**Incident Reporting, Investigation and Management**

# Purpose

The purpose of this procedure is to define the process by which incidents are reported, investigated, and managed at all **[Club Name]** establishments. The key objectives of this procedure are:

* Timely reporting of incidents.
* Timely and high quality of investigations which identify system level root causes.
* Corrective actions which address the identified root causes; and
* Investigations completed and submitted within the outlined time frames.

# Legislation

This procedure has been written to reflect current legislation, Australian Standards and Codes of Practice:

* Queensland Work Health & Safety Act
* Queensland Work Health & Safety Regulation

# Scope

This procedure applies to all **[Club Name]** members of staff, approved contractors and visitors attending any location under the control of the **[Club Name].** The procedure also applies to all track managers to report track work and race day incidents to Racing Queensland WHS Manager.

# Responsibilities

Executive Management is responsible for ensuring:

* Adequate resources are in place to meet the requirements of this procedure and overarching legislative requirements.
* Effective application and compliance with this procedure is maintained across all **[Club Name]** work locations.
* Reviewing and approving incident reports.
* Suitable corrective actions have been identified to prevent recurrence of similar events.
* Routinely reviewing this procedure and its application for the effectiveness of controls.
* Notifying all Regulatory Authorities where required under the prescribed legislation; and
* Ensuring that all corrective actions have been implemented and monitored for effectiveness.

Managers, Supervisors and Track Managers are responsible for:

* Initial incident notification has been made to the relevant club authority/WHS Advisor within the outlined time frames.
* The Initial Incident Notification Report has been completed and returned to the relevant club authority/WHS Advisor.
* Conduct initial enquiries, statements, and pictures immediately after the event.
* Maintain the incident scene if they believe that the incident may fall under the reportable incident section of the WHS Act.
* Complete reports and associated documentation as requested by the relevant club authority/WHS Advisor; and
* Act as the incident sponsor for all Level 2 and Level 3 incidents.

Workers are responsible for:

* Following all safe work instructions.
* Reporting incidents immediately to their supervisor or Manager; and
* Actively participate in incident investigations to identify root causes.

Club Authority/WHS Advisor is responsible for:

* Receive and review Initial Incident Notification Reports.
* Review and allocate an incident severity level.
* Record and file all notifications in the incident register and allocate an incident/event number to each incident.
* Allocate responsibility for investigations.
* Provide guidance on the investigation process; and
* Fulfill the Lead Investigator position for all Level 2 and Level 3 incident investigations.
* Send copies of Trackwork and non-trackwork incident reports to Racing Queensland Workplace Health & Safety.

# Requirements

# Initial Incident Actions

**[Club Name]** personnel are individually responsible for ensuring that upon the event of an incident, that information is passed onto their Supervisor or Manager as soon as practicable.

The initial action to be taken is to:

* Ensure that there is no continued threat to persons, property, or equipment.
* If required, provide suitable first aid and medical treatment to personnel.
* Evacuate the incident scene if required.
* Any unsafe conditions are remedied or sealed off.
* The scene is preserved.
* Potential witnesses are identified, and information obtained from each person;
* Relevant evidence is preserved including but not limited to:
	+ Photographs
	+ Work control documents (permits, risk assessments)
	+ Tools
	+ Equipment
	+ Preliminary witness statements

# Incident Notification

Incidents must be reported to Supervision/Manager by employees immediately after an occurrence.

Supervisors/Managers are to ensure that the Initial Incident Notification Report is completed and returned to the relevant club authority/WHS Advisor as soon as possible, preferably within 24 hours.

If there is potential that the incident will be classified as a Level 2 or Level 3 incident, the initial notification must be made verbally to the CEO immediately. The information must include as a minimum:

* Date, time, and location of the incident.
* Initial description of the event (only known facts).
* Initial assessment of the actual and potential severity of the event; and
* Immediate actions being taken.

# Incident Classification

Upon receipt of an Initial Incident Notification Report the relevant club authority/WHS Advisor will review the details and assign a severity classification and assign the required level of incident investigation. The **[Club Name]** Incident Reporting, Investigation and Management Procedure has three levels of incident classifications.

