

Prevention Connection



Safety resources to protect your world

WORKERS' COMPENSATION ACCIDENT INVESTIGATION - CAUSES AND CORRECTIONS CHECKLIST

ACCIDENT REPORT NO.: _____
 COMPANY: _____ LOCATION: _____
 INVESTIGATOR: _____ DATE: _____

(Check (√) if item is a determined cause or selected corrective action.)

CATEGORY:	CAUSE OF ACCIDENT:	CORRECTIVE ACTION:
Site conditions	<input type="checkbox"/> Exposure to hazardous site conditions (e.g., chemicals, air contaminants, extreme temperatures, noise)	<input type="checkbox"/> Perform job hazard analysis and implement engineering, administrative, or work practice controls to eliminate or reduce exposure to acceptable levels. <input type="checkbox"/> Provide adequate inventories of appropriate personal protective equipment/clothing and tools and train employee in their locations, use, and limitations. <input type="checkbox"/> Train employees in appropriate protective work practices, detection methods, and emergency and hazard reporting procedures. <input type="checkbox"/> Provide disciplinary action for failing to follow established work practice controls or report hazards.
	<input type="checkbox"/> Poor ergonomics	<input type="checkbox"/> Develop and implement a written procedure to report signs and symptoms of musculoskeletal disorders and review employee reports. <input type="checkbox"/> Perform a job hazard analysis and implement engineering, administrative, or work practice controls to eliminate or reduce musculoskeletal disorders. <input type="checkbox"/> Train employees in proper work techniques and procedures. <input type="checkbox"/> Review and adjust workloads and breaks to eliminate or reduce musculoskeletal disorders.

CATEGORY:	CAUSE OF ACCIDENT:	CORRECTIVE ACTION:
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Site conditions (continued)	<input type="checkbox"/> Poor housekeeping or improper storage	<input type="checkbox"/> Provide labeled waste receptacles and storage containers/space of sufficient size, quantity, and location.
		<input type="checkbox"/> Provide readily available clean-up equipment and materials.
		<input type="checkbox"/> Provide sufficient time for housekeeping.
		<input type="checkbox"/> Frequently inspect work areas for poor housekeeping and storage conditions.
	<input type="checkbox"/> Overwhelming workload	<input type="checkbox"/> Review and lighten workload to safer, more realistic level or spread out deadlines.
		<input type="checkbox"/> Provide equipment and tools to lessen the workload.
		<input type="checkbox"/> Train more than one employee in the same job function and spread workload among more than one employee.
		<input type="checkbox"/> Identify and implement more efficient work practices.

Facility and equipment (includes personal protective equipment)	<input type="checkbox"/> Unguarded, defective, or inadequate facility or equipment	<input type="checkbox"/> Review job requirements and select facility/equipment in accordance with requirements. Ensure proper installation or assembly.
		<input type="checkbox"/> Review and correct any deficiencies in your procedures to inspect, maintain, repair, or replace facility/equipment.
		<input type="checkbox"/> Remove and mark any unguarded, defective, or inadequate facility/equipment from use and repair or return it.
		<input type="checkbox"/> Ensure safety devices (i.e., guards or shielding) are in place before use of facility/equipment.
	<input type="checkbox"/> Improper use of facility or equipment	<input type="checkbox"/> Closely supervise employee use of a facility/equipment.
		<input type="checkbox"/> Provide disciplinary action for using a facility/equipment improperly.
		<input type="checkbox"/> Follow manufacturer instructions for proper use of a facility/equipment and use facility/equipment within safe parameters (e.g., do not speed or overload).

CATEGORY:	CAUSE OF ACCIDENT:	CORRECTIVE ACTION:
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Facility and equipment (includes personal protective equipment) (continued)	<input type="checkbox"/> Improper use of facility or equipment (continued)	<input type="checkbox"/> Find out why the employee used the facility/equipment improperly and correct that cause.
	<input type="checkbox"/> No facility or equipment available	<input type="checkbox"/> Review facility/equipment requirements for the job.
		<input type="checkbox"/> Provide the appropriate facility/equipment as required for the job.
		<input type="checkbox"/> Ensure adequate inventories of proper equipment are available.
		<input type="checkbox"/> Revise procedures for purchasing equipment.
	<input type="checkbox"/> Failure to use facility or equipment	<input type="checkbox"/> Find out why the employee failed to use the facility/equipment and correct that cause.
<input type="checkbox"/> Ensure that the appropriate and employee-compatible facility/equipment is readily available.		
<input type="checkbox"/> Train or retrain employee in proper use of a facility/equipment.		
Chemicals and stock materials	<input type="checkbox"/> Hazardous, wrong, or defective chemical or stock material	<input type="checkbox"/> Review chemical/material requirements for the job and select chemical/material in accordance with requirements. Ensure chemical/material is compatible with the process and other chemicals/materials.
		<input type="checkbox"/> Do not open, store, or use chemical/material until it is inspected and confirmed as correct.
		<input type="checkbox"/> Train employees to follow proper storage and handling precautions (including the use of proper personal protective equipment) for the hazardous chemical/material.
		<input type="checkbox"/> Mark, remove from use, and return defective chemical/material.

