Injury/Illness Investigations

CHESS Users' Manual

Injury/Illness Investigations

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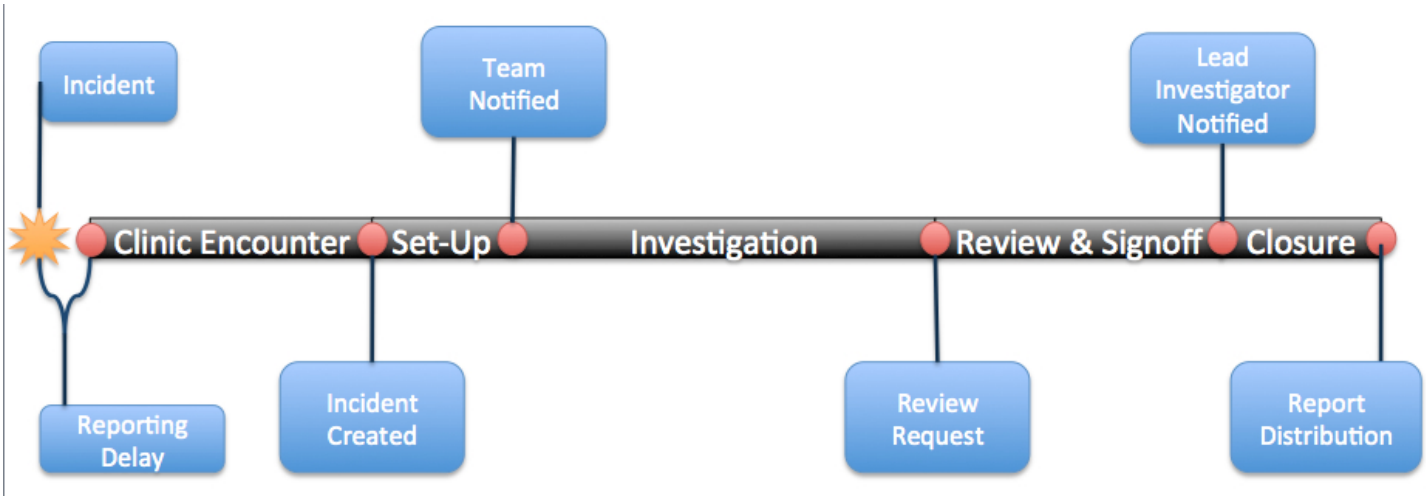
Incident Investigations

The Injury/Illness Incident Investigation module of the CHESS system is intended for the recordkeeping, investigation and reporting processes for occupational injuries and illnesses at the Lab. This module is specifically designed to interface with the Occupational Medicine modules of CHESS, specifically Encounter and Case Management. Most injury/illness incident investigations begin by a report of injury or illness to the Health Services group of the EH&S Division.

Investigation Process

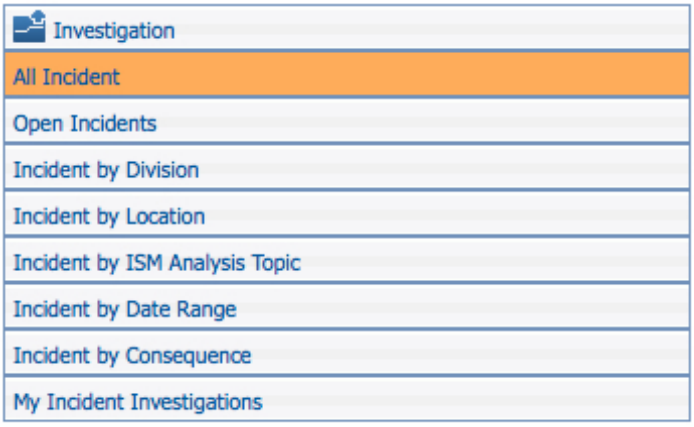


Report Only

Although a "Report Only" investigation, can be created from both Health Services and the Investigation module itself, most will be generated via employee Encounters (in the Occ. Med module). A "Report Only" investigation category is used for cases in which no injury or illness is evident, cases for which observation and examination occurred with no resulting first aid or medical treatment, or cases for which there could be future injury/illness consequences. This module will support Report Only investigations, but not all fields and functions will be applicable. Some cases involving ergonomic team response may be entered as "Report Only". A "Report Only" category allows documentation of near misses and of non-consequential events for future reference.

Incident Investigation Views

! IMPORTANT ! *Not all users will have access to all records. Access is managed by role and investigation assignments*

