



Auckland Transport

HS13-01 Incident Management

(Procedure uncontrolled when printing)

Relating to Standard: HS13 Incident Management

December 2106



Contents

1	Background and Purpose	3
2	Scope	3
3	Procedure	3
	3.1 Immediate Actions & Notification	4
	3.1.1 Requirement to Notify H&S Team	5
	3.2 Incident Reporting	5
	3.2.1 Incident Reporting and Investigation Table	6
	3.2.2 External Reporting.....	7
	3.2.3 Supplier Reporting.....	7
	3.3 Investigation	8
	3.3.1 Recommendations, Corrective and Preventive Action	8
	3.4 Review and Sign-off Investigation	8
	3.5 Monitoring and Close Out of Actions	8
	3.6 Process Overview	9
4	Responsibilities	10
	Chief Executive	10
	ELT Managers	10
	Group Manager – Health and Safety	10
	Managers and Team Leaders	10
	Workers.....	11
5	Other information	11
6	Document Control	11



1 Background and Purpose

This Procedure sets out the Auckland Transport (AT) process for the management of incidents and delivers the performance requirements of the AT Standard HS13 Incident Management.

Broadly AT requirements are to:

- Report, record, and investigate incidents and near misses within AT and its operations in a timely manner.
- Provide a source of data that can be used to identify trends and underlying causes to prevent future incidents.
- Ensure all statutory and regulatory reporting requirements are met in a timely manner.
- Communicate any lessons learned to the appropriate audience.

Through the above, we will contribute to AT's goal of a business-wide zero harm culture.

2 Scope

This Procedure applies to all AT divisions, and suppliers who have an effect on AT's activities or who undertake activities on behalf of AT.

This Procedure does not cover the reporting of sickness or disease (for management of sickness, absence, or for statutory reporting purposes).

This Procedure is to be read in conjunction with the relevant AT H&S Incident Management Standard and any associated guidance and training material.

3 Procedure

AT sees incident management as a five step process as shown below. Each step is covered within this procedure.

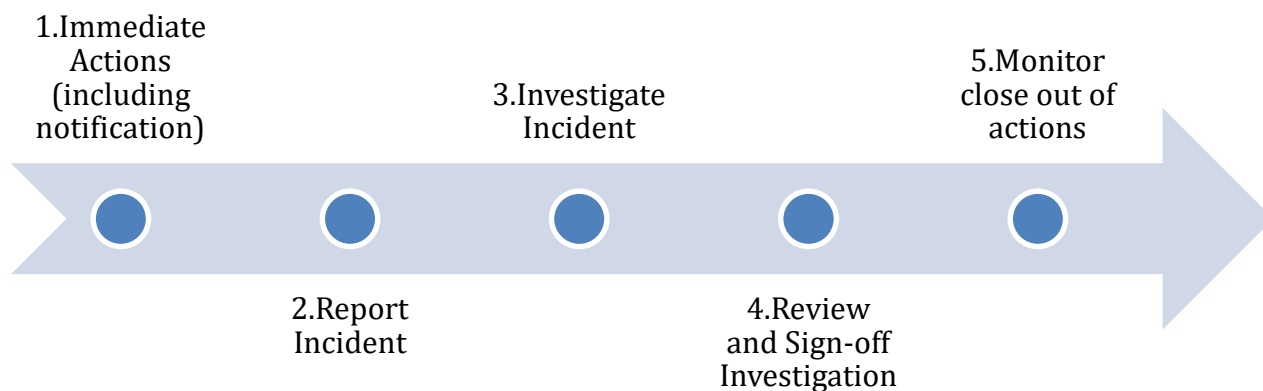


Figure 1. Incident Management Procedure



3.1 Immediate Actions & Notification

The first action when presented with an event is to assess the surroundings to ensure it is safe and then determine the immediate actions to occur. This may include the following depending on the severity of the event:

- Evaluate the scene and remove personnel from immediate danger.
- Provide First Aid or obtain medical assistance to the injured person/s.
- Make the area safe i.e. isolate equipment, barricade hazards, evacuate the building.
- Do not disturb the location unless for safety - cordon off the area if possible.
- Secure the location and any equipment involved in the incident (as per legislative requirements if required).
- Where possible, obtain names and contact details of any witnesses within the area.
- Notify AT Management relevant to the operation and the relevant H&S Team member.
- Should an AT employee be involved in an incident whilst carrying out work on/in a third party's premises, they must notify the person in control of the premises in addition to following AT's reporting procedure.
- Depending on the circumstances, notify the relevant regulatory authorities, police and ambulance.

