SHSMS
System Procedure

Incident Reporting and Management

SHSMS-QH-13-PR-041

ZERO HARM

Version control

Version	Change from previous	Date	Comment
1.0	First release	01/08/15	First issue
2.0	Appendix A & B	14/09/15	Updated matrices
2.0	Appendix C	12/10/15	Added Injury Classification Definitions
2.1	Document Reference Number and Title	29/04/16	Updated Document Reference Number and Title
2.2	Clarification on definitions	22/08/2016	RWC clarification and RI added to Appendix C.
	Regulator notice reinforcement		Insertion of note in relation to Regulator Notices under Class 3 (actual Incidents).
2.3	Inclusion of insurer notification for Motor vehicle and plant incidents.	04/05/2017	Addition of Appendix A and introduction of 'For incidents involving plant and equipment, notification to Qube's insurer must occur in accordance with Appendix A of this document.' to part 6 of Procedure.
2.4	Legal Professional Privilege (LPP) reference adjustments throughout. Reference to Crisis Management Plan inserted. Insertion of reference to notification of no-road event.	12/12/2017	Section 1.1 insertion of reference to LPP. Section 2.2 insertion of LPP requirements relating to information release. Section 2.2.3 insertion of additional LPP references. Similar minor LPP additional references throughout document. Appendix C insertion of notification of on- road event (regardless of classification) to National SHS Manager / GM SHS & Training.
2.5	Update after Environmental Compliance Legal Review.	23/12/2019	Insertion of Notifiable Incident Summary Table from SWA and EPA within Section 6.
2.6	Removal of <5 stitches from MTI	26/05/2021	Update from SHEMS to SHSMS and HSE to SHS
2.7	Periodic Review	18/07/2022	QPB Document to Holdings for review

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1. Incident Management

1.1 Introduction

The purpose of incident management is to:

- Learn from incidents and thereby build more effective controls for hazards;
- Investigate incidents, uncover causes, gather information and create learning for the organisation;
- Reduce the recurrence and severity of incidents;
- Minimise risk by establishing quick response to incidents; and
- Initiate injury management (if it is required) as soon as practicable.

All incidents shall be reported to management in accordance with this guideline, notwithstanding regulatory and other requirements such as insurers.

Where an incident has occurred with significant implications for the business or may result in legal proceedings, Qube will seek advice from a Legal Firm and the incident investigation may be conducted under legal privilege in accordance with this guideline. The need for legal advice and legal privilege will be determined in the early stages of the investigation process.

All Workers are accountable for reporting incidents.

Incidents shall be recorded electronically, using a system, which effectively promotes reporting, investigation and prevention.

Training shall be provided such that persons involved in the reporting, investigation and prevention process, are appropriately skilled to undertake these activities.

This document should be read in conjunction with the Crisis Management Plan (SHSMS-QH-13-PL-035).

2. Report the Incident

Reporting is both:

- Recording the details of the incident and
- Informing appropriate parties that an incident has occurred where the TYPE and SEVERITY of the incident determines who receives notification and when.
- In the event of an incident with significant implications for Qube, the incident should be immediately reported to Qube Holdings General Manager SHS, Qube Ports General Manager SHS and/or the Bulk National SHS Manager who will seek advice from a Legal Firm. To provide that advice, the Legal Firm will request that an investigation report be prepared for the dominant purpose of the Legal Firm providing that advice (i.e. under legal privilege). Where the investigation report is subject to legal privilege, all persons involved in the investigation and the collation of information and documentation for that report will follow the instructions of the General Manager SHS, or the National SHS Manager (or their delegates) in relation to the conduct of the investigation and the application of this guide.

2.1 Documentation

Recording the details of the incident

The Qube Initial Incident Report Form can be used to record details of all Actual or Potential incidents (near misses) Class 1 to Class 5, including security incidents or the incident can be entered directly into INX.

In addition, Actual 3 or Potential Class 4 and 5 incidents require more in-depth cause analysis, the Class 3 Incident Report Form shall be completed for these types of incidents. This should be prepared in consultation with advice from the General Manager SHS or the National SHS Manager (or their delegates).

2.1.1 Determine the class of the incident

The Line Manager will in most cases determine the class of incident based on the Qube Incident Severity Descriptors Table (see Appendix B), and enter into the On-line Incident Reporting System (INX).

- Class 1, 2 incidents must have sufficient and appropriate actions, included in the investigation, via the on-line reporting system.
- Class 3 and above must have root causes, contributing factors and corrective actions, included in the investigation via the online reporting system INX.

2.1.2 Initial Incident Report

The initial report will be completed by the Line Manager consists consisting of various sections which identify the nature of the incident, causation (if known), effects and parties involved.

