

# ACCIDENT AND INCIDENT REPORTING AND INVESTIGATION

Policies and Procedures



The Kind  
Foundation™

Mō tātou katoa. For all of us.

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# 1 POLICY STATEMENT

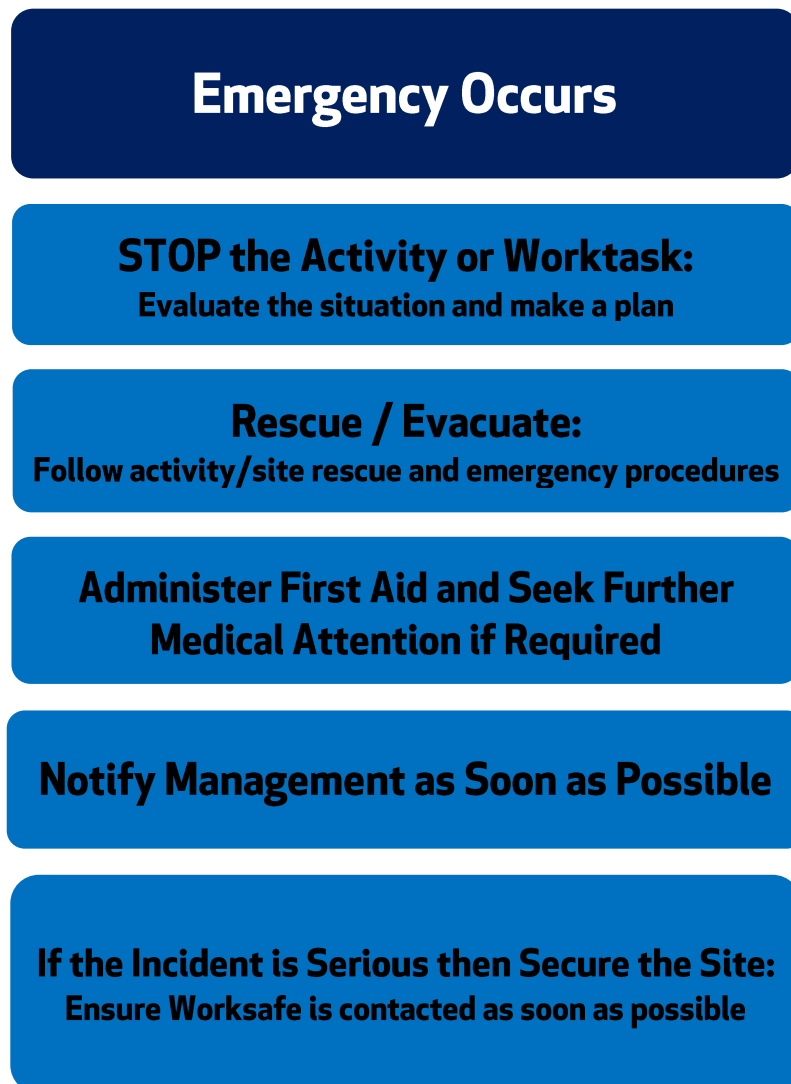
The Kind Foundation will take all reasonably practicable steps to ensure that all incidents, injuries, illnesses and near miss events are accurately reported, recorded and learnt from.

