HEALTH AND SAFETY INCIDENT REPORTING AND EVENT LEARNING PROCEDURE

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1. Document Consultation

Name	Business Unit	Position
Health & Safety Team	Experience	All

2. Document Endorsement

Name	Position	Signature	Date
Kym Bancroft	Health & Safety Manager	*K8B*	14/10/2020

3. Purpose

This procedure provides a framework and process for the timely reporting, investigation and escalation of health and safety events (this includes near misses, work-related injuries and illnesses).

4. Scope

This procedure applies to all Urban Utilities workers, including Delivery Partners on Urban Utilities controlled worksites, in relation to Level 3 incidents (defined in PRO462 as lost-time injury, medical treatment injuries, first aid injuries and near misses).

5. Measures of Success

Metric Description	Metric Unit of Measure	Metric Target	Reporting Frequency	Performance Routine to Manage Metric
Corrective Actions completed within Timeframe	%		Monthly	Health and Safety Monthly Report

6. Process Effectiveness Elements

Listed below are the elements required to deliver and effective process.

Elements	Requirements to deliver an effective process
Mindset & Behaviours	• Error is normal • Blame fixes nothing • Systems drive behaviour • Learning is vital • Response matters
Leadership	• Ability to shield process from a reactive culture • Able to remove barriers to the process • Able to influence internally and externally to get actions completed • Able to include business stakeholders on the journey to ensure work is not done in isolation
People & Skills	Skills • Will consult with and engage all stakeholders • Analyse and challenge data

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	• Structured Problem Solving & Facilitation
	• Sound understanding of Enterprise Risk Management
	• Trained in incident investigations and in the use of the event learning methodology
	Investigation Team
	  • Leader and Structured Problem Solver
	  • Relevant SME's
	  • Health and Safety SME's
	  • Data admin and analytics (where required)
	  • Sound understanding of Enterprise Risk Management
	  • Trained in incident investigations and in the use of the event learning methodology

Data & Systems	• Accepting imperfect data and moving forward • Structured validated data • Visual and accessible data • Access to all internal information and data • Ability to procure external data • Ability at speed to acquire new data to solve problems • Ability to do analytics and mathematics in real time • Ability to track actions in delivery through other team systems
Space	• Full time collaboration space
Team Structure	• Position team to work with any team and not be associated with a delivery function but rather a service to work with all functions • Position the team to acquire SMEs on short temporary basis
Formal Authority	• Budget and access to capital and O&M funds to action interventions (where required)

7. Definitions and Roles and Responsibilities

7.1 Incident Definitions

For the purpose of defining the appropriate investigation level, the following injury/Incident definitions shall apply:

Level 1 Incident
- Fatality
- Extreme risk event resulting in >$250K impact.

Level 2 Incident
- Notifiable Incidents – These incidents need to be reported to the regulator and include:
  - Serious Injury or Illness as per Section 36 of the Work Health and Safety Act 2011
  - Dangerous incident is defined as per Section 37 of the Work Health and Safety Act 2011.

Level 3 Incident – all other Incidents
- Lost-time Injuries (LTI's)

7.2 Notifiable Incidents

The Queensland WHS Act 2011, Electrical Safety Regulation 2013 and the Petroleum & Gas Act 2004 require certain incidents to be reported to WHSQ, Electrical Safety Office or the Petroleum & Gas regulator.

Notifiable incidents, include but are not limited to:

- Death of a person as a result of a work-based injury or illness;
- Serious injury or illness of a person that results in:
  - Immediate hospital treatment as an in-patient;
  - Immediate medical treatment for injuries (e.g. amputation, scalping, degloving, spinal injury, serious lacerations/burns/head/eye injuries); or
  - Medical treatment within 48 hours of exposure to a substance.
- Serious Electrical Incident;
- Dangerous Incident;
- Loss of supply in a fuel gas network; or
- Dangerous Electrical Incident.

For further detail on what is required to be reported please go to the relevant regulator page:

- Electrical - https://www.worksafe.qld.gov.au/injury-prevention-safety/incidents-and-notifications/incidents-and-notifications;

- Petroleum and Gas - https://www.business.qld.gov.au/industries/mining-energy-water/resources/safety-health/petroleum-gas/regulation/notifying; and

- All other serious injuries and dangerous incidents - https://www.worksafe.qld.gov.au/injury-prevention-safety/incidents-and-notifications/what-is-an-incident.

If in doubt as to whether it is a notifiable incident, immediately inform the H&S Team on 3855 6418.

Where it is suspected that an incident is notifiable, it is a requirement to secure the incident scene and preserve evidence, unless notified otherwise by the regulator.

