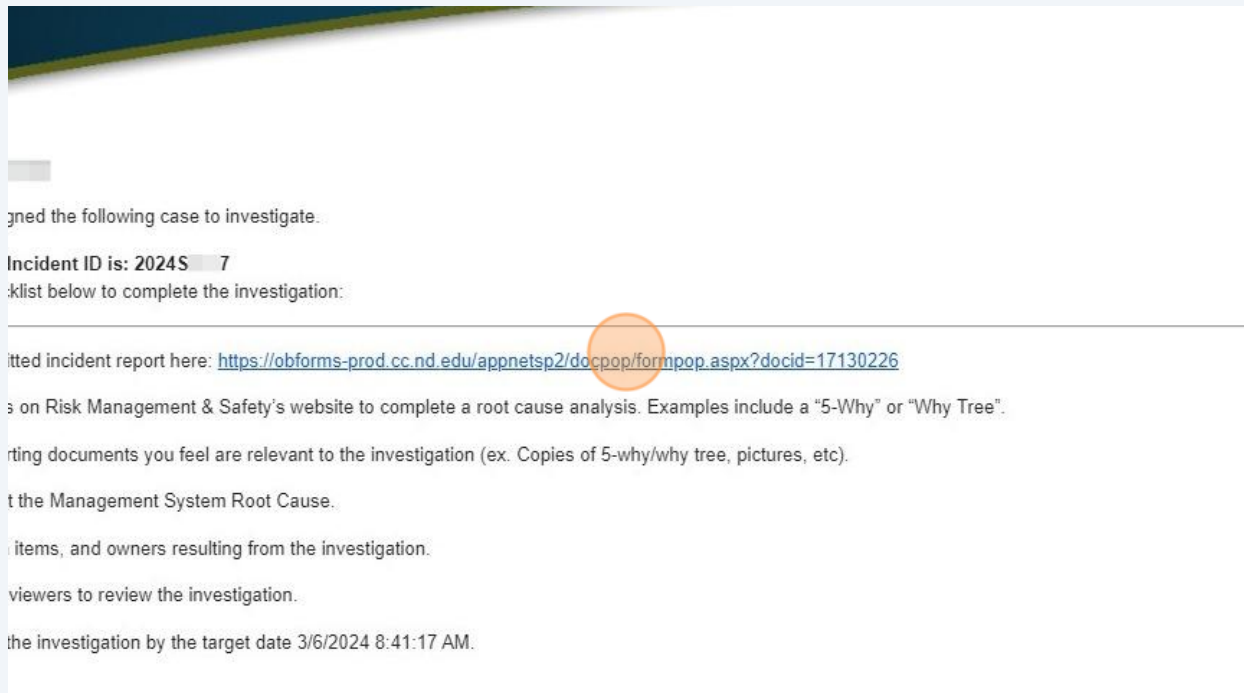


How To - Submit An Incident Report Investigation

1 Start with your email Notification.

2 Click the First Link provided in the email to review the Incident information.



3 For Resources & Help completing an Incident Investigation navigate to the Risk Management & Safety Website.

4 [Incident Reporting & Management](#) | Risk Management and Safety | University of Notre Dame

5

Click "Fillable 5 Why Template and Guide" to download a fillable form to assist with the Investigation Process.

- [Action Item Complete Form](#) - Used by Action Item owners to mark an action item as complete.

