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Incident Management Procedure

Purpose

The purpose of this procedure is to set out the requirements and processes to enable workers to identify and report work health and safety (WHS) near-misses, incidents and notifiable incidents in the workplace in an effective and systematic manner and for their timely investigation and resolution.

Scope

This procedure applies to:

- all workers and other persons at our workplace

- all workers while present at another workplace (e.g. a customer's workplace)

- all workers in our vehicles and equipment or performing our work using someone else's vehicles and equipment

- any location where a worker undertakes activities on our behalf, including but not limited to our sites and offices

Procedure detail

Incident, notifiable incident and near miss definitions

A near miss refers to an unplanned event which has almost resulted in an incident. All near misses are reported and treated as an incident so that risk treatment measures can be implemented to avoid future incidents.

An incident refers to an unplanned event which has resulted in an accident, injury, illness, damage to plant or any other negative impact.

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A notifiable incident refers to an unplanned event which has resulted in the death of a person, a serious injury or illness or a dangerous incident. These incidents must be reported to the relevant regulator. Refer to the Incident Investigation Form for further explanation and regulator contact details.

Common types of WHS incidents

Workplace WHS incidents will generally fall into one (or a combination) of the categories below. Several examples have been listed for each category.

Injury or illness:

- A worker sustaining a cut injury to their hand while handling sharp objects without protective gloves

- A worker sustaining a back injury after tripping over an electrical cord that had not been covered

- A worker becoming ill after accidentally inhaling the fumes from an unlabelled hazardous chemical

Damage to plant or equipment:

- A drill that is damaged after it falls from scaffolding onto the ground

- A forklift driver that fails to brake and collides with the side of the vehicle being loaded, damaging the load and the vehicle

- A load that is damaged due to inappropriate load restraint equipment being used to restrain it on the vehicle
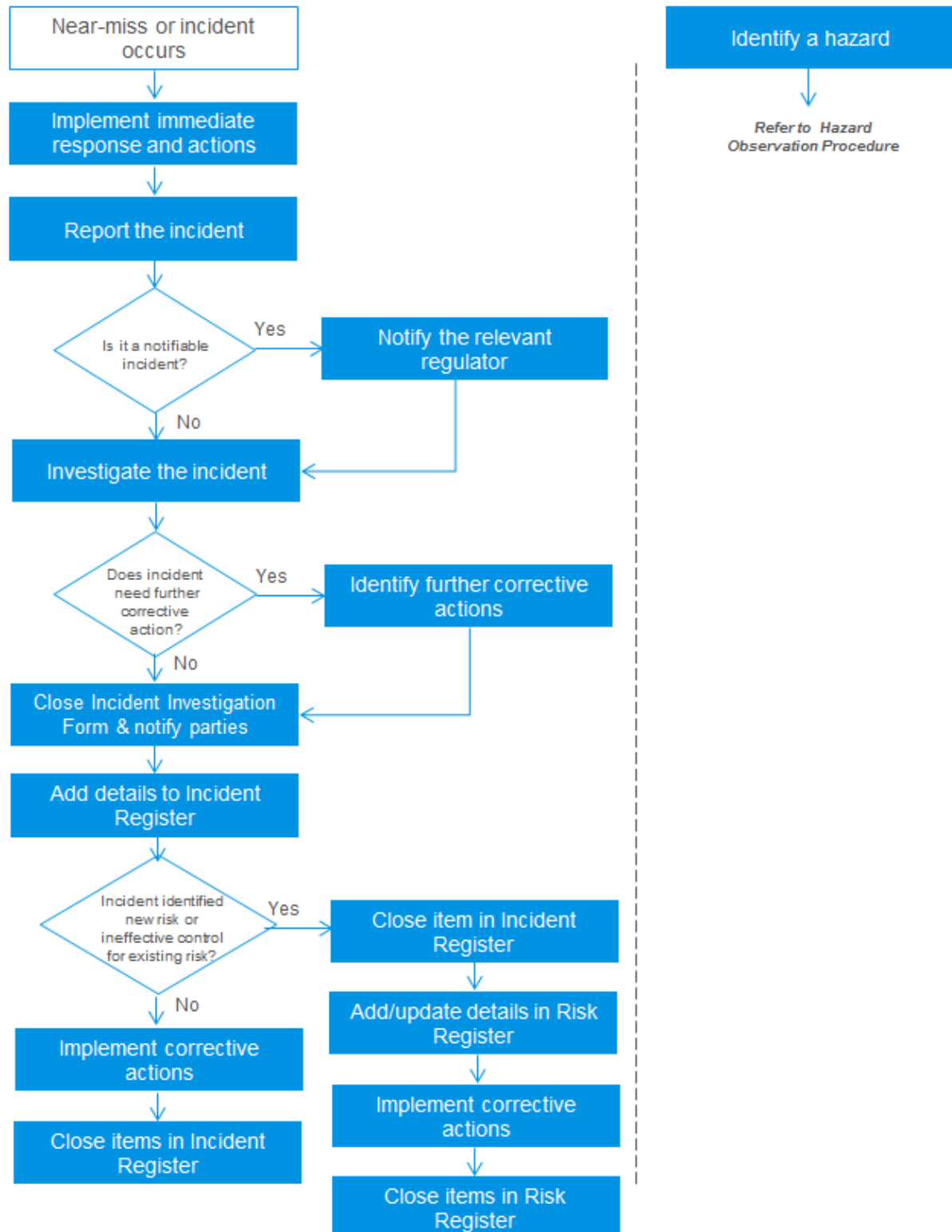
Any other negative impact:

