



mainroads
WESTERN AUSTRALIA

Procedure Incident Management

Safety, Health and Wellbeing

Contents

1	PURPOSE	4
2	SCOPE	4
3	ROLES & RESPONSIBILITES	4
4	DEFINITIONS	5
5	INCIDENT MANAGEMENT FLOWCHART	7
6	INCIDENT MANAGEMENT PROCESS	8
6.1	Initial Response	8
6.2	Scene Preservation.....	8
6.3	Incident Classification	9
6.4	External Incident Notification.....	10
6.5	Internal Serious Incident Notification	10
6.6	Internal (Non-Serious) Incident Notifications	12
6.7	Internal Incident Notifications to HSRs	12
6.8	Record Incident.....	12
7	INJURY AND ILLNESS CLASSIFICATION	13
7.1	Main Roads Direct Employee Injuries	13
7.2	Managing Workers Compensation	13
7.3	Managing the Return-to-Work Process	13
7.4	The Managers role in the Return-to-Work Process	13
8	ASSIGN FOR INVESTIGATION	14
8.1	Planning Investigations	14
8.2	Conducting Investigation.....	14
9	COMMUNICATE AND REPORT INCIDENTS	15
9.1	Management Reporting	15
9.2	Serious Incident Banner Alerts.....	15
10	CLOSE INCIDENT RECORDS	17
11	RELATED DOCUMENTS	17
12	REFERENCES	18
13	APPENDICES	18
	Appendix 1: Qualitative Measure of Consequence.....	19
	Appendix 2: Injury or Illness Classification Table	20

Document Control

Owner	Executive Director Human Resources
Custodian	Safety, Health and Wellbeing Manager
Document Number	D15#497684 Incident Management Procedure
Issue Date	21/03/2019
Review Frequency	Annually

Amendments

Revision Number	Revision Date	Description of Key Changes	Section / Page No.
0		Initial Issue	All
1	11/05/2018	Review of formatting and style	Various
2	21/03/2019	Minor updates (inclusion of roles and responsibilities, updated flowchart, visual clarification of incident risk ranking, formalisation of incident levels, formatting updates)	Various

1 PURPOSE

This procedure outlines the requirements of the Main Roads Management System [Element 6: Incident Reporting and Investigation](#) and provides guidance to support the implementation of the standard to ensure there is a common process for the management of SHW incidents to proactively improve Main Roads performance and the performance of all contract organisations contracting to Main Roads.

2 SCOPE

The scope of this procedure is to support work related injuries and illnesses management, with the process also applied to the management of non-work related injuries/illnesses and the reporting and investigation of all incidents that occurs across Safety, Health and Wellbeing. In addition to this procedure, all processes must align to the local legislative and jurisdictional requirements.

3 ROLES & RESPONSIBILITIES

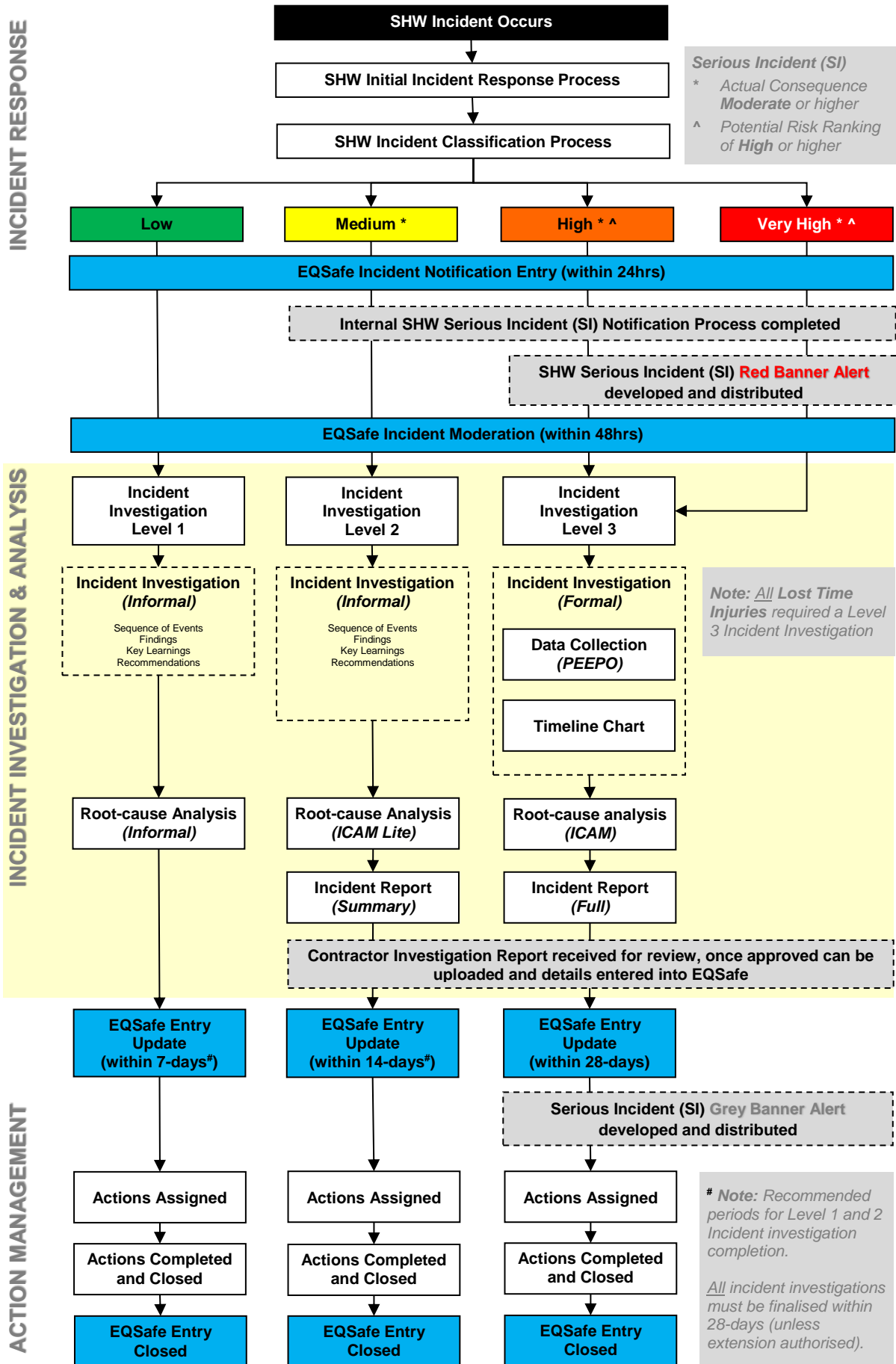
Role	Responsibility
Managing Directors, Executive Directors and Directors	Ensure that incidents are managed as per this procedure for activities within their area of accountability. Review all serious (and potentially serious) incident investigation findings, recommendations, corrective actions and key learnings.
Branch Managers	Ensure that incidents are managed as per this procedure for activities within their area of their responsibility and that the level of incident investigation is in line with the identified potential risk ranking level and this guideline. Ensure compliance with the requirements outlined in this document within their area of responsibility. Review all serious (and potentially serious) incident investigations reports and recommended actions and assign responsibility for implementation of agreed controls.
Supervisors	Ensure that incidents are managed as per this procedure for activities within their area of their responsibility and actively engage and participate in the incident investigation process. Communicate incident investigation findings, corrective actions and key learnings to their team. Implement and monitor the effectiveness of corrective actions and provide feedback.
All workers, contractors and sub-contractors	Actively engage and participate in the incident management process (when required).
All elected Health and Safety Representatives (HSR's)	Actively engage and participate in the incident management process (when possible/required).
Safety, Health and Wellbeing (SHW) Branch	Provide guidance and advice on the incident management process and ensure that the required information is being captured within EQSafe (by the incident owners)

