

Defence Estate & Infrastructure

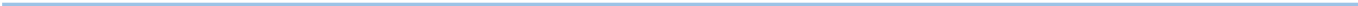
Incident Management System

IMS-A: Contractor Incident Response Procedure

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Author	Brian Matthews
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IMS-A: Contractor Incident Response Procedure

Branch: Defence Estate & Infrastructure



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About This Guide

What this guide is for?

This guide provides descriptions and a step-by-step procedure for reporting and managing safety incidents and near misses that occur on sites on New Zealand Defence Force (NZDF) estate, under the control of DEI engaged contractors.

Who this guide is for?

This guide is for Contractors engaged by DEI, needing to report an incident that has occurred on a work site on New Zealand Defence Force (NZDF) estate. As incidents have the potential to affect other contractor sites and the camp or base itself, strict reporting processes must be followed. The steps in this procedure provide instruction on who to contact, what recording is required, and over what time frame.

What if I find a mistake in the guide or have a suggestion?

If you find a mistake in this guide, please contact the *DEI Health & Safety Coordinator* at DEIH&S@nzdf.mil.nz.

Terms and Abbreviations

Table 1. Abbreviations and Definitions

Abbreviation / Term	Description
ALARP	<u>A</u> s <u>L</u> ow <u>A</u> s <u>R</u> easonably <u>P</u> racticable – the term used to indicate the level of risk is acceptable given cost and difficulty considerations.
CDF	<u>C</u> hief <u>D</u> efence <u>F</u> orce
Control	Controls are designs, systems, methods or procedures used to minimise or eliminate the risk of injury or damage from hazards.
DD	<u>D</u> eputy <u>D</u> irector
DEI	<u>D</u> efence <u>E</u> state & <u>I</u> nfrastructure – NZDF Branch responsible for creating, maintaining and upgrading NZDF properties, bases and infrastructure.
EDM	<u>E</u> state <u>D</u> elivery <u>M</u> anager - DEI staff member in charge of the maintenance or construction performed at one or more Defence estates
GM	<u>G</u> eneral <u>M</u> anager
Hazard	A hazard is anything that is a potential source of harm or damage to people, plant, equipment or environment.
HDEI	<u>H</u> ead <u>D</u> efence <u>E</u> state and <u>I</u> nfrastructure
Incident	In this document, an incident is an event that occurs on the worksite and includes: <ul style="list-style-type: none"> • Workplace injuries and fatalities; • Other health and safety incidents; • Accidental damage or destruction of assets/plant; • Near misses that could have caused any of the above.
JARS	<u>J</u> oint <u>A</u> ssurance and <u>R</u> eporting <u>S</u> ystem. JARS is the primary tool for DEI engaged contractors to record details of incidents, inductions and PTWs for work that occurs on Defence Estate.
NZDF	<u>N</u> ew <u>Z</u> ealand <u>D</u> efence <u>F</u> orce
PCBU	<u>P</u> erson(s) <u>C</u> onducting a <u>B</u> usiness or <u>U</u> ndertaking
PDL	<u>P</u> latform <u>D</u> amage <u>L</u> evel
PHRH	<u>P</u> otential for the <u>H</u> azard to <u>R</u> elease <u>H</u> arm
PIL	<u>P</u> ersonal <u>I</u> njury <u>L</u> evel
PPE	<u>P</u> ersonal <u>P</u> rotective <u>E</u> quipment – Equipment, clothing and protective gear used to protect and shield individuals from hazards.
PTW	<u>P</u> ermit <u>t</u> o <u>W</u> ork
VCDF	<u>V</u> ice <u>C</u> hief <u>D</u> efence <u>F</u> orce
VCDF	<u>V</u> ice <u>C</u> hief of <u>D</u> efence <u>F</u> orce
XO	<u>E</u> xecutive <u>O</u> fficer

