



Winnipeg Regional
Health Authority

Office régional de la
santé de Winnipeg

Injury / Near Miss (INM) Investigations

**Injury Near Miss Process - Creating a
Corrective Action for an Injury/ Near Miss**

The Cause and The Plan

What is an Indirect Cause and the Corrective Action Plan? OESH has received this question many times and this will clarify for you. Even with a safety program, a workplace safety and health committee, safety policies, and safe work procedures, incidents still occur.

- If an incident occurs, then you as the Manager or Supervisor need to investigate to find out how or why the incident happened (known as the **Incident Investigation**).
- You need to determine, what in your safety program did not work and thus caused an incident to occur
- For this you will need to know, what directly (**direct cause**) caused the incident, was there any contributing factors (**indirect cause/s**) that lead up to the incident
- What will need to be done to prevent a reoccurrence (**corrective action plan**) of the incident

What is an Incident/Near Miss (INM) Investigation?

What is the purpose of an Incident Investigation?

- To find out the **Direct and Indirect Cause** of an incident and to prevent similar incidents in the future.

Direct Cause

- Direct Cause is defined as **the immediate cause which triggered the incident.**
- **If a person misses an appointment because their car would not start, then the car's failure to start would be the Direct Cause of them being late.** Although there may have been any number of underlying causes for that failure (**Indirect Cause**) such as poor maintenance, no gas, dead battery, weather, etc.

Indirect Cause

- IMPORTANT- An **Indirect Cause** is any factor which contributed to the incident occurring.
- Those substandard acts, procedures and conditions that set the stage for the incident.

Indirect Cause Reference Sheet Examples

Those substandard acts, procedures and conditions that set the stage for the incident.

People	Material	Environment	System	Work Process
Failure to follow procedure	Inadequate guards or barriers	Noise	Policies/Procedures	Work Flow Design
Training/Experience	Labelling	Visibility/Illumination	Plans/Written Instructions	Worker selection, work procedures
Failure to Lockout/Tag out	Inadequate PPE	Toxic Gases, fumes, dusts	Legislation/Best Practices	Production pressure
Removing Safety Devices	Substandard Materials	Weather	Standards and Specifications	Lack of control over work pace
Using defective equipment	Defective Tools/Equipment	Temperature	Notices of Contravention	Controls and safety devices on equipment
Supervision/Leadership	Equipment Failure	Chemical/Biological	Lack of Inspections	Improper/No Lockout
Unsafe Work Practices	Engineering, Design, Purchasing	Awareness of surroundings/ changing conditions	Inadequate resources allocated to health and safety	Availability of appropriate tools and materials
Failure to use PPE	Machine Design	Workplace overcrowded, awkward/static postures	Safety precautions	Maintenance
Authority to operate equipment	Right tool for task	Normally safe work procedure unsafe	Inadequate Training	New/Modified Procedures
Failure to warn/secure	Hazardous substance	Time of day/shift/week	Inadequate Orientation	Housekeeping
Rushing	Not used according to operating instructions	Walking Surfaces	Inadequate Supervisor	Work Area
Improper lifting	Wrong vehicle, machinery, equipment, material used	Ventilation	Abuse/misuse	Ergonomics

What is a Corrective Action Plan?

A **Corrective Action Plan** is developed to achieve targeted outcomes for resolution of identified contributing factors (direct and indirect causes) and put into place a plan which will prevent a reoccurrence.

- Why is Corrective Action important?
- Corrective Actions are necessary because an incident has occurred. Therefore, using problem-solving techniques can help get to the bottom of the issue and make a solid plan moving forward.
 - **i.e. mopping floors and there is a slip**
 - Corrective action - ensure wet floor signs are always in place

Using the 5 Whys in INM Investigations

- Using the 'Five whys' approach can help to identify the root causes of an Injury/Near Miss.
- By asking 'Why?' up to five times, you can investigate the root causes of an incident and identify actions to prevent an incident from happening again.
- This technique aids in making a Corrective Action Plan.

