

Incident Reporting and Investigation Guideline

Guideline Owner: Director Human Resources Services

Keywords: 1) Accident 2) Investigation 3) Reporting 4) Incident 5) Guideline

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1. INTENT

To achieve the University's goal in providing and maintaining, so far as is reasonably practicable, a safe and healthy work environment for its workers, students and visitors through identifying and controlling the factors that contribute to hazards and incidents to prevent recurrence.

This guideline outlines the legislative responsibilities of the University and its workers and articulates the University's expectations of managers, supervisors and workers for the reporting of hazards, near misses and incidents and the completion of the associated investigations.

2. ORGANISATIONAL SCOPE

All Edith Cowan University (ECU) Workers, Students and Visitors, including Research Participants.

3. DEFINITIONS

TERM	DEFINITION
Actual Consequence	The actual consequence of an incident on workplace safety, project, the environment, reputation and image, business interruption/quality of service or financial and legal. The Actual Consequence is classified as Near Miss, Minor, Disruptive, Serious, Critical or Catastrophic.
Approved Arrangements	Previously Quarantine Approved Premises and Compliance Agreements, are voluntary arrangements entered into with the Department of Agriculture and Water Resources. These arrangements allow operators to manage biosecurity risks in accordance with

	departmental requirements, using their own premises, facilities, equipment and people, and without constant supervision by the department and with occasional compliance monitoring or auditing.
ECU	Edith Cowan University
Electrical Incident	Any incident involving electricity, including electric shock, irrespective of the severity.
Hazard	In relation to a person, anything that may result in injury to the person; or harm to the health of a person.
Hierarchy of Controls	Refers to the order in which the method of controls should be considered. (See Appendix 1).
Incident	<p>An incident resulting in:</p> <ul style="list-style-type: none"> a) A near miss b) personal injury; c) damage to equipment and property; d) impact on the environment; e) death; or f) a combination of some or all of the above. <p>This includes events which may have had the potential to cause harm to health as a consequence of exposure to animals, animal products or diseases in animals.</p>
Maximum Reasonable Outcome	The maximum reasonable outcome for an incident, based on its consequence potential and likelihood applying the ECU Risk Assessment Matrix. The Maximum Reasonable Outcome is classified as Low, Moderate, Substantial, High or Extreme.
Near Miss	An incident that has actually happened and in which no actual injuries, illnesses, environment or property damage has occurred.
Reasonably Practicable	<p>That which is, or was at a particular time, reasonably able to be done in relation to ensuring health and safety, taking into account and weighing up all relevant matters including:</p> <ul style="list-style-type: none"> a) the likelihood of the hazard or the risk concerned occurring; and b) the degree of harm that might result from the hazard or the risk; c) what the person concerned knows, or ought reasonably to know, about: <ul style="list-style-type: none"> i. the hazard or the risk; and ii. ways of eliminating or minimising the risk; d) the availability and suitability of ways to eliminate or minimise the risk; and e) after assessing the extent of the risk and the available ways of eliminating or minimising the risk, the cost associated with available ways of eliminating or minimising the risk, including whether the cost is grossly disproportionate to the risk.

