



# DAYSAFE PTY LTD

## Policy & Procedure – Incident Reporting & Investigation

### 1. SCOPE

To outline the roles, responsibilities and procedures assigned to deal effectively with any Incident reporting scenario, within the control of Daysafe Operations and environs.

### 2. PURPOSE

To ensure where an incident has occurred that the incident is reported in a timely manner and investigated with the purpose of minimising or preventing the potential for further incidents.

### 3. OBJECTIVES

- To ensure all incidents which cause, or have the potential to cause, injury, harm or damage to employees, contractors, third parties, the environment or plant and equipment, are reported, investigated and appropriate personnel and regulatory authorities notified where required.
- To ensure incidents are followed up following identification of root causes, and corrective action taken to prevent a recurrence.
- To provide detailed information for the purpose of measuring risk management performance and analysing trends to monitor the effectiveness of risk controls.

### 4. DEFINITIONS

- **Accident:** An unplanned event that results in personal injury, damage to property or both, or otherwise downgrades the work process.
- **Dangerous Occurrence:** Means an event at a workplace involving imminent risk or actual occurrence of incidents such as, explosion, fire, gas escape, property damage, electrical incident, collapse of a structure or fixed plant, which may or may not have caused serious bodily injury or damage.
- **Incident:** An unplanned event that caused, or could have caused, personal injury, environmental harm or damage to plant, equipment or property.
- **Work Injury:** An injury to a person in the course of carrying out approved work that requires first aid or medical treatment or, the recurrence, aggravation, exacerbation or deterioration of an existing injury which requires similar treatment and to which work was a major contributing factor.
- **Work Illness:** An illness that is contracted by a person in the course of doing work and to which work was a major contributing factor or, the recurrence, aggravation, exacerbation or deterioration of an existing illness in the course of doing work to which work was a major contributing factor.
- **Incident Type:** Identification of an incident by its effect or potential effect, i.e. resulting in injury, environmental harm or damage to plant, equipment or business process.
- **Incident Classification:** Identification of an incident by its outcome, i.e. fatality, lost time injury, medical treatment injury, first aid injury, near hit, environmental emissions, environmental spillage, damage to plant, damage to property, business interruption.
- **Incident Category:** Identification of an incident by its severity, i.e. major 5, serious 4, minor 3, minimal 2, near hit 1.
- **Major Incident Category 5:** Incidents that include fatalities; near fatalities involving major amputation of a limb, internal injuries, head injuries resulting in prolonged coma, loss of an eye; environmental disasters with on and off site damage requiring prolonged remediation; damage causing major business interruption, possible closure of the site and incurring huge costs.
- **Serious Incident Category 4:** An incident resulting in amputation of minor body parts, hospitalisation, unconsciousness, absence from work for more than 5 working days, fractures of bones; a dangerous occurrence that requires notification to the statutory relevant authority; an environmental incident that



has on and off site effects which are quickly contained and not subject to prolonged remediation; damage causing significant business interruption and costs.

- **Minor Incident Category 3:** An incident that results in a medical treatment injury; an environmental incident that is contained on site and remediates promptly; damage causing some business disruption and incurring moderate rectification costs.
- **Minimal Incident Category 2:** An incident that results in first aid treatment only and no subsequent medical intervention; an environmental incident that is contained on site which requires procedural corrective action but no remedial action; damage which causes no business interruption and minimal costs.
- **Lost Work Days (LWD):** Complete work days or shifts lost as a result of work related injury or illness.
- **Restricted Work Days (RWD):** Days worked by a person who is on alternative or modified duties as part of a return to work plan following a work related injury or illness.
- **Contractor:** A company and/or a person (other than an employee) performing work for the company on a company worksite, on a client worksite, on a construction site or as directed by the business.

### Incident Categories

- **Financial Impact Incident (FII):** An unplanned event that has caused loss that does not include injury or a Near Hit and has caused financial loss other than a VI requiring an insurance claim.
- **“Near Hit” (NH):** An unplanned event that could have, but through chance, did not cause an injury, environmental harm or damage.
- **Vehicle Incident (VI):** Classified as an incident where a Daysafe vehicle has been damaged and requires an insurance claim. If associated with a Near Hit (NH) the incident record is to reflect the latter category.
- **Environmental Incident (EI)** Classified as an environmental incident whereby there has been substantial spill of > 10 litres (Kgs) of contaminant or damage, or interference has occurred to a Heritage or Indigenous site.
- **Lost Time Injury (LTI):** An injury where time is lost for at least one full day or shift on any day after the one in which the injury occurred. (Reference AS1885.1 - Workplace Injury & Disease Recording Standard.)

This includes injuries, which are initially classified as medical treatment injuries (MTIs) (see definition) but the employee ultimately loses time, e.g. an employee suffers a Hernia and initially returns to work on alternative duties but requires surgery at a later date and as a result the person is certified unfit for a full work day or more. The classification of the injury is changed to an LTI, retrospectively to the date of the original incident.

