

## 1. Purpose

The purpose of this SOP is to provide a process for OHS Incident Reporting and Investigation.

## 2. Approval

Managing Director

## 3. Definitions

**Dangerous Occurrence** means an occurrence as defined in Appendix 2, Section 5B.

**Close Call** refers to an incident that results in either no injury or a minor injury but generates an immediate response of "...that was close!" The intention is to capture an incident where there is/was a reasonable expectation that the outcome could have been an MTI, LTI or notifiable occurrence including a fatality, but for the intervention of luck.

**Lost time incident (LTI)** refers to the loss of one day or one shift due to an incident at work.

**Incident** means an event leading to an injury or adverse health effect to an individual, a 'near miss, or 'dangerous occurrence'.

**Medical Treatment** means treatment by a registered medical practitioner to treat a disease or disorder. It does not include observations, counselling, non-prescription medication or diagnostic procedures (x-rays or blood tests) that result in no findings.

**Near Miss** means an incident that may have led to an injury or adverse health effect to an individual, but did not through the intervention of luck.

**Risk** means the likelihood or probability that a hazard may cause harm.

**Risk Assessment** means a process that seeks to identify hazards; then determine the level of risk by taking into account the likelihood that someone will be injured or something damaged by the hazard, the frequency of contact or exposure to the hazard, the level of exposure (eg number of people, amount/degree/extent of exposure to noise, chemicals, etc), pattern of exposure (eg continuous, intermittent etc) and the adequacy of any existing control measures.

**Risk Control** means the use of measures to control the risk to an acceptable level.

**Significant Incident** means an incident that is a *close call*, a *medical treatment incident* (as defined above), a *lost time incident* or requires notification to WorkSafe as detailed in Appendix 2 paragraph 5.

**WorkSafe Notifiable Incident** means an incident that requires notification to WorkSafe as detailed in Appendix 2 paragraph 5

#### 4. Procedure

The Incident Notification and Investigation Flowchart is at Appendix 1.

The Incident Reporting Process is at Appendix 2.

The Incident Investigation Process is at Appendix 3.

**All incidents** are to be reported to the relevant Manager and HSE Team as soon as possible, by telephone in the first instance and followed by a copy of the completed incident notification form. Reporting timeframes are shown in Appendix 1. The HSE Coordinator or Manager Business Risk and Compliance will determine investigation requirements and guide the completion of the investigation of significant incidents using the Incident Timeline and Root Cause Analysis Model (DOC/12/28160\*). All WorkSafe notifiable incidents are also to be reported to the Managing Director without delay.

#### Incidents Involving Members of the Public

All incidents involving members of the public are to be reported to line managers and the Manager Business Risk and Compliance without delay. In the absence of the Manager Business Risk and Compliance, either the HSE Coordinator or Executive Manager Corporate Development and Services are to be notified. Refer SOP 071: Insurance and Claims Procedure.

#### Preservation of an Incident Site

For serious incidents & injuries the incident scene must be left undisturbed as an investigation by WorkSafe may be required. The only exception is where it is necessary to:

- protect the health & safety of a person;
- aid an injured person involved in the incident; or
- take essential action to make the site safe or to prevent a further occurrence of the incident.

Advice from the HSE Coordinator or Manager Business Risk and Compliance should be sought if circumstances allow. Otherwise, minimal disturbance of the incident site should be the aim.

Originals of all completed incident notification and investigation forms are to be filed in the Accident and Incident Register located at relevant depots and the Bairnsdale Office. The HSE Coordinator or Manager Business Risk and Compliance will action any required notifications to WorkSafe Victoria on the statutory notification form (Form 045).

## 5. Key Responsibilities

- Employees are required to report all incidents to their supervisor immediately.
- Managers/supervisors are to ensure that incident reporting is completed in accordance with Appendix 2 – by telephone in the first instance, then by written notification (Form 043) to the relevant manager and HSE Team. Managers/supervisors are also to ensure that WorkSafe notifiable incidents (refer Appendix 2, Section 5) are reported to the Managing Director without delay. Where the incident results in any time off work, even subsequent to the incident, the HSE Team is to be informed.
- The HSE Team will determine the requirement for an incident investigation to be undertaken in accordance with Appendix 3 and ensure that investigations using the Incident Timeline and Root Cause Analysis Model (DOC/12/28160\*) are completed.
- The HSE Coordinator or Manager Business Risk and Compliance are to ensure that all notifiable incidents and/or dangerous occurrences are reported promptly to the relevant authority.
- Managers/supervisors are to ensure that corrective actions arising out of the incident investigation are implemented, or if not, reasons for their non-implementation are signed off and documented.
- The HSE Coordinator is to produce a summary of incidents and the results of investigations to be reported to the Board and presented to senior management and appropriate OHS committee meetings.
- The HSE Team is to conduct a review of control measures implemented as a result of the incident investigation.