Notifiable Incident	<p>Any illness or disease prescribed by Regulation 2.4 and Regulation 2.5 of the Occupational Safety and Health Regulations 1996 (WA), including:</p> <ul style="list-style-type: none"> - Fractures of the skull, spine, pelvis, arm (except wrist or hand) and leg (except ankle or foot); - Amputation of an arm, a hand, finger, finger joint, leg, foot, toe or toe joint; - Loss of sight of an eye; - Any other injury in which an employee is unlikely to be able to attend work within 10 days of the day on which the injury occurred. - Infectious diseases specifically tuberculosis, viral hepatitis, legionnaires' disease and HIV, where work involving exposure to human blood products, body secretions, excretions or other material which may be a source of infection; and - Occupational Zoonoses specifically Q fever, Anthrax, Leptospiroses and Brucellosis where work is undertaken involving the handling of or contact with animals, animal hides, skins, wool, hair, carcasses or animal waste products.
Manager and Supervisor	Managers and Supervisors are those who have responsibility for the direct control of the person injured in or involved with the incident.
Marine Incident	<p>Marine incidents requiring reporting to the Australian Marine Safety Authority are those that involve:</p> <ul style="list-style-type: none"> (i) the death of a person; or (ii) serious injury to a person; or (iii) the loss of a vessel; or (iv) the loss of a person from the vessel; or (v) significant damage to a vessel
Master (with regards to vessels)	The person who has command or charge of a vessel
Riskware	ECU's online risk management software solution used for recording enterprise and health and safety risk assessments and registers, reporting and managing incidents and hazards.
Safety and Employment Relations Team	Safety and Employment Relations team, part of Human Resources Services.
Health and Safety Representative	A Health and Safety Representative elected under Part IV of the Occupational Safety and Health Act 1984 (WA)
Significant Incident	An incident assessed as having either an Actual Consequence classified as Critical or Catastrophic; or a Maximum Reasonable Outcome classified as Substantial, High or Extreme.
Worker	<p>The person who carries out work in any capacity for ECU, including work as:</p> <ul style="list-style-type: none"> a. an employee; or

	<ul style="list-style-type: none"> b. a contractor or subcontractor; or c. an employee of a contractor or subcontractor; or d. an employee of a labour hire company who has been assigned to work in the persons business or undertaking; or e. an apprentice or trainee; or f. a student gaining work experience; or g. a volunteer.
Workplace	A place where people work or are likely to be in the course of their work.

4. GUIDELINE CONTENT

4.1. Incident Response

4.1.1. Medical Emergency Response and First Aid

- For on campus incidents, if an injured person has serious injuries (e.g. potentially life threatening) or an individual is threatening self-harm or harm to others call 000 (0000 from internal phones) and ask for an ambulance. Provide the operator with details of the location and type of emergency.
- Then call Campus Security on 6304 3333 (3333 from internal phones) or by using a security phone located across campus. Security Officers are first aid and mental health first aid trained and will provide further direction or a first aid response.
- Security Officers can also respond to non-life threatening injuries where first aid is required.
- The University has first aid boxes and defibrillators, as well as trained First Aid Officers and staff trained in mental health first aid within Schools and Centres across all campuses.
- Where an incident occurs off-campus and requires emergency medical response, emergency services should be called on 000 and relevant emergency procedures should be followed which may include;
 - Host organisation emergency procedures, including where located at a mine site or remote location
 - Marine/sea rescue or diving emergency procedures

4.1.2. Security and Site Preservation

- Sites where notifiable incidents have occurred should not be disturbed until a Worksafe WA Inspector, or Western Power Inspector in the case of an electrical incident, arrives at the site or, at an earlier time as directed by the Inspector or their representative.
- Site preservation is the responsibility of University Security. Prior to Security arriving at an incident scene, it is the responsibility of the person with management or control of the workplace to ensure, so far as is reasonably practicable, that the site (including any plant, substance, structure or object associated with the incident) is not disturbed.
- The requirement of site preservation does not prevent the following action to:
 - a) Assist an injured person;

- b) Remove a deceased person by an authorised person;
 - c) Make the site safe or to minimise the risk of a further notifiable incident;
 - d) Assist with a West Australian Police (WAPOL) investigation;
 - e) Initiate actions as directed by a Worksafe Inspector, WAPOL or any of their representatives.
- When Security attends an incident, they will gather relevant information, record and report this in accordance with *Security and Traffic Services 2.3.5.10 Security Incidents Work Instruction*. This does not replace the requirement to report an incident in accordance with 4.2.