- **Restricted Work Injury (RWI):** An injury that may or may not be a lost time injury, but as a result, the injured employee is unable to resume their normal duties for a period in excess of one full day or shift on any day after the day of the injury. This includes injuries where employees are on alternative or modified duties as part of a return to work program.
- **Medical Treatment Injury (MTI):** A work related illness or injury resulting in the medical practitioner administering special expertise in the management or care of a patient to combat disease or disorder, including any loss of consciousness, and includes prescribing of any medication that cannot be purchased over the counter without a Doctors prescription.

#### Medical Treatment includes:

- Insertion of stitches to an open wound
- Admittance to a hospital where stay is overnight or longer
- Care of fractures
- Any Surgical procedures
- Manipulation by a registered physiotherapist or chiropractor



- Massage of muscles by a prescribed by medical practitioner (includes physiotherapist/chiropractor)
- Treatment of illness related to stress.

Medical Treatment does not include:

- Visits to the physician or other licensed health care professionals solely for the observation or counselling.
  - The conducting of diagnostic procedures, such as X rays, and blood tests , including the administration of prescribed medication used for diagnostic purposes (eye-drops to dilate the pupils) etcetera..
  - First Aid cases.
- **First Aid Injury (FAI):** A minor injury that is treated by an on-site first aider and requires first aid treatment or subsequent treatment administered by a doctor that is any of the following:
    - Administering tetanus immunisations (other immunisations, such as Hepatitis B vaccine or Rabies vaccine, are considered medical treatments when given on the context of an injury);
    - Cleaning, flushing or socking wounds on the surface of the skin;
    - Treatment of superficial burns;
    - Using wound coverings such as bandages, band aids, gauze pads, or butterfly bandages or strips (other wound closing devices such as sutures, staples etc are considered a medical treatment);
    - Using hot or cold therapy;
    - Slinging by any non rigid means of support; such as bandages wraps, non rigid back belts;
    - Drilling a fingernail or toenail to relieve pressure or draining fluid from a blister;
    - Using eye patches;
    - Removing foreign bodies from the eye using only irrigation or a cotton swab;
    - Removing splinters or foreign from areas other than the eye by irrigation, tweezers, cotton swabs or simple means;
    - Using finger guards, and
    - Drinking fluid on advice of first aid person or paramedical for relief of heat stress.

## 5. DEFINITION AND REPORTING STANDARDS.

### 5.1 Incident Definitions

The following definition applies to all incidents that Daysafe Personnel and Sub contractors may encounter while completing works on behalf of Daysafe.

Where an incident occurs within these definitions it is the responsibility of Management to ensure that there is timely and accurate response to the procedure for reporting and investigation. Definitions include:

<b><u>DEFINITIONS</u></b>	<b>INCIDENT DESCRIPTIONS</b>
<b>INCIDENT</b>	To include, personal injury, all categories, and including environmental incidents where there has been an uncontrolled <b><i>release of gas to the atmosphere.</i></b>
<b>EMPLOYEE</b>	Daysafe Employees and to include contractor/sub contractor working for or on behalf of Daysafe.
<b>VEHICLE INCIDENTS</b>	Damage to vehicles or third party damage caused by a vehicle. a Vehicle Incident



	can be recorded in conjunction with a Near Hit
<b>FINANCIAL IMPACT INCIDENT</b>	Where theft, or financial loss has been recorded, can be recorded in conjunction with a Near Hit or Vehicle Incident
<b>MINOR INCIDENTS</b>	Incidents that required an employee to receive first aid that has not resulted in any medical intervention or restricted work advice. Damage to Daysafe plant, equipment and/or vehicles or < \$1000.00
<b>MINOR ENVIRONMENTAL INCIDENT</b>	Minor Hydrocarbon or Hazardous Substance Spill of < 10 litres (kgs) providing that the clean-up eliminates any spill residue and the possibility of any long term effect on the environment.
<b>NEAR HITS</b>	Incidents that had the <u>potential</u> for an employee to receive first aid or medical attention, or had the <u>potential</u> to damage equipment or to cause minor damage to the environment.
<b>SERIOUS INCIDENT</b>	<p><b>Any work related injury/illness that causes a person to be absent from work to attend a medical practitioner.</b> Includes first aid where medical intervention has been performed or restricted work has been advised.</p> <p>Those incidents that require reporting under local State Legislative Regulations.</p> <p>Incidents that have caused extensive damage to Daysafe plant, equipment and/or vehicles or &gt; \$1000.00</p> <p>Incident that has caused extensive damage to third party property or injured a third party.</p>
<b>SERIOUS ENVIRONMENTAL INCIDENT</b>	<p>Hydrocarbon or Hazardous Substance Spill of &gt; 10litres (kgs) or where the clean-up has not eliminated the possibility of the spill residue having a negative effect on the environment.</p> <p>Incidents that have resulted in environmental damage through the spillage of hydrocarbon or hazardous substances, which have entered storm water drains or natural water courses.</p>
<b>SERIOUS NEAR HIT</b>	An incident that had the <u>potential</u> to be a Serious Incident as described above but has not caused personal injury or damage to plant, equipment, vehicles or the environment

