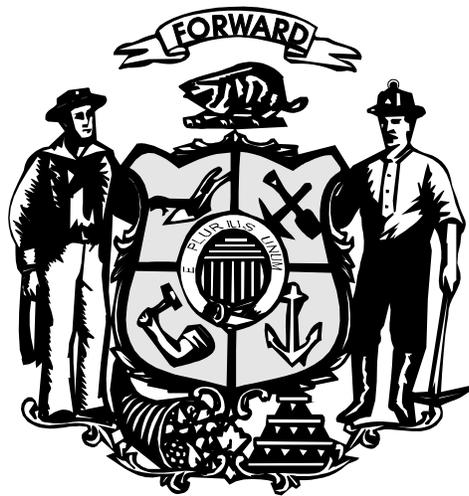


Principles of Injury/Illness Investigation and Analysis



State of Wisconsin
Department of Administration
Bureau of State Risk Management

TABLE OF CONTENTS

TABLE OF CONTENTS	1
INTRODUCTION	3
WHAT IS A WORK INJURY/ILLNESS ANALYSIS?	3
WHEN IS THE PROPER TIME TO CONDUCT A WORK INJURY/ILLNESS ANALYSIS?	3
WHY ARE WORK INJURIES/ILLNESSES ANALYZED?	4
WHY SHOULD SUPERVISORS ANALYZE WORK INJURIES AND ILLNESSES?	4
HOW DOES WORK INJURY/ILLNESS ANALYSIS BENEFIT SUPERVISORS?	4
WHAT RESPONSIBILITY DO MANAGERS HAVE FOR WORK INJURY/ILLNESS ANALYSIS?	5
WHAT IS THE ROLE OF THE FACILITY'S SAFETY COORDINATOR OR AGENCY SAFETY MANAGER?	5
THE MISNOMER OF THE UNIMPORTANT INJURY/ILLNESS	6
THE CRITICAL IMPORTANCE OF WORK INJURY/ILLNESS REPORTING	6
WHY MINOR INJURIES/ILLNESSES MIGHT NOT BE REPORTED?	6
POSITIVE STEPS TO ENSURE REPORTING OF WORK-RELATED INJURIES/ILLNESSES	7
HOW TO CONDUCT A WORK INJURY/ILLNESS ANALYSIS	8
PREPARING FOR AN INJURY/ILLNESS ANALYSIS	9
MANAGING THE WORK INJURY/ILLNESS SCENE	9
CONDUCTING AN INJURY/ILLNESS ANALYSIS	10
GATHERING INFORMATION	11
SOURCES OF INFORMATION	11
INTERVIEWING THE AFFECTED WORKER	11
WITNESS ACCOUNTS	12
PHYSICAL EVIDENCE	14
CONDITION OF MACHINERY AND EQUIPMENT	14
CONDITION OF MATERIALS	14
CONDITION OF THE WORK ENVIRONMENT	15
SKETCHES	15
PHOTOGRAPHS	16
EXISTING RECORDS	16
LEGAL CONSIDERATIONS WHEN GATHERING EVIDENCE	17
RE-ENACTMENT OF THE INCIDENT THAT LED TO AN INJURY	17
DETERMINING WHAT CAUSED THE INJURY/ILLNESS	18
RECOMMENDING CORRECTIVE ACTIONS	18
IMPROVING THE MANAGEMENT SYSTEM	19
DOCUMENTING THE WORK INJURY/ILLNESS ANALYSIS	20
SUMMARY	20

WORK INJURY/ILLNESS ANALYSIS REPORTS AND REVIEW	22
EMPLOYEE WORKPLACE INJURY OR ILLNESS REPORT (DOA-6058)	23
GUIDELINES FOR FILLING OUT EMPLOYEE'S WORKPLACE INJURY OR ILLNESS REPORT (DOA-6058).....	24
SUPERVISOR AND SAFETY COORDINATOR INVESTIGATION REPORT FOR INJURY OR ILLNESS (DOA-6437)	26
GUIDELINES FOR FILLING OUT SUPERVISOR AND SAFETY COORDINATOR INVESTIGATION REPORT FOR INJURY OR ILLNESS (DOA-6437)	27
APPENDICES	29
SIX KEY QUESTIONS FOR INJURY/ILLNESS ANALYSIS	30
SAMPLE INTERVIEW QUESTIONS FOR WITNESSES.....	31
GUIDE TO CORRECTING DEFICIENCIES IN MANAGEMENT SYSTEM.....	32
WORK INJURY OR ILLNESS INCIDENT REPORTING PROCESS	33
SUPERVISOR'S SELF-RATING SHEET	34
DEFINITION OF TERMS ASSOCIATED WITH WORK INJURY/ILLNESS ANALYSIS	35

<p>NOTE: The Bureau of State Risk Management, Department of Administration acknowledges and appreciates agency worker's compensation and safety professionals throughout the state government who assisted in revising this document.</p>
--

Issued May, 1994
Revised July, 2004

INTRODUCTION

This manual provides supervisors, facility safety coordinators, and agency safety managers with a tool to improve their organization's safety performance by reducing work-related injuries and illnesses. A systematic approach to work injury/illness investigation and analysis is essential to an effective prevention program. Supervisors play a crucial role in determining what happened and minimizing future occurrences. A thorough analysis helps:

- Obtain the information needed to identify trends and problem areas, such as the need for further training.
- Identify, without placing blame, the factors that contributed to each injury or illness.
- Identify deficiencies in the system.
- Suggest corrective actions to prevent the recurrence of a similar work injury/illness.
- Demonstrate management's commitment to providing a safe and healthy work environment.
- Maintain employee awareness of the importance of safe work habits.
- Provide information that will help determine the compensability of the claim.

For additional support in analyzing and investigating workplace injuries and illnesses contact your facility's safety coordinator or agency safety manager.

WHAT IS A WORK INJURY/ILLNESS ANALYSIS?

A work injury/illness analysis is not a mere repetition of the worker's explanation of the injury/illness, but includes the evaluation of the facts, physical evidence, existing records, opinions, and the statements of the affected employee and witnesses. It involves identifying the causal factors and provides recommendations for corrective action to be taken to prevent the recurrence of similar injuries or illnesses.

WHEN IS THE PROPER TIME TO CONDUCT A WORK INJURY/ILLNESS ANALYSIS?

As soon as possible after the injury/illness occurs conduct the analysis. The less time there is between the injury or illness and its analysis the more specific and constructive the information obtained will be. This is because facts are clearer, details more accurately remembered, and conditions are nearest to those at the time of the injury when the investigation is conducted soon after the injury or illness. The only situations that should be permitted to delay the analysis are when medical treatment is needed, or when the affected workers are emotionally upset.

WHY ARE WORK INJURIES/ILLNESSES ANALYZED?

The primary reason for the analysis is to prevent the recurrence of similar work-related injuries or illnesses. Injuries and illnesses are also investigated to:

- Comply with State Statute 101.055, Worker's Compensation requirements and the Governor's Executive Order #194.
- Improve the organization's and the supervisor's approach to managing health and safety.
- Obtain documentation to help determine the compensability of the claim.
- Reduce worker's compensation costs.
- Reduce property damage.

WHY SHOULD SUPERVISORS ANALYZE WORK INJURIES AND ILLNESSES?

Analyzing work injuries and illnesses is the responsibility of all levels of management and a concern of every employee. Supervisors, however, have a special responsibility for this function and have certain qualifications and advantages that other members of management do not have.

1. They most likely know more about the work environment and the personal background of the affected employee(s). They most likely also have the greatest familiarity with the equipment, machines, and materials that caused the injury or illness and know most about the standard work practices in the area.
2. They are directly responsible for the safety and health of their employees in addition to the proper management of the equipment, machines and materials in the work area. A work injury or illness analysis focuses on the behaviors, conditions and hazards that could endanger the safety and health of employees, interrupt services to clients and/or damage costly equipment and materials.
3. They have the greatest opportunity to implement changes in the management system that will have a permanent impact upon future injury and illness prevention efforts.
4. They can communicate more effectively with the employees in their area than other managers and staff because of their direct contact with them. As a result, employees are usually more willing to talk openly about their role or the role of their co-workers in an injury or illness.
5. They may also know if the employee has any pre-existing physical conditions, has a second job, or is involved in any non-work related physical activity, such as sports. These conditions and outside activities could be important in determining the compensability of any claim for worker's compensation.

HOW DOES WORK INJURY/ILLNESS ANALYSIS BENEFIT SUPERVISORS?

There are many benefits from a prompt and thorough injury/illness analysis. The following list includes some of the major benefits but is not comprehensive.

- A prompt and thorough analysis will visibly demonstrate the supervisor's concern for his/her employees.
- A thorough analysis will help identify trends and issues.
- An effective analysis will increase efficiency by minimizing interruptions, equipment downtime and time lost due to recurring injuries and illnesses.
- An effective injury/illness analysis will improve the supervisor's management approach to safety and health.

WHAT RESPONSIBILITY DO MANAGERS HAVE FOR WORK INJURY/ILLNESS ANALYSIS?

