



# Incident Reporting & Investigation Procedure

## Purpose

- The purpose of this internal procedure is to outline the reporting, recording and investigation procedures to be followed in the event of an incident or injury, including gradual process injuries.

## Scope

This procedure applies to all staff, students, visitors and contractors.

## Procedure

### 1. Reporting Incidents

Employees must promptly report all incidents to their managers and enter into the Vault recording system on the Unitec Nest. Incidents include:

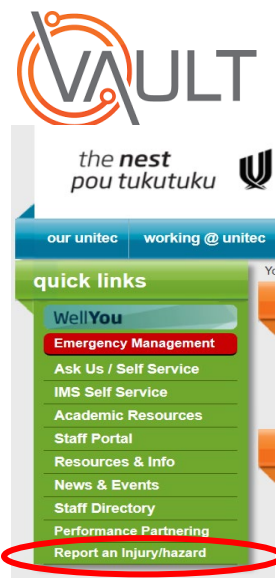
- All personal injuries, including work vehicle injuries and gradual process;
- Occupational illnesses;
- Property damage, including all vehicle damage accidents;
- Fires and explosions;
- Chemical spills;
- Hazardous incidents; and
- All potentially serious “near miss” incidents.

### 2. Responding to Incidents

**2.1** Appendix A of this procedure sets out the procedure that must be followed when an incident result in injury or a near miss with the potential to cause serious harm.

**2.2** Any person who is involved in or witnesses an incident must:

- Immediately provide aid to the injured person if the incident has resulted in injury, and if the person is competent to do so, or otherwise call for help and notify a first-aider;
- Notify the immediate manager of the injured person or the manager responsible for the area;
- Notify the Health and Safety (H&S) Team immediately of the incident, even if it is not serious; and
- If the incident is serious, isolate the scene for inspection and investigation. The scene is not to be disturbed unless the safety of others is affected.



**Note:** it may be necessary to move machinery or equipment to make the area safe.

**2.3** The immediate manager of the injured person, or the manager responsible for the area must, once notified of the incident:

- Ensure that any injured person is looked after;
- Take charge to reduce the likelihood of further problems;
- Ensure that the incident scene is isolated for inspection and investigation if the incident is serious, and;
- Ensure that the incident has been reported to the Health and Safety Team.

### 3. Investigating Incidents

- All incidents and injuries must be investigated. The Vault recording system provides a platform for structuring this investigation. Arrange for this to happen as soon as possible after the incident.

- The Health & Safety Team will facilitate an investigation with the manager.
- Check that the injury was not a notifiable event. If a notifiable event is suspected, contact the Health and Safety Team immediately. The manager of this team will direct any notifiable event investigation.

#### 3.1 The Vault Recording System

- **All incidents and injuries** must be logged into the Vault recording system as soon as practicable after an incident, and within 24 hours. Once completed and submitted, the Health and Safety Team will be alerted. An investigation will commence and corrective measures will be assigned.
- **The Health and Safety Team will:**
  - Review all action lists after receiving these from managers; and
  - Communicate the cause(s) and remedial action to all managers and all other employees and students who may learn from the experience.
- **Managers must:**
  - Assist in the implementation of the remedial action recommended, by adding appropriate comments and delegating corrective action where applicable; and
  - One month after the incident, review the corrective action that has been taken and any changes in procedures or training, to ensure that the incident does not recur.

#### 3.2 Notifiable Events

For notifiable events, the Health and Safety Manager will:

- Immediately notify Unitec CEO and WorkSafe once the severity of the injury is established; and
- Complete and submit an online Notifiable Events Form to WorkSafe within 7 days of the injury.

### 4. Discomfort at Work and Gradual Process Injuries

#### 4.1 Reporting

Any discomfort should be reported to your manager. Your manager will invite Unitec's Occupational Health nurse to perform a workstation assessment through the H&S Team.

