ToolKit - Quick Reference Investigation Process

TASKS TO BE COMPLETED

1. Summon Immediate Assistance

2. Report Incident Or Threat
   Supervisor or other appropriate management to take following action, if required:
   - Provide First aid
   - Control the scene
   - Contact Dept. of Labour and Advanced Education
   - Advise Employee of available support / counselling

3. Documenting the Incident
   - Complete appropriate form(s)
   - Consider all possible contributing factors

4. Investigate the Incident or Threat
   - Determine **What, When, Who, Where**, **Why** and **How**

5. Prepare for the investigation
   - Determine if incident needs to be referred to external agencies.
   - Establish who should be involved in the investigation (e.g. often helpful to have 2 Managers, union representation.)
   - Review incident form to ensure that all required information will be captured.
   - Complete WCB injury/illness report(s) if required.
   - Map out the investigation plan, timelines, etc.
   - Identify potential documentary evidence (rules, policies, memos, notes, computer files / phone records).
   - Identify potential witnesses.
   - Prepare an outline of questions, based on information collected to date.
   - Establish secure and confidential method to gather information.

6. Information Gathering
   - Consider the potential major factors: **Human Behaviours** (employees, residents, volunteers, contractors); **Tasks, Materials/Equipment, Environment** and **Organizational Factors**
   - Ask "Why" 5 times and apply an investigation matrix

TASKS TO BE COMPLETED

7. Conducting Interviews
    • Record information related to the interviews, have a second Manager designated as a scribe during the interview
    • Keep detailed comprehensive notes
    • Explain process
    • Persons being interviewed should be advised of their right to have a support person present, and if believed to have perpetrated the incident the specifics of the claim made against them.

8. Review And Analyze Evidence
    • Clarify disparities where necessary.
    • Identify Findings of Fact.
    • Debrief the investigation findings* (see tip sheet)

9. Implement Corrective Action and Monitor Results