Managers are primarily responsible for implementing a process to ensure that work-related injuries and illnesses are thoroughly analyzed and that preventive measures are identified and implemented in a timely manner.

Management also has several specific responsibilities when an injury or illness occurs. These responsibilities include:

1. Demonstrate a positive interest in the analysis by reviewing relevant reports.
2. Provide positive assistance and resources, whenever required, to assure proper preventive measures are taken.
3. Conduct in-depth reviews of injuries and illnesses.
4. Provide constructive, purposeful and timely comments on work injury/illness analysis reports.

WHAT IS THE ROLE OF THE FACILITY'S SAFETY COORDINATOR OR AGENCY SAFETY MANAGER?

The facility's safety coordinator or agency safety manager is primarily responsible for reviewing the supervisor's and safety coordinator's investigation report for injury or illness (DOA-6437) to determine if any additional corrective actions should be taken to prevent the recurrence of similar injuries and illnesses. He/she might be able to correct deficiencies more effectively in the management system that are beyond the control of the immediate supervisor. He/she may also, as a result of his/her own analysis of the injury/illness, contribute additional information and insights into the cause of the injury and illness.

In the event of a serious injury or incident, the facility's safety coordinator or agency safety manager should also assist the supervisor in gathering information, interviewing witnesses, taking photographs and controlling the scene of the injury/illness (if necessary) to prevent further harm to employees and/or the public.

THE MISNOMER OF UNIMPORTANT INJURIES/ILLNESSES

There is no unimportant injury or illness. Minor injuries or near misses often precede disabling injuries. The cable that suddenly breaks and strikes a worker probably started with a single wire that frayed. The infection that later required medical treatment or hospitalization may have started with a small cut or scratch.

Beyond these obvious dangers, there are also many potential negative consequences of not investigating minor injuries/illnesses and near misses. The cause of the minor injury that is not investigated cannot be corrected. The fact that the results of the injury/illness were minor may also be due to sheer luck or chance. The next time, the odds may be different, and the result could be serious injury or even a fatality.

THE CRITICAL IMPORTANCE OF WORK INJURY/ILLNESS REPORTING

No matter how conscientious supervisors might be, they cannot analyze a work-related injury or illness until they are first made aware of it. For the analysis to take place, the injury or illness must be reported. Injuries that result in major property damage or a serious physical harm are seldom a problem from the standpoint of reporting. But what about minor injuries or near misses? This is the area where failure to report injuries or illnesses usually occurs.

WHY MINOR INJURIES/ILLNESSES MIGHT NOT BE REPORTED?

There are many reasons why employees sometimes fail to report minor injuries or illness. Several of the more frequently encountered reasons are:

- Concern about not wanting to spoil the department's safety record or their own personal reputation.
- Concern about not wanting to go to the First Aid Room or the hospital for medical treatment.
- Concern that reporting the injury or illness may result in disciplinary action or the loss of their job.
- Concern about not wanting to be the focus of attention in an injury or illness investigation or that other workers will ridicule them.
- Concern about not wanting to lose time from the job.
- Poor understanding of the need to report work-related injuries and illnesses.
- Concern about all of the "red tape" involved in reporting an injury or illness.

POSITIVE STEPS TO ENSURE REPORTING OF WORK-RELATED INJURIES/ILLNESSES

The supervisor has the most influence on injury and illness reporting. There are several steps supervisors can take to ensure that all injuries/illnesses are reported. Four of the most important steps are:

1. Train employees to understand the reasons to report injuries and illnesses, no matter how minor.
2. Encourage employees to report injuries and illnesses by letting workers know you appreciate it when they do report in a timely manner. Supervisors should also let their employees know that they are dissatisfied with late reporting.
3. Analyze each injury or illness and take corrective measures that are required.
4. Remind workers during regular safety meetings and personal contacts to always report injuries/illnesses, incidents and near misses.

HOW TO CONDUCT A WORK INJURY/ILLNESS ANALYSIS



HOW TO CONDUCT AN INJURY/ILLNESS ANALYSIS

PREPARING FOR AN INJURY/ILLNESS ANALYSIS

To conduct a thorough and effective analysis, supervisors need to be prepared for the analysis before an injury or illness occurs. They must ensure that every employee clearly understands what events need to be reported and what the proper notification procedures are.

These notification procedures should be communicated in writing and/or posted throughout the work area and include (at least) the names and phone numbers of emergency personnel and any management personnel who may also need to be contacted.

Supervisors (and safety coordinators and other investigators) should also have access to an injury/illness analysis kit. This kit should contain some or all of the following items, depending on the size and complexity of the agency/institution, campus or district office.

Graph Paper
Lined Paper
Pencils/Pens
Warning Signs
Camera and Film
Sample Containers

Flashlight w/batteries
Small Blackboard w/chalk
Ruler and Tape Measure
Cassette Recorder w/tape
Injury/Illness Reporting Forms
High Visibility Marking Tape

The injury/illness analysis kit should be clearly marked and kept at a central location for easy access. A person, such as the agency's/institution's safety coordinator, should be assigned the responsibility of maintaining the kit. Diverse and/or unique operations may require additional items and/or kits.

MANAGING THE WORK INJURY/ILLNESS SCENE

Without proper control, an injury/illness scene can be a confusing and chaotic place, particularly when injuries are involved. The supervisor responsible for the area should take charge of the site and direct any response activities.

The two concerns that should always take top priority at any work injury/illness scene are:

- **Care and treatment of those who are injured.**
- **Elimination or control of remaining hazards.**

In most instances, the care and treatment of those injured will take first priority at the scene. However, when hazardous conditions at the scene present an immediate threat to the health and safety of anyone in the vicinity, including those attempting to provide care, eliminating or controlling the hazard should take priority.

When injuries are encountered, the supervisor should make sure the proper emergency help has been summoned, and the victims are given any necessary immediate first aid. If emergency providers are already on the scene, the supervisor should make sure they receive whatever cooperation they need to render medical treatment.

NOTE: Supervisors and other employees can greatly increase their ability to respond to medical emergencies by completing training in first aid and CPR. Prior training as a first responder, or certification in first aid and/or CPR could make the difference between life and death at an injury/illness scene.

First responders and employees assigned to clean contaminated work surfaces must also receive training in bloodborne pathogens and be provided the necessary personal protective equipment.

Sometimes, even after an injury/illness, conditions at the site can remain hazardous. For example, explosive atmospheres may be present when a flammable liquid is present as the result of a collision or spill, or a piece of equipment or machinery involved in an injury may still be energized. Other hazards that may be present at the scene could include fire or smoke, fallen or exposed electrical wires and/or wet or slippery floors or stairways. If the condition at the scene still presents a danger, access to the area must be restricted until the hazard has been eliminated or controlled. Don't take chances if there is any uncertainty about conditions at an injury/illness site. Keep people out of the area until no danger remains.

NOTE: When an injury or illness is caused by hazardous materials or a potentially hazardous environment, make certain the appropriate personnel are notified immediately and ensure that personal protective equipment is worn by anyone who might be exposed.

In addition, medical or emergency personnel should receive a copy of (or have access to) the Material Safety Data Sheet (MSDS) for any hazardous substance that might have caused the injury or illness

Even if it is not necessary to isolate a site to prevent further injuries, restricting access to the scene is still important. Conditions at an injury scene can often provide valuable clues as to what possibly caused the injury/illness. It is very important to keep the area from being disturbed until it has been thoroughly inspected. The most common way (and the best way in most situations) to accomplish this is to use a brightly colored marking tape, rope, or warning signs to outline the restricted area. If none of these tools are available, employees may be posted around the site to keep people out of the area.

CONDUCTING AN INJURY/ILLNESS ANALYSIS

Once any remaining hazards to people and equipment at the scene have been eliminated or controlled, supervisors can begin to concentrate on the analysis of the injury or illness. Generally, an injury/illness analysis can be thought of as a three-step process:

1. Gathering as much information as possible about the injury/illness,
2. Analyzing the facts to determine what the causes were; and then,
3. Making recommendations for corrective measures to prevent future exposure to similar hazards.

In order for the analysis to be effective, each of these steps must be performed as completely and as thoroughly as possible.

The analysis should begin as soon as possible after the injury happens. There are at least three reasons why this is important:

- **Operations are disrupted.** The more serious an injury/illness is, the more time and effort it takes to bring work back to normal. The sooner an investigation begins, the sooner normal operations can resume.
- **Memories fade.** As time passes, what a person remembers can change. Interviewing witnesses as soon as possible after the injury/illness helps assure a more accurate account of what happened.
- **Employees are at risk.** If an injury/illness happened once, there is a good chance a similar injury or illness can happen again unless the causes are identified and corrected. The earlier an investigator can determine the causes of an injury/illness, the earlier corrective action can be taken to prevent a recurrence.

GATHERING INFORMATION

Various facts concerning injuries and illnesses must be discovered before an analysis can be completed. This information usually includes **what** was the injury/illness; **who/what** was involved that caused the injury/illness; **how** did the injury/illness occur; and **where/when** did it occur? **Appendix A (See page 30)** outlines six key questions for injury/illness analysis.

