

Example checklists for investigations

Incident checklist example – discharge of contaminant

1.	ENTRY UNDER WARRANT	
	If owner or occupier is present, produce warrant (each enforcement officer is required to produce a warrant).	
	<p>If owner or occupier is not present, leave in prominent position or attached to structure: written notice with date, time of inspection and name(s) of officer(s).</p> <p>Take photograph of notice.</p> <p>Inform owner or occupier within seven days of:</p> <ul style="list-style-type: none"> • anything seized • from where • where it is held. 	
	<p>Notice must include:</p> <ul style="list-style-type: none"> • date of entry • time of entry • time enforcement officers leave property • name(s) of enforcement officer(s) • address where inquiries can be made. 	
2.	SAMPLES	
	<p>Have you taken:</p> <ul style="list-style-type: none"> • samples upstream of discharge? • samples downstream of point of discharge? • samples at point of discharge? • samples of suspected contaminant before discharge? • sufficient volumes of samples for the analyses required? <p><i>Sample collection procedure</i></p> <p>Ensure cross-contamination is avoided.</p> <p>Has sample collector completed field sheet with details of samples collected?</p> <p>After collection, the samples should be placed in a secure area (eg, in a chilly bin in a locked car). The person who collects the samples must ensure the samples are secure until registered and secured at the laboratory.</p> <p>Record in field sheet:</p> <ul style="list-style-type: none"> • time and date of collection • name of person who collected the sample 	

	<ul style="list-style-type: none"> • exact location of sample collection point • number or label of sample • type of container • weather and temperature • other conditions affecting the collection of sample. <p>(Note: One person should collect all samples and complete field sheet; another person should take all photographs including a photograph of samples being collected, and should check information in field sheet and sign to confirm the information has been checked).</p> <p>Has there been a discharge of contaminant into air?</p> <p>Can a sample be collected?</p> <p>Is the equipment used to collect the sample in good condition?</p> <p>Note: The person who uses the equipment should be qualified for its use by training or experience.</p>	
3.	PHOTOGRAPHS	
	<p>Have you taken photographs of:</p> <ul style="list-style-type: none"> • the discharge? • the general scene? • vehicles, including licence plates and any other identification on the vehicle(s)? • water or land above the point of discharge? • water or land below the point of discharge? • the sample sites? • the samples being collected? • the bottles/containers in relevant order, eg: <ul style="list-style-type: none"> – upstream of point of discharge? – downstream, so that the clarity of samples can be compared? • any harmful effects of the discharge (eg, dead ducks)? 	

<p>4.</p>	<p>ENVIRONMENTAL EFFECTS</p> <p>Have you walked over the land or down the waterbed into which the discharge is occurring and taken notes and/or photographs of the effect on the environment?</p> <p>Also describe unaffected environment (upstream, upwind, etc).</p> <p>Have you established the nature/type of contaminant being discharged? (This is particularly important when deciding on the analyses that are to be carried out.)</p> <p>Have you established the quantity/volume of contaminants discharged?</p> <p>If fish, ducks, etc. have been killed, count numbers and identify species.</p> <p>Have you considered requiring expert assistance from the appropriate department within the council, to attend on-site immediately for preparing a report on the adverse effects?</p>	
<p>5.</p>	<p>INTERVIEW DETAILS</p> <p>Have you spoken to the following people in regard to the cause(s) of the activity and what they observed?</p> <p>Have you written down in your notebook as they spoke to you what they said?</p> <p>(i) Principals/directors:</p> <p>(ii) Site foreman:</p> <p>(iii) Employees:</p> <p>(iv) Subcontractors:</p> <p>(v) Other agents:</p>	<p>Full Name: Address: Phone number: Position:</p> <p><i>Questions & answers (...)</i> <i>Other information (...)</i></p> <p><i>[repeat as above for each person]</i></p>
<p>6.</p>	<p>KEY FINDINGS</p> <p>Were any instructions given?</p> <p>Who gave the instructions?</p> <p>What were the instructions?</p> <p>Was the discharger acting on his/her own initiative or under the instructions of another person (eg, supervisor or manager)?</p> <p>Who has the authority at the site?</p>	

	<p>Have you established who owns the land? (Verify this by search of land title.)</p> <p>In particular, have you noted down any registration numbers and/or company names of any vehicles or machinery that can be checked later?</p> <p>Have you established if any party has a resource consent?</p> <p>If a resource consent is relevant, has the consent been breached?</p> <p>Is the discharge expressly allowed by a national environmental standard, rule in a regional plan, any relevant proposed regional plan, or regulations?</p> <p>Have you noted factors such as whether potential defendants:</p> <ul style="list-style-type: none"> • are assisting in the clean-up? • accepted responsibility for the pollution? • were polite or aggressive towards council officers? • were forthcoming with information? • indicated remorse? • agree to / are prepared to consider ongoing and/or future remedial action? • realised any profits from the offence? 	
7.	COMPLAINANTS	
	<p>Details:</p>	<p>Name: Address: Phone number:</p> <p><i>Information provided:</i></p>