# Level One Incident

A Level One incident is an event which has little impact, minimal damage to equipment or property and would not constitute a notifiable incident under the WHS Act.

# Level Two Incident

A Level Two incident is an event resulting in medical treatment, restricted work time or a lost time injury or serious property/infrastructure damage. A Level Two incident has the potential to be a notifiable incident under the WHS Act.

# Level Three Incident

A Level Three incident is an event which results in significant residual disability, death or total destruction of property. A Level Three incident is notifiable to the regulator under the WHS Act.

# Near Miss Reporting

Near Miss reporting is a critical element required to continuously improve WHS performance and capture lessons learned. All near misses are required to be reported in the same manner as an actual event with an outcome and will be investigated to the level of potential severity.

|  |  |  |  |
| --- | --- | --- | --- |
|  | Level 1 | Level 2 | Level 3 |
| Occupational Injury or Illness | Work related injury or illness requiring the provision of minor first aid including:* Hot or cold therapy
* Irrigation or cotton swab removal of foreign bodies from the eye
* Wound cleaning and small dressing
* Superficial grazes/cuts
* Dose of non-prescription medication
* Butterfly bandages or steri-strips
* Non-rigid means of support including finger guards
* Removal of splinters or foreign objects (other than from the eye) by irrigation, tweezers, cotton swabs or other simple means
 | Medical Treatment Injury:* Sutures
* Prescription strength medication
* Foreign body extrication involving surgical instruments
* Fractures
* Needle sticks
* Splashes or exposure to another person’s blood/infectious material
* Second or third-degree burns
* Electric shock / electrocution
* Loss of consciousness

Lost Time Injury is an injury that causes an employee to be unable to report to work for his/her next regularly scheduled shift. Restricted Work Case is an injury which cause an employee to be unable to carry out any function of their regular employment requiring placement into a different position. | Work related injury or illness resulting in:* Fatality or serious physical harm (substantial permanent disability)
* Injury or illness to works or other third party requiring overnight hospitalization for other than observation
* Multiple recordable injuries
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| Motor Vehicle Incident | Vehicle receives minor damage to external panels or the undercarriage  | Vehicle cannot be driven under its own power in a road-worthy state. | Rollover on side/top or 360 degrees turn. |
| Spills and Releases | * Hydrocarbon spill to land or secondary containment of 5 to 800 L
* Hydrocarbon spill to water <20 L
* Chemical spill or release of 20 – 160 kg
* Black, grey and brine water spill of 20 – 800 liters
* Spill or release with minor and reversible impact
 | * Hydrocarbon spill to land or secondary containment of > 800 L to 8000 L
* Hydrocarbon spill to water >20 L to 1600L
* Chemical spill or release of 160kg to 8000kg
* Black, grey and brine water spill of >800L to 8000L
* Spill or release with serious but reversible impact
 | * Hydrocarbon spill to land or secondary containment of > 8000 L
* Hydrocarbon spill to water > 1600L
* Chemical spill or release > 8000kg
* Black, grey and brine water spill of >8000L
* Spill or release with irreversible impact
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| Fires / Explosions | Fires causing less than <$2500 damage. | Fires causing $2500 to $500,000 damage. | Fires likely to cause >$500,000 damage. |
| Property Damage | * Total cost of incident <$50,000 damage
* Incidents involving loading and unloading from a stopped or parked vehicle within cost range.
* Damage to or loss of vehicle solely due to environmental conditions, vandalism, or theft within cost range.
 | * Total cost of incident >$50,000 to $500,000
* Incident involving loading and unloading from a stopped or parked vehicle with cost range
* Damage to or loss of vehicle solely due to environmental conditions, vandalism, or theft within cost range.
 | * Total cost of incident > $500,000
* Incident involving loading and unloading from a stopped or parked vehicle with cost range
* Damage to or loss of vehicle solely due to environmental conditions, vandalism, or theft within cost range.
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| Report Closeout | 2 weeks | 4 weeks | 4 weeks |

# Notifiable Incidents

The Person Conducting a Business or Undertaking (in this case the insert club name CEO) or an officer of the organization has a legislative responsibility to notify WHS QLD of certain types of incidents which may occur on any insert club name owned/operated facility.