DEI Processes and Policies

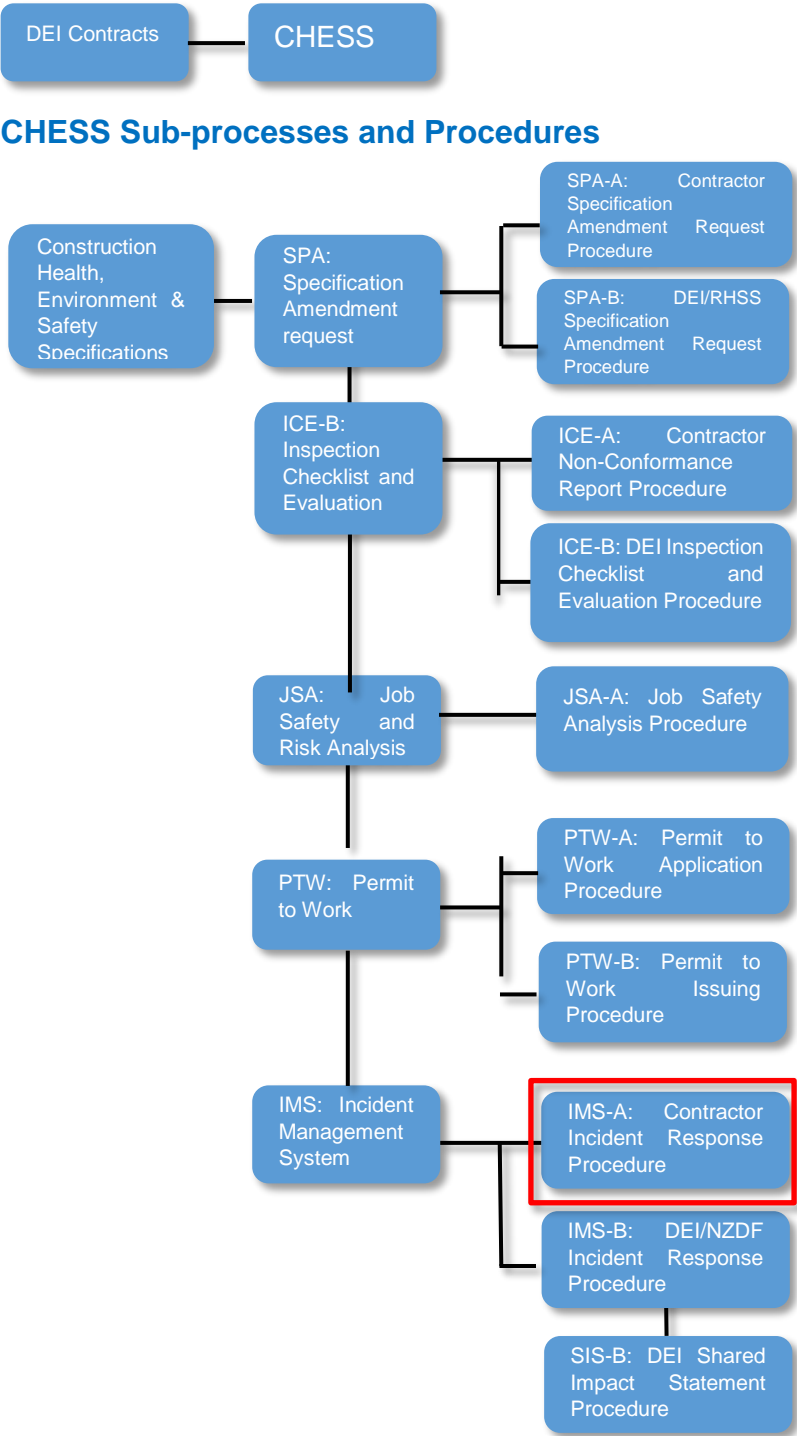


Figure 1. CHESS Procedures and Sub-Procedures

Related Procedures

IMS-B: DEI/NZDF Incident Response Procedure. Defines the steps required by NZDF to report incidents and near misses on Defence Estate work sites under the control of DEI engaged contractors.

