



**City Of Round Rock**

**Accident Investigation Procedure**

**Revised 3/23/15**

**A primary tool used to identify and recognize the areas responsible for accidents is a thorough and properly completed accident investigation. It adequately identifies the cause(s) of the accident or near-miss occurrence.**

All accidents, incidents, or near misses will be investigated no matter how minor. Minor accidents/incidents probably may not require a long in-depth investigation. However, at the least, the cause, trends and preventive measures need to be determined

**I. Accident Investigation policy:**

City policy states: All accidents, incidents, near misses, unusual occurrences, and environmental events shall be reported, recorded, and investigated.

**II. Accident & Injury Reporting:**

All accidents/incidents must be reported using the City of Round Rock Incident Report which is available on the Human Resources webpage. This completed form should be forwarded to Risk Management and will be used by safety staff to assist them in eliminating hazards and preventing similar accidents. The supervisor will fill out sections 5c thru 6 of the incident report. The accident investigation checklist may be used to help with the investigation. Your final findings may be put in a memorandum format.

**III. Goal:**

Ensure that the Department's accident/incident investigation system is being utilized and incident/accident circumstances are analyzed, evaluated and strategies are developed to prevent recurrence.

**IV. Objective:**

- Investigate any incidents/accidents, including near misses, medical injuries and illnesses.
- Identify causal factors (i.e., environment, behavior, practices) of loss.
- Analyze and evaluate causal factors noted in incident reports and recommend corrective action.
- Increase the knowledge, skill and ability of managers/supervisors in conducting thorough and quality accident investigations.
- Protect health & safety of all employees.
- Spot trends.
- Make changes to enhance operations and improve morale.
- Create awareness.

**V. Procedures:**

- Seek medical attention if needed.
- Shut down operations at the accident site.
- Secure the scene.
- Don't move any equipment.
- Make a diagram of the area.
- Take a minimum of three pictures of the area.
- Get witness statements from everyone involved.
- Put your initial findings on the incident report form.

- The accident investigation checklist may be used to assist with the investigation.
- Once you have the final report a meeting can be held with the injured worker, the crew or the staff, and all supervisors/managers in the division or department, Department Director, Risk Manager and Safety Coordinator as needed. Go over your findings and recommendations based off your investigation. This should be done seven days after the accident. *Note: this is not always necessary for minor accidents/incidents unless a trend is detected. At the least, conduct your investigation and share your findings and recommendations with the involved parties.*

#### **VI. How to investigate an accident/incident:**

1. Prompt Reaction and Response
  - A timely accident investigation is critical.
  - Once the injured parties have received medical attention, the investigation process should begin.
  - In the case of incidents without injuries, the investigation should begin as soon as the scene is secured.
2. Interviews
  - Fact-finding, not fault-finding
  - Obtain accurate information
  - Ask open-ended questions
3. Documentation and Records
  - Training Records
  - Safety Meeting Records
  - Maintenance Schedules
  - Previous Incident Reports
4. Additional Factors
  - Time of shift
  - Time constraints
  - Morale
  - Inadequate staffing
  - Changes in operations

#### **VII. Accident Investigation steps:**

Determine the following when conducting an accident investigation:

1. Who-was involved
2. What-happen and equipment involved.
3. When-did it happen
4. Where-location of the accident.
5. Why-did it happen
6. How-can we prevent the accident from happening again

#### **VIII. The following questions should be asked when conducting an accident investigation:**

1. What was the employee doing at the time of the accident?
2. Was the employee qualified to perform this operation?
3. Were proper procedures being followed?

4. Is the job or process new? Had the employee received training on this operation prior to the accident?
5. Were proper tools or equipment being used?
6. Was the proper supervision being provided?
7. What was the location of the accident?
8. What was the physical condition of the area when the accident occurred? For example, was the temperature of the area hot or cold; if outside, was it wet or muddy; was there debris in the area, was the area clear, etc.?
9. What were witnesses doing at the time of the accident?
10. What immediate or temporary action could have prevented the accident or minimized its effect?
11. What long-term or permanent action could have prevented the accident or minimized its effect?
12. Did any unsafe act contribute to the cause of the accident? If so, is any disciplinary action being recommended?
13. Had any disciplinary action been taken with this individual for unsafe acts in the past?

**Once you have completed your investigation, prepare an investigation summary of findings and recommendations.**

**IX. Things to remember:**

- Don't rush your investigation.
- Ask for assistance if you need it.
- The Risk Manager or Safety Coordinator may conduct their own inquiry or investigation into the accident or incident.

**We want accident prevention not accident investigation!**

**Kevin Vaughn  
Safety Coordinator**

# Accident Investigation Checklist

DEPARTMENT /INVESTIGATOR:

INVESTIGATION DATE AND TIME:

<b>Who was involved-</b> <i>Names of injured/ill employee(s)/witnesses/people early on the scene?</i>
<b>What was being done at the time and what happened?</b>
<b>When-</b> <i>The time and conditions?</i>
<b>Where?</b>
<b>Why-</b> <i>Unsafe act, equipment failure, lack of training, etc.?</i>
<b>How-</b> <i>What actions to take to prevent accident from happening again?</i>

**Finding and recommendations:**

Signature: \_\_\_\_\_ Date: \_\_\_\_\_