



## WHS-56 Incident Reporting and Investigation

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1.0	22/05/2014	n/a	Procedure approved and released
1.0	09/09/2014	rebranding	Rebranding and recoding
1.0	11/08/2015	Page 13	Updated teleconferencing information
1.0	12/08/2015	Page 3	Added clarifications to purpose
1.0	30/09/2015	Page 9 section 12	Additional clauses added on composition of investigation team.
1.0	02/10/2015	Page 10 Section 14	Updated environmental reporting clauses

## 1 Purpose

The purpose of this procedure is to outline the incident reporting and investigation process to be conducted at all Territory Generation maintained and controlled sites.

Incident reporting is critical in supporting the development of a positive safety culture and a safer workplace and shall be encouraged at all times at all levels of the organisation.

The primary focus of incident investigations shall be the identification of root cause(s) to identify and rectify safety issues in order to ensure learning (continuous improvement) and the prevention of reoccurrence.

## 2 Scope

This procedure applies to all Territory Generation maintained sites and applies to employees, contractors and visitors entering these sites.

## 3 Roles and Responsibilities

Role / Title	Responsibility
Chief Executive Officer	Ensure that : <ul style="list-style-type: none"> <li>• Personnel are aware of requirements of this procedure and its management in sites under Territory Generation control.</li> <li>• Reviews procedure as required.</li> </ul>
Manager Territory Generation North and South	<ul style="list-style-type: none"> <li>• Ensure that:</li> <li>• This procedure is put in place at relevant power stations.</li> <li>• Personnel are advised and trained as necessary in the procedure to be followed.</li> <li>• Contractors are informed of and follow the procedure, where applicable.</li> <li>• Contribute to procedure reviews</li> </ul>
All Personnel	<ul style="list-style-type: none"> <li>• Ensure that this procedure is followed personally and by contractors and visitors under their control.</li> </ul>
Document Owner	<ul style="list-style-type: none"> <li>• The position who prepares, reviews and maintains this document</li> </ul>
Document Sponsor	<ul style="list-style-type: none"> <li>• The position responsible for the approval and use of this document.</li> </ul>

**4 Definitions**

Incident (May also be called an event)	For the purpose of this procedure means: <ul style="list-style-type: none"> <li>• Hazard</li> <li>• Near miss</li> <li>• Injury/Illness</li> <li>• Access Authority breaches</li> <li>• Environmental</li> <li>• Product or service failure</li> <li>• Loss</li> <li>• Property or equipment damage</li> <li>• Security breach</li> <li>• Motor vehicle accident</li> </ul> NOTE: Improvements may also be recorded in GRACE
Hazard	Means a thing or condition which has the potential to cause injury or harm to health Examples include: <ul style="list-style-type: none"> <li>- Equipment obstructing a walkway (where an object creates a hazard)</li> <li>- Using manual handling to lift heavy equipment (where the way the work is done creates a hazard)</li> </ul>
Near miss/hit	Means an unplanned incident at a workplace that did not result in injury or illness to people, or damage to plant or the environment – but had the potential to do so. Examples include: <ul style="list-style-type: none"> <li>- Load shift or loss of load when lifting with a crane</li> <li>- Worker almost struck by reversing vehicle</li> </ul>
Injury	Means physical damage to a person's body such as a graze, bruise, sprain, strain, broken bone etc. which is work related and requires first aid or medical treatment Examples include: <ul style="list-style-type: none"> <li>- Cuts, muscle strain/sprain, heat stress, electric shock, fractures</li> </ul>
Illness	Means a physical or psychological disease, sickness, infection or failure which is not caused by injury and which is work related and requires first aid or medical treatment Examples include: <ul style="list-style-type: none"> <li>- Dermatitis from chemical exposure</li> <li>- Hearing loss due to excessive noise exposure</li> <li>- Diseases contracted at work e.g. Hep B from exposure</li> </ul>

