# Incident Investigation Template

Use this template with the guidance provided in the Incident Investigation Guideline to complete the report. Once completed – delete this guidance note.

This ICAM (Incident Cause Analysis Method) incident investigation template is based on the theory that incidents are rarely attributed to a single root cause but more commonly a range of immediate causes, contributing factors and underlying causes.

The investigation process:

1. First response immediate actions – make safe, first aid, secure the scene, notifications.
2. Scope the investigation
3. Plan the investigation – identify personnel and resources required.
4. Gather information – interviews, statements, photographs.
5. Analysis of information.
6. Develop investigation report.
7. Communicate findings and recommendations.

Information gathered about the incident can be categorised into one of these four contributing factors –

1. Organisational factors – organisational aspects affecting the systems of work, individual/team behaviours and equipment performance.
2. Task and environmental conditions – physical condition of the work environment, demands of the task, capabilities of the individuals involved and other human factors influencing.
3. Individual and team actions – human errors or violations that led to the incident.
4. Absent of failed defences – risk controls either not present or not effective in preventing the incident occurring (or limiting consequences).

# <enter the title of the report>

## <enter the date of the report>

Table of Contents

[Incident Investigation Template 1](#_Toc103614859)

[<enter the title of the report> 2](#_Toc103614860)

[Executive Summary 3](#_Toc103614861)

[Notifications 4](#_Toc103614862)

[Investigation team members 4](#_Toc103614863)

[Contact details of involved person/s 4](#_Toc103614864)

[Incident details 4](#_Toc103614865)

[Task details 5](#_Toc103614866)

[Incident description 5](#_Toc103614867)

[Environmental and/or property damage 5](#_Toc103614868)

[Immediate action taken 5](#_Toc103614869)

[**Additional actions and /or subsequent linked events** 6](#_Toc103614870)

[Incident Causation Analysis Method (ICAM) 7](#_Toc103614871)

[PEEPO 7](#_Toc103614872)

[Incident timeline 8](#_Toc103614873)

[Event and conditions charting 9](#_Toc103614874)

[Indirect or contributing factors 10](#_Toc103614875)

[Key findings and conclusions 10](#_Toc103614876)

[Recommendations 10](#_Toc103614877)

[Action Plan 10](#_Toc103614878)

[**Appendix 1: Images and photos** 11](#_Toc103614879)

[**Appendix 2: Attachments** 12](#_Toc103614880)

# Executive Summary

*<If required, an executive summary may be added to provide a high-level overview of the incident, major factors and a brief summary of the action plan. Remove if not appropriate or required>*

## Notifications

|  |  |
| --- | --- |
| UQSafe ID #: |  |
| Regulator Notification ID # (if applicable): |  |
| Other reference # (if applicable)(QPS, UQLegal etc) |  |

## Investigation team members

|  |  |
| --- | --- |
| **Name** | **Job title / specialty /role in investigation team** |
|  | Lead Investigator <*job title*> |
|  |  |
|  |  |
|  |  |

## Contact details of involved person/s

|  |  |
| --- | --- |
| Workers Name: |  |
| Occupation / Job Title: |  |
| Time employed in position: |  |
| Organisational Unit: |  |
| Supervisor: |  |
| Head of Organisational Unit: |  |
| Safety Manager/Coordinator: |  |

## Incident details

|  |  |
| --- | --- |
| Injury details: |  |
| Property/environment damage: |  |
| Date/time of incident: |  |
| Incident location: |  |
| Nature or type of incident: |  |
| Agent/cause of injury/damage: |  |

## Task details

|  |  |
| --- | --- |
| UQSafe Risk Assessment ID #: |  |
| Safe Operating Procedure ID #: |  |
| Task being undertaken at the time of the incident:  |  |

## Incident description

|  |
| --- |
| <*Full description of where and when the event took place*> |

## Environmental and/or property damage

|  |
| --- |
| <*Outline any environmental and /or property damage as a result of the incident>* |

## Immediate action taken

|  |
| --- |
|  <*Detail what immediate action was taken after the event and detail any first aid / medical treatment provided and by who*> |

**Additional actions and /or subsequent linked events**

|  |
| --- |
| <*Outline any environmental and /or property damage as a result of the incident>* |

## Incident Causation Analysis Method (ICAM)

The ICAM investigation process is used for all UQ incidents classified as Class 2 or 3.

*<Refer to the Investigation Guidelines for further information on factors to consider>*

### PEEPO

*<The following data collection table can be used to assist the investigation team focus on the evident collection. This can also help inform the indirect or contributing factors>*

|  |  |  |
| --- | --- | --- |
|  | Data Category | Collection Method |
| P | **People:**WitnessesOther associated with the incident | InterviewsWritten statementsObservations |
| E | **Environment:**WeatherWorkplaceIncident scene | Observation / ReviewInspection / PhotographyEvent reconstruction |
| E | **Equipment:**Vehicles, plant, tools, infrastructure, etc | InspectionTestingOperation |
| P | **Procedures:**Existing maps, charts, documents, reports, photographs, etc | Review / Comparison |
| O | **Organisation:**Culture to safety Previous incidents | Review / Comparison |

### Incident timeline

<*From the evidence collected, detail the timeline of what actions were taken by people and why it made sense at the time to take these actions. This establishes a chain of events* >

|  |  |  |
| --- | --- | --- |
| Pre-Incident | Incident | Post-Incident |
|  |  |  |

## Event and conditions charting

*<outline the timeline of events visually including the conditions and assumed conditions, using the shapes below>*

  

**Condition**

**Assumed condition**

**Valid Event**

### Indirect or contributing factors

|  |  |  |  |
| --- | --- | --- | --- |
| Organisational Factors | Task/Environment Factors | Individual/Team Factors | Absent/Failed Defenses |
|  |  |  |  |

## Key findings and conclusions

|  |
| --- |
| <*The conclusions will be based on facts and the analysis of the facts, and these will be substantiated by the physical evidence, interviews and event and conditioning charting analysis. The conclusions will state:* * *Actual, validated, causes and contributing factors that led to the incident*
* *Highlighted weaknesses and any areas that are still unsubstantiated*
* *Highlight strengths*>
 |

## Recommendations

|  |  |  |
| --- | --- | --- |
| **SIGNIFICANT FACTS** | **CAUSAL FACTORS** | **MANAGEMENT ACTIONS** |
|  |  |  |
|  |  |  |

## Action Plan

|  |  |  |
| --- | --- | --- |
| **MANAGEMENT ACTION** | **PERSON RESPONSIBLE** | **TIMEFRAME** |
|  |  |  |
|  |  |  |

**Appendix 1: Images and photos**

<Add Images (maps, photos etc)>

**Appendix 2: Attachments**

* Maintenance reports
* Risk Assessments
* Safe Operating Procedures
* Policies, procedures