The following information must be included as minimum in the incident report:

Sections	
1.	**Incident Details** Brief factual description of the incident, severity level, it is imperative that Line Managers, when initially assessing the seriousness of the incident establish a realistic 'rating'. It is that rating which triggers actions to be taken from that point on, as well as the persons who shall be responsible for taking those actions and the automatic notification that are sent internally.
2.	**Location details** Select, site, location, equipment and client. This information will assist the user to be able to analyse location details and drill down on specific details i.e. clients
3.	**Report Details** Provide information on who reported the incident, report date and the team the incident will be reported to.
4.	**Hours of Work** This information will assist in determining if fatigue was contributing factor.

Sections	
5.	**Incident Description** Details of a general nature which contribute to establishing the context (type) of incident including what happened, where, when and who was involved. This information is important for both the Site and state incident analysis. Photographs and Procedures shall be referenced where possible. Personal information included in this section remains confidential.
6.	**Immediate Corrective Actions Taken** Record any immediate actions taken to ensure the incident was prevented from recurring or exposure to the hazard reduced.
7.	**Involved and Injured Persons** Record factual information on the nature and extent of the injuries, damage or harm. If Workers Compensation and RTW duties need to be included for the injured person.
8.	**Corrective Actions** Reduce the risk of recurrence and document the corrective actions, at this process ensures the preventative actions reduce the risk.
9.	**Photographs** Attach any relevant photographs which may assist in describing the incident, the environment at the time and/or the root causes.



Note

They must not be released to external parties (particularly those prepared under legal privilege) unless the General Manager SHS or the National SHS Manager gives explicit permission.

2.2 Process of Incident Notification- Internal

Notifying the appropriate people of the details of an incident is dependent on the severity of the consequences of the incident either actual or potential. Notification is required to ensure our duty of care is appropriately actioned and we meet both legislative and internal requirements.

The notification of incidents allows appropriate resources to be allocated such that the right decisions are made during the investigation process and with implementation of preventative actions. This includes whether legal advice is required such that legal privilege needs to be established.

While e-mail or online incident reporting will help this process, it is important that relevant telephone call occurs.



Note

Notifications required within 24 hours and 48 hours, shall be by telephone supported by e-mail or online reporting where appropriate.

The following points summarise this process for all Insignificant, Minor and Moderate, Major and Catastrophic incidents. Advice and instruction should be sought from the General Manager SHS and/or National SHS Manager as required.

2.2.1 Class 1 and 2 incident (actual) or (potential) 3 incident

- The Line Manager is to lead the investigation and complete
- The Operations Manager is to view the report and have input as appropriate.
- The Operations Manager shall sign off the report, as practicable, within 7 days.

Table 1 Class 1 & 2 incident Performance requirements

Class 1 & 2 Actual & Potential	
Position or Role	**Performance requirements**
Line Manager	Line Manager must: • Enter incident details into INX • Complete the Investigation, sign off report
SHS Advisor/ Manager	SHS Advisor/ Manager must: • Assist in the investigation, as required

2.2.1 Class 3 (actual) incidents

All reports submitted for incidents shall use the appropriate distribution list as detailed below to ensure relevant personnel are aware of all occurrences. Where the report is prepared under legal privilege, the report and all working documents will be marked "Confidential and subject to Legal Privilege". The following table applies subject to any specific instructions from the General Manager SHS or the National SHS Manager (or their delegates).



Note
Any Notice issued by a Regulator is considered a Class 3 incident and must be reported in accordance with the table below

Table 2 Class 3 Actual incident Performance requirements

Class 3 Actual Incidents	
Position or Role	**Performance requirements**
Line Manager	Line Manager must: • Enter incident details into INX • Commence the Investigation
Operations Manager	Operations Manager must: • Appoint investigator • Arrange for statements to be taken and photos • Review the report and the investigation • Review and where appropriate sign off report

Class 3 Actual Incidents	
Position or Role	**Performance requirements**
SHS Manager/Advisor	SHS Advisor/ Manager must: • Assist with the investigation and provide input • Ensure that ICAM process is being implemented • Liaise with National SHS Manager
General/Regional Manager	General/ Regional Manager must: • Contact: - Director Ports & Bulk or Logistics <24 hours - General/Corporate Counsel < 24 hours - National SHS Manager <24 hours - External Authorities as required • Appoint investigator • View report and input as required • Attend hook-up to review investigation on the 5th working day
Director	Director must: • Review the report and the investigation • Provide input as required • Attend hook-up to review incident, on the 5th working day
National SHS Manger	National SHS Manager must: • Consider legal privilege application. This may be in conjunction with the General Manager SHS and General/Corporate Counsel. • View report and input as required • Arrange hook up with Director and GM/State Manager, on 5th working day • Close investigation

2.2.2 Class 3 (actual) investigations

Completed by the appointed investigator is relevant to Class 3 and all Class 4 and 5 incidents (or potential incidents), the Class 3 Incident Report Form requests more detail in respect to the incident, causation analysis (ICAM) and improvement actions.

