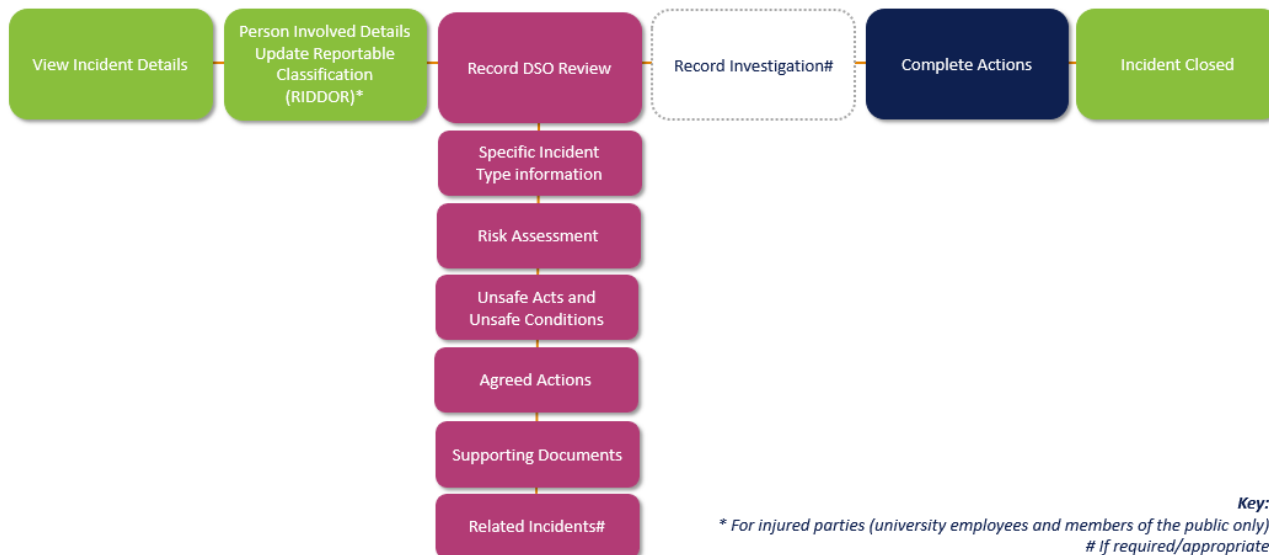


What does this guide cover?	This guide looks at how view and update health and safety incidents, record a Department Safety Officer (DSO) review and manually trigger an investigation if required.
Who is it aimed at?	Department Safety Officers, Area/Divisional Safety Officers, Specialist Safety Officers and the University Safety Office.

Introduction

The purpose of this document is to provide guidance on **how to:**

- **View** and **update** the details of a health and safety or environmental incident recorded in the Incident Reporting and Investigation System (IRIS)
- **View** and **record** a Department Safety Officer Review and manually **create** an Investigation.



Department Safety Officer (DSO) Review Overview

- Health and safety or environmental incidents can be reported by any Oxford University colleague via the Incident Reporting Form accessed from the Safety Office website. Once submitted, an email notification is sent to the relevant Department Safety Officer (DSO) with a link to the details. A DSO Review record is also created for them to document the findings of their initial review. Specialist Safety Officers will also be notified via email if it is a Fire or Environmental incident.

- The relevant Department Safety Officer then completes the DSO Review record. If not automatically created, the review may determine that an investigation is required. If so, an investigation record is created and an email notification automatically sent to the relevant Area/Divisional Safety Officer.



- If an investigation is required, the relevant Area/Divisional or University Safety Officer undertakes and records the findings of the investigation in the system. Once entered, and all outstanding actions are complete, the incident is closed.

Viewing Incident Details

Incidents logged in the system can be accessed by the relevant Department Safety Officer, Area/Divisional Safety Officer and University Safety Officers via:

- A link in an email notification generated by the system; or
- The IRIS Incident Home page.

To view an incident via an email notification generated by the system:

1. Access Outlook (or your preferred email application) and view the relevant email notification sent by the system.

View the record here: <https://OxfordUni.info-exchange.com/Secure/App-3/Table-28/Record-1772>

2. Click on the link where it says 'View the record here ...'. The Incident page is displayed containing 3 sections: Incident, Supporting Documents and DSO Review.