General Overview

Under the Health and Safety at Work Act 2015, in general terms, all PCBUs must, so far as is reasonably practicable, consult, cooperate, and coordinate their activities with other businesses, particularly when there are overlapping duties in relation to workplace health and safety. Overlapping duties mean that more than one business has health and safety duties in relation the same matter.

The increased level of construction and upgrades taking place on NZDF Estate has, by necessity, increased the amount of infrastructure required to govern and maintain control over operational camps and bases. Consequently, when incidents or near misses occur, multiple levels of management across multiple areas need to be informed in order to ensure the safe continuation of operations, the proper investigation of causes, and appropriate remediation actions.

While the initial responsibility for an incident lies with the contractor performing the task where the incident occurred, ultimately, accountability lies with NZDF as the primary PCBU. Therefore, Contractors on NZDF Estate must inform NZDF of safety incidents that occur on any work site under their control.

This procedure relates to Contractors engaged by DEI. DEI encourages the reporting of near misses in addition to other incidents, as a learning opportunity to assist both workers and site managers in ensuring sites are as safe as is reasonably practical. While each contractor group will have a documented process for handling incidents and near misses, this procedure describes the notification steps required by NZDF, as the primary PCBU.

The Joint Assurance and Reporting System (JARS) is the primary tool for contractors to record details of an incident that occurs on Defence Estate. JARS provides DEI adequate notification of less severe incidents in its monthly reports. However, contractors must notify DEI regarding higher severity incidents, prior to updating JARS.

This procedure describes the steps contractor personnel are required to follow, when an incident occurs.

Incident Classification Classes

Incidents (including near misses) are classified according to a number of criteria that describes the severity of the harm caused, or that could have been caused. There are four different classes of incident:

- Class A (most severe consequences)
- Class B
- Class C
- Class D (Least severe consequences)

The class selected is the highest class calculated by determining the severity of the incident across three areas:

- Personal Injury Level (PIL)
- Platform Damage Level (PDL)
- Potential for the Hazard to Release Harm (PHRH)

Appendix A: Safety Triage Summary lists the criteria used to determine the class of an incident. However, in summary, the contractor must notify DEI before JARS is updated, for incidents where:

- There is one or more fatality
- There is one or more injuries requiring hospitalization
- There could be or is major disruption to camp/base operations
- The incident is notifiable to WorkSafe

Shared Responsibility for Tasks

This procedure identifies a number of different people/groups that must be notified, and perform tasks, in the event of an incident, depending on the class of the incident and its consequences.

This procedure defines a number of tasks that are shared; that is, more than one role is identified as being responsible for ensuring actions are performed. Given the nature of severe incidents and the possibility that individuals may miss tasks in the rush to ensure the safety of workers and the public, multiple roles have the responsibility to ensure these tasks are completed successfully.

The table below indicates the shared tasks and the positions responsible for ensuring they are completed.

Table 2. Shared Task table

Task	Worker	Site Supervisor/ Manager	DEI PM	DEI Regional H&S Specialist	EDM
<ul style="list-style-type: none"> Stop work Ensure worker safety Seek medical attention Contact emergency services Secure incident site 	X	X	X	X	X
Update SRS/SEMT			X	X	X
Investigation personnel, scope, and objectives			X	X	X
Assist DD HS DEI with input/findings			X	X	X
Ensure Investigation recommendations are implemented	X	X		X	
Shared Impact Statement		X	X	X	X

Roles and Responsibilities

Roles listed in this section may differ from real life, depending on the structure of the associated departments. It is expected the staff assigned to these roles will be known to each other, prior to or after starting in their roles. The responsibilities listed here relate to incident response and reporting only.

The **Worker** is responsible for:

- Aiding injured persons;
- Ensuring the safety of others;
- Contacting medical and emergency services;
- protecting and preserving the incident site;
- Reporting incidents and near misses to the Site Supervisor/Manager;
- Following contractor mandated procedures.

