1. Purpose of an incident investigation

An incident investigation systematically identifies event details and causal factors to determine potential corrective actions that prevent incident recurrence. At Stanford University, an incident investigation must be completed for the following:

- Any workplace injury/illness
- “Close call” safety-related incidents – events that could have resulted in an injury/illness (e.g., chemical spills, fires, equipment left running, water leaks around electrical equipment, slip/trip/fall hazards not marked).

2. Who investigates workplace incidents?

Supervisors must investigate any workplace incident involving their staff and follow-up with corrective measures. For additional assistance/consultation, Supervisors can contact EH&S at 650-723-0448.

3. How are the incident investigation and follow-up corrective measures documented?

Incident investigations and follow-up efforts should be documented using the Incident Report (http://su17.stanford.edu).

4. How soon must the Incident Report form be completed and submitted?

The Incident Report and Supervisor Follow-up forms should be completed and submitted as soon as possible, at minimum within 24 hours of the incident.

5. What are the key points to investigate and document?

A. What happened?

As you complete the Incident Report form, it is important to gather as much relevant detail as possible about the incident.

Incident Report - Employee describes in detail the events that led to the incident. If the supervisor completes this information, ensure sufficient information is collected to allow for detailed follow-up actions.

1Per Stanford University’s Injury and Illness Prevention Program (https://ehs.stanford.edu/topic/general-workplace-safety/injury-and-illness-prevention-program)
B. What are possible causal factors of the incident?
The Supervisor Follow-up form helps conduct a two-step root cause analysis, which uses incident facts to determine the underlying cause(s) of an incident. When completing the follow-up form, avoid vague statements like “employee carelessness.” The goal is to objectively identify systemic deficiencies that allowed the incident to occur, not to place individual blame.

<table>
<thead>
<tr>
<th>Incident Causes and Follow-up</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Please provide information regarding incident causes and follow-up measures.</strong></td>
</tr>
</tbody>
</table>

**Possible process/environment causal factors. (select all that apply)**
- Housekeeping
- Work procedure, or lack of
- Repetitive motion
- Tool/equipment condition
- Tool/equipment availability
- Personal protective equipment availability
- Workstation/area setup
- Flooring/ground
- Lighting
- Ventilation
- Other

**Possible personnel-related causal factors (select all that apply)**
- Tool/equipment use or selection
- Level of support/assistance
- Awkward posture(s)
- Personal protective equipment use
- Following of procedure/instruction
- Level of attention to task
- Work pacing
- Other

**Possible root cause(s)**
- Awareness of job hazards
- Level of training
- Level of inspection/maintenance
- Level of communication
- Level of resources available
- Other

**Additional details on possible cause(s)**
- Training: Staff may not have adequate training on safe lift practices.
- Inspection/maintenance: Equipment not periodically inspected.
- Communication: Staff may not have been informed of available hand truck. Also, need to ensure damaged equipment is reported to supervisor.

<table>
<thead>
<tr>
<th>Initial Cause</th>
<th>Root Cause</th>
</tr>
</thead>
<tbody>
<tr>
<td>Hand truck unavailable/broken</td>
<td>Broken equipment not promptly repaired or reported</td>
</tr>
<tr>
<td>Awareness level of safe lifting practices</td>
<td>Training not provided on safe lifting/handling</td>
</tr>
</tbody>
</table>
C. What follow-up actions are planned/implemented?

<table>
<thead>
<tr>
<th>Planned Follow-up Efforts:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>*For facility-related concerns in <strong>indoor common areas (e.g. hallways)</strong>, coordinate with the building manager. For <strong>public areas (e.g. sidewalks, parking lots)</strong>, work with FacOps Zone Manager at 723-2281. * must provide value</td>
<td></td>
</tr>
</tbody>
</table>

- Conduct ergonomic evaluation
- Evaluate equipment/facility condition
- Provide appropriate tool/equipment
- Provide personal protective equipment
- Provide initial/refresher training
- Post safety signage in area
- Review inspection and/or maintenance program
- Review formal work procedure
- Assess newly identified hazard(s)
- Review job performance
- Other

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**Incident Report – Supervisor Follow-up (continued)**

List all corrective actions that will help prevent recurrence of the causal factors identified above.

**Supervisors must ensure follow-up actions are completed in a timely manner.**

**Follow-up actions anticipated/completed or any additional comments**

* must provide value

1. Replace damaged hand truck
2. Ensure initial back safety training for employees who routinely handle boxes, etc.
3. Clarify with employees the need to report damaged equipment and determine if it is necessary to include hand trucks in periodic inspection.

Describe timeline for completion of follow-up action(s)

* must provide value

1. Hand truck replaced
2. Updated training requirements completed by the end of October 2019.
3. Initial discussion with employees on reporting damaged equipment complete. Inspection process is under review expected completion in December 2019.

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For questions, contact EH&S - Occupational Safety and Health at 650-723-0448.