<b>AS SOON AS PRACTICABLE</b>	Within the shift or within 12 hours of incident/injury occurring.
<b>IMMEDIATE REPORTING</b>	Where practicable within 1 hour of responsible officer being informed of the incident.
<b>VERBAL NOTIFICATION</b>	Where practicable within 1 hour of the DAYSAFE trainer or responsible person being informed of the incident.
<b>DOCUMENTATION</b>	<b>TIMEFRAME &amp; RESPONSIBILITIES</b>
<b>WRITTEN NOTIFICATION</b>	Time frame within 24 hours of the incident being reported or as directed by the CEO.
<b>INCIDENT INVESTIGATION REPORT</b>	Time Frame as directed by the CEO, or at the discretion the trainer in control.

## 5.2 Responsibilities

The following table represents the responsibilities of Daysafe Personnel



Action Required	WHO RESPONSIBLE?
<p><b>Reporting Procedures</b></p> <ul style="list-style-type: none"> <li>Procedures for reporting, notifying &amp; investigating all incidents established</li> <li>All incidents are followed up following identification of root causes, and corrective action taken to prevent a recurrence</li> </ul>	<p><b>Daysafe CEO</b></p> <p><b>Daysafe CEO</b></p>
<p><b>Preparation</b></p> <ul style="list-style-type: none"> <li>Allocate incident management responsibilities to key people</li> <li>Arrange tool box meetings to communicate incident reporting requirements to all trainers and employees</li> <li>Appropriate documents for reporting and investigation are available on site</li> </ul>	<p><b>Daysafe CEO</b></p> <p><b>Daysafe CEO</b></p> <p><b>Trainers</b></p>
<p><b>Incident Reporting</b></p> <ul style="list-style-type: none"> <li>Report all incidents involving employees, contractors &amp; third parties immediately to Supervisor or CEO</li> <li>Treat all injuries immediately</li> <li>Arrange medical treatment and transportation to hospital for initial Medical treatment include letter for the treating doctor for Return to Work.</li> <li>Report all major &amp; serious incidents to HSEC Manager immediately ( or within 12 hours)</li> </ul>	<p><b>All Employees</b></p> <p><b>First Aid Personnel</b></p> <p><b>Trainers</b></p> <p><b>Trainers, all personnel</b></p>
<ul style="list-style-type: none"> <li>Notify major and serious incidents to the relevant statutory authorities</li> <li>Complete written Incident Notification and forward to CEO within 24 hours.</li> <li>Record all incidents onto the Incident Reporting and Investigation System weekly.</li> </ul>	<p><b>Daysafe CEO</b> <b>(Input to be should be sought from HR Manager and/or Legal provider)</b></p> <p><b>Trainers, all personnel</b></p> <p><b>Daysafe CEO</b></p>

**References**

- IRF-001-Incident Report Form
- IIR-001-Incident Investigation Report
- LTD-001-Letter to the Treating Doctor

**6 REPORTING PROCEDURES**



It is the responsibility of the CEO to take the following actions to establish incident reporting procedures in all company operations to ensure that incidents are reported and investigated in a timely manner.

## 6.1 Preparation

- Allocate incident management responsibilities to key people in the department.
- Where deemed necessary arrange for toolbox meetings or additional Trainer Meeting to take place to communicate incident reporting requirements to all trainers and employees.
- Ensure that all the following documents are available on site: IRF-001-Incident Report Form and IIR-001-Incident Investigation Report.

## 6.2 When an Incident Occurs – Reporting & Control

- All incidents must be reported by employees, contractors and visitors to their immediate supervisor/trainer, or the person in charge of the visitor, as soon as practicable after the incident but no later than before the end of the day or shift. This includes all vehicle incidents and also near hits where no injury or damage occurs.
- Where injury has occurred, immediate treatment should be rendered by the site first aider/s within their level of training, and, in the case of serious injuries an ambulance or other similar emergency aid should be sought without delay. In the case of all Medical treatments arrangements are to be made for any injured employees to be escorted for the initial medical treatment and/or transportation to hospital.
- In the event of a major incident the Supervisor and/or Trainer must immediately notify the following people: Daysafe CEO and the relevant emergency services if required.

**Reference:** Internal Incident Reporting Flowchart, Attachment 1.

- In the case of a major or serious injury, work related illness, environmental incident or dangerous occurrence, the appropriate authority (e.g. Work-Safe WA, or State Environmental Protection Authority), shall be notified according to local requirements, using the appropriate/ prescribed documentation or in the event of a major injury, by telephone, e-mail or fax. Please note that there are strict time limits for such notifications to occur.

**Reference:** Incident Response and Internal Reporting matrix Attachment 2.  
Statutory Reporting Matrix WA, BNT, & NZ Attachment 3.

