

S.T.E.P. UP

TO A SAFER WORKPLACE

SAFETY TRAINING & ENGAGEMENT PROGRAM
CERTIFICATE SERIES

5 STEPS TO STEP UP ACCIDENT INVESTIGATIONS!

OUR WEBINAR WILL BEGIN SHORTLY



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5 STEPS TO STEP UP
ACCIDENT INVESTIGATIONS!

WELCOME!



TODAY'S PRESENTER

Ken Helfrich

Regional Manager - Risk Management Services



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“S.T.E.P. UP” CERTIFICATE SERIES

Safety Training & Engagement Program

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TO A SAFER WORKPLACE

1 STEP UP To Safety Management

2 Do “MORE” to STEP UP Your Safety Programs!

3 **STEP UP Your Accident Investigations**

4 STEP UP to a Better Safety Culture

5 “PLAN” to STEP UP Safety Programs



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TO A SAFER WORKPLACE

Your STEP UP Safety Certificate

- Complete all 5 STEPS
- Receive your “S.T.E.P. UP Safety Training & Engagement Program” Certificate!



Topics

Accident vs. Incident 5 Steps to Success:

- Investigate
- Analyze
- Reporting
- Actions
- Follow-up

A high-angle photograph of an industrial facility, possibly a refinery or chemical plant. Several workers wearing white hard hats and high-visibility yellow safety vests are visible. They are positioned around large, complex machinery with various pipes, valves, and tanks. The scene is brightly lit, and the overall atmosphere is one of a busy, technical work environment. The image is semi-transparent, allowing the text to be overlaid clearly.

WHEN YOU DON'T INVESTIGATE INCIDENTS

Cost of Ignoring Trends

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Cost of workplace accidents

Spells trouble for bottom line

\$3 trillion

The annual cost to the global economy from accidents and work-related diseases.



A high-angle photograph of an industrial control room. Three workers wearing white hard hats and high-visibility yellow safety vests are positioned around a large, complex control panel. The panel features numerous buttons, dials, and screens. The workers are focused on their tasks. The background shows more of the control room's infrastructure, including a yellow storage cabinet and various cables.

ACCIDENT VS. INCIDENT

Know the Difference

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What is an accident?



Any unplanned event resulting in:

- Personal injury
- Illness
- Property damage

What is an incident or near miss?

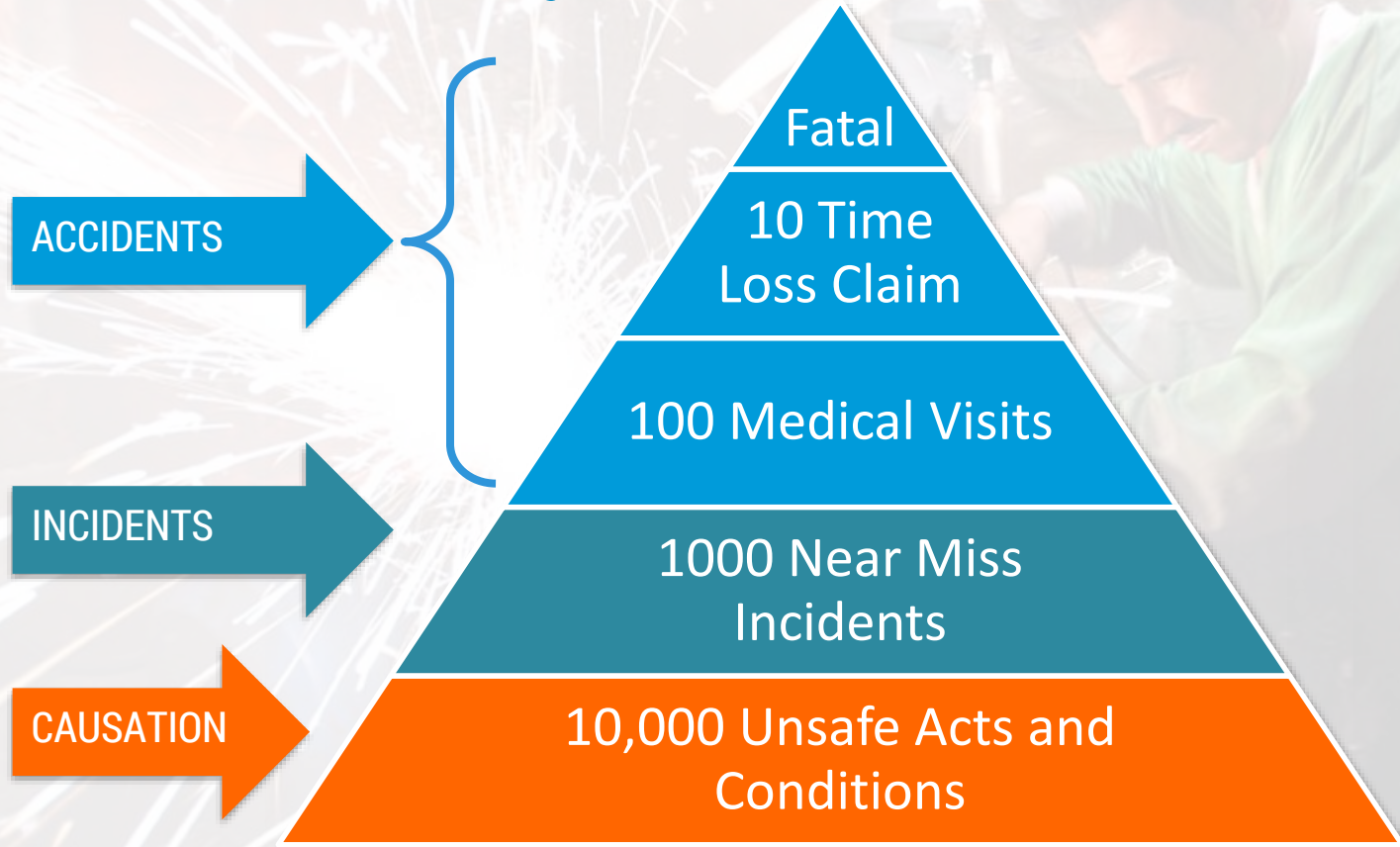
Any unplanned event
ALMOST resulting in:

- Personal injury
- Illness
- Property damage

Root causes

- Unsafe act
- Unsafe condition
- Combination of both

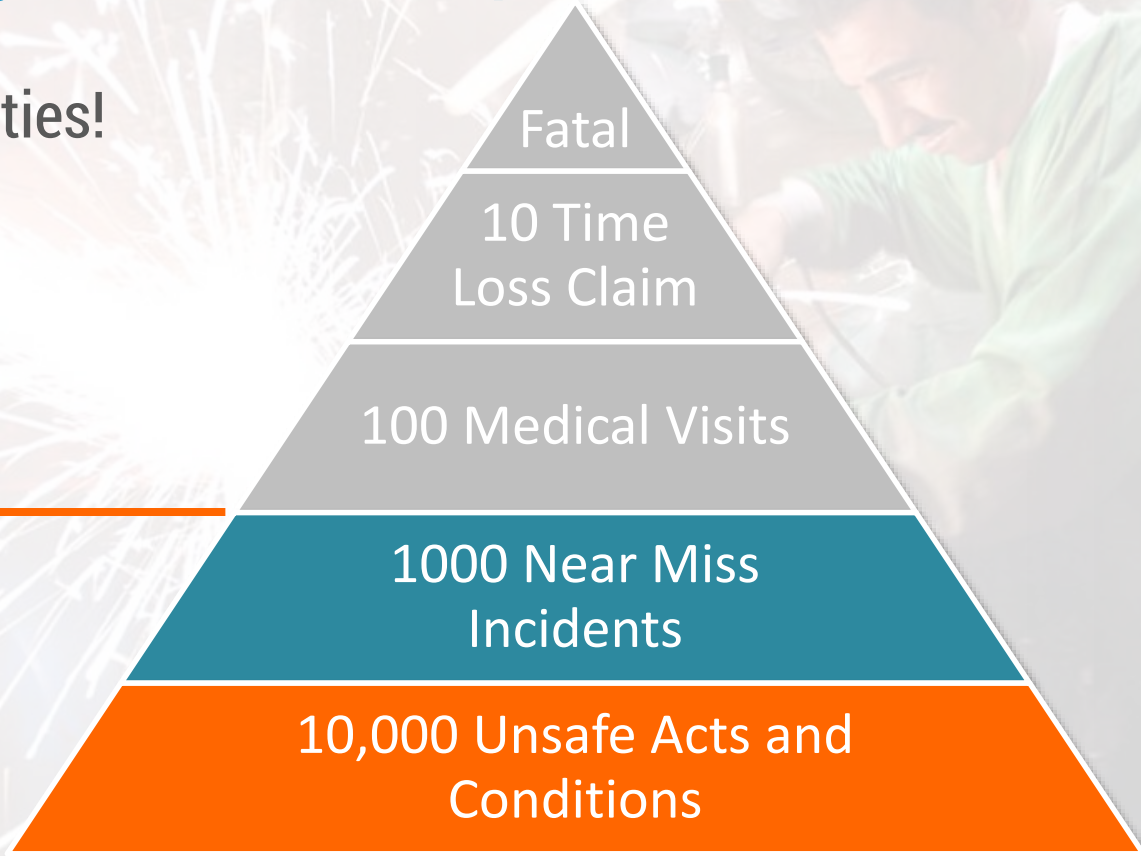
Incident to Accident Pyramid



Knowing every incident is important!