The obligation to report an incident applies to every worker.

Any fatality, major injury, reportable event, serious near miss or incident with the potential to cause significant adverse public relations is to be reported immediately to:

- the Group Manager –H&S
- the Executive Leadership Team Member responsible for the operation where the incident occurred;
- Chief Executive (CE) and the Executive Leadership Team (ELT) (responsibility for this sits with the ELT member responsible for the operation where the incident occurred); and
- the Chairman of the Board (responsibility for this sits with the CE or his designate)

It is important to advise the Group Manager –Health and Safety so they can advise AT Legal Advisors.



3.1.1 Requirement to Notify H&S Team

Severity Level	Incident Classification	Notification Requirement to H&S Team
Class 1	Fatality/Death	In the event of a fatal event or other event requiring statutory investigation, or where there is the high potential for prosecution immediately notify the Group Manager – H&S.
	Notifiable Event	
	Serious Near Miss and/or Unsafe Event	
Class 2	Lost Time Injury	As soon as practicable but within 24 hours, notification to the H&S Manager
	Medical Treatment/Assessment	As soon as practicable and prior to attendance at medical practitioner, where practicable (within 24 hours), notification to the H&S Manager.
Class 3	First Aid Injury	As soon as practicable to the appropriate Line Manager, team leader or Supplier Manager.
	Pain and Discomfort	
	Near Miss or Unsafe Event	

Table 1 Requirement to Notify

3.2 Incident Reporting

AT's reporting tool for incidents is Synergi Life (Synergi) and this tool is the repository for all incident reporting as covered by the scope of this Procedure.

The following incident types must be reported to the Line Manager, Team Leader or Supplier Manager responsible for the activity and the pertinent information entered into Synergi:

- Notifiable events reportable under the Health and Safety at Work Act 2015 (HSWA);
- All incidents resulting in injury; and
- Near miss, and incidents within the business including:
 - All work-related road traffic incidents, these incidents will also need to be reported to the Procurement Team for insurance purposes;
 - Security breaches; and
 - Damage to property or equipment.

Information gathered for the purposes of investigation shall be stored and managed to meet all legal and AT policy requirements. Synergi ensures this is met and is a key reason it is used for incident reporting.

The following table sets out the minimum reporting timeframe requirements:



3.2.1 Incident Reporting and Investigation Table

Severity Level	Incident Classification	Incident Logged in Synergi	Investigation Team	Investigation Report completed
Class 1	Fatality/Death	As soon as practicable, to be complete by the Group Manager - H&S (train based suicide incidents can be entered by the appropriate Contract Manager)	Investigation to be completed under legal professional privilege, investigation lead to be appointed by the Group Manager – H&S and Chief People Officer.	Report to be held under privilege until legal advice is completed
	Notifiable Event	As soon as practicable, to be complete by the Group Manager - H&S or can be delegated to the Divisional H&S Manager	Department Manager – Lead Investigator H&S Manager Technical Specialist (case specific, i.e. engineer, occ health advisor). Report may need to be completed under legal professional privilege this decision is made by the Group Manager – H&S	15 Working days or if legal advice being sought the Report to be held under privilege until legal advice is completed
	Serious Near Miss and/or Unsafe Event	As soon as practicable	Department Manager – Lead Investigator. H&S Manager. Technical Specialist (case specific, i.e. engineer, occ health advisor). Report may need to be completed under legal professional privilege this decision is made by the Group Manager – H&S.	15 Working days or if legal advice being sought the Report to be held under privilege until legal advice is completed
Class 2	Lost Time Injury	Within 24 hours	Department Manager - Lead Investigator	10 Working days
	Medical Treatment/ Assessment	Within 24 hours	Department Manager - Lead Investigator	10 Working days
Class 3	1st Aid Injury, Pain & Discomfort, Near Hit	Within 48 Hours	Department Manager – Lead Investigator	10 Working days

Table 2. Incident Reporting and Investigation



In the event of a Class 1 incident, work will be suspended and shall not resume until an appropriate assessment of risk is undertaken and authorisation is given by the appropriate Executive, General Counsel, or Department Manager (outside the project/activity) in consultation with the Group Manager –Health and Safety.