Actual incidents investigations should be notified to immediately to the General Manager SHS and/or National SHS Manager. Subject to their instructions, the investigation will then shall be led by the Operations Manager. The incident shall be reported as appropriate to the relevant internal and external parties. (See Appendix B)

Actual Class 3 incidents, (subject to instructions from the General Manager SHS or National SHS Manager), should involve an ICAM investigation is being commenced within 24 hours and draft report sent National SHS Manager within 4 working days.

2.2.3 Incidents Requiring ICAM investigations

The following incident classifications require ICAM investigations:

- immediate treatment as an in-patient in a hospital
- the amputation of any part of his or her body
- a serious head injury, concussion or loss consciousness
- a serious eye injury, loss of sight, temporary or permanent
- a serious burn, requiring medical treatment
- the separation of his or her skin from an underlying tissue (such as degloving or scalping),
- a spinal injury, this is injury to cervical, thoracic, lumbar or sacral vertebrae. It includes the associated soft tissue such as muscles. Ligaments, discs and nerves (including spinal cord)
- the loss of a bodily function, this includes such things as loss consciousness, loss movement of a limb or loss of the sense of smell taste, sight or hearing, or loss of function of an internal organ
- lacerations that cause muscle, tendon, nerve or blood vessel damage, deep and/or extensive cuts, tears of wounds to the flesh or tissues-this may include stitching to prevent loss of blood and/or other treatment to prevent loss of bodily function and/or infection
- medical treatment within 48 hours of exposure to a substance
- fail or release from height of any plant, substance or thing e.g. from one level to another,
- a circumstance that exposes a worker while at work, or other person while at or in the vicinity of a workplace, to a risk of a fall that is reasonably likely to cause injury to the worker or other person.
- an uncontrolled escape, spillage or leakage of a substance >500 L
- an uncontrolled implosion, explosion or fire, or
- an uncontrolled escape of gas or steam, or
- an uncontrolled escape of a pressurised substance
- electric shock
- the collapse, overturning, failure or malfunction of, or damage to, any plant and therefore cannot be used for its intended purpose
- diseases and infections contracted in the course of work involving the handling or contact with animals, animal hides, skins, wool or hair, animal carcasses or animal waste products: - Q fever, brucellosis, psittacosis
- PCC/RORO Incident resulting in damage

Subject to any instructions from the General Manager SHS or the National SHS Manager, the General/State Manager shall present to the Director and National SHS Manager preliminary ICAM findings of the investigation and all preventative actions taken, on the 5th working day after the incident occurring.

2.2.4 Class 4 and 5 incident (actual & potential) incidents

Potential and actual Class 4 (Major) and Class 5 (Catastrophic) are all reportable incidents. An ICAM must be completed and instructions will be given by the General Manager SHS or the National SHS Manager for the commencement of the investigation.

Potential (Class 4 and Class 5)

- Potential incidents shall be reported to the Qube CEO, GM SHS, relevant Directors and accompanying information to the General Counsel, General Manager SHS and National SHS Manager.
- Potential incident investigations shall be led by the GM/Regional Manager at the instruction of the General Manager SHS or National SHS Manager.
- GM/Regional Managers shall sign off.

Actual

- Actual incident shall immediately be reported to the relevant Directors with accompanying information, General Manager SHS, General Counsel, National SHS Manager and the Managing Director.
- National SHS Manager shall lead the investigation at the instruction of the appointed Legal Firm for the purpose of obtaining legal advice, which will be conducted under legal privilege.
- An executive SHS Committee meeting shall be arranged through National SHS Manager within 48 hours.
- The Director present to the CEO and the Executive SHS Committee preliminary findings of the investigation and all preventative actions taken.
- Mandatory actions:
  - A risk assessment of the applicable activity
  - Review of the Safe Work Practice procedures
  - Tool Box briefing
  - Depending on root cause, a review of applicable SHS Management System guidelines shall occur through the Executive SHS Committee
- Managing Director shall sign off actual investigation

Specific reporting protocols:

Table 3 Potential Class 4 and 5 incident Performance requirements

Potential Class 4 and Class 5 Incidents	
Position or Role	**Performance requirements**
Line Manager	Line Manager must: • Contact the Ops Manager • Enter incident details into INX • Commence the investigation

Potential Class 4 and Class 5 Incidents	
Position or Role	**Performance requirements**
Operations Manager	Operations Manager must: • Appoint investigator • View report and input as required • Assign Investigator
General/Regional Manager	General/ Regional Manager must: • Review the report and the investigation • Sign off the report • Contact: - GM Operation <24 hours - General Counsel <24 hours - National SHS Manager <24 hours - External Authorities as required
National SHS Manger	National SHS Manager must: • Assist as required • Arrange hook-up, 5th day • Close investigation
Director	Director must: • Attend hook-up • Review the report and the investigation • Sign off the investigation

Table 4 Actual Class 4 and 5 incident Performance requirements

Actual Class 4 and Class 5 Incidents	
Position or Role	**Performance requirements**
Line Manager	Line Manager must: • Contact the Ops Manager • Complete the Initial Incident Report • Secure the site
Operations Manager	Operations Manager must: • Contact external authorities • View report and input as required