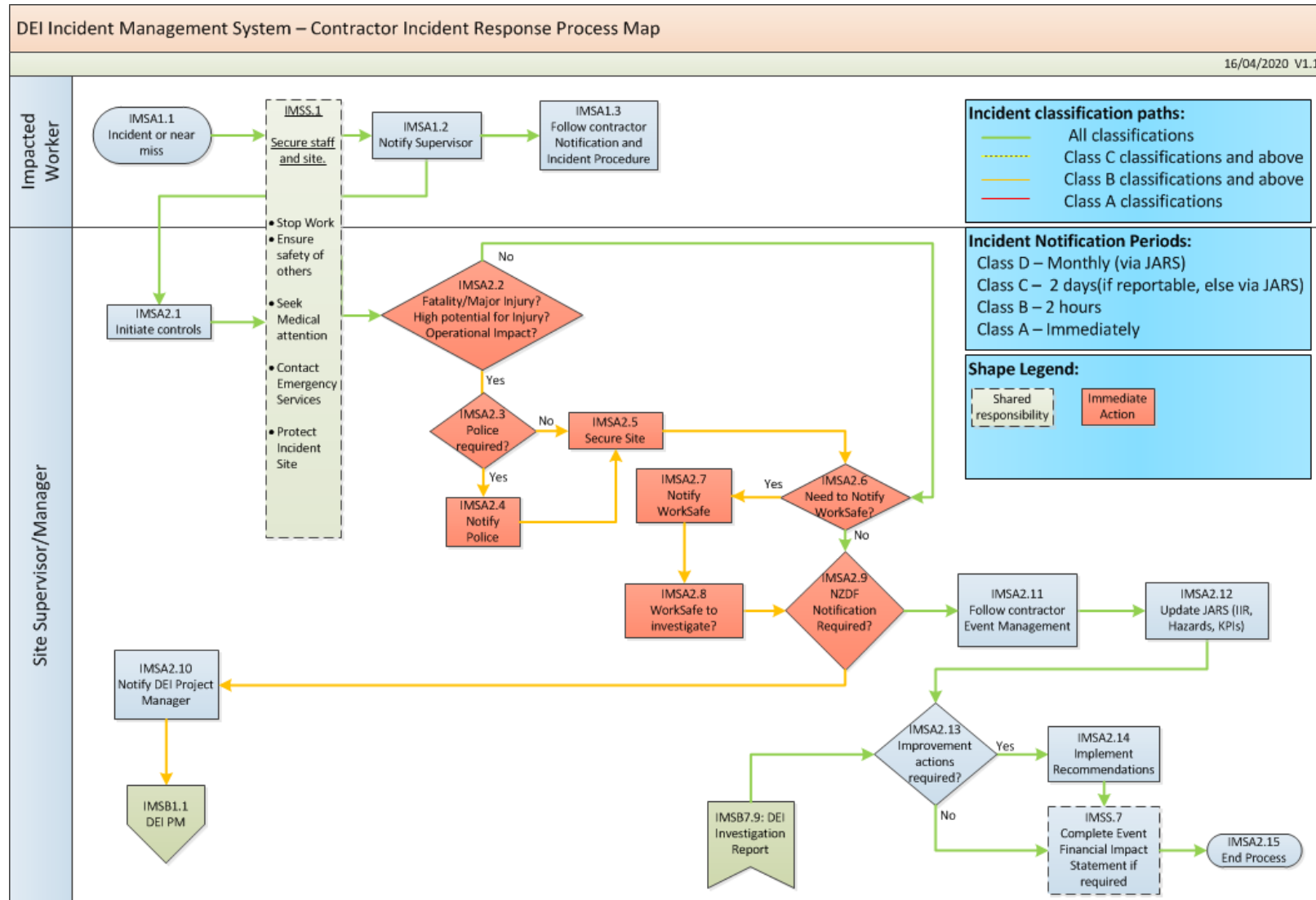
The **Site Supervisor/Manager** is responsible for:

- Aiding injured persons;
- Ensuring the safety of others;
- Contacting medical and emergency services;
- protecting and preserving the incident site;
- Notifying police if applicable;
- Notifying WorkSafe if applicable;
- Following contractor mandated procedures;
- Recording all incidents in JARS;
- Notifying the DEI Project Manager of incidents involving:
 - Fatalities;
 - Injuries requiring hospitalisation;
 - Camp/Base operational impact;
 - WorkSafe Notifiable incidents.
- Implementing any improvement actions recommended by investigations.

