

<b>Goulburn Ovens Institute of TAFE</b>  <b>Procedure no. CS15-P75</b>  <b>Refer OHS Policy no. CS15</b> <small>(Copy on Web Site)</small>	<b>Title: Incident reporting and investigation procedure</b> <b>Executive approved: 9/05/2005, 28/04/2015, 6/02/2018</b> <b>OHS approved: 23/02/2018</b>  <i>Responsible Officer: Manager Safety and Wellbeing</i> <i>Authorising Officer: Executive Manager Human Resources</i> <i>Review: Biennial (23<sup>rd</sup> February 2020)</i>
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**INCIDENT REPORTING AND INVESTIGATION PROCEDURE**

**1. PURPOSE**

The purpose of this procedure is to ensure:

- Incidents, including accidents and near misses are reported, recorded and investigated to determine contributing factors and systems failures.
- Corrective action is taken to prevent recurrences.
- Outcomes of incident investigations are communicated to affected personnel and any relevant (internal and external) stakeholders.

**2. SCOPE**

This procedure is applicable to all safety and environmental incidents:

- that occur on Institute premises, and/or;
- that occur on Institute premises under the control of Institute staff, and/or;
- involve Institute staff, students, contractors or visitors while involved in work related to Institute business or programmes

**3. DEFINITIONS**

Environment	Surroundings in which Goulburn Ovens Institute of TAFE operates
Environmental Incident	An incident resulting in an unplanned and/or unauthorized release of substance(s) into the environment, whether it be air, water or land, or any combination of the three
Hazard	Any situation, substance, activity, event or environment that could potentially cause injury or ill health, damage to property/plant/equipment, or damage to the environment.
Incident	An incident is an event or chain of events which has or could have caused occupational injury, ill health, and/or damage (loss) to people, assets or reputation. Incidents may involve actual or potential injury/illness, property/environment damage, motor vehicle accidents or near-misses.
Injury	An injury or disease which arises out of, or is linked with, or occurs during a person's employment. These may be further classified as First Aid Injury (FA), Medical Treatment Injury (MTI) or Lost Time Injury (LTI).
Near Miss	An incident that occurred at the place of work, which although did not result in personal injury/illness or disease, damage to people, property or the environment had the potential to do so. A near miss may highlight workplace hazards and the need to initiate corrective action, eg: tripping without falling.

Environment	Surroundings in which Goulburn Ovens Institute of TAFE operates
Notifiable Dangerous Occurrence	A dangerous occurrence is an incident at a workplace which may seriously endanger the health and safety of people in the immediate vicinity:- <ul style="list-style-type: none"> <li>• the collapse, overturning, failure or malfunction of, or damage to, any item of plant listed in Schedule 2 of the OHS Regulations 2017;</li> <li>• the collapse or failure of an excavation, or the shoring support of an excavation;</li> <li>• the collapse or partial collapse of any part of a building or structure;</li> <li>• an implosion, explosion or fire;</li> <li>• the escape, spillage, or leakage of substances;</li> <li>• the fall from a height of dangerous or heavy objects.</li> </ul>
Notifiable Incident	Notification is required to WorkSafe Victoria when an incident at a workplace or incidents involving items of plant/equipment used at the workplace or site results in:- <ul style="list-style-type: none"> <li>• the death of any person</li> <li>• a person requiring medical treatment within 48 hours of exposure to a substance</li> <li>• a person requiring immediate treatment as an inpatient in a hospital</li> <li>• a person requiring immediate medical treatment for: <ul style="list-style-type: none"> <li>• amputation</li> <li>• serious head injury</li> <li>• serious eye injury</li> <li>• separation of skin from underlying tissue (for example degloving or scalping)</li> <li>• electric shock</li> <li>• spinal injury</li> <li>• loss of bodily function</li> <li>• serious lacerations</li> </ul> </li> </ul>
Place Of Work	Premises, or any other place, where employees and contractors work. It includes (a) any land, building or part of any building; (b) any vehicle; (c) any installation on land; or (d) any tent or movable structure controlled by the employer
Property Damage	Any incident that results in damage to property; ie. company assets including vehicles, equipment, buildings and plant etc.
Staff	Staff refers to any persons employed by the Institute, whether employment is ongoing, fixed term, part-time or casual/sessional.
Supervisor	An Institute Staff member with supervisory responsibilities, either of students or other staff. Staff supervisors will include Team Leaders, Commercial Managers, Support Managers, and Executive Officers. Student supervisors will include teaching staff, as well as the listed staff supervisors.

