



# Practical Tips

## CONDUCTING AN INCIDENT INVESTIGATION

How should an investigation proceed? When conducting an investigation at your facility, it is important to be thorough and logical to capture all related data about the incident. Review the 10 steps outlined in the following paragraphs. You may include other steps to meet the unique needs and characteristics of your business.

Step	Explanation
<b>1. Provide Emergency Response</b>	<ul style="list-style-type: none"><li>• Notify 911, medical, fire, rescue as appropriate.</li><li>• Make sure that a timely first-aid response is available to injured employees.</li><li>• If off-site medical treatment is required, ensure that an employee accompanies those who might not be able to take care of themselves.</li></ul>
<b>2. Secure the Area</b>	<ul style="list-style-type: none"><li>• Get the big picture.</li><li>• Isolate the incident scene (rope, tape, guard, etc.).</li><li>• Lock out any machine that might have been involved.</li><li>• Do whatever it takes to prevent another occurrence while preserving all evidence for the investigation.</li></ul>
<b>3. Identify Potential Witnesses</b>	<ul style="list-style-type: none"><li>• Make a list of everyone who was involved in or might have witnessed the event.</li><li>• Look for all types of witnesses:<ul style="list-style-type: none"><li>○ Eye/ear witnesses</li><li>○ Others who might have any useful, factual information</li></ul></li></ul>
<b>4. Have the Necessary Investigative Tools Available</b>	<p>A pre-assembled kit might include:</p> <ul style="list-style-type: none"><li>• Camera and Film</li><li>• Video Camcorder</li><li>• Tape Recorder</li><li>• Measuring Devices</li><li>• Sample Containers</li><li>• Interview and Investigation Forms</li></ul>



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<b>4. cont.</b>	<ul style="list-style-type: none"><li>• Flashlight</li><li>• Barricade Markers</li><li>• Tape</li><li>• Tags</li><li>• Padlocks</li></ul>
<b>5. Procure Hard Evidence and Record Data</b>	<ul style="list-style-type: none"><li>• Collect, tag, record, and/or photograph all evidence that can or may be used for your investigation, such as materials, machine parts, tools, and equipment.</li><li>• Use appropriate forms, such as investigation reports.</li><li>• Work cooperatively with the supervisor and safety, health, and medical personnel in preparing necessary reports and records.</li></ul>
<b>6. Conduct Interviews</b>	<ul style="list-style-type: none"><li>• Ask interviewees to provide as much clear and specific information as possible.</li><li>• Ask open-ended questions.</li><li>• Avoid bias.</li></ul>
<b>7. Review Data</b>	<ul style="list-style-type: none"><li>• Look at inspection reports, maintenance reports, prior incident reports, and analysis.</li><li>• Identify patterns or trends.</li><li>• Analyze all data for completeness/accuracy.</li></ul>
<b>8. Prepare Incident Report(s)</b>	<ul style="list-style-type: none"><li>• Record key facts.</li><li>• Prepare the written report carefully.</li><li>• Share summaries of vital information with managers/supervisors and employees.</li><li>• Keep everyone informed.</li></ul>
<b>9. Conduct Causal Factor Analysis and Determine Corrective Action</b>	<ul style="list-style-type: none"><li>• Analyze facts.</li><li>• Determine root causes.</li><li>• Determine and implement corrective actions to eliminate root causes.</li></ul>



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## 10. Follow Up

- Follow up to ensure corrective actions that are decided upon are implemented by rules established for such action.
- Check on their accuracy and effectiveness during follow-up.
- Talk to people involved to ensure that necessary training was received and that the corrective actions work. Ask:
  - Are similar incidents still occurring?
  - What is the quality of supervision?
  - Are employees able to take individual action?