Incident

Incident Ref No. 221

Department, Faculty or School where Incident occurred UAT Test Centre 1A

Building/Location where incident occurred Ashmolean Museum

Incident Type Injury Incident

Incident Status Unreviewed

Supporting Documents (1)

Create new Supporting Documents

Document Ref No.	Date Uploaded	Type of Document	Document
67	02 Dec 2019	Photo	Door.jpg

DSO Review (1)

DSO Review Ref No. 181

Injury Cause

DSO Review Status Unreviewed

Incident

A summary of the incident including the type of incident, location, date, a general description and its current status.

Supporting Documents

Links to supporting documents uploaded when the incident was reported*.

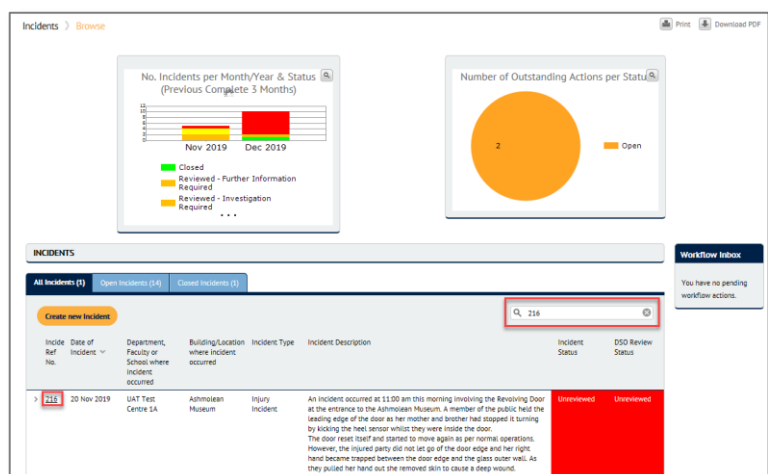
DSO Review

Access to the DSO Review record that is automatically created when the incident is submitted.

**Note: any documents uploaded as part of the DSO Review and Investigation (if appropriate) are not displayed here. These are uploaded and stored in the relevant sections.*

To view the details of an incident via the Incident Home Page:

1. Log into IRIS.
2. Click on the 'Incidents' Icon at the bottom the page or select 'INCIDENTS' in the Menu on the top right of the page. The Incidents page is displayed. *Note: Depending on your permissions, only the incident relating to your Department(s) (Department Safety Officer), Division (Area / Divisional Safety Officer) or all incident records (University Safety Office) will be displayed.*
3. From the Incidents section, enter your search criteria into the Search box in the top right corner and press **Enter** on your keyboard.
4. Click on the Incident Ref No relating to the incident you wish to review. The Incident page is displayed.



See IRIS How To - System Overview and Navigation for more information.

Updating Incident Details

When an incident is raised, the Department Safety Officer is required to review the details and update any missing / incomplete information such as the Reportable Classification for injured parties.

To review and update the details of an incident:

1. Follow the steps in the **'Viewing Incident Details'** section above. The Incident page is displayed.
2. Click on the **'Edit Incident'** button at the top of the page. The Edit Incident page is displayed.
3. Verify that the information provided in the incident form is correct paying particular attention to the location of the incident, incident categorisation, and any person involved in the incident. If not, update it as required.
4. For each 'Injured Party' or 'Potentially Exposed Person' follow Steps a-d below. For all other 'Person Involved' types go to Step 6.

- a. Click on the relevant **'Person Involved Ref No'** link. The Person Involved and Injury Details sections are displayed.



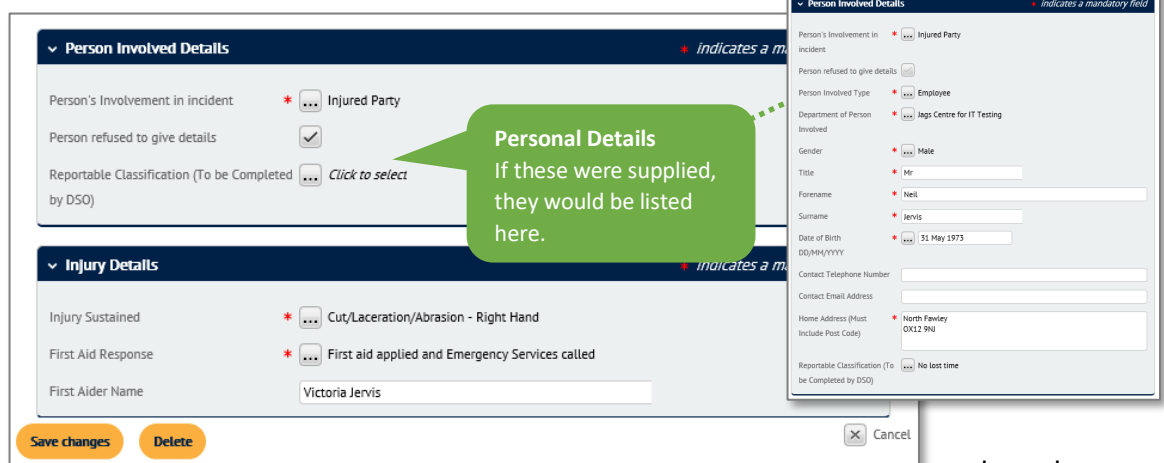
Person Involved Details (1)

