	INCIDENT REPORTING AND INVESTIGATION PROCEDURE	**Version No:**	4.2
		Issued:	10/2019
		Next Review:	9/2024

1. Overview

The District Council of Peterborough (**the organisation**) is committed to an incident reporting and investigation process that identifies appropriate corrective and preventative actions that are implemented and reviewed for effectiveness.

This procedure aims to:

(a) Implement a process whereby information on the organisation's incident reporting and investigation procedure is provided during induction;

(b) Provide managers and supervisors with training to enable them to investigate incidents that occur in their areas;

(c) Provide a process for the reporting of incidents to the relevant manager or supervisor within 24 hours, or as soon as reasonably practicable after they occur;

(d) Manage statutory reporting in accordance with legislative requirements;

(e) Allow for the investigation of incidents by managers and supervisors and, where required, consultation with the Health and Safety Representative ("HSR") and/or relevant workers and stakeholders;

(f) Identify and eliminate hazards or, where that is not reasonably practicable, minimise them, so far as is reasonably practicable, by the application of the Hierarchy of Control;

(g) Implement a procedure that allows for preventative and corrective actions to be monitored and reviewed for effectiveness; and

(h) Allow for a review of incident statistics by the Health and Safety Committee ("HSC") and the management team so that trends are identified and planned corrective and preventative actions are completed.

SIGNED:	……	……
	CEO	Chairperson, Health and Safety Committee (HSC)
	Date: _____/_____/_____	Date: _____/_____/_____

2. Core components

The core components of the organisation's incident reporting and investigation procedure aim to achieve the following:

(a) Reporting
   i. A procedure for the reporting of incidents is in place;
   ii. Staff are trained in the reporting requirements and system;
   iii. The system has a requirement to report (internally and externally);
   iv. Immediate corrective action is taken where required; and
   v. Incident reports are documented and records kept.

(b) Investigation
   i. A process for the investigation of incidents is in place;
   ii. Appropriate staff are trained in the investigation process;
   iii. Investigations are undertaken in line with the process;
   iv. The investigation identifies preventative and corrective actions, if required;
   v. The system requires any investigation to be documented and records kept;
   vi. Appropriate consultation/communication occurs; and
   vii. Investigations are appropriately completed (including a review of the findings).

3. Definitions

Corrective Action	Action to eliminate the cause of, or to control, an identified hazard
Dangerous incident	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— (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. [as defined by the Work Health and Safety Act 2012: Section 37]
HSR	Health and Safety Representative
Hierarchy of Control	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 one or more of the following: (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; or (c) implementing engineering controls. If a risk then remains, the duty holder must minimise the remaining risk, so far as is reasonably practicable, by implementing administrative controls. 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. [as defined by the Work Health and Safety Regulations 2012 Regulation 36]
Incident	Any unplanned event resulting in, or having a potential for injury, ill health, damage or other loss [as defined by Australian/New Zealand Standard AS/NZS 4801:2001 Occupational health and safety management systems—Specification with guidance for use].
Incident Classifications (Water and Sewerage)	Priority type 1 incidents are notifiable and have caused: • death or serious impact on health, safety, environment and community (HSEC); • significant facility breakdown (impacting greater than 5000 customers for a major entity or greater than 20% of the customers for minor or intermediate entities); • significant private property damage (greater than $1M for a major entity or greater than $100,000 for minor or intermediate entities).

	Type 1 incidents could cause: • death or serious impact on health, safety, environment and community (HSEC); • significant facility breakdown (which impacts more than 5000 customers for major entities and/or property damage or greater than 20% of the customers for minor or intermediate entities); • significant private property damage (greater than $1M for a major entity or greater than $100,000 for minor or intermediate entities). Type 2 incidents have resulted in: • near miss of a health, safety, environment and community (HSEC) nature; • facility breakdown (which impacts less than 5000 customers for major entities and/or property damage or less than 20% of the customers for minor or intermediate entities); • private property damage (less than $1M for a major entity or less than $100,000 for minor or intermediate entities).
LGAWCS	Local Government Association Workers Compensation Scheme
Notifiable incident	(a) the death of a person; or (b) a serious injury or illness of a person; (c) a dangerous incident. [as defined by the Work Health and Safety Act 2012 Section 35]
Preventative Action	Proactive action taken before an incident occurs
Serious injury or illness	An injury or illness requiring the person to have— (a) immediate treatment as an in-patient in a hospital; or (b) immediate treatment for— 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 [as defined by the Work Health and Safety Act 2012: Section 36]
Worker	A person is a *worker* if the person carries out work in any capacity for a person conducting a business or undertaking, including work as— (a) an employee; or (b) a contractor or subcontractor; or (c) an employee of a contractor or subcontractor; or (d) an employee of a labour hire company who has been assigned to work in the person's business or undertaking; or (e) an outworker; or (f) an apprentice or trainee; or (g) a student gaining work experience; or (h) a volunteer; or (i) a person of a prescribed class. [as defined by the Work Health and Safety Act 2012: Section 7]