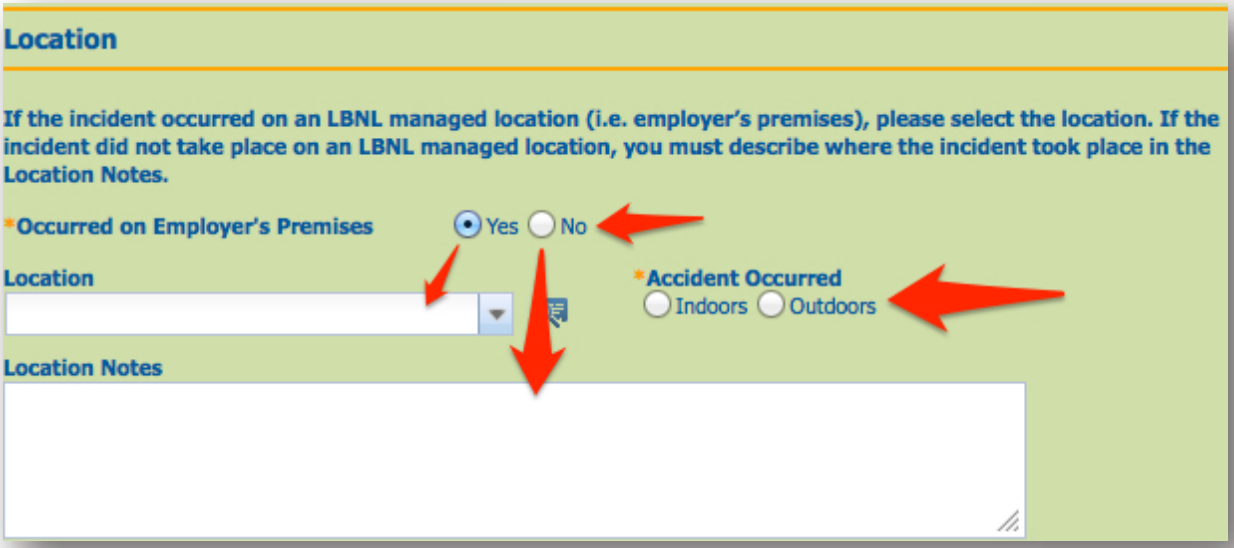


- **All Incidents** – All Incident Investigations in descending order by Incident Date
- **Open Incidents** - All Open Incident Investigations in descending order by Incident Date
- **Incident by Division**- All Incident Investigations for the selected division
    - Requires the input of a division as a search parameter
- **Incident by Location** - All Incident Investigations where the selected Location matches the selected parameter
    - Requires the input of a location as a search parameter
- **Incident by ISM Analysis Topic -** All Incident Investigations where the selected Analysis Topic matches the selected parameter
    - Requires the input of a Analysis Topic as a search parameter
- **Incident by Data Range** All Incident Investigations where the Incident Date is within the selected Date Range
    - Requires the input of a Start Date and End Date (e.g., enter fiscal year start/end dates, etc.)
- **Incident by Consequence** - All Incident Investigations that include the selected Consequence
    - Requires the input of an Incident Consequence
- **My Incident Investigations** – All Incident Investigations where the individual logged in is listed on the Investigation Team list.
  Note: This view is not retroactive and will not reflect participation in investigations prior to the release of this module.

Incident Creation and Notification

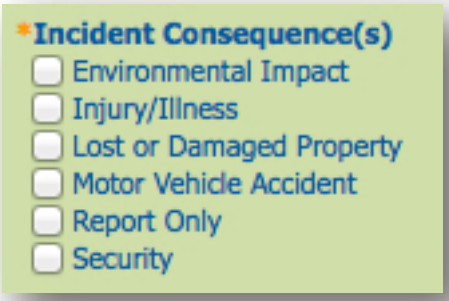
(Incident Manager Only)

1. Workspace → Incident Investigations → Investigations
2. Enter as much data as available. You can save at any time once all required (* starred) fields are filled out. However, you will not be able to send out the Incident Notification.
    a. Location
        i. You must select whether the incident occurred on the employers premises. If it did not, then Location Notes will be required. If the incident occurred on the employer premises, you must select a value from the Location lookup hierarchy (you may want to add location notes to further define/clarify the selected location).
        ii. You must select whether the incident occurred indoors or outdoors

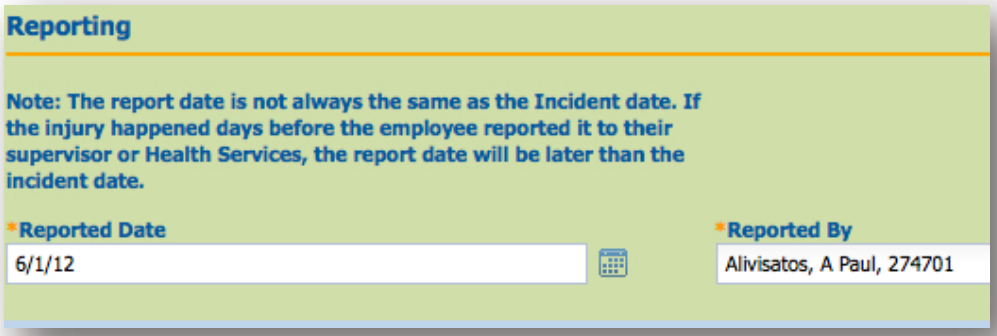


b. **Incident Narrative** (This information is entered at case intake by Health Services staff and may be edited/augmented at any time while the incident case is open. Initial data entered is archived if edited/augmented. This information as entered by Health Services is the content that populates the OSHA 301 Injuries and Illnesses Incident Report upon completion of case intake by Health Services)
    i. **Activity** – Description of the events and activities preceding the incident
    ii. **Events** – Description of the incident described in chronological order
    iii. **Objects** – The objects or materials involved in the incident

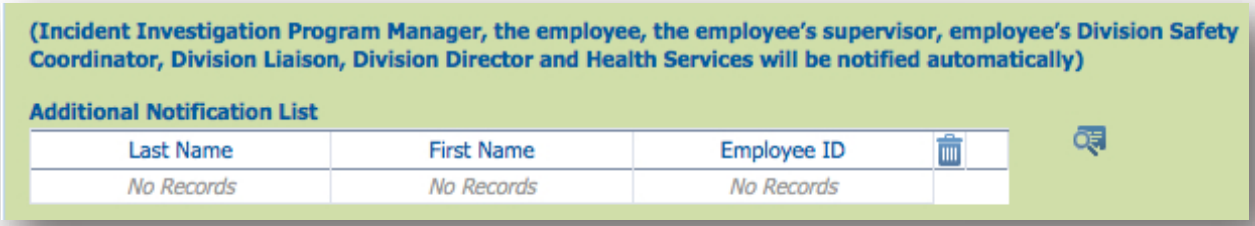
c. **Consequences** – Select the results of the incident. Almost all incidents tracked in CHESS will include Injury/Illness as a consequence.



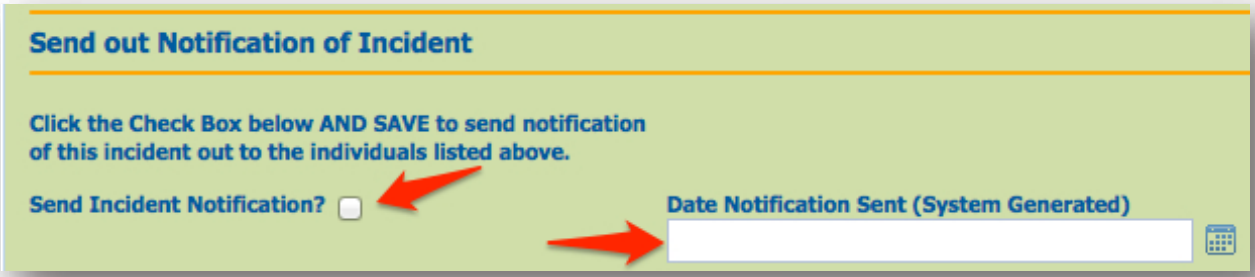
d. Reported by - Most incidents are reported by the injured employee or their supervisor, but anyone can report an incident



3. Select individuals that you want to be notified in addition to the default list of notifications



4. To complete and send the Incident notification, check the Send Incident Notification box and click SAVE. The incident notification will be distributed and an overview of the incident will be included.