Where possible the involvement of H&S representatives in investigations is advised, however, Class 1 and 2 events that are under legal review and investigation may preclude this to ensure legal professional privilege is maintained.

All incidents, including those involving visitors and suppliers, must also be recorded in Synergi when they occur on an AT operated site.

Events that occur within operations directly managed or operated by suppliers will be captured in their own reporting system. These events will be reported to AT monthly. See "Supplier Reporting" below and read in conjunction with Procedure HS16-01 Measuring and Monitoring H&S Performance which both call out the requirement of suppliers to provide a monthly report to AT on incidents that have occurred within the operations they undertake for AT.

AT's Drug and Alcohol Procedure specifies that testing for the presence of drugs and/or alcohol may be conducted following an incident where there was actual or potential for serious harm, loss, or property damage. For more details, please see AT's Drugs & Alcohol Standard and procedure.

3.2.2 External Reporting

Notifiable events as defined in HSWA must be notified to Worksafe1 NZ as soon as possible after an incident has occurred with the notification form submitted within 7 days. This notification should only be completed with approval from the Group Manager –H&S or their delegate, information within the documented report should be checked for facts and not include any unsubstantiated information.

Notification will be by Group H&S and they will also notify AT's Legal Representative prior to reporting the event to Worksafe. Following the notification, Worksafe may require a written investigation report to be submitted.

Worksafe and other parties may wish to undertake an investigation themselves and require the site to be left untouched until this process is complete. At will provide all necessary assistance to Worksafe in its investigations.

3.2.3 Supplier Reporting

Suppliers carrying out work for or on behalf of AT must report all Class 1 & 2 incidents to their nominated supplier contact, for example the Department Manager, who must notify the H&S team and complete the Synergi incident report. If the incident occurs on a non-AT site, then the representative for that site must also be notified.

Each month key suppliers who directly operate on behalf of AT will be required to provide incident information to AT for the purposes of it understanding its H&S performance (refer to Procedure HS13-01 Measuring and Monitoring H&S Performance.)

For all Class 1 and 2 events the supplier will be required to complete an investigation, as per the requirements of this Procedure, and submit an investigation report, to AT's Group Manager –H&S AT may choose to work with the supplier to ensure the investigation has been undertaken competently.

Exemptions or variations to the reporting requirements under this Procedure can only be approved by both the appropriate Department Manager and the Group Manager – Health and Safety.

¹ Worksafe (Ministry of Business, Innovation and Employment) 0800 030040 or SeriousHarm.Notification@worksafe.govt.nz



3.3 Investigation

All Class 1 and 2 incidents shall be investigated using an appropriate incident causation model approved by the H&S Team. The model shall include a process for identifying all the essential factors, root causes, or risk control failures that contributed to the incident.

However, there will be, on occasion, incidents and events that occur where the prescribed level of investigation and reporting will provide little value to the organisation, or where the resource and effort required is not commensurate with the potential benefits. In such circumstances, an 'exemption' may be authorised by the Group Manager –H&S after a review of relevant facts, circumstances, and outcomes. This exemption shall take the form of a formal notification via email confirming the exemption.

The investigations shall be carried out by competent persons with involvement of relevant personnel.

- The Incident Severity Class will determine the level of investigations and the composition of the investigation team.
- AT reserves the right to carry out their own investigation for any incident anywhere within their supply chain.

For Class 1 & 2 events, a full written investigation report using AT's H&S Incident Investigation Report template shall be submitted to the Divisional Manager for review and sign-off. An extension to this timeframe may be authorised by the Group Manager –H&S. This extension must be given in writing.