#### 4.2 Responding to Reports Received

**4.2.1 Managers** must respond quickly to any report by an employee of discomfort at work or gradual process injury.

**4.2.2 The Manager, the employee and the Health and Safety Team will:**

- Identify and assess any hazards to which the employee has been exposed;
- Agree and implement as soon as practicable an action plan that addresses the identified hazards.

**4.2.3 Employees** must participate in processes relating to health and safety in the work place and the elimination of gradual process injury hazards.

### REQUIREMENTS AND RESPONSIBILITY



**REHABILITATION CAN BE COMPLETED AS CONFIRMED BY MEDICAL PRACTITIONER IN CONJUNCTION WITH ALL STEPS**

Stages	Steps	Actions	Responsibility
<b>1 Initial Response</b>	<b>Respond immediately to prevent further harm.</b>	<p>Take immediate steps to stabilize the area and ensure emergency response personnel are notified i.e. First Aid Officers, Fire Wardens etc.</p> <p>Take all appropriate steps to respond to the immediate situation and prevent further harm or damage, including:</p> <p>Providing first-aid and appropriate injury treatment to injured personnel, containing the scene, evacuating immediate area, calling Emergency Services, and providing support for any affected staff.</p>	<b>All Staff</b>
	<b>Preserve the scene and report incident.</b>	<p>Ensure incident scene is preserved where possible and critical information obtained, for example:</p> <p>Full names of injured persons, exact time and location of incident, photos of incident scene, sequence of events leading to incident, and statements from persons involved.</p>	<b>Responsible Manager</b>

Stages	Steps	Actions	Responsibility
		For actual or potential <i>notifiable events</i> , advise the H&S General Manager/H&S Team by phone as soon as possible.	
	<b>Initial Management Actions</b>	For actual or potential <i>notifiable events</i> , ensure scene is preserved until all authorities give authority to re-enter. Consider need to call next of kin. <b>NOTE:</b> Drug and alcohol testing may be required where operator error is a potential contributory factor.	<b>Responsible Manager</b>
<b>2 Reporting Injury</b>	<b>Report incident.</b>	As soon as practicable, report the incident to the responsible manager and H&S Team by phone.	<b>All Staff</b>
	<b>Classify incident; identify reporting requirements.</b>	Classify the injury, (incident type, actual consequence and potential consequence): <b>Refer to definitions</b> , e.g. LTI, MRI,FAI and legislation	<b>Responsible Manager</b>
	<b>Internal Verbal Notifications</b>	Provide person to person verbal notifications (not leaving messages).	<b>Responsible Manager</b>
	<b>Escalate serious incidents.</b>	For serious events or notifiable events, Unitec's CEO must be notified.	<b>Responsible Manager</b>
		Unitec's CEO must notify and discuss with the Executive Leadership Team and the Head of School that the incident has occurred in. All attempts should be made to schedule this within 1 working day of the incident notification being received.	<b>Unitec CEO</b>
		The School that has had the incident is required to advise: A description of the incident, the outcomes of the incident, and initial findings known that may have contributed to the incident.	<b>Responsible Managers</b>
<b>2 Reporting Injury</b>	<b>Complete statutory reporting – notify WorkSafe.</b>	Following any notifiable event, immediate verbal and prompt written notification, (using an approved form), shall be provided to the relevant authorities, (i.e. WorkSafe NZ Ltd), within required timeframes.	<b>H&amp;S General Manager</b>

