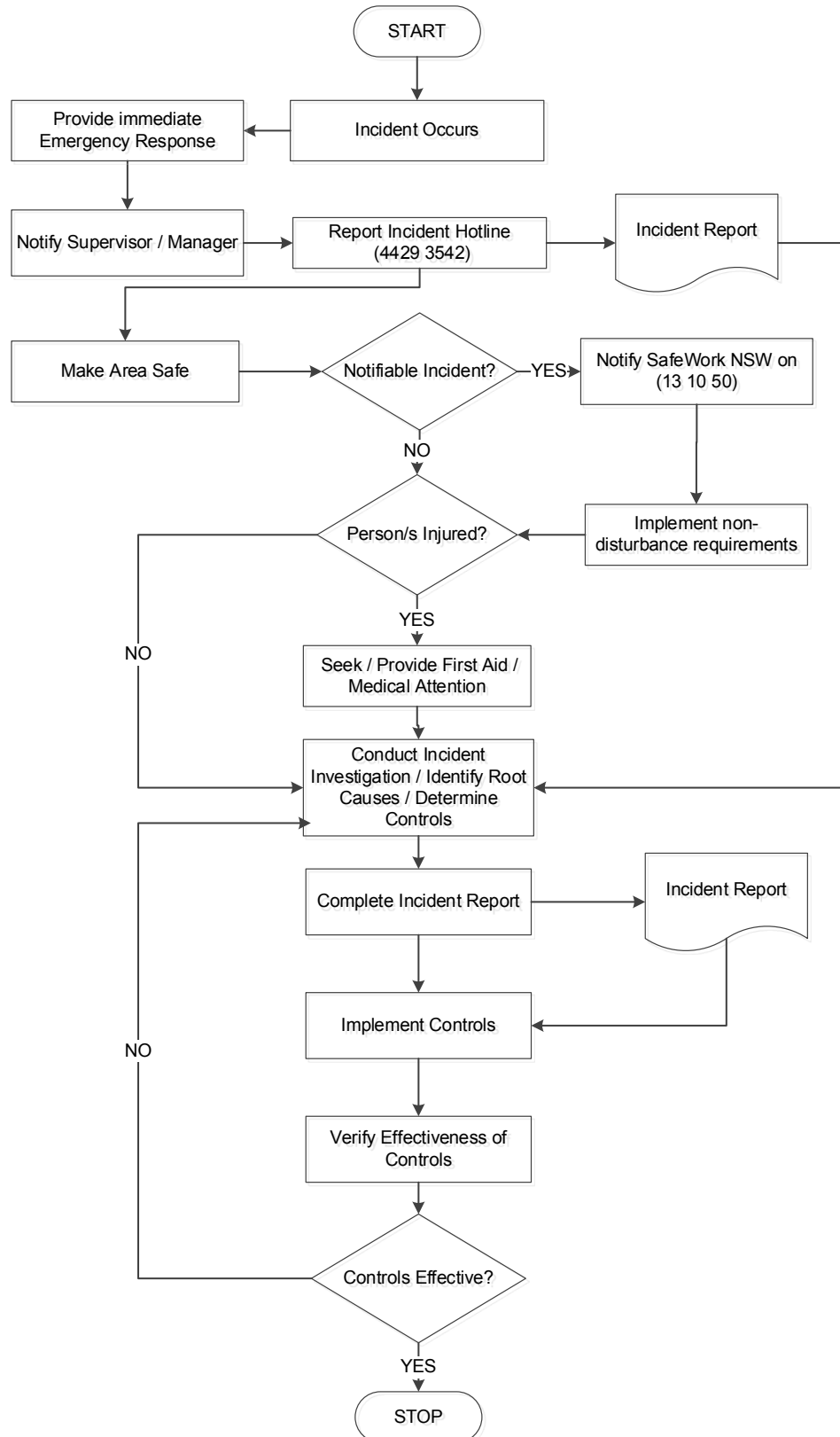


INCIDENT REPORTING, INVESTIGATION and CORRECTIVE ACTION

1.0 SUMMARY / FLOWCHART



2.0 RESPONSIBILITY

Organisational Level	Health and Safety Responsibilities
Level 1 (<i>General Manager, Group Directors</i>)	Provide adequate resources to ensure that the incident reporting and investigation systems are clearly defined, implemented, communicated to workers, and effective.
	Provide adequate financial resources to ensure that workers required to conduct incident investigations are trained as required by this procedure.
	Provide adequate resources to ensure that approved corrective actions are implemented and reviewed to ensure their effectiveness.
	Promote incident reporting processes.
	Ensure that systems and processes are implemented for the notification of the appropriate regulatory authority as required by legislation.
Level 2 (<i>Section Manager, Unit Manager / Unit Co-ordinator, Project Manager</i>)	Advise the General Manager and Group Directors of the resources required for the effective operation of this procedure.
	Ensure incidents are reported and investigated in accordance with the requirements of this procedure.
	Ensure that workers involved in incidents are consulted in relation to proposed corrective actions.
	Attend Incident Investigation training when scheduled
	Ensure that approved corrective actions are implemented and reviewed to ensure their effectiveness.
	Ensure that systems and processes are implemented for the notification of the appropriate regulatory authority as required by legislation.
Level 3 (<i>Coordinator within a Unit, Team Leader, Supervisor, Ganger or Leading Hand or Operator</i>)	Advise Management of the resources required for the effective operation of this procedure.
	Ensure incidents are reported and investigated in accordance with the requirements of this procedure.
	Ensure that workers involved in incidents are consulted in relation to proposed corrective actions.
	Attend Incident Investigation training when scheduled
	Ensure that approved corrective actions are implemented and reviewed to ensure their effectiveness.
	Ensure that systems and processes are implemented for the notification of the appropriate regulatory authority as required by legislation.

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Level 4 (<i>Team Member, Operator Attendant, Trainee, Apprentice</i>)	Report incidents in accordance with this procedure.
	Comply with risk management procedures and those requirements defined by SCC Procedures or WHS Systems.