3.3.1 Recommendations, Corrective and Preventive Action

All incident investigations shall have corrective and preventative actions developed, implemented, and reviewed to address the findings from the investigation. Through the investigation process risks associated with the incident should have their controls reviewed. Controls that have failed should be reviewed and adjusted within the risk register control plan and each should be captured as a corrective action.

The results of any investigation, including recommendations and corrective actions, shall be communicated to all appropriate persons for action, included in the appropriate management review, and considered for continual improvement activities.

Class 1 incidents will have Lessons Learnt communicated across AT. These will be drafted as part of the investigation, and approved by the Chief People Officer in conjunction with AT Legal Representatives.

3.4 Review and Sign-off Investigation

Once the investigation for the event has been completed the event will be circulated to the appropriate parties to review and sign off the event.

- Class 1 incident investigations should be signed off by the Group Manager –H&S and the ELT member responsible for the operations where the event occurred. If the event is under privilege this review will be led by AT's Legal Advisors.
- Class 2 events must be reviewed by the Group Manager –H&S and the Department Manager where the incident occurred. If the event is under privilege this review will be led by AT's Legal Advisors.
- Class 3 events must be reviewed by the Department Manager where the incident occurred.

Worksafe, other Regulatory Bodies and third parties may be sent an Investigation Report but only with written approval from the Group Manager – H&S in consultation with the AT Legal Advisor.

3.5 Monitoring and Close Out of Actions

All corrective actions from incidents are recorded in Synergi, along with an expected close out date, and the corrective actions will be monitored until closed.



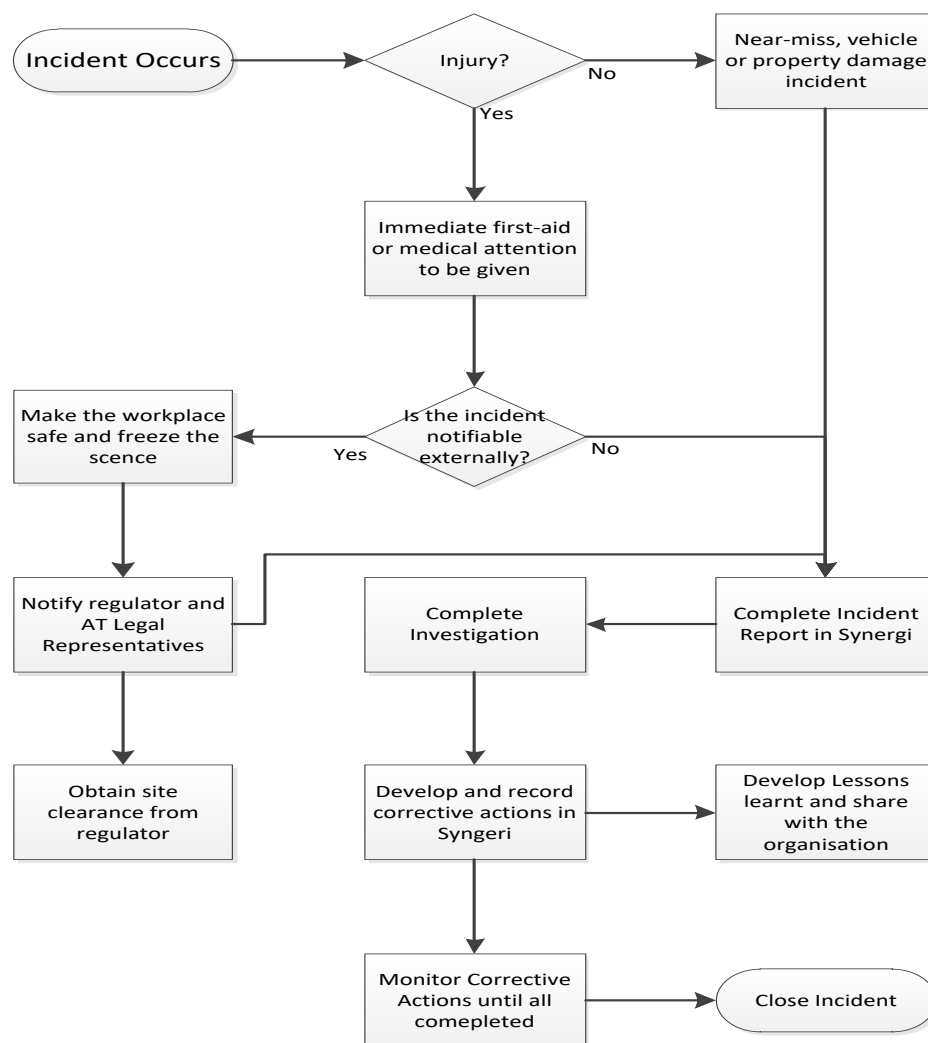
Each month the H&S team will monitor the overdue corrective actions through reporting from Synergi and this will be provided to the Divisional Leaders for their actions.

