

Implementation Guideline for CSA Z1005, Workplace incident investigation



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Preface

This is the first edition of CSA Z1005.1, *Implementation Guideline for CSA Z1005, Workplace incident investigation*.

The primary objective of this Guideline is to provide small, medium, and large organizations with guidance on how to best apply CSA Z1005.

CSA Group acknowledges that the development of this Standard was made possible, in part, by the financial support of the Canadian Association of Administrators of Labour Law — Occupational Safety and Health (CAALL-OSH), including Provincial and Territorial Governments, as well as the Government of Canada. CSA Group is solely responsible for the content of this Standard, and CSA Group and the funding bodies disclaim any liability in connection with the use of the information contained herein.

This Guideline was prepared by the Technical Committee on Incident Investigation and Prevention under the jurisdiction of the Strategic Steering Committee on Occupational Health and Safety, and has been formally approved by the Technical Committee.

This Guideline has been developed in compliance with Standards Council of Canada requirements for National Standards of Canada. It has been published as a National Standard of Canada by CSA Group.

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 - d) *rationale for the change.*

CSA Z1005.1:21

Implementation Guideline for CSA Z1005, Workplace incident investigation

0 Introduction to this Guideline

0.1 Background

This Guideline has been developed to provide small, medium, and large Canadian organizations with advice on how to best apply CSA Z1005. Despite an ongoing and increasing focus on occupational health and safety in Canada, there were 1027 work-related fatalities and over 264 000 lost-time incidents in 2018 (AWCBC, 2020), with countless other injuries and incidents that could have led to injury.

This Guideline may be incorporated into an existing occupational health and safety management system (OHSMS) or used independently by an organization to proactively and systematically plan for and respond to incidents. Where systems are already in place, it is important that an incident investigation and prevention program integrate and align to the goals of the overall system.

Workplace incident investigation legislation differs from jurisdiction to jurisdiction in Canada. It is the user's responsibility to determine how applicable legislative requirements relate to this Guideline.

0.2 Guiding principles of successful incident investigation and prevention

CSA Z1005 does not endorse any one particular method or investigative program, but sets out the required elements the Technical Committee deemed necessary to properly complete an investigation.

Modern investigation theory recognizes that incident causal and contributing factors are often unrecognized organizational conditions that result from established procedures or normal conditions of operations. To fully understand these interactions, investigation teams should attempt to understand what process and decisions ultimately led to the conditions that resulted in the incident.

To that end, the process set out in the Standard is not intended to drive the investigation team to a single overall root cause, but rather, to ensure the investigation team considers all the causal and contributing factors to improve the overall safety of the organization. To ensure the success of the organization's investigation process, the investigation program must be in place before an investigation is needed.

For this Guideline, the following principles should be applied to the process of incident investigation:

- a) legislated incident investigation requirements are a minimum standard of practice;
- b) incident investigation provides the greatest opportunity for improvement when it is used as a tool for prevention and learning;
- c) it is preferable to use hazard identification, risk assessment, and control principles proactively or early in the design of a work system, rather than use incident investigation to solve issues afterwards;
- d) a systems approach identifies and determines the influence of the workplace system on the occurrence of the incident (see Annex F of this Guideline);
- e) worker participation is essential to the success of incident investigation and prevention;