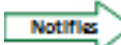
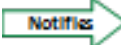
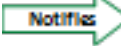
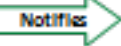
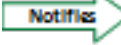
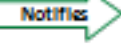
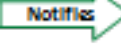
Stages	Steps	Actions	Responsibility
	<b>Complete Vault reporting. (Capture details).</b>	All incidents shall be entered into the Vault by the H&S Advisor or relevant administrator. Supporting documents, (e.g. photos), must be attached.  Record all critical details, including:  The full names and contact details of all people involved, including third parties and eye witnesses,  The exact nature of injuries, property damage or environmental harm sustained.	<b>Responsible Managers</b>
	<b>Injury Management</b>	After staff have received the appropriate medical treatment, a manager must actively engage in an injury management process for rehabilitation and return to work with assistance from H&S Team and Unitec's OCC nurse.	<b>Responsible Manager</b>
<b>3</b> <b>Investigate Injury</b>	<b>Investigate all incidents.</b>	All incidents must be entered into Vault or have an Investigation Form completed and shall be subject to an investigation by the manager and facilitated by the H&S Team.	<b>H&amp;S Team/H&amp;S General Manager</b>
	<b>Major rating as per Risk Matrix – conduct ICAM investigation.</b>	For notifiable events, (actual or potential), or as directed by H&S General Manager, an ICAM investigation shall be conducted to establish immediate causes and the root cause of the incident.	<b>General Manager/Head of School/ Director/H&amp;S General Manager</b>
<b>4</b> <b>Follow up and Share Learnings</b>	<b>Monitor, review and close-out corrective actions.</b>	All incidents and related assigned corrective actions shall be managed via the Vault and closed out as soon as possible.  Those matters representing the greatest safety risk are to be given priority when undertaking corrective action.	<b>H&amp;S Team/H&amp;S General Manager</b>
	<b>Sharing Learnings</b>	Where an ICAM investigation or Investigation Form was completed, a copy of the ICAM will be distributed to the Executive Leadership Team and Head of School for the relevant area.	<b>H&amp;S General Manager</b>
		For investigations rated minor, learnings will be shared at the discretion of the direct manager.	<b>H&amp;S Advisor</b>
<b>5</b> <b>Rehab.</b>	<b>Rehabilitation</b>	Rehabilitation and development of a Return to Work Plan.	<b>Staff Member and Responsible Manager</b>

## UNITEC RISK MATRIX

<b>LIKELIHOOD:</b> The chance of a risk causing harm to a person(s) Consider: <ol style="list-style-type: none"> <li>1. Number of people exposed</li> <li>2. How often they are exposed</li> <li>3. How long they are exposed</li> </ol>		<b>SEVERITY:</b> The injury or illness that could result from being exposed to a risk	
5	<b>Almost Certain:</b> Common or repeated occurrence, no risk controls in place	5	<b>Extreme:</b> Multiple fatalities
4	<b>Likely:</b> Known to occur	4	<b>Major:</b> Single fatality, extensive injuries, long term illness or lost time injury (LTI)
3	<b>Possible:</b> Some risk controls in place	3	<b>Moderate:</b> Medical treatment required, or restricted/modified duties required
2	<b>Unlikely:</b> Not likely to occur, risk controls in place are mostly effective	2	<b>Minor:</b> Superficial or first aid treatment
1	<b>Rare:</b> Practically impossible, effective risk controls are in place	1	<b>Insignificant:</b> No injuries or damage to health

Likelihood	Severity				
	1 Insignificant	2 Minor	3 Moderate	4 Major	5 Catastrophic
5 Almost Certain	Medium (11)	Medium (16)	High (20)	Extreme (23)	Extreme (25)
4 Likely	Medium (7)	Medium (12)	High (17)	High (21)	Extreme (24)
3 Possible	Low (4)	Medium (8)	Medium (13)	High (18)	High (22)
2 Unlikely	Low (2)	Low (5)	Medium (9)	Medium (14)	High (19)
1 Rare	Low (1)	Low (3)	Low (6)	Medium (10)	Medium (15)
Extreme Risk	Immediate action required to control risk				
High Risk	Senior management attention required				
Medium Risk	Management responsibility must be specified				
Low Risk	Manage by routine procedures / Administration Controls / PPE				

## Escalation Process Based on Risk

Risk Rating (Time Frame)	Report To	Escalates To	
<b>Extreme</b> (Immediately)	Immediate Manager Director – Infrastructure Operations 	Executive Leadership Team Member 	CEO
<b>High</b> (Immediately)	Immediate Manager Director – Infrastructure Operations 	GM/Director /Head of School 	Executive Leadership Team Member
<b>Medium</b> (Immediately)	Immediate Manager H&S Advisor 	Head of School 	Executive Leadership Team Member
<b>Low</b> (24 hours)	Immediate Manager Vault 	Head of School	