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	to sewerage - Work related psychological or stress related illness
Lost time injury/illness	Means those occurrences of an injury and/or illness as defined above; that result in a fatality, permanent disability or time lost from work of one day/shift or more.
Commuting injuries	Means all injuries that occur during travel while not on duty (at work) or during a recess period. Normally includes travel between place of home and work, travel to attend training associated with employment and travel to receive medical treatment for an injury sustained at work.
Access Authority breaches	Means an event that breaches Territory Generation Access to Apparatus Rules and/or procedures. Examples include: <ul style="list-style-type: none"> <li>- Conducting work without signing on to an AA</li> <li>- Signing on to an AA without being training and/or authorised to do so</li> <li>- Conducting work outside of the scope of the issued AA</li> <li>- Mechanical or electrical isolation breaches</li> <li>- Surrender in absence</li> </ul>
Environmental	Means an incident which results in harm or an adverse effect on the environment, or has the potential to do so (near miss) Examples include: <ul style="list-style-type: none"> <li>- Oil or chemical spills to ground</li> <li>- Sewerage spills</li> </ul>
Product or service failure	Means a failure to meet identified service delivery requirements or accepted industry product guidelines Examples include: <ul style="list-style-type: none"> <li>- Failure of plant or equipment</li> <li>- Faults affecting plant operation</li> </ul>
Loss	Means the total or partial loss of an asset or item Examples include: <ul style="list-style-type: none"> <li>- Theft</li> <li>- Accidental loss of plant, property or equipment</li> </ul>
Property or equipment damage	Means the total or partial damage of an asset or item. Examples include: <ul style="list-style-type: none"> <li>- Vandalism</li> <li>- Destructive weather</li> </ul>
Security	Means an illegal entry or activity conducted at or within Territory Generation maintained sites Examples include: <ul style="list-style-type: none"> <li>- Member of the public gaining unauthorised access to a</li> </ul>

	site - Theft or vandalism
Motor Vehicle Accident	Means an accident that results in damage to a vehicle and/or person Examples include: <ul style="list-style-type: none"> <li>- Accidents when driving work vehicles</li> <li>- Accidental damage to parked work or hire vehicles</li> <li>- Accidents when driving personal vehicles to/from work or for work purposes during working hours</li> </ul>
GRACE Assessor	Means a nominated senior management position with a level of administrative access to GRACE which enables them to view reported incidents, assess them and where appropriate assign actions or an investigation.
Risk	Means the likelihood that death, injury or illness may occur because of the hazard
Shall	Mandatory requirement
Should	Advisory requirement

## 5 References

- NT Work Health and Safety (National Uniform Legislation) Act Jan 2012
- NT Work Health and Safety (National Uniform Legislation) Regulations June 2013
- Workplace Injury and Disease Recording National Standard (AS1885.1:1990)
- NT Worksafe Bulletin – Work Health and Safety – Incident Notification

## 6 Records

- 6.1 GRACE event reporting system
- 6.2 NT WorkSafe Incident notification Forms to be saved in TRIM and referenced to the incident in GRACE, where applicable. Records of notifiable incidents are to be retained for at least 5 years from the date of notification.
- 6.3 Territory Generation internal safety notices shall be saved in TRIM F2007/2811

## 7 General requirements

- 7.1 Territory Generation personnel shall ensure that all incidents are where possible, immediately reported recorded in GRACE event reporting system, where appropriate.
- 7.2 Territory Generation Line Manager/Supervisors shall ensure that all incidents in their area of responsibility are reported and shall encourage and support the reporting process.
- 7.3 A Territory Generation primary *GRACE Assessor* shall assess all events recorded in GRACE to determine if further action or an investigation is required

- 7.4 The nominated primary *GRACE* Assessors for Territory Generation are the Managers Territory Generation North/South respectively; who shall conduct incident assessments in *GRACE* for the sites under their control.
- 7.5 A primary *GRACE* Assessor may nominate a secondary assessor to conduct this role in their absence.
- 7.6 Relevant Senior Management North/South shall be nominated and given *GRACE* access to conduct the secondary assessor role, as delegated by the primary Assessor.