Actual Class 4 and Class 5 Incidents	
Position or Role	**Performance requirements**
General/Regional Manager	General/ Regional Manager must: • Contact: - GM Operation - General Counsel - National SHS Manager - External Authorities as required
SHS Manager/Advisor	SHS Manager/ Advisor must: • Assist as required
Executive SHE Committee	General/ Regional Manager must: • Convene an Executive SHS Committee meeting <4 days • Review initial investigation, within 4 working days
National SHS Manger	National SHS Manager must: • Contact Legal Firm for advice, arrange legal privilege • Appoint investigator • Assist as required • Contact SHS General Manager • Provide update Qube SHS Committee
Director	Director must: • Contact Managing Director • Attend the site, review investigation • Update executive team
Managing Director	Managing Director must: • Review the report and the investigation • Sign off the investigation • Provide update to Qube Director Corporate Affairs
CEO	CEO must: • Review the report and the investigation • Endorse investigation

3. Completing an ICAM Investigation

ICAM – (Incident Causation Accident Model) is systems approach to accident investigation - not only looks at what happened, but why it happened. Designed to ensure that the investigation is not restricted to the errors and violations of operational personnel.

3.1 Post-accident

3.1.1 Securing the site

1. Initiate the site Emergency Response Plan as appropriate/required
2. Act to make the area safe
3. Provide the necessary first aid or medical care to injured
4. Subject to severity of incident, report the incident to the General Manager SHS or National SHS Manager for consideration of legal advice
5. Report the incident to responsible Manager
6. Reduce environmental impact if safe to do so (i.e.: Fuel and Product leaks into waterways etc.)
7. Preserve the scene
8. Notify liaise and observe requirements of local authorities
9. Take notes for investigation (i.e. PEEPO, who/what/where/when etc.)
10. Complete initial investigation report in INX

3.2 Investigation process

Subject to any specific instructions from the General Manager SHS or National SHS Manager, the responsible manager selects the investigator and designates the team leader in consultation with SHS Advisor/Manager.

At least one member of the team should have training and experience in ICAM investigations, other members should have experience relevant to the nature of the event.

3.2.1 Collection of Relevant data

The collection data can be divided into five main areas;

- **People** - identify all the people who might have information about the incident and obtain statements as soon as possible. Reassure the witness the investigation is being conducted to promote safety not apportion blame
- **Environment** - examine the scene of the incident for information and to help understand the nature of the task being conducted and the local environmental conditions
- **Equipment** – examine the equipment involved in the incident, ensure that the equipment was appropriate for the task
- **Procedures** – examine work procedures, availability, suitability, use and supervisory requirements of the procedure
- **Organisation** – the role of the supervisors and management must always be considered

Table 5 PEEPO

	Data Category	Collection Methods
P	**People** Witness Associated People	• Interview • Written Statement • Observation
E	**Environment** Weather Workplace Incident Scene	• Observation/Review • Inspection/Photography • Event Reconstruction
E	**Equipment** Vehicles, plant, tools, infrastructure	• Inspection • Testing • Operation
P	**Procedures** Existing maps, charts, documents, reports and photographs	• Review/Comparison
O	**Organisation**	• Review/Comparison

3.1 Data Organisation

The investigation team should develop an event and chart, this will assist the team to communicate the text more clearly, prevent inaccurate conclusions. (Example Figure 1)