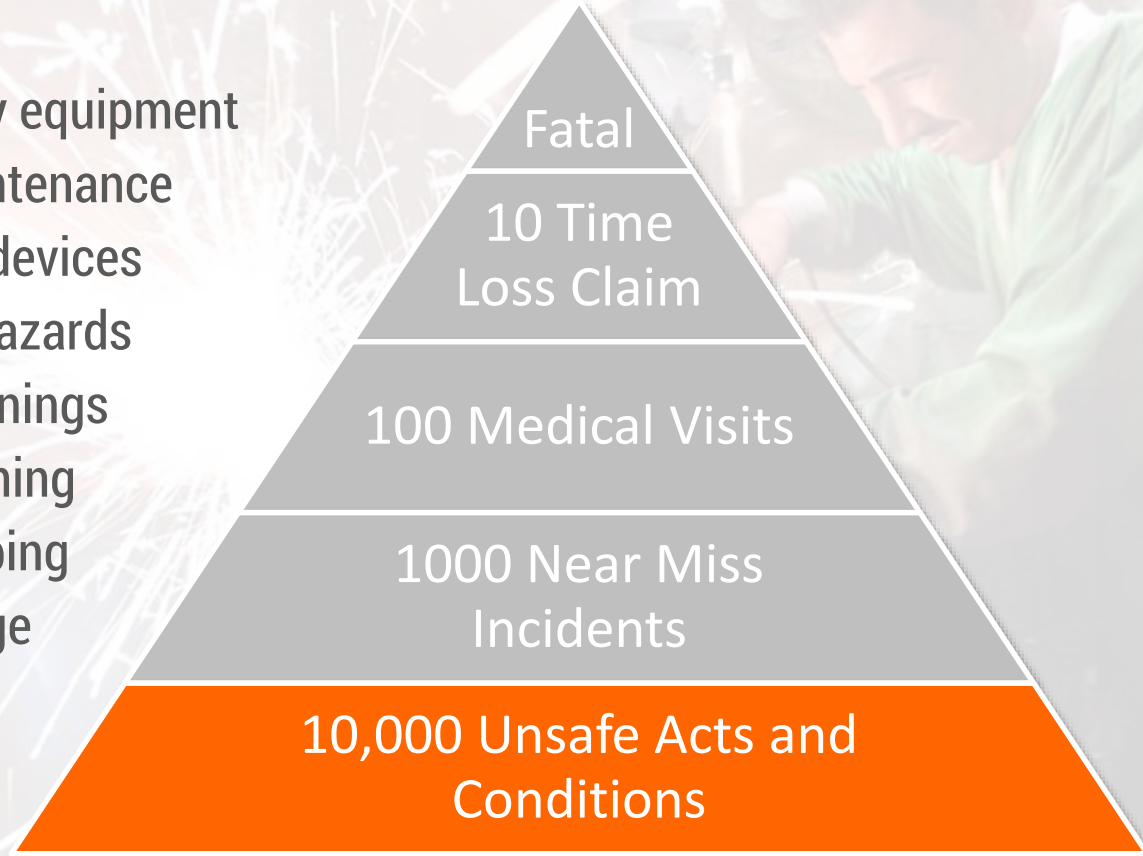
10,000 Opportunities!

Your
opportunity
to prevent
accidents!



Unsafe act & conditions

- Defective safety equipment
- Ineffective maintenance
- Missing safety devices
- Unrecognized hazards
- Insufficient warnings
- Inadequate training
- Poor housekeeping
- Deficient signage
- Lack of caring





5 STEPS TO STEP UP ACCIDENT INVESTIGATIONS

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5 STEPS to SUCCESS

01
Investigate



02
Analyze



03
Report



04
Act



05
Follow-up





01



Investigate

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Investigate

- **WHAT** type of injury?
- Affecting what **BODY PART**?
- **WHERE** was worker positioned?
- **HOW** were they doing their job prior to injury?
- What caused **ACCIDENT**?

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Accident Investigation Form

Step 2: Conduct investigation – Also see "Root Cause Analysis Form"

Unsafe workplace

- Inadequate guarding
- Unguarded equipment
- Defective safety device
- Defective equipment
- Unsafe workstation layout
- Unsafe lighting
- Inadequate ventilation
- Lack of needed PPE
- Unsafe clothing
- Poor equipment maintenance

Unsafe behavior

- Used wrong tool
- Serviced equipment
- Made unsafe repairs
- Used defective equipment
- Littered
- Poor housekeeping
- Unsafe work practices
- Unsafe lifting
- Unsafe driving
- Unsafe walking
- Unsafe use of equipment
- Unsafe use of tools
- Unsafe use of machinery
- Unsafe use of vehicles
- Unsafe use of lifts
- Unsafe use of ladders
- Unsafe use of scaffolding
- Unsafe use of cranes
- Unsafe use of hoists
- Unsafe use of winches
- Unsafe use of pulleys
- Unsafe use of ropes
- Unsafe use of cables
- Unsafe use of chains
- Unsafe use of slings
- Unsafe use of shackles
- Unsafe use of pins
- Unsafe use of nuts
- Unsafe use of bolts
- Unsafe use of washers
- Unsafe use of spacers
- Unsafe use of sleeves
- Unsafe use of collars
- Unsafe use of cones
- Unsafe use of keys
- Unsafe use of pins
- Unsafe use of nuts
- Unsafe use of bolts
- Unsafe use of washers
- Unsafe use of spacers
- Unsafe use of sleeves
- Unsafe use of collars
- Unsafe use of cones
- Unsafe use of keys

Other unsafe issues

Why did unsafe issue exist?