Resources

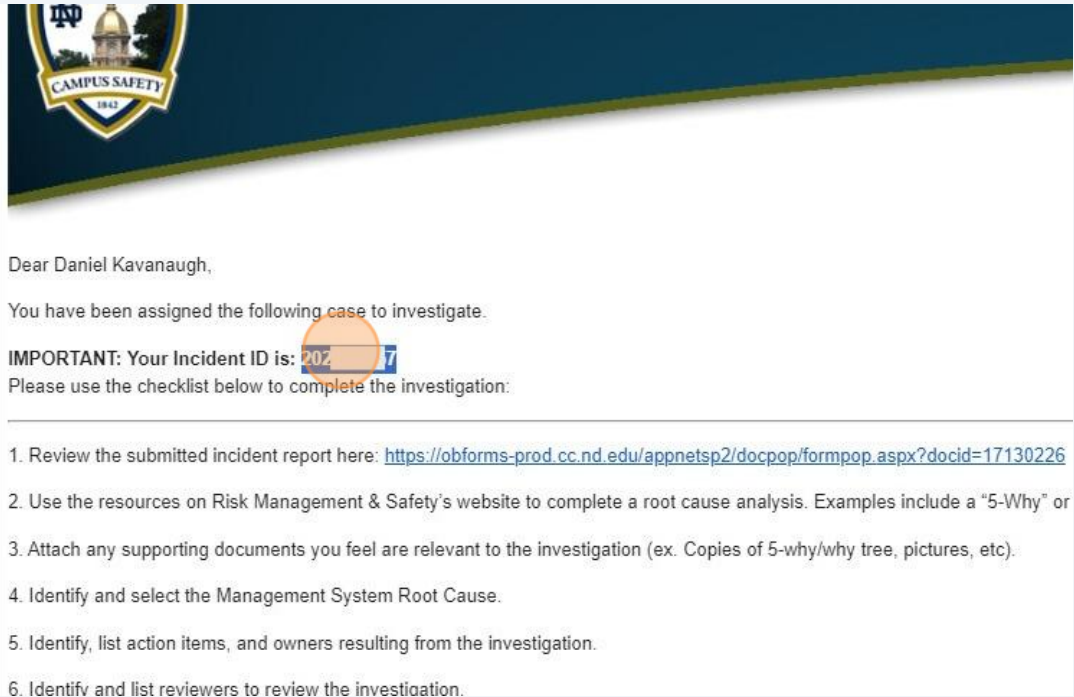
- [Safety Incident Report Reference Guide](#)
- [5 Why Form](#)
- [Fillable 5 Why Template and Guide](#)
- [Management System Root Cause Descriptions](#)
- [Why Tree Form](#)
- [Investigation Report Workflow](#)
- [Tableau Incident Dashboard](#)
- [Submitting a Safety Incident - April 2021](#)

6

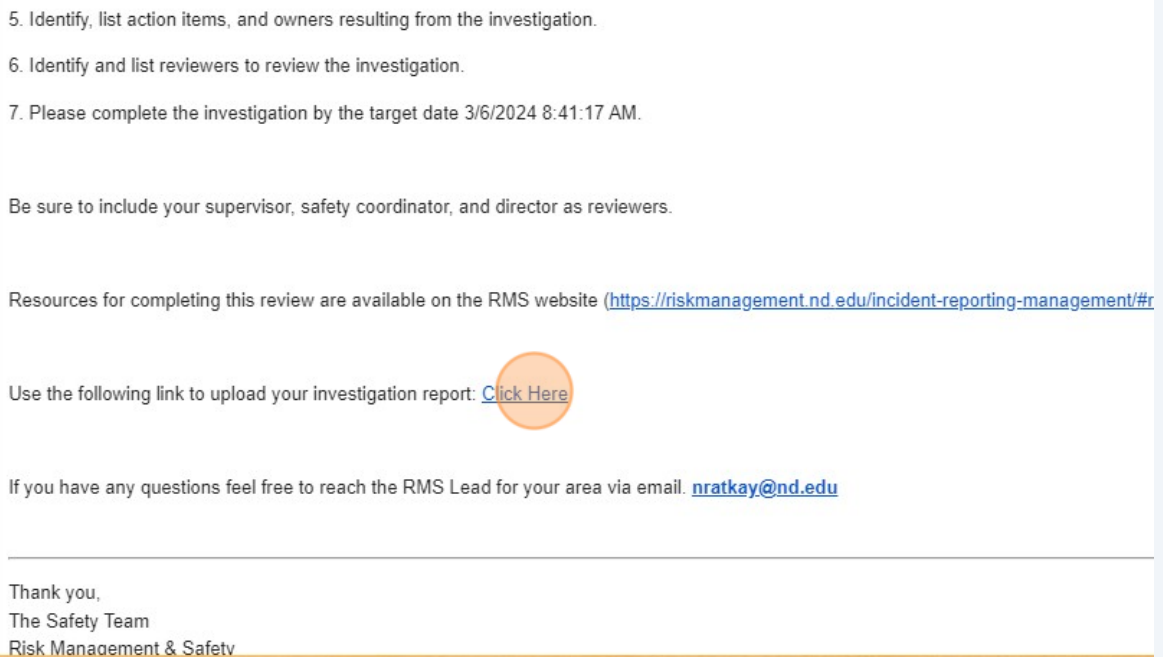
Complete the 5 WHY template, Save then Close the document.

