Incident Reporting and Investigation Procedure

Commencement Date: 21 February 2012
Category: Campus Life, Information Management

1. PURPOSE
This Incident Reporting and Investigation Procedure outlines requirements and standard work practices in relation to recording and reporting of health and safety related incidents that occur at the University, as well as any associated injuries and illnesses. It also outlines statutory obligations in regard to reporting of notifiable work-related injuries, diseases and dangerous occurrences.

It is intended to support Curtin University Managers, Supervisors and Safety and Health Representatives (SHRs) by describing the procedures for incident notification, investigation and reporting. It is important that all incidents, near-misses and hazards are reported and recorded so that:

- appropriate investigations can be performed, and corrective action taken to prevent a recurrence of the incident;
- trend analyses of the collected information can be performed, allowing the University to focus preventative efforts on areas of most concern;
- a formal record is kept for the University and employee, should it be required at a later date, as evidence that the incident took place; and
- legal requirements connected with reporting of injury and worker’s compensation are adhered to.

2. POLICY SUPPORTED
This Procedure supports the Curtin University Occupational Health and Safety Management Standards and the Curtin University Occupational Health and Safety Policy.

3. APPLICATION
This procedure applies to Curtin University Managers, Supervisors, SHRs and anyone else assisting with the completion of incident reports and investigations.

4. DEFINITIONS
The following definitions apply to this Incident Reporting and Investigation Procedure:

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
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<tbody>
<tr>
<td>Corrective Action</td>
<td>An action taken after an Incident to eliminate or reduce the risk of a similar incident recurring.</td>
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<tr>
<td>Hazard</td>
<td>A situation that has the potential to harm a person or cause damage to the environment or property.</td>
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**Term** | **Definition**
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**Illness** | Any work related illness, including disease.

**Incident** | “Any unplanned event resulting in, or having a potential for injury, ill health, damage or other loss.” (AS/NZS 4801:2001 [5])

**Injury** | A personal injury by accident arising out of or in the course of employment, or while the worker is acting under the employer's instructions. An injury is typically classified as a First Aid Injury (FAI), Lost Time Injury (LTI) or a Medical Treatment Injury (MTI), as described in the Injury Classification Guidelines on the Curtin University Health and Safety website.

**Near Hit / Miss** | An incident that did not result in harm but that could have resulted in an occupational injury or illness, damage to physical assets or the environment, disruption to a community and/or damage.

**Work Related Incident** | An incident is classified as Work Related if, at the time of the Incident, the employee or contractor was carrying out activities related to his/her employment.

5. **RESPONSIBILITIES**

This section describes individual responsibilities for incident reporting and investigation.

5.1 **Individuals (Staff, Students, Contractors, Visitors)**

All individuals including staff, students, contractors and visitors must:

- Ensure that all incidents in their area or for which they are involved in are reported within 24 hours or as soon as possible.
- Participate in any investigation of the incident.
- Cooperate with the University in carrying out its obligations imposed on it under OSH legislation.

5.2 **Executive Managers**

Executive managers are responsible for:

- ensuring all incidents, hazards and near hit/misses involving staff, students, visitors and contractors in the Department for which they have responsibility are reported, investigated and have the appropriate corrective actions implemented.
- ensuring SHRs are provided with the time, facilities and assistance they require to perform their functions.
- ensuring staff in their area are aware and understand these procedures and provide suitable training and can demonstrate competency to carry out their role under these procedures should they be required to.
- reviewing incident reports for the area and discussing this with the Health and Safety committee for the area.
- notifying the next of kin in the event of a fatality.
5.3 Line Managers and Supervisors
Line Managers and Supervisors are responsible for:

- ensuring that any incidents involving staff members under their direction are reported, investigated and recorded in accordance with these procedures

- partaking in and coordinating with the relevant SHR in the investigation of any incident in the area for which they are responsible

- reviewing incident notifications

- ensuring that the recommended corrective actions are implemented

- reviewing corrective actions for effectiveness and the timeliness of implementation