Create new Person Involved

Person Involved Ref No, ▾ Person's Involvement in incident

132 Injured Party

b.



Person Involved Details

Person's Involvement in incident * ... Injured Party

Person refused to give details ☒

Reportable Classification (To be Completed by DSO) ... Click to select

Injury Details

Injury Sustained * ... Cut/Laceration/Abrasion - Right Hand

First Aid Response * ... First aid applied and Emergency Services called

First Aider Name Victoria Jervis

Save changes Delete Cancel

Personal Details
If these were supplied, they would be listed here.

Click on the

'...' button next to the 'Reportable Classification (To be Completed by DSO)' field.

- c. Click (tick) the relevant classification for the incident.

See IRIS How To - Select Reportable Classifications for more information on the

different categories, examples of when they should be used and associated functionality.

Note: The Reportable Classification for an injured party may change over the period of time it takes to undertake a DSO Review and Investigation (if required). They should therefore be reviewed and updated as required until the incident is closed.

- d. Update any other information as necessary and then click on the **'Save Changes'** button. Depending on the classification selected, an investigation may be automatically created and the relevant Area / Divisional Safety Officer or University Safety Office notified.
 - e. Repeat steps a – d for any additional injured parties listed in the Person Involved Details section.
5. When all of the information has been reviewed / updates made, click on the **'Save Changes'** button at the bottom of the main incident page. The **'Edit Incident'** page is displayed and the RIDDOR status is updated.

DSO Review (1)						
Search DSO Reviews						
DSO Review Ref No.	Injury Cause	Reportable Classification	Is an investigation required?	DSO Review Date	RIDDOR Status	DSO Review Status
176		Member of the Public			Probable RIDDOR	Unreviewed

Recording DSO Review Findings

When an incident is reported, a DSO Review record is automatically created for the relevant Departmental Safety Officer (DSO) to record their findings. These can be accessed directly from the incident record they relate to or independently from the Incidents Home page.

To access a DSO Review from an incident record:

1. Follow the steps in the **'Viewing Incident Details'** section above. The Incident page is displayed.
2. Click on the **'DSO Review Ref No'** link in the **'DSO Review Section'**. The DSO Review page is displayed, containing three main sections.

DSO Review (1)						
Search DSO Reviews						
DSO Review Ref No.	Injury Cause	Reportable Classification	Is an investigation required?	DSO Review Date	RIDDOR Status	DSO Review Status
181						Unreviewed

DSO Review

Summary details of the DSO Review findings entered to date including the highest RIDDOR status of any injured parties.

Further Actions Required, Supporting Documents, Related Incidents
 Tabs providing access to any actions, supporting documents or related incidents identified as part of the DSO Review.

Investigations
 Initially displayed only if an investigation has automatically been triggered based on the Reportable Classification. See Notes below.

Note: An investigation is automatically created if it meets specified criteria and is assigned to either the relevant Area/Divisional Safety Officer or the University Safety Office depending on its RIDDOR status. However, investigations can also be manually triggered as part of the DSO Review.

See IRIS How To – Select Reportable Classification (RIDDOR) for more information.

To access a DSO Review directly from the Incidents Home page:

1. Login to IRIS.
2. Click on the **'Incidents'** Icon at the bottom the page or select **'INCIDENTS'** in the Menu on the top right of the page. The Incidents page is displayed.
3. From the DSO Review section, enter your search criteria into the Search box in the top right corner and press **Enter** on your keyboard.
4. Click on the Incident Ref No relating to the DSO Review you wish to review. The DSO Review page is displayed.