**4. PROCEDURE**

**Immediate Response to an Incident**

The manager or supervisor must be notified immediately that an incident resulting in injury, near miss, loss or damage has occurred.

Managers, supervisors and/or emergency personnel will take immediate action to prevent and/or minimise the impact or potential impact of an incident to personnel, property or the environment so far as reasonably and safely practicable without endangering self or others.

Immediate response to incidents will include:

- Checking to ensure the safety of personnel, property and/or the environment. This includes steps to make safe and/or minimise the risk of further harm.
- Call for assistance including first aid, medical, emergency wardens, or emergency services personnel, as relevant.
- Care for any injured personnel in the interim until further assistance arrives.

### **Notification to Regulatory Authorities and Significant Incidents**

The Victorian WorkCover Authority (Worksafe Victoria), Goulburn Valley Water (GV Water) and the Environmental Protection Authority (EPA) have defined notifiable incidents which are detailed in the jurisdiction's relevant legislation. In the case of a notifiable incident, the relevant authority must be notified immediately.

Significant incidents must be reported immediately via phone to the OHS Department, Chief Warden or person with management or control of the workplace where the incident occurred.

### **Site Preservation**

Non-disturbance occurrences are defined by regulatory authorities – Worksafe Victoria, the Environmental Protection Authority (EPA Vic) and Goulburn Valley Water (GV Water).

The person with management or control of the workplace at which a notifiable incident has occurred, must ensure, so far as reasonably practicable, that the site where the incident occurred is not disturbed until an inspector arrives at the site or directs otherwise (whichever is earlier).

Requirements to preserve the incident site apply to any plant, substance, structure or thing associated with the notifiable incident. This means any evidence that may assist an inspector to determine the cause of the incident must be preserved.

Requirements to preserve a site only apply in relation to the immediate area where the incident occurred – not the whole workplace.

### **Incident Reporting**

All staff, students, visitors and contractors are required to report an incident on the day it occurs prior to leaving the Institute premises. Incidents are reported using the Institutes Incident Report Form (FOH-01).

If it is not possible for the involved person to complete the Incident Report form the supervisor of that staff member or student is to complete the form on their behalf.

Completed incident report forms are to be emailed to the OHS Department at [ohs@gotafe.vic.edu.au](mailto:ohs@gotafe.vic.edu.au)

Refer to Responsibility section for individual responsibilities for Incident Reporting.

### **Incident Investigation**

The purpose of incident investigation is to determine the root cause of the incident and identify corrective actions to prevent recurrence.

Incident investigation are to be conducted by the relevant supervisor/manager in the department the incident occurred in.

Investigation tools to assist with root cause analysis include:

- 4M/Fishbone analysis
- 4W1H – What, Where, When, Who, How
- 5 Whys
- SCAT – Systematic, Cause and Analysis Tool
- ICAM – Incident Cause Analysis Method

Regardless of the tool used, an incident investigation should examine contributing organisational factors, environmental conditions, actions of individuals and teams, and failure of defences or controls.

Health and Safety Representatives and other team members must be consulted with, and included in incident investigations and implementation of corrective actions.

Corrective actions arising from the incident investigation will be identified and assigned to a responsible person for completion. Corrective actions should be based on the hierarchy of controls.