## 6. Training

All supervisors and other relevant staff will be trained in regard to this SOP.

## 7. References

The main legislation relevant to this SOP includes:

- Occupational Health and Safety Act 2004
- Accident Compensation Act 1985
- Dangerous Goods Act 1985 and subordinate regulations

## 8. Referenced Documents and Forms

- SOP 071 - Insurance and Claims Procedure
- Form 043 - Incident Notification Report and Register of Injury Form
- DOC/12/28160\* - Incident Timeline and Root Cause Analysis Model
- Form 045 - Statutory Incident Notification Form

## 9. Risk Management

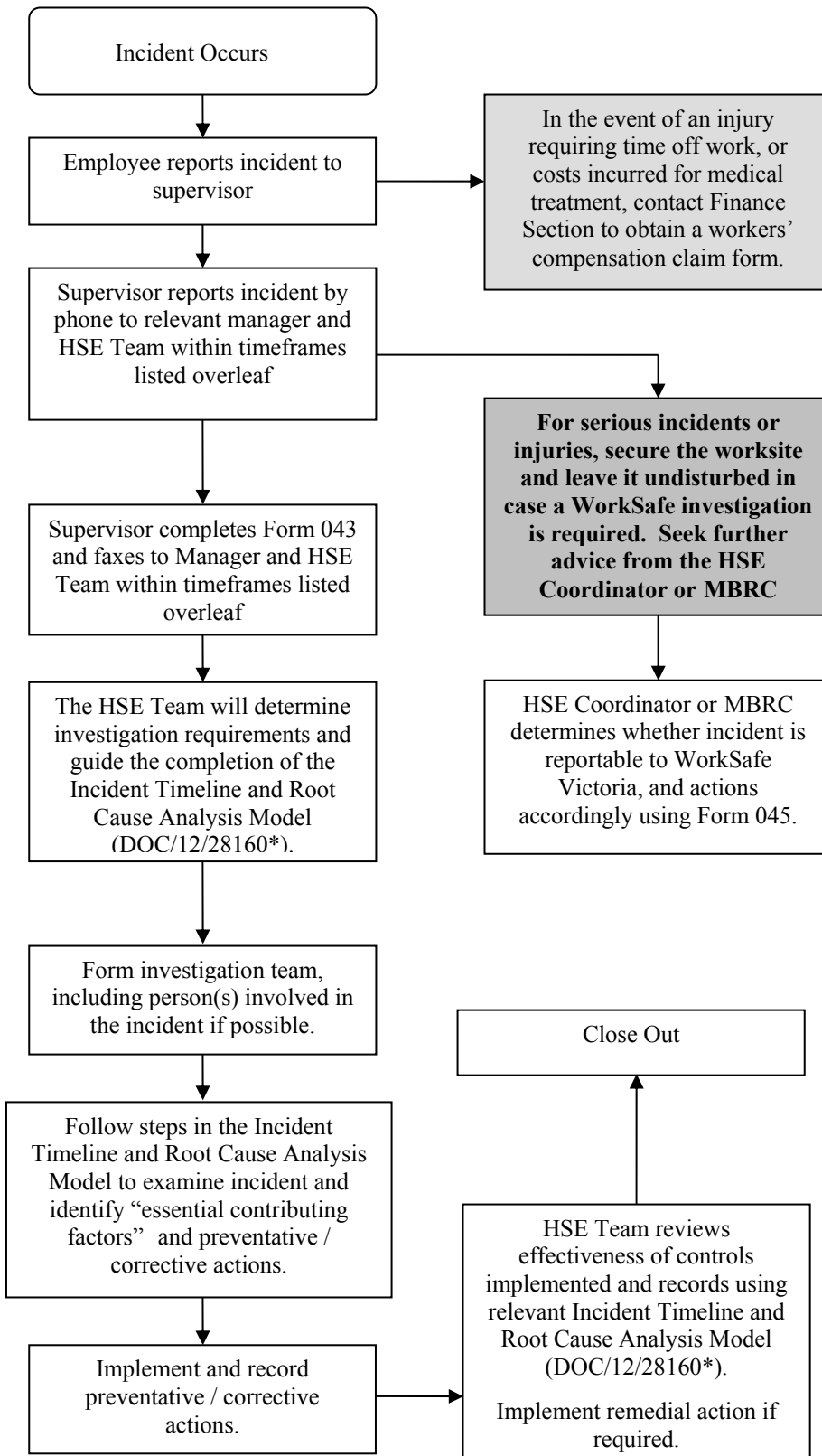
This SOP forms an integral part of East Gippsland Water's Risk Management Program.