	<input type="checkbox"/> Too much or too little chemical or stock material inventory	<input type="checkbox"/> Develop and implement a chemical/material inventory tracking system.
		<input type="checkbox"/> Anticipate chemical/material inventory needs and stock accordingly.
		<input type="checkbox"/> Develop and implement or revise procedures for purchasing chemical/material.

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		<input type="checkbox"/> Provide sufficient storage space for chemical/material.
Design, layout, and location	<input type="checkbox"/> Poor layout or location	<input type="checkbox"/> Perform a job hazard analysis and change the layout of the work area or the location of machines, equipment, materials, or employees.
		<input type="checkbox"/> Provide barricades, guarding, warning signs, devices, markings, or colors.
		<input type="checkbox"/> Improve lighting.
		<input type="checkbox"/> Provide sufficient space or access.
	<input type="checkbox"/> Inadequate or defective design	<input type="checkbox"/> Review and redesign to remove inadequacies/defects.
		<input type="checkbox"/> Use correct data and review computations.
<input type="checkbox"/> Design or layout inhibits maintenance	<input type="checkbox"/> Review and redesign to remove maintenance barriers.	
Change	<input type="checkbox"/> Change to facility, process, technology, equipment, materials, or procedures	<input type="checkbox"/> Establish and implement or revise written procedures to manage changes to facilities, processes, technology, equipment, materials, or procedures.
		<input type="checkbox"/> Perform a job hazard analysis before and after a change to a facility, process, technology, equipment, material, or procedure.
		<input type="checkbox"/> Develop and implement a policy and procedure for employees to report any changes to facilities, processes, technology, equipment, and procedures.
		<input type="checkbox"/> Notify or train employees in any change to facilities, processes, technology, equipment, materials, or procedures.
	<input type="checkbox"/> Poor or no planning	<input type="checkbox"/> Review and revise, correct, update, clarify, or improve existing plan.
		<input type="checkbox"/> Develop and implement a written plan.
		<input type="checkbox"/> Train supervisors/employees in any new or revised plan.
Inspection, monitoring, and hazard analysis	<input type="checkbox"/> No inspection, monitoring, or hazard analysis	<input type="checkbox"/> Develop and implement a procedure to inspect/monitor/analyze hazards.
		<input type="checkbox"/> Ensure adequate, qualified, and trained staff is delegated and available for inspection/monitoring/analysis.
		<input type="checkbox"/> Provide inspection/monitoring/analyzing equipment.
		<input type="checkbox"/> Provide disciplinary action for failing to inspect/monitor/analyze.

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Inspection, monitoring, and hazard analysis, (continued)	<input type="checkbox"/> Poor inspection, monitoring, or hazard analysis	<input type="checkbox"/> Review and revise procedure to inspect/monitor/analyze.
		<input type="checkbox"/> Ensure adequate, qualified, and trained staff is delegated and available for inspection/monitoring/analysis.
		<input type="checkbox"/> Provide disciplinary action for failing to follow inspection/monitoring/analysis procedure.
		<input type="checkbox"/> Provide and use proper, maintained equipment for inspection/monitoring/analysis.
Maintenance and hazard correction	<input type="checkbox"/> No maintenance, repair, or replacement	<input type="checkbox"/> Develop and implement procedure to maintain, repair, or replace facilities or equipment, along with a system to prioritize necessary maintenance, repairs, and replacement. Follow manufacturer instructions.
		<input type="checkbox"/> Ensure adequate, qualified, and trained staff is available for maintenance, repair, or replacement.
		<input type="checkbox"/> Provide disciplinary action for failing to maintain, repair, or replace facilities, equipment, or tools in accordance with procedure.
		<input type="checkbox"/> Select facilities/equipment that allow for easy maintenance, repair, and replacement.
	<input type="checkbox"/> Poor maintenance, repair, or replacement	<input type="checkbox"/> Review and revise procedure to maintain, repair, or replace facilities/equipment. Include proper lockout/tagout procedure and follow manufacturer instructions.
		<input type="checkbox"/> Ensure adequate, qualified, and trained staff is available for maintenance, repair, or replacement.
		<input type="checkbox"/> Provide disciplinary action for failing to follow procedure to maintain, repair, or replace facilities/equipment.
		<input type="checkbox"/> Select facilities/equipment that allow for easy maintenance, repair, and replacement.
	<input type="checkbox"/> No hazard correction	<input type="checkbox"/> Develop and implement a procedure to perform and track corrective actions.
		<input type="checkbox"/> Delegate supervisor/employee to perform and track corrective actions.
		<input type="checkbox"/> Provide disciplinary action for failing to perform a corrective action.
	<input type="checkbox"/> Poor hazard correction	<input type="checkbox"/> Review and revise existing procedure to perform/track corrective actions.
		<input type="checkbox"/> Delegate supervisor/employee to perform and track corrective actions.
		<input type="checkbox"/> Provide disciplinary action for failing to follow the corrective action procedure.
		<input type="checkbox"/> Monitor the effectiveness of corrective actions after completion.