4.2. Incident Notification and Reporting

4.2.1. General

- All incidents, that arise out of, or in the course of any University endorsed activity including work, study, lunch or recreational breaks, field trips, travel, research and other activities off campus including workplace practicums must be reported and investigated.
- All incidents must be reported to the Manager/Supervisor immediately, or as soon as practicable, after the incident and recorded in Riskware or the pocketSafety mobile application.
- It is the responsibility of the Supervisor to communicate details of incidents where medical treatment beyond first aid was required to the Executive Dean or Director in person, by telephone or email and as soon as is practicable after the incident. This communication should also occur in situations where the Supervisor deems the incident to be significant.
- Incidents that have resulted in injury or illness and are:
 - likely to incur time lost unfit for work for more than 1 day,
 - likely to lead to serious injury or illness or,
 - could be regarded as a notifiable incidentmust be reported to a representative of the Safety and Employment Relations (SER) team immediately.
- Where practicable photographs should be taken of the scene as soon as possible after the incident occurs and provided as part of the incident report, to help inform the incident investigation.

4.2.2. Staff Incidents

- Staff must report all incidents to their immediate line manager and must complete an incident report in Riskware or the pocketSafety app.
- Injuries must be reported as soon as practicable after the event so that the University may prevent further occurrences and assist with injury management in a timely manner to promote recovery.

4.2.3. Student Incidents

- Students should report all incidents to the staff member supervising them at the time of the incident. Where there is no supervisor, this should be the course coordinator/supervisor for the course in which they are enrolled.

- Students can use Riskware or the PocketSafety app to report an incident or Staff may assist the student in reporting an incident using Riskware on behalf of the student.
- Staff must report to Security all on-campus incidents where a student requires medical treatment to ensure appropriate care, reporting and follow up is provided.
- Students involved in an incident whilst on Work Integrated Learning placement with, or working under the auspices of, a Host Organisation are required to report the incident to their Host Supervisor and their ECU Unit Coordinator. The Host Supervisor is also required to ensure that notification occurs in accordance with the Work Integrated Learning Policy or agreement with ECU.
- In instances where the student is likely to make a claim under the University's insurance, ECU Insurance should be informed of the incident by the student's supervisor as soon as practicable after the incident.

4.2.4. Visitor and Research Participant Incidents

- Visitors and Research Participants are required to report all incidents to the ECU staff member in control of the workplace in which the incident occurred. It is the responsibility of the staff member to report the incident in Riskware on the visitor's behalf.
- For incidents involving research participants where an injury, either physical or psychological, is sustained, the ECU research investigator is responsible for ensuring the incident is reported both within Riskware and to ECU Ethics at research.ethics@ecu.edu.au.

4.2.5. Contractor Incidents

- Contractors are required to report all incidents to their ECU Responsible Officer or Project Manager who is required to report the incident in Riskware on the contractor's behalf and ensure an investigation is completed in consultation with the contractor company.
- Where construction sites on ECU premises are under the complete control of a contractor organisation and their health and safety management systems, the contractor processes should be utilised, unless otherwise agreed with the University. ECU should also be advised of the incident and be provided a copy of the investigation report.

4.2.6. Off campus incidents

- Where an incident occurs during off campus activities such as:
 - A staff member located at host workplace,
 - Students undertake workplace integrated learning practicums at a host employer,
 - Other activities off campus undertaken by either staff or students where another organisation's health and safety processes are being adopted, the host workplace may conduct the incident investigation in consultation with the ECU supervisor or staff member responsible for the student and provide the outcome of the investigation to ECU.

- The ECU staff member who is part of the investigation should report the incident following the process outlined at 4.3.
- Further incident investigation may be required by ECU if the investigation is inadequate.
- Where the identified corrective actions are relevant to ECU, steps should be taken to ensure that these actions are implemented at the University in accordance with 4.3.4.

4.2.7. Specific Incident types reporting requirements

- Riskware provides automatic email notification of certain incident types as below. Where the incident is not immediately entered into Riskware, the notification should be made as soon as practicable after the incident occurs as outlined below.