4 DEFINITIONS

Term	Definition
Active Failures	Encompasses the unsafe acts (through individuals or teams actions) that can be directly linked to an accident
Accident	This term means the same as Incident and for Main Roads' purposes we will always use the term "Incident".
Actual Consequence	The actual consequence of an incident on the person(s), plant/equipment, reputation and compliance, process, community, security or the environment
AS 1885	Australian Standard: Workplace Injury and Disease Recording
Causal Factor	Factors which are directly related to the occurrence of an incident
Consequence	A consequence is the outcome of a risk if it occurs
Contractor	A contractor is a person undertaking duties on site, but who is not a direct employee of Main Roads'. Responsible for completing the work, reporting on status and performance, and for adhering to the agreed systems, plans, policies and standards. Examples of contractors include: electrical and maintenance contractors and also labour hire workers.
Controls	An existing process, policy, device, practice or other action that acts to minimise negative risk or enhance positive opportunities
Corrective Actions	A specific action designed to correct or counteract something harmful or undesirable
Employee	All persons employed directly by the Commissioner of Main Roads.
Event Report	The term used for entries into EQSafe. All lead and lag indicators are assigned an event report number and as such are titled an event report when entered into EQSafe.
EQSafe	Main Roads Environment, Quality and Safety Incident Reporting System
First Aid Treatment Injury (FATI)	Work related injury or illness that requires or managed by first aid treatment.
FSC	Federal Safety Commission
Hazard	Something in the workplace that has the 'potential to cause' an injury to a person (or people), damage to property/equipment or harm the environment.
Incident	An unplanned event / occurrence that results in or could have resulted in, one or more of the following impacts; a near miss, injury or illness, damage to physical assets, exposure to legal liability and/or reputation or a security threat.
Investigation	The process of gathering the facts surrounding an incident in an unbiased, systematic and comprehensive manner in order to identify root causes and all contributing factors.
ICAM Investigation	ICAM Investigation – Incident Cause Analysis Method. An investigation method used to identify the root cause(s) of serious incidents.
Injury Management	The process involving the injured employees, treating medical practitioner, case manager and employer (supervisor) working together to assist the injured employee to return to work.
Latent Conditions	Contributory factors that may lie dormant for days, weeks, or months until they contribute to the accident

Term	Definition
Likelihood	Used as a general description of probability or frequency
Lost Time Injury (LTI)	Work related injury or illness resulting in a person being totally unfit for all work, for at least one entire shift as determined by a medical practitioner.
Maximum Reasonable Outcome (MRO)	The largest <u>realistic</u> or <u>credible consequence</u> from an event, <u>considering the credible failure of controls</u> (<i>it is generally a higher consequence than the 'most likely' consequence and less severe than the 'worst case' consequence, which considers the failure of all controls</i>)
Medically Treatment Injury (MTI)	Work related injury or illness that requires treatment by a qualified medical practitioner and less than one full shift of work is lost.
Non-work Related Injury or Health Case	An injury or medical condition that does not relate to the business/work that is being undertaken for the company and does not occur in the work environment or where the work undertaken was not identified as a causal or contributing factor during the investigation.
Practicable	Means "reasonably practicable having regard to the severity and potential risk of harm, also considering the suitability, availability and cost of control measures
Recommendations	A suggestion or proposal as to the best course of action that is evidence based
Risk	An identified event or situation that creates or suggests an outcome that will impact on Main Roads' business at any level
Risk Ranking	Determination a level of risk (or potential level of risk) based upon set criteria through a combination of the consequence and the likelihood of that consequence.
Restricted Work Case (RWC) Injury	An injury that has medical restrictions preventing a person working their full/normal work hours and/or unable to complete a high percentage of their normal role. The consequence classification level is the same as an MTI (Moderate).
Serious Incident	An incident with the actual consequence (injury only) of Moderate and actual/potential risk ranking of High or Very High
Serious Injury	An injury or disease which must be reported to WorkSafe WA – as prescribed in the Western Australian Occupational Safety and Health Regulations 1996, Part 2, Division 1, Regulation 2.4(1) and 2.5 (1)(a),
SHW	Safety, Health and Wellbeing
Subject Matter Expert	A subject-matter expert is a person who is an authority in a particular area, field or topic.
Work Related Injuries	An injury that relates to the business/work that is being undertaken for the company or occurring in the work environment.
WHS	Workplace Health and Safety
Workers Compensation	Benefits paid to an employee to compensate for the losses caused by a work related injury or illness as defined in the Workers Compensation and Injury Management Act (1981).

