

IMPLEMENTATION

3.29 INCIDENT, NEAR MISS REPORTING AND INVESTIGATION

3.29.1 Objective

- To identify the contributing factors for all incidents and near miss occurrences (e.g. probable cause, breakdown event, mechanism or agency);
- To take appropriate corrective action to prevent a recurrence in accordance with the [Hierarchy of Controls](#);
- To have systems where incident/injury/near miss data can be recorded;
- To analyse data, identify trends and implement strategies to prevent incidents/injuries; and
- To meet the requirements of the Health, Safety and Wellbeing ([HSW](#)) Policy and relevant sections of the Occupational Health, Safety and Welfare legislation.

3.29.2 Scope

This process applies to employees, title holders, volunteers, students, visitors and third parties engaged by the University (e.g. contractors) co-location partners and controlled entities whilst:

- present in any building or grounds owned, occupied or managed by the University; or
- in the course of, or as a result of any occupational, educational or University endorsed activity wherever its location.

Contractors

Where a contractor is engaged by the University they may complete their own organisation's Incident/Injury/Near Miss report form or complete the University's template. The details of their incident/injury are to be recorded in the University's Risk Management Safety System (RMSS) by the School/Branch responsible for the Contractor. The contractor's employer is responsible for investigating the contributing factors relating to areas where they have control as an employer. The University is responsible for investigating the contributing factors where we have control e.g. as a building owner and/or where the University owns the plant and equipment or property.

Visitors, Volunteers and Students

The Manager/Supervisor of the area where the injury occurred is responsible for the investigation process and recording the incident in RMSS. Where a visitor, volunteer or student is injured, contact Legal and Risk ext 34635 for further information.

3.29.3 Process:

Person(s) Responsible	Actions
3.29.3.1 Employees, title holders, volunteers, students, visitors and third parties engaged by the University (e.g. contractors)	<p>In the event of an injury:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Arrange for appropriate medical treatment if required. <input type="checkbox"/> Gain the assistance of other staff working in the area if necessary. <input type="checkbox"/> Take steps to ensure the area is safe, if there is an immediate danger, threat or hazard. (If you are on your own, contact the Security Office (ext 35990) who will arrange for assistance.) <p>For all incidents (including Injuries and "near misses"):</p> <ul style="list-style-type: none"> <input type="checkbox"/> Verbally report the incident to your immediate Manager/Supervisor/Lecturer/Project Manager/Health and Safety Officer or Head of School/Branch (as applicable) immediately or as soon as possible. <p style="text-align: right;">(Continued)</p>

HSW Handbook	Incident , Near Miss Reporting and Investigation	Effective Date:	11 February 2010	Version 1.2
Authorised by	Vice Chancellor and President	Review Date:	February 2013	Page 1 of 12
Warning	This process is uncontrolled when printed. The current version of this document is available on the HSW Website.			

3.29.3 Process (continued)

Person(s) Responsible	Actions
3.29.3.1 All persons outlined in the scope of the University's HSW Policy Statement (Continued)	<ul style="list-style-type: none"> <input type="checkbox"/> Document the details of the incident/injury/near miss: <ul style="list-style-type: none"> <input type="checkbox"/> Directly into RMSS to ensure the appropriate notifications occur and further information can be added as information comes to hand; Or, if you do not have access to RMSS <ul style="list-style-type: none"> <input type="checkbox"/> On an Incident/Property Damage/Hazard Report form within 48 hours and present the form to your Manager/Supervisor/Lecturer/Project Manager/Health and Safety Officer or HSW Division/Faculty Manager. <p>Note: If a serious injury has occurred and the injured person has left the workplace, then another staff member or work colleague or the Manager/Supervisor should complete the Incident report and/or enter the incident in RMSS. This will assist in the investigation process.</p> <p>For a Notifiable Occurrence, the incident report is to be completed within 24 hours as a priority. (See definitions)</p>
3.29.3.2 Manager/Supervisor, Lecturer, Project Manager, Health and Safety Officer or HSW Division/Faculty Manager.	<ul style="list-style-type: none"> <input type="checkbox"/> Confirm appropriate medical treatment has been provided or arrange for treatment if applicable. <input type="checkbox"/> If the incident requires medical treatment and/or lost time, also follow the process for Injury Management. <p>Incident investigation Based on the information provided (e.g. hard copy of the Incident/Property Damage/Hazard Report form or incident report in RMSS),</p> <ul style="list-style-type: none"> <input type="checkbox"/> Determine if the incident falls under the definition of a Notifiable Occurrence (see definitions). <p>If not a Notifiable Occurrence:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Inform the Health and Safety Representative (if applicable to your area) and invite them to take part in the investigation process. <input type="checkbox"/> Take a copy of the Incident/Property Damage/Hazard Report form (or RMSS incident report) to the incident/injury site if possible. <input type="checkbox"/> Complete all sections of the form and actions taken to prevent a recurrence using the Hierarchy of Controls. <input type="checkbox"/> Ensure the area is made safe. <input type="checkbox"/> Ensure the incident is recorded in RMSS (if not already done so) and complete the details including the assigning of corrective actions. <p>If a Notifiable Occurrence:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Verbally report the incident to the Manager, Health Safety and Wellbeing as soon as possible on ext 36079 or ext 30174 or ext 35246 and provide a summary and contact number. For after hours contact the Security Office on ext 35444 who will follow their call out procedure. (Continued)