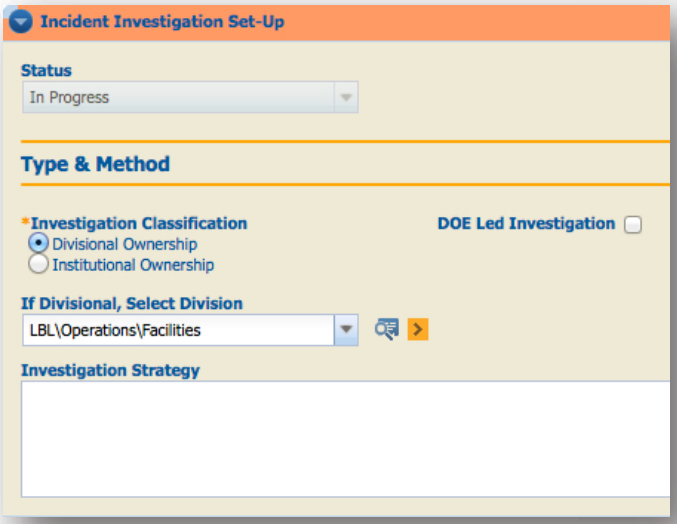


Investigation Set-up

(Incident Manager Only)

1. Select whether the investigation will be Institutional or Divisional

a. If the Investigation is marked as Divisional, a Division must be selected.

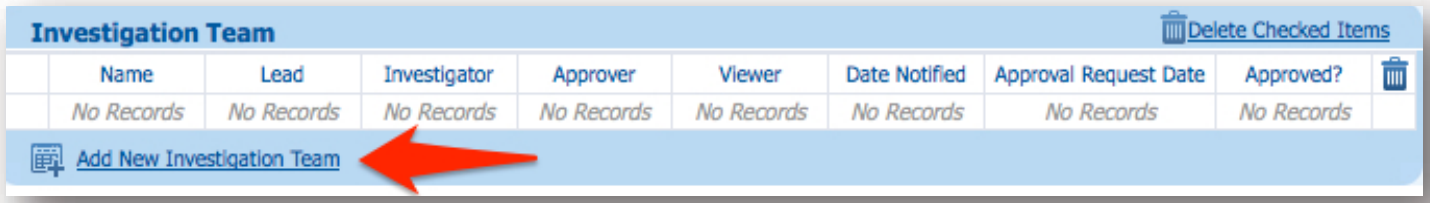


2. Select whether the investigation will be conducted by DOE
3. Enter an Investigation strategy. This field is used to describe the process that will be used to perform the investigation. This field is optional and can be left blank if normal investigation procedures will be followed. However, if the investigation will be conducted differently, it is important to indicate such and how it will be different in this field.

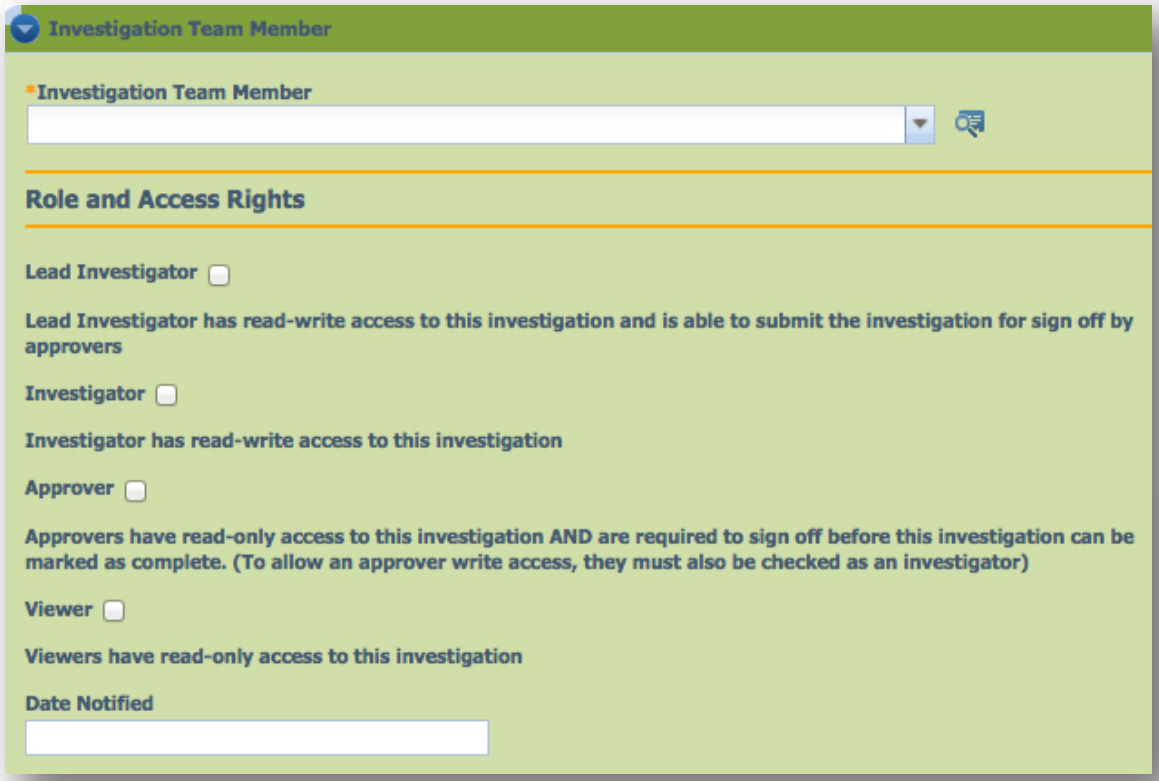
Managing Investigation Team

(Investigation Leads Only - for adding additional investigation team member after initial team set up

1. Within an investigation, navigate to the Investigation team list. Click **Add New Investigation Team** to add a new member to the list.