5 INCIDENT MANAGEMENT FLOWCHART



6 INCIDENT MANAGEMENT PROCESS

When an incident occurs immediate action must be taken to control or minimise the impact and manage the situation. This must include rendering care to injured/ill persons.

Any immediate actions undertaken must ensure there is no further harm to any person (including employees, contractors or members of the public).

The initial response will depend on the nature of the incident, such as; the provision of first aid treatment, the safety of others by ensuring any immediate hazards are adequately controlled, notifying emergency services where required, stopping all work activity where required and consider the requirements for drug and alcohol testing of applicable personnel.

6.1 Initial Response

Immediately following an incident in the workplace and depending on the nature of the event, the site/project specific emergency response plan may need to be activated.

In all instances, the site/project emergency response plan should be initiated to care for anyone injured and to make the scene safe. This can include:

- Evacuating workers as required
- Provision of first aid and medical care
- Accounting for all personnel
- Implementation of immediate corrective actions to prevent further incidents from occurring

6.2 Scene Preservation

The preservation of people's safety, health and wellbeing is the initial priority of any response to any incident along with making the area safe to prevent any escalation of the incident and to then preserve the scene so as a thorough investigation can take place as soon as possible

Regulator Notifiable Incidents

The State Regulators require employers to notify them when an incident meets certain criteria under the states relevant Acts and Regulations; please refer to '6.4 External Incident Notification' for further details.

If the incident meets the requirements for a formal notification, you must ensure that the scene is not disturbed until a WorkSafe Inspector from the WA Department of Mines, Industry, Regulation and Safety (DMIRS) attends the site.

If a fatality occurs in the workplace, the WA Police will also attend site to investigate and prepare a report for the coroner.

The only time the scene can be disturbed is when:

- A regulator gives you permission to
- To protect the health and safety of a person
- Aiding an injured person involved in the incident
- Taking essential action to make the site safe or to prevent a further occurrence of an incident.

Incident Scene Handover

Once a handover from the emergency response team and/or state regulatory personnel (*if applicable*) has occurred, investigators should begin the process of securing physical evidence such as damaged equipment, video footage, data logs, reports and other items key to a successful investigation.

6.3 Incident Classification

An initial evaluation of the incident impacts must be undertaken so to determine the (i) notification requirements and (ii) assignment of the appropriate level of incident investigation process.

Level 1 Incident		CONSEQUENCE				
RISK MATRIX	LIKELIHOOD	Insignificant	Minor	Moderate	Major	Catastrophic
	Almost certain	Low 5	High 10	High 15	Very High 20	Very High 25
	Likely	Low 4	Medium 8	High 12	Very High 16	Very High 20
	Possible	Low 3	Low 6	Medium 9	High 12	High 15
	Unlikely	Low 2	Low 4	Low 6	Medium 8	High 10
	Rare	Low 1	Low 2	Low 3	Low 4	Medium 7

The incident classification (Potential Consequence x Likelihood) results in a **Low** risk rating

- Minimum level of investigation for first aid injuries (*work related injury or illness that requires or managed by first aid treatment*). Refer to **Appendix 2** for details.
- Incident investigation direct entry into EQSafe is permitted

Level 2 Incident		CONSEQUENCE				
RISK MATRIX	LIKELIHOOD	Insignificant	Minor	Moderate	Major	Catastrophic
	Almost certain	Low 5	High 10	High 15	Very High 20	Very High 25
	Likely	Low 4	Medium 8	High 12	Very High 16	Very High 20
	Possible	Low 3	Low 6	Medium 9	High 12	High 15
	Unlikely	Low 2	Low 4	Low 6	Medium 8	High 10
	Rare	Low 1	Low 2	Low 3	Low 4	Medium 7

The incident classification (*Potential Consequence x Likelihood*) results in a **Medium** risk rating

- Minimum level of investigation for medical treatment injuries (*work related injury or illness that requires treatment by a qualified medical practitioner and less than one full shift of work is lost*). Refer to **Appendix 2** for details.
- Incident investigation summary report to be submitted and approved (*by Main Roads Representative*) prior to entering details into EQSafe

Level 3 Incident		CONSEQUENCE				
RISK MATRIX	LIKELIHOOD	Insignificant	Minor	Moderate	Major	Catastrophic
	Almost certain	Low 5	High 10	High 15	Very High 20	Very High 25
	Likely	Low 4	Medium 8	High 12	Very High 16	Very High 20
	Possible	Low 3	Low 6	Medium 9	High 12	High 15
	Unlikely	Low 2	Low 4	Low 6	Medium 8	High 10
	Rare	Low 1	Low 2	Low 3	Low 4	Medium 7

The incident classification (Potential Consequence x Likelihood) results in a **High** or **Very High** risk rating

- Minimum level of investigation for lost-time injuries (*work related injury or illness resulting in a person being totally unfit for all work, for at least one entire shift, as determined by a qualified medical practitioner*). Refer to **Appendix 2** for details.
- Incident investigation full report to be submitted and approved (*by Main Roads Representative*) prior to entering details into EQSafe

Please note that Main Roads Directorate Senior Management Representative can request that a higher level of investigation be completed if they believe it to be necessary. Refer to [Main Roads Incident Investigation Process Guideline](#) for details on the incident investigation framework and associated processes.

