Incident Investigation Review Information Sheet

HSE-INFO-011

This document has been written to provide guidance to the Health, Safety and Environment (HSE) Unit in review of closed incidents within RiskWare for the purpose of ensuring the investigation captures relevant information which will assist in identification of adequate controls.

1   Incident review criteria

The following five questions are to assist in review of incident investigations. The Control Effectiveness Notes section of Riskware will be utilised to document findings following review of incident investigations. These questions should be copied and pasted into the 'Control Effectiveness Notes' section and each question answered accordingly.

For example:

Effectiveness of Control Measure?	Control Effectiveness Notes
Determine the effectivness of the control measure	Notes are required for Partially Effective and Ineffective control measures.
Select Effectiveness ⌄	1. Did Human Error contribute to the incident a. No b. Yes - Did it link back to an Organisational Factor 2. Did Environmental Factors contribute to the incident

Incident review criteria:

1. Did Human Error contribute to the incident
    a. No
    b. Yes - Did it link back to an Organisational Factor
2. Did Environmental Factors contribute to the incident
    a. No
    b. Yes - Did it link back to an Organisational Factor
3. Did Material / Equipment Factors contribute to the incident
    a. No
    b. Yes - Did it link back to an Organisational Factor
4. Did Organisational Factors contribute to the incident
    a. No
    b. Yes - Was the root cause identified
5. Will the proposed actions prevent or minimise re-occurrence of the incident?

⚠️   Only findings following review requiring rectification are to be documented.

Recommendations

Following review of investigation, any areas requiring further information should be discussed with, sought and updated by the Responsible Person.

2. Control Measures

A thorough investigation assists in developing recommendations to eliminate or reduce the incident recurring by having regard to use of the Hierarchy of Control.

2.1 Ineffective

An ineffective action plan can be identified by the lack of appropriate controls against the notified incident. For example:

Scenario	Control Measure/s
Computer started smoking. Contacted I.T department and Maintenance Department and was told to log a job by both Departments despite computer still smoking.	Periodic checking of power points

In the instance where an ineffective Action Plan has been identified against the notified incident, it is essential that:

1. The HSE Advisor is contacted to confirm whether it is suitable to re-open the Incident record.

2. Following re-opening of closed Incident record contact is made with person/s responsible to notify via email communication using the HSE approved template (Appendix 1).

⚠ RiskWare does not produce an automated email notifying of re-opening.

2.2 Partially effective

A partially effective action plan will identify some reasonable controls against the notified incident. For example:

Scenario	Control Measure/s
Student was burnt by ultrasonic due to not following procedure and wearing inappropriate PPE.	Counselled student on the proper protocol
	Counselled student on the appropriate PPE to use when undertaking assigned tasks.

Where a partially effective Action Plan has been identified against the notified incident you should identify recommendations around the action plan including how to apply the Hierarchy of Control and consult with the Responsible Person. Communication of the agreed recommendations with the Responsible Person can be documented via email using the HSE approved template (Appendix 1).

For example:

Recommendations:	Communicate protocol to students in work unit by newsletter.
	Provide an opportunity for retraining as required
	Review protocol to ensure all procedural information is accurate and identifies safe practices.

Further to this, should the risk rating reflect a rating lower or higher than required, recommendation should also be made based on how to assess the incident and apply a rating.

2.3 Fully effective

A fully effective Action Plan will identify all reasonable controls against the notified event and identify an accurate risk rating.

3. **Appendix 1**

Re-opened incident email notification template:

Hi (Name),

The RiskWare incident number (####) dated (##/##/####) was assigned to you as Responsible Person in RiskWare. Since closure of this incident on (##/##/####), the HSE Unit have conducted a review of the investigation and proposed actions documented to prevent or minimise recurrence.

It has been identified that further information listed below is required and actions should be implemented to manage the risk of this incident. The member of the HSE Unit who conducted the review will be in touch with you shortly to discuss.

- (list further required information)

Should you require any further information and/or assistance regarding the re-opening of this incident, please do not hesitate to contact safety@jcu.edu.au.

Kind Regards,
Health, Safety & Environment Unit
Division of Services and Resources
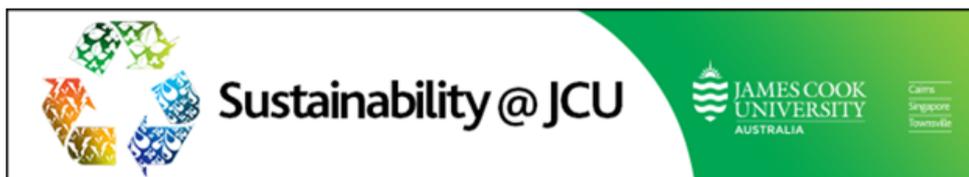James Cook University, Townsville & Cairns Campus
Contact
General HSE Enquiries: safety@jcu.edu.au
All Rehabilitation Enquiries: rehab@jcu.edu.au
Training, Communications and Policy Enquiries: whstraining@jcu.edu.au
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