- Damage to electrical poles and guard rails after a fatigued heavy vehicle driver veers off the road

- Damage to company reputation after media reports of several heavy vehicle drivers caught tampering with speed limiters

- Financial damage from regulator fines for the company not meeting legislative obligations which result in an accident

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Incidents are generally identified through observation by:

- the person(s) involved

- witnesses of the incident

- regulators or auditors as part of inspections, investigations or audits

Incident management process overview

The incident management process will generally follow the steps below. Further explanation of each step is provided below the diagram.

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┌─────────────────────────┐                              ┌─────────────────────────┐
│  Near-miss or incident  │                              │    Identify a hazard    │
│         occurs          │                              └─────────────────────────┘
└─────────────────────────┘                                          │
            │                                                         ▼
            ▼                                            Refer to Hazard
┌─────────────────────────┐                              Observation Procedure
│  Implement immediate    │
│  response and actions   │
└─────────────────────────┘
            │
            ▼
┌─────────────────────────┐
│   Report the incident   │
└─────────────────────────┘
            │
            ▼
        ◇ Is it a notifiable ◇ ──Yes──▶ ┌─────────────────────────┐
          incident?                      │  Notify the relevant    │
            │                            │       regulator         │
            No                           └─────────────────────────┘
            │                                         │
            ▼                                         │
┌─────────────────────────┐ ◀───────────────────────┘
│ Investigate the incident │
└─────────────────────────┘
            │
            ▼
     ◇ Does incident ◇ ──Yes──▶ ┌─────────────────────────┐
       need further              │ Identify further corrective│
       corrective               │         actions          │
       action?                   └─────────────────────────┘
            │                                 │
            No                                │
            ▼                                 │
┌─────────────────────────┐ ◀───────────────┘
│ Close Incident Investigation│
│  Form & notify parties  │
└─────────────────────────┘
            │
            ▼
┌─────────────────────────┐
│ Add details to Incident │
│        Register         │
└─────────────────────────┘
            │
            ▼
  ◇ Incident identified ◇ ──Yes──▶ ┌─────────────────────────┐
    new risk or                     │ Close item in Incident  │
    ineffective control             │        Register         │
    for existing risk?              └─────────────────────────┘
            │                                 │
            No                                ▼
            ▼                      ┌─────────────────────────┐
┌─────────────────────────┐        │ Add/update details in Risk│
│  Implement corrective   │        │        Register         │
│        actions          │        └─────────────────────────┘
└─────────────────────────┘                  │
            │                                 ▼
            ▼                      ┌─────────────────────────┐
┌─────────────────────────┐        │  Implement corrective   │
│ Close items in Incident │        │        actions          │
│        Register         │        └─────────────────────────┘
└─────────────────────────┘                  │
                                             ▼
                                   ┌─────────────────────────┐
                                   │  Close items in Risk    │
                                   │        Register         │
                                   └─────────────────────────┘
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Step 1: Implement immediate response and actions

When a near-miss, incident or notifiable incident occurs, the first priority is to take action to contain the effects (for example, the effects on people, equipment, property etc.). Where possible, action should be taken to ensure the incident does not escalate (for example, erecting barricades around the area to control the immediate risk to people in the area).