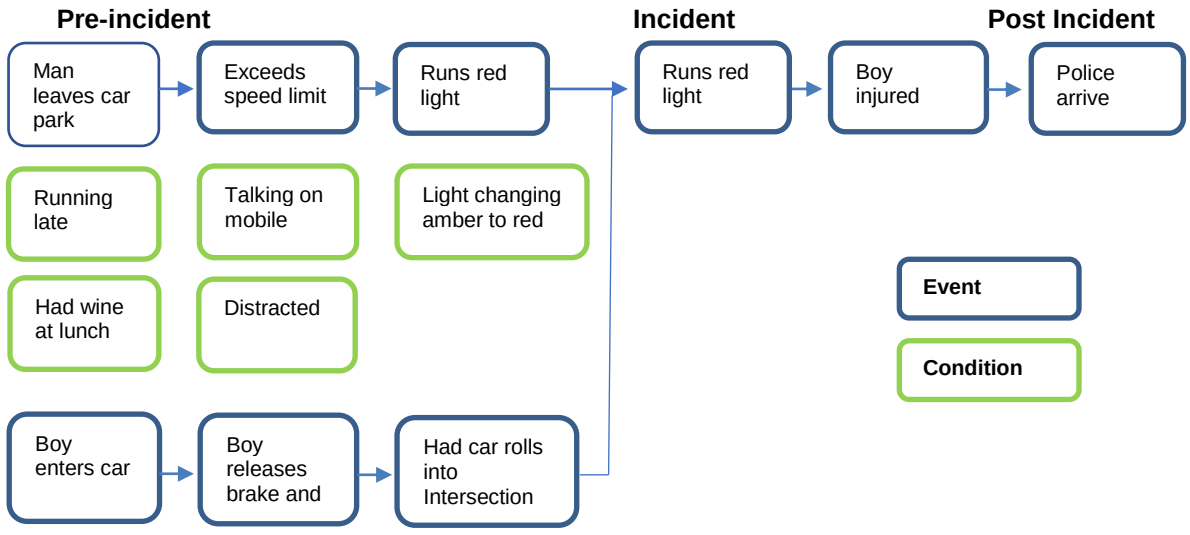


Figure 1 Event chart example

4. Analyse Findings

To construct the ICAM the following steps must be undertaken.

- ✓ **Contributing levels**
- ✓ **Absent and failed Defenses**
- ✓ **Individual/Team Actions**
- ✓ **Task Environmental Conditions**
- ✓ **Organisational factors**

5. Identifying Root Causes

This information will assist in determining root cause of an incident. Knowing the cause of an incident assists in implementing the most suitable actions to prevent recurrence.

To analyse the causes of an incident, the investigator shall work through the immediate and underlying causes and then the systemic failures.

<table>
<tr><td>Loss</td><td colspan="2">A loss is experienced as a result of an incident. The loss could be in the form of unintended harm or damage to property or the environment.</td></tr>
<tr><td>Incident</td><td colspan="2">An incident is the event resulting in an actual loss and can be categorised by the type of energy exchange that occurred. For Example:
Caught in or on
Caught between or under
contact
Overexertion or overstress
Slip, trip or fall
Struck by</td></tr>
<tr><td rowspan="2">Immediate causes
Substandard acts, practices and conditions</td><td colspan="2">Immediate causes of an incident can be categorised into substandard acts/practices and substandard conditions. These are often present in the last minute before the incident and could be considered a failure in the last line of defence.</td></tr>
<tr><td>Substandard acts and practices could include:
Servicing equipment in operation
Failure to warn or secure (e.g. failure to look, shut off, place warning tags)
Making safety devices inoperative
Operating or working at improper speed
Improper loading, placement or position (e.g. moving under suspended loads)
Improper use of equipment
Failure to use PPE properly
horseplay</td><td>Substandard conditions could include:
tool or equipment defects
environmental hazards (e.g. excessive noise, temperature extremes)
poor housekeeping
inadequate guards or barriers
fire and explosion (e.g. defective premises owned by others)
congestion or restricted action
inadequate or improper PPE
inadequate ventilation or illumination</td></tr>
</table>

<table>
<tr><td rowspan="2">Underlying Causes

Personal and job factors

⬇</td><td colspan="2">Underlying causes of an incident can be categorised into personal and job factors. They’re typically present immediately prior to or at the time of the incident, underlie the immediate causes and often undermine effectiveness of risk control measures.</td></tr>
<tr><td>Personal factors could include:
inadequate physical/physiological capacity
inadequate mental/psychological capacity
physical or physiological stress (e.g. fatigue due to lack of rest, drugs, illness
mental or psychological stress (e.g. frustration, routine/monotony
lack of knowledge
lack of skill (e.g. inadequate initial instruction)
improper motivation
abuse and misuse</td><td>Job factors could include:
inadequate leadership or supervision (e.g. unclear assignment of responsibility)
inadequate engineering
inadequate purchasing
inadequate work standards (e.g. development or implementation of standards)
inadequate maintenance
inadequate tools and equipment
wear and tear
inadequate communication</td></tr>
<tr><td>Systemic Failures Inadequate systems, standards, compliance</td><td colspan="2">Systemic failures are underlying organisational factors that produce conditions, which affect performance. They may be undetected for a long time but will result in a lack of control. These could include:</td></tr>
<tr><td></td><td>leadership and administration
leadership training
planned inspection and maintenance
analysis and procedures of critical tasks
incident investigation or analysis
observation of tasks
emergency preparedness
knowledge and skills training</td><td>rules and work permit
personal protective equipment
health and hygiene control
system evaluation
engineering and change management
communication or promotion
management of materials and services
off-the-job safety</td></tr>
</table>

5.1 Generate hazard reduction /prevention actions

Having identified the Root Cause(s) it is important to factor in involvement of the workforce, through the SHE Committee. As there is never only one correct method in generating alternative preventative actions, the communication process shall be encouraged to ensure as many reasonable options as possible are explored and considered.

The hierarchy of controls is a very useful tool in selecting the appropriate preventative action *(see the Risk Management procedure*).

5.2 Select preventative actions

Selecting the appropriate preventative action shall be based on the potential or actual seriousness of the incident root cause.