6.4 External Incident Notification

Work related fatalities and certain types of injuries and disease must be reported to WorkSafe WA as per section 23I of the Occupational Health and Safety Act 1984.

Reporting must be done by the relevant employer (include labour hire agents, self-employed person(s), sub-contractors, principal contractors and the principal organisation) whenever these occur in connections with operational activities. WorkSafe WA require notification of the same reportable death, injury or disease by all the different relevant employers.

The following injury/illness related incidents may require external notification to external agencies:

- A **fracture of the skull, spine or pelvis**
- A **fracture of any bone in the arm** (other than in the wrists or hand) **or in the leg** (other than a bone in the ankle or foot)
- An **amputation of an arm, a hand, finger, finger joint, leg, foot, toe or toe joint**
- The **loss of sight of an eye**
- Any injury other than the above which, in the opinion of a medical practitioner, is likely to **prevent the employee from being able to work within 10-days** of the day on which the injury occurred
- Hygiene monitoring results that exceed the occupational exposure limit
- Electrical incidents (whereby a person receives an electrical shock)
- Any breakage of a rope, cable, chain or other gear by which persons are raised or lowered
- Incidents involving classified plant
- Radiation incidents
- Any explosion or bursting of compressed air receivers or pressure vessels
- Any loss of control of heavy earth moving equipment, including failure of braking or steering
- Any incidence of a person being affected by poisoning or exposure to toxic gas or fume

The types of disease that must be reported are;

- **Infectious diseases;** tuberculosis, viral hepatitis, legionnaires disease and HIV where these disease are contracted during work involving exposure to human body products, excretions, body secretions or other material which may be a source of infection;
- **Occupational zoonosis;** Q fever, anthrax, leptospirosis and brucellosis, where the diseases are contracted during work involving the handling of, or contact with, animals, animal hides, skins, carcasses or animal waste products.

All external SHW reporting requirements are to be completed by the SHW Manager (which may require consultation with the Legal and Commercial Services Team and relevant Executive Director). For external incident reporting requirements related to WorkSafe WA or projects under the Federal Safety Commission (FSC), please refer to **Appendix 2**.

6.5 Internal Serious Incident Notification

Incidents with an **Actual Major** (*a single fatalities or significant injury that would lead to permanent disablement*) or **Actual Catastrophic** (*multiple fatalities*) **Consequence Classification** carry severe outcomes, and as such demand urgent attention from Main Roads senior leadership.

Main Roads senior leadership is to be notified of any incident having an actual consequence of major or catastrophic, or for any incident that meet the following criteria:

- An incident that results in a single or multiple fatalities;
- An incident that results in an actual life-threatening injury or illness;
- An incident that results in the loss of a major body part or limb (e.g. hand, arm, leg, foot);
- A criminal act or malicious intent involving actual threats to life causing injury, harm or death;
- Relevant parties external to Main Roads such as statutory authorities, must be notified of the incident if required by legal and other requirements applicable to operational activities.

The following roles need to be notified as soon as practicable (*within 2-hours of the occurrence*) by the site/project Main Road Representative (*manager of the work area*) if an Actual Consequence of Major or Catastrophic occurs includes:

- **Executive Director** (*immediate telephone call*)
Note: if no direct contact with ED, immediate notification to their business manager or personal assistant
- **Branch Manager**
- **SHW Manager**

The information to be provided to senior leadership must include,

- The circumstances of the incident
- The person(s) affected
- The nature of the injury/illness or other occurrence
- Immediate actions taken
- Any other information applicable to the incident

The [Email Notification of a Serious Incident](#) (D15#497677) template must be utilised when the notification of a serious incident, including the following incidents

- **Actual Risk Ranking Classification of High or Very High** (*within 2-hours*)
- **Potential Risk Ranking Classification of High or Very High** (*within 24-hours*)
- **Actual Injury with a Consequence of Moderate** (*including medical treatment injuries or lost time injuries*) (*within 24-hours*)

The email template is also available from the Main Roads external website (for contractors to access), under the [Contractor Reporting Forms](#) page (click on the image below for the email template link from the external Main Roads website).

Send	To... DL SHW Branch
	CC...
	Subject Notification of a serious incident - Insert Directorate (Insert Region/Branch/Project Site Name) - Insert Main Roads/Head Contractor (Insert ISP if applicable) employee

INSTRUCTIONS: - (please delete before sending email)
 1. PLEASE FORWARD THIS EMAIL ONTO DL SHW BRANCH
 2. Guidance has been included in ITALIC BLUE FONT – Please change font and colour before sending

The following are details of a Serious Incident that occurred during the performance of Main Roads activities.

Actual Consequence of Incident					
Lost Time Injury	<input type="checkbox"/>	Medical Treatment Injury	<input type="checkbox"/>	First Aid Injury	<input type="checkbox"/>
	<input type="checkbox"/>		<input type="checkbox"/>	Near Miss / Hit	<input type="checkbox"/>
	<input type="checkbox"/>		<input type="checkbox"/>	Damage	<input type="checkbox"/>

Risk Rating	Very High <input type="checkbox"/>	High <input type="checkbox"/>	Moderate <input type="checkbox"/>	Low <input type="checkbox"/>
-------------	---	--------------------------------------	--	-------------------------------------

Affected Parties *Record name of work group involved. If the incident involved contractor personnel, record contracting company details (and sub-contractor if applicable). Record details of any external parties involved*
Do not use people's names, only role titles

Directorate: *<Insert Directorate / Region / Branch / Project Details>*

Date and time: *<Insert Day, Date/Month/Year>* at approximately *<Insert Time of Incident XX:XX am/pm>*

Location: *<Insert specific location or Street name, suburb/town or SLK>*

Incident Details:
Describe:
 - the task being performed
 - the unexpected event that occurred
 - the outcome of the event (injury, damage etc)
 - how and why it happened (if this is known at this stage)
Do not use people's names, only role titles

Immediate Action Taken: *Describe the actions immediately after the incident to control the situation and any temporary or permanent controls to prevent a similar incident from occurring*

Contact: *<Insert Project Director / Regional Manager / Branch Manager Name>* is the contact for this incident and can be contacted on *<insert office or mobile phone number>*.

