



Incident Reporting and Investigation Procedure

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| Version No: | V01.02 |
| Approved: | 06/05/2016 |
| Next Review: | 06/05/2018 |

1. Overview

The District Council of Mount Remarkable is committed to Report, Record and Investigate Incidents, identifying Corrective and Preventative Actions, and implementing and reviewing them for effectiveness.

This Procedure aims to make sure that:

1. Information on Council's Incident Reporting and Investigation Procedure is provided during Induction.
2. Managers and Supervisors are provided with training to enable them to Investigate Incidents which occur in their areas.
3. Incidents are reported to the relevant Manager or Supervisor within 24 hours, or as soon as reasonably practicable after they occur.
4. Statutory Reporting conforms with Legislative requirements.
5. Managers and Supervisors Investigate Incidents and, where required, Consult with the HSR and / or relevant workers and stakeholders.
6. A Risk Management approach is applied to the findings of Incident Investigations so that any Hazards Identified are eliminated or, where that is not reasonably practicable, minimised, so far as is reasonably practicable, by the application of the Hierarchy of Control.
7. Corrective and Preventative Actions are monitored and reviewed in Department Meetings for effectiveness.
8. Incident statistics are reviewed by the WHS Committee and the Management Team so that trends are identified, and planned corrective and preventative actions are completed.

2. Core components

The core components of Council's Incident Reporting and Investigation program require:

REPORTING

1. A Procedure for the Reporting of Incidents is in place.
2. Staff are trained in the Reporting requirements and Reporting system.
3. The system has a requirement to Report (internal).
4. The system has a requirement to Report (external).
5. The system requires immediate Corrective Action to be taken where required, if reasonably practicable.
6. The system requires Incident Reports to be documented and records kept.

INVESTIGATION

1. A process for the Investigation of Incidents is in place.
2. Appropriate staff are trained in the Investigation Process.
3. Investigations are undertaken in line with the Process.
4. The Investigation identifies Corrective and Preventative Actions, if required.
5. The system requires any Investigation to be documented and records kept.
6. Appropriate Consultation / Communication occurs.
7. Investigations are appropriately completed including a review of the findings.



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3. Definitions

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| Dangerous Incident | <p>An incident in relation to a workplace that exposes a worker or any other person to a serious risk to a person's health or safety emanating from an immediate or imminent exposure to—</p> <ul style="list-style-type: none"> (a) an uncontrolled escape, spillage or leakage of a substance; or (b) an uncontrolled implosion, explosion or fire; or (c) an uncontrolled escape of gas or steam; or (d) an uncontrolled escape of a pressurised substance; or (e) electric shock; or (f) the fall or release from a height of any plant, substance or thing; or (g) 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 (h) the collapse or partial collapse of a structure; or (i) the collapse or failure of an excavation or of any shoring supporting an excavation; or (j) the inrush of water, mud or gas in workings, in an underground excavation or tunnel; or (k) the interruption of the main system of ventilation in an underground excavation or tunnel; or (l) any other event prescribed by the regulations <p>[as defined by the <i>Work Health and Safety Act 2012: Section 37</i>]</p> |
| Hierarchy of Control | <p>If it is not reasonably practicable for risks to health and safety to be eliminated, risks must be minimised, so far as is reasonably practicable, by doing 1 or more of the following:</p> <ul style="list-style-type: none"> (a) substituting (wholly or partly) the hazard giving rise to the risk with something that gives rise to a lesser risk; (b) isolating the hazard from any person exposed to it; (c) implementing engineering controls. <p>If a risk then remains, the duty holder must minimise the remaining risk, so far as is reasonably practicable, by implementing administrative controls.</p> <p>If a risk then remains the duty holder must minimise the remaining risk, so far as is reasonably practicable, by ensuring the provision and use of suitable personal protective equipment.</p> <p>[as defined by the <i>Work Health and Safety Regulations 2012 Regulation 36</i>]</p> |
| Incident | <p>Any unplanned event resulting in, or having a potential for injury, ill health, damage or other loss</p> <p>[as defined by Australian/New Zealand Standard AS/NZS 4801:2001 Occupational health and safety management systems—Specification with guidance for use].</p> |
| Notifiable Incident | <ul style="list-style-type: none"> (a) the death of a person; or (b) a serious injury or illness of a person; (c) a dangerous incident. <p>[as defined by the <i>Work Health and Safety Act 2012 Section 35</i>]</p> |
| HSR | <p>Health and Safety Representative</p> |
| Serious Injury or Illness | <p>An injury or illness requiring the person to have—</p> <ul style="list-style-type: none"> (a) immediate treatment as an in-patient in a hospital; or (b) immediate treatment for— <ul style="list-style-type: none"> (i) the amputation of any part of his or her body; or (ii) a serious head injury; or (iii) a serious eye injury; or (iv) a serious burn; or (v) the separation of his or her skin from an underlying tissue (such as degloving or scalping); or (vi) a spinal injury; or (vii) the loss of a bodily function; or (viii) serious lacerations; or (c) medical treatment within 48 hours of exposure to a substance <p>[as defined by the <i>Work Health and Safety Act 2012: Section 36</i>]</p> |