Incident Type	Reporting requirement
Fires and Damage to University Property	ECU Insurance Via insurance@ecu.edu.au
Electrical incidents <i>Any incident involving electricity, including electric shock, irrespective of the severity</i>	Technical Electrical Officer Via the Digital and Campus Services Desk on extension 5554
Reportable GMO incidents <i>Any incident of potential non-compliance arising from dealings with genetically modified organisms (GMOs). This includes Dealings involving Intentional Release (DIR), e.g. crop field trials; through to Dealings Not involving Intentional Release (DNIR), Notifiable Low Risk Dealings (NLRDs) or other authorisations conducted in Certified Facilities or alternate facilities authorised by the Office of the Gene Technology Regulator (OTGR).</i>	Biosecurity Officer Via Radiation, Biosafety and Hazardous Substances Committee at RBHSC@ads.ecu.edu.au
Reportable Biosecurity incidents <i>(a) in relation to goods that are subject to biosecurity control—means an act, omission or event that is determined to be a reportable biosecurity incident under section 154 of the Biosecurity Act 2015; and (b) in relation to an approved arrangement—has the meaning given by subsection 431(1) of the Biosecurity Act 2015.</i>	Biosecurity Officer Via Radiation, Biosafety and Hazardous Substances Committee at RBHSC@ads.ecu.edu.au
Radiation Incidents <i>Any abnormal or unplanned radiation exposures specified under regulation 19A of the Radiation Safety (General) Regulations in addition to those required under the conditions, restrictions and limitations attached to a radiation registration as well as any loss or theft of a sources or radiation.</i>	Radiation Safety Officer Via Radiation, Biosafety and Hazardous Substances Committee at RBHSC@ads.ecu.edu.au
Dangerous Goods Incidents <i>Any dangerous goods incident where people, property or the environment are harmed must be reported. An incident involving dangerous goods must also be reported if:</i> <ul style="list-style-type: none"> • <i>but for intervening events, it could have resulted in unreasonable (i.e. serious) harm to people, environment or property (i.e. near miss or hit)</i> • <i>it results in a dangerous situation</i> • <i>it is specified in the dangerous goods safety regulations</i> 	Chemical Custodian Via Radiation, Biosafety and Hazardous Substances Committee at RBHSC@ads.ecu.edu.au

4.2.8. Statutory Reporting of Notifiable and Reportable Incidents

- The Safety and Employment Relations team will undertake the statutory reporting of notifiable incidents to Worksafe Western Australia and maintain records as required.
- The Technical Electrical Officer will undertake the statutory reporting of electrical incidents to Western Power and maintain records as required.
- The Biosecurity Officer will notify the Department of Agriculture and Water Resources and the Office of the Gene Technology Regulator (OTGR) of reportable biosecurity and GMO incidents and maintain records as required.
- The Radiation Safety Officer will report in writing and when required as soon as possible to the Radiological Council all radiation incidents and maintain records as required.
- The Chemical Custodian who has control or management of the dangerous goods involved in the incident will report the incident to a Dangerous Goods Officer and maintain the records as required.
- The Executive Dean School of Science (or delegate) or Vessel Master will report marine incidents to the Australian Maritime Safety Authority as required.

4.3. Incident Investigation

4.3.1. Incident Types

- The following incident categories are utilised at ECU and within Riskware:

Category	Description
Near Miss	An incident that has actually happened and in which no actual injuries, illnesses, environment or property damage has occurred.
Property Damage	An incident that has occurred in which property was damaged however no injuries were sustained.
Environmental	An incident that has occurred in which damage to the environment has occurred, but no property damage or injuries were sustained.
First Aid (FAI)	First aid treatment is required, regardless of the person providing the treatment, as a result of a work-related injury or illness.
Medical Treatment Injury (MTI)	A medical treatment injury is any work-related injury which results in the individual requiring treatment by, or under the specific order of, a registered medical practitioner and results in less than one working day lost and requires treatment beyond the scope of normal first aid treatment.
Restricted Work Injury (RWI)	A restricted work injury is any work-related injury which results in the individual requiring modification to their work duties and/or hours.
Lost Time Injury (LTI)	A work-related injury or illness which results in the individual being deemed fully unfit for work, by a suitably qualified medical practitioner, for a period of at least an entire scheduled work shift.