If an injury has been sustained, medical care should be provided promptly by a qualified first aid officer or other qualified person.

If it is a notifiable incident, the area will need to be secured to preserve the scene for investigation. The scene must not be disturbed except to assist an injured person or to make the area safe. If workers are unsure whether the incident is a notifiable incident, the scene should be preserved until told otherwise by a manager or supervisor.

Step 2: Report the incident

It is important that all incidents are reported immediately to ensure they are managed, investigated and resolved appropriately. An incident may be reported verbally immediately after it has occurred. The next step is to complete and submit the Incident Report Form within 24 hours of the incident.

Refer to the Hazard Observation Procedure for guidance on completing a Hazard Observation Form to report a hazard.

Step 3: Notify the relevant regulator (if required)

If it is a notifiable incident, the relevant regulator will need to be notified within the appropriate timescale. It is helpful to obtain expert advice from a WHS Specialist, consultant, lawyer etc. prior to submitting the notification.

Notifying the regulator can help to identify causes of incidents and prevent similar incidents across the industry. Refer to the Incident Investigation Form for further explanation and contact details.

Step 4: Investigate the incident

The incident investigation plays a critical role in reducing the risk of the incident reoccurring. The purpose of the investigation is to determine the:

- facts about the incident

- contributing factors and causes of the incident

- corrective actions needed to prevent recurrence (specific to the task/role involved and in general throughout the organisation)

- action plan to implement the corrective actions

The depth of investigation will depend on the category of the incident (i.e. minor, moderate, major or severe). The more severe an incident is the more complex the investigation will be. An incident investigation will be completed for each incident.

The parties involved in the investigation will also depend on the category of the incident. For example, a minor incident may only involve the injured party and their supervisor along with any witnesses, while a severe incident may involve the above parties in addition to a senior investigation team or other appropriate parties.

The details of the incident investigation will be documented in the Incident Investigation Form. Refer to the Incident Investigation Form for further explanation.

Step 5: Identify further corrective actions (if required)

Most (but not all) incidents will require further corrective actions. Corrective actions refer to actions that eliminate the cause and prevent the recurrence of an incident as far as reasonably practicable.

The investigation team are responsible for identifying the contributing factors and causes of the incident and recommending corrective actions that contribute toward preventing a recurrence. The corrective actions are set out in an action plan in the Incident Investigation Form and also documented in the Incident Register.

Depending on the category of the incident (i.e. major or severe), the recommendations and action plan may need to be reviewed and endorsed by senior management prior to implementation.

The responsible manager, supervisor or other investigation leader must ensure that corrective actions are implemented by the due date and tracked to completion.

Step 6: Close Incident Investigation Form and notify parties

On completion of the incident investigation, the Incident Investigation Form can be closed and the involved parties notified of the status and outcomes of the investigation.

Step 7: Add details to Incident Register

All details of the incident must be recorded in the Incident Register to enable analysis of incident trends and escalating safety issues.

Step 8: Close item in Incident Register and update Risk Register (if required)

If the incident has identified a new risk or an ineffective control measure for an existing risk, the risk management process will commence. At this stage, the incident will be closed in the Incident Register and the details added or updated in the Risk Register to facilitate the risk management process and ensure the risk and control measures are tracked to completion. The Risk Register ID is added to the Incident Register as a reference to link to the relevant item in the Risk Register.

Step 9: Implement corrective actions

The prompt and effective implementation of corrective actions is critical to the success of preventing a recurrence.

Step 10: Close items Incident Register or Risk Register (as appropriate)

Once all relevant corrective actions have been implemented the items in the Incident Register (non-new risks/ineffective controls) or the Risk Register (new risks/ineffective controls) can be closed.

On incident closure, the details of the final outcomes and incident closure should be communicated to all involved parties.

Regular monitoring, review and audit of incident reports

To gain the full benefit of the incident management process, it is important for the organisation to collect and analyse all incident data.