The image shows a two-page document titled "5 WHYs TEMPLATE" and "5 WHYs Guide" from the University of Notre Dame Risk Management and Safety department. The left page is a form with the following sections: "DEFINE THE PROBLEM" (a text box for "Define problem here"), "PRIMARY CAUSE" (a text box for "Why is it happening?"), "WHY IS THIS A PROBLEM?" (a vertical sequence of five boxes labeled 1-5, each containing "Why is that?" and "It is happening because"), "CORRECTIVE ACTION TO TAKE" (a text box for "Describe action here"), and "PARTY RESPONSIBLE" (a text box). The right page is the "5 WHYs Guide", which includes a definition of the 5-Whys tool, "Step-by-Step Instructions" (three numbered steps), and a note that the methodology is closely related to the Cause & Effect (Fishbone) diagram.

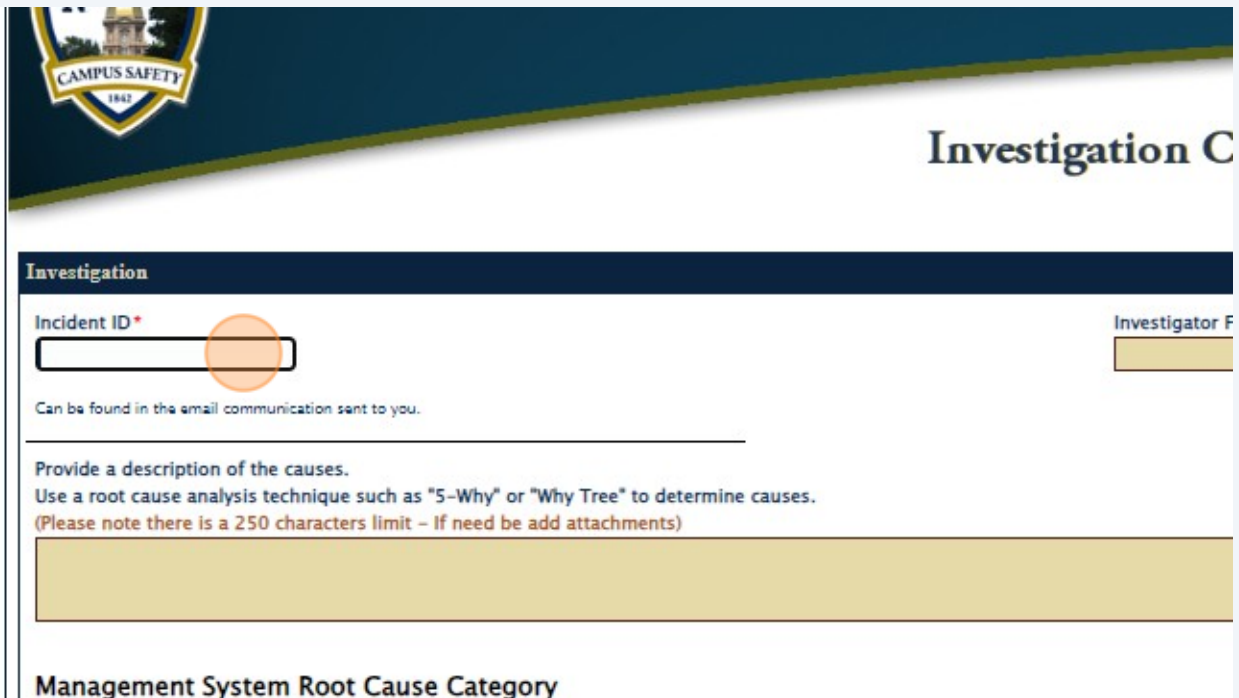
7 Copy Your Incident ID number. You will need it for the next step.