### 6.2.1 *Incident requiring scene preservation*

- In the event of a major incident, client directives or a serious incident that requires local statutory reporting or a dangerous occurrence, the scene of the incident is to be left undisturbed until the relevant DAYSAFE Personnel, Local Authority's inspector or a police officer has given approval for clean up, necessary clean up or re-commencement of activities.
- If person/s are at risk, rescue action will have to be taken, before approval has been granted, in which case the scene should be recorded with photographs and sketches.

### 6.2.2 *Incident Timeframes*

- The Incident Report should be completed by the supervisor or the department manager and endorsed by the departmental manager within 24 hours and copies forwarded to the CEO within 3 working days. Client reporting timeframes may differ.

### 6.2.3 *Passenger Vehicle Incidents*

In the event of a motor vehicle incident, including the Incident Report Form must be completed and forwarded to the CEO.

Details of the incident are to be entered into the Incident Reporting System as either a Damage Incident and/or Near Hit depending on the incident investigation outcomes. All Incident notifications and/or investigation reports are to include any relevant police report number.



#### 6.2.4 Incident causing a Medical Treatment Injury

- A workers' compensation claim form shall be completed for fatalities, lost time and all medical treatment injuries, within three days of the incident. The trainer or relevant Daysafe employee shall facilitate the completion of the form and arrange forwarding to the insurer along with the relevant medical certificate via the CEO.

There are legislative penalties for late submission of claim forms in all jurisdictions, so it is important to be aware of the local reporting time frames.

**Reference:** Incident Response and Internal Reporting matrix Attachment 2.

### 6.3 Immediately Following an Incident

- The CEO will arrange an incident investigation by assigning the responsibility to a competent person who should have received training in incident investigation.

**Reference:** Responsibilities Section 5.1  
Internal Incident Reporting Flowchart, Attachment 1.

#### 6.3.1 Communication

- For serious incidents or potential a toolbox meeting should be arranged to discuss the incident with the employees of the site concerned to provide information regarding the hazard, the type of injury or other outcomes, the area in which the incident occurred, the root causes identified by the investigation and the short term and long term corrective actions recommended.
- Relevant incidents should be reported to and reviewed by applicable Trainers Meeting to discuss the outcome of the investigation and monitor implementation of corrective actions.
- Where relevant consideration should be given to preparation and circulation of the Incident Report to all trainers where the circumstances of the incident have relevance for other operations.

### 6.4 Reporting Requirements

Trainers are to follow the Internal Incident Reporting Flow chart (Attachment one).

#### 6.4.1 Weekly Incident Requirements

The Trainers are responsible to report all incidents to the CEO by the week's end or within the reporting timeframes applicable to the incident category and the reporting flowchart.

## 7 INCIDENT INVESTIGATION PROCEDURES

Daysafe has adopted a risk based approach to health, safety and environmental management. Work risks shall be systematically identified and controls selected to manage these risks. Managing the risk is essentially managing the work, through planning, organising, directing and controlling. Where an incident occurs there needs to be an investigation to identify where the risk management systems have failed.

All incidents should be investigated, even the near hits where no injury or damage has occurred, as there are valuable lessons to be learned every time there is the potential for harm or damage in the workplace.

**Reference:** Incident Investigation Checklist, Attachment 5.

### 7.1 Who Investigates?

- The supervisor or delegated person responsible for the area is the person most suited to carrying out the incident investigation.
- More than one person's input is valuable in any investigation. Other people who may be asked to contribute include: members of the Safety Committee; local HSE personnel; the departmental manager; the site Health & Safety Representative.



- For serious and major incidents, an investigation team will be selected by the CEO. Members of the team may include; Personnel with specialist expertise e.g. an engineer if a piece of equipment has failed.

## 7.2 How Should the Investigation be conducted?

- Plan the steps that have to be taken to complete the investigation.
- Approach the investigation without emotion or blame.
- Don't jump to conclusions, seek out the root causes.
- Be objective and impartial.
- Gather facts from the people involved and other witnesses.
- Seek answers to the following questions:
  - Who was injured? Consider the job they were doing at the time, was it their normal job? What training had they had?
  - What actually happened? Break down the sequence of events into little steps.
  - When did it occur? The date and the time of day are both important as well as the number of hours that had been worked by the person/s prior to the incident.
  - Why did it occur? All the contributing factors to the incident should be identified; this includes asking "why" several times and considering all possibilities. Were there unusual circumstances relating to the job being done, the weather, the processes being followed, the people carrying out the tasks, the tools or machinery being used? The objective is to find the root causes of the incident, and not to jump to the most obvious reason, which may have only been the last step in a whole series of factors that led to the accident.
  - Where did it occur? The exact location of the incident has to be pinpointed as this can have significant bearing on the cause.
  - How can a recurrence be prevented? Having identified the root causes of the incident, the corrective actions to prevent a recurrence can be brainstormed. Immediate short term actions and longer term actions have to be considered, which may involve changes to the working environment, modifications to machinery, materials or work process.
- Take photographs and make sketches.
- **SPECIAL NOTE:** any document produced may ultimately end up in a court of law and the author may be called upon to justify what was written. If there is any likelihood that the incident will result in prosecution e.g. **If it is reportable to the local statutory authority**, contact must be made with the CEO before commencing the investigation, to seek advice regarding the investigation and the documentation required.