## **8 Initial response to an incident**

- 8.1 Upon the identification of an incident, the persons responding shall ensure that the scene is made safe but not altered in such a way as to prevent the retrieval of information for the investigation.
- 8.2 In the case of an environmental incident occurring, the incident area shall be made safe by controlling and containing the relevant substance or emission where it is practicable to do so.
- 8.3 The relevant site emergency response plan is to be initiated for initial incident management in the event of an emergency
- 8.4 If the incident is notifiable to NT WorkSafe, there may be a need to preserve the site until an NT WorkSafe officer has attended and reviewed the site or has declined to attend the site. (For more information on notifiable incidents See Section 15)

## **9 Incident recording**

- 9.1 Once an incident has occurred and any initial actions have been implemented, those involved shall immediately report the Event to their relevant Line Manager/Supervisor and the incident shall be entered into the *GRACE* database.
- 9.2 All relevant fields shall be completed in *GRACE* by the reporting person, including the date and time of the incident, incident details, incident (event) type, event potential and actual risk assessment and details of any immediate actions taken.

## **10 Risk assessment**

- 10.1 Two risk assessment fields shall be completed in *GRACE* by the reporting person in the following order:
  - a) The first titled “Event potential risk assessment” is a risk assessment reflecting the potential risk of the incident i.e. based on what could have happened in a credible worst case scenario.
  - b) The second appears under the section on “Event occurrence details” and is titled “Risk Assessment”. This risk assessment reflects the actual risk of the incident i.e. based on what actually happened.

**Examples:**

<b>Potential risk assessment</b>	<b>Actual risk assessment</b>
<p>Small cut to finger occurred requiring first aid treatment but the finger could have potentially been severely lacerated requiring medical treatment in a credible worst case scenario.</p> <p>This incident was <u>potential risk assessed</u> as “high” (Medical Treated Injury and/or Short term or reversible disabling effect to human health).</p>	<p>Small cut to finger occurred requiring first aid treatment.</p> <p>This incident was <u>actual risk assessed</u> as “Medium” (Injuries requiring first aid treatment; Minor short term inconvenience).</p>
<p>Oil spill occurred which was contained in a bund however could have potentially overflowed spilling oil to ground causing a significant environmental incident in a credible worst case scenario.</p> <p>Incident was <u>potential risk assessed</u> as “High” (Widespread damage with significant resources to remedy the situation; Extended period to restore environment).</p>	<p>Oil spill occurred and contained in a bund.</p> <p>Incident was <u>actual risk assessed</u> as “low” (Event contained within controls e.g. bunds; No impact on environment).</p>
<p>A fatigue management issue reported where on call worker did not have sufficient break between rostered shifts. Worker fatigue potentially could contribute to errors in judgement causing significant incident or injury.</p> <p>Incident was <u>potential risk ranked</u> as “Extreme” (Fatality and/or Long term permanent disablement or More than one person seriously injured)</p>	<p>A fatigue management issue reported where on call worker did not have sufficient break between rostered shifts. Worker may have been fatigued but no incident or injury occurred.</p> <p>Incident was <u>actual risk assessed</u> as “low” (Minor incident with or without injury. No first aid treatment required; No ongoing impact to health)</p>

- 10.2 It is the responsibility of the primary GRACE assessor when assessing a reported incident; to review the risk assessment entered by the reporting person to ensure that it accurately reflects the potential and actual risk associated with the incident.
- 10.3 Events risk ranked as very high to extreme shall be immediately be communicated to the General Manager Territory Generation by the primary GRACE assessor and/or relevant site coordinators;

**11 Incident assessment**

- 11.1 Once an incident has been raised in the GRACE system an email notification process occurs to advise nominated Territory Generation GRACE Assessors, General Manager Territory Generation and Territory Generation WHS personnel of the report.
- 11.2 The relevant area primary GRACE Assessor shall assess the reported incident to determine if further action or an investigation is required.