Managers and supervisors should monitor and review incident data for their area of control on a regular (e.g. weekly) basis to ensure corrective actions have been implemented, are effective and have not introduced new hazards. They should also discuss the types of incidents, trends and problems with their team members.

Senior managers should analyse and audit incident data and investigation findings as part of regular (e.g. annual) audit processes or more frequently as needed.

Responsibilities

Romann Logistics has identified the following roles within our organisation with responsibilities for incident management, as:

- the employer/ person conducting a business or undertaking (PCBU)
- managers/supervisors
- workers

A summary of the key responsibilities for each role are listed below.

Employer/PCBU Responsibilities
The Employer or PCBU can be a sole trader, the partners in a partnership, a company, an unincorporated association or a government department. In our organisation this responsibility is accepted by the Director(s).

The Employer/PCBU must:
- ensure workers are provided with the:
    - skills and knowledge of the types of incidents and how to identify them
    - skills and knowledge of appropriate immediate corrective actions within their area of responsibility and skills
    - tools to easily report the incident (for example, an Incident Report Form)
- ensure investigators are provided with the:
    - skills and knowledge to conduct the investigation and develop corrective actions
    - tools to facilitate the investigation and implementation of corrective actions
- ensure adequate resources (time and budget) are provided to implement incident management throughout the workplace

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- ensure all near-misses, incidents and notifiable incidents have been investigated to a depth appropriate to the category of the incident

- ensure corrective actions (both in the Incident Register and Risk Register) resulting from all incidents are promptly and appropriately implemented

- ensure documentation and records of all incidents are completed and maintained

- ensure all relevant parties (including external regulators) are notified of incidents and investigation findings

- monitor trends in incidents on an ongoing basis and analyse and audit incident data and investigation findings as part of regular audit processes

- promote an open and transparent safety culture within the workplace which encourages the reporting and investigation of incidents (including near-misses)

Manager/Supervisor Responsibilities
Managers and supervisors are workers who have an area of control within the workplace. In our organisation this responsibility is accepted by the National Operations Manager, National Business Development Manager and Key Account Manager.

Managers and supervisors must:

- promptly report an incident in the workplace by completing the Incident Report Form and submitting it to a senior manager or HSR

- review Incident Report Forms submitted by workers within their area of control

- escalate the notification of major or severe incidents to senior management

- manage or participate in the incident investigation (dependant on the category of the incident)

- implement relevant corrective actions resulting from the incident investigation within their area of control

- provide feedback to workers and other relevant parties on the outcomes of reported incidents and subsequent investigations

- add the details of incidents, corrective actions and implementation details to the Incident Register (and Risk Register if required)

- monitor and review incident data for their area of control on a regular (e.g. weekly) basis

- discuss relevant incidents and trends with their team members on a regular basis

- encourage workers within their area of control to take a proactive approach to incident management

Worker Responsibilities

A worker is any person who carries out work for a PCBU, including work as an employee, contractor, subcontractor, self-employed person, outworker, apprentice or trainee, work experience student, employee of a labour hire company placed with a 'host employer' and volunteers.

Workers must:

- take immediate action to contain the effects of an incident that they have observed (within the scope of their skills and abilities)

- promptly report any incident in our workplace (or another workplace) by completing the Incident Report Form and submitting it to a manager, supervisor or HSR

- participate in the incident investigation (as required)

- implement corrective actions (control measures) resulting from incident investigations relevant to their role

Supporting records

The following records are created, maintained and reviewed as part of the requirements of this procedure:

- Incident Report Form

- Incident Investigation Form

- Incident Register

Supporting policies and procedures

This procedure operates within the Risk Management Framework outlined in the Risk Management Policy and Procedure and the Work Health and Safety Policy.

This procedure should be read and followed in conjunction with:

- Hazard Observation Procedure
- CoR Policy
- Document and Record Control Policy

Implementation and evaluation

Romann Logistics will ensure this Procedure is reviewed and evaluated for its effectiveness in delivering objectives on an annual basis or earlier in the event of major changes to the legislation or our organisation structure and operations.

**Procedure authorised by: George Manassa,
National Business Development Manager**

Signature: GM, digitally signed 05.04.2022

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Procedure version number: v1
Procedure review due date: 27.07.2022*

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I have read and agree with the policy above.

Name:

Signature:

Date:

Authorised Officer:

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