The H&S Team will facilitate notification to the appropriate regulator, within 24 hours of the event occurring.

7.3   Investigation Methodology Criteria

PRO492 outlines the level of investigation required in accordance with the following framework:

- Level 1 Incident – Externally Lead as per PRO492;

- Level 2 Incident – Business Lead investigation and can include Learning Teams, ICAM™, TapRoot™ etc;

- Level 3 Incident – Standard Investigation (Q-Pulse).

Additionally, the Health and Safety Manager, in consultation with stakeholders may elect to utilise a higher-level investigation methodology, if a determination is made that there is an opportunity for organisational learning.

7.4   Roles and Responsibilities

Accountable Manager

The Accountable Manager is responsible for ensuring the incident is reported and investigated in accordance with **Table 1**. The Accountable Manager shall ensure the investigation is sufficiently resourced.

Facilitator

All investigations shall have a Facilitator nominated to facilitate learning in accordance with **Table 1**. This person shall be trained as competent in incident investigations and in the use of the event learning methodology used.

Members of the Event Learning Team

The Facilitator, in consultation with the Accountable Manager, shall form an Event Learning Team based upon the following criteria:

- Skills, experience, and operational knowledge;
- Role in the incident including the involved person/s (if appropriate) and Supervisor;
- Senior Management as required;
- Health, Safety and/or Environment Specialist/s dependent on the type and level of the investigation;
- Contractor company representation if contractors were involved in the incident;
- Representatives of internal stakeholders as required;
- Representatives of external stakeholders as required;
- Safety and Health representative (HSR) and Environmental representative for the area depending on incident impacts;
- Technical expertise dependent on the nature of the incident; and
- As a minimum the investigation shall include a representative from the work force and the relevant Manager.

8. Incident Reporting and Notification

The incident management and investigation process shall follow these steps, regardless of investigation methodology:

Actions following immediate care of patient and/or making site safe:
1. Initial notification (internal) and report into QPulse;
2. Classify incident;
3. Collect information;
4. Plan investigation;
5. Analyse information;
6. Action; and
7. Report.

See **Table 1** for specific actions under each stage.

8.1 Incident Reporting

All incidents, no matter how small, shall be reported to the immediate supervisor at the earliest opportunity (and prior to the end of shift).

Within 24 hours of the incident, the supervisor shall ensure the details of the incident are entered into Qpulse, or should direct access to Qpulse be unavailable, Incident form (FOR74) is to be completed.

Reporting and notifications are to be made in accordance with Table 1.

INCIDENT TYPE	RESPONSIBLE PERSON FOR NOTIFYING	NOTIFICATION	Timeframe/ METHOD	investigation required and Type	INVESTIGATION TEAM	Investigation Report Recipients	Report Type
Lost time Injury	Accountable Manager calls on-call Safety Team and their leader	ELT Member or GM of the relevant area to advise: CEO	Within 12 hours of occurrence	Learning Team	H&S Specialist Accountable Manager Injured worker	CEO ELT H&S Manager	Event Learning Report (TEM617)

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INCIDENT TYPE	RESPONSIBLE PERSON FOR NOTIFYING	NOTIFICATION	Timeframe/ METHOD	investigation required and Type	INVESTIGATION TEAM	Investigation Report Recipients	Report Type
	Safety on-call member to advise H&S Manager	ELT					
Medical Treatment Injury	Accountable Manager	QPulse	Within 24 hours of occurrence	Blue Line Investigation	H&S representative Accountable Manager Injured worker		Event Learning Report (TEM617) Or Shared Operational Learning
First Aid Injury	Accountable Manager	QPulse	Within 24 hours of occurrence	Blue Line Investigation	Accountable Manager Injured worker		Shared Operational Learning Or Email notification
Near Miss	Accountable Manager	QPulse	Within 24 hours of occurrence	Blue Line Investigation	Accountable Manager Injured worker		Shared Operational Learning Or Email notification
High Potential Near Miss	Accountable Manager calls on-call Safety Team and their leader Safety on-call member to advise H&S Manager	ELT Member or GM of the relevant area to advise: CEO ELT	Within 12 hours of occurrence	Learning Team or Blue Line Investigation (dependant on severity potential)	H&S Manager Accountable Manager Relevant Team members	CEO ELT H&S Manager	Event Learning Report (TEM671)

All investigation and reports are to be finalised with 14 days of the date of the incident. The Health and Safety Manager, in consultation with the Accountable Manager, may approve longer investigation times.

Further information on Learning Teams can be found in PRO368 – Performance Management and on the Health and Safety TAP page. Further information on TapRoot investigations can be found in PRO492 – Level 1 & 2 Investigation Procedure.