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| Serious Injury or Illness | <p>An injury or illness requiring the person to have—</p> <p>(a) immediate treatment as an in-patient in a hospital; or</p> <p>(b) immediate treatment for—</p> <p style="padding-left: 20px;">(i) the amputation of any part of his or her body; or</p> <p style="padding-left: 20px;">(ii) a serious head injury; or</p> <p style="padding-left: 20px;">(iii) a serious eye injury; or</p> <p style="padding-left: 20px;">(iv) a serious burn; or</p> <p style="padding-left: 20px;">(v) the separation of his or her skin from an underlying tissue (such as degloving or scalping); or</p> <p style="padding-left: 20px;">(vi) a spinal injury; or</p> <p style="padding-left: 20px;">(vii) the loss of a bodily function; or</p> <p style="padding-left: 20px;">(viii) serious lacerations; or</p> <p>(c) medical treatment within 48 hours of exposure to a substance [as defined by the <i>Work Health and Safety Act 2012: Section 36</i>]</p> |
| Worker | <p>A person is a <i>worker</i> if the person carries out work in any capacity for a person conducting a business or undertaking, including work as—</p> <p>(a) an employee; or</p> <p>(b) a contractor or subcontractor; or</p> <p>(c) an employee of a contractor or subcontractor; or</p> <p>(d) an employee of a labour hire company who has been assigned to work in the person's business or undertaking; or</p> <p>(e) an outworker; or</p> <p>(f) an apprentice or trainee; or</p> <p>(g) a student gaining work experience; or</p> <p>(h) a volunteer; or</p> <p>(i) a person of a prescribed class. [as defined by the <i>Work Health and Safety Act 2012: Section 7</i>]</p> |

4. Procedure

4.1. Incident occurrence

- 4.1.1. Once an Incident has occurred, the person(s) involved should (if possible), take whatever steps are necessary to Control the Hazard to prevent further Incidents / Injury and seek first aid assistance if required.
- 4.1.2. Workers must notify their Manager or Supervisor as soon as reasonably practicable after the Incident has occurred. Where the Incident involves a Contractor, the Contractor's Manager or Supervisor must notify the WHS Coordinator as soon as reasonably practicable after the Incident has occurred.
- 4.1.3. The Department Manager or Supervisor must, if required, take steps make the area safe, including taking reasonably practicable steps to eliminate the hazard or apply interim controls.
- 4.1.4. The Department Manager should notify the Chief Executive Officer and / or WHS Coordinator as soon as an Incident occurs that requires Reporting to a Regulator, and to enable early intervention and return to work processes to commence.



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4.2. Secure Incident site for Notifiable Incidents

- 4.2.1. The Department Manager, Supervisor or Chief Executive Officer will ensure, so far as is reasonably practicable, that the site or any plant, substance, structure or thing associated with the Notifiable Incident where the Incident occurred is not disturbed until an Inspector arrives at the site or any earlier time that an Inspector directs
- 4.2.2. Section 4.2.1 (above), does not prevent action taken for the following reasons:
- a. to assist an injured person; or
 - b. to remove a deceased person; or
 - c. that is essential to make the site safe or to minimise the risk of a further Notifiable incident; or
 - d. that is associated with a Police Investigation; or
 - e. for which an Inspector or the regulator has given permission.

4.3. Statutory Reporting undertaken

If any of the following Incidents occur, the Chief Executive Officer should check that the Statutory Reporting obligations are fulfilled as follows:

- 4.3.1. A Notifiable Incident is reported to SafeWork SA by the fastest possible means (telephone 1800 777 209 - 24 hours a day) immediately after becoming aware that a Notifiable Incident arising out of the conduct of the business or undertaking has occurred:
- 4.3.2. Any Incident occurring that involves electricity or an electric shock is reported to the Office of the Technical Regulator (telephone: 8226 5518; Business Hours or 1800 558811 After Hours):
- a. In the case of a death resulting from the incident - immediately by telephone
 - b. In the case of a person requiring medical assistance resulting from the incident - within one working day of the incident
 - c. In any other case - within ten working days of the incident.
- 4.3.3. Whenever any Statutory Reports have been made, the Chief Executive Officer and / or WHS Coordinator should ensure that the Local Government Association Workers Compensation Scheme (LGAWCS) has been notified.
- 4.3.4. Any claim for Worker's Compensation should be reported in accordance with the Workplace Injury Management Procedure.

