

Incident Investigation

Your Business Name: _____

Report No. _____ **Investigated By:** _____

Note: Use the "Investigation Findings" section (below) to help you work through the possible causes and contributing factors to the incident

Detailed Description

Now that you have investigated the incident, describe what happened in detail.

Corrective Actions

*Remember to choose SMART actions - Specific, Measurable, Attainable, Realistic and Timely
e.g.: "Modify guarding on all conveyor belts to enable easy access for routine maintenance within the next 3 months."*

Hierarchy of Controls

Maximise the effectiveness of your actions...aim for the highest control level

1. *Eliminate - Eliminate the hazard completely*
2. *Substitute - Substitute the hazard with something safer*
3. *Isolate - Isolate the hazard by guarding or enclosing it*
4. *Engineer - Reduce the hazard with engineering controls*
5. *Administrative - Provide controls such as training, procedures, communication, etc.*
6. *PPE - Use appropriate and properly fitted PPE where other controls are not practical*

Action	Hierarchy of Control Level	Responsible person	Due Date

Key Learnings

What are the key things you have learnt from the incident?

Sign Off

Farm risk register reviewed and updated following the investigation Yes No

	Name	Signature
Investigator	_____	_____
Responsible Manager	_____	_____

Investigation Findings

Remember: The objective is NOT to attempt to fix blame but to understand what went wrong and put in place corrective actions to stop it happening again.

Incident Causes

Absent or Failed Defences

Identify the factors that allowed the incident to occur and describe why they were absent or failed to protect the overall system.

<input type="checkbox"/> Detection Systems	<input type="checkbox"/> Guards or Barriers	<input type="checkbox"/> Protection Systems / Procedures
<input type="checkbox"/> Hazard Identification	<input type="checkbox"/> Warning Systems / Procedures	<input type="checkbox"/> Recovery Systems
<input type="checkbox"/> PPE	<input type="checkbox"/> Risk Management	<input type="checkbox"/> Escape or Rescue Systems
<input type="checkbox"/> Safe Work Procedure	<input type="checkbox"/> Supervision	<input type="checkbox"/> Other
Comments:		

Individual / Team Actions

Identify the individual / team actions that contributed to or caused the event and why they contributed.

<input type="checkbox"/> Supervision	<input type="checkbox"/> Authority	<input type="checkbox"/> Safety Compliance
<input type="checkbox"/> Instructions Given	<input type="checkbox"/> Operating Speed	<input type="checkbox"/> Equipment Use
<input type="checkbox"/> Training for Task	<input type="checkbox"/> Experience for Task	<input type="checkbox"/> PPE
<input type="checkbox"/> Misconduct	<input type="checkbox"/> Other	<input type="checkbox"/> Work Procedure Followed
Comments:		

Task / Environmental Conditions

Identify the task and/or environmental conditions that contributed to the event and describe why these conditions were in existence and how they contributed.

Workplace Factors		
<input type="checkbox"/> Lighting	<input type="checkbox"/> Weather	<input type="checkbox"/> Dust / Contaminants
<input type="checkbox"/> Surface Gradient / Conditions	<input type="checkbox"/> Noise	<input type="checkbox"/> Workspace Access / Restriction
<input type="checkbox"/> Housekeeping	<input type="checkbox"/> Tools / Equipment Condition or Availability	
<input type="checkbox"/> Task Planning / Preparation	<input type="checkbox"/> Other Workplace Factors	
Human Factors		
<input type="checkbox"/> Complacency / Motivation	<input type="checkbox"/> Drugs / Alcohol	<input type="checkbox"/> Familiarity with Task
<input type="checkbox"/> Time Pressure	<input type="checkbox"/> Fatigue	<input type="checkbox"/> Peer Pressure
<input type="checkbox"/> Physical Capabilities	<input type="checkbox"/> Mental Capabilities	<input type="checkbox"/> Other Human Factor
Comments:		

Organisational Failures

Identify the organisational failures and describe why they were absent at the time of the event.

<input type="checkbox"/> Hardware - poor selection of materials, tools and equipment	<input type="checkbox"/> Maintenance Management - appropriateness of the planning, resourcing and type of maintenance
<input type="checkbox"/> Training - training needs, quality of assessment	<input type="checkbox"/> Design - inadequate design capacity and capability
<input type="checkbox"/> Organisation - deficiencies in the structure of responsibility and accountability eg too few staff, poor definition of position competencies	<input type="checkbox"/> Incompatible Goals - conflicting priorities eg production, maintenance, safety, planning and economic goals
<input type="checkbox"/> Communication - inadequate means / method of communication, failure of recipient to receive message, one way system	<input type="checkbox"/> Risk Management / Management of Change - inadequate systematic management of Risk and or management of change
<input type="checkbox"/> Procedures - SOP's that are accurate, understandable and known. Clearly written, reviewed, tested, documented and controlled	<input type="checkbox"/> Contractor Management - poor evaluation, selection and supervision of contractors
Comments:	