Was the unsafe issue reported?

Have there been similar incidents?

Detail the events that led up to the incident.

Step 4: Preventing future incidents

What changes do you suggest?

- Guard the hazard
- Redesign workstation or equipment
- Provide appropriate training
- Surface maintenance
- Other (describe)

Plan to carry out suggestions

Report completed by

Title

Department

Report type Death Lost time Lost wages Injury First aid Near miss

Employee Supervisor Safety committee Safety manager Other

Employee name

Date of birth

Gender Female Male Non-disclosed

Area of body injured

Job title

Department

Original hire date

Time in current job

Shift hours Start End

Job category Full-time Part-time Seasonal Temporary

Injury description

Step 2: Incident description

Location occurred

Incident Date/Time

Part of workday Regular time Overtime Leaving work On break

Time reported Other (describe)

PPE worn at time of incident

- Safety glasses Hard hat Steel toe shoes Other (describe)
- Safety goggles Hand tool Slip resistance
- Face shield Respirator Fall protection
- Sound attenuation Welding hood Gloves

Equipment involved

Insurance Company of the West | Empire Insurance Company | Veritas Insurance Company
www.icwgroup.com | 800.877.2222

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Accident Poll



When reviewing last accident occurring at your company, was it mostly due to:

- **Equipment**
 - such as defect, missing guards, poor maintenance
- **Environment**
 - such as location, housekeeping
- **People**
 - such as untrained worker, inappropriate behavior, lack of supervision

Investigate the scene



Fact Finding – **Not** Fault Finding

- Keep open mind
- Don't presume cause
- Interview witnesses
- Get the facts!
- Get to the Root Cause
- Keep asking “WHY?”



Investigate the scene

Record details – take photos!



Investigate the scene

Examples:

- Guards off
- Lack of PPE
- Housekeeping issues
- Work practices
- Faulty equipment
- Lack of supervision or enforcement

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Accident Investigation Form

Step 3: Conduct Investigation – Also see "Root Cause Investigation Form"

Unsafe workplace	Unsafe behavior	Organizational causes
<input type="checkbox"/> Inadequate guarding	<input type="checkbox"/> Used without permission	<input type="checkbox"/> Ineffective training
<input type="checkbox"/> Unguarded equipment	<input type="checkbox"/> Used excessive speed	<input type="checkbox"/> Lack of supervision
<input type="checkbox"/> Defective safety device	<input type="checkbox"/> Serviced emergency equipment	<input type="checkbox"/> Deficient procedures
<input type="checkbox"/> Defective equipment	<input type="checkbox"/> Made safety device inoperable	<input type="checkbox"/> Lack of applying procedures
<input type="checkbox"/> Unsafe workstation layout	<input type="checkbox"/> Used defective equipment	<input type="checkbox"/> Inadequate communication
<input type="checkbox"/> Unsafe lighting	<input type="checkbox"/> Used equipment improperly	<input type="checkbox"/> Poor hazard assessment
<input type="checkbox"/> Inadequate ventilation	<input type="checkbox"/> Lifted unsafely	<input type="checkbox"/> Inadequate hiring practices
<input type="checkbox"/> Lack of needed PPE	<input type="checkbox"/> Removed guarding	<input type="checkbox"/> Lack of accountability
<input type="checkbox"/> Lack of equipment / supplies	<input type="checkbox"/> Unsafe posture	<input type="checkbox"/> Inadequate motivation
<input type="checkbox"/> Unsafe clothing	<input type="checkbox"/> Distracted horseplay	<input type="checkbox"/> Failed to provide proper tools
<input type="checkbox"/> Poor equipment maintenance	<input type="checkbox"/> Failed to wear required PPE	<input type="checkbox"/> Failed to correct known issues

Other unsafe issues

Why did unsafe issue exist?

Was the unsafe issue reported prior to incident? yes no

Have there been similar incidents to this one? yes no

Detail the events that led up to the injury, include machines, parts, tools, materials, etc.

Step 4: Preventing future incidents

What changes do you suggest to prevent this incident/near miss from happening again?		
<input type="checkbox"/> Guard the hazard	<input type="checkbox"/> Engage workers in safety	<input type="checkbox"/> Train supervisor
<input type="checkbox"/> Redesign workstation layout	<input type="checkbox"/> Provide training	<input type="checkbox"/> Enforce existing policy
<input type="checkbox"/> Provide appropriate PPE	<input type="checkbox"/> Supply reminder signage	<input type="checkbox"/> Develop new policy
<input type="checkbox"/> Perform maintenance	<input type="checkbox"/> Initiate safety communications	<input type="checkbox"/> Increase supervision
<input type="checkbox"/> Other (describe)		

Plan to carry out suggestions checked above

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www.icwgroup.com | 800.877.1212



Error!