8 Click "Click Here" to be directed to the Investigation Complete form.



9 Click the "Incident ID" field and enter the number (step 7).



CAMPUS SAFETY
1862

Investigation C

Investigation

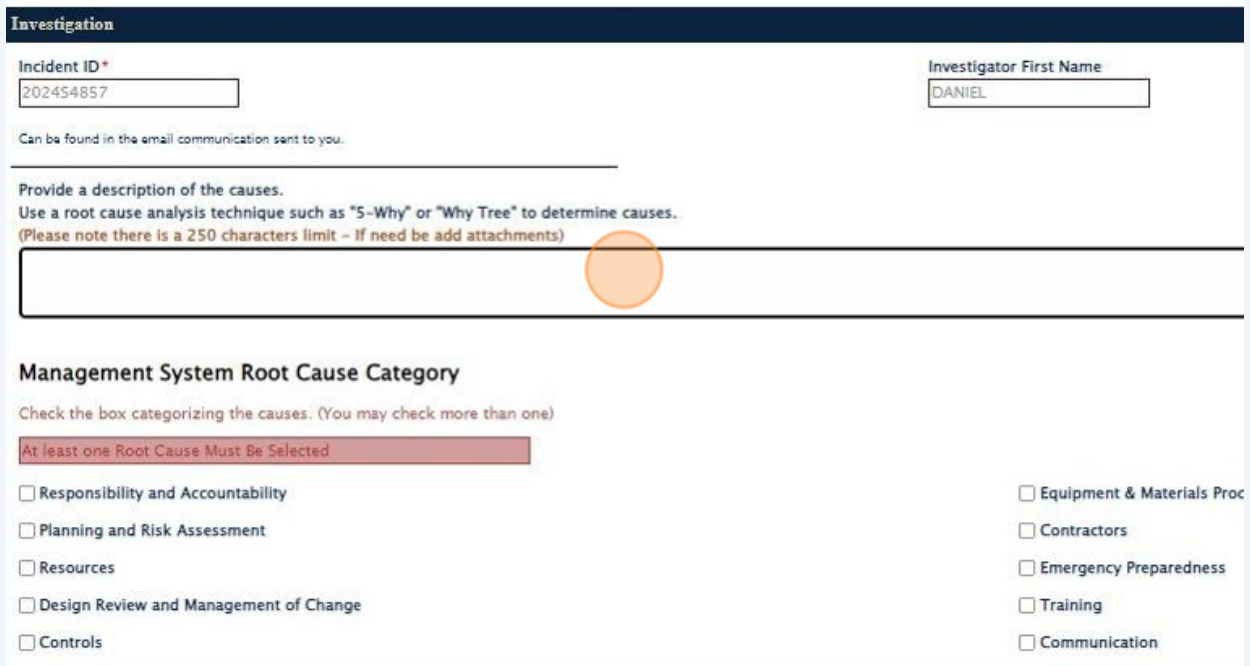
Incident ID* Investigator F

Can be found in the email communication sent to you.

Provide a description of the causes.
Use a root cause analysis technique such as "5-Why" or "Why Tree" to determine causes.
(Please note there is a 250 characters limit - If need be add attachments)

Management System Root Cause Category

10 Click the "Provide a description of the causes" box to enter a summary of the investigation findings.



Investigation

Incident ID* Investigator First Name

Can be found in the email communication sent to you.