SOURCES OF INFORMATION

It is very important to gather information from a variety of sources. This helps to avoid overlooking possibly important information. To be thorough, an injury/illness analysis should include information from:

- Affected worker(s)
- Witnesses
- Physical evidence at the scene
- Existing records

INTERVIEWING THE AFFECTED WORKER

The first step in an injury/illness analysis is to interview the affected employee(s). The following are several proven techniques for conducting successful interviews:

1. Conduct interviews as soon as possible while the circumstances are still fresh in the worker's mind.
2. Put the person at ease. Workplace injuries and illnesses, especially those that are serious, can often cause a great deal of anxiety, grief or even fear. The best way of putting the worker at ease is to remind the person that you are interested only in preventing a recurrence and that you can only do this with his or her cooperation.

A friendly and understanding manner is a necessity in gaining his/her cooperation. Most importantly, avoid any hint of blame or disciplinary repercussions.

3. Conduct the interview at the scene, where injury or illness was caused, whenever possible. This will help the employee to better explain what happened. Make the interview as private as you can. This will not only put the worker more at ease, but will prevent observations and ideas from being influenced by the opinions of other employees. Conducting the interview at the scene also prevents possible problems and embarrassment over any mistakes.
4. Ask for the employee's version of the cause of injury/illness. Be sure the employee knows you want his or her version just as he/she saw it, not "dressed up" for your benefit. Then let the employee tell his/her account of the cause of injury/illness. Don't interrupt to clarify ("Are you saying that..."), interpret ("In other words you mean..."), or evaluate ("In my opinion..."). Above all, don't make incidental remarks. Remarks of this kind will only put the employee on the defensive and defeat the purpose of the interview.
5. Ask only necessary questions. Limit your questions as much as possible, particularly early in the interview. Find out **(1)** what happened, **(2)** when did the injury/illness happen, **(3)** how it happened, and **(4)** why it happened. It is normally better to wait to ask why questions ("Why were you doing...") until you have obtained all other pertinent information about the cause of injury/illness. These "why" questions are likely to make employees defensive. Ask open ended questions (ones that can't be answered with a "yes" or "no") whenever possible. Finally, all questions should be asked in a friendly, constructive manner.
6. Repeat the employee's account when the employee has finished stating his/her version of the causes of the injury/illness. This will allow the employee to be sure you understood what he/she meant and give him/her a chance to make any corrections.
7. Close the interview on a positive note. The best way to conclude the interview is by discussing actions that can be taken to prevent the injury/illness from happening again. This reaffirms the purpose of the interview in the employee's mind and will assure further cooperation.

WITNESS ACCOUNTS

Witnesses include other employees who were present at the scene where the injury/illness happened or were familiar with the factors that caused the injury/illness, and anyone else who actually saw the injury/illness happen. Whenever possible, statements should be obtained from anyone who might have heard what happened, who may have seen the area just before or just after the injury/illness occurred, or who may have other information concerning the individuals, equipment or circumstances involved.

The ability to conduct an effective interview is very important since witnesses are one of an investigator's most important sources of information. Investigators can help insure that the information they obtain from witnesses is as complete and accurate as possible by applying the following guidelines:

1. Witnesses can sometimes be reluctant to discuss what happened, particularly if they think someone may be disciplined. Let witnesses know from the start that the purpose of the interview is **not** to find someone to blame. Witnesses need to understand that the interview is intended only to find out what happened and to identify ways to prevent similar injuries and illnesses.

2. Keep the interviews as private as possible. This will result in uncovering information that might otherwise be withheld. Explain to the people gathered at the scene that you will be talking to each of them individually, and that everyone will have an opportunity to relate their recollection of the incident.

When conflicts in information occur, re-interview the people who delivered the conflicting information to clarify and document the differences in their stories. If differences cannot be resolved with a private interview, then conduct the interview in the presence of all the parties who are presenting conflicting information.

3. Ask witnesses to describe, in their own words, what they saw. Try not to interrupt or lead the interview. You should also try to wait until it appears the witness is finished before asking any questions. It is also important that witnesses tell you where the injury/illness was caused, when they saw it, and who was involved. Answers to these questions will depend, in large part, on the way the questions are worded. Beginning your interview with open-ended questions that require more than a single word or simple phrase as an answer will prompt a witness to provide a more detailed explanation of what occurred.

For example, asking questions like *"What did you see?"* or *"How did the injury/illness happen?"* will prompt a witness to give you much more information than questions like *"Where were you standing?"* or *"When did the injury/illness happen?"* While these "closed-ended" questions can provide valuable information, it is usually best to ask them later in the interview when it is necessary to verify specific facts or clear up any uncertainties. Questions should be phrased carefully to avoid leading a witness to a particular conclusion. Rather than asking a question like, *"Why do you think the forklift operator was driving recklessly?"* ask an open-ended question, like *"How was the forklift operator driving?"*

4. The investigator should also ask witnesses what they think could be done to prevent similar injuries/illnesses. This can often lead to helpful suggestions that other people might not have considered.
5. Some witnesses may feel uncomfortable about talking if the investigator is taking notes or using a tape recorder during the interview. Explain that the notes and/or recorder are necessary to help you keep an accurate record after the interview. Many people however are especially intimidated by tape recorders. Try to avoid using a tape recorder when possible.
6. Summarize the witness's account of the cause of the injury in order to verify that your understanding of his/her statement is complete and accurate.
7. Record information given during the interview. In the case of a serious injury or illness, a signed statement from the witness may be necessary. To ensure that witness accounts are accurate, the investigator should always make sure that witnesses carefully read the written version of their account before they sign any statement. Please note that unsigned statements cannot be admitted as evidence in a Worker's Compensation hearing.
8. The investigator should always end the interview on a positive note. Before closing the interview, thank the witness for helping with the investigation. **Appendix B (See page 31)** provides several sample interview questions that will result in more complete responses.

PHYSICAL EVIDENCE

A careful examination of the condition of machinery, materials, and the work environment can be critical in determining causes of the injury or illness. This physical evidence will often provide information about an injury/illness that witnesses alone can not.

CONDITION OF MACHINERY AND EQUIPMENT

If machinery or other equipment is one of the factors that caused the injury/illness, the investigator needs to pay particular attention to the positions and readings of any controls, switches, or gauges. This can help determine if the machine/equipment was used correctly, or if it failed to operate properly.

The investigator should also examine items that might indicate if the equipment was in safe operating condition. Lubrication levels, brake fluid reservoirs and other common maintenance points offer valuable clues about how a piece of equipment was operating before the employee got injured.

The investigator should also check if controls, safeguards, and warning devices are in proper working order. If an electrical system might have contributed to the accident, check it for damaged or frayed wiring and make certain that none of the machine's protective systems have been bypassed.

NOTE: Observe established lockout/tagout procedures if you or anyone else could be exposed to hazardous energy sources during your inspection of the machinery.

Any machinery that is involved in causing the injury should be locked out and kept out of service until a qualified (authorized) employee verifies that the equipment/machine is safe to operate once again.

CONDITION OF MATERIALS

Sometimes, the position and condition of materials used in an operation can provide indications of misuse, improper handling or prior damage that may have contributed to the injury/illness.

An examination of the materials found at the scene can help determine if they were the right materials for the task or if they were in acceptable condition. For example, if chemicals are involved, the investigator should determine **1)** if the proper chemicals were used, **2)** were the chemicals used in the correct concentrations, **3)** if they were outdated and **4)** if they had been contaminated.

Occasionally, the physical evidence will have to be removed from the scene so it can be examined in more detail. For example, an unknown substance may need to be analyzed to determine what it is or where it came from, or a broken tool or damaged equipment part may need to be inspected to find out why it broke or how it was damaged.

There are some important guidelines investigators should keep in mind whenever they are required to remove any materials from an investigation site.

- Evidence must be labeled with at least the name of the object or substance (if known), where it came from, when it was collected, the investigator's name, and any appropriate health or safety warnings.
- Keep samples and other collected evidence stored in a secure and dry place to avoid contamination, tampering or loss.

NOTE: Unknown substances must always be treated as if they were hazardous. A hazardous materials specialist should be consulted before the substance is disturbed.

CONDITION OF THE WORK ENVIRONMENT

Conditions in the work environment can directly affect the performance of both people and equipment. Carefully noting the environmental conditions at the scene, even if they don't seem important at the time, may provide helpful clues about the causes of the injury/illness during the analysis portion of the investigation.

Investigators should be alert for environmental conditions such as inadequate lighting, smoke, dust, mists or chemical vapors. If applicable, investigators should also check the weather conditions present at the time of cause of injury/illness. For example, was it raining, snowing or foggy? Or was it excessively bright, windy, too hot or too cold? Perhaps excessive noise levels may have been present that could have made communication difficult, or made it impossible to hear warning sounds.

Another important area to inspect is the general housekeeping conditions at the scene of injury/illness. For example, could a slip, trip or fall have been caused by something on the floor or something out of place, such a tool, ladder or other piece of equipment? Was the work surface dry and in good condition? Any signs of poor housekeeping should be corrected even if the conditions were not a contributing cause of the injury or illness under investigation.