4.3.2. Investigation team

- It is the responsibility of the Manager/Supervisor to initiate investigations into incidents involving ECU workers, students, visitors and research participants and to establish an investigation team.
- The Health and Safety representative from the workplace should be informed of the incident and involved in the incident investigation where possible.
- The level of investigation and team members will depend on the potential loss and outcome. The members involved in investigating an incident are influenced by the potential for losses incurred through injury or illness, property damage, disruption of research or teaching activities, destruction of valuable research material etc.
- The following definitions provide some guidance as to the recommended makeup of the investigation team:

Potential Outcome	Team members
<p>Little or no potential Loss (includes incident categories near miss, Property Damage, First Aid, Medical Treatment and Restricted Work)</p>	<ul style="list-style-type: none"> • Involved person(s) • Immediate manager/supervisor of the involved person • Health and safety representative from that workplace • If the incident involves electricity, the Manager Electrical Services must be a part of the Investigation team.
<p>Potential loss of one shift or more (includes Lost Time Injuries, Notifiable Incidents and Significant Incidents)</p>	<ul style="list-style-type: none"> • Involved person(s) • Immediate manager/supervisor of the involved person • Executive Dean/ Director, • Health and safety representative from that workplace • Representative from the Safety and Employment Relations team • HR Business Partner if appropriate • If the incident involves electricity, the Manager Electrical Services must be a part of the Investigation team. • Any other subject matter experts
<p>Critical Incidents</p>	<ul style="list-style-type: none"> • Refer to Strategic Governance Services' Critical Incident Management Plan.

- Where an incident involves work areas or ECU infrastructure under the control of Facilities and Services, Facilities and Services will conduct the investigation, in consultation with the supervisor, contractors where relevant and the team members referred to above and report the outcome back to these parties.

4.3.3. Incident Investigation

- All incidents, including near misses, are required to be investigated as soon as possible after the event and the Incident Investigation completed within Riskware.

- If photographs were not able to be obtained at the time of incident reporting, this should form part of the incident investigation process.
- Sketches, photographs, witness statements and any other relevant documentation should be attached to the incident record in Riskware.
- Personal injury details must remain confidential.
- The Investigation Team should analyse the information gathered during the investigation and identify the contributing factors.
- The act of a person, unsafe or otherwise, should not be accepted as the sole cause(s) of an incident and all the contributing factors must be identified so that a decision can be made on which conditions and circumstances contributed to the incident.

4.3.4. Action Plan

- It is the Supervisor's responsibility, in consultation with the investigation team, to develop an action plan in Riskware, assigning actions to address the identified contributing factors. This should be completed within 5 days of the incident report.
- The action plan should be developed and implemented based on the hierarchy of control principles, as outlined in Appendix 1.
- A responsible person and timeframe for completion of each action must be assigned and the actions tracked to completion
- Where the investigation identifies that the corrective action is beyond the authority or resources of the Manager/Supervisor, they must inform the Executive Dean/ Director as soon as possible and assist the Executive Dean/ Director in the implementation of interim corrective procedures.
- Executive Deans/Directors are to ensure that corrective actions beyond the authority or resources of the Manager/Supervisor, have interim preventative procedures are put in place. The hazardous situation must not be allowed to remain, without attention, while the proposed action is pending.
- Unresolved matters and those matters that require special funding or resources should follow the University's Hazard Resolution procedure.

4.3.5. Review

- The actions should be reviewed 3 months following implementation, and periodically as required, to ensure the prevention of future incidents has been achieved.
- School and Service Centre HS Committees should discuss and review incident investigation outcomes and ensure that hazards identified as part of the investigation are included in the School or Service Centre's Hazard Risk Register.
- If the action specified is considered inappropriate, or if alternative solutions are available, a representative of the Safety and Employment Relations team will consult with the Manager/Supervisor and the elected representative.
- The Electrical Technical Officer is responsible for electrical incident investigations and shall monitor proposed actions to completion.