- Reluctance to accept responsibility
- Limited interpretation of environmental cause
- Erroneous emphasis on single cause
- Allow solution to determine cause



CAUTION

Accident Investigation Form

01
Investigate

- Complete after incident
- Detail thoroughly
- Supplement for claims reporting
- Identify factors causing incident
- Recommend corrections

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Accident Investigation Form

Step 3: Conduct Investigation – Also see "Root Cause Analysis"

Unsafe workplace

- Inadequate guarding
- Unqualified equipment
- Defective safety device
- Defective equipment
- Unsafe workstation layout
- Unsafe lighting
- Inadequate ventilation
- Lack of needed PPE
- Lack of equipment / supplies
- Unsafe clothing
- Poor equipment maintenance

Unsafe behavior

- Used without training
- Used incorrectly
- Made safety device inoperative
- Used defective equipment
- Used equipment in unsafe manner
- Used equipment in unsafe location
- Used equipment in unsafe condition
- Used equipment in unsafe way
- Used equipment in unsafe place
- Used equipment in unsafe time
- Used equipment in unsafe area
- Used equipment in unsafe manner
- Used equipment in unsafe condition
- Used equipment in unsafe location
- Used equipment in unsafe way
- Used equipment in unsafe place
- Used equipment in unsafe time
- Used equipment in unsafe area

Other unsafe issues: _____

Why did unsafe issue exist? _____

Was the unsafe issue reported prior to the incident? Yes No

Have there been similar incidents to this one? Yes No

Detail the events that led up to the incident: _____

Step 4: Preventing Future Incidents

What changes do you suggest to prevent a recurrence of this incident?

- Guard the hazard
- Restrict access to the hazard
- Provide appropriate PPE
- Perform maintenance
- Other (describe): _____

Plan to carry out suggestions: _____

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Accident Investigation Form

Step 1: Report employee (complete this part for each injured employee)

Report completed by: _____

Title: _____

Department: _____

Report type: Death Lost time Injury First aid Near miss

Struck Slipped Safety committee Safety manager Other

Date: _____

Employee name: _____

Date of birth: _____

Gender: Female Male Non-binary

Job title: _____

Department: _____

Original hire date: _____

Time in current job: _____

Shift hours: Start: _____ End: _____

Job category: Full-time Part-time Seasonal Temporary

Injury description: _____

Area of body injured:

Head: Face Head Neck Other (describe): _____

Upper Body: Shoulder Arm Hand Wrist Elbow Forearm Upper leg Hip Lower leg Ankle Foot

Step 2: Incident description

Location occurred: _____

Incident Date/Time: _____

Part of workday: Regular time Overtime Leaving work Other (describe): _____

Break time On lunch/recess On break

PPE worn at time of incident:

- Safety glasses Hard hat Steel-toe shoes Slip resistance Fall protection Other (describe): _____
- Safety goggles Band aids Hearing protection Slip resistance Fall protection Other (describe): _____
- Face shield Hoop earring Hearing protection Slip resistance Fall protection Other (describe): _____
- Sound attenuator Hearing aid Hearing protection Slip resistance Fall protection Other (describe): _____

Equipment involved: _____

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Insurance Companies of the World | Eastern Insurance Companies | West Coast Insurance Companies
www.icwgroup.com | 800.677.7330

CALL

Investigate

01
Investigate

Control
Unsafe
Conditions

Inspections
Correct conditions



Employee observations
Meaningful feedback

Control
Unsafe
Acts

Provide
Job Skill
Training

Task completion
Safety, quality, productivity



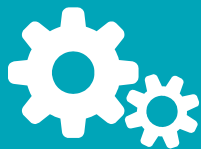
Motivate
Employees



Incentive-deterrent strategy
Consistent, fair, equitable



02



Analyze

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Digging into the “W’s” (not the “H”)