INM Summary

- You have received an INM indicating a worker has slipped on some water while entering the facility.
- OESH Safety Specialist has sent you a Corrective Action Investigation form to complete.

Potential Investigation Questions

The Five WHY's

- Why was the worker injured?
 - The worker slipped and fell
- Why did the worker slip?
 - There was water on the floor
- Why was there water on the floor?
 - The floor was recently mopped
- Why did worker step in the water?
 - No wet floor signage in place
- Why wasn't wet floor signage in place?
 - All signage was in use elsewhere

Direct and Indirect Causes

- Based on your five questions, and your INM summary:
 - What was the direct cause of this incident?
 - Were there any contributing factors (indirect cause)?
- **Direct cause:**
 - Floor was wet
- **Indirect causes:**
 - No signage, recent mopping of the floor, worker inattentive

SUPERVISOR CORRECTIVE ACTION / INVESTIGATION FORM - 2		
It has been determined that this incident requires investigation and implementation of corrective/preventive action/s to prevent the recurrence of a similar incident. Please reference the INM Summary for this incident when completing this form, as it contains the details of the incident as reported by the employee involved as well as any initial supervisor's comments supplied to OESH during the initial information gathering phase for the following incident.		
Employee Name:	OESH File #:	Incident Date:
OESH SPECIALIST		
Name:	Position:	
Phone:	Email:	
INSTRUCTIONS:		
Complete and document your investigation below. Determine Indirect Cause(s) of the incident on page 2. On page 3 outline your corrective/preventive actions for each Indirect Cause, your plan of action and communication then return the completed form as instructed at the end of the form.		
<i>What is corrective/preventive action? It is not first aid or medical attention. A corrective action means a situation has been re-instated to its original state. For example, mopping a floor and placing a wet floor sign is not a corrective action. A preventive action will put into place arrangements which will prevent a recurrence, to stop the floor from being wet in the first place.</i>		
SUPERVISOR INVESTIGATION DETAILS – Outline steps in your investigation including specific details of the incident		
Was employee working multiple consecutive shifts? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown		
Length of total consecutive shift/s (hrs)?	Number of consecutive days worked prior to incident?	
COMMUNITY SECTOR ONLY - TEAM MANAGER INVESTIGATION DETAILS – Review information presented in this document and provide additional details / direction not covered/explained by SUPERVISOR INVESTIGATION DETAILS above.		
For Home Care Team Manager: <input type="checkbox"/> Awareness <input type="checkbox"/> Comment and Follow-Up		
OESH SPECIALIST COMMENTS/SUGGESTIONS		
SAFETY COMMITTEE CO-CHAIR INVESTIGATION COMMENTS / NOTES (IF APPLICABLE)		

You should have received an INM Summary and the Corrective Action Investigation Form.

How To Complete This Form

- Employee name and information will be filled in from OESH.
- After you have done your investigation, is there any information you found that is not covered in the indirect cause check boxes?
 - In Community does the Team Manger need to review or do they need to follow up?
- ← **Are there suggestions from OESH Specialist?**

