

Incident Investigation Process

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Objectives

1. Purpose of investigation
2. Determine when investigations are needed
3. Make up of an investigation team
4. Investigation process flow
5. Corrective and preventive actions
6. Follow up







Remedial action not thought out



Problem is compounded



Michael Long to the rescue...initial problem solved



Now onto the first rescuer...



Michael Long comes up short



Purpose of Incident Investigation

- Prevent recurrence
- Safely continue or restart processes/activities
- Provide learning opportunity for employee participants
- Satisfy internal requirements
- Satisfy external requirements

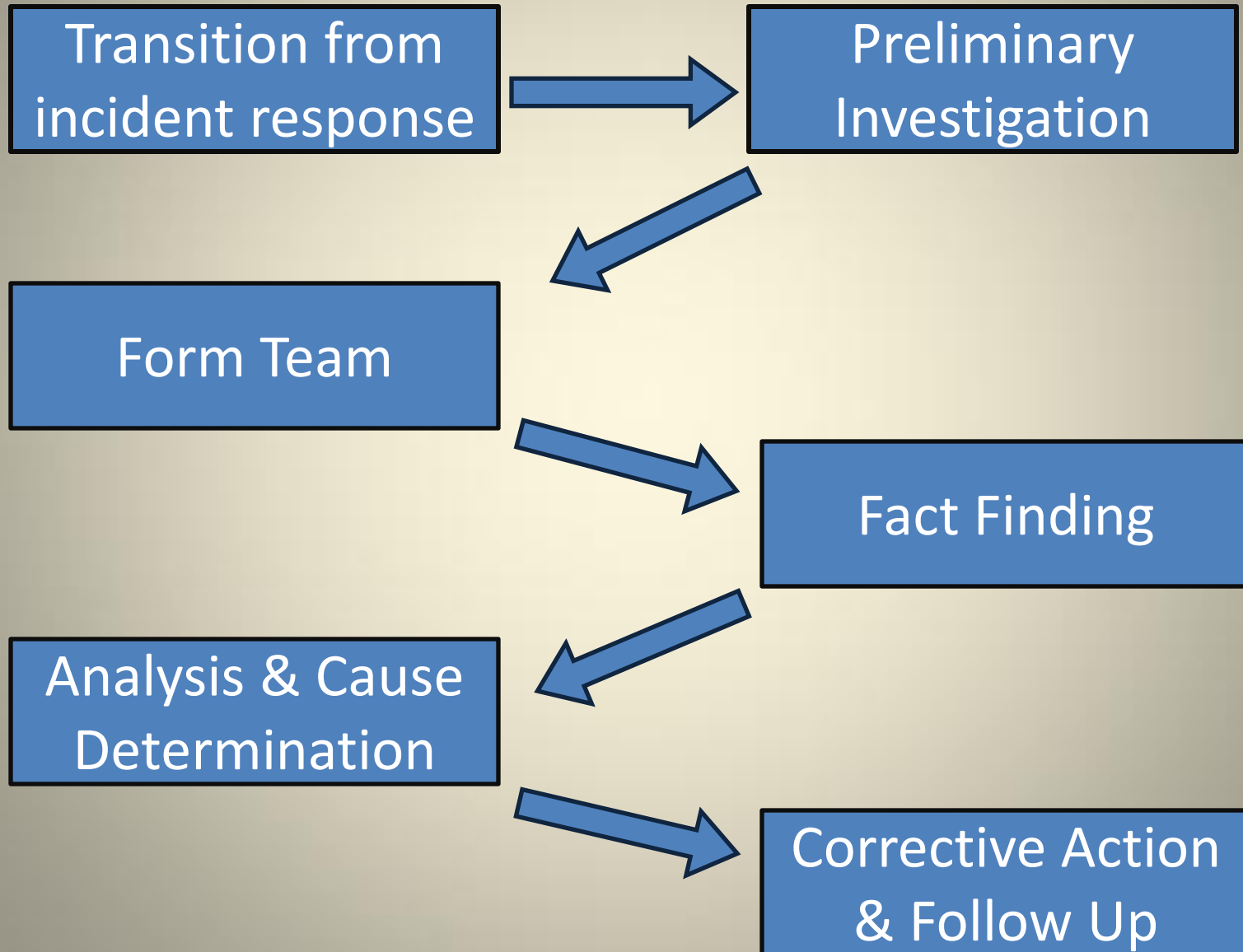
When is Investigation Needed?

- Define significant incident or near miss
- Customer needs--internal or external
- Potential or actual consequences of the incident
- Anticipated complexity of the analysis
- Desire for participation, training, awareness

Make Up of Investigation Team

- Experienced facilitator
- Subject matter experts
- Peers of involved parties
- Area manager or supervisor?
- Injured employee?
- Union representation?

Investigation Process



Incident to Investigation

- Suspend activity surrounding incident
- Take care of:
 - People
 - Environment
 - Property, production & reputation
- Make necessary notifications to authorities having jurisdiction

Preliminary Steps

- Secure the scene
- Collect evidence
- Determine who should be interviewed
- Determine safety of process or activity—can it be resumed safely?
- Has this happened before?

Form a Team

- Team members
 - Facilitator
 - Scribe
 - Subject matter experts
 - Labor/management balance
- The investigation will be as good as the team and the process

Fact Finding

- Review evidence
- Interview witnesses
- Establish timeline
- Consult subject matter experts
 - Process
 - Equipment
 - Materials
 - Working conditions

Analysis and Cause Determination

- Develop incident statement
 - What was going on?
 - What went wrong?
 - What were the consequences?
- Determine immediate cause(s)
- Basic cause(s)
- Use one of the root cause analytical methods

Corrective and preventive actions

- Address all basic and immediate causes that can be addressed
- Aim at system deficiencies
- Avoid placing blame
- Avoid making a wish list

Follow up

- Generate a report
 - Based only on facts—no conjecture
 - No extreme language
 - Do not draw legal conclusions
 - Be complete but brief
- All action items need:
 - Assignment to an individual
 - Realistic timing

Track and Close

- Use the system that works best for you
- Verify effectiveness of corrective action
- Report on-time closure as leading indicator

Questions, comments, discussion...

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