areas, it was placed there for convenience.
- Oil on the floor has been noted by employees and during inspections before, but the cause of the leak was never determined or corrected—a weak corrective action system.
- We have found that our control systems are pretty weak.

Employee Actions

- Finally, we must look at the employee actions. The action of the employee was to step in the fluid.
- Why did the worker step into the fluid? Because she didn't see that it was there.
- Why didn't she see it? She was not paying attention to her path of travel.
- Why wasn't she paying attention? She was from another department where walkways were always kept clear and clean, so she assumed the walkway would be safe.
- Without looking at each of the three components of risk, we may have failed to find the real causes that must be corrected.

- We need to look at the hazard, the control systems and the actions of employees so we can understand the multiple causes of an accident. Only then can we find the solutions that will keep it from happening again.

IMPLEMENTATION & FOLLOW UP

- Once solutions are decided upon, a corrective action list should be generated and all action items completed. If the report goes in a file and collects dust—nothing happens!
- Part of the investigation process must include a means to follow up on the action items generated to achieve a resolution. Follow up afterwards to determine how the changes are working, and if any unforeseen problems are occurring.
- Because everyone plays a role in a successful investigation, everyone must also be involved in the solutions. Communicate to all involved the solutions that were selected, how and when they will be implemented and why other solutions were not chosen.
- If procedures or processes will be changed, be sure to get input and suggestions from those employees who perform the tasks.
- In the real world, keeping people involved goes a long way towards a successful solution.

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ANSWERS TO THE REVIEW QUIZ

1. b

2. b

3. c

4. a

5. b

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REVIEW QUIZ

The following questions are provided to determine how well you understand the information presented in this program.

Name _____ Date _____

1. The focus of an accident investigation is determining who is ultimately responsible for an accident.
 - a. True
 - b. False

2. During an interview about an accident you witnessed, you should use your work experience to speculate what happened.
 - a. True
 - b. False

3. Who has the most visible role in the accident investigation process?
 - a. Management
 - b. Employees
 - c. Investigators

4. Which of the following is **not** considered a “component of risk” involved in an accident?
 - a. Unavoidable situations
 - b. Hazards
 - c. Control systems
 - d. Employee actions

5. While management, investigators and employees are involved in the investigative process, management is solely responsible in developing and implementing solutions to a problem.
 - a. True
 - b. False