Outstanding actions associated with investigations will be measured monthly as described in Procedure HS16-01 Measuring and Monitoring H&S Performance, and will be part of the monthly management and board report.

In line with this procedure incident data will be analysed for trends by the H&S Team. Trend data will be reported to the ELT regularly. Where trends are identified, investigation into causative factors will be undertaken to identify risk reduction measures and eliminate trends.

The H&S Team will retain all documents that are written, submitted and received in relation to statutory requirements along with any supporting information.

3.6 Process Overview





4 Responsibilities

Chief Executive

- Is accountable for the organisation's compliance with AT's H&S policies and standards including allocation of resources and accountabilities across the organisation to meet this Procedure.
- Review the findings and trends from all incidents and investigations into Class 1 and significant Class 2 incidents.
- Ensure there are processes in place to prevent and manage incidents.
- Ensure there are competent persons within the organisation to undertake incident investigations to the levels relative to Incident Classes.
- Ensure incidents are reported, investigated and managed in accordance with legislative and AT H&S Standard guidelines.

ELT Managers

- Are accountable for ensuring that appropriately documented processes specified in this Procedure are in place across their area of responsibility.
- All incidents are reported and investigated in line with the requirements set out in this Procedure and the relevant AT standard.
- Will undertake monthly reviews of incident trends and, in consultation with the H&S Manager, put plans in place to prevent reoccurrences for their area of responsibility.
- Ensure there are competent persons within their Division to undertake incident investigations.
- Ensure all corrective actions are closed out in a timely manner.
- Communicate Lessons Learnt and Safety Alerts relevant to all incident investigations.

Group Manager – Health and Safety

- Ensure that AT's H&S Management System documentation includes minimum requirements and tools to support management in meeting their responsibilities.
- Report all notifiable events to AT's Legal Counsel and WorkSafe within the specification timeframes.
- Ensure that all information gathered from incident investigations across AT is analysed, including risk controls failures, and reported to determine organisational and project effectiveness.
- Develop strategies to improve performance standards, the H&S Management System, and day-to-day practices.
- Review investigation outcomes to share Safety Alerts and Lessons Learnt across AT and with other stakeholders as appropriate.
- Conduct governance programs to assess compliance with legislative, external and organisational requirements.

Managers and Team Leaders

- Report and investigate incidents, prioritising corrective or preventative action aimed at preventing recurrence of similar events.
- Ensure safe systems of work are implemented and that all persons are trained, competent, and fit for the tasks they will undertake.
- Ensure that, in the event of a Class 1 incident, work only recommences once all necessary approvals have been obtained.
- Ensure that the effectiveness of the implemented control measures are reviewed post implementation.
- Ensure self-assessments and declarations of compliance are undertaken annually.



Workers

- Comply with the risk management controls for all work activities undertaken.
- Only undertake tasks for which they have been trained and are authorised to undertake.
- Report all incidents involving themselves or others that they are aware of in accordance with this procedure.

5 Other Information

- Incident Management Standard (HS13)
- Performance Management, Measuring and Review Procedure (HS16-01)
- H&S Definitions (HS01-01-01)
- Full table of Procedures (HS01-01-02)
- Synergi User Guideline

6 Document Control

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