Such incidents deemed to be notifiable include:

* The death of a person.
* A serious injury or illness of a person; or
* A dangerous incident

A serious injury or illness of a person means an injury or illness requiring the person to have:

* Immediate treatment as an in-patient at a hospital.
* Immediate treatment for –
	+ The amputation of any part of their body
	+ A serious head injury
	+ A serious eye injury
	+ A serious burn
	+ The separation of skin from an underlying tissue (de-gloving or scalping)
	+ A spinal injury
	+ The loss of a bodily function
	+ Serious laceration
* Medical Treatment within 48 hours from exposure to a substance

A dangerous incident means in event which places a person in a workplace in imminent risk of adverse harm resulting from:

* An uncontrolled escape, spillage, or leakage of a substance.
* An uncontrolled implosion, explosion, or fire.
* An uncontrolled escape of gas or steam.
* An uncontrolled escape of a pressurized substance.
* Electric shock.
* The fall or release from height of a plant, substance or thing;
* The collapse, overturning, failure, or malfunction of, or damage to plant that is required to authorized for use under legislation.
* The collapse or partial collapse of a structure.
* The collapse or failure of an excavation or any shoring supporting an excavation.
* The inrush of mud, gas, or liquid in workings in an underground excavation or tunnel; or
* The interruption of the main system of ventilation in an underground excavation or tunnel.

Any incident which meets that of any of the above shall be notified as soon as practicable to the Regulator in accordance with S38 of the WHS Act.

# Incident Investigation Process

Upon receipt of the Initial Incident Notification Report, the WHS Advisor will review the details and classify the incident level. If the incident is of a minor nature with readily identifiable root causes, corrective actions may be identified on the form and the incident closed out.

Should a more robust incident investigation be required, the WHS Advisor will allocate the level of investigation to be conducted which will take the form of either the completion of the insert club name Incident Investigation Report or an Incident Causal Analysis Method (ICAM). The allocation of investigation method is always at the discretion of the insert club name WHS Advisor.

# Incident Investigation Report

The insert club name incident investigation report is a more detailed process which enables a thorough but time efficient investigation into incidents. The report is to be completed by the responsible Supervisor under the direction and guidance of the insert club name WHS Advisor.

With all investigations, the aim of this process is to identify root cause/s and allocate actions to prevent the incident from occurring again.

# Corrective Actions

After identifying the root cause of the incident, the investigation team will determine actions to prevent recurrence of similar events. Corrective or mitigating actions are to be developed to meet SMART action guidelines as follows:

|  |  |
| --- | --- |
| Characteristic | Questions |
| **S**pecific | Does the action contains a verb; and, is it specific enough to be easily understood and implemented? |
| **M**easurable | Can the implementation of the action be verified by others and/or can the implementation of the action be measured? |
| **A**chievable | Is the action and time frame for implementation achievable based upon agreement by the Investigation Team, the action owner and Management? |
| **R**elevant | Does the action address the root cause or contributing factors for the incident? |
| **T**ime based | Has a completion date been set based on the severity of the incident and the action to be implemented? |

# Lessons Learned

Where an event has taken place and value can be taken from the outcome of the investigation by other work groups, a Lesson Learned document will be developed and disseminated. The purpose of this practice is to help to ensure that recurrence of incidents is avoided.

## **Appendix 1 – Incident Report and Investigation Process**

Implement corrective actions and release lessons learned document

CEO/WHS Advisor update Regulator on the result of investigation.

**Incident Complete**

Level 1 – Complete within 2 weeks

Level 2 – Complete within 4 weeks

Level 3 – Complete within 4 weeks

Completed report reviewed and approved by Management

No

Yes

CEO/WHS Advisor to notify the Regulator by telephone immediately

WHS Advisor Review Initial Notification Form and allocates incident severity

Notifiable Incident?

Supervisor to notify WHS Advisor NLT end of shift

Notify relevant supervisor immediately

Provide immediate care and first aid if required

**Incident Occurs**