4.4. Department Manager or Supervisor notifies HSR

The Department Manager or Supervisor must consult, so far as is reasonably practicable, with relevant HSRs (if one exists for the work group) on work health and safety matters, including the occurrence of an incident

4.5. Documentation

- 4.5.1. An incident should be recorded on the Accident Investigation/Injury Report Form by the person who was involved in the incident, or, if this is not possible, by the Department Manager and Supervisor, as soon as possible after it has occurred, or at least within 24 hours of it occurring.
- 4.5.2. The form should be forwarded to the Department Manager or Supervisor.

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| <i>W:\4. Policy Manuals\Policy Manual\Whs - Work Health And Safety\Masters - Current Procedures\Incident Reporting And Investigation Procedure - Ver 1.02 - Adopted 06.05.2016.Docx</i> | <i>Electronic version on the W:Drive is the controlled version. Printed copies are considered uncontrolled. Before using a printed copy, verify that it is the current version.</i> | Page 4 of 11 |
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4.6. Incident investigation

- 4.6.1. The Department Manager or Supervisor should investigate the Incident, having regard to District Council of Mount Remarkable consultation obligations under the WHS Consultation Communication Procedure.
- 4.6.2. The Investigation should commence as soon as possible or at least within 24 hours of receiving notice of the incident. Depending upon the complexity and nature of the incident, the investigation may involve HSR(s), workers or stakeholders and may require external expertise. The LGAWCS is available to provide assistance and advice if required. The LGAWCS contact is Regional Risk Coordinator Central 2, Heather Caudle.
- 4.6.3. The focus of the investigation is to obtain an accurate picture of what occurred by:
- a. Examining the scene of the incident and recording (as relevant) any physical evidence related to the event such as, but not limited to:
 - i. The location of the person(s) at the time of the event
 - ii. Any issues associated with the use of any plant, equipment, or substances
 - iii. Relevant workplace conditions such as lighting, floor surface, warning signs, weather conditions
 - b. Interviewing persons involved and witnesses
 - c. Reviewing background information including, but not limited to:
 - iv. Documented Procedures, Safe Operating Procedures or Work Instructions for the work being carried out, and if there were any deviations from them
 - v. Training and Competency records
 - vi. Any similar events that have occurred previously.
- 4.6.4. The findings should be recorded on the Accident Investigation/Injury Report Form.

4.7. Undertake a Risk Assessment

- 4.7.1. The Department Manager or Supervisor should conduct a risk assessment (or review the risk assessment if one already exists) to determine:
- i. How severe a risk is and the harm could be
 - ii. How hazards may cause harm
 - iii. The likelihood of harm occurring
 - iv. Whether any existing control measures are effective
 - v. What action should be taken to control the risk
 - vi. How urgently the action needs to be taken
- 4.7.2. The Department Manager or Supervisor will consult with workers and other key stakeholders when identifying hazards and assessing risks to health and safety arising from the work carried out or to be carried out.