2. Enter the Last Name of the team member, or use the lookup icon to select from the lookup list.



3. Select the Roles and Rights this individual will have within the investigation.

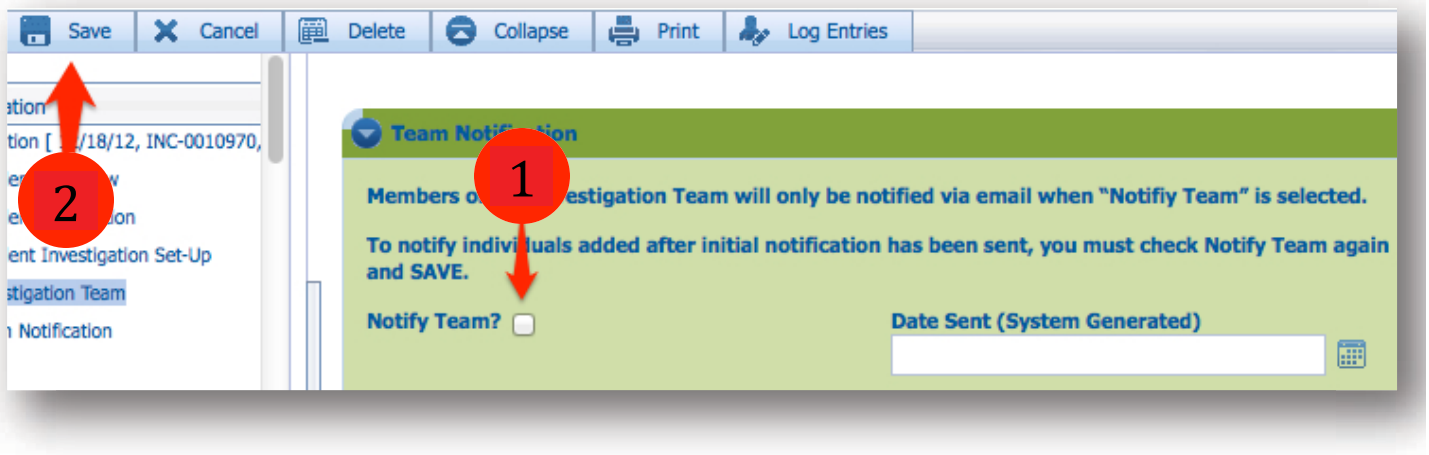
Role	Permissions
Lead Investigator [DSC typically included as a lead for divisional investigations]	Lead Investigators have read-write permissions to an investigation and have permission to: • Add and edit members of the Investigation team • Send an investigation team member notification • Send the investigation out to approvers for review and sign-off • Close and end the investigation (once all approvers have signed-off.
Investigator	Investigators have read-write permissions to an investigation. Investigators have access to add and edit: Data Gathering items, ISM Analysis items, and File Attachments. An Investigator can also edit the Causal Factors and the Summary & Conclusions section.
Approver (typically includes supervisor, DSC)	Approvers have read-only access to an investigation AND are required to sign off before this investigation can be marked as complete. (To allow an approver write access, they must also be checked as an investigator
Viewer (typically division senior management)	A Viewer has read-only access to an investigation. They are not sent notifications from the investigations, but do have access to the investigation.

Note: The Date Notified (invited to participate in the investigation) field will be populated by the system when the individual has been sent an investigation notification. If this field is blank, the individual has not been sent a notification

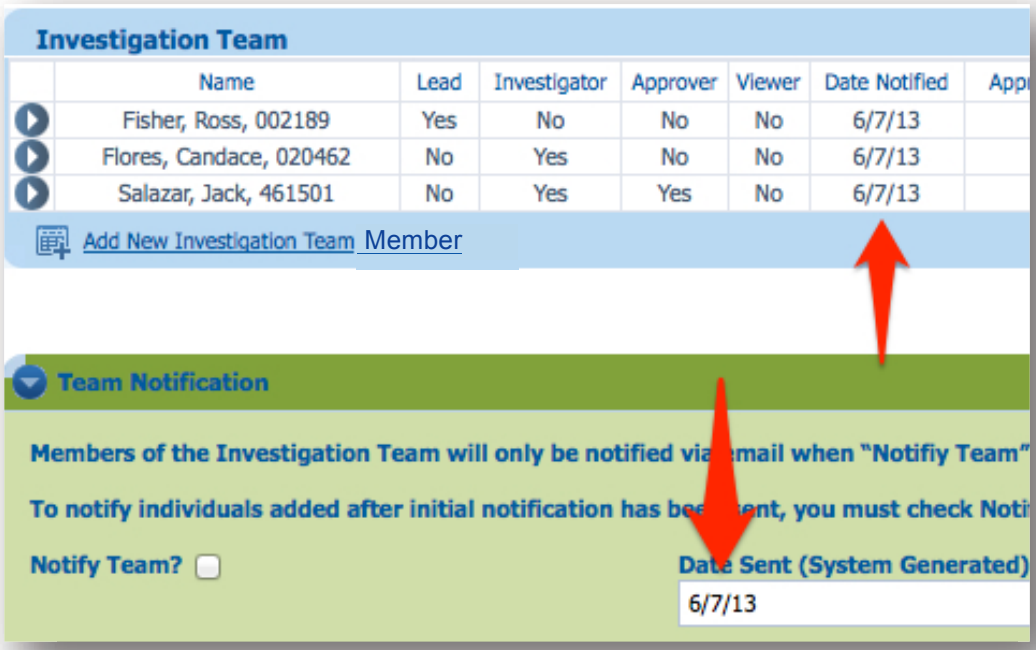
Notification of Investigation Team

(Investigation Leads Only)

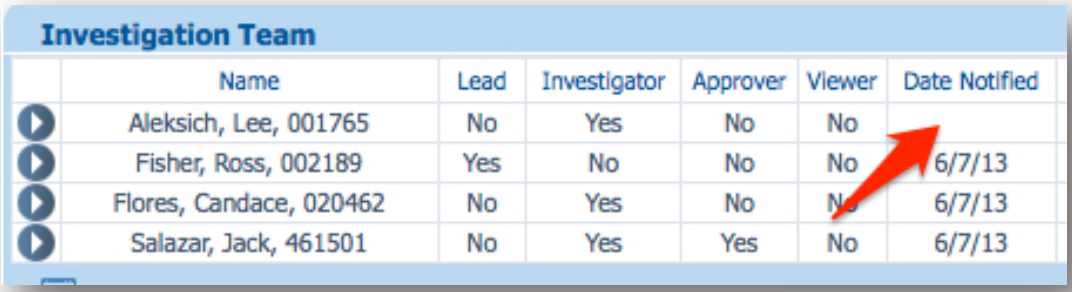
1. To send a Notification to Lead Investigators and Investigators, you must check the Notify Team box and click SAVE. Once the Notification is sent, the Date Sent and Date Notified fields will populate automatically.



Note: The Notify Team will automatically uncheck once the Notification has been sent.



2. After you have sent the team notification, you may still add Investigation Team members. However, these individuals will not be notified automatically.