- 11.3 In the event that the primary GRACE Assessor determines a reported incident requires investigation they shall:
- a) Review the event and risk assessment entered by the reporting person
  - b) Approve the event for investigation
  - c) Assign an investigation team in GRACE
  - d) Nominate an investigation team leader
  - e) Designate the time frame for which the investigation is to be completed by.
  - f) Nominate themselves on the investigation team thereby enabling them the ability to view and “vote to close” (i.e. approve the investigation) on completion of the investigation
- 11.4 In the event that the primary GRACE Assessor determines that an incident does not require any further action other than the immediate actions taken or any further investigation; they shall enter the rationale for this determination into the GRACE event before closing the event in the system.
- 11.5 In the event that the reporting person has not entered enough information about the incident for the primary GRACE Assessor to determine the required actions the Assessor has the ability to “reject” the incident in GRACE. This option will send an email back to the reporting person requesting further information. The incident will remain in the “pending approvals” section in GRACE until the reporting person re-submits the report for reassessment.

## **12 Incident Investigation**

- 12.1 When selecting the investigation team the primary GRACE Assessor shall consider the size and skills or the team to be relative to the incident classification and risk assessment.
- 12.2 Health and Safety Representatives and/or Union delegates may be requested to participate as part of the investigation team, as appropriate
- 12.3 A lead Investigator shall be nominated to facilitate the investigation process.
- 12.4 Where appropriate, the reporting person shall be invited on to the investigation team to contribute to the investigation process and enable clear communication of outcomes.
- 12.5 The investigation shall be initiated by the nominated Lead Investigator as soon as practicable after the incident occurs.
- 12.6 All investigations shall be completed within one month of the report date unless an alternate completion date has been approved by the primary GRACE Assessor.
- 12.7 The investigation shall include witness statements, where relevant.
- 12.8 A sequence of events shall be established as part of the investigation process including lead up to the incident, the incident itself and immediate actions taken after the incident.
- 12.9 Contributing Factors shall be determined under the following categories:
- a) Absence/failed defences
  - b) Individual/team actions
  - c) Organisational
  - d) Task/environmental - human
  - e) Task/environmental - workplace

- 12.10 A root cause analysis shall be completed to identify the underlying main issue that led to the incident occurring.
- 12.11 More than one root cause may be selected however the primary root cause shall be clearly identified in the GRACE investigation summary.
- 12.12 All associated documents, photographs etc. relating to the incident shall be uploaded into GRACE as an attachment to the investigation or saved into TRIM with the TRIM number referenced in the investigation
- 12.13 Work order numbers, TRIM numbers of saved emails, meeting notes etc. shall be entered into the investigation details in GRACE as verification evidence of any actions that have been undertaken as part of the investigation process.
- 12.14 If the incident was a notifiable incident: the *NT WorkSafe Incident Notification Form* shall be uploaded into GRACE and/or saved into TRIM and referenced in the investigation.
- 12.15 Further actions required as an outcome of the investigation shall be entered in the summary section as "Recommendations".
- 12.16 Recommendations arising from an incident shall be reviewed and approved by the relevant Manager Territory Generation North/South and may be entered as specific actions in GRACE (see section 13)
- 12.17 The investigation "vote to close" process shall be completed on finalisation of an investigation by all members of the assigned investigation team.
- 12.18 Note: An investigation can be closed in GRACE as long as any actions arising are referenced in the investigation.

### **13 Actions arising from investigations**

- 13.1 Corrective and/or preventative actions required arising out of the investigation recommendations shall be entered into GRACE Action Manager by the relevant Manager Territory Generation North/South and assigned to the appropriate person with an achievable end date.
- 13.2 Corrective and preventive actions shall be considered in such a way as to best control the sources of risk identified through the root causes of the incident and the hierarchy of controls shall be used.
- 13.3 If the nominated action officer is unable to complete assigned actions by the due date they shall enter progress notes to the action with the reason for the delay and amend the due date accordingly.

### **14 Environmental incidents**

- 14.1 Any spill, release, escape or discharge of a substance to land, water or air, either accidental or deliberate shall be reported to TGen Environmental team.
- 14.2 The relevant Manager North/South and TGen Environment Team shall ensure that the environmental incident is properly managed, appropriate on-site remediation is undertaken if required, and any regulatory requirements (including reporting) are met.