	Ensure that approved corrective actions are implemented and reviewed to ensure their effectiveness.
Level 5 (<i>Volunteer, Contractor, Other</i>)	Report incidents in accordance with this procedure.

3.0 PURPOSE & SCOPE

3.1 PURPOSE

3.1.1 To define the requirements for the reporting and investigation of all safety, health and environmental incidents that occur within Shoalhaven City Council, (SCC) with the aim to:

- 3.1.1.1 ensure appropriate corrective action is undertaken;
- 3.1.1.2 prevent similar incidents recurring in the future;
- 3.1.1.3 identify any new hazards or aspects; and
- 3.1.1.4 identify and choose suitable controls.

3.1.2 The procedure also outlines the requirements for statutory reporting of notifiable work-related injuries, dangerous occurrences and potential environmental harm, which are mandatory requirements under legislation.

3.2 SCOPE

3.2.1 This procedure covers all SCC workers, contractors and/or visitors on any SCC designated work site whether council owned, managed or otherwise.

4.0 PROCEDURE

4.1 OVERVIEW OF INCIDENT REPORTING

- 4.1.1 Incident occurs and assistance and response is provided
- 4.1.2 Work team implement immediate control measures to make the site/situation safe
- 4.1.3 Investigation is undertaken involving work team, supervisors, unit manager and WHS Risk Unit as appropriate. (Most incidents will just involve the work team and unit manager).
- 4.1.4 Unit Manager determines the "manager control" (unless the WHS Risk Unit determine to take the lead for serious matters, in which case the WHS Risk Unit Manager will determine the "manager control")

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- 4.1.5 The appropriate Safety Committee will review the above information in particular the "manger control". The committee may ask any of the staff involved to address the committee
- 4.1.6 If the appropriate WHS Committee agrees with the "manager control" the information will flow through to the CSR for review and any organisation wide implications
- 4.1.7 If the appropriate WHS Committee disagrees or improves the manager control the matter will be referred to the relevant Section Manager and the CSR will be advised of the Section Manager referral.
- 4.1.8 The Section Manager will review in consultation with the appropriate Safety Committee and the WHS Risk Unit Manager, and determine a "Manager Control" this will be forwarded to the CSR for endorsement. If the CSR aren't prepared to endorse the "Manager Control" the CSR will determine a course of action.