Workplace	A workplace is a place where work is carried out for a business or undertaking and includes any place where a worker goes, or is likely to be, while at work. "place" includes— (a) a vehicle, vessel, aircraft or other mobile structure; and (b) any waters and any installation on land, on the bed of any waters or floating on any waters. [as per the Work Health and Safety Act, 2012, Section 8]

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 in order 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 Senior Manager as soon as reasonably practicable.

4.1.3. The relevant manager or supervisor must, if required, take steps to make the area safe, including taking reasonably practicable steps to eliminate the hazard or apply interim controls.

4.1.4. The relevant manager or supervisor must notify the Senior Manager immediately by direct means as soon as any incident occurs that requires reporting to a Regulator, so as to enable early intervention and return to work processes to commence. The nominated person should acknowledge that notification has been received. There must be contingency arrangements in place if the Senior Manager is on leave or otherwise unavailable.

4.2. Secure incident site for notifiable incidents

4.2.1. The relevant manager or supervisor or [Insert job title of nominated person] must ensure, so far as is reasonably practicable, that the site or any plant, substance, structure or thing associated with the notifiable incident is not disturbed until the regulator arrives at the site or as directed by the regulator.

4.2.2. Section 4.2.1 does not prevent action being taken for the following reasons:

(a) To assist an injured person; or

(b) To remove a deceased person; or

(c) To make the site safe so as to avoid the real risk of a further notifiable incident; or

(d) To assist with a police investigation at the direction of the police; or

(e) Action taken with the permission of the regulator.

4.3. Statutory reporting undertaken

If any of the following incidents occur the Senior Manager must 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 has occurred.

4.3.2. Any incident occurring that involves electricity or an electric shock, gas or plumbing is reported to the Office of the Technical Regulator (telephone: 8226 5518; Business Hours or 1800 558 811 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 that involves electricity - within ten working days of the incident

(d) Gas incidents resulting in damage to property of $5,000 or more – within ten working days of the incident

(e) Gas incidents involving a gas infrastructure pipeline (operating above 1050 kPa) resulting in any injury or damage to property, or incidents requiring the attendance of a fire brigade – within one month from the date of the incident.

(f) In the case of Water or Sewerage system incidents;

i. For Priority type 1 incidents – Verbal notification immediately and written notification within 24 hours

ii. For Type 1 incidents - Verbal notification within 3 hours and written notification within 24 hours

iii. For Type 2 incidents - Verbal notification not required and written notification within 10 working days.
Further guidance can be found here (Dept. of State development: Water and Sewerage Infrastructure Incident Notification and Communication Protocol V3 – July 2015).

4.3.3. Whenever any statutory reports have been made, the [Insert job title of nominated person] should ensure that the LGAWCS has been notified.

4.3.4. Any claim for worker's compensation should be reported in accordance with the Workplace Return to Work Procedure.

4.4. Manager or supervisor notifies HSR

4.4.1. The relevant manager or supervisor must consult, so far as is reasonably practicable, with the HSR (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 Incident Report and Investigation form or within the online reporting platform by the person who was involved in the incident, or, if this is not possible, by their manager and supervisor, as soon as possible after it has occurred or at least within 24 hours of it occurring.

4.5.2. Paper forms should be forwarded to the relevant manager or supervisor.

4.6. Incident investigation

4.6.1. The relevant manager or supervisor should investigate the incident having regard to the requirements of the organisation's Communication and Consultation 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 can be contacted on [insert WHS Consultant/RRC mobile telephone number].

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; and

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:

i. Documented procedures, safe operating procedures or work instructions for the work being carried out, and if there were any deviations from them;

ii. Maintenance and testing reports, if plant or equipment are involved;

iii. Training and competency records; and

iv. Any similar events that have occurred previously.

SafeWork SA has a reference page here that steps out details of the investigation process.

