

Incident/Accident Investigation Plan – Appendix B: How to Conduct an Incident Investigation

1. **Establish an investigation team:** Include employees who have been trained to conduct an effective investigation. A typical team might include:
 - An employee from the work area where the incident occurred;
 - A PCC supervisor, department manager, or dean from a work area not involved in the incident;
 - A maintenance supervisor or an employee who understands equipment or processes associated with the incident;
 - A PCC safety committee representative.
2. **Gather information:** Record facts about the employee incident that occurred. Interview witnesses and others involved in a location such as an office, meeting room, or a place that is quiet, comfortable, and nonthreatening. This should include the following information:
 - Date and time the incident was noticed or occurred;
 - Location of incident (Campus or Center, Building, Room/Area);
 - Witness(es) to the incident (Name, Location, Phone #, job title, department).

Tips: Use sketches of the area, take photographs and videos to convey the scene and narrative. Use campus and/or building maps to describe locations and other details of the area where the incident occurred.
3. **Analyze the facts:** Identify the causes and contributing factors of the employee incident. Determine how the incident could have been prevented. Describe the incident by asking the following:
 - *What* happened?
 - *Who* is involved?
 - *When* did it happen?
 - *Where* did it happen?
 - *Why* did it happen?
 - *How* did it happen?

Tips: Try to avoid yes or no questions and prepare what will be asked ahead of time. Let the individual being interviewed speak freely and ask clarifying questions when needed.

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Perform a root cause analysis by determining all factors of the incident, including unsafe conditions, actions, or systemic weaknesses in order to reach the fundamental root causes and prevent future recurrences.



4. **Report the findings:** Prepare a written report that describes who was involved, where the incident occurred, when it happened, and what caused it. Recommend, specifically, corrective actions that can be implemented to prevent the incident from happening again.
5. **Act on the recommendations:** Have department management review the report and determine what will be done to prevent the incident from a future recurrence. Include suggestions to prevent the incident or correct the hazard that is present.
6. **Follow up:** Ensures that appropriate corrective action was taken to prevent the incident. Identify who is responsible for each corrective action and the anticipated timeline to implement the change. Establish a time for a follow-up meeting for a status update on the corrective action.