HSW Handbook	Incident, Near Miss Reporting and Investigation	Effective Date:	11 February 2010	Version 1.1
Authorised by	Vice Chancellor and President	Review Date:	February 2013	Page 2 of 12
Warning	This process is uncontrolled when printed. The current version of this document is available on the HSW Website.			

3.29.3 Process (continued)

Person(s) Responsible	Actions
3.29.3.2 Manager/Supervisor, Lecturer, Project Manager, Health and Safety Officer or HSW Division/Faculty Manager. (Continued)	If a Notifiable Occurrence (Continued): <ul style="list-style-type: none"> <input type="checkbox"/> Notify and brief your Head of School/Branch. <input type="checkbox"/> Notify the relevant Division/Faculty HSW Manager who will lead and assist with the investigation. <input type="checkbox"/> Print the (investigation template), (Appendix A). <input type="checkbox"/> Inform the Health and Safety Representative (if applicable to your area) and invite them to take part in the investigation process. <input type="checkbox"/> Attend the incident/injury site. <input type="checkbox"/> Follow the process in Appendix A. <input type="checkbox"/> Ensure the area is made safe. <input type="checkbox"/> Record the incident in RMSS and attach the incident investigation reports including witness statements and photos (if applicable). <input type="checkbox"/> Review the recommendations from the debrief and assign corrective actions where applicable. <input type="checkbox"/> Notify the Manager HSW (or HSW Team if unavailable) if SafeWork SA contact you to attend on site. <input type="checkbox"/> Provide assistance to the Manager, HSW until the incident is closed by SafeWork SA.
3.29.3.3 Head of School/Branch	<ul style="list-style-type: none"> <input type="checkbox"/> Monitor the corrective actions until completed. <input type="checkbox"/> Provide assistance to the Manager/Supervisor, Lecturer, Project Manager, Health and Safety Officer or HSW Division/Faculty Manager where required.
3.29.3.4 Manager, Health Safety and Wellbeing (or delegate to the Senior HSW Consultant (Policy and Liaison) or Senior HSW Consultant (Operations) if required)	Notifiable Occurrences <ul style="list-style-type: none"> <input type="checkbox"/> Attend the site and lead the investigation if the incident is a Notifiable work-related injury. <input type="checkbox"/> Provide direction and assistance to the Division/Faculty HSW Manager if required for Notifiable dangerous occurrences. <input type="checkbox"/> Notify and brief relevant Executive staff and/or the Emergency Director (Vice President Services and Resources) if applicable and provide updates where required. <input type="checkbox"/> Collate all incident/injury information in consultation with all stakeholders including corrective actions taken and report the Notifiable Occurrence to SafeWork SA within 24 hours. <input type="checkbox"/> Forward a memo summarising the incident to the Vice President Services and Resources, Director Human Resources, relevant Executive Dean or Deputy Vice Chancellor, Head of School/Branch, Legal and Risk and any other stakeholder as required. <input type="checkbox"/> Monitor the incident and corrective actions until the investigation is closed by SafeWork SA. <input type="checkbox"/> Maintain a copy of all documentation relating to the occurrence.

HSW Handbook	Incident, Near Miss Reporting and Investigation	Effective Date:	11 February 2010	Version 1.1
Authorised by	Vice Chancellor and President	Review Date:	February 2013	Page 3 of 12
Warning	This process is uncontrolled when printed. The current version of this document is available on the HSW Website.			