4.2 INCIDENT CLASSIFICATIONS

- 4.2.1 To ensure all incidents are adequately addressed within an appropriate timeframe, incidents will be classified by levels of severity. Incident levels 1, 2, and 3 have been developed based on levels of severity, Level 1 being the most severe type of incident.
- 4.2.2 For the purpose of this procedure, incidents occurring within, or impacting upon SCC worker's safety and health and the environment, will be rated and defined as follows:
 - 4.2.2.1 High Level incident: High to Very High Impact
 - 4.2.2.2 Moderate Level incident: Moderate to High Impact
 - 4.2.2.3 Low Level incident: Low to Moderate Impact

4.3 NOTIFICATION / REPORTING INCIDENT / INJURY

- 4.3.1 Workers and visitors will report all safety, health and environmental injuries and incidents (regardless of classification level) as soon as immediately practicable after the event to the appropriate supervision level:
 - 4.3.1.1 Workers and labour hire staff will report to their Supervisor/Manager, and/or WHS Manager/Advisor;
 - 4.3.1.2 Visitors will report to their host or designated point of contact;
 - 4.3.1.3 Contractors will report to their Contract Manager or site representative.
- 4.3.2 Once an incident has occurred, those involved in the incident will report the incident by the quickest available means. The appropriate Manager/Supervisor will confirm the level of the incident and will implement the appropriate escalation and investigation response in

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accordance with the requirements specified in this procedure and site Emergency Response Plans.

- 4.3.3 If statutory notification is required immediately post an event, contact will be made with relevant authorities as soon as possible following the event. It is advisable to gain advice from the WHS Risk Unit prior to notifying authorities, however, this may not always be possible. Mandated time frames will be adhered to meet statutory reporting requirements set out by legislation.

NOTE: It is necessary to get acknowledgement from the regulator that the notification has been received. It is not sufficient to send a text message, e mail, fax or to leave a message on a regulators office answering machine because the notification may not be received for some time.

- 4.3.4 If an incident results in an injury or illness to a worker the Workers Compensation Claims Co-ordinator will be notified immediately.
- 4.3.5 If an incident results in injury or illness to a visitor or contractor the Insurance officer will be notified.
- 4.3.6 Those involved in the incident will complete the appropriate **Incident Report Form as soon as immediately practicable**
- 4.3.7 Please note that while “immediate notification” can be made verbally, written notification is still required within 24 hours of an incident.

4.4 INCIDENT INVESTIGATION

- 4.4.1 The purpose of an incident investigation is to establish both the immediate and underlying causes of the hazard or incident in order to identify actions to prevent a recurrence.
- 4.4.2 The preferred methodology for internal investigations throughout SCC is Root Cause Analysis (RCA). The RCA process allows a structured approach to investigations of incidents at all levels of significance in order to identify causal factors and determine corrective and preventative measures.
- 4.4.3 Where an incident has resulted in serious injury or damage to property or the environment the level of investigation should be obvious. However, in the case of a near miss, an assessment may be required of the potential risk for major damage and injury so that the opportunity for learning and prevention of a further occurrence is not lost.
- 4.4.4 It is important that all occurrences categorised as Level High or Moderate incidents are investigated as soon as practicable after the event, as it:
 - 4.4.4.1 Allows for the identification of incident causes to establish corrective and preventative strategies;
 - 4.4.4.2 Provides a point of reference to establish trends in incident causes;
 - 4.4.4.3 To allow incident information to be communicated across the organisation so learnings happen from past incidents

- 4.4.5 Full investigations for Low Level incidents may not be warranted; however, corrective and preventative actions will be identified to mitigate future risk as a result of the incident.

