



UNDER REVIEW
**Incident Response and
Investigation Procedure**

Related Policies	Work Health and Safety Policy
Officer	Executive Director, Human Resources
Approved by	Executive Director, Human Resources
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Responsible Section/Work Unit	Work Health and Safety Unit

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1 Objective

The objectives of this *Incident Response and Investigation Procedure* are to ensure that:

- all incidents that result in or have the potential to cause injury or damage are reported and investigated in a consistent manner; and
- corrective actions are implemented to prevent a recurrence.

2 Scope

This procedure applies to University of Tasmania (University) workers, (employees, students gaining work experience, volunteers and contractors) and other persons (students and visitors) at the workplaces owned, managed or controlled by the University and approved offsite work, including collaborative arrangements with other parties.

Whenever a worker or other person is involved in a University related incident, it must be reported, investigated and corrective actions taken, as deemed necessary.

3 Procedure

3.1 First Aid Treatment

Immediately following an incident involving personal injury, first aid treatment may be required. Assistance is to be sought from a Designated First Aid Officer in the work area or by contact with Security, in accordance with the University First Aid in the Workplace Minimum Standard.

3.2 Serious Injury/Illness or Dangerous Incident

Immediate actions to consider following a serious injury/illness or dangerous incident are:

- control of the incident site;
- seek emergency assistance (if required);
- notify relevant personnel (internal and external); and
- implement interim control measures to prevent a recurrence

Notifiable Incident

For Notifiable Incidents actions are to be in accordance with Sections 35-38 of the Work Health and Safety (WHS) Act 2012.

See Fact – Sheet – Notifiable Incidents for guidance (*appendix c*).

If the incident is not serious or did not have the potential to be serious, go to 3.3.

3.2.1 Control of the Incident Site

The Manager/Supervisor is to ensure the incident site is safe, which may include securing, or taping off the area to prevent unauthorised access.

The site of a notifiable incident must be controlled in accordance with Section 39 of the WHS Act, to ensure the site is not disturbed until a WorkSafe inspector arrives or directs.

The preservation of the incident site does not prevent any action to:

- assist an injured person; or
- remove a deceased person; or
- that is essential to make the site safe or to minimise the risk of a further notifiable incident; or
- that is associated with a police investigation; or
- for which an inspector or the regulator has given permission.

3.2.2 Seek emergency assistance (if required)

Determine if emergency assistance is required to respond to the incident (e.g. Ambulance, Fire, Police). If 'yes', immediately contact Emergency Services (000) and then notify University Security.

3.2.3 Notify Relevant Personnel (Internal and External)

The following persons shall be informed of any serious injury, illness or notifiable or dangerous incident as soon as practicable:

Responsible Person	Who is to be notified	Method of notification
INTERNAL		
First person on the scene or Supervisor	Designated First Aid Officer: If person is injured, seek assistance from First Aid Officer in immediate work area.	For more information refer: <i>University First Aid in the Workplace Minimum Standard</i>
	Emergency Services In the event of an emergency contact Emergency Services (police, fire ambulance)	Phone 000
	Security: University security personnel are to be notified immediately of the incident so they can meet and provide directions to any external emergency services.	Phone Security on: Sandy Bay Ext: 6226 7600; or Launceston and Burnie: Ext: 6324 3336.
	Manager/Supervisor: The relevant manager/ supervisor in charge of the workplace as soon as practicable	
	Contractor: In the event that a contractor or sub contractor or their employee is involved, the principal contractor is to be notified as soon as practicable.	
Security Officer, Manager/Supervisor	Human Resources (HR) WHS Unit: To be notified as soon as practicable.	Phone: (03) 6226 7555; or (03) 6226 7509
WHS Unit or Manager/Supervisor	Officer:	