Investigation Team

Name	Lead	Investigator	Approver	Viewer	Date Notified
Aleksich, Lee, 001765	No	Yes	No	No	
Fisher, Ross, 002189	Yes	No	No	No	6/7/13
Flores, Candace, 020462	No	Yes	No	No	6/7/13
Salazar, Jack, 461501	No	Yes	Yes	No	6/7/13

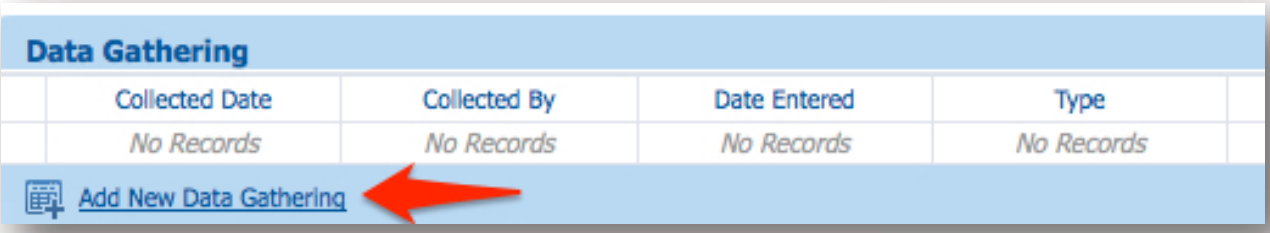
To send notifications to additional team members, check the Notify Team box again and SAVE (see above). This will send Investigation Notification to team members who have not yet been notified (whose Date Notified field is blank). Once notified, their Investigation Team member record will be populated with the new date of their notification.

Note: The Date Notified will not change and will permanently reflect the earliest date the Investigation was sent out to Investigation Team members.

Data Gathering

(Investigators & Lead Investigators)
During the course of an investigation, information is collected on the facts of the incident. An investigation can have five or 500 Data Gathering records. However, it must have at least 1 record before it can be considered complete.

1. Within an investigation, navigate to the Data Gathering list. Click **Add New Data Gathering** and a new Data Gathering record will open

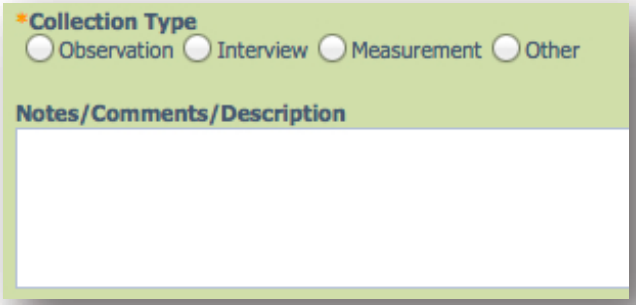


Data Gathering

Collected Date	Collected By	Date Entered	Type
No Records	*No Records*	*No Records*	*No Records*

Add New Data Gathering

2. Select the Collection Type. If you wish to input data gathered from multiple collection methods in a single record, select Other as the Collection Type and label within the entry field



Example: **Multiple Collection Method**

Observation: Skid marks were ……..
Measurement: Skid marks were 15' long.
Interview: Employee stated that.

3. Enter the information you have collected into the text field.
4. The Collected By and Collected Date will default to the person entered the data. As will the Entered By and Entered Date. If you are entering data collected by another person or at another date, you can change these values. The Last Updated By and Date will be populated automatically by the system.

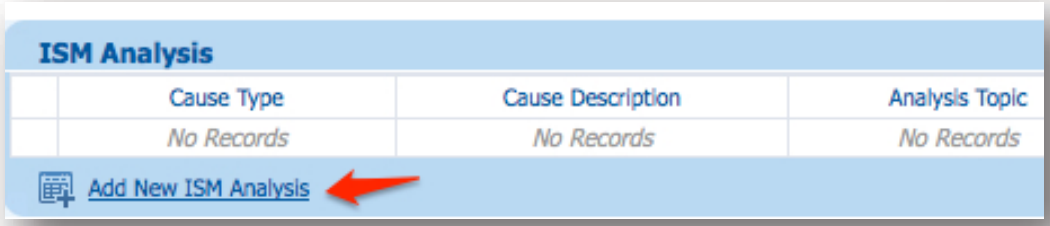
5. Check Save to commit this data to the investigation.

Note: Data Gathering items cannot be deleted. If you have entered items by mistake, please contact the System Administrator at CHESS@lbl.gov to delete erroneous records.

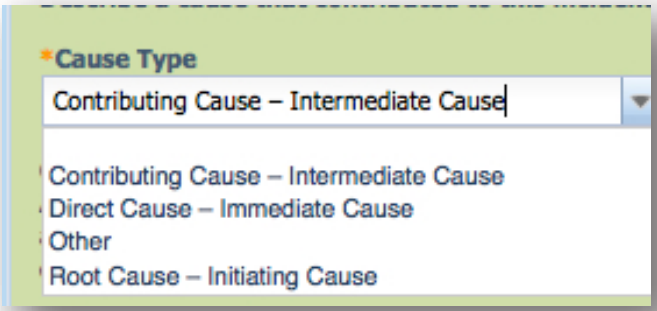
ISM Analysis

(Investigators & Lead Investigators)

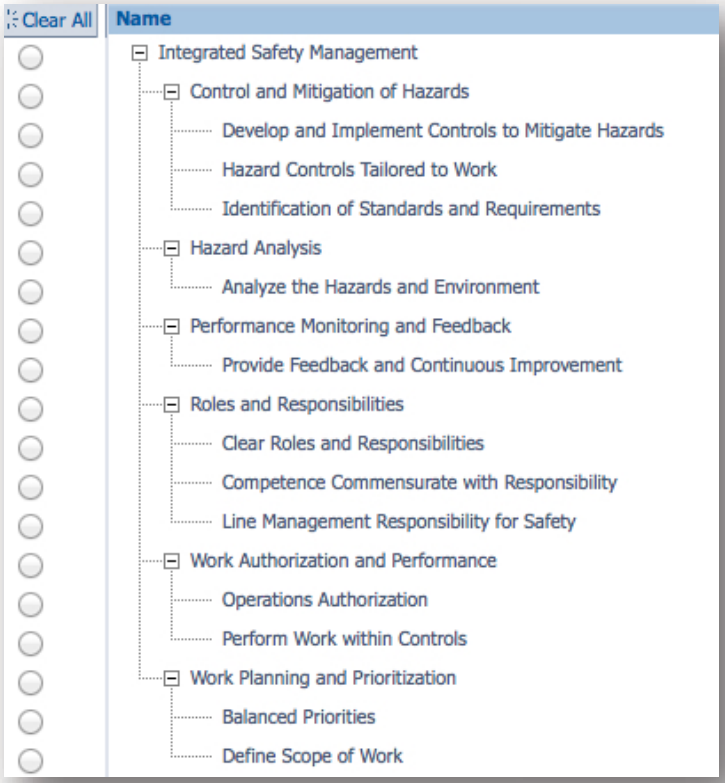
1. Within an investigation, navigate to the ISM Analysis list. Click **Add New ISM Analysis** and a new Analysis record will open.