Hierarchy of Controls		
	Level of Control	Example
1.	Eliminate the Hazard	Eg. Redesign the machinery, repair damaged equipment, dispose of unwanted chemicals.
2.	Substitute the Hazard	Eg. Lift smaller package, use a less toxic chemical.
3.	Modify the Process	Eg. Modify the work process.
4.	Isolate the Hazard	Eg. Place barriers around a spill until cleaned up, enclose the process or the person.
5.	Use Engineering Controls	Eg. Provide a trolley to move heavy loads, place guards on moving parts of machinery.
6.	Use Administrative Controls	Eg. Introduce job rotation, ensure equipment is maintained regularly. Eg. Provide hearing and eye protection, hard hats, gloves, masks.

After completion of the corrective actions, the effected person must be consulted with to ensure the hazard or risk has been minimised.

Hazard and risk assessments are to be completed for any implemented workplace changes.

**5. RESPONSIBILITIES**

**Supervisors/Managers are required to:**

- Be accessible and respond appropriately and in an appropriate timeframe when undertaking incident management and investigation.
- Ensure that all incidents are reported according to regulatory and Institute requirements.
- Report notifiable incidents to Worksafe if the OHS Department is not available. Ensure preservation of the site where a notifiable incident has occurred.
- Take any immediate steps required following an incident to render the area safe, and protect the health and safety of all persons
- Ensure that all staff are aware of and trained in the incident reporting procedure and understand the importance of prompt reporting of incidents.
- Ensure that if first aid is required as a result of an incident, this is arranged appropriately.
- Ensure the Institute Incident reporting and investigation procedure is implemented within areas under their control, or where their staff &/or students are based.
- Ensure the Incident Report Form is fully completed.
- Involve the relevant Health and Safety Representative to assist in the incident follow up/investigation process.
- Ensure that appropriate risk control measures are developed and are implemented.
- Ensure risk control measures that are implemented are effective and that risk assessments are completed.
- Provide appropriate resources for the implementation of this procedure.

**Staff and Students are required to:**

- Report all incidents, “near misses”, actual or potential hazards to their supervisor or Health and Safety Representative prior to leaving the Institute premises on the day it occurs.
- Complete the Institute Incident Report Form.
- Participate in incident investigations when required.

- Implement any assigned corrective actions in a timely manner.
- Ensure that incidents that involve visitors to the Institute are reported.

**Health and Safety Representatives are required to:**

- Be involved immediately following an incident (if requested) to assist with making the area safe to protect the health and safety of all persons.
- Be involved to assist with incident investigation and the development of appropriate risk control measures
- Refer to the relevant manager for resources and support in the management of incidents, investigations and the implementation of corrective actions.
- Monitor incident trends and make recommendations regarding preventative action.

**OHS Department is required to:**

- Coordinate reporting of all notifiable incidents or dangerous occurrences to WorkSafe Victoria.
- Assist managers and supervisors with investigation of significant incidents or development of controls for identified hazards.
- Ensure the legislative requirement for incident management is reviewed and complies.
- Review Incident Report Form completion and maintain the Register of Incidents.
- Ensuring Institute reporting requirements are fulfilled.

**Contractors are required to:**

- Report any incidents, “near misses”, actual or potential hazards to their Contractor Manager and complete the Institute Incident Report Form.
- Provide a copy of their organisation’s incident and investigation report to the Institute.
- Implement assigned corrective actions in the agreed time frames.

**Manager Quality and Sustainability is required to:**

- Coordinate reporting of all Environmental Notifiable incidents or dangerous occurrences to GV Water or the Environmental Protection Authority (EPA).

**6. REFERENCES**

- [OHS policy CS15](#)
- [Incident report form FOH-01](#)
- [First aid procedure CS15-P80](#)
- [Injury management procedure PROHS-192](#)
- Occupational Health and Safety Act (Vic) 2004
- Occupational Health and Safety Regulations (Vic) 2017
- Equipment (Public Safety) Regulations (Vic) 2017
- Guide to Incident Notification – Worksafe Victoria