## 7.3 What Documentation is required?

- The DAYS SAFE Incident Investigation form can be used or the element minimums used as guide to formulate the incident report.
- The investigation team should prepare a report which documents the facts relating to the incident, the findings from the investigation. This is to include the root causes, and the recommended corrective actions to prevent a recurrence. The report should be forwarded to the CEO.

### 7.3.1 Incident Report Information

May include but not be limited to:

- Incident Timeline or Flowchart
- Incident Report
- Photographs
- Witness Statements
- External information ( e.g., plant design, engineering specifications)
- Site administration evidence; (e.g., JSA, Take Five, Project Risk Assessment.)

## 8 REFERENCES





### **Internal**

- OHSMP-001 HSEC Management Plan

### **Forms**

- Incident Report Form
- Incident Investigation Report
- Letter to the Treating Doctor
- Witness Statement

### **External**

- Australian Standard 1885.1,1990 Workplace Injury and Disease Recording Standard.

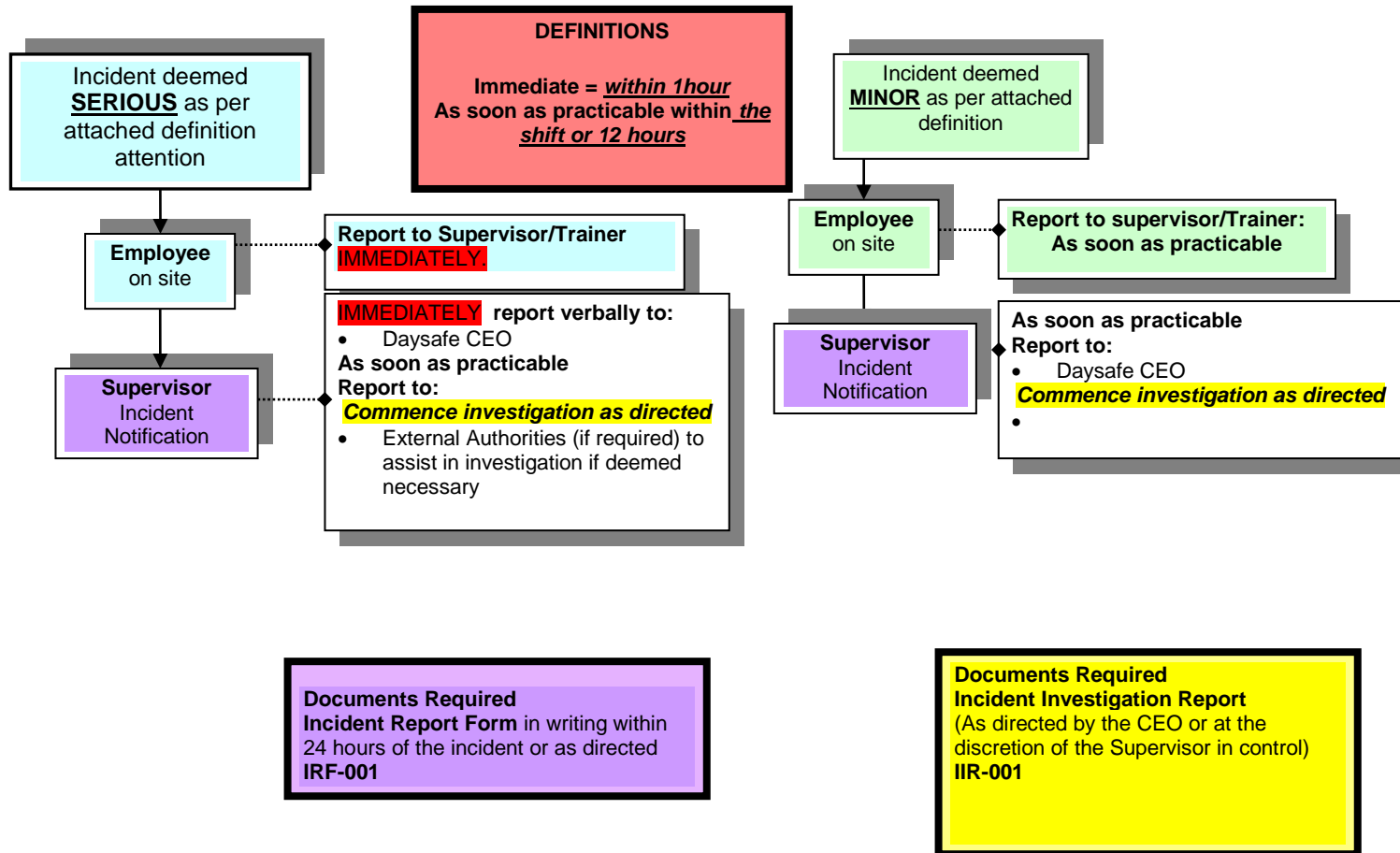
### **Attachments**

1. Internal Incident Reporting Flow Chart
2. Incident Response and Internal Reporting Matrix
3. Statutory Reporting Matrix WA, NT and NZ
4. Category Definitions
5. Investigation Checklist