4.5 INVESTIGATION TEAM MEMBERS

4.5.1 This will be dependent on the seriousness of the incident and the potential or actual loss, damage or injury involved. The investigation team may include:

Table 1: Investigation Team Members

Risk Level	Requirement	Investigation Team and Participants
Low	Report Only Root Cause Analysis (RCA) Optional	Supervisor leads investigation <ol style="list-style-type: none"> 1. Person Involved 2. Supervisor 3. WHS Committee Member
Moderate	RCA Recommended	Management leads investigation <ol style="list-style-type: none"> 1. Worker and/or supervisor from the area concerned (but not directly involved in incident). 2. WHS Risk Officer 3. Unit Manager
High	RCA Mandatory	Management leads investigation <ol style="list-style-type: none"> 1. Worker and/or supervisor from the area concerned (but not directly involved in incident). 2. WHS Manager/Officer 3. Section Manager 4. RCA skilled analyst 5. Expert/technical/other Optional Independent Section Manager and/or Independent External Team Member (5 – 8 as appropriate)

4.6 INCIDENT INVESTIGATION PROCESS

4.6.1 The following process will be used to ensure the adequacy and consistency of incident investigations:

4.6.1.1 Speak to any worker involved in the incident or who may have any knowledge of the circumstances surrounding the incident.

4.6.1.2 Ascertain if there were any other witnesses to the incident and speak with them. P21.F05 Statement of Witness to Incident form may be used to record details. In the event a witness cannot speak or understand English clearly, an interpreter will be engaged. In such cases the Interpreter’s annexure on form P21.F05 will be completed.

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- 4.6.1.3 Ascertain if a risk assessment has been conducted relating to the task being performed at the time of the incident and whether all hazards had been identified and the associated risks properly assessed and correctly controlled.
- 4.6.1.4 Where a risk assessment was completed, consider whether or not the hierarchy of controls were considered in determining risk controls for any identified hazards.
- 4.6.1.5 Ascertain if any Safe Work Method Statements (SWMS), Safe Work Instructions (SWI's), or Standard Operating Procedures (SOP's), or similar, existed for the task and whether the procedure/instruction was complied with.
- 4.6.1.6 If the incident involved an item of plant, check the condition of the plant, ensuring that any plant damaged as a result of the incident is "tagged out" of service and arrangements made to have the plant repaired. Check pre start checklist appropriate qualifications/ competency of operator.
- 4.6.1.7 Arrange for Alcohol or other Drugs testing if required.
- 4.6.1.8 Obtain photos of the scene of the incident and gather any documentary evidence that may exist relating to the incident.
- 4.6.1.9 Ascertain if there are records of similar incidents within or external to Council.
- 4.6.1.10 Document any control measures that have been implemented following the incident.
- 4.6.1.11 Record any control measures you believe may assist in reducing the risk associated with the incident, making sure to consider the hierarchy of controls.

4.7 TRAINING

- 4.7.1 All workers will have received a site induction awareness instruction/training on identifying risks and hazards/aspects in the workplace, as well as the process for reporting injury and incidents in accordance with this procedure.
- 4.7.2 Managers/Supervisors/WHS Representatives will have:
 - 4.7.2.1 Attended Investigation training;
 - 4.7.2.2 Attended Risk Management training.
- 4.7.3 Lead Investigator will have:
 - 4.7.3.1 Attended Investigation training;
 - 4.7.3.2 Attended Risk Management training;
 - 4.7.3.3 Received training and has a level of competency in applying incident fact finding and analysis tools;
 - 4.7.3.4 Previous experience in comparable scale investigations.

4.8 RECORDS

4.8.1 All records will be kept and maintained in accordance with P04 Document & Records Control Procedure.

4.8.2 Records being created from this procedure will include, but not limited to:

- 4.8.2.1 Completed Injury/Incident Investigation and Reporting Form;
- 4.8.2.2 Completed Risk Assessment Form;
- 4.8.2.3 Attached Investigation Records and Reports;
- 4.8.2.4 Minutes from i.e. toolbox/local/WHS committee meetings, etc. demonstrating workers have been informed of the incident and corrective actions.