**Appendices:**

1. Incident Notification and Investigation Flowchart
2. Incident Reporting Process
3. Incident Investigation Process
4. Statutory Incident Reporting

Appendix 1

INCIDENT NOTIFICATION AND INVESTIGATION FLOWCHART



## Incident Reporting and Investigation Timeframes

Incident Type	Notification Requirements	Investigation Requirements
WorkSafe Notifiable Incident	Supervisor is to notify 'line' Manager, Managing Director and HSE Team immediately.  Follow up with Form 043 as soon as possible, but within 4 hours.	To be managed by HSE Coordinator or Manager Business Risk and Compliance (MBRC).  <b>Incident site is to be secured and left undisturbed to allow WorkSafe investigation if required. MBRC or HSE Coordinator will advise further.</b>
Significant Incident	Supervisor is to notify 'line' Manager and HSE Team by phone as soon as possible, but within 2 hours.  Follow up with Form 043 by close of business next working day, unless advised to provide earlier.	To be determined by HSE Team. Investigation to be conducted by the HSE Team using the Incident Timeline and Root Cause Analysis Model - DOC/12/28160*.
Incident Involving Members of the Public	Notify line manager and MBRC (or HSE Coordinator or Executive Manager Corporate Development and Services [EMCDS] in MBRC's absence) without delay.	To be determined by MBRC / HSE Coordinator / EMCDS
All Other Incidents	Supervisor is to notify 'line' Manager, and HSE Team by phone as soon as possible, but within 12 hours.	To be determined by HSE Team.



## INCIDENT REPORTING PROCESS

### 1. Background

An incident (or accident) is an unplanned or undesirable event that interrupts normal activity. These interruptions may be associated with injuries, illnesses or deaths as well as damaged materials and equipment, reduced production and lost time.

Incidents include near misses and exposure to hazards over a long period of time that may result in illnesses.

Incidents indicate defects in the systems of work and therefore must be reported and investigated. Incidents that do not result in injuries also should be investigated to identify causal factors that may contribute to a recurrence.

Investigations should focus on the systems, design, materials, environmental and behavioural factors that have contributed to the incident/accident.

### 2. Organisational Responsibility

East Gippsland Water has a responsibility to ensure all incidents/accidents are reported and investigated, including 'near miss' occurrences, with the objective of taking corrective actions and to follow up incident investigations to ensure that the outcomes are actioned or, in the case where no action is taken, signed off by management.

### 3. Reporting Process

In the event of a workplace safety incident, supervisors are to follow the process contained in the flowchart at Appendix 1. Assistance of the HSE Coordinator or Manager Business Risk and Compliance is to be sought where any doubt exists.

### 4. Notice of Injury

The Accident Compensation Act 1985 requires that East Gippsland Water provide a "Notice of Injury". To ensure any entitlements for compensation under the Act, an injured person must give notice of injury to the employer within 30 days after the person becomes aware of an injury.

The "Notice of Injury" register can be combined with an Incident Report Form. The format must be in the form approved by WorkSafe Victoria. The combined Incident Report and Notice of Injury Form (Form 043) has been approved for this purpose.

A Register of Injuries must include at least the following:

- Name of worker;
- Occupation or Job Title;
- Time and Date of Injury;
- Workplace Location, where injury occurred;
- Exact description of how injury was sustained;
- Nature of injury and the body part(s) affected;
- Witnesses, if any, to the injury;
- Date of entry in register;
- Name of person making the entry;
- Provision should also be made for the employer to sign and date the entry in order to acknowledge receipt of a notice of injury.

Particulars relating to the work or activity being undertaken at the time of the injury are not required by WorkCover, however, this information is useful for preventive actions.

East Gippsland Water is required to acknowledge in writing to an employee that his/her notice of an injury has been received. This is achieved by the manager's signature on the Incident Report and Notice of Injury Form (Form 043).