## ATTACHMENT ONE: HSEC Internal Incident Reporting – Escalation Path

INCIDENT OCCURS Incident also includes Near Hits





Attachment two		Incident RESPONSE and internal REPORTING matrix					
CAT	IMMEDIATE RESPONSE	NOTIFICATION		INCIDENT REPORT & INVESTIGATION			
		Report to Whom	By When & By Whom	Incident Report & Investigation		Commence Investigation	Incident Form Completed
				Prepared	Reviewed		
1	<input type="checkbox"/> Isolate energy sources <input type="checkbox"/> <b>SECURE INCIDENT SITE</b> <input type="checkbox"/> Take action to minimise ongoing environmental impact	Supervisor & Daysafe CEO Business OH&S personnel Site HSE Committee	Within 24 hours by person on hand Monthly meeting by Daysafe CEO	Within 24 hrs	By the end of the month by Daysafe CEO	Within 24 hrs by Daysafe CEO or delegate	
2	<input type="checkbox"/> Isolate energy sources <input type="checkbox"/> Render First Aid when safe to do so <input type="checkbox"/> Secure incident site <input type="checkbox"/> Take action to minimise ongoing environmental impact	Supervisor & Daysafe CEO Business OH&S personnel Site OH&S Committee	Within 8 hrs by first aider By the end of the month by Daysafe CEO Monthly meeting by Daysafe CEO	Within 24 hrs by dept supervisor	By the end of the month by Daysafe CEO	Within 24 hrs by Daysafe CEO or delegate	
3	<input type="checkbox"/> Call for emergency services if required <input type="checkbox"/> Isolate energy sources <input type="checkbox"/> Render First Aid when safe to do so <input type="checkbox"/> Secure incident site if statutory authorities to be involved <input type="checkbox"/> Take action to minimise ongoing environmental impact	Supervisor & Daysafe CEO Rehab. Coordinator Local Authorities if incident is reportable W Comp Ins Site OH&S Committee	Immediate by person on hand Within 24 hrs by Daysafe CEO Within 24 hrs by Daysafe CEO As per requirements by Daysafe CEO  As per requirements Daysafe CEO Monthly meeting by Daysafe CEO	Within 24 hrs by dept supervisor	Within 24 hrs by Daysafe CEO	Within 24 hrs Daysafe CEO or delegate	
4	<input type="checkbox"/> Send for emergency services <input type="checkbox"/> Isolate energy sources <input type="checkbox"/> Render First Aid when safe to do so <input type="checkbox"/> Secure incident site <input type="checkbox"/> Trigger Critical Incident Management Procedure if required <input type="checkbox"/> Take action to minimise ongoing environmental impact	Daysafe CEO Rehab. Coordinator Local Authorities W. Comp. Ins. Site OH&S Committee	Immediate by person on hand Within 24 hours by Daysafe CEO Within 24 hours by Daysafe CEO Immediate by Daysafe CEO Immediate (if injury) by Daysafe CEO As per requirements by Daysafe CEO As per requirements Daysafe CEO Monthly meeting by Daysafe CEO	Within 8 hrs by dept supervisor and/or manager	Within 24 hrs by Daysafe CEO  At Trainers meeting	Within 8 hrs by Daysafe CEO or delegate	



**ATTACHMENT THREE STATUTORY NOTIFICATION**

**CHECKLIST**

STATE	WORKERS COMPENSATION NOTIFICATION			STATUTORY NOTIFICATION	
	Completion of Claim Form & Forwarding	Notification to Insurer/Claims Administrator	Notification of Claim Acceptance/Rejection by Insurer/Administrator	Reportable Incidents	By When
<b>WA</b>	48 hours	Within 3 days of receipt of the claim form	Within 14 days	Lost time in excess of 10 work days to be reported to Work-Safe WA Electric shock to be reported to the WA Office of Energy Mine sites – any accident or near hit to be reported to the Mines Mgr	Within 10 work days Immediately Immediately
<b>NT</b>	48 hours	Within 3 working days of receipt of the claim form	Within 48 hours	<ul style="list-style-type: none"> <li>• Lost time in excess of 5 days to Work Health</li> <li>• Electric Shock incidents / accidents to Electrical Inspectors</li> </ul>	Within 48 hours ASAP-3 hours