5.0 REFERENCES & ASSOCIATED DOCUMENTS

5.1 WHS Act 2011

5.2 WHS Regulation 2017

5.3 Work Health and Safety Consultation, Co-operation and Co-ordination – Code of Practice 2011

5.4 P21.F01 Incident Report

5.5 P21.F02 Incident Note (NTL)

5.6 P21.F03 Hazard Note

5.7 P21.F04 Incident Investigation

5.8 P21.F05 Statement of Witness to Incident

APPENDIX 1 - DEFINITIONS

As soon as immediately practicable	Notification as soon as an employee, labour hire, contractor or visitor becomes aware of the incident, and by the quickest available means.
Dangerous Incident	<p>An incident in relation to a workplace that exposes a worker or other person to a serious risk to a person’s health or safety emanating from immediate or imminent exposure to:</p> <ul style="list-style-type: none"> • an uncontrolled escape, spillage or leakage of a substance, or • an uncontrolled implosion, explosion or fire, or • an uncontrolled escape of gas or steam, or • an uncontrolled escape of a pressurised substance, or • electric shock, or • the fall or release from a height of any plant, substance or thing, or • the collapse, overturning, failure or malfunction of, or damage to, any plant that is required to be authorised for use in accordance with the regulations, or • the collapse or partial collapse of a structure, or • the collapse or failure of an excavation or of any shoring

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	<p>supporting an excavation, or</p> <ul style="list-style-type: none"> the inrush of water, mud or gas in workings, in an underground excavation or tunnel, or the interruption of the main system of ventilation in an underground excavation or tunnel, or (any other event prescribed by the regulations, but does not include an incident of a prescribed kind.
First Aid Treatment Injury (FTI)	<p>An occupational injury or illness which results in first aid treatment being administered, which may include the following;</p> <ul style="list-style-type: none"> Visit(s) to a health care provider for the sole purpose of assessment or observation. Diagnostic procedures, including the use of prescription medications solely for diagnostic purposes. Use of non-prescription medications including antiseptics. Simple administration of oxygen. Administration of tetanus/diphtheria shot(s) or booster(s). Cleaning, flushing or soaking wounds on skin surface. Use of wound coverings such as bandages, steri-strips, gauze pads, Band – Aids etc. Use of hot and cold therapy e.g. compresses, soaking, whirlpools, non-prescription creams/lotions for local relief except for musculoskeletal disorders (e.g. ice-packs, heat packs, wheat bags). Use of totally non-rigid, non-immobilizing means of support e.g. elastic bandages. Use of eye patches. Removal of foreign bodies embedded in the eye if only irrigation or removal with a cotton swab is required. Removal of splinters or foreign material from areas other than the eyes by irrigation, tweezers, cotton swabs or other simple means. <p>All the above are regarded as First Aid regardless of the provider, who may be a physician, nurse or other health care provider.</p>
Hazard	A situation that has the potential to harm a person, the environment or damage property.
Hierarchy of Risk Controls	The ways of controlling risks are ranked from the highest level of protection and reliability to the lowest. Refer to the Risk Management Procedure for further details.
Incident	Any unplanned or unwanted event resulting in or having a potential for injury, illness, damage or loss
Incident Investigation	The scientific and academic analysis of the facts that occurred during an event.
Lost Time Injury (LTI)	An occupational injury or illness resulting in the worker/contractor being unable to attend work on the next rostered day after the day of the injury. May also include the loss of subsequent (future) full shift(s) if that loss is attributed directly to the reported injury or illness.

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<p>Medical Treatment Injury (MTI)</p>	<p>An occupational injury or illness resulting in the medical management and care of a patient to combat disease or disorder, including;</p> <ul style="list-style-type: none"> • Any loss of consciousness • Surgical procedure including administration of sutures • Administration of prescription medication in direct relation to the recorded workplace injury. <p>It does not include:</p> <ul style="list-style-type: none"> • A first aid incident or a lost time incident. • Visits to physicians or other licensed health care professional solely for observation or counselling. • The conduct of diagnostic procedures, such as X-rays and blood tests, including the administration of prescription medications used solely for diagnostic purposes (for example, eye drops to dilate pupils). • Visits to physicians or other licensed health care professionals solely for therapy as a preventative measure (for example, physiotherapy or massage as preventative therapy).
<p>Near Miss</p>	<p>An event in the workplace that did not result in an injury, but has the potential to do so, if not controlled</p>
<p>Notifiable Incident</p>	<p>An incident of the following type that must be notified to SafeWork:</p> <ul style="list-style-type: none"> • the death of a person, or • a serious injury or illness of a person, or • a dangerous incident.
<p>Potential Environmental Harm</p>	<p>Examples:</p> <ul style="list-style-type: none"> • release of fluids or contaminated stormwater off site towards local water ways • release of fumes to the atmosphere with potential for complaints or • health effects on the adjacent community
<p>Root Cause Analysis</p>	<p>Root cause analysis (RCA) is a problem-solving method which is used to pinpoint the exact cause of a problem or event.</p> <p>The root cause is the actual cause of a specific problem or set of problems, and when that cause is removed, it prevents the final undesirable effect from occurring.</p>
<p>Serious Injury or Illness</p>	<ul style="list-style-type: none"> • An injury or illness requiring the person to have: <ul style="list-style-type: none"> - immediate treatment as an in-patient in a hospital, or - immediate treatment for: <ul style="list-style-type: none"> ○ the amputation of any part of his or her body, or ○ a serious head injury, or ○ a serious eye injury, or ○ a serious burn, or ○ the separation of his or her skin from an underlying tissue (such as degloving or scalping), or ○ a spinal injury, or