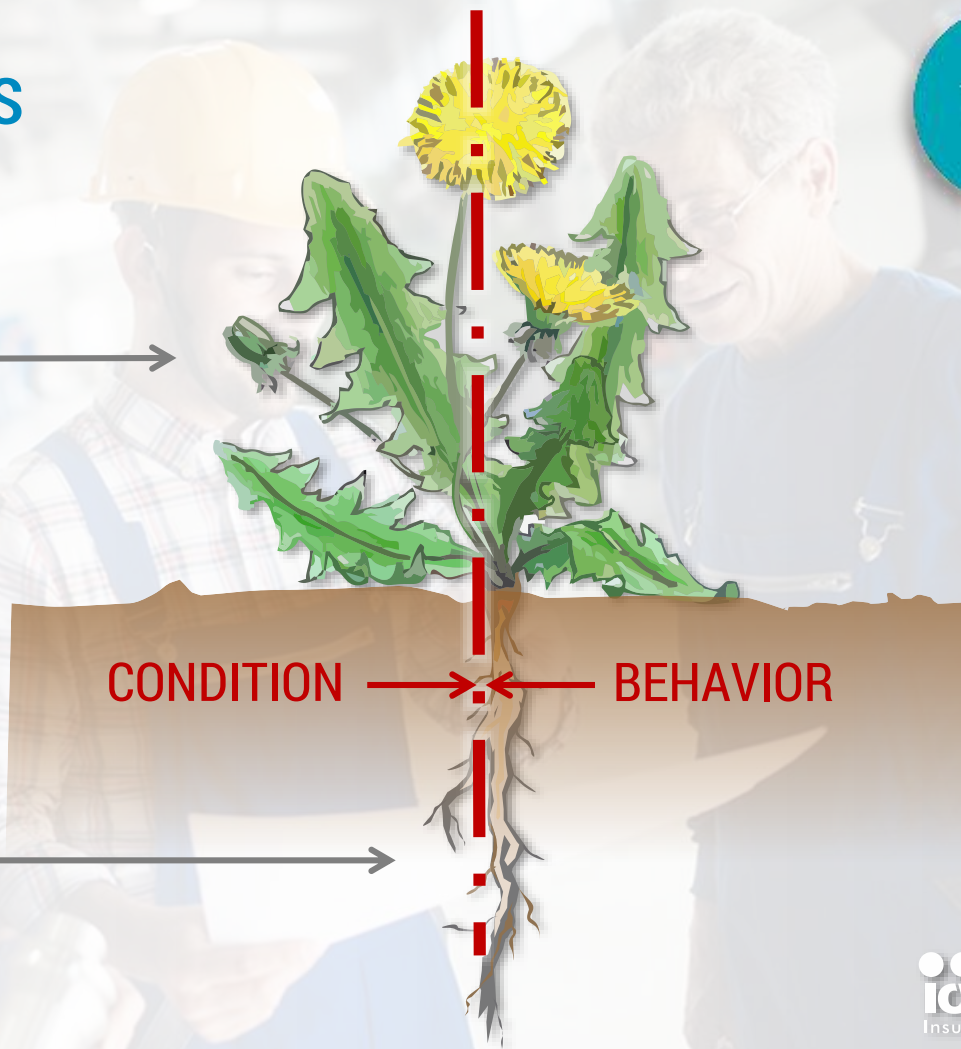
- Who?
- What?
- When?
- Where?
- Why?

Not “How did this happen?!”