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Work procedures and practices	<input type="checkbox"/> No work procedure/practice or procedure/work practice is missing or not readily available	<input type="checkbox"/> Develop written work procedure/practice and place a copy in readily available location.	
		<input type="checkbox"/> Find existing work procedure/practice and notify affected employee(s) of its location.	
		<input type="checkbox"/> Relocate existing work procedure/practice and notify affected employee(s) of its new location.	
	<input type="checkbox"/> Ineffective work procedure/practice (e.g., unsafe, incomplete, out-of-date, confusing, contradicting, noncompliant)	<input type="checkbox"/> Review and correct, complete, update, divide, simplify, clarify, or otherwise revise work procedure/practice.	
		<input type="checkbox"/> Train or retrain employee/supervisor in work procedure/practice.	
		<input type="checkbox"/> Provide a contact person or telephone helpline for work procedure/practice assistance.	
	<input type="checkbox"/> Work procedure/practice not followed	<input type="checkbox"/> Provide disciplinary action for failing to follow work procedure/practice.	
		<input type="checkbox"/> Provide incentive to follow work procedure/practice.	
		<input type="checkbox"/> Train or retrain employee/supervisor in work procedure/practice.	
		<input type="checkbox"/> Provide a contact person or telephone helpline for work procedure/practice assistance.	
	Communication and reporting	<input type="checkbox"/> Failure to communicate or report	Provide communication/reporting method (e.g., form, telephone number, or contact name).
			<input type="checkbox"/> Train/retrain supervisor/employee in communication/reporting method and procedure.
<input type="checkbox"/> Provide disciplinary action for failing to communicate/report.			
<input type="checkbox"/> Remove communication/reporting barriers.			
<input type="checkbox"/> Poor communication (e.g., confusing, contradicting, inconsistent, incorrect, difficult terminology, lengthy, English only)		<input type="checkbox"/> Improve communication (e.g., remove confusion, contradictions, inconsistency, inaccuracy, difficult terminology, length).	
		<input type="checkbox"/> Inspect signs/labels/tags for readability and replace any unreadable ones.	
		<input type="checkbox"/> Communicate in a language that can be understood by employee and use symbols/graphics/demonstration to communicate.	
		<input type="checkbox"/> Use the most effective and efficient communication method (e.g., face-to-face, phone, email).	
<input type="checkbox"/> Illiteracy or language issues		<input type="checkbox"/> Communicate in a language that can be understood by employee and use symbols/graphics/demonstration to communicate.	

CATEGORY:	CAUSE OF ACCIDENT:	CORRECTIVE ACTION:
Communication and reporting (continued)	<input type="checkbox"/> Illiteracy or language issues (continued)	<input type="checkbox"/> Provide hands-on employee training.
		<input type="checkbox"/> Offer reading and language courses.
	<input type="checkbox"/> Poor or no documentation	<input type="checkbox"/> Develop and use documentation and retention procedure and form(s).
		<input type="checkbox"/> Train supervisor/employee in documentation procedure and its importance.
		<input type="checkbox"/> Provide disciplinary action for failing to document properly.
		<input type="checkbox"/> Provide work time for documentation.
Training	<input type="checkbox"/> No training provided	<input type="checkbox"/> Set training requirements for job type.
		<input type="checkbox"/> Prepare training content and provide training.
		<input type="checkbox"/> Provide incentives for attending training.
		<input type="checkbox"/> Provide disciplinary action for failing to attend training.
	<input type="checkbox"/> Inadequate training (e.g., not complete, lacking hands-on training, no refresher training, boring, lacking evaluation)	<input type="checkbox"/> Review and revise training content.
		<input type="checkbox"/> Provide thorough testing and evaluation and refresher training.

