

Pre-Consultant Incident Investigation Checklist



Quick Start Guide

Are your incident investigations falling short of OSHA's PSM Standard stringent requirements? By completing this meticulous checklist, organizations will enable a quick start to their incident investigation, ensuring OSHA compliance and providing a comprehensive starting point. Proactiveness will significantly enhance the value and efficiency of your external consultant.

Pre-Consultant Incident Investigation Checklist

Identifying Information	
Company / plant / site	
Date checklist completed	
Your full name, job title, phone, and email	
Type of incident	<input type="checkbox"/> Safety accident <input type="checkbox"/> Chemical release <input type="checkbox"/> _____ <input type="checkbox"/> Cybersecurity breach <input type="checkbox"/> Product quality issue <input type="checkbox"/> Environmental spill

Incident Identification & Verification	
Date / time of incident notification	
Date / time of incident confirmed	
How was the incident initially detected?	
Who initially reported the incident?	
Any injuries or fatalities?	<input type="checkbox"/> Injuries _____ <input type="checkbox"/> Fatalities _____
Briefly describe the incident	
Result(s) of incident (check all that apply)	<input type="checkbox"/> Spill <input type="checkbox"/> Fire <input type="checkbox"/> Explosion <input type="checkbox"/> Material entered waterway / storm sewer <input type="checkbox"/> Vapor (gas) dispersion <input type="checkbox"/> Environmental damage <input type="checkbox"/> Warranty claims <input type="checkbox"/> Rework / repair <input type="checkbox"/> Loss of confidential data <input type="checkbox"/> Theft of funds <input type="checkbox"/> System downtime <input type="checkbox"/> Disruption of essential services

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Immediate Actions Taken	
Is the immediate threat contained?	<input type="checkbox"/> Yes <input type="checkbox"/> No
What steps were taken to contain the incident?	
What steps were taken to mitigate immediate damage?	
What emergency services, if any, responded?	<input type="checkbox"/> Fire/EMS Report # _____ <input type="checkbox"/> Police Report # _____
Did the incident cause or contribute to an evacuation?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Was a major transportation artery or facility closed?	<input type="checkbox"/> Yes <input type="checkbox"/> No

Stakeholder Notification	
What internal parties were notified?	<input type="checkbox"/> Executive leadership <input type="checkbox"/> Legal <input type="checkbox"/> IT <input type="checkbox"/> HR <input type="checkbox"/> Operations
Have internal communication systems been initiated?	<input type="checkbox"/> Fire alarms <input type="checkbox"/> Chemical spill alarms <input type="checkbox"/> Mass safety notifications
Have any external parties been notified?	<input type="checkbox"/> Regulators <input type="checkbox"/> Law enforcement <input type="checkbox"/> Customers <i>(Be cautious with external communications before legal review)</i>
Have records of initial communications been secured / preserved?	<input type="checkbox"/> Yes <input type="checkbox"/> No

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Initial Incident Evidence Collection	
Has system logging been preserved?	<input type="checkbox"/> Server logs <input type="checkbox"/> Firewall logs <input type="checkbox"/> Application logs <input type="checkbox"/> Security event logs
Have affected systems / devices been isolated or forensically imaged?	<input type="checkbox"/> Yes <input type="checkbox"/> No <i>(If feasible without destroying evidence)</i>
Has network traffic been captured / analyzed?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not all
Have relevant screenshots or recordings been captured?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not all
Has the incident scene been secured / preserved?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Have any related physical items been collected and secured?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not all
Have photographic / video evidence of the scene and affected areas been captured and secured?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not all
Are there any existing policies, procedures, or manuals relevant to the incident?	<input type="checkbox"/> Safety protocols <input type="checkbox"/> Data handling policies <input type="checkbox"/> Product specs <input type="checkbox"/> Emergency response plan <input type="checkbox"/> _____
Are there any previous incident reports of a similar nature?	<input type="checkbox"/> Yes <input type="checkbox"/> No

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Key Personnel Contact Information	
Primary point of contact's full name, job title, phone, and email	
IT / technical lead's full name, job title, phone, and email	
Legal counsel's full name, job title, phone, and email	
HR representative's full name, job title, phone, and email	
Operations / business unit lead's full name, job title, phone, and email	
Security lead's full name, job title, phone, and email	
Communications lead's full name, job title, phone, and email	
Contractor representative's full name, job title, phone, and email (if applicable)	

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Readiness for Consultant Arrival	
<input type="checkbox"/>	All collected data/evidence should be organized, labeled, and securely stored.
<input type="checkbox"/>	A clear inventory of all evidence should be made available and maintained.
<input type="checkbox"/>	The chain of custody documentation for critical evidence should be in place.
<input type="checkbox"/>	Make internal personnel aware of the consultant's arrival and the need for their cooperation.
<input type="checkbox"/>	Emphasize to personnel the importance of clear, honest, and complete information sharing with the consultant.
<input type="checkbox"/>	Be prepared to answer initial questions and provide additional context.

List of Key Documents to Provide the Consultant	
Incident Overview Document	A concise, factual summary of the incident to date. Include any open issues, concerns, or questions that may have arisen.
Relevant policies and procedures	<input type="checkbox"/> Safety protocols <input type="checkbox"/> Incident response plan <input type="checkbox"/> Disaster recovery plan <input type="checkbox"/> Security policies <input type="checkbox"/> Operational manuals <input type="checkbox"/> Organizational charts <input type="checkbox"/> Contracts with potentially involved third-party vendors <input type="checkbox"/> Organizational charts
Technical incident documents	<input type="checkbox"/> System architecture diagrams <input type="checkbox"/> Network diagrams <input type="checkbox"/> Software inventory
Safety documents	<input type="checkbox"/> Previous related audit reports or hazard risk assessments

System Access Requirements for Consultant	
<input type="checkbox"/>	Identify any system access the consultant will require (e.g., network access, access to facilities).
<input type="checkbox"/>	Coordinate / prepare temporary credentials or secure access methods for consultants.
<input type="checkbox"/>	Set up a dedicated, secure workspace (physical or virtual) for the consultant.

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Prepare to Make the Following Decisions	
<input type="checkbox"/>	Define a clear scope of work for the consultant.
<input type="checkbox"/>	Propose a timeline for the investigation.
<input type="checkbox"/>	Decide your budget considerations for the investigation.
<input type="checkbox"/>	Put confidentiality agreements in place or in progress for the investigation.
<input type="checkbox"/>	Define the preferred communication channels and frequency with the consultant.

Legal & Regulatory Considerations	
<input type="checkbox"/>	Engage internal legal counsel.
<input type="checkbox"/>	Consider any immediate regulatory reporting requirements such as GDPR, HIPAA, OSHA, and EPA.
<input type="checkbox"/>	Consider any ongoing or anticipated litigation risks.
<input type="checkbox"/>	Discuss with legal counsel prior to bringing a consultant on board the attorney-client privilege regarding information shared with the consultant.