SKETCHES

Ideally, an injury scene should remain undisturbed until the supervisor is able to complete a thorough examination. However, supervisors usually need to return conditions to normal as quickly as possible. That means potential evidence may have to be moved, or hazardous conditions like spills must be cleaned up so work can safely resume. Making a sketch of the scene allows the supervisor (and other investigators) to record important details about the conditions at the site for review after the area has been returned to normal.

Generally, the most useful sketch is a basic floor plan that represents the injury site from an overhead view. When there is important information, such as the height of an object, which cannot be shown on a floor plan, it may be necessary to make additional sketches.

Sketches should show the locations of any people, equipment or materials that may have been involved. Sketches should also include the size and locations of any perishable or transient evidence, such as spills, dust, footprints, skid marks or other things that can change or disappear quickly.

A common difficulty investigators encounter when making sketches is deciding what to include and what to leave out. A general rule of thumb is to include anything that could possibly be important. It's better to include something that might not be important than to discover later that something that should have been in the sketch was left off. Easily identifiable reference points like doors, windows, or other permanent structures should be included in sketches to indicate the position of objects at the scene.

One way to make sketches accurate is to use graph paper and draw to scale. Since graph paper is composed of small, equally spaced lines, it's easy to draw distances and sizes of objects accurately.

PHOTOGRAPHS

Photography is another useful way to document the position and condition of objects at the scene of injury/illness. Photography is often used to show details, color differences, and complex shapes that may be difficult or impossible to represent with a drawing.

The best way to start is by taking a picture of the general area. Then take necessary detailed shots from several different angles. When the size of an object is important, such as the size of spill or the length of a tire track, a ruler can be included in the shot to provide a sense of scale. Include reference points to make it easier to understand where the picture was taken from.

Take pictures of anything that could possibly be important. It's better to take too many photos than too few.

The best type of camera to use during the investigation is an auto-focus 35-mm camera with a built-in flash and interchangeable lenses or a 35-80 mm zoom lens. A digital camera is another good option.

EXISTING RECORDS

The investigator should examine (depending upon the nature of the injury/illness) those records that can answer specific questions that develop during the analysis phase of the investigation and/or could provide clues about the causes of the injury or illness under investigation. The four most common types of written records are:

- **Employee records**, such as employment records, licenses, certifications and training records.
- **Equipment records**, such as maintenance logs, service reports, work orders, operating manuals and manufacturer's instructions.
- **Job or task records**, such as standard operating procedures or a formal job safety analyses (JSA).
- **Previous Injury/Illness and incident Reports**, such as an investigation report pertaining to a similar injuries/illnesses or incident.

LEGAL CONSIDERATIONS WHEN GATHERING EVIDENCE

When conducting an investigation, supervisors need to keep the following legal considerations in mind:

1. The work-related injury/illness report, including interview notes, photographs and other materials concerning the investigation could become admissible evidence in a legal proceeding. This includes facts and the opinions of the investigator.
2. The investigator must obtain permission of the owner to enter private property (if necessary) to gather evidence or conduct other aspects of the investigation. If permission is denied, do not enter.
3. The investigator should never venture beyond their scope of knowledge in an investigation. If you are confronted with a technical matter for which you do have the required training or experience, ask for further assistance from your agency's safety coordinator.
4. If tests need to be performed which could alter evidence physically or chemically, the investigator should consult legal counsel before proceeding. Both parties to a lawsuit have a right to examine evidence in its original condition after an injury or illness.
5. Never alter or destroy evidence.
6. Always label evidence thoroughly. This includes the location of the evidence and when the evidence was gathered.
7. The investigator should always consult with the safety or worker's compensation coordinator before performing tests on evidence. Make sure these tests are conducted in an independent and valid manner.

RE-ENACTMENT OF THE INCIDENT THAT LED TO AN INJURY/ILLNESS

Another helpful method in work injury and illness analysis is re-enacting the process that led to the injury/illness. This is done by having someone, preferably the injured person, demonstrate or act out what was being done, and how, when the injury/illness was caused. This technique should only be used if the following conditions exist:

1. When it can supply information that can't be obtained in any other way.
2. When it will aid in determining preventive action.
3. When it is necessary to verify facts given by a witness or the injured employee.

If you decide to re-enact a process or scenario, make certain the re-enactment **does not** result in a repetition of the injury.

Before re-enacting any injury/illness process, supervisors need to:

1. Ensure that the worker understands that he/she should only go through the motions and should not actually repeat the actual unsafe act that caused the injury/illness.

2. Instruct the worker to demonstrate (in slow motion) what happened to cause the injury/illness. This will reduce the chance of another employee getting a similar injury/illness, and aid you in understanding the sequence of events.
3. Insure that the worker is emotionally stable and does not object to re-enacting the situation. Remember that an injury/illness may seriously upset a worker. Re-enacting the process may be even more disturbing.
4. Watch closely the entire time to ensure that the worker is not in any danger.

DETERMINING WHAT CAUSED THE INJURY/ILLNESS

After interviewing witnesses and examining the scene where the injury/illness occurred and any physical evidence, the next step is to determine what specific behaviors, hazardous conditions, persons or other events caused the injury/illness.

There are six basic causes of injuries/illnesses in the workplace. Every injury/illness will usually be attributed to at least two or more of the following causes:

1. Equipment related causes, such as mechanical failure or defective equipment.
2. Causes related to material handling or repetitive motion activities, including improper lifting practice, twisting motions and unsafe posture.
3. Behavioral causes, such as operating without authority, disregard of safety rules or failure to follow instructions.
4. Conditions related to the work area, including wet/slippery floors and weather conditions.
5. Causes inherent to the task being performed, such as in pursuit of suspect.
6. Causes inherent to the individual, including pre-existing medical condition or not physically fit.

All six of these categories should be considered and thoroughly explored in the course of the workplace injury and illness analysis.

RECOMMENDING CORRECTIVE ACTIONS

The ultimate objective of an injury/illness analysis is to prevent similar injuries/illnesses from occurring. To meet this objective, recommendations to eliminate or control each cause of the injury/illness need to be developed and fully implemented. Each recommendation should state what specific steps taken by whom, and when and how the supervisor will assure that each corrective action is carried out correctly.

Before each recommendation is implemented, they should be discussed with any employees who may be involved. These discussions help ensure that employees know about and accept any changes that might take place, and can result in helpful suggestions about which corrective actions may be most effective.

In addition, supervisors should also consider the impact each recommendation will have upon: **1)** productivity; **2)** the cost of services; and **3)** the amount of supervision required to implement and

monitor the corrective action. Finally, the feasibility of implementing each recommendation must be considered along with the acceptance of the recommendation by management and employees.

IMPROVING THE MANAGEMENT SYSTEM

To be effective, supervisors (and safety coordinators) need to identify, understand and correct the underlying causes of behaviors and hazardous conditions. Unless these underlying factors are fully addressed, the potential for future injuries/illnesses will remain.

From a management perspective, there are five basic reasons hazardous behaviors and hazardous conditions exist.

Hazardous (unsafe) acts occur because employees are either

- **Unaware** of the hazards they face and consequently do not know the special precautions that are necessary; or
- **Unable** to perform in a safe and healthy manner because they are not properly trained, or they are not physically capable of performing the job; or because some aspect of the operation or work site prevents them from being able to work safely; or
- **Unmotivated** to consider working safely as an important part of their job.

Hazardous conditions occur because they are either:

Unnoticed - hazardous conditions that have not been identified during scheduled or informal inspections; or

Uncorrected - hazardous conditions that have been identified, but have not been eliminated or controlled.

Effective analysis can minimize deficiencies in the management system. For example, if the analysis of an injury/illness determines that a forklift driver was driving unsafely, the supervisor needs to determine why this behavior occurred. If the employee had not been adequately trained, then the supervisor needs to understand not only why not, but also why was an untrained employee allowed to operate the forklift. If the employee simply ignored the proper procedures, then perhaps more frequent observations or closer supervision of that employee will eliminate the unwanted behavior.

To be effective, supervisors need to identify the specific hazardous behaviors or conditions that caused the injury/illness to determine what can be done to eliminate the underlying reasons why these hazardous behaviors and conditions contributed to the injury/illness. The key areas to examine include:

- **Training** - The employee-training program may need to be adjusted or expanded to include special training for certain employees or the schedule for initial and/or refresher training may need to be reviewed.
- **Inspections** - A formal inspection program may need to be developed or previously unknown hazardous conditions may need to be added to existing inspection checklists. Inspections may also need to be conducted more frequently and/or a process established to ensure deficiencies are eliminated or correctly controlled in a timely manner.