## ATTACHMENT FOUR

CATEGORY		CATEGORY DEFINITIONS		
Cat. No.	Category descriptor	<u>Impact on People</u> <b>S</b>	<u>Impact on Environment</u> <b>E</b>	<u>Damage to Plant/Business</u> <b>D</b>
5	Major	<input type="checkbox"/> Death <input type="checkbox"/> Serious injury with potential for death, e.g. amputation of major limb; internal injuries; prolonged coma; loss of an eye <input type="checkbox"/> Dangerous occurrence that could have resulted in one or more deaths e.g. major fire; explosion <input type="checkbox"/> Multiple people injured	<input type="checkbox"/> Release to off-site, un-contained, immediate or long term serious environmental degradation <input type="checkbox"/> Public outrage <input type="checkbox"/> Substantial remediation cost	<input type="checkbox"/> Huge financial loss <input type="checkbox"/> Prolonged business interruption <input type="checkbox"/> Possible permanent closure of business site
4	Serious	<input type="checkbox"/> Injury leading to hospitalisation; amputation of minor body parts; unconsciousness <input type="checkbox"/> Injury incurring more than one day or shift lost from work <input type="checkbox"/> Several people injured <input type="checkbox"/> Dangerous occurrence that could have resulted in serious injury e.g. minor fire; release of gas <input type="checkbox"/> Permanent impairment from injury	<input type="checkbox"/> Release to off-site, eventually contained <input type="checkbox"/> Remediate with minimal long term effect <input type="checkbox"/> On site release requiring outside assistance <input type="checkbox"/> Public alarm	<input type="checkbox"/> Major business loss <input type="checkbox"/> Loss of production capability <input type="checkbox"/> Significant business interruption <input type="checkbox"/> Significant costs incurred
3	Minor	<input type="checkbox"/> Injury requiring medical treatment but not requiring more than 1 shift or day from work <input type="checkbox"/> Dangerous occurrence that could have caused a minor injury	<input type="checkbox"/> Minor emission to off site <input type="checkbox"/> On-site release promptly contained <input type="checkbox"/> Local public awareness <input type="checkbox"/> Minor remediation cost	<input type="checkbox"/> Minor business loss <input type="checkbox"/> Plant damaged, minor repair <input type="checkbox"/> Minor costs incurred
2	Minimal	<input type="checkbox"/> Superficial or first aid injury	<input type="checkbox"/> Minor on site release immediately contained <input type="checkbox"/> No public awareness	<input type="checkbox"/> Damage that results in minimal business loss <input type="checkbox"/> Minimal costs incurred
1	Near Hit	<input type="checkbox"/> An incident that caused no harm or damage but had the potential to do so.	<input type="checkbox"/> An environmental deficiency which did not result in emission or spillage but might have done	<input type="checkbox"/> An incident that did not cause damage to plant and/or equipment but had the potential to do so