2. Select the Cause Type. If you are unsure of the Cause type, review the information provided on the description of each Causal Type. If you are still unsure, select Other.



3. Use the Cause Description to describe the cause of the incident.
4. Select Analysis Topic that relates to this Cause. Analysis topics are the elements of Integrated Safety Management that were weak, failed, or circumvented that influenced this incident.



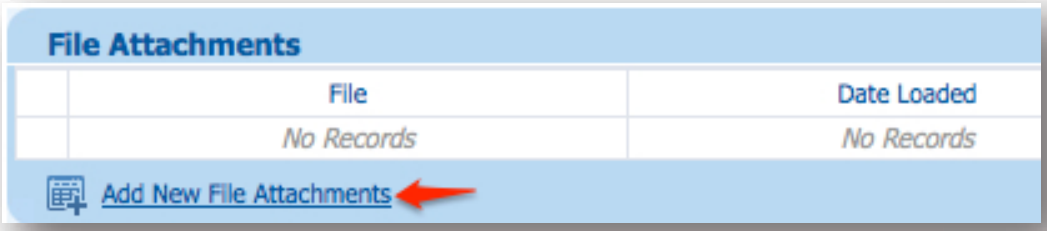
5. Describe the relationship between the Cause and the Analysis topic. [*Was the Core Function misapplied? Skipped entirely? Was the guiding principal executed inconsistently between levels of the organization?]*

6. As with Data Gathering, the Entered By and Entered Date will default to the person entered the data. The Last Updated By and Date will be populated automatically by the system.

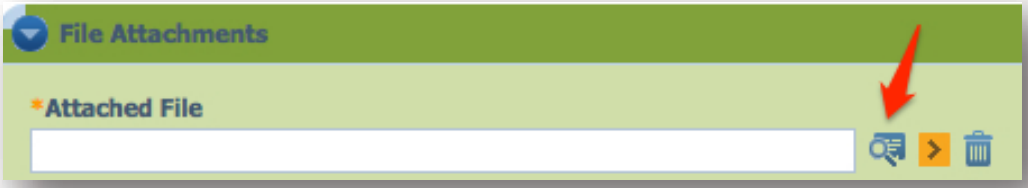
File Attachments

(Investigators & Lead Investigators)

1. Within an investigation, navigate to the File Attachments section. Click **Add New File Attachment** and a new record will open.



2. Click the icon to the right of the Attached File field. This will open the file selection window.



3. Select a file to upload. (The maximum allowable file size is 30MB)
4. You may include a File Name that is different then the name of the File you have selected (use file names and titles entered in 'File Name' field that are readily associated by other users).

   ! IMPORTANT ! Please note that although attachments will be uploaded and stored online with the investigation, theefiles will not appear on the Investigation Report

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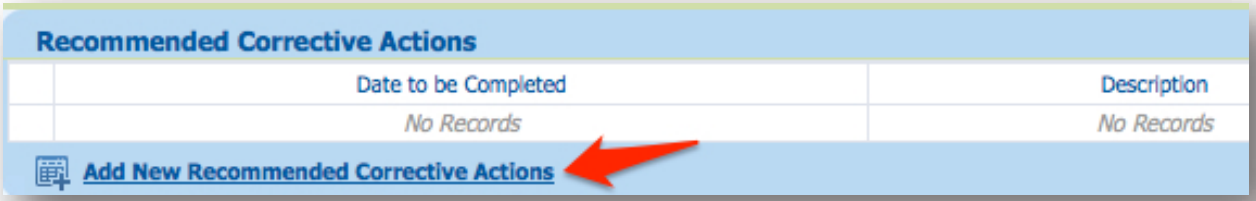
Recommended Corrective Actions

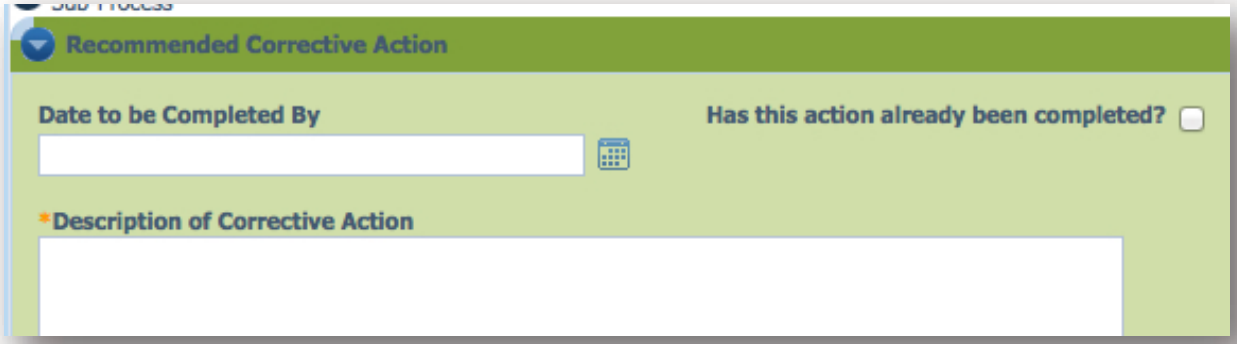
(Investigators & Lead Investigators)

1. Within an investigation, navigate to the Recommended Corrective Actions section. Click **Add New Recommended Corrective Action** and a new record will open.



2. Enter the date that this Corrective Action should be completed
3. Check the box if this Corrective Action has already been completed
4. Enter a description of the Corrective action to be performed

5. After entering the corrective action into the LBNL Issues Management System, enter the corresponding Issue and CATS numbers in association with each corrective action record.



Note: Corrective Actions entered in the investigation are recommendations proposed by the incident review team that should address ISM or other deficiencies identified. The institutions, divisions, or organizations responsible for these actions may choose alternative actions but are ultimately responsible for meeting the LBNL Issues Management requirements. Recommended Corrective Actions that are selected for implementation should be entered into the institutional tracking system to ensure resolution.