Current work practices and business objectives shall also be considered in any decision:

- Sharing the key learning’s from incidents occurring on-site.
- Acting on and sharing key learning’s from incidents which have occurred at other sites (such as through receipt of Critical Incident Reports).
- Reviewing and communicating change to risk assessments and risk control measures resulting from incident.
- Formal review of the effectiveness of investigation recommendations post-implementation.

5.3 Implement the preventive action(s)

Any of the people involved in the investigation processing may identify an action necessary to prevent a recurrence of the incident.

At this stage of the incident management process, responsibility may be assigned specific persons for specific actions to be completed within a nominated timeframe. This will be subject to any specific instructions from the General Manager SHS or National SHE Manager.

Once preventative action is taken, the person responsible shall note it as complete.

The report also identifies that a further assessment of the risk shall be completed to ensure the preventative actions are effective in actually reducing risk of the hazard recurring.

5.4 Communication and Consultation

Once the incident prevention measures have been identified and implemented, they must be communicated to workers who undertake the tasks. This may be in the form of training, safety alerts/memos, Toolbox Talks, and/or the revision and promulgation of relevant procedures.

The success of any incident prevention process relies on the effective communication and consultation of the prevention actions and hazard controls, SHE Committees, Toolbox Talks, specific hazard alerts and the Executive SHE Committee meeting shall all be utilised to convey awareness of safety and environment incident prevention actions.

5.5 Evaluation of the Results

The success of the preventative actions shall be measured through the SHE Committee and the monthly Site and Regional SHE statistics.

The site management meetings and reviews shall discuss incidents and review actions completed from each of the incident reports.

6. Notifiable Incidents

The responsible person on site i.e. SHS Advisor/Manager or Site Manager must ensure that the regulator is notified immediately after becoming aware that a notifiable incident has occurred.

Notifiable Incident Summary Table from SWA and EPA



Note
this table contains most notifiable incidents, but please refer to EnviroEssentials or state-based legislation for state by state variations

Regulator	Incident Type	
WorkSafe / SafeWork / Dep. Workplace Health and Safety	Death of a person.	
	Serious injury or illness	• Immediate treatment as an in-patient in a hospital. • Immediate treatment for the amputation of any part of the body. • Immediate treatment for a serious head injury. • Immediate treatment for a serious eye injury. • Immediate treatment for a serious burn (i.e. skin graft). • Immediate treatment for the separation of skin from an underlying tissue (such as degloving or scalping). • Immediate treatment for a spinal injury. • Immediate treatment for the loss of a bodily function. • Immediate treatment for serious lacerations. • Medical treatment within 48 hours of exposure to a substance.

Regulator	Incident Type	
WorkSafe / SafeWork / Dep. Workplace Health and Safety	Dangerous Event	• an uncontrolled escape, spillage or leakage of a substance. • an uncontrolled implosion, explosion or fire. • an uncontrolled escape of gas or steam. • an uncontrolled escape of a pressurised substance. • electric shock (not including static electricity, extra low voltage, use of de-fib). • the fall or release from a height of any plant, substance or thing. • the collapse, overturning, failure or malfunction of, or damage to, any plant that is required to be design or item registered under the Work Health and Safety Regulations, for example a collapsing crane. • the collapse or partial collapse of a structure. • the collapse or failure of an excavation or of any shoring supporting an excavation. • the inrush of water, mud or gas in workings, in an underground excavation or tunnel. • the interruption of the main system of ventilation in an underground excavation or tunnel.
Environmental Protection Authority	Pollution incidents causing or threatening material harm to the environment	• An incident or set of circumstances during or as a consequence of which there is or is likely to be a leak, spill or other escape or deposit of a substance, as a result of which pollution has occurred, is occurring or is likely to occur. • Persons whose activities have contaminated land and owners of land who become aware, or ought reasonably to be aware, that the land has been contaminated must notify the EPA.
	Environmental License breach	• A breach of any condition within a license held by the site.

The initial notification to the regulator can be by fax, e-mail or other electronic means. The Notification Form, can be sourced from the applicable regulator website.

When completing the form ensure that all information is factual and assumptions are not made about the incident, keep to the facts e.g. employee fell from height, laceration on head. Truck hit stanchion, driven by Qube employee.

Following the notification an inspector may attend the site, the inspector has the power to require any person on the premises to answer questions or furnish information. While you must comply with the request of an inspector, you should not make a statement if you are not specifically authorised to do so.

Furthermore, your answers should be based on specific knowledge rather than on opinion. Where you are not in a position to answer a specific question, you should refer the question to the Site Manager. This will ensure that the inspector receives the accurate information.

For incidents involving plant and equipment, notification to Qube's insurer must occur in accordance with Appendix A of this document.