CATEGORY:	CAUSE OF ACCIDENT:	CORRECTIVE ACTION:
Training (continued)	<input type="checkbox"/> Inadequate training (e.g., not complete, lacking hands-on training, no refresher training, boring, lacking evaluation) (continued)	<input type="checkbox"/> Allow for employee questions during training.
		<input type="checkbox"/> Keep employee training records.
Employee issues	<input type="checkbox"/> Physical or mental incapability (relating to vision, hearing, strength, injury, illness, disability, etc.)	<input type="checkbox"/> Review job requirements and update job description if necessary. Ensure that your company does not discriminate on the basis of a disability.
		<input type="checkbox"/> Redesign job or job procedure or implement a reasonable job accommodation where feasible.
		<input type="checkbox"/> Temporarily transfer employee or provide days away from work until employee is capable.
		<input type="checkbox"/> Use a post-offer pre-employment test to ensure the individual can perform the essential job functions with or without reasonable accommodation. Ensure that your company does not discriminate on the basis of a disability.
	<input type="checkbox"/> Lack of skill, qualification, experience, or familiarity	<input type="checkbox"/> Provide job orientation and training.
		<input type="checkbox"/> Provide mentor, buddy, observer, or contact.
		<input type="checkbox"/> Review job requirements and update job description if necessary.
		<input type="checkbox"/> Use a post-offer pre-employment test to ensure the individual can perform the essential job functions with or without reasonable accommodation. Ensure that your company does not discriminate on the basis of a disability.

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Employee issues, continued	<input type="checkbox"/> Poor attitude (e.g., anger, complacency, horseplay)	<input type="checkbox"/> Provide closer supervision and disciplinary action.
		<input type="checkbox"/> Offer or refer employee for counseling.
		<input type="checkbox"/> Implement a behavior-based safety program and provide positive and negative feedback.
		<input type="checkbox"/> Determine the cause of the poor attitude and correct that cause if possible.
	<input type="checkbox"/> Inattention, distraction, fatigue, or stress	<input type="checkbox"/> Provide closer supervision and disciplinary action.
		<input type="checkbox"/> Offer or refer employee for counseling.
		<input type="checkbox"/> Review and revise work hours (e.g., provide more or longer breaks, rotate employees, shorten work day or work week).
		<input type="checkbox"/> Determine the cause of the behavior (e.g., incentives to rush due to piecework) and correct that cause.
	<input type="checkbox"/> Under the influence of illegal substances, alcohol, or legal medications	<input type="checkbox"/> Provide disciplinary action.
		<input type="checkbox"/> Implement drug and alcohol testing.
		<input type="checkbox"/> Offer or refer employee for counseling.
	Management issues	<input type="checkbox"/> Poor or no supervision
<input type="checkbox"/> Train supervisor in responsibilities.		
<input type="checkbox"/> Get supervisor to accept responsibilities.		
<input type="checkbox"/> Provide disciplinary action for failing to meet supervisor responsibilities.		
<input type="checkbox"/> Poor or no discipline or accountability		<input type="checkbox"/> Review, revise, and follow disciplinary program and policy.
		<input type="checkbox"/> Incorporate items of accountability within supervisor/employee performance reviews.
		<input type="checkbox"/> Train supervisor in how and when to provide disciplinary action.
		<input type="checkbox"/> Provide disciplinary action if supervisor fails to follow disciplinary program or policy.
<input type="checkbox"/> Poor or no policy or rule (e.g., safety policy or rule)		<input type="checkbox"/> Review and revise, correct, update, clarify, or otherwise improve existing policy or rule.
		<input type="checkbox"/> Develop and implement policy or rule.

CATEGORY:	CAUSE OF ACCIDENT:	CORRECTIVE ACTION:
Management issues (continued)	<input type="checkbox"/> Poor or no policy or rule (e.g., safety policy or rule) (continued)	<input type="checkbox"/> Train supervisors/employees in revised or new policy or rule.
	<input type="checkbox"/> Lack of management support	<input type="checkbox"/> Inform management of importance of safety and company's regulatory obligations, as well as the cost savings of safety programs and direct/indirect costs of accidents. <input type="checkbox"/> Request funding for safety resources and programs or find inexpensive ways to meet needs. <input type="checkbox"/> Request removal of barriers to safe behaviors and request incentives for safe behaviors.
External causes	<input type="checkbox"/> Natural disaster or weather condition or event	<input type="checkbox"/> Develop a written action plan for likely natural disasters/weather conditions/events. <input type="checkbox"/> Train employees in action plans for likely disasters/weather conditions/events. <input type="checkbox"/> Use disaster/weather monitoring and alerting device. <input type="checkbox"/> Close facility during severe disasters/weather conditions/events.
	<input type="checkbox"/> Criminal or terrorist activity	<input type="checkbox"/> Develop a written action plan for likely criminal or terrorist activity. <input type="checkbox"/> Practice action plans for likely criminal or terrorist activity. <input type="checkbox"/> Train employees in action plans for likely criminal or terrorist activity. <input type="checkbox"/> Set up security and protective measures.
Other	<input type="checkbox"/> _____	<input type="checkbox"/> _____ <input type="checkbox"/> _____
Unknown	<input type="checkbox"/> Unknown	<input type="checkbox"/> Unknown