## ATTACHMENT FIVE INVESTIGATION CHECKLIST.

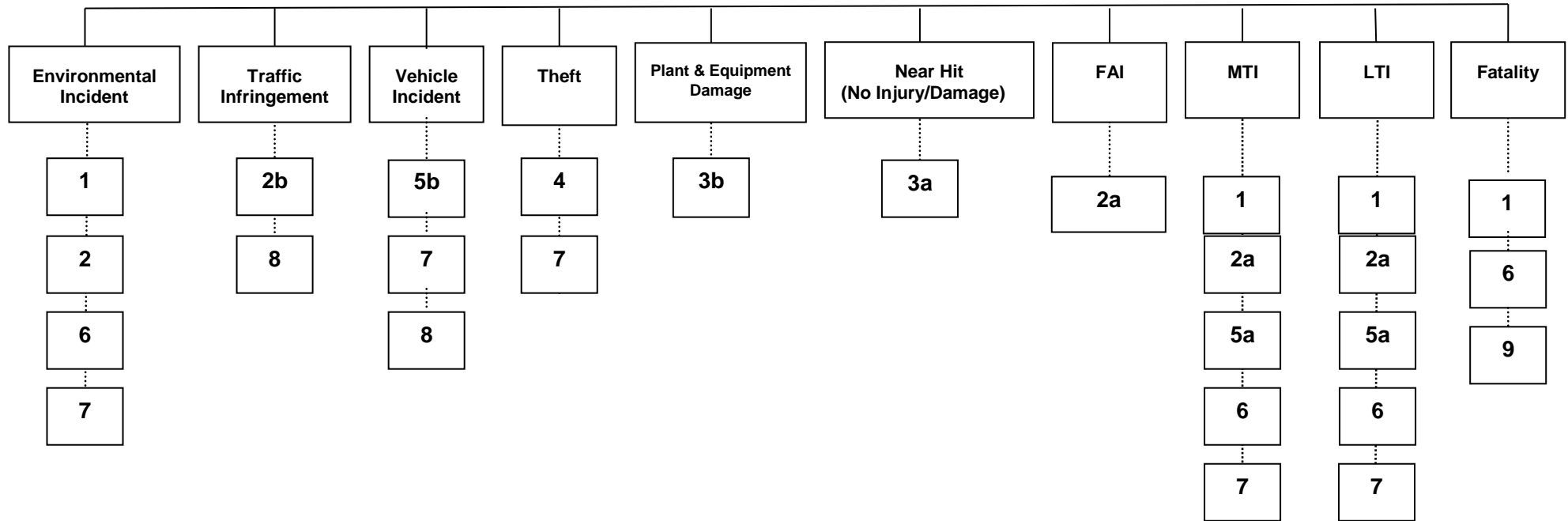
Stage	Action	Steps Involved	Remarks
1	Gather all facts to identify every possible contributing factor	<i>Interview:</i> <ul style="list-style-type: none"> <li>Injured person</li> <li>Witnesses</li> <li>First aider</li> </ul> <i>Inspect:</i> <ul style="list-style-type: none"> <li>Incident scene</li> <li>Damaged plant/equipment</li> </ul> <i>Review:</i> <ul style="list-style-type: none"> <li>Processes</li> <li>Documents</li> </ul>	<ul style="list-style-type: none"> <li>Be thorough</li> <li>Be objective</li> <li>Don't jump to conclusions</li> <li>Document interviews</li> <li>Take photographs</li> <li>Make sketches</li> </ul>
2	Information Analysis	<ul style="list-style-type: none"> <li>Assess information gained</li> <li>Delete inappropriate items</li> <li>Reconstruct on paper how the incident</li> </ul>	<ul style="list-style-type: none"> <li>Don't try &amp; find causes yet</li> <li>Eliminate irrelevant information</li> </ul>
3	Root Cause Extraction	<ul style="list-style-type: none"> <li>Brainstorm all possible causes from information analysis</li> <li>Consider all contributing factors</li> </ul>	<ul style="list-style-type: none"> <li>Don't jump to conclusions</li> <li>Ensure <b>all</b> contributing factors are extracted for consideration</li> </ul>
4	Root Cause Testing	<ul style="list-style-type: none"> <li>Assess each cause extracted</li> <li>Question whether it did contribute to the incident</li> </ul>	<ul style="list-style-type: none"> <li>Keep asking "why?"</li> <li>Keep asking "what if?", e.g. "Would the accident have happened if the oil had <b>NOT</b> been on the floor?" If answer is YES then not a contributing factor</li> </ul>
5	Root Cause Assessment	<ul style="list-style-type: none"> <li>Take each cause in isolation</li> <li>Identify what factors have contributed to this being a root cause</li> <li>Determine what can be done to affect that cause</li> </ul>	<ul style="list-style-type: none"> <li>Assess <b>each</b> cause</li> <li>Seek input from site/ departmental personnel</li> </ul>



Stage	Action	Steps Involved	Remarks
6	<b>Identify Corrective Actions</b>	<ul style="list-style-type: none"> <li>• Consider each root cause</li> <li>• Brainstorm all possible corrective actions</li> <li>• Refer to the hierarchy of controls</li> <li>• Weigh up advantages &amp; disadvantages</li> <li>• Make recommendations</li> </ul>	<ul style="list-style-type: none"> <li>• Be logical and practical in your approach</li> <li>• Accept it is likely there will be a number of corrective actions required</li> </ul>
7	<b>Action</b>	<ul style="list-style-type: none"> <li>• Consider each corrective action recommended</li> <li>• Work with site/department personnel to develop implementation plan</li> <li>• Allocate responsibilities &amp; time frames</li> <li>• Establish dates for follow up &amp; review</li> </ul>	<ul style="list-style-type: none"> <li>• Investigation pointless unless resulting in positive action to eliminate the root causes</li> <li>• Involvement of employees &amp; safety committee members invaluable</li> </ul>



**Incident Reporting Flowchart Depicting Requirements**



**Legend and Summary explanation;**

1. Personnel and/ or Supervisor phones CEO or delegate <b>IMMEDIATELY</b>	2. Supervisor completes Incident Report Form IRF-001 and <b>IMMEDIATELY</b> forward to CEO or delegate		3. Personnel and Supervisor complete Incident Report Form IRF-001 <b>WITHIN 24 HRS</b> forward to CEO or delegate		4. Personnel and Supervisor complete Incident Report Form IRF-001 <b>WITHIN 24 HRS</b> forward to CEO or delegate	5. Personnel Complete Incident Report Form IRF-001 <b>WITHIN 24 HRS</b> forward to CEO or delegate		6. CEO or delegate immediately advises Statutory Authorities). <b>AS REQUIRED</b>	7. Full Incident Investigation <b>ASAP (May be Severity Dependant)</b>	8. Personnel Complete Incident Report Form IRF-001 <b>WITHIN 24 HRS</b> forward to CEO or delegate	9. CEO or delegate immediately advises Statutory Authorities). <b>AS REQUIRED</b>
	2a. CEO or delegate	2b. CEO or delegate	3a. CEO or delegate	3b. CEO or delegate		5a. CEO or delegate	5b. CEO or delegate				