The **DEI Project Manager** is responsible for:

- Aiding injured persons;
- Ensuring the safety of others;
- Contacting medical and emergency services;
- Protecting and preserving the incident site;
- Notifying the DEI Regional Health & Safety Specialist of incidents involving:
 - Fatalities;
 - Injuries requiring hospitalisation;
 - Camp/Base operational impact;
 - WorkSafe Notifiable incidents.

IMS1: Contractor Incident Response Process Map



IMS-A1: Incident Response Procedure – (Worker)

Step #	Description Detail
IMSA1.1 – Incident or near miss event.	<p>All NZDF employees and contractors have the right and obligation to cease performing any work or behaviours they feel are unsafe in the workplace.</p> <p>In the event of a near miss or a safety incident occurring, it is the responsibility of all workers to highlight and report the event.</p>
IMSS.1 – Secure Staff and Site	<p>If injured, workers should seek medical attention immediately.</p> <p><u>If safe to do so</u>, uninjured workers should ensure staff are safe and the site is secured by;</p> <ul style="list-style-type: none"> • Stopping work; • Ensure the safety of other workers; • Assist injured staff; • Contact emergency services; • Protect and secure the incident site. <p>Note: If an ambulance is called, provide precise details of the location of the accident on the Camp/Base, and request they approach the Camp/Base with lights and sirens so gate security will let them through without delay.</p>
IMSA1.2 – Notify Site Supervisor	<p>After ensuring the safety of themselves and other staff, workers should immediately notify their Site Supervisor or Site Manager of the incident or event.</p>
IMSA1.3 – Follow contractor notification procedure	<p>After notifying the Site Supervisor or Site Manager of the event, workers should follow the contractor specific emergency procedures as presented to them by their contract manager (or their delegate) in their Site Induction.</p>

IMS-A2: Incident Response Procedure – (Site Supervisor/Manager)

Step #	Description Detail
IMSA2.1 – Initiate Controls	<p>On learning of a safety incident or near miss event, a Site Supervisor or Site Manager must immediately put in to place controls to ensure the safety of all workers and personnel in the site.</p>
IMSS.1 – Secure Staff and Site	<p><u>If safe to do so</u>, the Site Supervisor/Manager must ensure staff are safe and the site is secured by;</p> <ul style="list-style-type: none"> • Stopping affected work • Ensure the safety of other workers; • Assist injured staff; • Contact emergency services; • Protect and secure the incident site. <p>Note: If an ambulance is called, provide precise details of the location of the accident and request they approach the Camp/Base with lights and sirens so gate security will let them through without delay.</p>