7. Definitions

Term	Meaning
ICAM	Incident Causation Accident Model.
Incident	An unplanned event that causes, or has the potential to cause personal injury, harm to the environment or property damage. Incidents are categorised from 'insignificant' (Class 1) to 'catastrophic' Class 5).
Near Miss	A hazard (a source of potential harm or a situation with a potential to cause loss) which has been narrowly avoided.
Notifiable Incident	A serious incident defined under the specific legislation (i.e. WHS, Rail, Environmental and Mine) that must be reported to the applicable Regulator.
Reportable incident	An incident having the potential or actual consequences of those categorised as Major (Class 4) and all Catastrophic (Class 5). These 'reportable Incidents' are those which are required to be reported to Director level and, as applicable, parties external to Qube.

8. Appendices

Appendix A Vehicle Insurance Claim Notification Procedure

Appendix B SHS Severity Matrix

Appendix C SHS Incident Notification Matrix

Appendix D Injury Classification Definitions

Appendix A Vehicle Insurance Claim Notification Procedure

POLICY NUMBER: 72 2233724 GFT

Procedure for reporting motor and heavy vehicle accidents on Public Roads and Operational Sites

1. Reporting accident – Public Roads

The procedure applies to Qube registered trucks, trailers, light vehicles that are involved in an accident on a public road. Post-accident ensure that you undertake the following steps;

Step 1. Secure the site, make sure your safe and where possible limit the impact or potential for the incident to grow (i.e. witches' hats, traffic management, provide assistance etc.)

Step 2. Contact emergency services (if required)

Step 3. Contact Qube Management (relevant manager or SHS Advisor)

Step 4. Report the incident (i.e. Zurich 1800 numbers below)

Step 5. Reduce environmental impact if safe to do so (i.e. Fuel and Product leaks into waterways etc.)

Step 6. Take notes for investigation (i.e. PEEPO, who/what/where/when etc.)

2. Public Road – Claim Procedure

All you need to do is call **1800 611 372** and one of Zurich's claims staff will guide you through the process. You can also visit the Zurich webpage and complete a claim form online: https://secure.zurich.com.au/claims/forms/fnol/motor

For Vehicles over 5 Tonne, please contact Heavy Motor Accident Assist on **1800 935 338** and one of Zurich's claims staff will guide you through the process.

For damaged glass claims call O'Brien directly on **1800 000 388,** simply quote the above policy number.

Please ensure you quote the correct cost centre from the following options:

- Ports
- Bulk
- Logistics

Key Contacts – Zurich

Claims Account Manager (CAM)	Fleet Claims Solutions Manager	Recoveries Officer
Gemma Churchill	Alison Saliba-Dole	Amanda Brewer
T: (02) 9995 3864 M: (0)401 105 568	(03) 9940 6539	(03) 9940 6480
gemma.churchill@zurich.com.au	*alison.saliba-dole@zurich.com.au*	*amanda.brewer@zurich.com.au*

1. Operational Sites *(Port, Supply Base, Yard, Mine, Depot)*

If an accident occurs on an operational site that involves any type of mobile plant, equipment and/or cargo e.g. truck, trailer, forklift, crane, ITV, light vehicle, please contact the following:

Qube Ports: Gary Correia: *gary.correia@Qube.com.au* (P) 02 9005 1153 or (M) 0410 551 631

Qube Bulk: Jason Thomas: *jason.thomas@Qube.com.au* (P) 08 6141 1924 or (M) 0404 800 028

Appendix B Severity Matrix

When deciding the severity rating for incidents consider:
- **The actual severity Class, (a rating on a scale of 1-5 to indicate the actual level loss.**
- **The potential severity Class, (an estimated rating on a scale of 1-5 to indicate the potential loss. Think 'what if' and use your judgements to determine what the severity could have been.**

Severity Class	People	Environment	Financial	Commercial / Brand Exposure	Security
1 Insignificant	• Hazard identified, near miss, First Aid Treatment	• No environmental damage • Environmental hazard identified • On site release of pollutant (<20 litres/Kg)	• Financial loss $<10K	• Reputation loss from local staff • Disruption to contract	• Evidence of attempted breach – with no actual breach
2 Minor	• Medical treatment Return to work Injuries	• Onsite release of pollutant (<200 litres/kg) that is immediately contained without causing land contamination AND does not migrate offsite to land or waterways.	• Financial loss $>10k, <100k	• Reputation loss (local media attention) • Disruption to contract	• Breach of land-side Restriction Zone resulting in no impact to site such as a contractor inside the substation
3 Moderate	• lost time injuries, partial impairment	• Onsite release of pollutant (<200 litres/kg) that is mostly contained but causes moderate contamination (refer to financial loss) OR offsite release of pollutant (<200 litres/kg) to land or waterways. Environmental Protection Act breaches	• Financial loss $>100k, <1m	• Reputation loss (State/ County media attention • Disruption to contract	• Breach of land-side Restricted Zone resulting in impact to site such as arson/fire not considered to be terrorism
4 Major	• Single fatality, extensive injuries, permanent disability	• Onsite release of pollutant (200 to 2,000 litres/kg) that causes major contamination (refer to financial loss) OR offsite release of pollutant (200 to 2,000 litres/kg) to land or waterways.	• Financial loss >1m, <10m	• Reputation loss (National media attention) • Disruption to contract	• Breach of landside Restricted Zone resulting in a potential terrorist activity being averted
5 Critical	• Multiple Fatalities	• Onsite release of pollutant (>2,000 litres/kg) that causes catastrophic land contamination (refer to financial loss) OR offsite release of pollutant (>2,000 litres/kg) to land or waterways.	• Financial loss >10m,<100m	• Reputation loss (International media attention) • Disruption to contract	• Breach of landside Restricted Zone resulting in a terrorist activity occurring