8.2 Incident Communication

Incident Investigation Report and Shared Operational Learning

The Accountable Manager in consultation with the Health and Safety Manager shall develop and issue an Event Learning Report (TEM671) or a brief report (Shared Operational Learning and QPulse Investigation Report with corrective actions) for Level 3 incidents that incur a Lost-time Injury for an event which provides an opportunity for organisational learning.

The Shared Operational Learning shall summarise the incident and detail what immediate corrective actions have been applied for any event. Where an investigation is taking place, an interim Shared Operational Learning can be distributed with a final Event Learning distributed once the investigation is complete.

The investigation report will be distributed to the relevant stakeholders as required.

8.3 Monitoring and Review

Corrective actions shall be logged in Q-Pulse. Once they have been applied, the actions shall be verified as effective prior to the action being closed.

Where actions result in systemic changes to the way work is done, the H&S Team are to review and update mechanisms to help ensure the changes remain effective. Such mechanisms include:

- Workplace inspections;
- Audits;
- Assurance activities; and
- Documentation reviews.

9. Delivery Partner Incidents

Any incidents involving Delivery Partners on an Urban Utilities controlled work site must be reported immediately to both Urban Utilities and the contractor's employer.

The escalation and investigation of contractor related incidents must meet the requirements detailed in in this procedure, including being entered into Qpulse.

For any incidents involving contractors engaged by a Principal Contractor (other than Urban Utilities), the Principal Contractor must:

- Ensure the incident investigation is appropriate.
- Ensure a copy of the incident and investigation report is made available to the;
  - Urban Utilities primary representative/contract owner; and
  - Urban Utilities Health and Safety Manager.

10. Training and Competency Requirements

All relevant Leaders to complete the following module of training, either in person or online (role dependant):

- Health & Safety Incident Investigation Training for Leaders

The results of this training are to be recorded in the current Learning and Development Software.

11. Management Review Process

The implementation of this procedure will be monitored and reviewed via the annual ISO45001 audit to ensure effectiveness and continual improvement.

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Initial Response (onsite personnel)

Step 1 — Immediate Actions

→ **Step 2 — Collect Initial Information**

Step 1 Immediate Actions:

- Determine medical/support needs of involved persons and ensure they are being provided.
- Make site safe and secure to prevent further injury or disturbance of scene.
- Contact Safety on-call 38556418
- Health and Safety Specialist to classify incident and advise WorkSafe QLD if required as per PRO492

Step 2 Collect Initial Information:

- Conduct interviews with witnesses
- Take photos, videos, measurements etc.
- Record environmental factors such as weather, position of sun or brightness, noise conditions, odours or any other information that might be useful.
- Enter into Q-Pulse

Investigation & Learning

Step 2 — Plan Investigation

- Confirm incident Classification and level of investigation required
- Appoint a facilitator
- Define scope and set investigation timeframes with the responsible Manager
- Plan Resources required:
  - Investigation Team
  - Location
  - Organise site visit/re-enactment
  - Plan additional interviews
  - Organise testing of equipment
- Notify the business as per Table 1.

Step 3 — Discovery

Branches to:

Work as Imagined & Work as Done - Event
- Investigation team to go to site.
- Re-enactment utilising persons involved if possible.
- Take any additional photos, videos, measurements etc.
- Gather work insights and additional statements if required.
- Gather Work As Imagined
  - Training
  - Procedures
  - Risk Assessments
  - SWMS
  - Etc.

Gather investigation team
- Other tools
  - Work Insights
  - Observations
  - Previous investigations
  - Conversations
  - Task walk throughs
  - Inspections
  - Audits

Work as Normal
- Follow Learning Team Process
  - Focus on the task
  - Broad range of personnel who perform the task

Analysis & Report (to be completed within 14 days)

Step 4 — Analyse Information

- Gather investigation team
- Classify information collected into WAI/WAN/WAD
- Fill gaps in information if required. (Back to Discovery if required)
- Create 3-tier timeline if applicable
- Identify differences between WAI/WAN/WAD
- Identify the context for the differences
- Identify issues and opportunities

→ **Step 5 — Actions**

- Develop actions with the Manager of the work and capture in Qpulse
  - Focus on the organisational issues.
  - Prioritise actions based on risk
  - Focus on what is reasonably Practicable
  - Test the actions
  - Hierarchy of control
  - Review effectiveness

→ **Step 6 — Report**

- Complete Event Learning Report and include;
  - Abbreviated timeline
  - Focus on WHAT failed, not WHO.
  - No surprises.
  - Information and context to give comfort for decisions
- Communicate to workforce as per Section 8.1 Table 1