- **JSA's** - A Job Safety Analysis (JSA) may be required if an analysis has not been performed on that specific job before, or if the previous JSA failed to identify or adequately address a hazardous condition or behavior.
- **Personal Example** - The supervisor must set the proper example by his/her personal behavior. When a work area or situation requires personal protective equipment (PPE), the supervisor must also use the necessary equipment. In addition, the supervisor must never act unsafely or violate an established safe work practice.
- **Employee Safety Observations** - The supervisor may need to establish a formal schedule for observing employees to monitor how safely they are working. If these behavior-focused observations are already being conducted, the supervisor may need to increase their frequency and/or adjust the times when they are done to provide a more representative sampling of work habits.
- **Safety Meetings/Personal Contacts** - The supervisor may need increase the number of safety meetings and personal contacts with employees to include a review of specific information about policies, conditions, or to discuss problems related to the specific injury or illness.

Recommended improvements and adjustments to the management system should be clear and specific, and address the underlying reasons for each of the unsafe acts or conditions that contributed to the injury/illness. **Appendix C (See page 32)** provides a useful guide for correcting possible deficiencies in the management system.

DOCUMENTING THE WORK INJURY/ILLNESS ANALYSIS

Supervisors should conclude the work injury or illness analysis by documenting their findings and recommendations for corrective action in a written work injury and illness report. These reports should be accurate, complete and as neat and legible as possible. These reports should also be completed within 24 hours after notification of the injury/illness and sent to the agency's/institution's Worker's Compensation Coordinator for further review and processing. **Appendix D (See page 33)** outlines reporting process for workplace injuries and illnesses.

Note: The work injury or illness reporting and analysis reports developed by the State of Wisconsin are included in the Work Injury or Illness Analysis Reports section of this manual. The supervisor is responsible for completing the following report:

- **Supervisor and Safety Coordinator Investigation Report for Injury or Illness (DOA-6437)**

SUMMARY

A thorough work injury/illness analysis is a valuable and essential injury/illness prevention tool. The information provided by a thorough injury/illness investigation and analysis enables supervisors and safety coordinators to implement meaningful corrective actions to eliminate or control those hazardous behaviors and hazardous conditions that contribute to workplace injuries and illnesses.

In addition, a thorough investigation and analysis can provide supervisors with an opportunity to make their employee safety and health management approaches more efficient and effective. The

information obtained in a workplace injury/illness analysis is also used in determining the compensability of the claim.

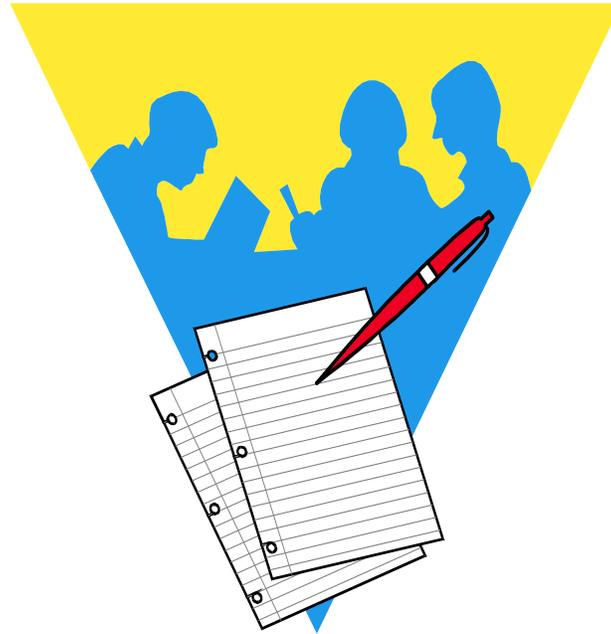
To conduct an effective investigation and analysis, supervisors need to

- **Be Prepared.** Supervisors must insure their employees know what is expected of them in the event of an injury or illness. Supervisors, safety coordinators and other personnel involved in the injury/illness investigation should also have access to an investigation kit.
- **Manage the Injury/Illness Scene.** The two concerns that take the highest priority are:
 - **Care and treatment of those injured.**
 - **Elimination or control of remaining hazards.**
- **Investigate Thoroughly.** Supervisors need to gather as much information as possible about the injury or illness by:
 - Interviewing the affected employee(s) and witnesses.
 - Examining the physical evidence at the scene, including machinery, materials and the work environment.
 - Making sketches and taking photographs, if needed.
 - Reviewing existing records, such as inspection reports, work orders and training records.
- **Determine the Causes.** Supervisors need to analyze the facts they have gathered to determine not only **how** the injury/illness occurred, but also **why** the injury/illness occurred.
- **Develop and Recommend Appropriate Corrective Actions.** Supervisors need to identify corrective measures to address each hazardous behavior, condition or event that contributed to the injury/illness. Supervisors also need to identify what specific steps they or others can take to improve the management system.
- **Document Findings and Recommendations.**
- **Implement Corrective Actions.**

Another key point to remember is that injury/illness analysis does not apply only to serious injuries or illnesses. If a supervisor's injury prevention efforts are to be successful, any occurrence that has even the potential of causing harm or property damage should be given the same degree of attention. Near misses and incidents should be reported and investigated just as aggressively as events involving serious personal injury, illness or property damage. **Appendix E (See page 34)** provides supervisors with self-rate questionnaire to determine the effectiveness of the analysis.

***Sources:** These guidelines were adapted with permission from training materials developed by Professional Training Services and Tel-A-Train, Inc.

WORK INJURY/ILLNESS ANALYSIS REPORTS



Employee Workplace Injury or Illness Report

WC Claim Number

Employee's Instructions (Direct any questions to your Agency's Worker's Compensation Coordinator)

1. Notify your Supervisor and/or Agency's Worker's Compensation Coordinator immediately in case of an occurrence.
2. Sign and date the completed report and submit to your Supervisor within 24 hours of the occurrence.

Employee Name (as it appears on payroll)	Employee Job Title:	Social Security Number
--	---------------------	------------------------

Date of Occurrence (mm/dd/ccyy):	Time of Occurrence <input type="checkbox"/> AM <input type="checkbox"/> PM	Date Occurrence was reported to employer (mm/dd/ccyy):
----------------------------------	---	--

Home Address:	Street Address of Current Work Facility	Home Telephone () -	Work Telephone () -
---------------	---	-------------------------	-------------------------

How long have you been in this job title?	Job title before this one?
---	----------------------------

What happened to cause the present occurrence? (Please be specific. Include contributing factors such as weather, equipment problems, etc.)

Where did the occurrence happen? (Please be specific: Inside or outside, include building name, room, vehicle, etc.)

Were there any witnesses to the occurrence? Yes No Please provide names.

Did the occurrence involve one of the following? **Check the most appropriate box.**

<input type="checkbox"/> Restraining	<input type="checkbox"/> Twisting/Pivoting	<input type="checkbox"/> Motorized equipment	<input type="checkbox"/> Vehicle/other transport mode	<input type="checkbox"/> Needle stick injury
<input type="checkbox"/> Repetitive task	<input type="checkbox"/> Crushing	<input type="checkbox"/> Machinery	<input type="checkbox"/> Aggressive contact with person	<input type="checkbox"/> Contact with object
<input type="checkbox"/> Lifting	<input type="checkbox"/> Bending	<input type="checkbox"/> Caught in, under, between	<input type="checkbox"/> Contusion, laceration, sprain	<input type="checkbox"/> Unsafe act
<input type="checkbox"/> Pushing	<input type="checkbox"/> Reaching	<input type="checkbox"/> Thrown from _____	<input type="checkbox"/> Splash/spit/spill	<input type="checkbox"/> Allergic reaction/sting
<input type="checkbox"/> Pulling	<input type="checkbox"/> Transferring	<input type="checkbox"/> Slips, trips, falls	<input type="checkbox"/> Human/animal bite	<input type="checkbox"/> Hazardous substances
<input type="checkbox"/> Moving	<input type="checkbox"/> Carrying	<input type="checkbox"/> Struck by _____	<input type="checkbox"/> Burn	<input type="checkbox"/> Respiratory condition
<input type="checkbox"/> Other, Specify:				

Please indicate the part of the body that was involved. **Check all that apply. (1=Big Toe or Thumb) L = Left R = Right**

Leg <input type="checkbox"/> L <input type="checkbox"/> R	Arm <input type="checkbox"/> L <input type="checkbox"/> R	Shoulder <input type="checkbox"/> L <input type="checkbox"/> R	Nose <input type="checkbox"/> Head <input type="checkbox"/> Neck <input type="checkbox"/> Mouth
Knee <input type="checkbox"/> L <input type="checkbox"/> R	Elbow <input type="checkbox"/> L <input type="checkbox"/> R	Chest <input type="checkbox"/> L <input type="checkbox"/> R	Abdomen <input type="checkbox"/> Upper <input type="checkbox"/> Middle <input type="checkbox"/> Lower
Ankle <input type="checkbox"/> L <input type="checkbox"/> R	Wrist <input type="checkbox"/> L <input type="checkbox"/> R	Ear <input type="checkbox"/> L <input type="checkbox"/> R	Back <input type="checkbox"/> Upper <input type="checkbox"/> Middle <input type="checkbox"/> Lower
Foot <input type="checkbox"/> L <input type="checkbox"/> R	Hand <input type="checkbox"/> L <input type="checkbox"/> R	Eye <input type="checkbox"/> L <input type="checkbox"/> R	Other, Specify:
Toe <input type="checkbox"/> 1L <input type="checkbox"/> 2L <input type="checkbox"/> 3L <input type="checkbox"/> 4L <input type="checkbox"/> 5L <input type="checkbox"/> 1R <input type="checkbox"/> 2R <input type="checkbox"/> 3R <input type="checkbox"/> 4R <input type="checkbox"/> 5R		Finger <input type="checkbox"/> 1L <input type="checkbox"/> 2L <input type="checkbox"/> 3L <input type="checkbox"/> 4L <input type="checkbox"/> 5L <input type="checkbox"/> 1R <input type="checkbox"/> 2R <input type="checkbox"/> 3R <input type="checkbox"/> 4R <input type="checkbox"/> 5R	

