

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 within an 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 within. 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. You should start the investigation as soon as possible to ensure that 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.

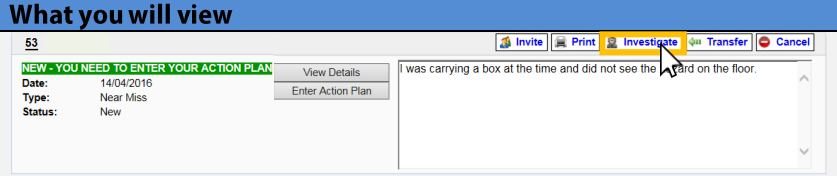
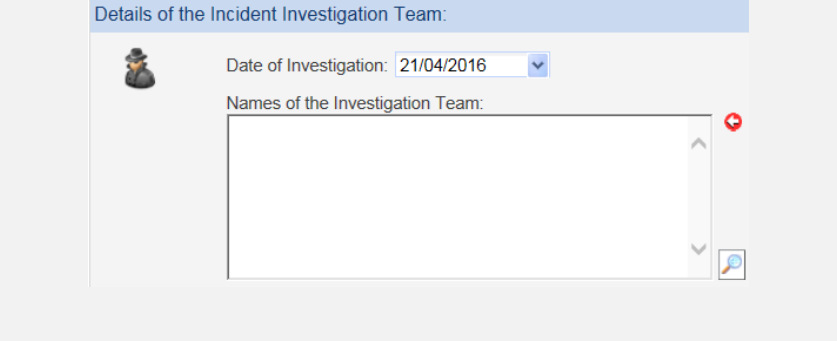
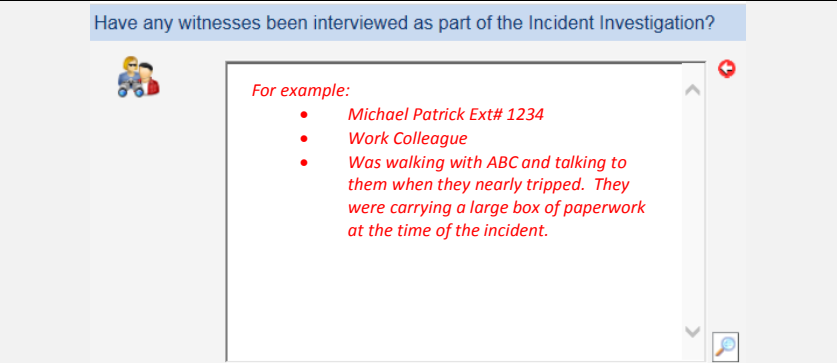

The Investigation Sequence

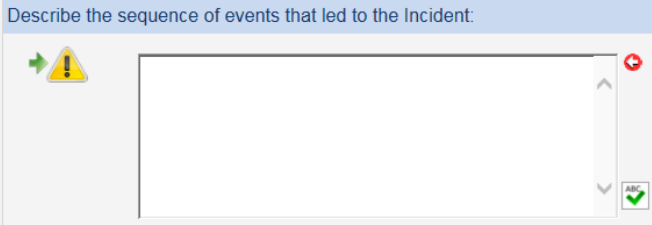
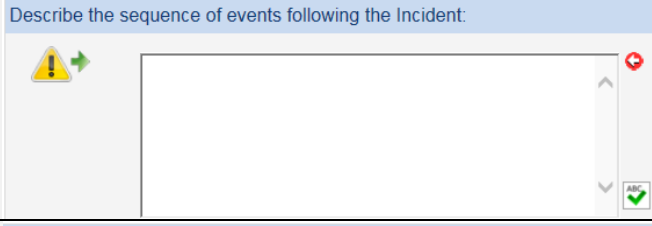
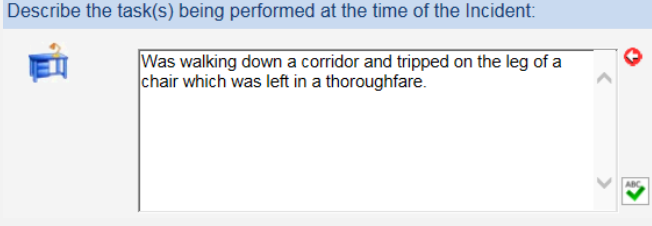