3.29.3 Process (continued)

Person(s) Responsible	Actions
3.29.3.5 Division/Faculty HSW Manager	<ul style="list-style-type: none"> Monitor incidents recorded in RMSS and follow up with relevant staff where gaps are identified in the investigation/reporting process where applicable. <p>Notifiable Occurrences</p> <ul style="list-style-type: none"> Lead the investigation and assist the Manager/Supervisor, Health and Safety Officer, Lecturer, Project Officer, Head of School/Branch to identify contributing factors and corrective actions where required and document a report. Maintain communications with the Manager, HSW and the Head of School/Branch throughout the investigation process.
3.29.3.6 Emergency Director Vice President (Services and Resources)	<p>If required: (e.g. a death, significant injuries to employees, staff, student or the public, shut down of the University's business, significant disruption to operations or physical or environmental damage.)</p> <ul style="list-style-type: none"> Contact and brief the relevant members of the Incident Management Task Group and follow the Emergency Management process.
3.29.3.7 Security staff	<ul style="list-style-type: none"> Provide assistance to any person reporting an incident/injury. Contact the Emergency Services where required. Contact the Manager, HSW and/or follow call out procedures (if after hours) for all Notifiable Occurrences. Forward a copy of the Security incident report, including any actions taken by Security staff to the HSW Team and Campus Services (for recording the incident in RMSS where applicable) e.g. For all Notifiable Occurrences, or where there is a potential or real threat to the health and safety of the University community.
3.29.3.8 Any person assigned corrective actions in RMSS	<ul style="list-style-type: none"> Follow the Corrective Action process in the HSW Handbook.

3.29.4 Performance Measures

	Measure	Objective Evidence	Person Responsible
3.29.4.1	The School/Branch has recorded each incident/near miss in RMSS, investigated the incident and taken appropriate corrective action in accordance with the Hierarchy of Controls where applicable.	RMSS	Head of School/Branch

3.29.4 Performance Measures (Continued)

	Measure	Objective Evidence	Person Responsible
3.29.4.2	The University has an incident/injury/near miss reporting system and database which enables reporting and analysis of data.	RMSS	Manager, HSW
3.29.4.3	Analysis of incident/injury/near miss data is completed on a quarterly basis, trends are identified and prevention strategies discussed by Health and Safety Committees.	RMSS incident/injury reports. Health and Safety Committee minutes.	Health and Safety Committees

3.29.5 Definitions

Incident means an event that causes or could cause harm (injury, illness or damage) to persons, plant material or the environment including a “near miss”.

Near Miss means an unplanned event that did not result in injury, illness or damage but had the potential to do so. Only a fortunate break in the chain of events prevented an injury or damage.

Notifiable Occurrence (Occupational Health and Safety Regulations (1995) Division 6.6)

- **Notifiable work-related injury**
 - Work-related injury that causes death;
 - Work-related injury that has acute symptoms associated with exposure to a substance at work; or
 - Work-related injury that requires treatment as an in-patient in a hospital immediately after the injury.
- **Notifiable dangerous occurrence**
 - The collapse, overturning or failure of the load-bearing part of a scaffolding, lift, crane, hoist or mine-winding equipment;
 - Damage to, or malfunction of, other major plant;
 - The unintended collapse or failure of an excavation that is more than 1.5m deep, or of any shoring;
 - The unintended collapse or partial collapse;
 - of a building or structure under construction; reconstruction, alteration, repair or demolition; or
 - the floor, wall or ceiling of a building being used as a workplace;
 - An uncontrolled explosion, fire or escape of any gas, hazardous substance or steam;
 - The unintended ignition or explosion of an explosive;
 - An electrical short circuit, malfunction or explosion;
 - An unintended event involving a flood of water, rockburst, rock fall, or any collapse of ground;
 - An incident where breathing apparatus intended to permit the user to breathe independently of the surrounding atmosphere malfunctions in such a way that the wearer is deprived of breathing air or exposed to an atmospheric contaminant to an extent that may endanger health;
 - Any other unintended or uncontrolled incident or event arising from operations carried on at a workplace.