INDIRECT CAUSE(S) – An Indirect Cause is a factor which contributed to the incident occurring. PLEASE CHECK ALL THAT APPLY	
Task - The actual work procedure being used at the time of the incident. Review steps; method of performing; any change to the normal method; limitations; how/why it's done that way.	Patient/Resident/Cient/POI Factors – Review how human factors impacted the incident.
	Heavy/bariatric – Weight:
Communication issues	Family / Person of Interest factors
Did not follow designated procedure	Inconsistently weight bearing
Did not use designated equipment	Moved unexpectedly
Emergency Response	Noncompliance to WRHA Policy /Safe Visit Plan
Improper technique/body mechanics	Other Patient Factors
Insecure Grip	Patient fell
Other task related	Physically aggressive/resistive/violent
Patient not assessed or assessed improperly	Suddenly fatigued
Repetitive Work	Unable to/does not follow direction
Static postures for extended periods	Verbally aggressive
Tool/Equipment used improperly	Underlying Human Factors
Unable to follow designated procedure	Alcohol/drug related
Equipment/Materials - Review the condition and design of equipment/materials and how they are used e.g., body positions to work and demands such as repetitive work.	Dementia
	Emotional response (anger, frustration, etc.)
Design of equipment/materials	History of violent behaviour
Labelling/signage inadequate	Medication reaction
Load not secured	Mental Health Condition
Machine guarding/safety devices disabled	Pain (chronic/acute/unrelieved)
Machine guarding/safety devices removed	Staff Related
Not available	Emotionally unable to perform task
Not functioning properly	Inappropriate footwear
Not regularly maintained	Information not available/shared
Other - General	Insufficient # education/training
Other equipment/material related	Insufficient # of staff performing task
Personal Protective Equipment not available	Insufficient experience
Personal Protective Equipment not used	Other staff related
Work Environment - The physical workplace environment as well as sudden change to that environment. The situation at the time of the incident, not what the "usual" conditions were.	Physically unable to perform task
	Rushed/Distracted
Cleanliness of area	Safe Work Procedure/Care Plan not available
Floor/walkway – obstacle on	Safe Work Procedure/Care Plan not followed
Floor/walkway slippery	Staff fatigue
Floor/walkway uneven	Working alone or in isolation
Hazardous gas, dust, fumes present	Organizational/Administrative
	Hazard/risk not previously corrected
Lighting inappropriate	Hazard/risk not previously identified
Limited space/overcrowding	Information not available/shared
Neighbourhood concerns	Normal staffing but unusual workload
Noise	Other Organizational/Administrative
Other work environment related	Previous corrective action inadequate
Too hot/cold	Previous corrective action not implemented
Ventilation inadequate	Reduced Staffing at time of incident
Weather	Safe work procedures/Care plan not enforced
Workplace Design/Layout	Written procedures/orientation unavailable

How To Complete This Form

This is where you will check off those standard acts, procedures, and conditions which may have contributed to the incident.

CORRECTIVE/PREVENTIVE MEASURES – PLAN OF ACTION AND COMPLETION PLAN				
There should be a corrective/preventive action for each indirect cause identified.				
Corrective/Preventive Action	√	Target Date	Person Assigned	Date Completed
Administrative process creation/update				
C.A.R.E. Alert activation and care plan				
Consult Housekeeping				
Consult Infection Prevention & Control				
Consult Facility Management				
Consult OESH				
Consult Patient Safety & Quality				
Consult Security				
Employee Training/Education				
Equipment Purchase				
Falls reassessment				
Improve Design				
Install Guards/Safety Devices/Signage				
Organize/declutter area				
Patient Care Plan Revision				
Patient handling reassessment				
Repair/Replace Equipment				
Revise Procedure (includes PPE)				
Safe Work Procedure creation/update				
Safe Work Procedure enforcement				
SAFT and SVP Update				
Other: Please Specify				
Description of Corrective Action: <i>Optional</i> if the above check list captures your Corrective Actions. This field is intended to provide additional detail not captured by the Corrective Action checklist above.				
Communication of Corrective/Preventive Measures to Staff – Plan of Action and Completion Plan				
√	Method	By (name)	Date	
	Discussion with staff			
	Email/Mail to Staff			
	Report to Workplace Safety & Health Committee			
	Posting on bulletin board			
	Posting of Workplace Safety & Health Committee Minutes			
	Other: Please Specify			
ONCE COMPLETED, SAVE THIS FORM AND RETURN BY EMAIL TO OESH SPECIALIST				
Date Corrective Investigation Action Form received from Supervisor:				

How To Complete This Form

This is where you are going to check off your corrective action plan. If there isn't a box that matches your plan, you will write your plan in the "Other" box.

All of this is to prevent a reoccurrence of the incident.

You will also check off how did you communicate your corrective action plan to the worker.

What Did We Learn

- Your indirect causes are not what directly happened but guides you to ask, was there any situational factors which may have contributed to the incident?
- What types of questions might you ask during your INM Investigation (remember the 5 'whys')?
- For all Direct and Indirect Causes there should be a Corrective Action.

Thank You !

Please contact your OESH Specialist if you have any questions.