**15 Notifiable incidents**

- 15.1 Section 36 of the NT WHS Act defines a “notifiable incident” as the death of a person, a serious injury or illness, or a dangerous incident; which arises out of work carried out by a business or undertaking or a workplace.
- 15.2 Notifiable incidents are only work related and may relate to any person i.e. employees, contractors, visitors etc.
- 15.3 In the event of a notifiable incident; NT WorkSafe shall be notified immediately by phone (1800 019 115) by the relevant Manager North/South or their delegate as soon as practicable after being advised of the incident.
- 15.4 NT WorkSafe shall provide the reporting person with an incident notification Reference Number which is to be recorded on a *NT WorkSafe Incident Notification Form* available via the NT WorkSafe website: <http://www.worksafe.nt.gov.au/Forms/Notifications/Forms/AllItems.aspx>
- 15.5 The *NT WorkSafe Incident Notification Form* shall be completed by the relevant Manager North/South or their delegate and shall include the following information:
- Person submitting details
  - Incident details
  - Details of the injured/deceased person
  - Incident description – including work activity details, description of injury illness, names of persons involved/first on scene/ immediate actions taken and any long term actions planned.
- 15.6 The completed *NT WorkSafe Incident Notification Form* shall be faxed or emailed to NT WorkSafe within 48hours of the incident occurring.
- 15.7 The site Manager/Coordinator in control of the workplace at which a notifiable incident has occurred shall ensure, so far as reasonably practicable the site where the incident occurred is not disturbed until an inspector arrives at the site or directs otherwise (i.e. by phone at the time of the initial notification).
- 15.8 If there is doubt as to if an event is notifiable it should still be reported by phone to NT WorkSafe; in order for them to make a determination.
- 15.9 For specific information on notifiable incidents view NT WorkSafe: *Work Health and Safety Incident Notification Bulletin* via the NT WorkSafe website below:  
<http://www.worksafe.nt.gov.au/Bulletins/HealthAndSafetyTopics/Your%20Safety%20Responsibilities/Forms/AllItems.aspx>

**16 Significant incident communication protocol**

- 16.1 In the event of a significant incident/notifiable incident (inclusive of serious near miss/medically treated injury/lost time injury) the following communication protocol shall be initiated:
- All relevant Senior Managers, Site Coordinators and WHS personnel shall be required to participate in a teleconference phone hook-up within 24 hours of the incident occurring via the NTG Tele-Conferencing Bridge (See information sheet attachment 1)
  - On notification of the incident, the relevant Senior Manager shall initiate a teleconference invitation via email to required participants
  - The relevant Senior Manager convening the teleconference shall act as chair of the teleconference.

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- d) If nominated participants are unable to be contacted, the Senior Manager convening the teleconference shall appoint an alternate delegate to attend.
- e) The following agenda should be followed:
  - i) Briefing on the incident
  - ii) Condition of the injured person, status of plant/environment where applicable
  - iii) Interim control measures put in place until investigation is finalised
  - iv) Any immediate learning from the incident.
- f) On conclusion of the teleconference the convening Senior Manager shall send out a confirmation email to all participants advising of outcomes/decisions/any actions arising and designated action officers; and save the email in TRIM.

### **17 Safety Advice Notices/Bulletins**

- 17.1 Standard templates shall be used for the release of safety advice information in Territory Generation.
- 17.2 In the event of a significant incident or where it is identified that there is information arising from the incident that should be immediately communicated to either a specific site and/or to Territory Generation all – the relevant Manager North/South or General Manager Territory Generation shall arrange for a Territory Generation internal safety notice/bulletin to be created and shall approve its content and release.
- 17.3 The Territory Generation WHS group shall draft and release the required Territory Generation internal safety notice/bulletin in consultation with the relevant Manager North/South or General Manager Territory Generation, as required.

### **18 Statistical trending and reporting**

- 18.1 The Territory Generation Health and Safety Specialist shall:
  - a) Collate monthly reports on all incidents reported in GRACE including statistics on investigations and actions.
  - b) Create relevant trending reports every 6 months and on request by senior management
  - c) Distribute reports to Territory Generation all by email and ensure reports are displayed on all site safety boards
  - d) Provided relevant reports to the Board
  - e) Save all GRACE reports in TRIM.