Sending out for Review and Approval

(Lead Investigators Only)

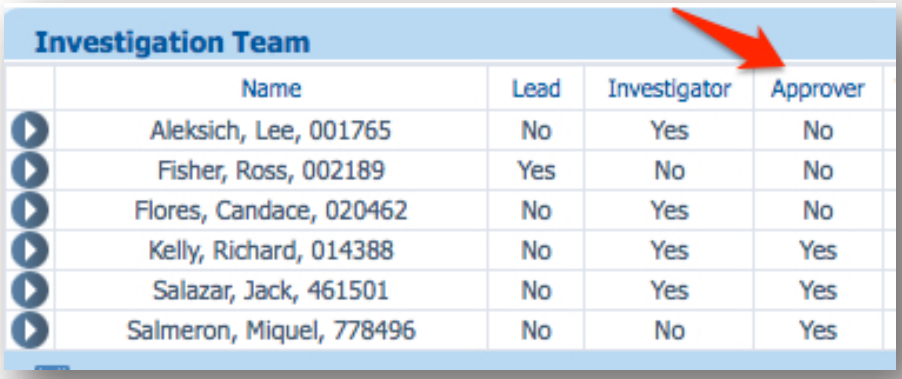
Minimum requirements for sending out for review and approval

- At least one Data Gathering Record
- At least one ISM Analysis Record
- Summary & Conclusions cannot be null
- Causal Factors fields cannot be null

Note: The option to send out an investigation for review and approval will not be available until these conditions have been met.

! IMPORTANT ! Only an individual who is marked as being a Lead Investigator can send an Investigation out for review and approval.

1. Before sending out for Review and Approval, review the Investigation Team list. Only individuals who have been identified as an Approver will be notified and asked to review and approve of the investigation report.



Investigation Team

	Name	Lead	Investigator	Approver
	Aleksich, Lee, 001765	No	Yes	No
	Fisher, Ross, 002189	Yes	No	No
	Flores, Candace, 020462	No	Yes	No
	Kelly, Richard, 014388	No	Yes	Yes
	Salazar, Jack, 461501	No	Yes	Yes
	Salmeron, Miquel, 778496	No	No	Yes

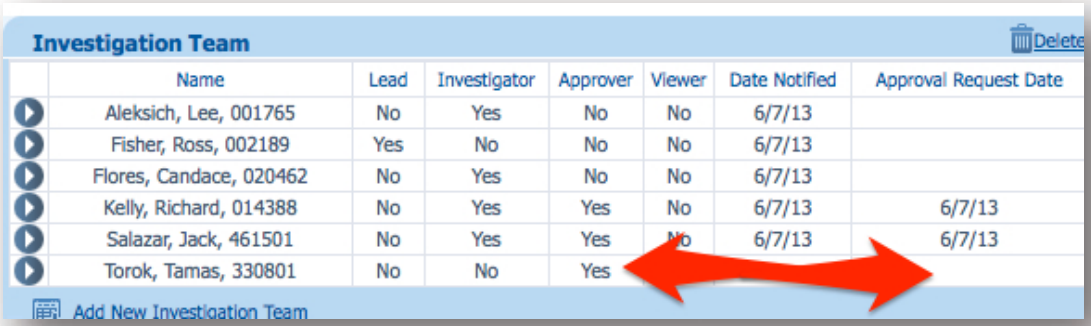
2. Scroll down [or use the navigation pane] to get to the Approval page. To send out for Review and Approval, you must check the "Send out for Approval Signatures" box and click the SAVE button.

3. Once the Request for Approval email has been sent out, the Investigation Team list will move to the bottom of the page. Approvers that have been sent a request for review will have their "Approval Request Date" populated with the date the request was sent.

Investigation Team Delete

	Name	Lead	Investigator	Approver	Viewer	Date Notified	Approval Request Date
	Aleksich, Lee, 001765	No	Yes	No	No	6/7/13	
	Fisher, Ross, 002189	Yes	No	No	No	6/7/13	
	Flores, Candace, 020462	No	Yes	No	No	6/7/13	
	Kelly, Richard, 014388	No	Yes	Yes	No	6/7/13	6/7/13
	Salazar, Jack, 461501	No	Yes	Yes			6/7/13
	Salmeron, Miquel, 778496	No	No	Yes	No		6/7/13

3. After you have sent the Approval Request, you may still add Approvers. However, these individuals will not be notified automatically.



Investigation Team Delete

Name	Lead	Investigator	Approver	Viewer	Date Notified	Approval Request Date
Aleksich, Lee, 001765	No	Yes	No	No	6/7/13	
Fisher, Ross, 002189	Yes	No	No	No	6/7/13	
Flores, Candace, 020462	No	Yes	No	No	6/7/13	
Kelly, Richard, 014388	No	Yes	Yes	No	6/7/13	6/7/13
Salazar, Jack, 461501	No	Yes	Yes	No	6/7/13	6/7/13
Torok, Tamas, 330801	No	No	Yes			

Add New Investigation Team

To send notifications to additional team members, check the "Send out for Approval Signatures" box again and SAVE (see above). This will send Approvers who have not yet been requested (whose Approval Request Date field is blank). Once notified, their Investigation Team member record will be populated with the new date of their Approval Request.

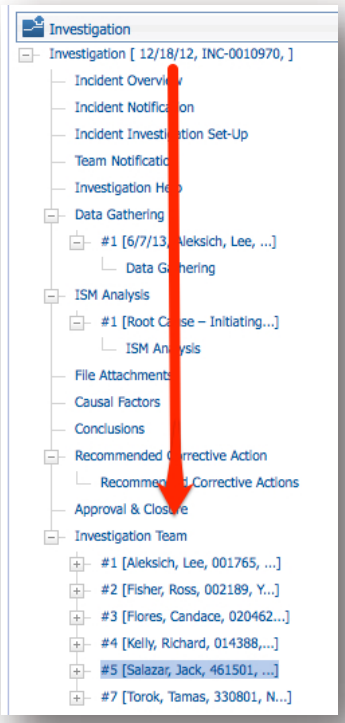
Note: The Sent For Approval date will not change and will permanently reflect the earliest date the Investigation was sent out to Investigation Team members.

Approving an Investigation

(Approvers Only)
Approvers will receive an email requesting their review and approval. The email will contain a PDF of the draft investigation report. Additionally, the email will contain a link to the Investigation record.

Once satisfied with the Investigation, Approvers are required to go into the CHESS system and review the approval disclaimer and indicate their approval.

