

Investigations are a method to gather information to determine the cause(s) of an incident. Corrective and preventative actions are identified and recommendations made to prevent similar incidents.

There are both internal and legal reporting requirements.

Activity: What type of incidents does your organization investigate?

Organizations must establish, implement, monitor, and maintain a procedure for investigating, analyzing, documenting, and retaining records of all incidents. Before we dive into the requirements for the COR® audit tool, please reflect on the following questions regarding your organization's investigation and reporting procedures:

- What is your organization's internal reporting process for the incidents noted above?
- What is your organization's external reporting process?
- What is your organization's process for conducting incident investigations?
- To whom will you communicate the results of the investigation?

Element Question	Inquiry (What, Who, When, Where & How)	What is your organization currently doing to investigate and report incidents?
10.2 Does your organization have a written procedure for investigations and reporting that, at minimum, meets		
c) Requirement to take action to mitigate any additional consequences of the incident	What actions does the organization take to prevent or minimize any additional consequences of an incident?	

Element Question	Inquiry (What, Who, When, Where & How)	What is your organization currently doing to investigate and report incidents?
10.2 Does your organization have a written procedure for investigations and reporting that, at minimum, meets		
d) Determination of OHS deficiencies including root causes of the incident	What is the process for determining OHS deficiencies including the root causes of the incident?	

Element Question	Inquiry (What, Who, When, Where & How)	What is your organization currently doing to investigate and report incidents?
10.2 Does your organization have a written procedure for investigations and reporting that, at minimum, meets		
e) Determination and implementation of corrective and preventative actions	<p>What is a corrective action?</p> <p>What is a preventative action?</p> <p>What is the process for determining corrective and preventative actions?</p> <p>What is the process for implementing corrective and preventative actions?</p>	

Element Question	Inquiry (What, Who, When, Where & How)	What is your organization currently doing to investigate and report incidents?
10.2 Does your organization have a written procedure for investigations and reporting that, at minimum, meets		
f) Communication of investigation results and corrective and preventative actions to interested parties	<p>What is the process for communicating the results of the investigation?</p> <p>What is the process for communicating corrective and preventative actions?</p>	

Element Question	Inquiry (What, Who, When, Where & How)	What is your organization currently doing to investigate and report incidents?
10.2 Does your organization have a written procedure for investigations and reporting that, at minimum, meets		
g) A process measuring the effectiveness of corrective and preventative actions	What is the process for measuring the effectiveness of the corrective and preventative actions?	

Element Question	Inquiry (What, Who, When, Where & How)	What is your organization currently doing to investigate and report incidents?
10.2 Does your organization have a written procedure for investigations and reporting that, at minimum, meets		
h) Specific forms for investigations	What forms are related to this process?	

Element Question	Inquiry (What, Who, When, Where & How)	What is your organization currently doing to investigate and report incidents?
10.2 Does your organization have a written procedure for investigations and reporting that, at minimum, meets		
i) Methods for maintaining records of incident reporting and investigation results?	<p>How are incident reports maintained?</p> <p>How are investigation results maintained?</p>	

Element Question	Inquiry (What, Who, When, Where & How)	What is your organization currently doing to investigate and report incidents?
10.2 Does your organization have a written procedure for investigations and reporting that, at minimum, meets		
b) Requirement that training is provided in legislative and organization specific reporting requirements and investigations procedures	Who requires training? What training do they need?	

Element Question	Inquiry (What, Who, When, Where & How)	What is your organization currently doing to investigate and report incidents?
10.2 Does your organization have a written procedure for investigations and reporting that, at minimum, meets		
<p>a) Roles and responsibilities for workplace parties to report incidents, including near misses, for conducting investigations in a timely manner and for implementing corrective and preventive actions identified as a result of investigations</p>	<p>Who is responsible for reporting incidents, conducting investigations, and implementing corrective and preventive actions?</p> <p>What are they responsible for?</p>	