	The respective Officer is to be advised as soon as practicable.	
WHS Unit, Security Officer	Critical Incident Management Team: To be notified as required.	WHS Unit or Security Officer to notify the rostered Campus Emergency Co-ordinator
EXTERNAL		
	Workplace Standards Tasmania: Must be notified of any incidents classified as Serious or Dangerous in the <i>Work Health and Safety Act and Regulations</i> Refer to Fact Sheet for guidance.	The notice must be given: <ul style="list-style-type: none"> • By phone (via helpline 1300 366 322); or • In writing (e.g. fax, email) using the online <i>Incident Report</i> form. Phone notice is to be followed up by a written notice within 48 hours.
	Aurora Notification In the event of a Serious Electrical Incident, notification to the State Authority is required within 24 hrs.	Phone: 13 2004
	Environmental Protection Authority notification for environmental incidents	Phone: (03) 6233 6518

*The person responsible for the notification may delegate this responsibility, if for example they are busy dealing with the incident site.

3.2.4 Implement interim control measures to prevent a recurrence

An initial investigation is to be conducted to identify and implement measures to prevent a recurrence in the interim. This may include measures such as isolation or removal of plant/equipment involved in the incident, erection of barricades and signage, clean up of the area, installation of temporary plant/equipment.

3.3 Completion of Report(s)

When reporting and investigating an incident, there are four key stages:

- gather information (what happened and how);
- analyse the information (why it happened);
- assess the risk; and
- make recommendations (action to take to prevent a reoccurrence).

To assist with this process, the University has two forms available online.

3.3.1 Incident Notification

An *Incident Notification* is to be submitted for all incidents without delay, ideally within 2 days of the incident occurring, or as soon as reasonably practicable. This is to ensure investigators are able to view conditions as they are at the time of the incident.

Incidents are notified online at: <https://secure.utas.edu.au/work-health-safety>

3.3.2 Investigation Report

In addition to the initial *Incident Report*, an *Injury Incident Near Miss Investigation Report* is to be completed for all incidents resulting in fatality/serious injury or illness, including incidents notifiable to Workplace Standards.

An investigation report is also to be completed for any incident, where a risk assessment indicates a potential risk of 'High' or 'Very High', or where the underlying incident causes are unclear.

The investigation team is to be nominated by the WHS Unit/ Officer and will generally be comprised of team members with:

- incident investigation training;
- knowledge of the work area; and
- safety related training.

Health and Safety Representatives may be involved in an investigation in accordance with S68 of the Act.

All related reports are to be saved as attachments to the initial *Incident Notification* together with any other supporting information such as witness statements, photographs, maps, diagrams etc.

3.4 Principles of Incident Investigation

The purpose of an investigation is not to attribute blame, but to:

- identify factors that contributed to the incident (what went wrong),
- assess the risk (what was the potential for harm) and
- determine what can be done to prevent a recurrence (control measures).

Investigators are to look beyond causes such as human error or lack of care, to identify the underlying hazards in the workplace, focusing on the 3 P's:

- people;
- plant (including equipment and materials used); and
- processes (systems of work and management practices).

The investigation is to look beyond the immediate causes to the underlying or lost cause of an event. The investigation should consider the impact of multiple causes rather than a single cause.

3.5 Assess Risk

Once the immediate and underlying causes of an incident have been identified, a risk assessment is to be conducted in accordance with the UTAS Risk Assessment Procedure.

3.6 Implement, Review and Monitor Control Measures

The ways of controlling risk can be ranked from the highest level of protection and reliability to the lowest.

This hierarchy of control is:

- Eliminate
- Substitute
- Engineering
- Administrative
- Personal Protective Equipment

Once control measures have been implemented, they are to:

- be reviewed to test their effectiveness;
- checked to ensure significant risk factors have been controlled and risk has been eliminated, or risk levels have been minimised so far as reasonably practicable;
- monitored to ensure that controls put in place remain effective.