4.6.4. The findings should be recorded on the Incident Report and Investigation form or within the online reporting platform

4.7. Risk assessment

4.7.1. The relevant manager or supervisor will conduct a risk assessment (or review the risk assessment if one already exists) to determine:

(a) How severe a risk is and the harm could arise from it;

(b) How the hazard may cause harm;

(c) The likelihood of harm occurring;

(d) Whether the existing control measures are effective

(e) Whether there are any trends relating to the type of incident occurring and, if so, whether any previous corrective actions have been reviewed for effectiveness

(f) What action should be taken to control the risk; and

(g) How urgently the action needs to be taken.

4.7.2. The relevant 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. Corrective or preventative actions

4.8.1. The relevant manager or supervisor will identify the corrective and preventative actions (“CAPAs”) required to control identified risks.

4.8.2. The relevant manager or supervisor will consult with workers and other key stakeholders when making decisions about ways to eliminate or minimise risks, including proposed CAPAs, and communicate these to all relevant persons across the organisation

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 and prioritising action in accordance with the Hazard Management Procedure.

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 relevant manager or supervisor will make sure that the completed Incident Report and Investigation form is forwarded to the [Insert job title of nominated person] or actions are added to the online reporting platform and any relevant notification requirements are met

4.8.6. The [Insert job title of nominated person] will make sure that the incident is recorded and investigation findings are logged on the Corrective Action Register.

4.9. Monitor and review

4.9.1. The relevant manager or supervisor will:

(a) Discuss, monitor and evaluate controls for effectiveness in consultation with 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 HSC; and

(e) Close out the Incident Report and Investigation form or online reporting platform, when actions have been reviewed for effectiveness and for paper based systems, send the completed form to the WHS/Risk Co-ordinator.

(f) Provide appropriate reporting of hazards and incidents (either via the Skytrust system (which is automatically incorporated into sector data available to the LGAWCS) or through utilisation of the provided Spreadsheet) on a monthly basis to the LGAWCS.

4.9.2. The WHS/Risk Co-ordinator will monitor incident statistics and present a report to the management team and HSC. This should include outstanding items on the Corrective Action Register.

4.9.3. The HSC should monitor the incident statistics during its meetings.

4.9.4. The management team will review incident statistics and reports and direct action when required. Minutes should record outcomes of discussions and proposed actions.

4.9.5. The incident reporting and investigation process should be subject to internal audit and the audit findings should be reported as part of the ongoing management review process.

5. Training

5.1.1. The incident reporting and investigation procedure will be explained during the induction process.

5.1.2. Managers, supervisors, HSRs and the HSC should be trained in incident investigation.

5.1.3. Persons undertaking risk assessments mandated by legislation e.g. plant, hazardous substances, confined spaces etc., should have specific training to address those legislative requirements.

6. Records

The following records should be maintained:

6.1. Incident report and investigation forms

6.2. Information related to worker's compensation claims

6.3. Information in relation to legal proceedings involving the [Insert name of Council or Prescribed Body]

6.4. Risk assessments

6.5. Corrective Action Register

6.6. Training

Records must be managed in line with the current version of General Disposal Schedule 20 for Local Government

7. Responsibilities and Accountabilities

7.1. The organisation's Management Team is accountable for:

7.1.1. Monitoring that the organisation meets its legislative responsibilities for incident reporting, investigation and hazard management;

7.1.2. Approval of expenditure necessary for the implementation of corrective and preventative actions;

7.1.3. Making sure managers and supervisors have been provided with training and instruction to investigate incidents effectively;

7.1.4. Making sure workers have been provided with training and can apply incident reporting and investigation and hazard management procedures within the limits of their responsibility;

7.1.5. Monitoring the Corrective Action Register and enforcing close-out of items when required;

7.1.6. Reviewing incident statistics, identifying trends and directing corrective action as required;

7.1.7. Making sure the management review process includes incident reporting and investigation; and

7.1.8. Monitoring compliance with statutory notices, where issued.

7.1.9. Enabling the organisation to provide incident and hazard management reporting to the LGAWCS for the purpose of LG sector reporting and RTWSA self insurer reporting requirements.