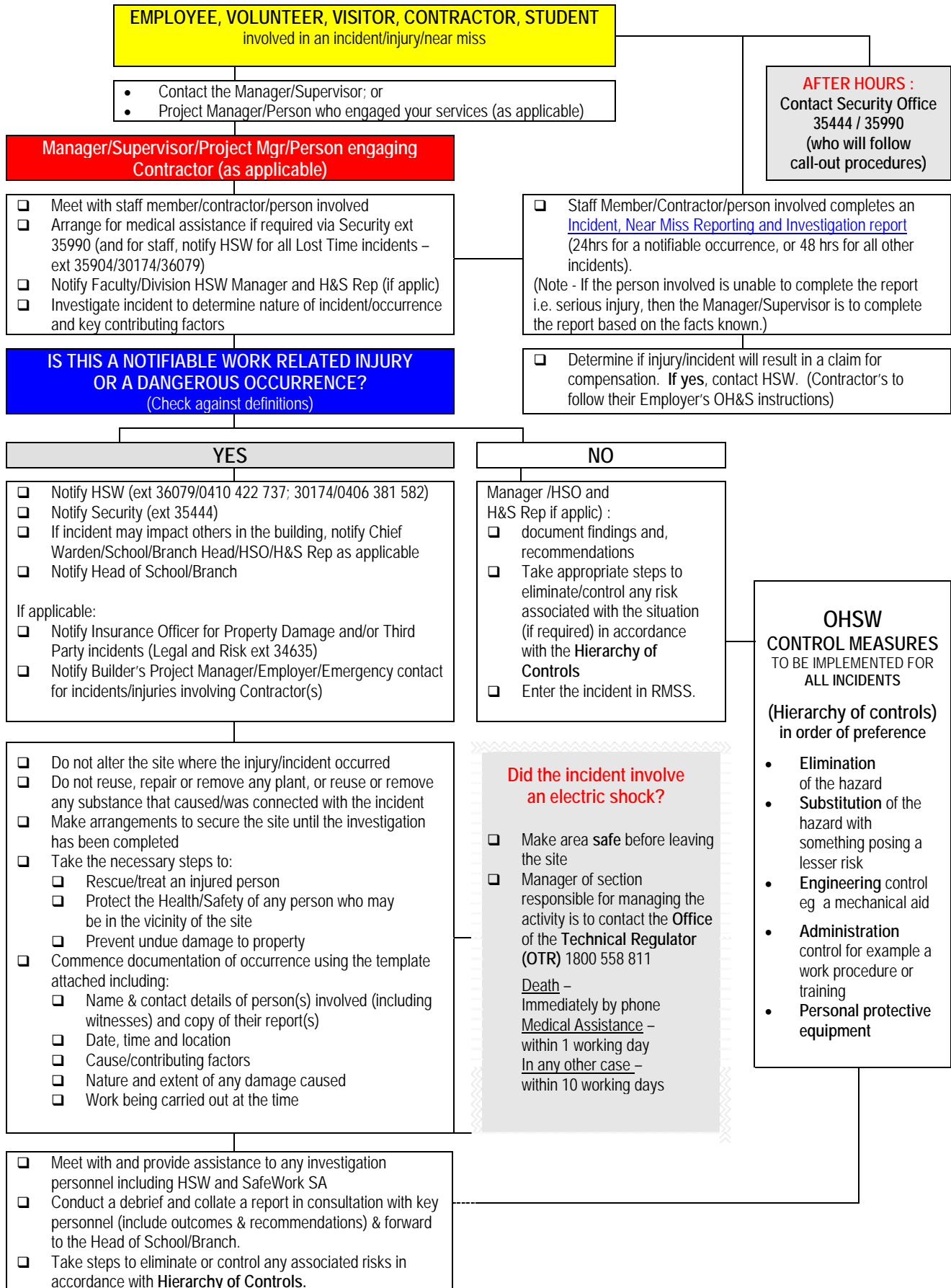
HSW Handbook	Incident, Near Miss Reporting and Investigation	Effective Date:	11 February 2010	Version 1.1
Authorised by	Vice Chancellor and President	Review Date:	February 2013	Page 5 of 12
Warning	This process is uncontrolled when printed. The current version of this document is available on the HSW Website.			