# 2 SCOPE

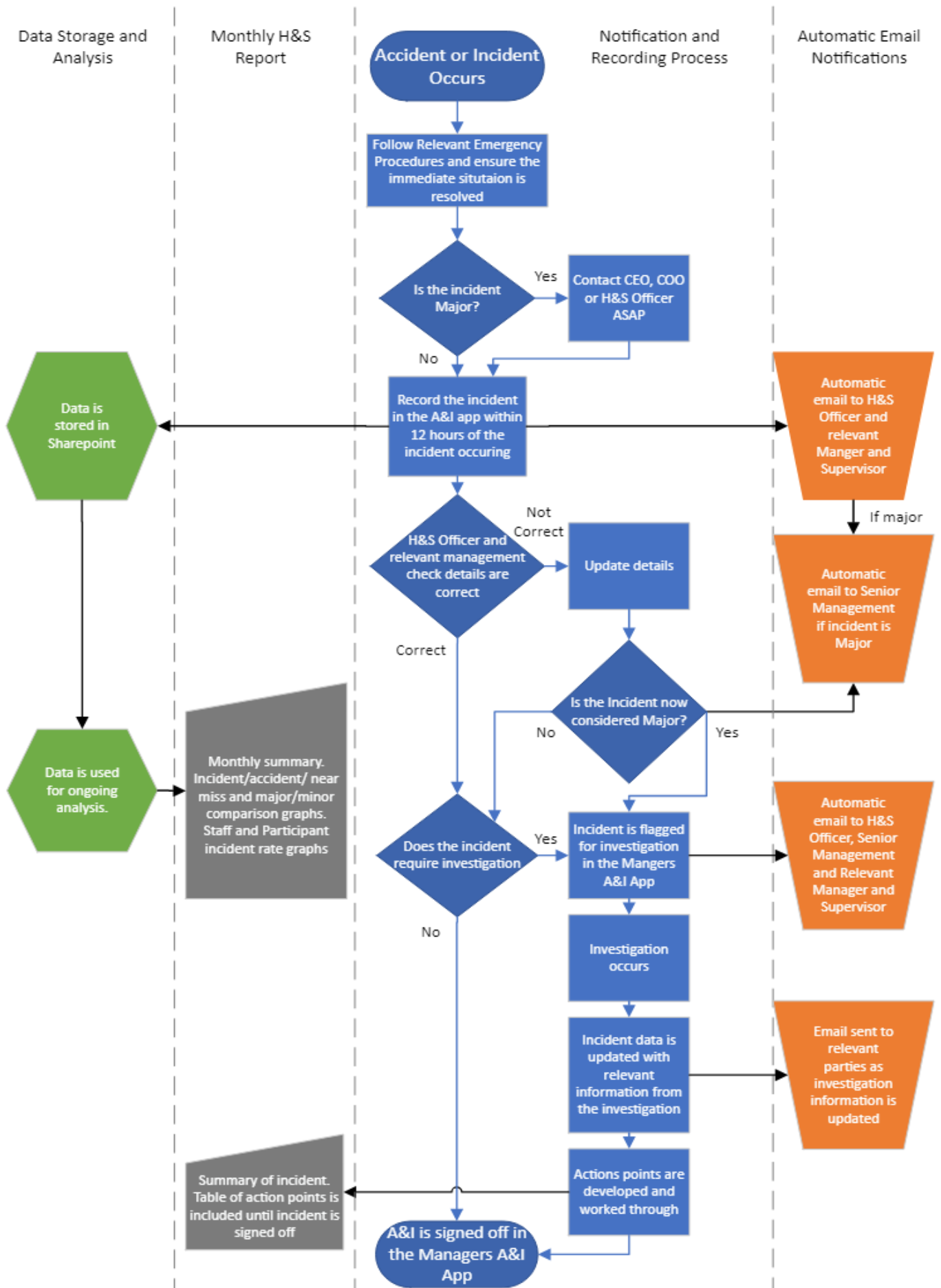
This policy applies to all The Kind Foundation staff, volunteers including Board Directors, student placements, and any consultants or contractors engaged by The Kind Foundation.

# 3 POLICY CONTENT

## 3.1 Flowchart of Emergency Response



### 3.2 Flowchart of Reporting and Investigation Process



### 3.3 Definitions

All events that cause harm or could have caused harm are reported as incidents, accidents, or near misses.

**Incident** - An undesired event not considered to be accidental that either caused harm or could have caused harm (such as a deliberately not following safety instructions).

**Accident** - Unplanned event that causes harm to a person, damage to property, damage to the environment, financial loss, or some other adverse result.

**Near miss** - An unplanned event that may have caused harm or loss.

Some examples:

- A theft is an incident as it involves a deliberate act that resulted in a loss.
- A person breaking an ankle after a fall off a bouldering wall is an accident as it was an unplanned event that resulted in harm.
- A broken window that resulted from a mistake made in a game been played by children is an accident because it was unplanned and resulted in a loss.
- A person slipping on stairs just after it had been mopped, but managing to stop themselves from falling is a near miss because the slip was unplanned and it could have resulted in harm if they had not caught themselves.

### 3.4 Notification of Incidents

All incidents, accidents and near misses must be notified to The Kind Foundation management. Who is notified and urgency of that notification will depend on the severity of the incident. The severity is given by the Estimate of Consequence table (Appendix 1). If the incident was a near miss then staff must consider what the harm or loss could have been.

**Level 1&2** – Must be reported to the appropriate departmental management as soon as possible and no later than within 12 hours of the incident occurring.

**Level 3** – Must be reported immediately to the appropriate departmental management. Also, these events must be reported to the Health and Safety Officer as soon as possible and no later than within 12 hours of the incident occurring.