<p>IMSA2.2 – Determine Incident Impact</p>	<p>After ensuring the safety of themselves and other staff, the Site Supervisor/Manager is to determine the extent of the incident.</p> <p>Does the incident involve:</p> <ul style="list-style-type: none"> • One or more fatalities; • One or more injuries that require hospitalisation; • A high potential for serious harm to people or plant; • An impact to operations on the Camp/Base? <p>- Yes: Go to step IMSA2.3 – Police Required?</p> <p>- No: Go to step IMSA2.6 – Need to Notify WorkSafe?</p>
<p>IMSA2.3 – Police Required?</p>	<p>If a major event or fatality has occurred, the Police must be called.</p> <p>Are police required?</p> <p>- Yes: Go to step IMSA2.4 – Notify Police</p> <p>- No: Go to step IMSA2.5 – Secure Site</p>
<p>IMSA2.4 – Notify Police</p>	<p>Notify police of incident on 111.</p>
<p>IMSA2.5 – Secure Site</p>	<p>Secure the site and ensure it is left undisturbed for all major events and incidents, until it is determined if an investigation is required or not. Secure the site by:</p> <ul style="list-style-type: none"> • Isolating power/gas/water • Placing related equipment out of service • Covering deceased persons • Erecting barriers around incident site
<p>IMSA2.6 – Need to Notify WorkSafe?</p>	<p>There is a legislative requirement to notify WorkSafe when a work-related notifiable event occur.</p> <p>A notifiable event is any of the following events that arise from work:</p> <ul style="list-style-type: none"> • A death • A notifiable illness or injury (where the worker is admitted to hospital as an inpatient) or • A notifiable incident, where an unplanned or uncontrolled incident occurs that exposes the health and safety of workers or others to a serious risk arising from immediate or imminent exposure to hazardous substances or conditions. <p>Only serious events are intended to be notified. These trigger requirements to preserve the site, notify the regulator and keep records.</p> <p>Does WorkSafe need to be notified?</p> <p>- Yes: Go to step IMSA2.7 – Notify WorkSafe</p> <p>- No: Go to step IMSA2.9 – NZDF Notification Required?</p>
<p>IMSA2.7 – Notify WorkSafe</p>	<p>Notify WorkSafe of the incident</p>

IMSA2.8 – WorkSafe to Investigate?	If WorkSafe indicate their intention to investigate an incident, the Site Supervisor/Manager must advise NZDF so as to allow them to organise access for WorkSafe investigators to the Camp/Base.
IMSA2.9 – NZDF Notification Required?	<p>NZDF must be notified of the incident in the event of:</p> <ul style="list-style-type: none"> • A fatality • An injury requiring hospitalisation • An impact to Camp/Base operations • Instances where there is a high potential for fatality or serious injury • The police being notified • WorkSafe being notified • A WorkSafe investigation <p>Does NZDF need to be notified?</p> <ul style="list-style-type: none"> - Yes: Go to step IMSA2.10 – Notify DEI Project Manager? - No: Go to step IMSA2.11 – Contractor Incident Management Procedure
IMSA2.10 – Notify DEI Project Manager?	<p>Notify the DEI Project Manager as soon as possible within the following time frames:</p> <p>Immediately:</p> <ul style="list-style-type: none"> • A fatality or injury requiring hospitalisation • An impact to Camp/Base operations • The police being notified <p>Within 2 hours</p> <ul style="list-style-type: none"> • WorkSafe being notified • A WorkSafe investigation • Instances where there is a high potential for fatality or serious injury <p>Include details on whether:</p> <ul style="list-style-type: none"> • Police have been notified; • Emergency services have been called; • WorkSafe has been notified, and; • WorkSafe plan to investigate (if known); • The site is safe and secure; • Operations will be affected; • Status of Injured personnel; • Status of damaged plant or equipment. <p>After notifying the DEI HS Specialist, return to step IMSA2.11 – Contractor Incident Management Procedure.</p>
IMSA2.11 – Contractor Incident Management Procedure	Follow Contractor Incident Management Procedure.
IMSA2.12 – Update JARS	<p>The Joint Assurance Reporting System (JARS) is a tool NZDF uses to record PTWs, Incidents and other details of work performed by contractors engaged by DEI for work on Defence Estates.</p> <p>JARS produces a monthly report to NZDF reporting all events on contractor sites.</p> <p>Update JARS to include all safety incidents and events.</p>

IMSA2.13 – Improvement Actions Required?	<p>In the event of DEI investigating a specific contractor incident, they will distribute the Investigation report and associated recommended controls and actions to the contractor.</p> <p>Are any improvements or actions required?</p> <ul style="list-style-type: none"> - Yes: Go to step IMSA2.14 – Implement Actions - No: Go to step IMSS.7 – Provide a EFIS as required
IMSA2.14 – Implement Actions	It is the contractor's responsibility to implement any actions arising from the investigation report.
IMSS.7 – Provide a EFIS as required	If requested by DEI, complete and return an Event Financial Impact Statement Shared Impact Statement (EFIS).
IMSA2.15 – End Procedure	End of Procedure