1. Once in the Investigation record, approvers will need to navigate to the Investigation Team list. *Note: This navigation is intended to force the approval to look over the Investigation record again and ensure proper review.*



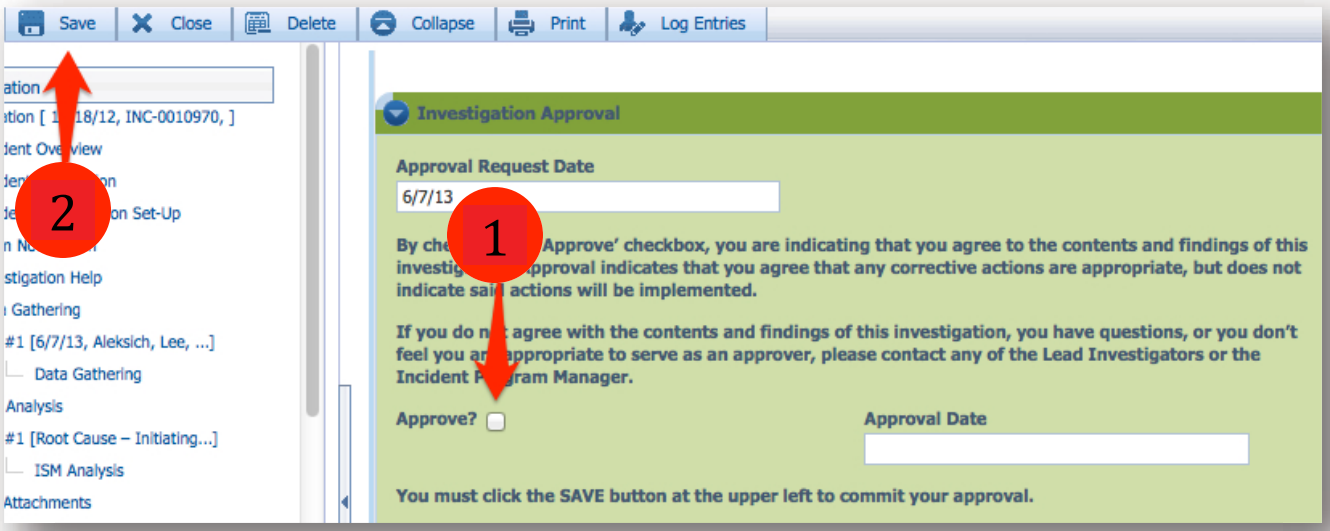
2. Approvers should find their name in the Investigation Team list and click the icon to the left of their name to open their Investigation Team member record.

Investigation Team

Name	Lead	Investigator	Approver
Aleksich, Lee, 001765	No	Yes	No
Fisher, Ross, 002189	Yes	No	No
Flores, Candace, 020462	No	Yes	No
Kelly, Richard, 014388	No	Yes	Yes
Salazar, Jack, 461501	No	Yes	Yes
Torok, Tamas, 330801	No	No	Yes

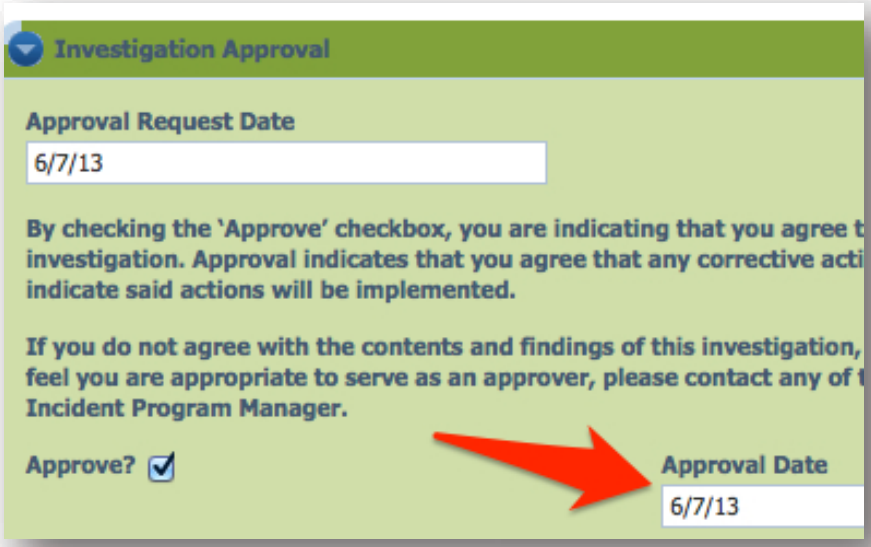
Add New Investigation Team

3. Approvers who have been notified, whose Approval Request Date is not blank, will now see the Investigation Approval page. Approvers will only be able to mark their approval on their own Investigation Team Member record.



Once they are ready to approve, they must check the "Approve?" box and SAVE
Note: The Injury Review Program Manager or a System Administrator can mark the approval for an individual who is unable to access the system.

4. The Approval Date will populate automatically after save



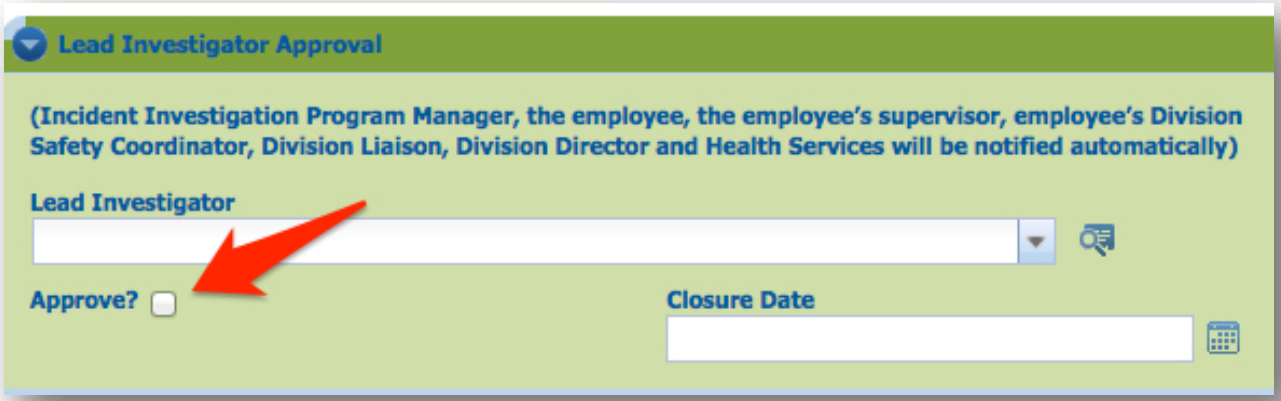
Closing an Investigation

(Lead Investigators Only)

1. Once all approvals have been obtained, the Lead investigator is responsible for final closure of the Investigation. The Lead Investigator will receive an email when all Investigation Team members who are listed as an Approver have marked the <Approve?> box as checked.

Note: This notification does not run instantly and may take up to an hour until Lead Investigator is notified that all signatures have been gathered.

2. Lead Investigators will now have access to the Lead Investigator Approval page.



3. To finalize the Investigation, close it, and distribute the report the Lead Investigator only needs to check the Approve?" box and click SAVE