4.8. Identify and Implement Corrective or Preventative Actions

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| <i>W:\4. Policy Manuals\Policy Manual\Whs - Work Health And Safety\Masters - Current Procedures\Incident Reporting And Investigation Procedure - Ver 1.02 - Adopted 06.05.2016.Docx</i> | <i>Electronic version on the W:Drive is the controlled version. Printed copies are considered uncontrolled. Before using a printed copy, verify that it is the current version.</i> | Page 5 of 11 |
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- 4.8.1. The Department Manager or Supervisor should identify the Corrective or Preventative Actions (CARs) required to control identified risks.
 - 4.8.2. The Department Manager or Supervisor will consult with workers and other key stakeholders when making decisions about ways to eliminate or minimise risks, including proposed CARs.
 - 4.8.3. The findings should demonstrate that any risks to health and safety are eliminated, or where that is not reasonably practicable, minimised so far as is reasonably practicable, by applying the Hierarchy of Control in accordance with the Hazard Management Procedure and priorities for action should be set in accordance with the District Council of Mount Remarkable risk classification table.
 - 4.8.4. Depending on the outcomes of the risk assessment and investigation, both short and long term control measures may be required.
 - 4.8.5. The Department Manager or Supervisor should make sure that the completed form is forwarded to the WHS Coordinator to enter onto the Incident Register.
 - 4.8.6. The WHS Coordinator should make sure that the Incident is recorded and Investigation findings are logged on the Corrective Action Register.
- 4.9. Monitor and review actions for effectiveness
- 4.9.1. The Department Manager or Supervisor should:
 - a. Discuss, monitor and evaluate controls for effectiveness in consultation with Department workers and other relevant stakeholders.
 - b. Recommence the Risk Assessment Process if new hazards are identified.
 - c. Include a review of any Controls implemented into Workplace Inspections, as relevant.
 - d. Communicate the outcomes of the Incident Investigation Process to the WHS Committee
 - e. Close out the Corrective and Preventative Action (CAR) when actions have been reviewed for effectiveness and advise the WHS Coordinator.
 - 4.9.2. The WHS Coordinator should monitor Incident statistics and present a Report to the Management Team and WHS Committee. This should include outstanding items on the Corrective Action Register.
 - 4.9.3. The WHS Committee should monitor the incident statistics during its meetings.
 - 4.9.4. The Management Team should review Incident statistics and Reports and direct action when required. Minutes should record outcomes of discussion and actions undertaken.
 - 4.9.5. The Incident Reporting and Investigation Program should be subject to internal audit and the audit findings should be reported as part of the ongoing Management review process.

5. Training

- 5.1. Workers should have the Incident Investigation and Reporting Procedure explained to them during the Induction process.
- 5.2. Managers, Supervisors, HSRs and the WHS Committee should be trained in Incident Investigation.
- 5.3. Persons undertaking Risk Assessments mandated by legislation, e.g. Plant, Hazardous Substances, Confined Spaces, etc., should have specific training that includes those



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Legislative requirements.

6. Records

The following records should be maintained:

- 6.1. Incident Report forms.
- 6.2. Information related to worker's compensation claims.
- 6.3. Information in relation to lawsuits or legal proceedings between the Council and other parties.
- 6.4. Risk assessments.
- 6.5. Corrective Action plans.
- 6.6. Training records.

Records must be retained and disposed of in line with the current version of GDS20.

7. Accountabilities

- 7.1.1. The District Council of Mount Remarkable Management Team is accountable for:
 - 7.1.2. Monitoring that District Council of Mount Remarkable meets its legislative responsibilities for Incident Reporting, Investigation and Hazard Management.
 - 7.1.3. Approving, where reasonably practicable, budgetary expenditure necessary to implement this Procedure.
 - 7.1.4. Checking that Managers and Supervisors have been provided with training and instruction to make sure they can Investigate Incidents effectively.
 - 7.1.5. Checking that workers have been provided with training and can apply Hazard Management Procedures within the limits of their responsibility.
 - 7.1.6. Monitoring the Corrective Action Register and enforcing close-out of items when required
 - 7.1.7. Reviewing Incident statistics, identifying trends and directing action as required.
 - 7.1.8. Checking that the Management Review Process includes Incident Reporting and Investigation.
 - 7.1.9. Monitoring compliance with statutory notices, where issued.

7.2. Managers and Supervisors are accountable for:

- 7.2.1. Providing workers with the necessary information, instruction, training and supervision to enable them to apply the Hazard Management Procedures and undertake their tasks safely.
- 7.2.2. Checking that any worker who is involved in any Incident in the workplace receives first aid, medical attention or other relevant support (such as transportation to a medical facility if immediate medical treatment is required).



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- 7.2.3. Reporting immediately after they become aware, to the Chief Executive Officer or WHS Coordinator if any of the following occurs in the areas under their control:
 - a. A Notifiable Incident.
 - b. Any Incident occurs that involves electricity or an electric shock.
 - c. Any Incident where a claim for worker's compensation may be made.
- 7.2.4. Securing the scene of an Incident.
- 7.2.5. Notifying the HSR once an Incident occurs.
- 7.2.6. Undertaking an Investigation and Risk Assessment.
- 7.2.7. Identifying, implementing and reviewing Corrective Actions for effectiveness.
- 7.2.8. Including discussion and review of Corrective Actions arising from Incident Investigations in Department Meetings.
- 7.2.9. Updating the Hazard Register and checking that close out of items occurs.
- 7.2.10. Recommencing the Risk Assessment Process if new hazards are identified.
- 7.2.11. Including a review of Controls implemented into Workplace Inspections, as relevant.
- 7.2.12. Communicating the outcomes of the Incident Investigation Process to each Management Team and the WHS Committee as required.
- 7.2.13. Forwarding the completed Accident Investigation/Injury Report Form to the WHS Coordinator.
- 7.2.14. Complying with relevant LGAWCS Procedures, including the Worker's Compensation Procedure.

