

## Incident and Corrective Action Report

Complete this form for serious incidents and near misses, as requested by the Yale Office of Environmental Health and Safety (EHS). This form takes you stepwise through the accident investigation/Corrective and Preventive Actions Plan (CAPA) process to help prevent future incidents. Exposures, injuries and illnesses also need to be reported via <https://ogc.yale.edu/erm/reporting-accidentsinsurance-claims>.

Please contact EHS if you have any questions: (203) 785-3550. Additional documentation is welcome; please attach. The form should be completed by the Principal Investigator or supervisor, or his or her designee. The Principal Investigator or supervisor should review and approve the completed form before sending to EHS.

Principal Investigator/Supervisor	Incident date and time
Department	Incident location
Name of contact knowledgeable about the incident (e.g., individual involved or witness)	

### Step I: Gather Information about the Incident and Response

Incident description
Hazardous material(s) involved
Describe established procedure at the time of the incident
Training and experience of the individual involved
Personal protective equipment and other safety controls (e.g., glove box) in use at the time of the incident

Immediate response—describe what the affected individual, coworkers, and emergency responders did in response to the incident

Describe any exposure, injury, illness, emergency eyewash/shower use, fire extinguisher use, or environmental release

To whom was the incident initially reported? By whom? When?

## Step 2: Determine the Cause of the Incident

Findings from your investigation—why did the incident occur?

Was the established procedure being followed? Is the procedure in writing? Did the individual involved understand the procedure?

**Root Cause Analysis:** Identify one or more factors that, if removed, would have prevented the incident. Examples include equipment failure, failure to identify a hazard or adequately assess a risk, inadequate training, failure to execute or follow a procedure, fatigue, distraction, or excessive task-focus.

Root cause 1

Root cause 2

Root cause 3

Other associated, contributory or intermediary factors

### Step 3: Plan Corrective and Preventive Actions

Describe planned changes to reduce the likelihood of a similar incident in the future, and/or mitigate its impact, and/or speed response. In order of preference, risks should be managed by: eliminating the hazard; substituting a safer material or process; engineering controls (e.g., ventilation); administrative controls (e.g., SOPs, rules, training); or the use of personal protective equipment.

Corrective action—actions taken to remove the cause, remediate work area, and allow activities to resume
Preventive action—actions to prevent a potential recurrence
What advice would you give others to prevent a similar incident?
How can Yale and EHS help prevent a similar incident?

### Step 4: Implement Corrective Actions and Follow-up

Post-incident review, training or retraining—list instructor, dates and staff trained
Written procedures updated—include date
Progress/plans to implement other corrective and preventive actions—list dates

EHS may identify additional follow-up actions and is eager to work with you to implement corrective and preventive actions.

Date of this report
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Please submit completed form to EHS:  
ehs@yale.edu  
Yale University Office of Environmental Health & Safety  
135 College St., Suite 100, New Haven, CT 06510-2411