3.7 Workers Compensation and Rehabilitation

Should an employee suffer an injury or illness at the University which arises out of, or in the course of University activities; they may be entitled to Workers Compensation. The University will take all reasonable steps to achieve the timely physical and psychological rehabilitation of injured employees. Refer to the University *Rehabilitation of Injured Employees Minimum Standard* for more detailed information.

3.8 Employee Support

Following any work-related stressful event such as a serious incident or injury, all University employees involved are encouraged to seek counselling through the Employee Assistance Program (EAP) provider. This service is confidential and available to all University employees free of charge.

For more information and to access contact details for the EAP service provider refer to the "Staff Counselling" section on the WHS page of the University website, or contact the WHS Unit.

The Manager/Supervisor may initiate Critical Incident debriefing for a work team through the EAP provider where required.

4. Responsibilities

Officers are responsible for ensuring:

- This procedure is implemented effectively within their area of responsibility; including the control/preservation of notifiable incident sites, notification of incidents, and the completion of incident and investigation reports.
- the Regulator (Workplace Standards Tasmania) is notified immediately after becoming aware that a Notifiable Incident has occurred in accordance with Section 35 of the WHS Act.
- a record of each Notifiable Incident is kept for at least 5 years from the day that notice of the incident is given to the Regulator.

All **Workers** and **other persons** are responsible for ensuring:

- Any incident they are involved in, or witness is, reported in accordance with this procedure.

5. Definitions and Acronyms

Academic Unit	Means the secondary organisational unit in the academic structure of the University, reporting directly to the College Executive Deans, as per Ordinance 14 – Academic Structure.
College	Means (a) the primary organisational unit in the academic structure of the University, as per Ordinance 14 – Academic Structure (b) the University College
Designated First Aid Officer	An employee of the University who holds a current First Aid Certificate issued by an approved organisation and who has been appointed by their Organisational Unit to provide and manage first aid care within the workplace.
Executive Dean	Means: (a) the Executive Dean of the relevant College, or (b) in relation to the University College, the Principal of the University College
Head of Academic Unit	Means the head of the relevant Academic Unit
Health and Safety Representative (HSR)	University of Tasmania employees elected to this role.
Incident	Includes injury, near miss and damage; i.e. An event which causes, or has the potential to cause, an injury to a person, and/or damage to property and/or equipment.
Notifiable Incident	In accordance with Section 35 of the <i>Work Health and Safety Act, 2012</i>
Officer	Members of Council, Senior Management Team, Executive Deans, Heads of Academic Units, Heads of Divisions and Sections and Members of Boards having strategic management responsibility are considered to be Officers pursuant to Section 27 of the Act.
Organisational Unit	College, Faculty, School, Centre, University Institute, other University Entity, Division, Section or University Business Enterprise.
Other persons	For the purposes of this procedure, ‘other persons’ refers to all other persons that may be at the University who are not workers, including students and visitors.
Serious Injury or Illness	In accordance with Section 36 of the <i>Work Health and Safety Act</i>
Serious Electrical Incident	A reportable incident involving electrocution or electric shock serious enough to cause temporary or permanent disability or to require medical attention beyond observation.