4.4. Significant Incidents

- All incidents will be risk assessed using the ECU Risk Matrix with both the Actual Consequences and Maximum Reasonable Outcome of incidents being assigned and recorded in Riskware.
- This process will enable the identification of incidents with the potential for a more significant outcome than actually occurred, to assist in ensuring appropriate controls are in place to prevent more significant harm.
- Incidents assessed as having either an Actual Consequence classified as Critical or Catastrophic; or a Maximum Reasonable Outcome classified as Substantial, High or Extreme will be considered Significant Incidents.
- Significant incidents and relevant preventative actions will be communicated across the University as required and will be included in Performance Indicator reports as outlined in section 4.5.

4.5. Performance Indicators

- The Safety and Employment Relations team are responsible for providing quarterly statistical data and incident/injury trend reports to Executive Deans and Directors, Health and Safety Advisory Group meetings, local Health and Safety committees and the University Health and Safety Committee.
- As part of their Due Diligence requirements, Executive Deans, Deans and Directors shall review on a quarterly basis the University's Health and Safety performance indicators including a summary of incidents and injuries that have occurred in their School or Service Centre and ensure that the corrective action has been taken to prevent similar occurrences.

5. ACCOUNTABILITIES AND RESPONSIBILITIES

In relation to this Guideline, the following positions are responsible for;

Guideline Owner

The Guideline Owner, the Director Human Resources Services, has overall responsibility for the content of this Guideline and its operation in ECU.

Executive Deans, Deans and Directors

Executive Deans, Deans and Directors have a strategic and operational responsibility to ensure that the requirements of this Guideline are implemented into their Business Units. This includes the provision of human and financial resources required for the development and ongoing management of all aspects of this Guideline.

Managers and Supervisors

Managers and Supervisors are responsible for ensuring that the requirements of this Guideline are implemented, monitored and reviewed.

Safety and Employment Relations Team

The Safety and Employment Relations Team is delegated the responsibility for implementing, reviewing and amending the Incident Reporting and Investigation Guideline and supporting documentation as appropriate.

Workers and students

Workers are required to comply with the content of this Guideline and to seek guidance in the event of uncertainty as to its application.

6. RELATED DOCUMENTS

The guideline is supported by the following documents:

Available from the Health and Safety page of HR Services' website:

- Hazard Resolution Procedure
- University Work Health and Safety Policy [HR081]

Available from Security and Traffic Services:

- 2.3.5.10 Security Incidents Work Instruction

7. CONTACT INFORMATION

For queries relating to this document please contact:

Guideline Owner	Director Human Resources Services
All Enquiries Contact:	Safety and Employment Relations Team
Telephone:	08 6304 2302
Email address:	osh@ecu.edu.au