Incident Ref No.	Department, Faculty or School where Incident occurred	Incident Type	Incident Description	DSO Review Date	DSO Review Status
216	UAT Test Centre 1A	Injury Incident	An incident occurred at 11:00 am this morning involving the Revolving Door at the entrance to the Adhmoolean Museum. A member of the public held the leading edge of the door as her mother and brother had stopped it turning by kicking the heel sensor whilst they were inside the door. The door reset itself and started to move again as per normal operations. However, the injured party did not let go of the door edge and her right hand became trapped between the door edge and the glass outer wall. As they pulled her hand out she removed skin to cause a deep wound.		Unreviewed
217	UAT Test Centre 1B	Injury Incident	An incident occurred at 11:00 am this morning involving the Revolving Door at the entrance to the Adhmoolean Museum. A member of the public held the leading edge of the door as her mother and brother had stopped it turning by kicking the heel sensor whilst they were inside the door. The door reset itself and started to move again as per normal operations. However, the injured party did not let go of the door edge and her right hand became trapped between the door edge and the glass outer wall. As they pulled her hand out she removed skin to cause a deep wound.	25 Nov 2019	Open - Further Information Required
218	UAT Test Centre 1A	Injury Incident	An incident occurred at 11:00 am this morning involving the Revolving Door at the entrance to the Adhmoolean Museum. A member of the public held the leading edge of the door as her mother and brother had stopped it turning by kicking the heel sensor whilst they were inside the door. The door reset itself and started to move again as per normal operations. However, the injured party did not let go of the door edge and her right hand became trapped between the door edge and the glass outer wall. As they pulled her hand out she removed skin to cause a deep wound. First aid was applied at the scene, an ambulance called and she was taken to	27 Nov 2019	Open - Open Actions

To view and record the findings of the DSO Review:

1. From the DSO Review page, click on the **'Edit DSO Review'** button at the top of the page. The DSO Review edit page is displayed.

Note: Some of the fields are pre-populated from the incident details.

2. Complete the following fields in the 'DSO Review' section:

Field Name	Description / Action
Injury Cause	<p>Click on the '...' button and select an appropriate option from the list. <i>Note: There are 2 pages of options.</i></p> <p>This information is required for submission to the Universities Safety and Health Association on an annual basis.</p> <p><i>See IRIS How To – Select Injury Cause (USHA) for more a detailed explanation on the different options and when they should be used.</i></p>
Is an investigation required?	<p>This field is only displayed if the RIDDOR status is recorded as 'Over 3 days', 'Under 3 days', 'No lost time', or 'Environmental'.</p> <p>You may be advised by a University Safety Officer, Area/Divisional Safety Officer, or the Head of Department that they would like an incident investigated.</p> <p>Click the '...' button and select 'No' or 'Yes' depending on the outcome of the DSO Review.</p> <p>If 'Yes' is selected, upon saving the DSO review, an Investigation record will be created and the relevant Area/Divisional Safety Officer informed.</p>

Field Name	Description / Action
Employee Absent From Work?	<p>Click on the '...' button and select from one of 4 options: 'Yes', 'No', 'Not Known' or 'N/A' (e.g. for external parties and members of the public).</p> <p>If 'Yes' is selected then two additional fields are displayed:</p> <ul style="list-style-type: none"> • First date of absence – enter the date the action should be completed by in DD/MM/YYYY format or click on the '...' button and select the appropriate date from the calendar. Upon completion the format of the date will change to DD MMM YYYY e.g. 12 Dec 2019. • Return to work date – enter the date the individual returned to work in DD/MM/YYYY format or click on the '...' button and select the appropriate date from the calendar. <p><i>Note: This can be left blank, but the DSO Review will not be closed until this is populated.</i></p>
Does someone else need to be informed?	<p>Click on the '...' and select 'No' or 'Yes', if someone else should be informed of the incident. If 'Yes' is selected, two additional fields are displayed:</p> <ul style="list-style-type: none"> • Please enter email address – if known, enter the email address of the person to be informed. • Is a consent form required to share this information? – click on the '...' button and select 'No' or 'Yes'. <p>If 'No' is selected a 'Why not' field is displayed and you are required to enter the reason why consent to share this information is not required.</p> <p>If 'Yes' is selected you are prompted to upload a copy of the completed consent form.</p>

3. If it is an Environmental or Fire incident, complete the additional questions relating to the specific incident type. See Appendix A for screen shots of the additional fields. For all other types, go to Step 4.
4. From the 'Risk Assessment' section, click on the '...' button to indicate if there is an appropriate risk assessment applicable to the incident and select 'Yes' or 'No'.

If 'Yes' is selected, two additional fields are displayed.

