



Incident Investigation

Environmental Health and Safety

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Appendix 1 – Guidelines for Federal/Local/State Authority Inspections

Below are guidelines when federal, local, or state authorities conduct an inspection related to an incident on Northwestern property:

- A. Cooperate with compliance officers during inspections, and always act in a professional, businesslike manner.
- B.

Appendix 2 – Information Collection Questions

<p>Who was injured? Who saw the incident? Who was working with the employee? Who had instructed/assigned the employee? Who else was involved? Who else can help prevent recurrence?</p>	<p>Where did the incident occur? Where was the employee at the time? Where was the supervisor at the time? Where were fellow workers at the time? Where were other people who were involved at the time? Where were witnesses when the incident occurred?</p>
<p>What was the incident? What was the injury? What was the employee doing? What was the employee told to do? What tools was the employee using? What machine was involved? What operation was the employee performing? What instructions had the employee been given? What specific precautions were necessary? What specific precautions was the employee given? What protective equipment should the employee have been used? What protective equipment was the employee using? What had other persons done that contributed to the incident? What problem or questions did the employee encounter? What did the employee or witnesses do when the incident occurred? What extenuating circumstances were involved? What did the employee or witnesses see? What will be done to prevent recurrence? What safety rules were violated? What new rules are needed?</p>	<p>Why was the employee injured? Why and what did the employee do? Why and what did the other person do? Why wasn't protective equipment used? Why weren't specific instructions given to the employee? Why was the employee in the position? Why was the employee using the tools or machine? Why didn't the employee check with the supervisor when the employee noted things weren't as they should be? Why did the employee continue working under the circumstances? Why wasn't the supervisor there at the time?</p>
<p>When did the incident occur? When did the employee start that job? When was the employee assigned the job? When was the employee made aware of the hazards? When was the employee's supervisor last check on the progress of the job? When did the employee first sense something was wrong?</p>	<p>How did the employee get injured? How could the employee have avoided it? How could fellow workers have avoided it? How could supervisor have prevented it; could it be prevented?</p>

Appendix 3 – Example Inquiries to Identify Contributing Factors

Appendix 4 –