If you require additional information please don't hesitate to contact me and I can follow up with management for updated information.
 Kind regards,

The Main Roads Email Notification

This email template is the priority and entries directly into EQSafe are not considered as a serious incident notification. The SHW Manager will on-forwarded these notifications to the Main Roads Corporate Executive Team (CorpEx) as required.

The Directorate/Regional SHW Business Partner sends all email notifications to the relevant Executive Director, Branch Manager, Project Director (if applicable), Project Manager (if applicable) and via the DL SHW Branch group email address (DLOSHBranch@mainroads.wa.gov.au).

6.6 Internal (Non-Serious) Incident Notifications

The notification of non-serious incidents including low and moderate (non-injury) incidents will be completed automatically through the EQSafe email notification process (as per the Directorate/Regional workflow).

6.7 Internal Incident Notifications to HSRs

All Main Roads elected Health and Safety Representatives (HSRs) need to be notified of any SHW incidents within their own work group, this can be configured to occur automatically via EQSafe.

All hazards, near misses and incidents involving Main Roads people need to be discussed at the Directorate/Regional SHW Committee Meeting. Further information relating to the HSRs and SHW Committee Meeting process can be sourced from [Safety and Health Reps Committee Procedure](#).

6.8 Record Incident

All incidents regardless of whether employees, contractors or visitors, need to be formally reported and recorded through the Main Roads electronic reporting system EQSafe.

Incidents should be recorded in EQSafe within 24-hours of the incident occurring. Preliminary incident details must be recorded as soon as practicable after an incident is first identified. Preliminary details must include when and where the incident occurred, who was involved, a brief description of what took place and an initial evaluation of the impacts. Preliminary information can be recorded using the [Main Roads Incident Investigation Data Collection Checklist](#).

The manager responsible for the physical location (area) where the incident occurred and the line manager or equivalent, of any injured/ill persons are accountable for the incident classification in consultation with SHW Professionals.

Professional judgement for the classification of the incident will be determined by the moderator assigned to the work group of which the incident occurred.

- If the classification of the incident has been moderated by a contracting organisation, Main Roads Managers in consultation with their Main Roads SHW Business Partners, reserve the right to re-classify the incident. The determination of the re-classification will be communicated to the contracting organisation.
- Unless prohibited by legal requirements or there is a risk to the safety or human rights of the affected or involved persons, the names of all involved persons associated with the incident must be recorded. This includes, but is not limited to:
 - incident reporter
 - uninjured involved person
 - lead investigator
 - complainant
 - eye witness
 - injured / ill person
 - first aider
 - external agency implicated person
- If the incident is externally reportable or has potential to result in a fine/prosecution from an external authority the communication and fine/prosecution details must be recorded after confirming legal advice.
- Other costs associated with significant incidents should also be recorded, including purchases, lost production, maintenance, labour, (including investigation team and injured / ill person(s) time and treatment costs.

For further information in relation to the input, management and close out of incidents in EQSafe is detailed in the [Main Roads EQSafe User Manual for Safety, Health and Wellbeing](#)

7 INJURY AND ILLNESS CLASSIFICATION

The Main Roads Health and Wellbeing Coordinator (this role is also the Mains Roads Injury Management Coordinator) shall be notified of any injury/illness as soon as reasonably practicable.

The Directorate/Regional SHW Business Partner shall be consulted regarding the final classification of any injury/illness as per the Transport Portfolio Risk Reference Table (Main Roads Risk Matrix) in accordance with **Appendix 1: Qualitative Measure of Consequence** at the end of this procedure. Please note that for any Main Roads direct employees injury/illness cases that require confidential case management, the Health and Wellbeing Coordinator will provide the final determination of the classification.

The injury and illness classification shall be classified in accordance with **Appendix 2: Injury/Illness Classification Table** at the end of this procedure. This table provides guidance so to align the level of injury/illness to the consequence descriptors including:

- Fatality
- Lost Time Injury
- Medical Treatment Injury (including Restricted Work Injury)
- First Aid Treatment Injury
- No Treatment Injury (Report Only)

7.1 Main Roads Direct Employee Injuries

All Main Roads direct employees work-related injuries must have a suitable incident investigation report completed by a Main Roads SHW Resource.

7.2 Managing Workers Compensation

An injured worker must be made aware of their right to lodge a Workers' compensation claim, as applicable. Workers' compensation claim forms must be submitted to the appropriate authority for processing and determination of liability and the claims acceptability in line with local regulation.

7.3 Managing the Return-to-Work Process

A return-to-work plan must be developed when it is determined a person needs to be rehabilitated to support the recovery to their pre-injury/illness condition. An individual must be assigned responsibility for development, implementation and management of the rehabilitation plan.

- For all **Main Roads direct employees**, this will be the Health and Wellbeing Coordinator.
- For all **labour hire contractors** this will be through the contractor's agency in consultation with the Directorate/Regional SHW Resource.
- For all **other contractors** this will be done directly through the contracting companies own injury management processes

7.4 The Managers role in the Return-to-Work Process

In addition to preventing harm from happening in the workplace, managers also need to intervene early and make reasonable adjustments to support people to stay at or return-to-work. Providing suitable support and assistance and getting the job fit right can reduce the length of absence due to an injury/illness and improve quality of work for employees.