- a. **Date the risk assessment was last reviewed prior to the incident** – enter the date the existing risk assessment was reviewed in DD/MM/YYYY format or click on the '...' button and select the appropriate date from the calendar.
- b. **Current risk assessment upload** – click on the '...' button. The Edit document window is displayed.
 - i. Click on the '**Browse...**' button. The Windows Open dialogue box is displayed.
 - ii. Navigate to and select the Risk Assessment document to upload and then click on the '**Open**' button.

If 'No' is selected, you are asked if a risk assessment is required:

- a. **Is a risk assessment required?** – click on the '...' button. Select the appropriate option.
5. As part of the DSO Review process, the Department Safety Officer will be required to record any unsafe acts or conditions that may have contributed to a health and safety incident for monitoring and reporting purposes.

From the 'Unsafe Acts and Conditions' section:

- a. **Unsafe Acts** – click on the '...' button next to the Unsafe Acts field and select one or more options from the list and then click on the '**Done**' button.
- b. **Unsafe Conditions** – click on the '...' button next to the Unsafe Conditions field and select one or more options from the list and then click on the '**Done**' button.

See IRIS How To – Select Unsafe Acts and Conditions for more information on the different categories and examples of how they should be used.

6. If any actions were agreed to be taken as part of the review, follow Steps a – i below. Otherwise, go to Step 7.

- a. Click on the '**Create new further action required**' button. The 'Action Required' and 'Action Completion' sections are displayed.

There are two different ways to assign actions in the 'Action Required' section.

- **Assigned to** – this box should be used to assign tasks to individuals who

you can view in your department (Department Safety Officers), division (Area/Divisional Safety Officers) according to your user permissions.

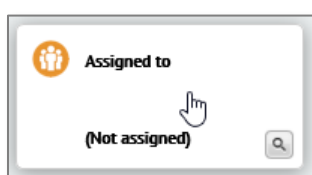
OR

- **Actionee Email Address** – for any individuals that you can't find using the 'Assigned to' function then simply enter their email address in the 'Actionee Email Address' field and they will be sent an email with a link to a form, which they can use to record completion of the task.

b. In the 'Action Required' section, complete the following fields:

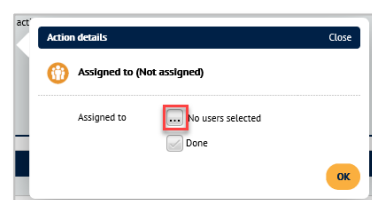
- **Target Completion Date** – enter the date the action should be completed by in DD/MM/YYYY format or click on the '...' button and select the appropriate date from the calendar.
- **Action Required** – enter a description of the task.

c. Click in the '**Assigned To**' box. The 'Action details' box is displayed.



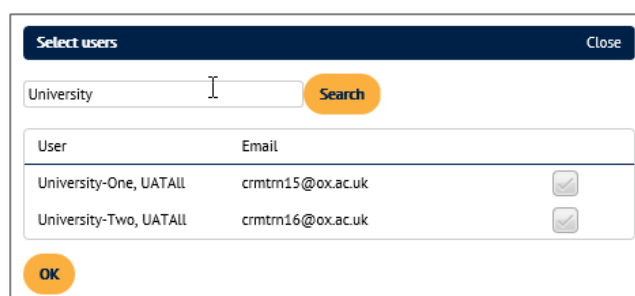
d. Click on the '...' button next to the 'Assigned to' field.

*Note: No users are currently assigned to this task.
The 'Select users' page is displayed.*



e. Enter the name of the person you wish to assign the task to in the Search field and click on the '**Search**' button.

Note: You will only be able search for and select those users in your department (Departmental Safety Officer) or Division (Area/Divisional Safety Officers), who have a user account in IRIS.



See step h to assign actions to any individuals not listed.

f. Click 'tick' the box to the right of one or more user(s) you wish to assign the action to and then click on the '**OK**' button. The users selected are listed.

Note: At this point it is important that you do not click (tick) the 'Done' option, unless the task has actually been completed.

- g. Click on the '**OK**' button to return to the Action Required section.

Note: The Blue timer icon indicates that users have been assigned (Assigned).

- h. For individuals from other departments and / or divisions that you can't view via the 'Assigned to' function then you can enter their email address in the 'Actionee email address' field.
- i. Click on the '**Save changes**' button underneath the Action Completion section. The Edit Further Action Required page is displayed.
- j. Repeat step 6 for additional tasks.

Note: For details on how to complete actions see 'How To –View and Complete Actions Guide'.

