

Workplace incident investigation



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Preface

This is the second edition of CSA Z1005, *Workplace incident investigation*. It supersedes the previous edition, published in 2017 under the title *Incident investigation*.

The major changes to this edition include the following:

- a) definitions have been updated to align with the terminology found in CSA Z45001;
- b) the requirements of an incident investigation planning program (Clause 4.4.1) have been updated;
- c) the previous Clause 5 has been removed and the content revised and added to Clause 4.4.1 and Clause 6; and
- d) the informative Annex material has been revised and moved to CSA Z1005.1.

CSA Z1005 adheres to management system principles, such as those set out in CSA Z1000, *Occupational health and safety management*. Use of Z1005 is not contingent on an organization having an occupational health and safety management system (OHSMS); however, it does specify a Plan-Do-Check-Act cycle to ensure that management system deficiencies are identified and addressed.

CSA Z1005 also complements CSA Z1002, *Occupational health and safety — Hazard identification and elimination and risk assessment and control*. When hazards are identified and eliminated, and when risk is assessed and controlled in accordance with the principles in CSA Z1002, then the number of work-related incidents can be reduced or prevented. CSA Z1005 encourages the use of these investigative principles as a prevention tool. Principles in this standard are designed to be used before, during, or after an event to effectively respond to, or ideally, proactively eliminate, that event, similar events, or other safety deficiencies identified during the investigation, taking investigative principles beyond the traditional approach. The principles of this Standard are intended to be scalable.

CSA Z1005.1, *Implementation Guideline for CSA Z1005, Workplace incident investigation*, was developed as a companion document that provides advice on how to best apply this Standard.

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 Standard 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 Standard 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.

Notes:

- 1) *Use of the singular does not exclude the plural (and vice versa) when the sense allows.*
- 2) *Although the intended primary application of this Standard is stated in its Scope, it is important to note that it remains the responsibility of the users of the Standard to judge its suitability for their particular purpose.*
- 3) *This Standard was developed by consensus, which is defined by CSA Policy governing standardization — Code of good practice for standardization as “substantial agreement. Consensus implies much more than a simple majority, but not necessarily unanimity”. It is consistent with this definition that a member may be included in the Technical Committee list and yet not be in full agreement with all clauses of this Standard.*

- 4) To submit a request for interpretation of this Standard, please send the following information to inquiries@csagroup.org and include "Request for interpretation" in the subject line:
- a) define the problem, making reference to the specific clause, and, where appropriate, include an illustrative sketch;
 - b) provide an explanation of circumstances surrounding the actual field condition; and
 - c) where possible, phrase the request in such a way that a specific "yes" or "no" answer will address the issue.

Committee interpretations are processed in accordance with the CSA Directives and Guidelines governing standardization and are available on the Current Standards Activities page at standardsactivities.csa.ca.

- 5) This Standard is subject to review within five years from the date of publication. Suggestions for its improvement will be referred to the appropriate committee. To submit a proposal for change, please send the following information to inquiries@csagroup.org and include "Proposal for change" in the subject line:
- a) Standard designation (number);
 - b) relevant clause, table, and/or figure number;
 - c) wording of the proposed change; and
 - d) rationale for the change.

CSA Z1005:21

Workplace incident investigation

0 Introduction

0.1 General

This Standard is designed to be used with related occupational or technical standards. It is intended to be referenced by other Standards as the primary set of requirements for the management of occupational health and safety incident investigation and prevention.

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

While not specifically addressed in this Standard, some incidents might require a regulatory or criminal investigation by the authority having jurisdiction. In these instances, the organization needs to be aware that all data captured through the course of the investigation could be considered evidence in a regulatory enforcement or criminal proceeding. Organizations need to be aware of any legislation that could apply, or local authorities that need to be notified.

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 Standard.

0.2 Guiding principles of successful incident investigation and prevention

This Standard is based on the following guiding principles:

- 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 CSA Z1005.1, Annex F);
- e) worker participation is essential to the success of incident investigation and prevention;
- f) effective investigations analyze all possible potential contributing workplace factors, and analyze how those factors influenced the outcome and present findings and recommendations as an opportunity to learn and prevent further occurrences or to improve the practices and processes within the organization; and
- g) the effectiveness of an IIPP is maximized when it is integrated into the organization's OHSMS, where one exists.

0.3 Organization of this Standard

This Standard specifies requirements for and provides guidance on the activities required to manage all aspects of incident investigation in accordance with the Plan-Do-Check-Act cycle and management system principles, such as those set out in CSA Z45001.