

Conducting an Investigation

Why investigate?

You should conduct an investigation to identify the root cause of an incident or injury. These findings will shape the control measures that are developed in the Action Plan, within **riskware**, to reduce the risk that a similar incident will occur.

Who should investigate?

Incident investigations should be conducted by Nominated Supervisors and other staff members who oversee the area that the incident occurred in. These staff members should have an understanding of the operational environment within the area such as practices, people, the tools and equipment used and the environment.

When to investigate?

All investigations should commence promptly after the incident and be completed within 72 hours. The investigation should be started as soon as possible to ensure the facts are clearer, more details are remembered, and the conditions reflect what was occurring at the time. The only time that there may be a delay is when the injured person is seeking medical treatment or if the injured person/witness is emotionally upset.

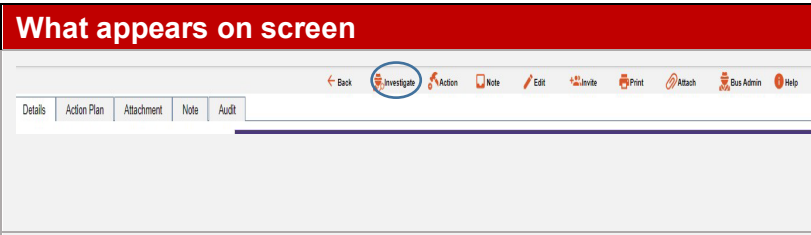
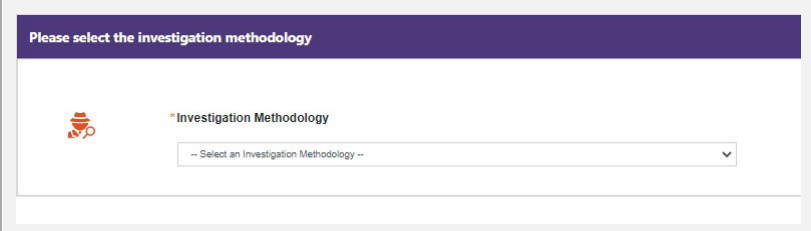
The investigation sequence

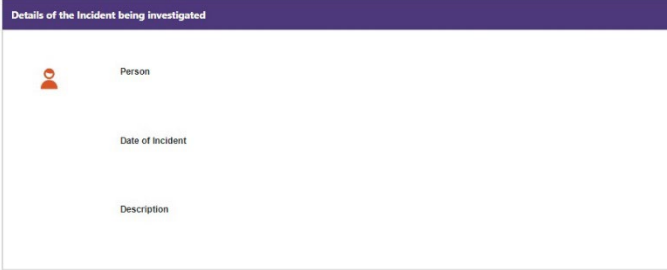
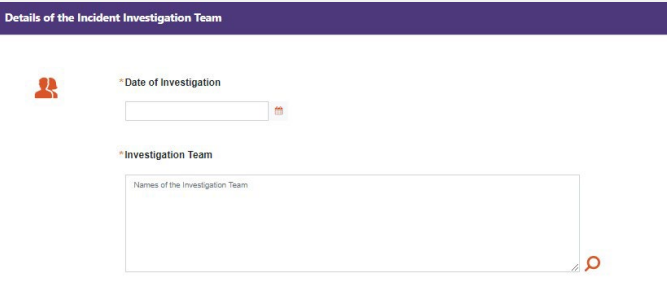
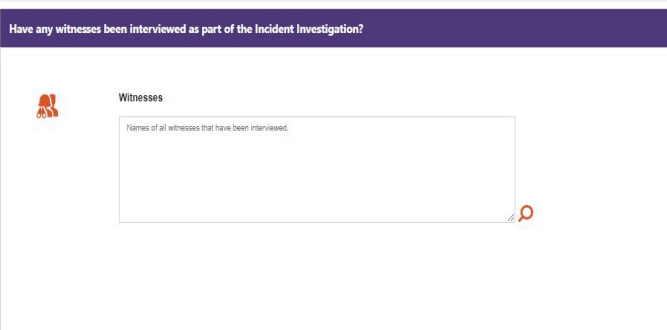