Appendix C Incident Notification Matrix

Severity Class	Supervisor	Site Manager, SHS Advisor /Manager	National SHS Manager	GM/Regional Manager	Director
1 INSIGNIFICANT	Same Day Notification	Notification through INX	Notification through INX	Notification through INX	Notification through INX
2 MINOR	Immediate Notification	Same Day Notification	Notification through INX	Notification through INX	Notification through INX
3 MODERATE	Immediate Notification	Immediate Notification	Same Day Notification	Same Day Notification	Same Day Notification
4 MAJOR	Immediate Notification	Immediate Notification	Immediate Notification	Immediate Notification	Immediate Notification
5 CRITICAL	Immediate Notification	Immediate Notification	Immediate Notification	Immediate Notification	Immediate Notification
On-road event	***Immediate notification to National SHS Manager and General Manager for communication with Director Corporate affairs.***				

Appendix D Injury Classification Definitions

Injury Type	Definition
First Aid Injury (FAI)	A First Aid Injury (FAI) is an injury that requires a single first aid treatment and a follow-up visit for subsequent observation involving only minor injuries (minor scratches, burns, cuts etc) which do not ordinarily require medical care, and for which the person would typically return immediately to their normal activities. Such treatment and observation are considered first aid even if it is administered by a physician or registered medical professional. Typical treatments normally considered as FAI include: • Application of antiseptics during a first visit to medical personnel; • Treatment of minor (first degree) burns; • Application of bandages (including elastic bandages) during a first visit to medical personnel; • Irrigation of eye injuries and removal of non-embedded objects; • Removal of foreign bodies from a wound using tweezers or other simple first aid technique; • Use of non-prescription medication, and administration of a single dose of prescription medication on a first visit to medical personnel for minor injury or discomfort. • Soaking, application of hot-cold compresses, and use of elastic bandage on sprains immediately after injury (initial treatment only); • Application of ointments for abrasions to prevent drying or cracking; • One-time administration of oxygen, for example after exposure to toxic atmosphere; and • Observations of injury during visits to medical personnel, including hospitalisation (for less than 48 hours) for observation only for a blow to the head or abdomen, or exposure to toxic substances. The following are typical examples of diagnostic/preventive procedures that may also be classified as a FAI: • X-ray examination with a negative diagnosis (will be MTI if positive); • Physical examination, if no condition is identified or medical treatment is not administered; • One-time dose of prescribed medication, for example a tetanus Injection or pharmaceutical.

Injury Type	Definition
Medical Treatment Injury (MTI)	A Medical Treatment Injury (MTI) is defined as an injury or disease that resulted in a certain level of treatment (not first aid treatment) that can only be given by physician or other medical personnel under standing orders of a physician. Types of treatment that classify an injury under MTI are: • Loss of consciousness; • Stitches, sutures (<5); • Surgery; • Treatment of serious infection by prescription only medication; • Application of prescription only antiseptic during a second or subsequent visit to physician; • Removal of significant foreign objects embedded in a wound (not small splinters), that can only be performed by a physician rather than a nurse or similar; • Treatment of deep tissue (second or third degree) burns; • Positive x-ray diagnosis of fractures, broken bones or similar serious injuries; or • Treatment in hospital as an in-patient.
Restricted Work Case (RWC)	A Restricted Work Case (RWC) is any work-related injury, other than a fatality LTI or MTI, which results in a person being unfit for performance of the regular job on any day after the occupational injury. Work performed might be: • an assignment to a temporary job; • part-time work at the regular job; • working full-time in the regular job but not performing the usual duties of the job. Notes: Where days are incurred due to time spent travelling or awaiting a diagnosis the work days are not included if the diagnosis does not result in a restricted work classification by the treating medical provider. Where a restriction is not imposed by a doctor or alternate medical professional (i.e. a restriction that may be put in place as part of early intervention), this is not to be considered an RWC.
Lost Time Injury (LTI)	A Lost Time Injury (LTI) is defined as an occurrence that resulted in a fatality, permanent disability or time lost from work of one day/shift or more.
Recordable Injury (RI)	A Recordable Injury (RI) is any injury that results in the occurrence of a fatality, Lost Time Injury, Medically Treated Injury, or Restricted Work Case.
Other	All non-work-related injuries (e.g. camp injuries, sporting) and non-specific event injuries (i.e. not linked to an incident report).