## 5. Notification to WorkSafe Victoria

5.1 Section 38 of the Occupational Health and Safety Act 2004 requires that WorkSafe Victoria be notified if the following occurs:

- A. **Notifiable Occurrence:** An incident at a workplace or with equipment that results in:
- The death of a person
  - A person needing immediate medical (registered medical practitioner) treatment for:
    - Amputation
    - Serious Head Injury
    - Serious Eye Injury
    - Separation of skin from underlying tissue such as degloving or scalping
    - Electric Shock
    - Spinal Injury
    - Loss of Body Function
    - Serious Laceration / Cut
  - Immediate Hospital Treatment (as an in-patient)
  - Medical treatment within 48 hours of being exposed to a substance (such as chemicals or biological material)

OR;



- B. Dangerous Occurrence:** A situation that creates an immediate risk to the health and safety of persons in the near vicinity (a “near-miss”), such as:
- The collapse, overturning, failure or malfunction of, or damage to certain items of plant.
  - The collapse or failure of an excavation or of the shoring supporting an excavation
  - The collapse of part of a building or structure
  - An implosion, explosion or fire
  - The escape, spillage or leakage of substances (where the health and safety of people has been put at risk)
  - The fall or release from height of any plant, object or substance

5.2 A completed Form 045 must be sent to WorkSafe Victoria within 48 hours of a notifiable incident or dangerous occurrence. Failure to notify WorkSafe of a serious workplace injury or death or dangerous occurrence may result in the individual or company being fined.

Note:

- a) If this incident involves Electric Shock it is also to be reported to EnergySafe Victoria.
- b) All incidents involving the release of natural gas from any sized poly pipe is reportable to WorkSafe Victoria and the National Response Centre.

5.3 The HSE Coordinator or Manager Business Risk and Compliance will action all notifications to the regulatory authorities.

*In the absence of the HSE Coordinator or Manager Business Risk and Compliance, supervisors/ managers are to seek advice from the Executive Manager Corporate Development and Services or Managing Director.*

## 6. Compensation and/or Time-off in the Event of a Work-related Injury

6.1 As indicated in EGW Policy 042 Compensation and Rehabilitation, EGW provides Workplace Injury Insurance for all employees and other persons deemed to be employees under the Accident Compensation Act 1985

6.2 In the event of a claim for compensation, which may include the cost of medical expenses and/or paid time-off work, the following process is to be followed:

- i. obtain a WorkCover certificate of capacity from the treating medical practitioner
- ii. complete a WorkCover claim form which may be obtained from local post offices or EGW Finance section.

## INCIDENT INVESTIGATION PROCESS

Use the Incident Timeline and Root Cause Analysis Model (DOC/12/28160\*) to carry out the following steps:

- Describe the 'incident/accident/problem' as accurately as possible (include what, when and how), base the description on fact rather than conjecture.
- Avoid describing the result; Use the “Incident Timeline” to describe the events that have lead to the result; the problem is the process that leads to the incident.
- Visit the site of the incident and talk to witnesses and people who were involved to obtain the facts.
- Gather contributory facts.
- Lead the people who were involved in the accident and the investigation in a brain storming exercise to gather all the possible contributing factors.
- Record these possible contributing factors under “The 5 P’s”; Places; Plant; Procedures; People; and Protection.
- Isolate the essential/contributory factors - those considered by the investigation team to be causal or contributory in the incident.
- Test for essential contribution. That is:
  - Would the incident have still occurred if the factor was not present?
  - Which factor must be present for the incident to occur?
  - Check whether changing the process will result in controlling the major contributing factor/s.
- Determine corrective actions by using ‘Hierarchy of Controls’ as per SOP 103 *Hazard Management*.
- Actions should be entered into the “Corrective Action Plan” and must be specific written task descriptions, which are practicable and designed to improve the work process.
- A person and due date must be nominated for each action.
- If expenditure is required, those responsible for the relevant budget must be involved.
- Follow-up to ensure that changes have occurred.

**The line manager/supervisor is responsible for following up to ensure that actions are implemented, or if not, for documenting the reasons why not. This step is essential to get closure on the incident.**

## STATUTORY INCIDENT REPORTING

### FOR: WORKPLACE INCIDENT AND DANGEROUS OCCURRENCES NOTIFICATION REQUIREMENTS

Section 38 of the Occupational Health and Safety Act 2004 WorkSafe Victoria is notified on 132 360 (Toll Free) in case of a Notifiable incident as detailed in Appendix 2 Section 5.

A completed Form 045 must be sent to WorkSafe Victoria by the Manager Business Risk and Compliance or HSE Coordinator within 48 hours of a serious incident or dangerous occurrence. All information and forms must be kept for a designated number of years. Failure to notify WorkSafe Victoria of a serious workplace injury or death or dangerous occurrence can result in fines for individuals and/or organisations.

Incidents involving electric shock or other electrical issues are to be reported to EnergySafe Victoria on 1800 000 922

All incidents involving the release of natural gas from any sized poly pipe is reportable to WorkSafe Victoria (132 360) and the National Response Centre (9411 3100).

The HSE Coordinator or Manager Business Risk and Compliance will action all notifications to the regulatory authorities.

*Note: submission of Form 045 does not replace the internal incident or investigation report forms - it is only used when an incident occurs that is reportable to WorkSafe Victoria.*