2 Focuses of Analysis

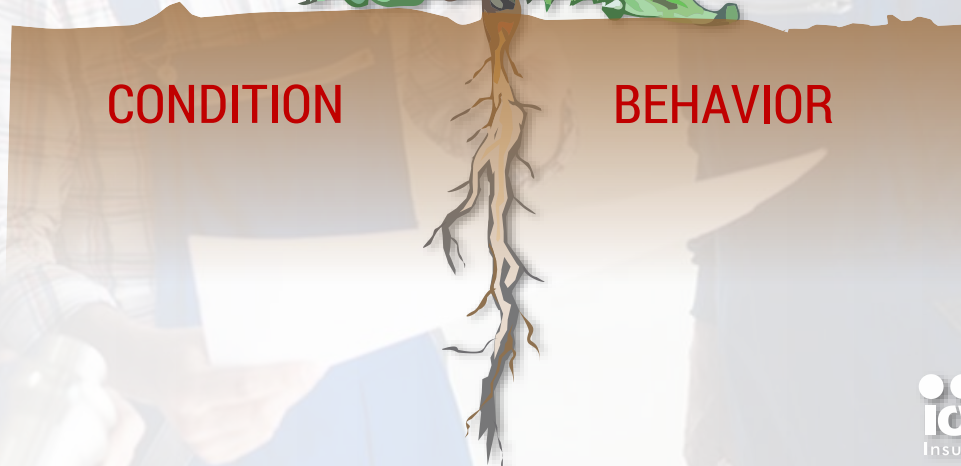
Direct cause →

Root cause →



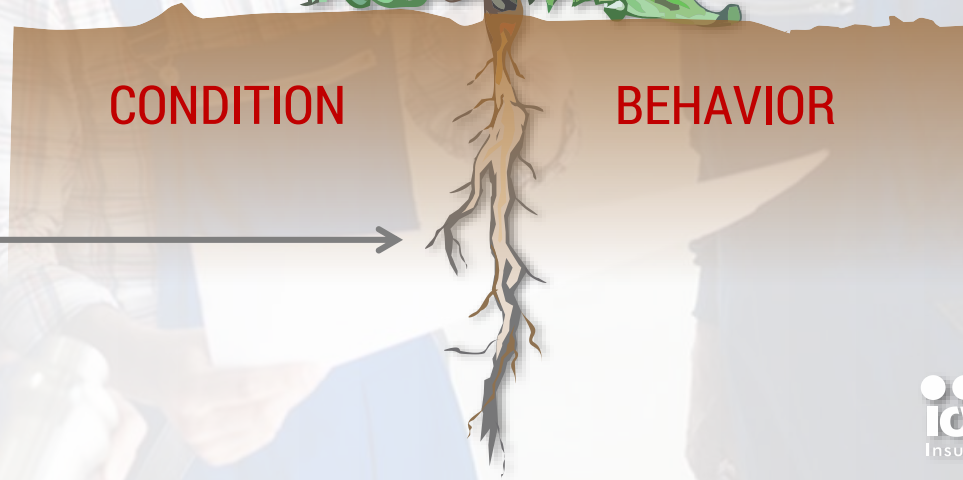
Direct cause: what directly produced injury or illness

Worker cut off finger →
- Not using a push block for table saw



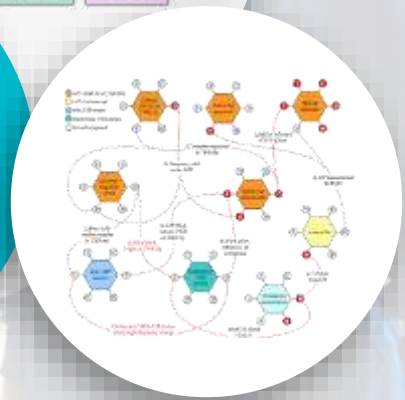
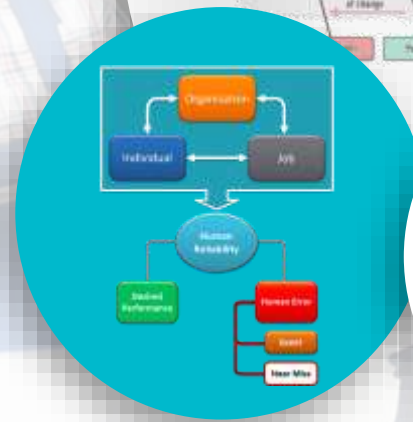
Root cause: common trend leading to conditions

- Company doesn't own a push block
- Employees not encouraged to observe & report
- General culture is to use regardless of missing safety guards, etc.



Investigation Techniques

- The 5 Why's
- Fishbone Analysis
- Event and Causal Factors Analysis
- Multilinear Events Sequencing
- Project Evaluation Tree
- Combination of above



Root Cause Form

- Dig deep to get to cause
 - Equipment
 - Environment
 - People
- Suggests corrective actions
- Add your plan

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STEP UP TO A SAFER WORKPLACE
Root Cause Investigation Form

Dig deep to get to the cause, ID# _____
Complete to uncover the root cause of incidents and accidents. Review the possible corrective actions and add your own plan.

Yes? # Section Description

Part 1 – Equipment was a contributing factor.

A flow completion diagram is located for Part 1.

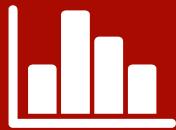
Issue	Preventive/Corrective Action	File #/Date
<input type="checkbox"/> 1.1 Defect in equipment, tool, material contributed to hazardous condition.	Review procedures to inspect, report, maintain, repair, replace, & recall defective equipment.	
<input type="checkbox"/> 1.2 Hazardous condition was recognized but not reported.	<ul style="list-style-type: none">• Train employees & stress individual accountability.• Review job procedures for hazard recognition and avoidance.	
<input type="checkbox"/> 1.3 Inspection procedure not in place to detect hazardous conditions.	<ul style="list-style-type: none">• Develop & adopt procedure to detect hazardous conditions.• Conduct tests regularly.	
<input type="checkbox"/> 1.4 Existing inspection procedure did not detect hazardous conditions.	Review, improve procedures.	
<input type="checkbox"/> 1.5 The incorrect equipment, tool or material was used.	Specify correct equipment, tool or material in job procedures.	
<input type="checkbox"/> 1.6 Correct equipment, tool or material not readily available.	<ul style="list-style-type: none">• Provide correct equipment, tools, or material.• Review purchasing specs, procedures.	
<input type="checkbox"/> 1.7 Employees don't know where to obtain equipment, tools or material required for the job.	<ul style="list-style-type: none">• Review procedures for storage, access, delivery or distribution.• Review job procedures for obtaining equipment, tools and material.	
<input type="checkbox"/> 1.8 Substitute, incorrect equipment, tools, materials used.	<ul style="list-style-type: none">• Provide correct procedure, equipment & material.• Warn against substitutions.	

Root Cause Investigation of the West | Employee Wellness Company | Medical Insurance Company
www.icwgroup.com | 800.877.7373

1



03



Report

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Report

- Evaluate for incident, accident and injury trends to focus efforts
- Download all applicable claims from icwgroup.com/pc
 - Select your state

Report

- Complete forms
- Send **ASAP** to ICW Group
 - Phone (easiest!)
 - Email, Mail, Fax
- Create incident log for non-reportable incidents

04



Act

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Trend Analysis

- Evaluate incident & injury trends to focus efforts
- Use 300 forms, incident logs & reports, inspection reports, etc.
- Analyze entity, facility, time, job, etc.
- Ask RM consultant!