- notifying the Health and Safety department and the Executive Manager of any incidents which occurs in their area of responsibility

- updating executive management and Health and Safety department of the progress of investigations

- notifying the family of the person involved in the incident if that person has been taken to hospital

5.4 Safety and Health Representatives (SHR)
SHRs have a number of functions aimed at improving health and safety in the workplace. SHRs are responsible for:

- attending the scene of an incident following notification of the incident

- carrying out an investigation in consultation with the management of the area

- Following-up to ensure all agreed corrective actions have been implemented

5.5 Health and Safety Staff
Health and Safety staff are responsible for:

- participating in incident investigations where required

- cooperating with the University in carrying out the obligations imposed on it under current legislation

- providing advice to Safety and Health Representatives and line management on incident reporting and investigation; and

- ensuring state authorities are notified when applicable in line with legislative requirements

5.6 Health and Safety Committees
Health and Safety committees are responsible for:

- monitoring corrective actions are implemented

- reviewing investigation findings
6. INCIDENT NOTIFICATION

Curtin University requires that incidents of all types be reported and managed to ensure that lessons can be learned and appropriate controls can be implemented.

It is assumed that first responders have taken appropriate steps to provide first aid, arrange for attendance of emergency services and isolate the scene to prevent further injury. For details of Emergency Management procedures see the Curtin University Security website.

Note: An Emergency Procedures Booklet for Bentley campus is located beneath each desk telephone on the Bentley Campus including Tech Park buildings.

Instructions for reporting Incidents are made available on the Curtin University website at www.healthandsafety.curtin.edu.au/event_and_hazard/index.cfm.

6.1 Hazard Management

For further information on Incident and Hazard Management, consult Curtin University’s Making the Workplace Safe document at:


6.1.1 Isolation of the Incident Site

The Manager or Supervisor should ensure that injured persons have been assisted, that the incident site has been isolated, or that corrective actions essential to prevent a further incident have been taken. This should be done immediately following incidents or hazards for which the potential risk is medium, high or extreme and as soon as possible following low risk incidents or hazards.

The SHR for the area or faculty may inspect the workplace immediately following the incident. The SHR should not disturb the incident site until it is confirmed that the incident does not require notification to a regulatory authority or until an inspector has authorized the disturbance of the site. Upon confirmation that the site no longer needs to be isolated, investigation, corrective actions, site restoration or repair work may be commenced in order to make the site permanently safe.

6.2 What should be reported?

All Incidents, including

- injuries and illnesses
- near hit/miss
- hazards
- environmental incidents
- property loss or damage

6.3 Who should report the incident, near hit/miss or hazard?

The injured person, or persons involved in the incident or near hit/miss or identifying the hazard.

Supervisors and/or eye witnesses or SHR’s may assist the reporting person where appropriate or necessary.
6.4 When should the report be completed and submitted?
Within 24 hours or as soon as possible.

6.5 How can accidents, incidents, near-misses or hazards be reported?
Via the Curtin on-line reporting system at

7. INCIDENT REPORTING AND INVESTIGATION
All incidents and hazards identified in the workplace shall be reported through the University’s online incident/hazard reporting system (RMSS).

7.1 Submitting an Incident Report
Incident Notifications can be completed either online (via RMSS) or using a hard copy Incident Notification pro forma. For both online and hard copy notification options see the Event and Hazard page under Health and Safety on the Curtin University website at:

7.2 Receipt of Incident Report
After an Incident Notification is lodged online, Health and Safety will assign the Investigation Team (Manager or Supervisor, Safety & Health Rep, other) for the area where the incident occurred. Investigators will receive an automated email advising them they have been assigned as an investigator.

7.3 Incident Investigation
Managers and Supervisors, in conjunction with SHR’s, shall coordinate an investigation into any reported incident/near miss or hazard.

Incidents involving serious injury or illness, or involving electricity or gas shall be immediately reported to the Health and Safety team on ext. 4900.