Provide a description of the causes.
Use a root cause analysis technique such as "5-Why" or "Why Tree" to determine causes.
(Please note there is a 250 characters limit - If need be add attachments)

Management System Root Cause Category

Check the box categorizing the causes. (You may check more than one)

At least one Root Cause Must Be Selected

<input type="checkbox"/> Responsibility and Accountability	<input type="checkbox"/> Equipment & Materials Proc
<input type="checkbox"/> Planning and Risk Assessment	<input type="checkbox"/> Contractors
<input type="checkbox"/> Resources	<input type="checkbox"/> Emergency Preparedness
<input type="checkbox"/> Design Review and Management of Change	<input type="checkbox"/> Training
<input type="checkbox"/> Controls	<input type="checkbox"/> Communication

11

Click the box(es) with the corresponding [Root Cause\(s\)](#) identified in the Investigation process.

Management System Root Cause Category

Check the box categorizing the causes. (You may check more than one)

At least one Root Cause Must Be Selected

- Responsibility and Accountability
- Planning and Risk Assessment
- Resources
- Design Review and Management of Change
- Controls
- Equipment & Materials Procurement
- Contractors
- Emergency Preparedness
- Training
- Communication

Attachment (0)

Attach Supporting Documentation

Attach Here

Action Item Assignments

12

Click "Attach Here" to upload your Completed and Saved 5 WHY form and any additional information you wish to include.

- Responsibility and Accountability
- Planning and Risk Assessment
- Resources
- Design Review and Management of Change
- Controls

Attachment (0)

Attach Supporting Documentation

Attach Here

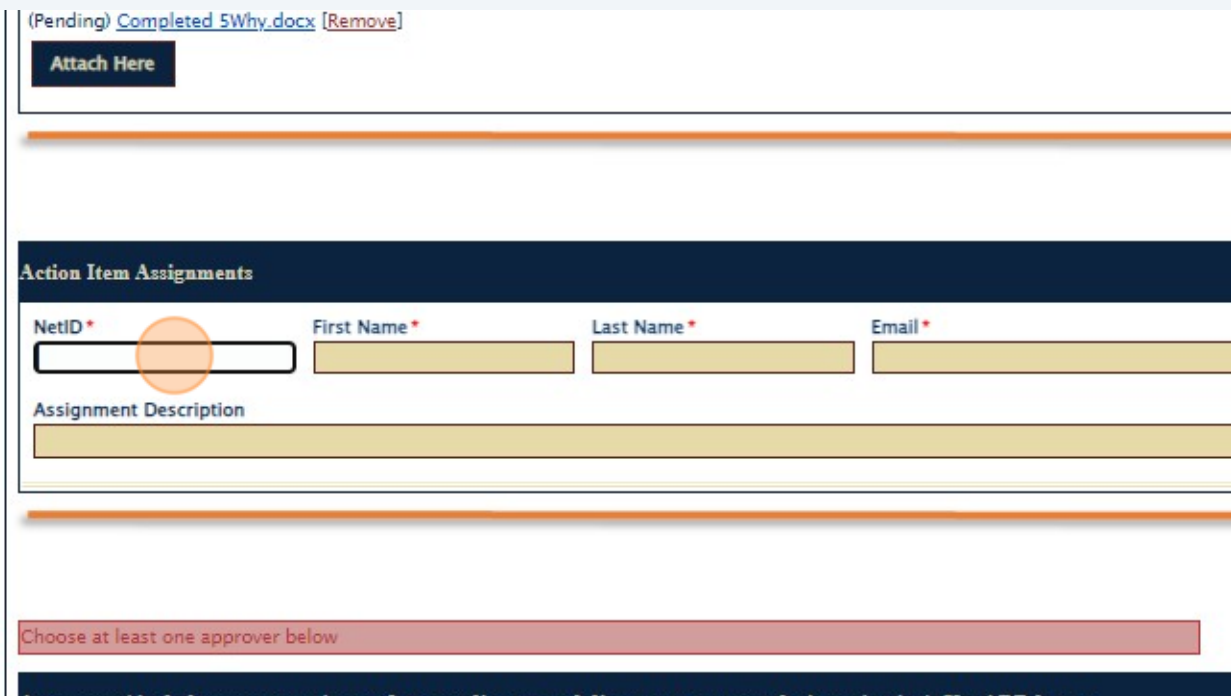
Action Item Assignments

13 Click the "Add" button to enter an Action Item.



The screenshot shows a form with a dark blue header bar. Below the header, there are two rows of input fields. The first row has a dark blue bar with an orange circle highlighting an "Add" button on the right. The second row has a dark blue bar with an "Add" button on the right and the word "Email" centered below it.