6 Supporting Documentation

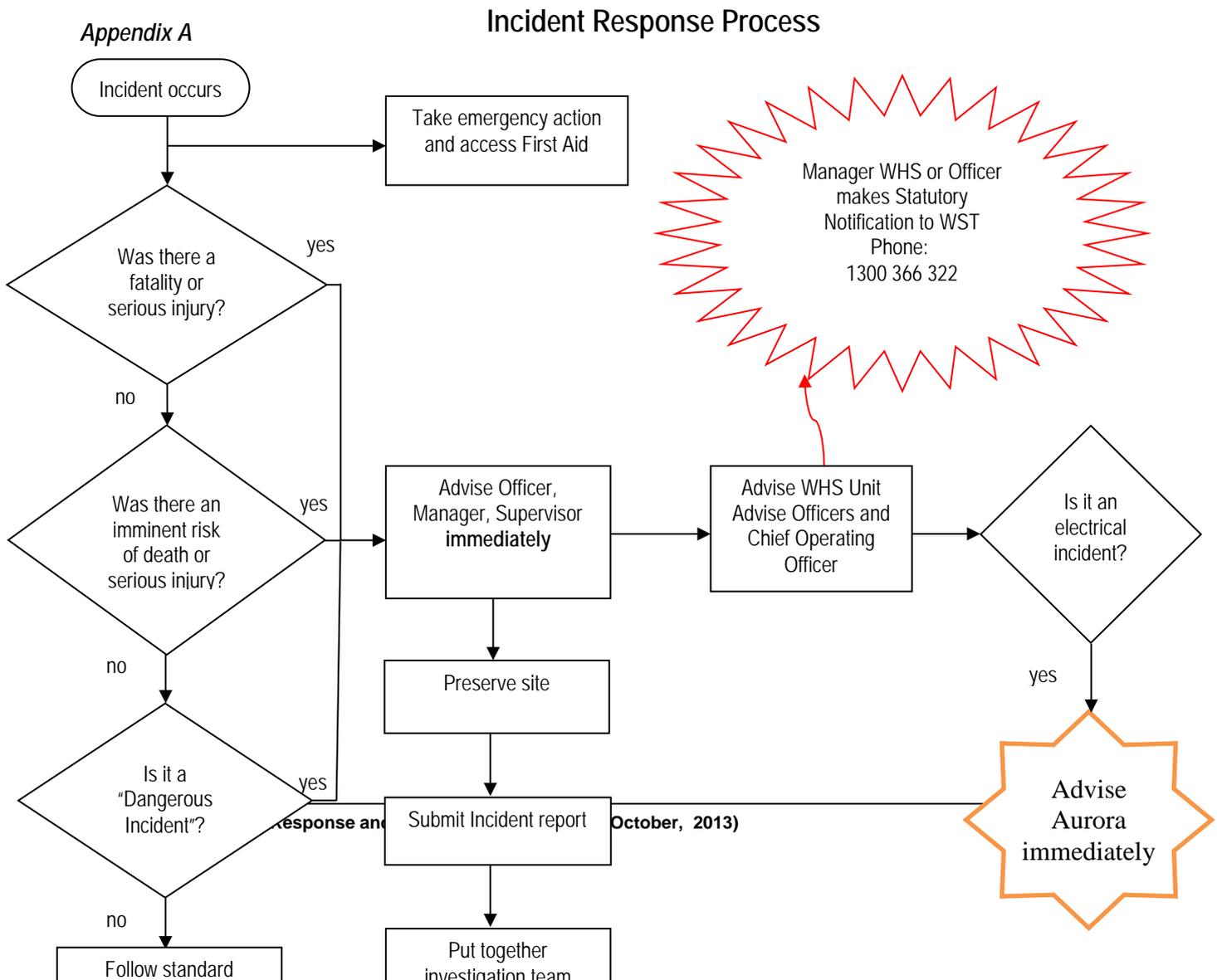
- Work Health and Safety Act 2012
- Work Health and Safety Regulations 2012
- University of Tasmania *First Aid in the Workplace Minimum Standard*
- University of Tasmania *First Aid in the Workplace Procedure*
- University of Tasmania *Return to work of Injured Employees Minimum Standard*

7 Appendices

- Appendix A: Incident Response Process
- Appendix B: Notifiable Incident Process

8 Versioning

Former Version(s)	Version 1 – Incident Response Procedure; approved May, 2011; reviewed July, 2013. Version 2 – Incident Response and Investigation Procedure; approved October, 2013. Amended in December to incorporate Colleges.
Current version	Version 3 – <i>Incident Response and Investigation Procedure; approved October 2013, amended in December 2017 to incorporate the final academic structure.</i>



Notifiable Incident Process

Appendix B