The Manager or Supervisor shall ensure that a formal Incident Investigation is completed online in RMSS within the time frame required. Use the Severity rating detailed in the Investigation Notification Email to determine the due date – see below:

- low risk incident or hazard or near hit/miss – due within 7 days
- medium risk incident or hazard or near hit/miss – due within 5 days
- high or extreme incident or hazard or near hit/miss – due within 24 hours

Refer to the attached Incident Investigation Guideline for instructions on how to complete an incident investigation.

Incident Investigations can be completed either online (via RMSS) or using a hard copy Incident Investigation pro forma. For both online and hard copy notification options see the Event and Hazard page under Health and Safety on the Curtin University website at:
7.4 Assigning Corrective Actions

Once an Incident Investigation Report has been completed (including control measures or corrective actions) it should be forwarded to the Safety Advisor for the area where it is entered into RMSS.

Control measures or corrective actions shall be implemented by the due date assigned.

The control measures or corrective actions are to be evaluated and monitored by the manager and SHR.

7.5 Evaluating and Monitoring Corrective Actions

7.5.1 Managers and Supervisors

All control measures or corrective actions are to be evaluated and monitored. This can be achieved through collating anecdotal evidence and through revision of incident/hazard statistics for the area.

Once the desired outcome has been achieved through the implementation of the appropriate controls and actions, monitoring of the system(s) must be on-going in order to ensure that control measures are maintained and do not become obsolete.

Managers and Supervisors shall monitor the progress of implementation of corrective actions, and record and notify the Health and Safety Advisor once implementation of corrective actions is finalised.

7.5.2 The Health and Safety Committee:

Incident Investigation Reports, control measures and corrective actions are to be evaluated and monitored by the Health and Safety Committee.

The Health and Safety Committee should nominate a person to review and report to the Committee on the effectiveness of the implemented control measures.

8. REFERENCES

[1] Occupational Safety and Health Act, 1984

9. LIST OF SCHEDULES

- Incident Investigation Guidelines
- Incident Reporting and Investigation Flowchart (Appendix A)
- Injury Classification Guidelines
- Reporting and Investigation Form
10. **RELEVANT DOCUMENT LINKS**
   - *Incident Reporting and Investigation Flowchart*
   - *Injury Classification Guidelines*
   - *First Aid in the Workplace Minimum Standard*
   - *Reporting and investigation Form*
   - *Hazard Management*
   - *Online Incident and Hazard Reporting*

11. **REVISION HISTORY**

<table>
<thead>
<tr>
<th>Revision Ref. No.</th>
<th>Approved/ Rescinded</th>
<th>Date</th>
<th>Authority</th>
<th>Resolution Number</th>
<th>Document Reference</th>
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<tr>
<td>Rev 1.0</td>
<td>Approved</td>
<td>21 February 2012</td>
<td>Director, Health and Safety</td>
<td>N/A</td>
<td>IRAIP</td>
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Incident Reporting and Investigation Flow Chart

1. Enter incident report in RMSS
2. Assess risk classification to determine required investigation (Low Risk: 7 days; Medium Risk: 5 days; High or Extreme Risk: 24 hrs)
3. Initiate investigation within:
   - Low Risk: 7 days
   - Medium Risk: 5 days
   - High or Extreme Risk: 24 hrs
4. Participate in investigation if required
5. Assess risk classification to determine required investigation
6. Notify regulatory authorities if required
7. Form investigation team
8. Identify root causes and contributing factors
9. Identify controls or corrective actions
10. Assign corrective actions
11. Complete investigation process within 7 days of initiation
12. Submit findings to Safety & Health
13. Participate in investigation if required
14. Enter findings into RMSS
15. Ensure corrective actions are completed
16. Review and evaluate corrective actions
17. Review all incident reports and investigations
18. Close incident in RMSS
19. Publish safety bulletin if required

Area of Health and Safety

Health and Safety

Manager

SMR

Individual Reporting