A collaborative approach is needed to assist ill or injured employee's return-to-work. Managers need to work with the Employee Relations Team and the Health and Wellbeing Coordinator, in collaboration with the injured employee and the treating health professional/doctor.

For information in relation to Workers Compensation, please refer to the [Workers Compensation and Injury Management Procedure](#)

8 ASSIGN FOR INVESTIGATION

8.1 Planning Investigations

All SHW incidents must be investigated using the approved methodology which is dependent on the classification of the incidents. The investigation methodologies based on actual or potential consequence are as follows:

Investigation Level	Actual or Potential Consequence of Incident	Root-Cause Analysis
Level 3	Incident Classification of High or Critical <i>(Potential Consequence x Likelihood)</i>	ICAM investigation or equivalent ^
	Actual consequence Major ^ or Catastrophic ^ <i>(Lost Time Injury or above)</i>	
Level 2	Incident Classification of Medium <i>(Potential Consequence x Likelihood)</i>	ICAM Lite investigation or equivalent
	Actual consequence Moderate <i>(Medical Treatment injury)</i>	
Level 1	Incident Classification of Low <i>(Potential Consequence x Likelihood)</i>	Informal Process <i>Complete investigation tab in EQSafe</i>
	Actual consequence of Minor or Insignificant <i>(First Aid Treatment or Injury No Treatment)</i>	

^ For actual consequence of major or catastrophic requires an external facilitator

The incident investigation processes are detailed in the [Main Roads Incident Investigation Process Guideline](#). Personnel who have been deemed competent and authorised in the appropriate investigation methodology must facilitate the investigation.

An investigation facilitator/team must be nominated. The investigation facilitator/team must include involved persons, area owner and technical specialists, and have the appropriate knowledge, skills and experience for the scope of the incident.

8.2 Conducting Investigation

Relevant evidence and information must be gathered and recorded from the scene of the incident area and witness statements obtained as soon as practicable to support the incident investigation.

The investigation must establish:

- Basic events of the incident
- Actual consequence and potential consequence
- Controls that could have prevented the incident from occurring
- Critical controls that were absent or failed
- Relevant factors and root cause of the incident using the applicable methodology
- Corrective and preventive actions to avoid recurrence of the incident

Incident investigations are to be completed in accordance with the [Main Roads Incident Investigation Process Guideline](#).

- Any **Level 1 Incident Investigation** report and details can be directly entered into EQSafe within 7-days[#]
- Any **Level 2 Incident Investigation** report should utilise the [Main Roads ICAM Lite Incident Investigation Summary Report Template](#), be submitted for approval within 14-days[#] and once approved, the details entered into EQSafe
- Any **Level 3 Incident Investigation** report should be completed using the [Main Roads ICAM Incident Investigation Report Template](#), be submitted for approval within 28-days and once approved, the details entered into EQSafe

9 COMMUNICATE AND REPORT INCIDENTS

Significant incident details and investigation outcomes from incidents that occur, as well as other applicable incidents that occur within Main Roads must be communicated to relevant personnel.

9.1 Management Reporting

The Directorate/Regional SHW Business Partner will prepare report for management monthly that includes the details and a key summary of relevant incidents.


Incident data must also be analysed for trends over time, to identify means in which to reduce the potential for future incidents, and to track progress against incident related objectives and targets.

9.2 Serious Incident Banner Alerts

All serious incidents (with an Actual or Potential Risk Ranking of **High** or **Very High**) need to be communicated across Main Roads and its contracting partners.

SHW Business Partners must review, de-identify and authorise the publication and communication of incident notification and reports to ensure completeness, accuracy and relevance. This is of particular importance if the incident is to be communicated externally to contracting organisations.

The information required for the initial notification of serious incident via a [Red Banner - SHW Serious Incident \(Preliminary\)](#) must be sent to the SHW Business Partner within Two (2) days of the incident occurring, in which the SHW Business Partner will finalise and distribute to applicable Main Roads personnel and contractors.

Red Banner Alert 			
SHW Serious Incident (SI) – Preliminary Notice			
Date of Incident:	<input type="text"/>	Time of Incident:	<input type="text"/>
Region / Directorate:	<input type="text"/>	MRWA or Contractor:	<input type="text"/>
EQSafe Event Type:	<input type="text"/>	EQSafe Incident Number:	<input type="text"/>
Actual Consequence:	<input type="text"/>	Potential Consequence:	<input type="text"/>
Incident Short Description: <input type="text"/>			
What Happened: <div style="border: 1px solid black; height: 150px; width: 100%;"></div>			
Distribution of Notice:		Main Roads Personnel and Contracting Organisations	
<small>D17#652671 – 11/09/2018</small>		<small>Page 1 of 1</small>	



The Main Roads SHW Serious Incident (Red) Preliminary Notice

The preference is to have visual support (photo of graphic of incident) to allow for a clear understanding of what has occurred.

The summary information required for the final [Grey Banner - SHW Serious Incident \(Final Notice\)](#) must be sent to the SHW Business Partner within two (2) business days of the ICAM investigation being submitted and approved.

