



# INCIDENT INVESTIGATION IMPROVMENT TIPS



# Basic Principles of Incident Investigation

- Incidents are Predictable and preventable
- Communication and training solves issues
- Fact finding not fault finding
- Confidentiality is a must

# Common Program Shortfalls

- No Clearly defined procedures for investigation
- No Accurate identification of cause
- No Effective training for investigators
- No Clear communicated of findings, or how they lead to prevention of further incidents.

# Why is this so difficult?

- Time pressure to complete requirements and move on to other tasks.
- A investigation will uncover system and people failings both employee and manager based.
- It will initiate change, which people are uncomfortable with.

# How can we overcome this?

- We have to move towards data based decision making in order to move forward.
- Understand that incidents are a result of workplace variables that have not been adequately controlled.
- Understand that these variables are within your control if you choose to commit to systematically resolving them.

# What can we do?- Improve data collection

- Collect better data, that is not subject to opinion, such as pictures, security video, training documentation, process computer logs.
- Collect witness info as soon as possible after the incident.
- Communicate with people in area that have seen previous similar incidents.

# Beware of Bias!

- Confirmation Bias is when you assume you know what happened and look for facts to back up your assumption.
- This is especially difficult to avoid when you are aware of a workers past mistakes or behavioral issues.
- Follow the facts, not your assumptions in order to get to the proper root causes.

# What can we do?- analyzing data

- Create a Sequence of events, to help identify the contributing causes leading up to the incident and the effectiveness of protection systems before and after the incident.
- Scrutinize as many systems as possible for effectiveness and document ones that are working well as well as ones that need improvement.



# What can we do?- Corrective actions

- Ensure you have created a corrective action for each deficiency uncovered and move it to the action log for assignment and tracking to completion.
- Communicate completed actions to all members of workforce so people understand the improvement generated as a result of identifying the issues.

# What can we do?- Confidentiality

- By keeping personal data protected and dealing with investigations in a professional manner you will build trust and credibility so people will feel comfortable sharing information.
- Good data gives good results.

# What can we do?- Document Review

- Involve senior management in review of investigation reports.
- They often have diverse experience and alternate solutions as a result of their different view of company future activities.
- It will also facilitate training for investigators.

# Questions



# Legal Requirements

- WCA Part 2 Div 10 Section 68 Immediate notice of incident
- WCA Part 2 Div 10 Section 69 Incidents that must be investigated

# Legal Requirements Continued

- WCA Part 2 Div 10 Section 70 investigation process
- WCA Part 2 Div 10 Section 71 preliminary Incident Investigation Report
- WCA Part 2 Div 10 Section 72 Follow up Action and Report
- WCA part 2 Div 10 section 73 Employer must not prevent reporting.

# INVESTIGATION KIT

1. Digital camera with flash
2. Clipboard with notepaper/graph paper
3. Pencils and straight edge
4. Tape measure
5. Investigation form and checklist
6. Flashlight
7. Warning tape
8. Lock(s)
9. PPE
10. Evidence holders (i.e. zip lock bags)