Did you seek medical treatment? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Appt. Scheduled Will time be lost from work (4 days or more)? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Don't know yet Will there be work restrictions? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Don't know yet Was first aid provided? <input type="checkbox"/> Yes <input type="checkbox"/> No	Name, address, and phone number of Treating Practitioner
--	--

Do you have a second job? <input type="checkbox"/> Yes <input type="checkbox"/> No	Name of Employer	Address and phone number of Additional Employer
---	------------------	---

Have you ever been treated for a similar injury or illness? <input type="checkbox"/> Yes <input type="checkbox"/> No When? (mm/dd/ccyy)	Name and address of Treating Practitioner/Hospital where similar injury was treated	Phone number of treating practitioner/hospital () -
--	---	---

I certify that the above statements are true and accurate and I understand that a false worker's compensation claim is a violation of Wisconsin criminal code, which may result in a fine, imprisonment, or termination of employment.

Employee Signature: _____ **Date:** _____

Your social security number must be provided for the use of positive identification in the processing of any claims.

To Be Completed By Agency Worker's Compensation Coordinator

Claim Examiner/Representative	Employing State Agency/Unit:	Organization Code	Date:
-------------------------------	------------------------------	-------------------	-------

Guidelines for Filling out Employee's Workplace Injury or Illness Report (DOA-6058)

Employees Instructions for filling out this report

1. Notify your Supervisor and/or Agency's Worker's Compensation (WC) Coordinator immediately in case of an occurrence.
2. Affected employees seeking Worker's Compensation for workplace injury or illness should fill out this report within 24 hours of injury/illness. Signed and dated reports must be submitted to the supervisor.
3. Please note that all sections in this report must be completed. If any part of the section or question is not applicable to the job or the injury, write 'N/A' (Not Applicable) as a response. Incomplete reports might cause delays in processing of worker's compensation claims.
4. Do not forget to sign and date and put your contact information on the completed document. A WC Coordinator might call you if there is need for more information on the claim.
5. ***Providing inaccurate information and false claims is a violation of s. Admin 943.395, Wisconsin Administration Code, and may result in fine, imprisonment and/or termination of employment.***

Section Instructions

The following information explains the details required in some of the sections in the report and/or its importance in processing WC claims.

Social Security Number: Social Security Number (SSN) must be provided for the use of positive identification in the processing of any claims.

Date of occurrence (mm/dd/ccyy): This refers to the date when the injury or illness occurred. In case of cumulative trauma injuries or illnesses, this refers to the date when the symptoms were first experienced.

Date occurrence was reported to employer: This refers to the date that the occurrence was reported to your supervisor or an agency management representative.

Street address of current work facility: This refers to your current employing State agency/unit address.

Job Title before this one: You need to specify your job title, if any, prior to the current one.

What happened to cause the present occurrence?: Specify the chain of events that led to the injury/illness. For example, "There was an overlooked spill due to leakage from the tank. I slipped and fell on the ground and hurt my back."

Where did the occurrence happen? This information is also important for taking measures that can prevent occurrence of similar injuries/illnesses in the future. Specify the exact location where you got injured/ill.

Were there any witnesses? This is an important information from the point of view of processing claims. It helps to speed up the investigation by the Worker's Compensation Coordinator. Specify names of people who witnessed the events that led to the injury/illness.

Did the occurrence involve any of the following: Please check the box that best describes the type, cause or reason for the occurrence.

Please indicate the part of the body that was involved: This refers to the part of the body that was involved in the injury/illness. The numbering of the toes and hands are from one to five. The number one is considered the great toe or thumb and number five considered the little toe or pinkie.

Did you seek medical treatment?: This question asks if you have visited a physician or nurse for your injury/illness. If an appointment is scheduled, check the appropriate box.

Will there be work restrictions?: This question asks if you will have to perform light duty tasks due to physical restrictions imposed by the injury/illness.

Was first aid provided?: This refers to treatment for minor scratches, cuts, burns, splinters and so forth, which do not ordinarily require medical care.

Do you have a second job?: Please specify if you are also working at another organization.

If you have any questions regarding this report, please contact your agency's Worker's Compensation Coordinator or supervisor.

Supervisor and Safety Coordinator Investigation Report for Injury or Illness

Employee Name (as it appears on payroll)	Employee Job Title:	Social Security Number	The occurrence was an: <input type="checkbox"/> Injury <input type="checkbox"/> Illness
Supervisor's Instructions (Direct any questions to your Facility Safety Coordinator or Agency's Safety Manager)			
1. Sign and date the report and immediately submit within 24 hours to your Agency's Worker's Compensation Coordinator.			
2. Forward a copy of the report to your Agency or Facility Safety Coordinator.			
What sources of information were used to analyze this injury/illness? Check all that apply. <input type="checkbox"/> Interviewed affected employee(s) <input type="checkbox"/> Interviewed witnesses <input type="checkbox"/> Examined scene <input type="checkbox"/> Reviewed records <input type="checkbox"/> Analyzed evidence <input type="checkbox"/> Other (explain)		Date paperwork received from employee (mm/dd/yyyy)	
Please describe what the employee was doing when the injury/illness occurred.			
Do you agree with the employee's account of the injury or illness? <input type="checkbox"/> Yes <input type="checkbox"/> No If no, please explain.			
What corrective action has been taken? What corrective action is planned for the future? When do you plan to complete the corrective action?			
In your opinion, what can be done to prevent a similar occurrence?			
For Repetitive task injuries : What specific activities does the employee perform with his/her wrists, hands, arms, knees, shoulders, and/or neck? How often is the task performed? (e.g. 10 times/hour) How many hours per day? How many days a week?			
If Material handling was involved, describe the object/person being handled/lifted at time of the injury/illness. Approximate size: Approximate weight: Description:			
If Operating equipment, machinery and/or other motorized equipment/s lead to injury or illness, describe the equipment/s: Was this equipment being properly used? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Don't know If no, please explain: Was there any other equipment/resource available to the employee but not used?			
Explain, the environmental factors (lighting, temperature, noise, vibration, dust, or weather), if any, that contributed to this injury or illness?			
Supervisor's Name (please print):		Title:	Date:
Supervisor's Signature:			Phone Number: ()
Safety Coordinator's Instructions			
1. Complete this section of the report. 2. Sign and date the completed report and send to Agency WC Coordinator within 48 hours			
Is there follow up to ensure corrective actions are completed? <input type="checkbox"/> Yes <input type="checkbox"/> No, Who is responsible for follow up?			
Have corrective actions been implemented? <input type="checkbox"/> Yes <input type="checkbox"/> No, How much time is needed to implement them?			
Corrective action will be communicated to: <input type="checkbox"/> Management <input type="checkbox"/> Supervisors <input type="checkbox"/> Affected employee(s) <input type="checkbox"/> Other agency employees			
Would corrective action apply to other areas of the operation or agency? <input type="checkbox"/> Yes <input type="checkbox"/> No Please explain:			
Safety Coordinator's Signature:		Date:	Phone Number ()

The social security number must be provided for the use of positive identification in the processing of any claims.

Guidelines for Filling out Supervisor and Safety Coordinator Investigation Report for Injury or Illness (DOA-6437)

Supervisors Instructions for filling out this report

1. Supervisor complete their section on this report and send it to the Agency's Worker's Compensation (WC) Coordinator immediately. The Worker's Compensation Coordinator will then forward the form to the Facility's Safety Coordinator or Agency Safety Manager, within 24 hours of injury/illness
2. Please note that all sections in this report must be completed. If any part of the section or question is not applicable to the job or the injury, write 'N/A' (Not Applicable) as a response. Incomplete forms might cause delays in processing of worker's compensation claims.
3. Do not forget to sign and date the completed document. A WC Coordinator might call you if there is need for more information on the claim.

Section Instructions

The following information explains the details required in some of the sections in the report and/or its importance in processing WC claims.

What sources of information were used to analyze this injury/illness? This question provides a guideline for supervisors about what sources of information to look towards when conducting accident investigations and will help the safety coordinator determine the depth of the analysis that was conducted.

Please describe what the employee was doing while the injury/illness occurred?: This refers to the task that was being performed by the employee at the time of injury/illness and events that led to the injury/illness. Your answer should be based either on what you had witnessed personally or on other sources of information you used while analyzing the injury/illness.