## Definitions

Term	Means
Notifiable Event	<p>A notifiable event is any of the following events that arise from work:</p> <ul style="list-style-type: none"> <li>• A death</li> <li>• A notifiable injury or illness</li> <li>• A notifiable incident</li> </ul> <p>The notifiable incident, illness, injury or death must arise out of the conduct of the business or undertaking. It could be due to the condition of the work site, the way the work activity is organised, or the way equipment or substances are used.</p>

Term	Means
Notifiable Injury or Illness	<p><b>Health &amp; Safety at Work Act 2015: Meaning of Notifiable Injury or Illness</b></p> <p>(1) In this Act, unless the context otherwise requires, a notifiable injury or illness, in relation to a person, means—</p> <ul style="list-style-type: none"> <li>(a) any of the following injuries or illnesses that require the person to have immediate treatment, (other than first aid): <ul style="list-style-type: none"> <li>i. The amputation of any part of his or her body</li> <li>ii. A serious head injury</li> <li>iii. A serious eye injury</li> <li>iv. A serious burn</li> <li>v. The separation of his or her skin from an underlying tissue (such as degloving or scalping)</li> <li>vi. A spinal injury</li> <li>vii. The loss of a bodily function</li> <li>viii. Serious lacerations</li> </ul> </li> <li>(b) an injury or illness that requires, or would usually require, the person to be admitted to a hospital for immediate treatment;</li> <li>(c) an injury or illness that requires, or would usually require, the person to have medical treatment within 48 hours of exposure to a substance;</li> <li>(d) any serious infection, (including occupational zoonosis), to which the carrying out of work is a significant contributing factor, including any infection that is attributable to carrying out work— <ul style="list-style-type: none"> <li>i. with micro-organisms; or</li> <li>ii. that involves providing treatment or care to a person; or</li> <li>iii. that involves contact with human blood or bodily substances; or</li> <li>iv. that involves handling or contact with animals, animal hides, animal skins, animal wool or hair, animal carcasses, or animal waste products; or</li> <li>v. that involves handling or contact with fish or marine mammals;</li> </ul> </li> <li>(e) any other injury or illness declared by regulations to be a notifiable injury or illness for the purposes of this section.</li> </ul> <p>(2) Despite subsection (1), notifiable injury or illness does not include any injury or illness declared by regulations not to be a notifiable injury or illness for the purposes of this Act.</p>



Term	Means
Notifiable Incident	<p><b>Health &amp; Safety at Work Act 2015: Meaning of Notifiable Incident</b></p> <p>(1) In this Act, unless the context otherwise requires, a notifiable incident means an unplanned or uncontrolled incident in relation to a workplace that exposes a worker or any other person to a serious risk to that person's health or safety arising from an immediate or imminent exposure to—</p> <ul style="list-style-type: none"> <li>(a) an escape, a spillage, or a leakage of a substance; or</li> <li>(b) an implosion, explosion, or fire; or</li> <li>(c) an escape of gas or steam; or</li> <li>(d) an escape of a pressurised substance; or</li> <li>(e) an electric shock; or</li> <li>(f) the fall or release from a height of any plant, substance, or thing; or</li> <li>(g) the collapse, overturning, failure, or malfunction of, or damage to, any plant that is required to be authorised for use in accordance with regulations; or</li> <li>(h) the collapse or partial collapse of a structure; or</li> <li>(i) the collapse or failure of an excavation or any shoring supporting an excavation; or</li> <li>(j) the inrush of water, mud, or gas in workings in an underground excavation or tunnel; or</li> <li>(k) the interruption of the main system of ventilation in an underground excavation or tunnel; or</li> <li>(l) a collision between 2 vessels, a vessel capsize, or the inrush of water into a vessel; or</li> <li>(m) any other incident declared by regulations to be a notifiable incident for the purposes of this section.</li> </ul> <p>(2) Despite subsection (1), a notifiable incident does not include an incident declared by regulations not be a notifiable incident for the purposes of this Act.</p>
Occupational Overuse Syndrome (OOS)	<p>Is the collective term for a range of conditions characterized by discomfort or persistent pain in muscles, tendons, and other soft tissues, with or without physical manifestations. OOS is usually caused or aggravated by work, and is associated with repetitive movement, sustained or constrained postures, and/or forceful movements.</p> <p>Symptoms may include: persistent aches and pains of hands, wrists, forearms, shoulders and/or neck; tennis elbow; rotator cuff syndrome, (list not exhaustive).</p>
Gradual Process Injury	<p>Means a personal injury that develops slowly and progressively over time as a result of an activity that is carried out in the course of the person's work life.</p>
Loss Time Injury (LTI)	<p>Is an injury that results in time lost from work. It could be as little as one day or one shift off work.</p>