3.29.6 Useful information and resources:

3.29.6.1	University related documents and policies HSW Policy First Aid Injury Management Emergency Management
3.29.6.2	Related Legislation and Australian Standards <ul style="list-style-type: none"> Occupational Health, Safety and Welfare Act 1986 Sections 19, 20 and 21 OHSW Regulations (2010) Part 7, Division 6 "Notifiable Occurrences" http://www.austlii.edu.au/au/legis/sa/consol_reg/ohsawr1995445/s6.6.1.html
3.29.6.3	Useful Web-links <ul style="list-style-type: none"> OHSW Regulations (2010) http://www.safework.sa.gov.au

NOTIFIABLE INCIDENT INVESTIGATION FLOWCHART

APPENDIX A (PAGE 1 OF 6)



HSW Handbook	Incident, Near Miss Reporting and Investigation	Effective Date:	11 February 2010	Version 1.1
Authorised by	Vice Chancellor and President	Review Date:	February 2013	Page 7 of 12
Warning	This process is uncontrolled when printed. The current version of this document is available on the HSW Website.			

This form is designed to assist in the collation of information and investigation of an incident. (It can be hand-written)

This summary is to be attached to the report in RMSS together with any witness statements, photos, contractor incident/investigation reports, emails etc as applicable.

Date of Incident	/ /	Time : hrs
Contact person		Phone
PERSON INVOLVED	<input type="checkbox"/> Employee <input type="checkbox"/> Student <input type="checkbox"/> Contractor <input type="checkbox"/> No Person <input type="checkbox"/> Visitor	
Name of Employee/Contractor/Person (if applicable)		Phone
Name of Contractor Company (if applic)		Phone
Division/Faculty		
School/Branch/Area		
Were there any injuries sustained?	Yes / No	
If yes, nature of injury		

Tick which Notifiable occurrence is applicable

- **Notifiable work-related injury**
 - ☐ Work-related injury that causes death;
 - ☐ Work-related injury that has acute symptoms associated with exposure to a substance at work; or
 - ☐ Work-related injury that requires treatment as an in-patient in a hospital immediately after the injury.
- **Notifiable dangerous occurrence**
 - ☐ The collapse, overturning or failure of the load-bearing part of a scaffolding, lift, crane, hoist or mine-winding equipment;
 - ☐ Damage to, or malfunction of, other major plant;
 - ☐ The unintended collapse or failure of an excavation that is more than 1.5m deep, or of any shoring;
 - ☐ The unintended collapse or partial collapse;
 - ☐ of a building or structure under construction; reconstruction, alteration, repair or demolition; or
 - ☐ the floor, wall or ceiling of a building being used as a workplace;
 - ☐ An uncontrolled explosion, fire or escape of any gas, hazardous substance or steam;
 - ☐ The unintended ignition or explosion of an explosive;
 - ☐ An electrical short circuit, malfunction or explosion;
 - ☐ An unintended event involving a flood of water, rock-burst, rock fall, or any collapse of ground;
 - ☐ An incident where breathing apparatus intended to permit the user to breathe independently of the surrounding atmosphere malfunctions in such a way that the wearer is deprived of breathing air or exposed to an atmospheric contaminant to an extent that may endanger health;
 - ☐ Any other unintended or uncontrolled incident or event arising from operations carried on at a workplace.

STEP 1 : FACT FINDING/INCIDENT INVESTIGATION

- ☐ If useful in the investigation, photograph the incident site including any equipment.
- ☐ Collect information from the person involved (including any witnesses).
- ☐ Obtain copies of any risk assessments and safe operating procedures relevant to the equipment or activity (where completed);
- ☐ Take note of any other relevant factors, e.g. job design, lighting, ventilation, weather conditions, which may have contributed to the incident/injury.

REMEMBER

Ensure that the incident site (including plant and equipment) is left undisturbed until authorisation is given by SafeWork SA (e.g. you cannot remove any faulty plant, or commence corrective actions). Exceptions to this include steps necessary to:

- Rescue an injured person;
- Protect the health/safety of any person who may be in the vicinity of the site (e.g. by isolating the area, making the area safe);
- Prevent undue damage to property.

HSW Handbook	Incident, Near Miss Reporting and Investigation	Effective Date:	11 February 2010	Version 1.1
Authorised by	Vice Chancellor and President	Review Date:	February 2013	Page 8 of 12
Warning	This process is uncontrolled when printed. The current version of this document is available on the HSW Website.			

WHERE DID THE INCIDENT OCCUR?

Campus	
Building, level, room no and exact location	

TASK BEING UNDERTAKEN AT THE TIME OF THE INCIDENT

--

HOW DID THE INCIDENT OCCUR?

From the employee/contractors/persons perspective, list the steps that led to the incident/injury and any factors which contributed.

--

WITNESSES

Name

Contact No.