The Directorate/Regional SHW Business Partner will finalise and distribute to applicable Main Roads personnel and contractors. The required information includes:

- Executive summary
- Suitable photos/images/graphics
- Contributing factors
- Corrective actions
- Additional issues/learnings

Grey Banner Alert  									
SHW Serious Incident (SI) – Final Notice									
Date of Incident:	<input type="text"/>	Time of Incident:	<input type="text"/>						
Region / Directorate:	<input type="text"/>	MRWA or Contractor:	<input type="text"/>						
EQSafe Event Type:	<input type="text"/>	EQSafe Incident Number:	<input type="text"/>						
Actual Consequence:	<input type="text"/>	Potential Consequence:	<input type="text"/>						
Incident Short Description: <input type="text"/>									
Executive Summary: <input type="text"/>									
Incident Photos: <table border="1" style="width:100%; height:100%;"> <tr> <td style="width:33%; height:100px;"></td> <td style="width:33%; height:100px;"></td> <td style="width:33%; height:100px;"></td> </tr> <tr> <td style="width:33%; height:100px;"></td> <td style="width:33%; height:100px;"></td> <td style="width:33%; height:100px;"></td> </tr> </table>									
Contributing Factors: <input type="text"/>									
Corrective Actions: <input type="text"/>									
Additional Issues/Learnings: <input type="text"/>									
Distribution of Notice:		Main Roads Personnel and Contracting Organisations							
D17#652662 – 11/09/2018		Page 1 of 2							
D17#652662 – 11/09/2018		Page 2 of 2							

The Main Roads SHW Serious Incident (Grey) Final Notice

For information in relation to the incident banner alerts process, please refer to the [Banner Alert Guideline](#).

10 CLOSE INCIDENT RECORDS

The responsible person (event report manager) for the area where the incident occurred, and /or the line manager of involved persons(s), (or their delegate), must review and check all incidents that are related to their area and employee to ensure all recorded information is up to date and correct and all closure criteria are met.

An incident must only be closed if the following is complete:

- all mandatory tab information is recorded and complete;
- all injured / ill persons information has been recorded;
- the investigation is complete and all the details are documented and recorded; and
- all corrective and preventive actions are completed and the action records are updated.

The Event Report Approver will provide final approval of the event by ensuring all the required information is complete and accurate.

Please refer [Main Roads EQSafe User Manual for Safety, Health and Wellbeing](#) for further information on the closure of event reports.

11 RELATED DOCUMENTS

Document Number	Description
D15#497691	Incident Investigation Guideline
D15#497677	Email Notification of a Serious Incident (Template)
D15#645371	Workers' Compensation and Injury Management Procedure
D10#117121	Dealing with Regulatory Authorities and Other Organisations
D17#118929	EQSafe User Manual – Safety, Health and Wellbeing
D15#497636	Level 3 Incident Investigation Report (ICAM) (Template)
D18#1080797	Level 2 Incident Investigation Report (ICAM Lite) (Template)
D15#497607	Incident Investigation Data Collection Checklist
D17#697415	Banner Alert Guideline
D11#208987	Main Roads Risk Management Process
D15#497624	Witness Statement Form

12 REFERENCES

Document Number	Description
DMIRS	Department of Mines, Industry Regulation and Safety
Notification	WorkSafe WA – How to report an injury or disease
OSH Act	Occupational Safety and Health Act (WA) 1984
OSH Reg	Occupational Safety and Health Regulations (WA) 1996
FSC	Federal Safety Commission (FSC)
Guide	FSC Online WHS Report Guide

13 APPENDICES

Appendices	Title
Appendix 1	Qualitative Measure of Consequence
Appendix 2	<p>Injury/Illness Classification Table</p> <ul style="list-style-type: none"> • Non-work Related Injury or Illness • Work Related Injury or Illness • First Aid Treatment Injury (FATI) • Medical Treatment Injury (MTI) • Lost-Time Treatment Injury (LTI) • Fatalities • External Reportable Injury/Illness Notification (WorkSafe WA) • External Reportable Injury/Illness Notification (Federal Safety Commission)

Appendix 1: Qualitative Measure of Consequence

The following link provides the most recent update of the portfolio reference table for Main Roads.

Qualitative Measure of Consequence – [Transport Portfolio Risk Reference Table](#)

Appendix 2: Injury or Illness Classification Table

Non-work Related Injury or Illness	
An injury or medical condition that does not relate to the business/work that is being undertaken for the company and does not occur in the work environment or where the work undertaken was not identified as a causal or contributing factor during the investigation.	
Inclusions	<ul style="list-style-type: none"> • May include injuries/medical conditions sustained during voluntarily participation in wellness, fitness or recreational activities, sanctioned events such as fun runs, Corporate Challenge sports, etc. • This may also include injuries/medical conditions sustained whilst residing in accommodation provided by the company or contractor
Exclusions/Notes:	<ul style="list-style-type: none"> • Not an admission of fault or liability • Serious and Wilful misconduct including being affected by drugs and/or alcohol may result in claims being declined by the insurer
Work Related Injuries or Illness	
An injury or illness that relates to the business/work that is being undertaken for the company or occurring in the work environment.	
Inclusions	<ul style="list-style-type: none"> • May include aggravation of pre-existing injuries or illness. Mental health and physical health (asthma, heart attack, etc...) may be work related or non-work related health cases depending on contributing and causal factors • Ergonomic related injuries are considered work related health cases if there is not a specific point in time when an injury occurred
Exclusions/Notes:	<ul style="list-style-type: none"> • Not an admission of fault or liability. • Injuries or illness arising from voluntarily participating in wellness, fitness or recreational activities • Where pre-existing conditions are not disclosed at time of employment but have direct correlation and/or impact with work, aggravation of that condition may be excluded • Serious and Wilful misconduct including being affected by drugs and/or alcohol may result in claims being declined by the insurer.