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 incident reporting and investigation and hazard management procedures and undertake their tasks safely;

7.2.2. Making sure any worker who is involved in or witness to 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, counselling, etc.);

7.2.3. Reporting by direct means immediately after they become aware, to the Senior Manager, if any of the following occurs in the areas under their control:

a) A notifiable incident;

b) Any incident that involves electricity or an electric shock, gas or plumbing; or

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 Corrective Action 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 all relevant persons in the organisation, including the management team and HSC;

7.2.13. Forwarding the completed Incident Report and Investigation form to the [Insert job title of nominated person] or completing online reporting platform requirements; and

7.2.14. Complying with relevant LGAWCS procedures, including the Workplace Return to Work Procedure.

7.2.15. Providing incident and hazard management reporting to the LGAWCS for the purpose of LG sector reporting and RTWSA self insurer reporting requirements

7.3. Workers are accountable for:

7.3.1. Attending training when required;

7.3.2. Reporting incidents to their manager or supervisor as soon as reasonably practicable;

7.3.3. Completing the Incident Report and Investigation form or recording the incident in the online reporting platform as soon as practicable after the event or within 24 hours of the event occurring;

7.3.4. Completing any documentation required for a claim under the Return to Work Act 2014 in accordance with the Workplace Return to Work Procedure.

7.3.5. Participating in any incident investigation as required;

7.3.6. Complying with corrective or preventative actions implemented by the organisation;

7.3.7. Reporting any new hazards to their manager or supervisor as they arise; and

7.3.8. Complying with the requirements of this procedure that apply to them.

7.4. Health and safety representatives may:

7.4.1. Facilitate consultation between managers and workers in relation to workplace health and safety issues that affect the workgroup that they represent; and

7.4.2. Assist in the resolution of WHS issues.

7.5. The HSC's functions include:

7.5.1. Assisting with the return to work of workers who have suffered work-related injuries;

7.5.2. Reviewing incident statistics and trends and recommending action as required;

7.5.3. Reviewing the Corrective Action Register and referring issues to the management team that require management direction or enforcement.

7.6. Contractors and others are responsible for:

7.6.1. Complying with the requirements of this procedure

7.6.2. Reporting incidents to the Contract Superintendent or 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 five (5) years or more frequently if legislation or organisational needs change. This may include a review of:

8.1.1. Feedback from managers, workers, HSRs, HSC or other stakeholders;

8.1.2. Legislative compliance;

8.1.3. Audit findings relating to incident reporting and investigation;

8.1.4. Incident reports, claims costs and trends;

8.1.5. Any other relevant information.

8.2. The reviews may result in preventative and/or corrective actions being implemented or revision of this document.

9. References

Work Health and Safety Act 2012

Work Health and Safety Regulations 2012

General Disposal Schedule 20 for Local Government

Electricity (General) Regulations 2012

SafeWork SA webpage: Investigating a workplace incident

10. Related documents

One pager Incident Reporting and Investigation procedure

Communication and Consultation procedure

Corrective and Preventative Action Procedure

Electrical Safety Procedure

First Aid Procedure

Hazard Management Procedure

Instruction for use of online reporting platform

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Document History:	Version No:	Issue Date:	Description of Change:
DCP	1.0	Dec 2009	New Document,
	2.0	05/04/13	Name changed from Accident/incident investigation and reporting procedure, To current title to better reflect the process flow. 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. 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
	3.0	26/11/15	Incident Reporting & Investigation form template added; Update Electricity (General) Regulations to 2012; updated notification requirements to include Gas and Plumbing notification requirements and language and formatting updates
	4.0	29/03/18	Added notifications requirements under 4.1.4; updated hyperlinks; included reference to use of online reporting platforms throughout document; added reference to the SafeWork SA Incident/Injury Investigation sheet (0897 Feb 2015) under 4.6.3(c) iv; added reference to trend analysis under 4.7.1(e); added requirement to communicate findings across organisation under 4.8.2; added requirement to assist witnesses under 7.2.2; added notifications requirements under 7.2.3; added communication requirements under 7.2.12; updated reference information(9) and related documents (10); minor spelling and grammatical changes. Added requirement for Sector reporting in 4.9.1. Removal of example incident reporting and investigation form (appendix a).
	4.1	7/06/2018	Removed hyperlink to SafeWork SA incident investigation sheet (0897 Feb 2015) and replaced with link to updated SafeWork SA investigating a workplace incident web page. Minor changes to document history table (version 4.0) to remove changes identified to appendix a, as this was removed in version 4.0.
	4.2	22/10/2019	Procedure was scheduled for review in September 2019. Change in review time frame from 24 months to 5 years. NOTE – the document review timeframe in all of the Council's WHS Procedures is being changed to 5 years.