List who witnessed the incident (if applicable?) Attach statement(s) including contact numbers		
---	--	--

WORK PROCEDURES

Is there a specific Job Safety Analysis or Safe Operating Procedure for the task being undertaken? (if yes attach SOP/JSA)	Attached <input type="checkbox"/> Yes <input type="checkbox"/> No
--	---

WAS THERE ANY DAMAGE TO PROPERTY OR INFRASTRUCTURE?

List location, items damaged; and nature of damage incurred (if applicable)	
---	--

HSW Handbook	Incident, Near Miss Reporting and Investigation	Effective Date:	11 February 2010	Version 1.1
Authorised by	Vice Chancellor and President	Review Date:	February 2013	Page 9 of 12
Warning	This process is uncontrolled when printed. The current version of this document is available on the HSW Website.			

BUILD A TIME-LINE OF EVENTS ie What actions were taken during and following the incident by persons on site/involved

Time	Details of Action Taken	Who by

HSW Handbook	Incident, Near Miss Reporting and Investigation	Effective Date:	11 February 2010	Version 1.1
Authorised by	Vice Chancellor and President	Review Date:	February 2013	Page 10 of 12
Warning	This process is uncontrolled when printed. The current version of this document is available on the HSW Website.			

DEBRIEF : CORRECTIVE ACTION TAKEN TO PREVENT A RECURRENCE AND MAKE SAFE

To be conducted as soon as possible with the person(s) involved in the incident where possible and the investigating personnel e.g. Division/Faculty HSW Manager, Manager/Supervisor, Health and Safety Officer, Health and Safety Representative (if relevant).

HOW COULD THE INCIDENT HAVE BEEN AVOIDED?

1. Identify the hazards/issues/system deficiencies which resulted in the occurrence (e.g. faulty equipment, inappropriate storage, lack of training/skill, risk assessment not completed, poor design, environmental conditions etc).
2. Determine how a recurrence would be prevented.
3. Determine appropriate recommendations to prevent a recurrence using the Hierarchy of Controls (There may be a combination of control measures, both short and long-term):
 1. Elimination (i.e. is there a permanent solution?);
 2. Substitution (e.g. is it possible to replace the hazard (e.g. chemical) with one that presents a lower risk?
 3. Isolation (e.g. is it possible to place a barrier between the operator and the hazard to prevent exposure?);
 4. Engineering (e.g. is it possible to structurally change the environment or plant and equipment to make it safer?);
 5. Administration (e.g. does the safe operating procedure require review, is additional training required for operators, is signage required?);
 6. Personal Protective Equipment [PPE] (e.g. is there a requirement for gloves, helmets, goggles, safety shoes?).

Debrief attended by:			
Contributing factors (including HSW system deficiencies)	Corrective Actions taken (or recommended) to prevent a recurrence (Short term and long term as applicable)	Who by	Time/frame or date action complete

(Attach additional pages if required)

HSW Handbook	Incident , Near Miss Reporting and Investigation	Effective Date:	11 February 2010	Version 1.2
Authorised by	Vice Chancellor and President	Review Date:	February 2013	Page 11 of 12
Warning	This process is uncontrolled when printed. The current version of this document is available on the HSW Website.			

STEP 2 : PREVENTION/CORRECTIVE ACTION/STATUTORY REPORTING

If applicable: Property Damage <input type="checkbox"/> Maintenance service request has been raised		http://requests.property.adelaide.edu.au/forms/index.html
If applicable: Electrical short circuit (Statutory requirement) <input type="checkbox"/> Reported to Maintenance Service Centre <input type="checkbox"/> Reported to the OTR (attach copy) <input type="checkbox"/> Certificate of Compliance obtained from the electrician (or rectifying electrician) and attached to the OTR Report. (attach copy)		http://www.energysafety.sa.gov.au/ Reported by _____ (Print name) _____ / ____ / ____

WITNESS REPORT (IF APPLICABLE)

Your Name	Contact number	Area of Work/School/Branch

RECORD WHAT HAPPENED (i.e. what led up to the incident, what were the contributing factors, what you saw)

Signature _____ *Date* _____ / ____ / ____

HSW Handbook	Incident , Near Miss Reporting and Investigation	Effective Date:	11 February 2010	Version 1.2
Authorised by	Vice Chancellor and President	Review Date:	February 2013	Page 12 of 12
Warning	This process is uncontrolled when printed. The current version of this document is available on the HSW Website.			