First Aid Treatment Injury (FATI)	
Work related injury or illness that requires or managed by first aid treatment	
Inclusions	This may include minor scratches, cuts, abrasions, strains, sprains or bruising (which do not require the provision of medical care)
Exclusions/Notes:	Self-administration of first aid is also classifiable as an FATI

Medically Treated Injury (MTI)	
<p>A work-related occurrence that results in treatment by, or under the order of, a qualified medical practitioner (see below), or any injury that could be considered as being one that would normally be treated by a medical practitioner but does not result in the loss of a full day/shift. Do not report first aid treated injuries in this category.</p> <p>An injury includes physical injuries as well as instances such as where a worker experiences psychological stress due to witnessing a traumatic event or being a victim of bullying, or if they required medical attention due to migraines caused by exposure to chemicals or gas. A qualified medical practitioner is defined as a person with a medical degree.</p>	
Inclusions:	<p>The following would normally be considered medical treatment:</p> <ul style="list-style-type: none"> • Treatment of partial or full thickness burns • Insertion of sutures • Removal of foreign bodies embedded in eye • Removal of foreign bodies from a wound if the procedure is complicated by the depth of embedment, size or location • Surgical debridement • Admission to a hospital or equivalent for treatment or observation • Application of antiseptics during second or subsequent visits to medical personnel • Any work injury that results in a loss of consciousness • Treatment of infection • Use of prescription medications (except a single dose administered on the first visit for minor injury or discomfort) • Treatment (diagnosis and evaluation) by a Psychiatrist for mental illness or stress as a result of a workplace occurrence
Exclusions/Notes:	<p>The following on their own would not normally be considered medical treatment:</p> <ul style="list-style-type: none"> • Administration of tetanus shots or boosters • Diagnostic procedures such as X-rays or laboratory analysis, unless they lead to further treatment • Referral to/treatment by a Psychiatrist where the diagnosis is not a result of a workplace occurrence <p><i>Note: Under Federal Safety Commission (FSC) requirements <u>only</u>, physiotherapy is not considered as medical treatment</i></p>

Lost Time Injury (LTI)

An LTI is a work-related occurrence that results in a permanent disability or injury resulting in time lost from work of one day/shift or more. Permanent disability is as defined in the legislation of the jurisdiction in which the project is being undertaken.

Inclusions:	An injury includes physical injuries (i.e. cuts, burns, fractures etc.) as well as instances such as where a worker experiences psychological stress due to witnessing a traumatic event or being a victim of bullying (and may require time off work as a result), or if they required medical attention due to migraines caused by exposure to chemicals or gas.
--------------------	--

Exclusions/Notes:	Injuries or medical/health conditions arising from voluntarily participating in wellness, fitness or recreational activities
--------------------------	--

Fatalities

A fatality is a work-related occurrence that results directly or indirectly in the death of a person (including deaths due to natural causes which occur on the project site).

External Reportable Injury/Illness Notification (WorkSafe WA)

An injury or disease which must be reported to WorkSafe WA - as prescribed in the Occupational Safety and Health Regulations (WA) 1996, Part 2, Division 1, Reg 2.4(1) and 2.5 (1)(a),

Further details: <https://www.commerce.wa.gov.au/worksafe/how-report-injury-or-disease-0>

<p>Reportable Injuries</p>	<p>The types of injuries that must be reported are:</p> <ul style="list-style-type: none"> • a fracture of the skull, spine or pelvis • a fracture of any bone in the arm (other than in the wrists or hand) or in the leg (other than a bone in the ankle or foot); • an amputation of an arm, a hand, finger, finger joint, leg, foot, toe or toe joint • the loss of sight of an eye • any injury other than the above which, in the opinion of a medical practitioner, is likely to prevent the employee from being able to work within 10 days of the day on which the injury occurred
<p>Reportable Diseases (Illness)</p>	<p>Types of diseases that must be reported are:</p> <ul style="list-style-type: none"> • infectious diseases: tuberculosis, viral hepatitis, Legionnaires' disease and HIV, where these diseases are contracted during work involving exposure to human blood products, body secretions, excretions or other material which may be a source of infection and • occupational zoonoses: Q fever, anthrax, leptospiroses and brucellosis, where these diseases are contracted during work involving the handling of, or contact with, animals, animal hides, skins, wool, hair, carcasses or animal waste products

External Reportable Injury/Illness Notification (Federal Safety Commission)

The SHW Manager completes all FSC reporting.

Biannual Activity Reports must be submitted via FSC Online every six months with the following conditions:

- Reports are due on 15 February for the previous July to December six-month period, and 15 July for the previous January to June six-month period;
- All accredited contractors must submit a report, even if no Scheme Projects have been undertaken in the reporting period.

Further details: <http://www.fsc.gov.au/sites/fsc/resources/az/pages/fsc-online-whs-report-guide>

Fatality	All fatalities on any projects where the accredited contractor is the head contractor, regardless of value or type, must be reported to the OFSC on 1800 652 500 immediately, and an Incident Report must be submitted through FSC Online within 48 hours.
Lost Time Injury (LTI)	All work-related incidents on a Scheme or Non-Scheme Project where the accredited contractor is the head contractor resulting in a LTI where the project value is \$4 million or more must be submitted through FSC Online: <ul style="list-style-type: none"> • Notifiable* LTI reports must be submitted within 48 hours; • Non-Notifiable LTI reports must be submitted within three weeks.
Medically Treated Injury (MTI)	All work-related incidents on Scheme Projects where the accredited contractor is the head contractor resulting in a MTI must be submitted through FSC Online: <ul style="list-style-type: none"> • Notifiable* MTI reports must be submitted within 48 hours; • Non-Notifiable MTI reports must be submitted within three weeks.
Dangerous Occurrence	All work-related incidents on Scheme Projects where the accredited contractor is the head contractor resulting in a Dangerous Occurrence must be submitted through FSC Online: <ul style="list-style-type: none"> • Notifiable* Dangerous Occurrence reports must be submitted within 48 hours. Only notifiable Dangerous Occurrences must be submitted to the OFSC <p><i>*Within Western Australia the only notifiable incidents are injuries or illnesses that is required to be notified under the Occupational Safety and Health Regulations (WA) 1996, Part 2, Division 1, Reg 2.4(1) and 2.5 (1)(a).</i></p>