Do you agree with the employee's account of the injury/illness? If there are reasons for you to believe that the cause of injury/illness was other than the one presented by the employee, please mention it here. Your opinion is important in identification of non-work related factors (not presented by the employee) that might have been the primary cause of injury/illness. For example, employee has other out-of-work hobbies such as gardening, which can be the primary reason for his or her cumulative trauma injury. **Please note that the information provided by you is kept confidential.**

What corrective action has been taken? What corrective action is planned for the future? When do you plan to complete the corrective action? The information provided in response to this question is extremely important because it gives an idea of what steps have been taken or planned to prevent similar injuries/illnesses in future.

In your opinion, what can be done to prevent similar injuries/illnesses in future?: This question asks for your opinion and suggestions as to what should be done by management, employees, safety coordinator or others to help improve safety at your workplace.

For Repetitive Task Injuries: What specific activities does the employee perform with his/her wrists, hands, arms, knees, shoulders, and/or neck? This refers to the repetitive motion activities the employee is engaged in that contributed to the injury/illness. If space permits, also mention activities usually performed by the affected employee. Examples include lifting, tightening screws and typing.

How often is the task performed? This question refers to the frequency with which the repetitive task is performed and the length of time it is performed for (10 times per hour).

If Material Handling was involved, describe the object/person being handled/lifted at the time of injury/illness.: Specify the details of object/person being handled that caused the injury/illness, including weight and size. Approximations for weight and size can be used, if necessary.

If Operating equipment, describe the equipment that was in use at the time of injury/illness? Specify the material handling equipment that caused the injury/illness. For example, forklift truck.

Explain the environmental factors, if any: This question refers to the contributing environmental factors that lead to the injury/illness.

If you have any questions regarding this report, please contact your Agency's Worker's Compensation Coordinator or Safety Coordinator.

Safety Coordinators Instructions for filling out this report

1. The Facility's Safety Coordinator or Agency's Safety Manager should fill out their section on this report after the analysis of the injury. It is important that the safety coordinator should evaluate the information gathered through other sources.
2. Send completed copy of the report to the Agency's Worker's Compensation Coordinator within 48 hours of receipt.

Section Instructions

The following information explains the details required in some of the sections in the report and/or its importance in processing WC claims.

Is there follow-up to ensure corrective actions are completed: Please follow-up with the supervisor to ensure that proper corrective action was taken. Also mention the name or title of the person responsible for the follow-up.

Have corrective actions been implemented: The answer to this statement helps determine whether corrective actions that were completed to ensure similar injuries don't happen in future have been incorporated as part of the safety program.

Corrective action will be communicated to: This question helps understand the people who will be informed of the corrective actions that should be taken in order to prevent any similar injuries in the future.

Would corrective action apply to other areas of the operation or agency?: If there are other areas or operations in the agency where the corrective actions can be applied, please mention it. It is important to determine extent of the scope of correction in order to be more proactive and prevent future injuries and illness.

APPENDICES



APPENDIX A

SIX KEY QUESTIONS FOR INJURY/ILLNESS ANALYSIS

WHO...

- was injured?
- saw the injury?
- was working with him/her?
- had instructed, trained, assigned the affected employee?
- else was involved?
- can help prevent recurrence?

WHAT...

- was the incident?
- was the injury/illness?
- was being done at time of injury or incident?
- were they told to do?
- tools were being used?
- machine was involved?
- operation was being performed?
- instructions had been given?
- precautions were necessary?
- PPE should be used?
- did others do to contribute to the accident?
- problem or question was encountered?
- did the employee or others do after the accident?
- did witnesses see?
- will be done to prevent recurrence?
- safety rules were violated?
- safety rules were lacking?
- safety rules/procedures are needed?

WHEN...

- did the injury or incident occur?
- did the employee begin the task?
- was the employee assigned to the task?
- were the hazards pointed out to the employee?
- did the supervisor last check on the employee's progress?
- did the employee notice something was wrong?

WHY...

- was the employee injured?
- did the employee behave that way?
- did other persons behave that way?
- wasn't personal protective equipment used?
- weren't specific instructions given to the employee?
- was the employee in that position/place?
- was the employee using that machine or tool(s)?
- didn't the employee check with supervisor?
- did the employee continue working under the circumstances?
- was the employee allowed to continue working?
- wasn't the supervisor there at the time?

HOW...

- was the employee injured?
- could the injury/illness have been avoided?
- could co-workers avoid similar injury/illness?
- could the supervisor have prevented the injury/illness?

WHERE...

- did the injury or incident occur?
- was the employee at the time of accident?
- was the supervisor at the time? were co-workers at the time?
- were other persons involved at the time?
- were witnesses when the injury occurred?
- else does this condition exist?

APPENDIX B

SAMPLE INTERVIEW QUESTIONS FOR WITNESSES

1. ***In which direction was the injured person running when he/she tripped on the pallet?***

This question is leading the witness to at least two predetermined conclusions: 1) that the victim was running, and 2) the victim's fall was caused by a pallet. This question is seeking confirmation of the interviewer's assumptions, rather than asking for the witness's own description of the events.

By asking questions in a way that requires the witness to describe events in his/her own words or asks the witness to draw his/her own conclusions, the interviewer can obtain a better idea of what happened. For example:

What was the injured person doing just before he/she fell?

or

What do you think caused the person to fall?

2. ***Did you see the operator reach past the guard and stick his/her hand inside the machine?***

This question suggests a particular conclusion that may not have been established as a fact. This question implies that the operator did reach past the guard and that the witness saw him/her reach inside the machine.

Very often, leading questions are phrased as "closed-ended" questions that can be answered by a single word like "yes" or no." Wording questions to avoid suggesting a particular conclusion generally results in a more "open-ended" questions that prompts the witness for more information. A better way to avoid leading the witness would be to ask the question like this:

What did you see the operator do?

3. ***Did you realize the operator was angry before he/she got the on fork lift truck?***

This question also suggests a conclusion that may not have been established as a fact. Unless the witness has already told the interviewer that the operator was angry, the question is only asking the witness to verify the interviewer's assumption. Once again, the question should be aimed at getting witnesses to tell what they saw, not what the interviewer suggests they saw. A better way to determine what the witness observed is to phrase the question like this:

How would you describe the operator's behavior before he/she got on the forklift truck?