**Level 4&5**: The CEO and Health and Safety Officer must be advised immediately of events of this level.

#### 3.4.1 Notification to Outside Agencies

##### 3.4.1.1 Worksafe

All accidents that fall within level 4&5 must be reported to Worksafe as soon as possible. Any incident that falls within level 4 & 5 should be reported to the Police. Also, all reasonable steps must be made to ensure that the site where the incident occurred is not disturbed until authorised by inspector/the police. Please see the definitions of *Notifiable Injury or Illness* and *Notifiable Incident* for a detailed list of what requires notification (*Section 4*). The Health and Safety Officer or COO and CEO is responsible for this notification.

##### 3.4.1.2 Adventure Activities

All incidents or accidents involving adventure activities that fall within level 4&5 must be reported to the external organisation that is responsible for auditing The Kind Foundation to the Adventure Activities Standard as soon as possible. The Health and Safety Officer is responsible for this notification.

### 3.5 Recording of Incidents

All incidents, accidents or near misses that occur must be recorded through the A&I App:

- 1) Events that fall within level 1&2 on the *Estimate of Consequence table* will be recorded through The Kind Foundation A&I Reporting App (New Minor Incident)
- 2) All events that fall within levels 3-5 on the Estimate of Consequence table will be recorded through The Kind Foundation A&I Reporting App (New Major Incident)

Note: All incidents, accidents or near misses from the preceding month must be reported to the Health and Safety Officer by the end of the first week of each calendar month regardless of level.

#### 3.5.1 Recording Complaints that relate to Safety

Any complaint that is made to The Kind Foundation that addresses issues of safety will be considered as an incident, and as such will be recorded, reported and investigated as set out within this document.

### 3.6 Investigation of Incidents, Accidents and Near Misses

#### 3.6.1 Introduction

The investigation of incidents, accidents and near misses is an important part of safety management. Quality investigations rely on having the correct information and the input of a number of people.

#### 3.6.2 Level of Investigation

There are four levels to the investigation process. The level of investigation is based on the severity of the consequence relating to the incident, and also on the likely consequence(s) of the incident. For example, a near miss with no actual consequence, that could have easily caused a serious harm accident, requires investigation. The H&S Officer will ascertain which accidents, incidents and near misses need to be investigated, based on the information provided as well as feedback from staff involved in overseeing that aspect of the H&S system.

- 1) Investigation is not required for minor incidents i.e. those that have a low severity and with low likelihood of re-occurrence. The relevant departmental management will sign off the incident report in the Managers A&I App. However, if the same sort of minor accidents occurs frequently, there may be an investigation into the risks or hazards that they have in common. It is therefore very important that they are ALL reported.
- 2) Low level investigation: This will usually involve incidents at level 1 and 2 from the Estimate of Consequence Table. This level will involve a short investigation by the relevant departmental management into the circumstances and immediate, underlying and root causes of the adverse event, to try to prevent a recurrence and to learn any general lessons. Any follow up or actions from the investigation will be added to the initial incident report. The relevant departmental management will be responsible for signing off the investigation.
- 3) Medium level investigation: This will usually involve incidents at level 3 from the Estimate of Consequence Table. This will involve a more detailed investigation by the H&S Officer, with consultation from Senior Management and employee representatives, and will look for the immediate, underlying and root causes. It will be flagged for investigation within the A&I Managers App. Any follow up or actions from the investigation will be added to the initial incident report. Senior Management will be responsible for signing off the investigation.
- 4) High level investigation: This will usually involve incidents at level 4 and 5 from the Estimate of Consequence Table. This level will involve a team-based investigation, involving all levels of the organisation. It will be carried out by the Health and Safety Officer

and will look for the immediate, underlying, and root causes. It will be flagged for investigation within the A&I Mangers App. Any follow up or actions from the investigation will be added to the initial incident report and a full investigation report will be completed as part of the investigation process. The Health and Safety Officer will be responsible for completing the investigation with sign off by the CEO and/or The Board of Trustees. Note: Assistance from an external expert maybe also be called for by the CEO or Board, and any assistance required by external investigators (i.e. Worksafe) will be freely given.

### **3.6.3 Investigation Procedure**

#### **3.6.3.1 Leading the Investigation**

The staff member leading the investigation should have sufficient authority to implement immediate preventive actions and where necessary to form a team having the required expertise to carry out the investigation. The expertise of the staff member leading the investigation will depend on the level of the investigation (Section 3.6.2) with higher level investigations generally requiring greater expertise.

Senior and Departmental Management will be trained to a sufficient level to run low level investigations. The Health and Safety Officer will have training in Incident Cause Analysis Method (ICAM) or similar.

#### **3.6.3.2 No-Fault Accident Investigation**

The staff member undertaking an incident investigation will not set out to place blame as this can cause an adversarial response from staff and result in an inadequate investigation.