7.3. The WHS Coordinator *is accountable for:*

- 7.3.1. Undertaking Statutory Reporting when required.
- 7.3.2. Notifying LGAWCS when Statutory Reporting has occurred.
- 7.3.3. Monitoring Incident statistics and presenting a Report to each Management Team and WHS Committee meeting.
- 7.3.4. Communicating changes in relevant WHS legislation across the District Council of Mount Remarkable.

7.4. Workers are accountable for:

- 7.4.1. Attending training when required.
- 7.4.2. Reporting Incidents to their Department Manager or Supervisor as soon as reasonably practicable.
- 7.4.3. Completing the Accident Investigation/Injury Report Form as soon as practicable after the event or within 24 hours of the event occurring.
- 7.4.4. Completing any documentation required for a Claim for Worker's Compensation to be lodged, in accordance with the LGAWCS Worker's Compensation Procedure.
- 7.4.5. Participating in any Incident Investigation as required.
- 7.4.6. Complying with any agreed Corrective or Preventative Actions.
- 7.4.7. Reporting any new hazards to their Department Manager or Supervisor as they arise.
- 7.4.8. Complying with the requirements of this Procedure.



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7.5. Health and safety representatives may:

- 7.5.1. Facilitate consultation between Department Managers and workers in relation to workplace health and safety issues that affect the workgroup that they represent.
- 7.5.2. Assist in the resolution of WHS issues.

7.6. The WHS Committee's functions include

- 7.6.1. Assisting in the Return to Work of workers who have suffered work-related injuries.
- 7.6.2. Reviewing Incident statistics and trends and recommending action as required.
- 7.6.3. Reviewing the Corrective Action Register and referring issues to the Management Team that require Management direction or enforcement.

7.7. Contractors and others are responsible for:

- 7.7.1. Complying with the requirements of this Procedure.
- 7.7.2. Reporting Incidents to Department Manager or WHS Coordinator as soon as reasonably practicable.

8. Review

8.1. The Incident Reporting and Investigation Procedure should be reviewed by the Management Team, in Consultation with workers or their representatives, every twenty four (24) months or more frequently if legislation or District Council of Mount Remarkable needs change. This may include a review of:

- 8.1.1. Legislative Compliance issues
- 8.1.2. Audit findings relating to Incident Reporting and Investigation
- 8.1.3. Incident Reports, Claims costs and trends
- 8.1.4. Feedback from Managers, workers or other stakeholders
- 8.1.5. Other relevant information.

8.2. Results of reviews may result in Preventative and / or Corrective Actions being implemented and revision of this document.

9. References

- Work Health and Safety Act 2012
- Work Health and Safety Regulations 2012
- Electricity (General) Regulations 1997
- General Disposal Schedule 20 for Local Government

10. Related documents

- District Council of Mount Remarkable to list related documents here which may include:
- Corrective and Preventative Action Procedure
- Electrical Safety Procedure



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- First Aid Procedure
- Hazard Management Procedure
- WHS and Injury Management Policy
- WHS and Injury Management Procedure
- Incident Register

- Corrective Action Register
- Hazard Register
- Accident Investigation/Injury Report Form

| Document History: | Version No: | Issue Date: | Description of Change: |
|-------------------|---------------------|-------------|---|
| LGAWCS | 1.0 | Dec 2009 | New Document |
| | 2.0 | 05/04/13 | <p>Name changed from Accident / Incident Investigation and Reporting Procedure, To current title to better reflect the process flow.</p> <p>Terminology changes to reflect 2012 WHS act, Regulations and Codes of Practice. Examples of changes include; OHS to WHS and employee to worker where appropriate.</p> <p>Examples of changes include; Clarified section 4.2 Securing an Incident site, to make clear actions that can and cannot be taken regarding an Incident site. Update of Notifiable Incident information</p> |
| DCMR | LGAWCS 2.0 = V01.01 | 25/06/2013 | Endorsed by WHS committee on 25 / 06 / 2013 Adopted by Council on 09 / 07 / 2013 |
| DCMR | LGAWCS 2.0 = V01.02 | 6/05/2016 | Adopted by WHS Committee on 6/05/2016 |

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SIGNED:

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| Chief Executive Officer Date: ____/____/____ | Chairperson, WHS Committee Date: ____/____/____ |
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