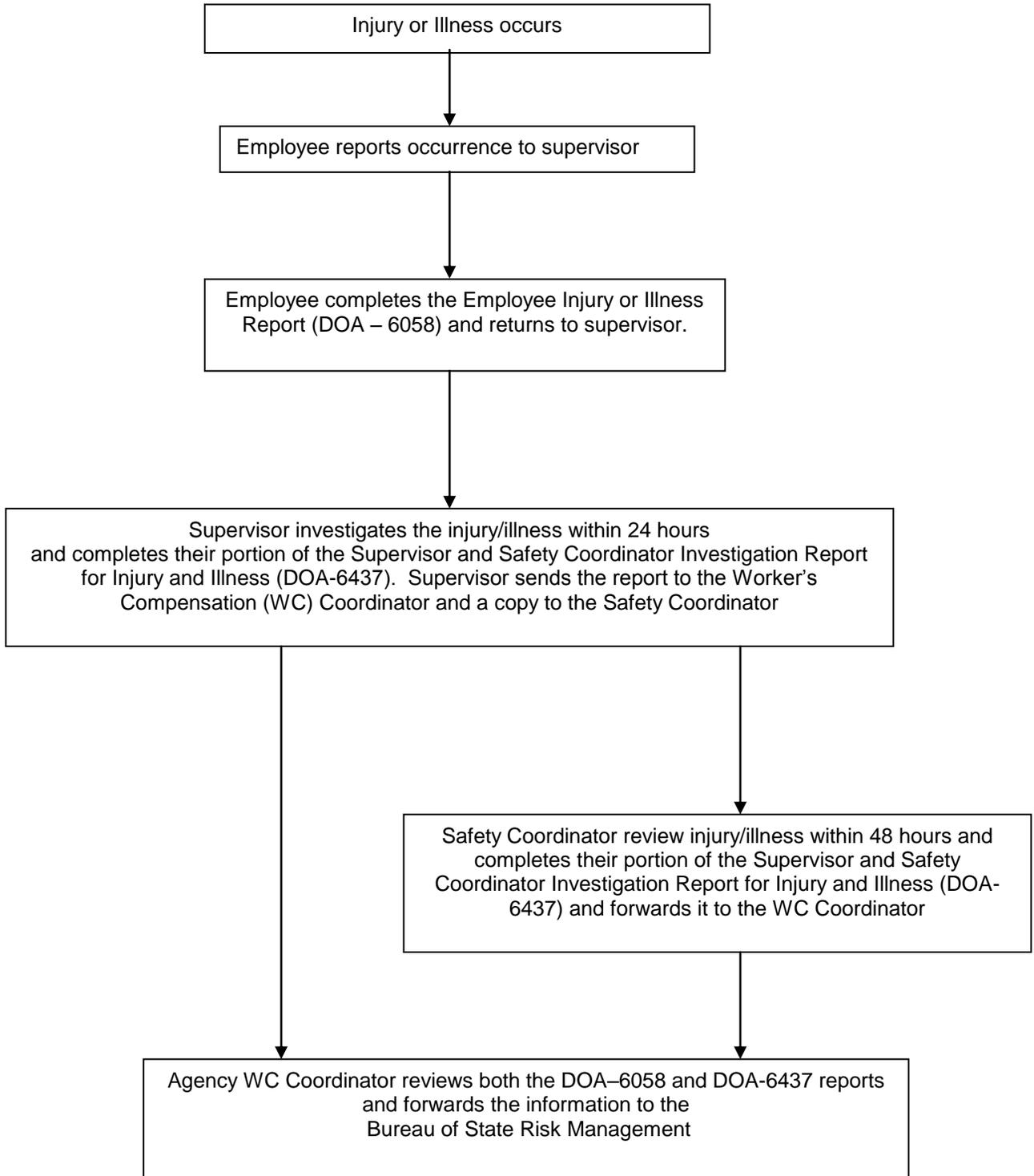
APPENDIX C

GUIDE TO CORRECTING DEFICIENCIES IN THE MANAGEMENT SYSTEM

Operating Factors	Management Controls	Questioning Guide
P E O P L E	<p style="text-align: center;">PLACEMENT</p> <p style="text-align: center;">TRAINING</p> <p style="text-align: center;">ENFORCEMENT</p> <p style="text-align: center;">MOTIVATION</p>	<p>Who was involved? What qualifications are necessary to perform the task? Why was this employee selected if not most qualified?</p> <p>What instructions and training were provided? What additional training is needed?</p> <p>What instructions or rules were not followed? What additional enforcement actions/rules are needed?</p> <p>What measures have been taken to promote correct behavior? What additional measures are necessary?</p>
E Q U I P M E N T	<p style="text-align: center;">DESIGN AND ARRANGEMENT</p> <p style="text-align: center;">PURCHASING</p> <p style="text-align: center;">MAINTENANCE</p> <p style="text-align: center;">PROTECTIVE EQUIPMENT</p>	<p>What equipment was involved? Why was this equipment used? What equipment should be used? What guards were or were not used?</p> <p>How did the quality of the equipment contribute to the loss? What additional purchasing controls are necessary?</p> <p>What maintenance problems were evident? When should maintenance be performed? How can maintenance be improved?</p> <p>What Personal Protective Equipment (PPE) is provided? When should PPE be used/provided?</p>
M A T E R I A L	<p style="text-align: center;">DESIGN AND ARRANGEMENT</p> <p style="text-align: center;">PURCHASING</p>	<p>What material was involved? What design characteristics contributed to the injury/illness? How should the material be designed? How was the material arranged, handled and used? How/where should the material be arranged, handled and used?</p> <p>Why was this material being used? What material should be used?</p>
E N V I R O N M E N T	<p style="text-align: center;">DESIGN AND ARRANGEMENT</p> <p style="text-align: center;">PURCHASING</p> <p style="text-align: center;">HOUSEKEEPING</p> <p style="text-align: center;">MAINTENANCE</p>	<p>What environmental factors, such as workstation design, noise, lighting and/or floor conditions, were involved? Why was the work area designed and arranged this way? How should the work area be designed and arranged?</p> <p>What purchasing controls are necessary?</p> <p>When should housekeeping be performed? How should housekeeping be improved?</p> <p>What maintenance problems are evident? When should maintenance be performed? How should maintenance be improved?</p>

APPENDIX D

WORK INJURY OR ILLNESS REPORTING PROCESS



APPENDIX E

SUPERVISOR'S SELF-RATING SHEET FOR EFFECTIVE INJURY/ILLNESS ANALYSIS

		YES	NO
1.	Do I hear about injuries or illnesses that occur in my department?		
2.	Do I analyze each injury/illness as promptly as possible?		
3.	Do I get a detailed account of the injury/illness from the affected employee?		
4.	Do I investigate injuries/illnesses (including near misses) thoroughly enough to find the <u>direct and indirect</u> causes of each injury and illness?		
5.	Do I interview witnesses to each injury/illness?		
6.	Do I avoid questions that lead or intimidate employees/witnesses?		
7.	Do I completely fill out the work injury/illness analysis reports?		
8.	Do I contact the Maintenance Department or other departments when required to assist in developing suitable corrective action?		
9.	Do I use as many tools as possible in order to make a factual injury/illness investigation, such as a camera, drawings or other aids?		
10.	Do I use the occasion of an injury/illness analysis to provide safety education to the employees in my department?		
11.	Do I have injuries caused by repetitive motion, which indicates that I have not completely eliminated certain hazards or unsafe behaviors?		
12.	Do I periodically review previous injury reports to identify trends, accident repeaters and problem areas and operations?		
13.	Do I follow through to see that corrective action is taken?		
14.	Do I share pertinent information about each injury/illness with other supervisors?		
15.	Do I always express appreciation to everyone who helped in the investigation?		

APPENDIX F

DEFINITION OF TERMS ASSOCIATED WITH WORK INJURY/ILLNESS ANALYSIS

- **Accident** - An unplanned, undesired event that may result in personal injury, illness, property damage, and environmental harm and/or causes an interruption in a process or normal activities.
- **Change Analysis** - A process used to determine the causes of an accident by comparing the way a job was actually performed with the way it should have been performed.
- **Causal Factor** - An event, person, hazardous condition or unsafe act that contributed directly or indirectly to an accident.
- **Fault Tree Analysis** - A method of analysis which reasons backwards from an undesired occurrence to determine possible causes. Fault tree analysis is most useful for organizing the analysis of complex situations where many possible causes exist.
- **First Aid** - Any one-time treatment and subsequent observation of minor scratches, cuts, burns, splinters and so forth, which do not ordinarily require medical care. Medical treatment and observation of this type are considered first aid even though provided by a physician or registered nurse.
- **Hazardous Condition** - Any condition that may result in, or contribute to, an accident.
- **Hazard Control** - A means of reducing the risk due to exposure to a hazard. Such means may include: ergonomic design of work stations, and equipment; arrangement and guarding of machinery; barricading of pedestrian and vehicular traffic routes; process controls to limit exposure to toxic materials; ventilation and exhaust systems; prescribed work practices including the wearing of personal protective equipment; and visible and/or audible warning devices.
- **Incident** - An unplanned, undesired event that resulted in a minor personal injury/illness or property damage.
- **Injury/Illness Analysis** - The investigation and analysis and written account of a near miss, incident or an injury or illness based on information gathered by a thorough examination of all factors involved. An injury/illness analysis includes the objective evaluation of all facts, opinions, physical evidence and statements taken from the affected employee and witnesses. A thorough injury/illness analysis will also identify the primary and secondary causes of the injury or illness and possible deficiencies in the management system so that corrective action(s) can be determined and taken to prevent recurrence.
- **Investigation** - A systematic search to determine how and why an accident, incident or near miss occurred.
- **Material Handling Injury** - An injury that involves the lifting, handling and/or moving of an object or person.

- **Medical Treatment** - Treatment of injuries and illnesses administered by physicians, registered professional personnel or lay persons. Medical treatment does not include first aid treatment (one-time treatment and subsequent observation of minor scratches, cuts, burns, splinters and so forth, which do not ordinarily require medical care) even though provided by a physician or registered professional personnel.
- **Near Miss** - An unplanned, undesired event that nearly resulted in a personal injury/illness or property damage.
- **Occupational Illness** - Any acute or chronic condition or disorder caused by exposure to environmental factors associated with employment. They include conditions or diseases that are caused by inhalation, absorption, ingestion or direct contact with toxic materials, such as hazardous chemicals, silica, lead or asbestos. Occupational illnesses also include disorders associated with repeated trauma or motion, such as carpal tunnel syndrome.
- **Occupational Injury** - Any injury, such as a cut, fracture, sprain, amputation or other, which results from a work accident or from a single instantaneous exposure in the work environment.
- **OSHA Lost Workday Case** - A work-related injury or illness causing an employee to be unable to perform any available work for one or more workdays.
- **OSHA Restricted Workday Case** - A work-related injury or illness that causes an employee to be unable to perform his or her regular job without restriction.
- **OSHA Recordable Cases** - All work-related deaths and illnesses and work-related injuries that results in loss of consciousness, restriction of work or motion, transfer to another job, or requires medical treatment beyond first aid.
- **Repetitive Motion Injury** - An injury that is caused by the repetitive use the wrists, hands, arms, shoulders and/or neck.
- **Unsafe Act** - A behavioral departure from an accepted, normal, safe or correct procedure or practice which, in the past, has produced injury, illness or property damage or which has the potential for doing so in the future.
- **Witness** - An individual who personally observes the occurrence of a particular event or who is familiar with the circumstances involved in the incident.
- **Work Environment** - Consists of the employer's premises and other locations where employees are engaged in work-related activities or are present as a condition of their employment. The work environment includes not only physical location, but also the equipment or materials used by the employee during the course of work.