#### **3.6.3.3 The Process**

The following is an overview of the investigation process:

Step 1: Collect facts about what happened – This includes videos/photos/diagrams/drawing of the incident and the incident scene, examination of buildings, plant and equipment related to the incident, examination of documentation such as maintenance records and staff training/competency records, and interviews with the relevant staff and others.

Step 2: Develop the sequence of events – This step uses the information from Step 1 to determine the events prior to, during and after the incident.

Step 3: Determine the causes, both immediate and root causes – Each step or sequence from Step 2 is examined for hazardous conditions and/or unsafe behaviours, which will give a number of contributing factors, causes and subcases. Root cause analysis (or similar) should be used to determine the full range of causes of the incident.

Step 4: Recommend improvements – These improvements should eliminate or reduce the causes determined in Step 3. Each recommendation will state the specific action to be undertaken, who is responsible for ensuring the action occurs and the timeframe in which the action must be completed.

Step 5: Record the above process – For low level investigations this process is recorded through the Mangers A&I app and is linked to the initial incident report. For higher level investigations a separate report will be completed.

Step 6: Facilitate shared learnings across The Kind Foundation – This may include: training, discussions at staff meetings, or organisational wide communication (see Section 3.6.4).

### **3.6.4 Reporting and Communicating Actions from Investigations**

All incidents requiring a medium or high-level investigation will be summarised in the monthly Board H&S report. All actions from an investigation will be included along with the summary and will state: what the specific action is, who is responsible for ensuring the action occurs, and the timeframe in which the action must occur. These actions will be added to the Board H&S report until such time as all actions are completed. This report is made available to the Board, Executive Leadership and Senior Management.

## **3.7 Analysis of Incidents, Accidents and Near Misses**

### **3.7.1 Departmental Level Analysis**

The H&S Officer, with input from Departmental managers, will carry out an analysis of incidents, accidents and near misses that have occurred in their departments every calendar month. This analysis will include understanding underlying causes, identifying improvements to the safety management system and analysing trends. The results of this analysis will be recorded and then reported to the Board. Note: Departments that have a low level of incidents reported over a monthly period may instead have analysis carried out over longer periods of time. This timeframe will be set by the Health and Safety Officer.

### **3.7.2 Organisational Level Analysis**

Analysis of incidents, accidents and near misses across the whole of The Kind Foundation will be carried out by the Health and Safety Officer and will occur every calendar month, or as the result of a particular incident occurring. This analysis will include understanding underlying causes, identifying improvements to the safety management system and analysing trends. The results of this analysis will be recorded within the monthly Health and Safety Report. An annual analysis report will also be produced by Health and Safety Officer every March (to reflect the financial year – Feb to Feb).



## 4 DEFINITIONS

Notifiable Injury or Illness:

(Note: from Health and Safety at Work Act 2015)

Notifiable injury or illness, in relation to a person, means –

- (a) any of the following injuries or illnesses that require the person to have immediate treatment (other than first aid):
  - (i) the amputation of any part of his or her body;
  - (ii) a serious head injury;
  - (iii) a serious eye injury;
  - (iv) a serious burn;
  - (v) the separation of his or her skin from an underlying tissue (such as degloving or scalping);
  - (vi) a spinal injury;
  - (vii) the loss of a bodily function;
  - (viii) serious lacerations;
- (b) an injury or illness that requires, or would usually require, the person to be admitted to a hospital for immediate treatment;
- (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;
- (d) any serious infection (including occupational zoonoses) to which the carrying out of work is a significant contributing factor, including any infection that is attributable to carrying out work—
  - (i) with micro-organisms; or
  - (ii) that involves providing treatment or care to a person; or
  - (iii) that involves contact with human blood or bodily substances; or
  - (iv) that involves handling or contact with animals, animal hides, animal skins, animal wool or hair, animal carcasses, or animal waste products; or
  - (v) that involves handling or contact with fish or marine mammals;
- (e) any other injury or illness declared by regulations to be a notifiable injury or illness for the purposes of this section.

Notifiable Incident:

(Note: from Health and Safety at Work Act 2015)

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—

- (a) an escape, a spillage, or a leakage of a substance; or
- (b) an implosion, explosion, or fire; or
- (c) an escape of gas or steam; or
- (d) an escape of a pressurised substance; or
- (e) an electric shock; or
- (f) the fall or release from a height of any plant, substance, or thing; or
- (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
- (h) the collapse or partial collapse of a structure; or
- (i) the collapse or failure of an excavation or any shoring supporting an excavation; or
- (j) the inrush of water, mud, or gas in workings in an underground excavation or tunnel; or
- (k) the interruption of the main system of ventilation in an underground excavation or tunnel; or
- (l) a collision between 2 vessels, a vessel capsizes, or the inrush of water into a vessel; or
- (m) any other incident declared by regulations to be a notifiable incident for the purposes of this section.