Appendix A: Safety Triage Summary

Personal Injury Level (PIL)					Platform Damage Level (PDL)				
	Minor	Moderate	Significant	Fatality		No significant damage	Moderate damage	Substantial damage	Destroyed
PIL Description	First Aid treatment, no long-term effects	Medical treatment on/off site, medium to long term effects	Injury or illness requiring hospitalisation, long term effects, HSWA notifiable event	Fatality/Multiple fatalities or multiple injury or illness requiring hospitalisation	PDL Description	Platform sustained either no damage or minor damage that is repairable within two days	Platform sustained moderate damage that is repairable without extensive inspection.	Platform sustained substantial damage or structural failure that requires extensive inspection but is economically repairable	Platform missing, destroyed, unrecoverable or sustained damage to such an extent that it is unrepairable or uneconomical to repair
Minimum Event Classification	Class D	Class C	Class B	Class A	Minimum Event Classification	Class D	Class C	Class B	Class A

Potential for the Hazard to Release its Harm (PHRH)				
Table A - Most credible negative safety outcome				
	No outcome	Minor	Significant	Catastrophic
Effect on NZDF personnel and others	First Aid treatment, no long-term effects	Minor injury, first aid/medium term effects	Medical treatment off- and on-site, medium to long term effects	Fatality/Multiple fatalities or multiple injury or illness requiring hospitalisation
Effect on platforms and critical infrastructure	No significant damage	Moderate platform/ equipment damage	Substantial platform/ equipment damage	Platform/ equipment destroyed
Effect on worthiness systems	Little or no effect on worthiness	Minor deviation from approved standards which has a limited effect on worthiness, critical systems were not affected	Deviation from approved standards which had a significant impact on worthiness, safety critical systems were affected	Deviation from approved standards which compromised worthiness, safety critical systems were inoperative or unavailable
Effect on Defence capability	Little or no effect on Defence capability provided by a Service or core system	Temporary degradation of Defence capability provided by a Service or core system	Temporary loss or long-term degradation of Defence capability provided by a Service or core system	Indefinite loss of Defence capability provided by a Service or core system. System is possibly not irreparable

Table B – Effectiveness of remaining safety controls			
Highly Effective	Mostly Effective	Barely effective	Not effective/ unavailable
The remaining controls and subsequent safety margin were highly effective. It is rare or under exceptional circumstances that the event could have escalated into the most credible outcome	The remaining controls were mostly effective with a considerable safety margin remaining. It is improbable that the event could have escalated into the most credible outcome	The remaining controls were lower order or weak controls and barely effective. It is probable that the event could have escalated into the most credible safety outcome	The only thing separating the event from the negative safety outcome was luck or exceptional skill which is not trained for or expected

Table C – Determining the PHRH				
	A: Most Credible Outcome			
B: Remaining Risk Controls	No outcome	Minor	Significant	Catastrophic
Highly effective	Class D	Class D	Class D	Class C
Mostly effective	Class D	Class D	Class C	Class C
Barely effective	Class D	Class C	Class C	Class B
Not Effective	Class D	Class C	Class B	Class B

Figure 2. Safety Triage Summary.

Document Control

Associated Documents

Consider this document in conjunction with the following files.

Files	Location
Health and Safety in Employment Regulations 1995	www.legislation.govt.nz/regulation/public/1995/0167/latest/DLM202257.html
Health and Safety in Employment (Asbestos) Regulations 1998	www.legislation.govt.nz/regulation/public/1998/0443/latest/DLM269298.html

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DDMS

Approval

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1.1	Jared Kane	Deputy Director Health & Safety DEI	17/09/2019
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1.3	Jared Kane	Deputy Director Health & Safety DEI	15/06/2020

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