Take action!

- Make corrections needed
- Discuss incident prevention
- Solicit employee ideas (previous webinar – engage!)

04

Act



05



Follow-up

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Follow-up

- Did correction work?
- What is outcome?
 - More problems?
 - Solved?
- Continuously monitor (MORE – Observing, monitoring, etc.)



Be ready when accidents happen

05
Follow-up


- Write clear policy statement
- Identify who notifies outside agencies
- Designate who investigates accidents
- Train accident investigators
- Establish investigation timetables
- Identify who receives report
- Take corrective action

5 STEPS to Accident Investigation SUCCESS!

01
Investigate



02
Analyze



03
Report



04
Act



05
Follow-up



Activity for after this Webinar

Review last “incident” at your company. After correcting main issue, which action did you find most effective?

- **Involving staff in solution**
 - such as soliciting ideas for corrections
- **Follow-up meeting discussion**
 - such as ways to prevent future incidents
- **Employee engagement**
 - communications, posters, training, other activities
- **Celebrating your solutions and reduced loses**
 - communications, involve workers in achievement

YOUR S.T.E.P. UP SAFETY RESOURCES

Visit the Policyholder Center!

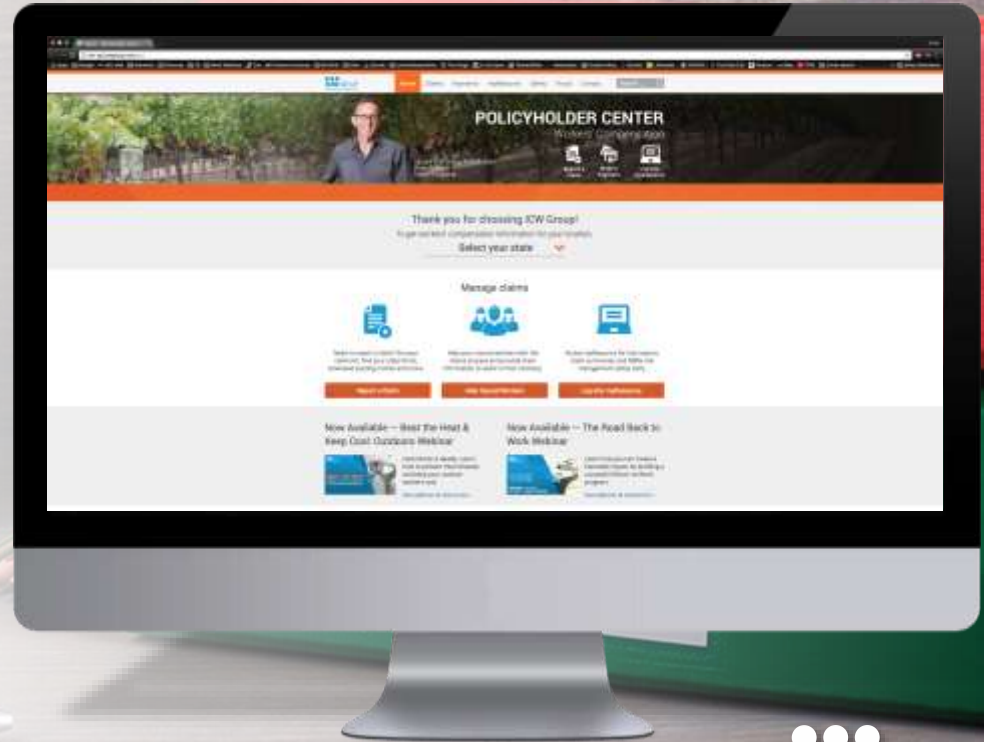
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Policyholder Center

- Claims kit
- Payments / Payroll
- Injured Worker Resources
- Fraud
- Safety > Webinars



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Policyholder Center

After webinar find:

- Forms
 - Accident Investigation
 - Root Cause Investigation
- New section for “STEP UP” Safety Manager’s Workbook
 - 5 Steps to STEPS UP Accident Investigations

icwgroup.com/step-up



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TO A SAFER WORKPLACE

1

STEP UP To Safety Management

2

Do “MORE” to STEP UP Your Safety Programs

3

STEP UP Your Accident Investigations

4

STEP UP to a Better Safety Culture

5

“PLAN” to STEP UP Safety Programs



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For the **Series Certificate**,

- Watch for **Exit Survey** after this presentation
- List those at your company who attended with you!

Missed the first part of the series? View on-demand at:

icwgroup.com/step-up



Questions?

riskmanagement@icwgroup.com

Thank you!

Webinar series & materials:
icwgroup.com/STEP-UP