When an incident occurs you should identify what caused it (The Contributing Factors). ACU is committed to finding out the “how” and “why” to prevent it from happening again. All Contributing Factors should be identified, including the immediate and basic underlying causes. You should review the location of the incident, identify and interview key people, document responses and gather supporting information to help you 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 you will view	What information should be entered:
	<p>Click on ‘Investigate’</p> <p>Details of the incident being investigated have been pre-populated from the report which was submitted.</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 Facilities Management and/or WHS (HR) staff, or subject matter experts.</p> <p>Ensure that you enter the team member’s names, contact details and their position titles into this ‘free text’ field.</p>
	<p>Witnesses can provide valuable information which may assist you to identify 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, do.</p> <p>Click  Next to move to the next page.</p>

What you will view	What information should be entered:
<p>Describe the sequence of events that led to the Incident:</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 and how' and where it occurred. You should also take into account any abnormalities, environmental factors (lighting, equipment available and so on), etc.</p>
<p>Describe the sequence of events following the Incident:</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>Describe the task(s) being performed at the time of the Incident:</p> 	<p>The task that was being performed has been pre-populated into this field from the original report of an 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  Next to move to the next page.</p>
<div style="display: flex; justify-content: space-between;"> <div data-bbox="119 801 502 1193"> <p>Identify and select all the behavioural causes of the Incident:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Equipment not maintained <input type="checkbox"/> Equipment not used correctly <input type="checkbox"/> Fatigued <input type="checkbox"/> Hazards and risks not identified <input type="checkbox"/> Hazards not removed from work area <input type="checkbox"/> Inadequate preparation for emergencies <input type="checkbox"/> Inadequate supervision <input type="checkbox"/> Poorly maintained working/learning area <input type="checkbox"/> Procedure not appropriate <input type="checkbox"/> Procedure not followed <input type="checkbox"/> Risk assessment not appropriate <input type="checkbox"/> Stress <input type="checkbox"/> Time pressure <input type="checkbox"/> Training or instruction not sufficient <input type="checkbox"/> Uncategorised <input type="checkbox"/> Working after hours <input type="checkbox"/> Working alone <input type="checkbox"/> Workplace inspections not conducted </div> <div data-bbox="438 940 518 1008" style="text-align: center;"> <p>Example</p>  </div> <div data-bbox="518 801 917 1193"> <p>Identify and select all the behavioural causes of the Incident:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Equipment not maintained <input type="checkbox"/> Equipment not used correctly <input type="checkbox"/> Fatigued <input type="checkbox"/> Hazards and risks not identified <input checked="" type="checkbox"/> Hazards not removed from work area Please provide details: Works had been conducted in the area and redundant materials had not been removed and picked up off the floor. <input type="checkbox"/> Inadequate preparation for emergencies <input type="checkbox"/> Inadequate supervision <input type="checkbox"/> Poorly maintained working/learning area <input type="checkbox"/> Procedure not appropriate <input type="checkbox"/> Procedure not followed <input type="checkbox"/> Risk assessment not appropriate <input type="checkbox"/> Stress <input type="checkbox"/> Time pressure <input type="checkbox"/> Training or instruction not sufficient </div> </div>	<p>Select whether any behavioural cause(s) were Contributing Factors to the incident. One or more factors may be selected.</p> <p>Enter details into the 'free text' fields that have been ticked.</p>
<div style="display: flex; justify-content: space-between;"> <div data-bbox="119 1223 502 1538"> <p>Identify and select all the physical causes of the Incident:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Design of working/learning area not appropriate <input type="checkbox"/> Equipment malfunctioning <input type="checkbox"/> Equipment not appropriate <input type="checkbox"/> Equipment not made available <input type="checkbox"/> Equipment not used <input type="checkbox"/> None of the above <input type="checkbox"/> Personal Protective Equipment not used <input type="checkbox"/> Physical <input type="checkbox"/> Physical barriers or signage not erected <input type="checkbox"/> Safety equipment not used <input type="checkbox"/> Weather </div> <div data-bbox="438 1276 518 1344" style="text-align: center;"> <p>Example</p>  </div> <div data-bbox="518 1223 917 1538"> <p>Identify and select all the physical causes of the Incident:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Design of working/learning area not appropriate <input type="checkbox"/> Equipment malfunctioning <input type="checkbox"/> Equipment not appropriate <input checked="" type="checkbox"/> Equipment not made available Please provide details: Equipment not made available to clean up the area following the completion of works <input type="checkbox"/> Equipment not used <input type="checkbox"/> None of the above <input type="checkbox"/> Personal Protective Equipment not used </div> </div>	<p>Select whether there were any physical cause(s) of the incident. Multiple Contributing Factors can be selected.</p> <p>Enter details into the 'free text' fields that have been selected.</p> <p>Click on the  Submit 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.</p>