- 7. If any additional supporting documents such as a completed DSO Report, additional witness statements or email chains are available, then follow steps a – i to upload them. If not, go to step 8.

- a. Click on the '**Supporting Documents**' tab. The Supporting Documents section is displayed.

Click on the '**Create new supporting documents**' button. The Add Supporting Documents Detail section is displayed.

- b. Click on the '...' button next to the 'Document Upload' field. The Edit document window is displayed.
 - i. Click on the '**Browse...**' button. The Windows Open dialogue box is displayed.

- ii. Navigate to and select the supporting document to upload and then click on the **'Open'** button.
 - c. Click on the **'...'** button next to the **'Type of Document'** field. The type of document list is displayed.
 - d. Click (tick) the relevant option from the list.
 - e. Click in the **'Notes'** field and add a description of the document and any additional information that may be of use when reviewing the document.
 - f. Click on the **'Save Changes'** button at the bottom of the page. The Edit Supporting documents page is displayed.
 - g. Repeat step 7 for additional supporting information.
8. If this incident has been reported multiple times, click on the **'Related Incidents'** tab and follow steps a - d. If not, go to step 9.

- a. Click on the **'Create new Related Incidents'** button. The Related Incidents page is displayed.
- b. Click on the **'...'** button next to the **'Related Incident Ref No.'** The Related Incidents Reference list is displayed.

Note: Only open and closed incidents that the user has permissions to see are listed.

- c. Enter the related incidents number or, key word contained in the incident description, into the **'Search'** field and then press **'Enter'** on your keyboard.
 - d. Click (tick) the box next to the relevant related incident.
 - e. Click on the **'Save Changes'** button. A summary of the related incident selected is displayed.
 - f. Repeat step 8 additional related incidents.
9. Click on the **'Save Changes'** button at the bottom of the **'Edit'** DSO page. The DSO Review page is displayed. Once all of the relevant information has been recorded and all actions complete, the DSO will automatically be marked as closed subject to an investigation if required.

Note: You can also add/update Further Actions, Supporting Documents and Related Incidents from the main DSO Review page. If you do so, when you have saved your changes, you will need to use the Crumb Trail at the top of the page to get back to the DSO Review.

Further Information and Guidance

If you have any further queries, then please contact the Safety office on or 01865 (2)70811 or enquiries@safety.ox.ac.uk

Related Guidance Documents

How To – System Overview and Navigation
 How To – Select Reportable Classification (RIDDOR)
 How To – Select Unsafe Acts and Conditions
 How To – Select Injury Cause (USHA)

How To – Report a Health and Safety Incident
 How To – Record an Investigation
 How To – View and Complete Actions
 How To – Retention Periods

Appendix A – Incident Type Specific Sections

Incident Classification	Additional Sections	Comments
Additional Incident Detail Sections by Incident Type		
Fire	<div> <div>Fire Incident</div> <div> <div>Was there a fire?</div> <div>Click to select</div> </div> <div> <div>Fire Service in Attendance?</div> <div>Click to select</div> </div> <div> <div>Was there an alarm activation?</div> <div>Click to select</div> </div> </div>	
Environmental	<div> <div>Environmental Incident</div> <div> <div>What Occurred?</div> <div>Incident/Event</div> <div>Material/Agent Released (if known)</div> <div>Environmental Impact</div> <div>Land</div> <div>Quantity of Material/Agent Released (if known)</div> <div>Was any first response equipment used?</div> <div>Yes</div> <div>Were other neighbouring areas affected?</div> <div>No</div> <div>What equipment was used?</div> <div>Temporary Bunds</div> </div> </div>	Optional fields to record any materials involved in the incident if they are known at that point
Exposure	<div> <div>Exposure</div> <div> <div>Type of Exposure</div> <div>Biological</div> </div> </div>	Often displayed for Chemical, Biological, Radiation and Asbestos type incidents if the 'Did a person suffer exposure box' option is set to 'Yes'.
Additional DSO Review Sections by Incident Type		
Fire	<div> <div>Fire Incident</div> <div> <div>Fire Category</div> <div>Click to select</div> <div>Cause of Fire Alarm Activation</div> <div>Click to select</div> </div> </div>	
Environmental	<div> <div>Environmental Incident</div> <div> <div>Type of Incident</div> <div>Click to select</div> <div>Were other parties involved?</div> <div>Click to select</div> <div>Reported to Agencies or Regulators?</div> <div>Click to select</div> <div>Cause</div> <div>Click to select</div> <div>Categorisation</div> <div>Click to select</div> </div> </div>	