Term	Means
Medical Time Injury (MTI)	<p>Is an injury or illness that resulted in a certain level of treatment, (not first aid treatment), given by a medical practitioner or other medical personnel. This includes treatment that is outside first aid:</p> <ul style="list-style-type: none"> <li>• Broken bones/fractures</li> <li>• Loss of consciousness, seizures or concussion</li> <li>• Lacerations requiring stitches; (does not include surgical glue or butterfly stitches)</li> <li>• Injections as a result of injury</li> <li>• Medication prescribed; (not accessible at chemist)</li> <li>• Burns requiring medical attention.</li> <li>• Dislocation and manipulation required as treatment.</li> <li>• Dental</li> </ul> <p>These do not include pre-existing medical conditions or injuries – as based on ACC definitions.</p>
First Aid Injury (FAI)	<p>Is an injury that requires a single first aid treatment and a follow-up visit for subsequent observation involving only minor injuries, (minor scratches, burns, cuts and so forth), which do not ordinarily require medical care and would have minimal impact on work activities.</p>
Serious Harm Injury	<p>(a) Any of the following conditions that amounts to or results in permanent loss of bodily function, or temporary severe loss of bodily function: respiratory disease, noise-induced hearing loss, neurological disease, cancer, dermatological disease, communicable disease, musculoskeletal disease, illness caused by exposure to infected material, decompression sickness, poisoning, vision impairment, chemical or hot-metal burn of eye, penetrating wound of eye, bone fracture, laceration, crushing;</p> <p>(b) Amputation of a body part;</p> <p>(c) Burns requiring referral to a specialist medical practitioner or specialist outpatient clinic;</p> <p>(d) Loss of consciousness from lack of oxygen;</p> <p>(e) Loss of consciousness, or acute illness requiring treatment by a medical practitioner, from absorption, inhalation, or ingestion, of any substance;</p> <p>(f) Any harm that causes the person harmed to be hospitalised for a period of 48 hours or more commencing within 7 days of the harm's occurrence.</p>

## Reference Documents

- [Health and Safety at Work Act 2015](#)
- [Unitec's Health and Safety Policy](#)
- [Alcohol and Drug Policy – Staff](#)
- [Alcohol and Drug Policy – Students](#)
- [Alcohol and Drug Procedures – Staff](#)
- [Alcohol and Drug Procedures - Students](#)
- [Unitec's Injury & Illness Management Procedure](#)
- [ICAM Investigation Template](#)
- [Health and Safety Investigation Checklist](#)

## Approval Details

<b>Version number</b>	002	<b>Issue Date</b>	July 2019
<b>Approval authority:</b>	Executive Leadership Team	<b>Date of Approval</b>	29/07/2019
<b>Procedure Sponsor</b> (Has authority to approve minor amendments)	Executive Director People and Infrastructure	<b>Procedure Owner:</b>	Director Infrastructure Operations
<b>Contact Person</b>	Director Infrastructure Operations	<b>Date of Next Review</b>	2022