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	<ul style="list-style-type: none"> ○ the loss of a bodily function, or ○ serious lacerations, or • Medical treatment within 48 hours of exposure to a substance, • Any infection to which the carrying out of work is a significant contributing factor: <ul style="list-style-type: none"> - With micro organisms - That involves providing treatment or care to a person • That involves handling or contact with animals, animal hides, skins, wool or hair, animal carcasses or animal waste products. • The following occupational diseases contracted in the course of work involving handling or contact with animals, animal hides, skins, wool or hair, animal carcasses or animal waste products: <ul style="list-style-type: none"> - Q Fever - Anthrax - Leptospirosis' diseases - Brucellosis - Hendra Virus - Avian Influenza - Psittacosis
<p>Significant Incident</p>	<p>An event within the workplace that may result in an employee of Council being unfit for work for more than 7 days</p>

APPENDIX 2 – LEVEL OF INCIDENT

Consequence of Incident	High Telephone: Immediately (<1 hour) Written Notification Incident Report Form: <24 hours Investigation Incident Report Form: <48 hours Mandatory	Moderate Telephone: Immediately (<1 hour) Written Notification Incident Report Form: <24 hours Investigation Incident Report Form: <5 days Mandatory	Low Written Notification Incident Report Form: <48 hours Detailed investigation not required
Injury	<ul style="list-style-type: none"> • Fatality to workers, labour hire employees, visitor, member of the public or contractor on SCC sites. • Event of circumstance that could have resulted in the high likelihood of one or more deaths • Event or circumstance that presented a high likelihood of a serious injury/incident, such as: <ul style="list-style-type: none"> – fire, – Lost time injury – release of gas, – tools or objects falling from work platform, – mislabelling or wrongful use of hazardous chemicals, – dangerously defective electric wiring, etc. • A worker/ contractor/ member of the public on SCC sites requiring immediate medical treatment. • All major vehicle accidents either whilst travelling or on SCC sites, which results in an individual requiring immediate medical attention. • Any incident defined in the WHS Act or environmental legislation as an immediately Notifiable / Significant incident. • Incident where a large scale investigation will occur by a government authority such as SafeWork NSW • Allegations of/or actual serious sexual or serious physical assault or serious threats made against workers. 	<ul style="list-style-type: none"> • Medical treatment – doctor’s surgery sought, beyond the scope of first aid. • Work related injury or illness incurring lost time (one or more days off work), through: <ul style="list-style-type: none"> – broken or fractured bones – A person requiring medical treatment – Partial temporary loss of sense(s) – Minor infection • Multiple occurrences causing minor injuries resulting from systemic deficiencies (e.g. back strains, forklift collisions) • Inappropriate behaviour: behaviour that could result in potential risk to workers or others. 	<ul style="list-style-type: none"> • Nil work absence. Superficial or first aid injury Superficial or in house first aid sort: <ul style="list-style-type: none"> – Minor sprains/ strains; – Bumps/ bruises; – Paper cuts/ minor abrasions. • All minor vehicle accidents either whilst travelling or on SCC sites, which does not result in an individual requiring medical attention.
Damage to	<ul style="list-style-type: none"> • Major structural failure or plant damage rendering it 	<ul style="list-style-type: none"> • Any incident that results or is likely to 	<ul style="list-style-type: none"> • Minor damage to plant or