**Executive Leadership:**

Refers to CEO and COO positions.

**Senior Management:**

Refers to Managers that oversee a number of departmental areas or sites – Early Learning Centre Manager, Outdoors Manager, Hotel & Hospitality Manager, Recreation and Wellbeing Manager – and any other senior personnel who report to either the CEO or the COO.

**Departmental Management:**

Refers to staff that have operational responsibility for an individual department – Fitness Supervisor, Recreation Supervisor, Adventure Centre Supervisor, Wainui Park Manager, 4C Curator, Raise Up Youth worker, and any other personnel who report to a Senior Manager

**A&I Reporting App:**

Refers to the reporting tool that is used to record all A&I's (and also hazards). It can be accessed through the main The Kind Foundation SharePoint page, through the Power Apps app or the Power Apps section of Microsoft 365.

**Managers A&I App:**

Refers to the tool that allows The Kind Foundation management to browse, investigate and sign off A&I's reports. This is available through the Power Apps app or the Power Apps section of Microsoft 365.

## **5 RELATED DOCUMENTS**

### **5.1 The Kind Foundation Documents**

- Safety Management Plan (SMP)

### **5.2 Legislation**

- Health and Safety at Work Act 2015
- Health and Safety at Work Adventure Activities Regulations 2016

### **5.3 Standards and Codes of Practice**

- Safety Audit Standard for Adventure Activities

### **5.4 Other**

- NA

## 6 DOCUMENT CONTROL

### 6.1 Policy Owner

- Health and Safety Officer

### 6.2 Parent Policy

- Safety Management Plan (SMP)

### 6.3 Date of Implementation

- November 2023

### 6.4 Review Date

- May 2024

### 6.5 Document Control Procedure

This document is considered a 'living document' and as such, regardless of the review date, this document remains relevant until such time as a new version is produced or it is retired.

Documents will be identified by a header and footer that states the version number and total number of pages within the document.

Any previous versions or copies will be removed from circulation if obsolete or marked clearly that they are not current. Archived copies and other safety-related records will be kept for seven years and archived accordingly.

Once printed, documents are uncontrolled.

### 6.6 Version Table

Version	Amendments made	Approved by	Date
1.0	<ul style="list-style-type: none"> <li>• Original version developed</li> </ul>	Josie Ogden Schroeder	Apr 2016
2.0	<ul style="list-style-type: none"> <li>• Added Section 3.1 Flowchart</li> <li>• Updated Section 5</li> <li>• Updated Appendix 1</li> </ul>	Josie Ogden Schroeder	Aug 2017
2.1	<ul style="list-style-type: none"> <li>• Added Section 3.2.2</li> <li>• Updated Section 3.2.3.1</li> <li>• Updated Section 3.4</li> </ul>	Josie Ogden Schroeder	Oct 2018
2.2	<ul style="list-style-type: none"> <li>• General edit</li> <li>• Updated 3.2.4 to include electronic means of reporting</li> <li>• Updated 3.3 to change how investigations work for level 1 and 2 incidents</li> <li>• Updated 3.4 to include summary of incident analysis been recorded in the monthly H&amp;S Report</li> <li>• Updated 9.1 updated Estimate of Consequence table</li> </ul>	Josie Ogden Schroeder	Jun 2021

<p>3.0</p>	<ul style="list-style-type: none"> <li>• Updated to new policy template</li> <li>• Changed name to 'Accident and Incident Reporting and Investigation'</li> <li>• General edit</li> <li>• Updated 1 Policy Statement to be in line with the Health and Safety Statement</li> <li>• Updated Section 3 to separate out notification and recording processes</li> <li>• Updated Section 3.1 with Emergency Response flowchart</li> <li>• Added Section 3.2 Flowchart of Reporting and Investigation Process</li> <li>• Update 3.3 Definitions to remove 'incident' been used an overarching term</li> <li>• Updated 3.4.1.2 to a more generic statement about the organisation that audits The Kind Foundation to the Adventure Activities standard</li> <li>• Updated Section 3.5 to decrease the maximum reporting time from 24 hours to 12 hours</li> <li>• Added Section 3.6</li> <li>• Updated Section 3.7 to sperate out analysis at department level vs at organisational level</li> </ul>	<p>Josie Ogden Schroeder</p>	<p>May 2023</p>
<p>3.1</p>	<ul style="list-style-type: none"> <li>• Updated due to change in organisation name and branding</li> </ul>	<p>Crispian Hills</p>	<p>Nov 2023</p>