**Incident Investigation Report Form - Sample**

Please note the following document is a sample. Review carefully and modify this document to meet the needs and requirements of your organization.

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| --- | --- | --- | --- | --- |
| **Incident Category** |  | **Incident Specifics** | | |
| **(Check all that apply)** | Location of Incident: | | |
| 🗆 Near Miss |  | Date of Incident : | Time of Incident: | a.m./p.m. |
| 🗆 First Aid Injury |  | Date Reported: | Time Reported: | a.m./p.m. |
| 🗆 Medical Aid Injury |  | Affected Body Part(s): | | |
| 🗆 Lost Time Injury |  | Description of Injury/Damage: | | |
| 🗆 Fatality |  |
| 🗆 Illness or Disease |  |
| 🗆 Property Damage |  |
| 🗆 Other |  |

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| --- | --- | --- | --- | --- | --- |
| **Employee Information** | | | | | |
| Employee Name: | Job Title: | | | | |
| Supervisor: | Length of Employment: | | | | |
| **Sequence of Events** | | | | | |
| Outline the sequence of events leading up to, during, and immediately after the incident: | | | | | |
| **Immediate / Direct Cause(s)** | | | | | |
| What conditions, acts, or practices caused, or could have caused, the incident? A list of examples has been included at the end of this document. | | | | | |
| **Root Cause(s)** | | | | | |
| What specific factors caused, or could have caused, the incident? A list of examples has been included at the end of this document. | | | | | |
| **Corrective Action(s):** | | | | | |
| Identify any corrective actions necessary to prevent similar incidents from occurring in the future. List these in order of importance. | | | | | |
| **Corrective action** | | | | **Assigned to** | **Completion date**  **(or expected)** |
| 1) | | | |  |  |
| 2) | | | |  |  |
| 3) | | | |  |  |
| 4) | | | |  |  |
| **Additional Comments:** | | | | | |
|  | | | | | |
| **Report Completed By:** | | | | | |
| Name: | | | Position: | | |
| Signature: | | | Date: | | |
| **Reviewed By:** | | | | | |
| Name: | | Position: | | | |
| Signature: | | Date: | | | |

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| **Immediate Cause** | |
| * Operating equipment without authority * Failure to warn * Failure to secure * Operating at improper speed * Making safety devices inoperable * Removing safety devices * Using defective equipment * Failure to use PPE * Improper loading * Improper placement * Improper lifting * Improper position for task * Servicing equipment in operation * Horseplay * Under influence of alcohol or other substances * Using equipment improperly * Failure to follow procedure, policy, or practice * Failure to identify hazard or risk * Failure to check or monitor * Failure to react or correct | * Failure to communicate or coordinate * Inadequate guards or barriers * Inadequate or improper protective equipment * Defective tools, equipment or materials * Congestion or restricted action * Inadequate warning system * Fire and explosion hazard * Poor housekeeping, disorder * Noise exposure * Radiation exposure * Temperature extremes * Inadequate or excess illumination * Inadequate ventilation * Presence of harmful materials * Inadequate instructions or procedures * Inadequate preparation or planning * Inadequate communications hardware, software, or process * Inadequate support or assistance * Road Conditions * Weather Conditions |

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| **Root Cause** | |
| * Lack of experience * Inadequate orientation * Inadequate initial training * Inadequate update training * Misunderstood direction * Lack of situational awareness * Improper performance is rewarded/tolerated * Proper performance in punished * Lack of incentives * Excessive frustration * Inappropriate aggression * Improper attempt to save time or effort * Improper attempt to avoid discomfort * Improper attempt to gain attention * Inadequate discipline * Inappropriate peer pressure * Improper supervisory example * Inadequate performance feedback * Inadequate reinforcement of proper behaviour * Improper production incentives | * Inadequate specifications to vendors * Inadequate mode or route of shipment * Inadequate receiving inspection and acceptance * Inadequate communication of safety and data * Improper handling of materials * Improper storage of materials * Improper transportation of materials * Inadequate identification of hazardous materials * Improper salvage and/or waste disposal * Inadequate contractor selection * Unclear or conflicting reporting relationships * Unclear or conflicting assignment of responsibility * Improper or insufficient delegation * Giving inadequate policy, procedure, practices or guidelines * Giving objectives, goals or standards that conflict |
| **Root Cause - Continued** | |
| * Inadequate development of work standards * Inadequate communication of work standards * Inadequate maintenance of work standards * Inadequate monitoring of compliance to work standards * Inadequate horizontal communication between peers * Inadequate vertical communication between different organizations * Inadequate communication between different organizations * Inadequate communication between work groups * Inadequate communication between shifts * Inadequate communication methods * No communication method available * Incorrect instructions * Inadequate communication due to job turnover * Inadequate communication of safety and health data, regulations or guidelines * Standard terminology not used * Messages to long * Speech interference * Inadequate initial instruction * Inadequate practice * Infrequent performance * Lack of coaching * Inadequate review instruction * Use by unqualified * Inadequate preventative maintenance * Inadequate reparative maintenance * Inadequate specifications on requisitions * Inadequate research on materials/ equipment | * Inadequate work planning or programming * Inadequate instructions, orientation and/or training * Providing inadequate reference documents, directives and guidance publications * Inadequate identification and evaluation of loss exposures * Lack of supervisory/management job knowledge * Inadequate matching of individual qualifications and job/task requirements * Inadequate performance measurement and evaluation * Inadequate or incorrect performance feedback * Inadequate planning of use * Inadequate inspection and/or monitoring * Inadequate assessment of loss exposures * Inadequate consideration of human factors/ergonomics * Inadequate standards, specifications and/or design criteria * Inadequate monitoring of construction * Inadequate assessment of operational readiness * Inadequate or improper controls * Inadequate monitoring of initial operation * Inadequate evaluation of changes * Improper extension of service life * Improper loading or rate of use * Inadequate assessment of needs and risks * Inadequate human factors/ergonomics considerations * Inadequate standards or specifications * Inadequate availability |