Consequence of Incident	High Telephone: Immediately (<1 hour) Written Notification Incident Report Form: <24 hours Investigation Incident Report Form: <48 hours Mandatory	Moderate Telephone: Immediately (<1 hour) Written Notification Incident Report Form: <24 hours Investigation Incident Report Form: <5 days Mandatory	Low Written Notification Incident Report Form: <48 hours Detailed investigation not required
Plant / Equipment	<p>unusable for its designed task. This includes:</p> <ul style="list-style-type: none"> – an accident involving the failure of load-bearing or pressure-retaining components of registered plant; or – the collapse or partial collapse of any part of a building or structure; or – Damage to any boiler or other pressure vessel, or damage to a load bearing member of any lifting machinery, or scaffolding, which endangers the health or safety of any person in the vicinity. <ul style="list-style-type: none"> • A product produced by the company that is responsible for causing harm to persons, property or the environment except where the product is designed for such a purpose. • An occurrence, involving imminent risk of explosion, fire, death, serious bodily injury or illness to any person or serious damage to any property. 	<p>result in property damage and/or business disruption for replacing minor section of plant and equipment, or overhaul of major section that does not exceed or is unlikely to exceed \$250,000.00. May cause short term disruption to usual business but can be recovered or repaired within 48 hours.</p>	<p>property that may cause short term disruption to usual business but can be recovered/ repaired within 48 hours.</p> <ul style="list-style-type: none"> • Minor costs incurred.
Disease	<ul style="list-style-type: none"> • Any work-related disease contraction, incl. aggravation of a pre-existing disease, where a worker, labour hire or contractor is unable to carry out normal duties. 		

Consequence of Incident	High Telephone: Immediately (<1 hour) Written Notification Incident Report Form: <24 hours <ul style="list-style-type: none"> • Investigation Incident Report Form: <48 hours Mandatory 	Moderate Telephone: Immediately (<1 hour) Written Notification Incident Report Form: <24 hours <ul style="list-style-type: none"> • Investigation Incident Report Form: <5 days Mandatory 	Low Written Notification Incident Report Form: <48 hours <ul style="list-style-type: none"> • Detailed investigation not required
Environmental	<ul style="list-style-type: none"> • Any incident involving the release of a significant quantity of fluids (that is not tap water, uncontaminated rainwater,) off site that could impact off site surface waters • Any incident involving the release of a significant quantity of air emissions (such as odour or dust) into the atmosphere that could impact the amenity or health of the surrounding community • Any incident defined in applicable State or Commonwealth legislation as an immediately notifiable. • Any incident where a large scale investigation, prosecution or loss of licence is likely to occur by external regulatory authority. • Any incident where significant media coverage or community attention adversely impacting the company's reputation is likely to occur. 	<ul style="list-style-type: none"> • Any incident involving the release of a significant quantity of fluids (that is not tap water, uncontaminated rainwater) or repeated releases of small quantities of fluids (e.g. 5-10 L) which are contained on site • Any identified non-compliance event defined in applicable State or Commonwealth legislation e.g. licence conditions as notifiable within prescribed reporting periods. • Incident where a notice of alleged non-compliance is likely from an external regulatory authority • Any confirmed public environmental complaint where the SCC site is found to have impacted on offsite amenity or health. • Monitoring results which indicate non-compliance with legislative requirements. • Incident which comes to the attention of an external regulatory authority 	<ul style="list-style-type: none"> • Any incident involving the release of tap water, uncontaminated rainwater off site or on site. • Any incident involving isolated releases of small quantities of fluids (e.g. <5-10L) which are contained on site
Other	<ul style="list-style-type: none"> • Near Miss (risk rating — EHML) Event or circumstance that could have resulted in the high to extreme likelihood of one or more severe injury/incident. 	<ul style="list-style-type: none"> • Near Miss (risk rating – EHML) Event or circumstance that could have resulted in the high likelihood of one or more severe injury/incident. 	<ul style="list-style-type: none"> • Near Miss (risk rating – EHML) Event that could have resulted in the likelihood of a more severe injury/incident.