

APPENDIX E: COLLECT INFORMATION CHECKLIST

Investigators should be sure their investigation answers the following questions:

WHO?	WHERE?
<ul style="list-style-type: none"> <input type="checkbox"/> Who was injured? <input type="checkbox"/> Who saw the incident? <input type="checkbox"/> Who was working with the employee? <input type="checkbox"/> Who had instructed/assigned the employee? <input type="checkbox"/> Who else was involved? <input type="checkbox"/> Who else can help prevent recurrence? 	<ul style="list-style-type: none"> <input type="checkbox"/> Where did the incident occur? <input type="checkbox"/> Where was the employee at the time? <input type="checkbox"/> Where was the supervisor at the time? <input type="checkbox"/> Where were fellow workers at the time? <input type="checkbox"/> Where were other people who were involved at the time? <input type="checkbox"/> Where were witnesses when incident occurred?
WHAT?	WHY?
<ul style="list-style-type: none"> <input type="checkbox"/> What was the incident? <input type="checkbox"/> What was the injury? <input type="checkbox"/> What was the employee doing? <input type="checkbox"/> What had the employee been told to do? <input type="checkbox"/> What tools was the employee using? <input type="checkbox"/> What machine was involved? <input type="checkbox"/> What operation was the employee performing? <input type="checkbox"/> What instructions had the employee been given? <input type="checkbox"/> What specific precautions were necessary? <input type="checkbox"/> What specific precautions was the employee given? <input type="checkbox"/> What protective equipment should have been used? <input type="checkbox"/> What protective equipment was the employee using? <input type="checkbox"/> What had other persons done that contributed to the incident? <input type="checkbox"/> What problem or questions did the employee encounter? <input type="checkbox"/> What did the employee or witnesses do when the incident occurred? <input type="checkbox"/> What extenuating circumstances were involved? <input type="checkbox"/> What did the employee or witnesses see? <input type="checkbox"/> What will be done to prevent recurrence? <input type="checkbox"/> What safety rules were violated? <input type="checkbox"/> What new rules are needed? 	<ul style="list-style-type: none"> <input type="checkbox"/> Why was the employee injured? <input type="checkbox"/> Why and what did the employee do? <input type="checkbox"/> Why and what did the other person do? <input type="checkbox"/> Why wasn't protective equipment used? <input type="checkbox"/> Why weren't specific instructions given to the employee? <input type="checkbox"/> Why was the employee in the position? <input type="checkbox"/> Why was the employee using the tools or machine? <input type="checkbox"/> Why didn't the employee check with the supervisor when the employee noted things weren't as they should be? <input type="checkbox"/> Why did the employee continue working under the circumstances? <input type="checkbox"/> Why wasn't the supervisor there at the time?
WHEN?	HOW?
<ul style="list-style-type: none"> <input type="checkbox"/> When did the incident occur? <input type="checkbox"/> When did the employee start on that job? <input type="checkbox"/> When was the employee assigned on the job? <input type="checkbox"/> When were the hazards pointed out to the employee? <input type="checkbox"/> When was the employee's supervisor last check on job progress? <input type="checkbox"/> When did the employee first sense something was wrong? 	<ul style="list-style-type: none"> <input type="checkbox"/> How did the employee get injured? <input type="checkbox"/> How could the employee have avoided it? <input type="checkbox"/> How could fellow workers have avoided it? <input type="checkbox"/> How could supervisor have prevented it - could it be prevented?

APPENDIX F: SAMPLE QUESTIONS FOR IDENTIFYING INCIDENT ROOT CAUSES

QUESTIONS
1. Did a written or well-established procedure exist for employees to follow?
2. Did job procedures or standards properly identify the potential hazards of job performance?
3. Were there any hazardous environmental conditions that may have contributed to the incident?
4. Were the hazardous environmental conditions in the work area recognized by employees or supervisors?
5. Were any actions taken by employees, supervisors, or both to eliminate or control environmental hazards?
6. Were employees trained to deal with any hazardous environmental conditions that could arise?
7. Was sufficient space provided to accomplish the job task?
8. Was there adequate lighting to properly perform all the assigned tasks associated with the job?
9. Were employees familiar with job procedures?
10. Was there any deviation from the established job procedures?
11. Were the proper equipment and tools available and being used for the job?
12. Did any mental or physical conditions prevent the employee(s) from properly performing their jobs?
13. Were there any tasks in the job considered more demanding or difficult than usual (e.g., strenuous activities, excessive concentration required, etc.)?
14. Was there anything different or unusual from normal operations? (e.g., different parts, new or different chemicals used, recent adjustments/maintenance/cleaning on equipment)
15. Was the proper personal protective equipment specified for the job or task?
16. Were employees trained in the proper use of any personal protective equipment?
17. Did the employees use the prescribed personal protective equipment?
18. Was personal protective equipment damaged or not properly functioning?
19. Were employees trained and familiar with the proper emergency procedures, including the use of any special emergency equipment and was it available?
20. Was there any indication of misuse or abuse of equipment and/or materials at the incident site?
21. Is there any history of equipment failure, were all safety alerts and safeguards operational and was the equipment functioning properly?
22. If applicable, are all employee certification and training records current and up-to-date?
23. Was there any shortage of personnel on the day of the incident?
24. Did supervisors detect, anticipate, or report an unsafe or hazardous condition?
25. Did supervisors recognize deviations from the normal job procedure?
26. Did supervisors and employees participate in job review sessions, especially for those jobs performed on an infrequent basis?
27. Were supervisors made aware of their responsibilities for the safety of their work areas and employees?
28. Were supervisors properly trained in the principles of incident prevention?
29. Was there any history of personnel problems or any conflicts with or between supervisors and employees or between employees themselves?
30. Did supervisors conduct regular safety meetings with their employees?
31. Were the topics discussed and actions taken during the safety meetings recorded in the minutes?
32. Were the proper resources (i.e., equipment, tools, materials, etc.) required to perform the job or task readily available and in proper condition?
33. Did supervisors ensure employees were trained and proficient before assigning them to their jobs?