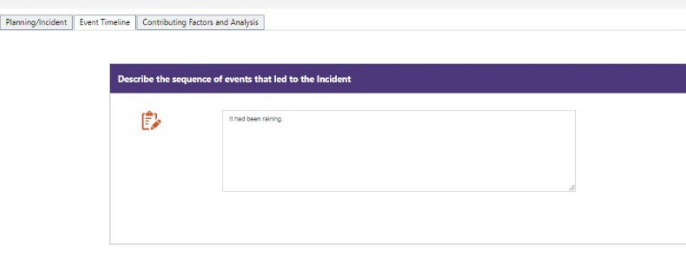
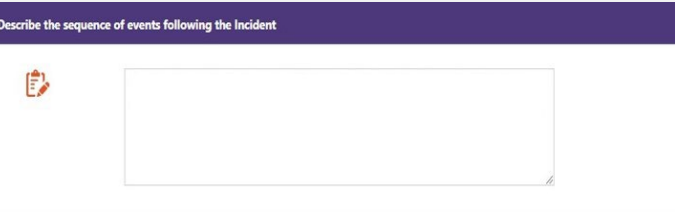
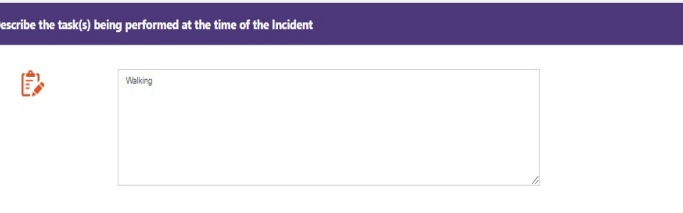

When an incident occurs you should identify what caused it (the Contributing Factors). ACU is committed to finding out the 'how' and 'why' to prevent it from happening again. All Contributing Factors should be identified, including the immediate and basic underlying causes. You should review the location of the incident, identify and interview the key people, document responses and gather supporting information to help identify these factors. You will be able to apply effective Control Measures (both short and long term) if you determine where and why the incident occurred.

At the end of the investigation, you should ask yourself, *'Will these corrective actions prevent this from happening again?'* If the answer is 'yes' then you are on the right track and if the answer is 'no' further investigation is required.

Entering the investigation details into riskware

The following steps will need to be completed for incidents (injuries, illnesses, property events and near misses):

What appears on screen	The information you should enter
	<p>Step 1: Click on 'Investigate'. Details of the incident being investigated have been pre-populated from the report which was submitted.</p>
	<p>Step 2: Please select the investigation model.</p>

What appears on screen	The information you should enter
	<p>Step 3:</p> <p>Enter the details of the Incident being investigated. This information includes the person, the date of the incident, and a description of the incident.</p>
	<p>Step 4:</p> <p>Enter the details of the Investigation Team. Ensure that your Investigation Team includes the person who was involved or reported the incident, their Nominated Supervisor and the relevant Health and Safety Representative (if available). Some investigations will require input from Facilitates Management or WHS staff, or subject matter experts.</p>
	<p>Step 5:</p> <p>Witnesses can provide valuable information which may assist in identifying the root cause of the incident.</p> <p>Enter the names, contact details and a brief descriptor of witnesses' relationship to the person who reported the incident and/or their involvement in the incident. You should establish what they observed/saw, heard, did.</p> <p>Click  to move to the next page.</p>
	<p>Step 6:</p> <p>Click on the second tab called 'Event Timeline.'</p> <p>Provide as much detail as possible to outline the sequence of events which led up to the incident.</p> <p>Establish the 'when, what, how and where' of the incident. You should take into account any abnormalities, environmental factors (lighting, equipment available etc).</p>
	<p>Step 7:</p> <p>Describe and enter the sequence of events and follow up actions which were taken following the incident. This will assist you to review and/or improve response processes such as first aid, emergency preparedness, etc.</p>
	<p>Step 8:</p> <p>The task that was being performed has been pre-populated into this field from the original report of the incident. However, if any further information has been obtained as a result of discussion/s with witnesses and your review of events, you should enter these details into this field.</p> <p>Click  to move to the next page.</p>

What appears on screen

Planning/Incident | Event Timeline | **Contributing Factors and Analysis**

Behavioural Causes (Behav)

- Equipment not maintained
- Equipment not used correctly
- Fatigue
- Hazards and risks not identified
- Hazards not removed from work area
- Inadequate preparation for emergencies
- Inadequate supervision
- Peerly maintained working/learning area
Procedures and Facilities have already been sorted out and have included they all apply a non-slip matting to the floor.
- Procedure not appropriate
- Procedure not followed
- Risk assessment not appropriate
- Stress
- Time pressure
- Training or instruction not sufficient
- Unqualified
- Working after hours
- Working alone
- Workplace inspections not conducted

The information you should enter

Step 9:

Click the tab called 'Contributing Factors and Analysis'.

Select whether any behavioural cause(s) were contributing factors to the incident. One or more factors may be selected.


Enter details into the 'free text' fields that have been ticked.

Physical Causes (Phys)

- Design of working/learning area not appropriate
- Equipment malfunctioning
- Equipment not appropriate
- Equipment not made available
- Equipment not used
- None of the above
- Personal Protective Equipment not used
- Physical
- Physical barriers or signage not erected
- Safety equipment not used
- Weather
Rain made them slippery.

Step 10:

Select whether there were any physical cause(s) of the incident. Multiple Contributing Factors can be selected.

Enter details into the 'free text' fields that have been ticked. Click on the  button to finalise the investigation and commence your riskware Action Plan. Your review of the incident should shape the Control Measures (treatments) that are entered into the plan.