14 To assign an Action Item, Enter the person's "NetID" in the first field (the First Name, Last Name, and Email will be completed for you if the NetID is correct).



The screenshot shows a form with a dark blue header bar. Below the header, there is a section titled "Action Item Assignments". This section contains four input fields: "NetID*", "First Name*", "Last Name*", and "Email*". The "NetID*" field is highlighted with an orange circle. Below these fields is a text area labeled "Assignment Description". At the bottom of the form, there is a red bar with the text "Choose at least one approver below".



Tip! Utilize the [ND Directory](#) for assistance with NetID information.

15

Click the "Assignment Description" field to provide a description of the Action Item.

The screenshot shows a web form titled "Action Item Assignments". At the top left is a dark blue button labeled "Attach Here". Below it is a large empty text area. The form has a dark blue header with the title "Action Item Assignments". Below the header are four input fields: "NetID*" with the value "kbrownn2", "First Name*" with "Kariann", "Last Name*" with "Brown Nisley", and "Email*" with "kbrownn2@nd.edu". Below these is the "Assignment Description" field, which is highlighted with an orange circle. At the bottom of the form is a red warning bar that says "Choose at least one approver below". Below the warning bar is a dark blue footer with the text "Approvers (include your supervisor, safety coordinator, and director to approve the investigation). Use ADD button".



Tip! Repeat Steps 13 - 15 to Add multiple Action Item Assignments and Target dates.

16 Click the "Add" button to include an Approver of the Investigation.

Equipment & Materials Procurement
 Contractors
 Emergency Preparedness
 Training
 Communication

Inspections, Assessments & Preventative Maintenance
 Documents and Records
 Incident Investigations
 Preventative Actions
 Human Actions

Department	Dept. Code	Target Date*
RISK MANAGEMENT AND SAFETY	50035	

NetID* First Name* Last Name* Email*

kbrownn2 Kariann Brown Nisley kbrownn2@nd.edu

Assignment Description

Choose at least one approver below

Approvers (include your supervisor, safety coordinator, and director to approve the investigation). Use ADD button

NetID*	First Name

The value must be an Alphanumeric value.
The value cannot be longer than 10 characters.
This field is required.

Submit

17 Click the "NetID" field to enter the Approver's information.

NetID* First Name* Last Name* Email*

kbrownn2 Kariann Brown Nisley kbrownn2@nd.edu

Assignment Description

Choose at least one approver below

Approvers (include your supervisor, safety coordinator, and director to approve the investigation). Use ADD button

NetID*	First Name

The value must be an Alphanumeric value.
The value cannot be longer than 10 characters.
This field is required.

Submit



Alert! Approvers should include, at minimum, Department Leader & Safety Contact.



Tip! Repeat Steps 16 & 17 to Add multiple Approvers.

18 Click "Submit" to complete the Investigation form.

The screenshot shows a web form for an investigation. At the top, there are four input fields: "NetID" with the value "kbrownn2", "First Name" with "Kariann", "Last Name" with "Brown Nisley", and "Email" with "kbrownn2@nd.edu". Below these is a large text area labeled "Assignment Description". A horizontal orange line separates this from the next section, which contains a text box with the instruction "Choose at least one approver below". This is followed by a dark blue header for the "Approvers" section, which includes the text "Approvers (include your supervisor, safety coordinator, and director to approve the investigation). Use ADD button". Below this header is a table with two columns: "NetID*" and "Firs". One row is visible with the value "NRATKAY" in the "NetID*" column and "Nicholas" in the "Firs" column. At the bottom left of the form is a circular "Submit" button.