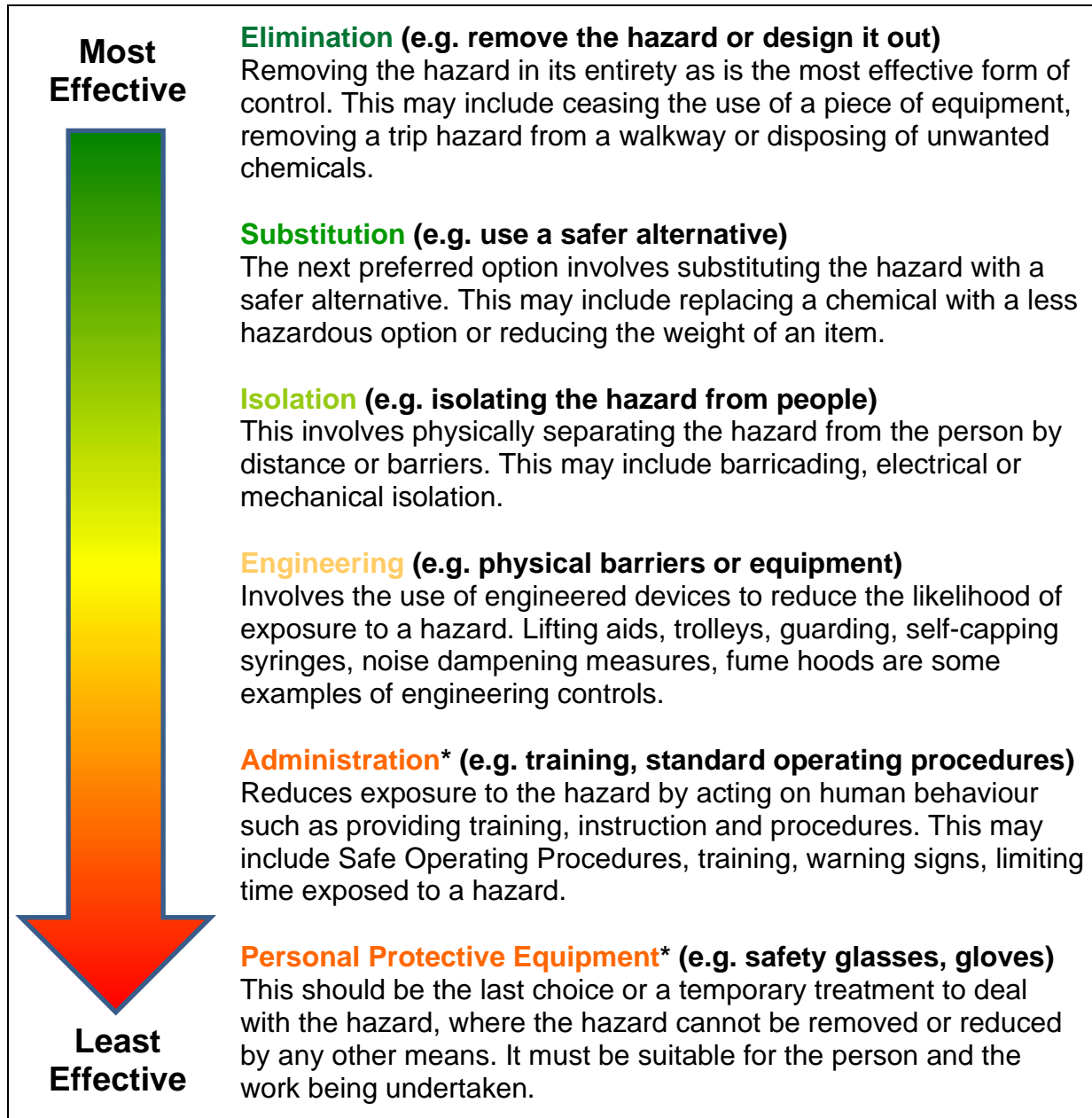
8. APPROVAL HISTORY

Guideline Approved by:	Director Human Resources Services Centre
Date Guideline First Approved:	December 2014
Date last modified:	19 June 2020
Revision History:	June 2003 Original Policy approved June 2009 Policy amended to comply with University Guidelines re Drafting of Policy Documents November 2013 Policy amended to align with new policy template

	<p>March 2014 Policy reviewed and amended to reflect current University practice</p> <p>September 2014 Policy downgraded to Guideline status and updated following consultative review</p> <p>March 2015 Guideline updated to include Significant incident definitions and process</p> <p>June 2018 Guideline updated to reflect change to significant incident definition and include the need for Supervisors to advise their leaders of incidents occurring in their areas.</p> <p>August 2019 Guideline updated to align with new Riskware system, off-campus incidents and inclusion of reporting requirements for biosecurity, GMO, radiation, dangerous goods and marine incidents.</p> <p>June 2020 Minor update to ensure coverage of requirements to report and investigate research participant incidents more clearly detailed.</p>
Next Revision Due:	19 June 2023
HPRM File Reference	HSMS/63

Appendix 1 – HIERARCHY OF CONTROLS

Risk Control Options



* The effectiveness of these controls relies on human ~~behaviour, behaviour;~~ therefore, it is recommended that a combination of controls, including higher level controls, are considered in the first instance.