

Record a Health and Safety Incident Investigation



What does this guide cover?	This guide looks at how health and safety incident investigation records are created in IRIS and provides guidance on how to complete them.
Who is it aimed at?	Area/Divisional Safety Officers and the University Safety Office.

Introduction

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

- View an investigation record in the Incident Reporting and Investigation System (IRIS)
- **Record** the details of an investigation into a health and safety incident that may have been automatically triggered based on the type and/or classification of the incident or manually triggered by a Department Safety Officer (DSO).

View Incident Details View Incident Details (RIDDOR)*	Record DSO Review	Record Investigation#	Complete Actions	Incident Closed
		Investigation Summary and Team	Complete Investigation	
		Risk Assessment		
		Unsafe Acts & Unsafe Conditions		
		Investigation Report		
		Agreed Actions		
		Supporting Documents		
		······································		Key:

* For injured parties (university employees and members of the public only) # If required/appropriate

Recording Investigations Overview

Investigation records in IRIS are created and assigned to the relevant safety officer in one of two ways:

 Automatically – an investigation record is automatically triggered based on the incident's RIDDOR status, which is determined by the highest Reportable Classification for any injured party or members of the public involved. The investigation will be assigned to the relevant



Area/Divisional Safety Officer or University Safety Office depending on their 'Probable' of 'Definite' RIDDOR Status.

• **Manually** – for any other incidents that have a 'No RIDDOR' status, the DSO has the ability to manually trigger the creation of an investigation record in IRIS.

If an investigation is triggered either automatically or manually, an email notification is sent to the relevant Area/Divisional Safety Officer or University Safety Officer.

See Appendix A – Investigation Triggers and Email Notifications for more information.

Recording Investigation Details

Investigation records can be accessed in three different ways, via:

- Email Notification sent to the Department's relevant Area/Divisional Safety Officer or University Safety Office depending on the RIDDOR Status of the incident.
- Incident Home Page the 'Investigations' area on the IRIS Incident Home Page. Only those investigations the user has permissions to view will be listed.
- **DSO Review** the 'Investigation' section in the relevant DSO Review.

To access the investigation record via an investigation notification email:

- Access Outlook (or your preferred email application) and view the relevant email notification sent from the system.
- Click on the link in the email where it says 'The Incident can be viewed using the following link'.

The Incident page is displayed.

An Investigation is rea Test Centre 1A	quired into a Injury Incident that has recently occurred at UAT
Dear Victoria	
RE: Incident Reference Number 23	15
	sstigation on the IRIS System in relation to the above incident. Please follow the hyperlink below to view how to complete an investigation, please refer to the guidance document in the Document Library on
The incident can be viewed using t	he following link https://OxfordUni.info-exchange.com/Secure/App-3/Table-28/Record-1862.
Kind Regards,	
University Safety Office	

- 3. Click on the '**DSO Review Reference No link'** in the 'DSO Review' section. The DSO Review page is displayed.
- 4. Click on the **Investigation Ref No link** in the 'Investigations' section. The Investigation page is displayed consisting of three sections containing the main investigation details, as well as any further actions required and additional supporting materials obtained during the investigation.

Investigations (1)	Division: UAT Division 1 > Unit: UAT Department 1 > > DSO Review: 176 > Investigation: 170 (current)	ub-Unit: UAT Test Centre 1A 👌 Month Summary: UAT Test Centre 1A 👌 Incident: 216
Investigation Ref	Edit Investigation	Automatically generated on 20 Nov 2019 13:22
No.	 Investigation 	
170	Investigation Ref No. 170	Investigation Created Date 20 Nov 2019
	Investigation Owner	Investigation Team
	Investigation Summary	Status Investigation Required
	Further Actions Required (0) Supporting Documents (0)	
	Create new Further Action Required	Q, Search Further Actions Required
		There are no records to display.

To access an investigation record from a DSO Review:

- 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.
- 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

Click on the	DSO REVIEWS					
'Incident Ref No'	All DSO Review	s (1) Unreviewed	(7) Further Infor	mation Required (1) Reviewed (4) Open - Open Actions (4)		
relating to the					Q 216	\otimes
investigation you	Incident Ref No.	Department, Faculty or	Incident Type	Incident Description	DSO Review Date 🗸	DSO Review Status
wish to review.		School where incident occurred				
The DSO Review	216	UAT Test Centre 1A	Injury Incident	An incident occurred at 11:00 am this morning involving the Revolving Door at the entra the Ashmolean Museum. A member of the public held the leading edge of the door as he mother and brother had stopped it turning by kicking the heel sensor whilst they were in	er	Open - Open Actions
page is				the door. The door reset itself and started to move again as per normal operations. However, the i party did not let go of the door edge and her right hand became trapped between the do	njured	
displayed.				and the glass outer wall. As they pulled her hand out she removed skin to cause a deep	wound.	

5. Click on the 'Incident Ref No' in the 'Investigations' section.

To access an investigation record directly from the Incidents 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.

3. From the 'Investigations' section, enter your search criteria into the 'Search' box in the top right corner and press **Enter** on your keyboard.

See the How To - IRIS System Overview and Navigation Guide for more information on the Search function.

4. Click on the **Incident Ref No** relating to the investigation you wish to review. The Investigation page is displayed.

Investigatio	ns (1) Reviewed - Open A	Actions (0)	Investigation Required (7)	Closed (2)			
Incident Ref No.	Department, Faculty or School where incident	DSO Review Ref	Investigation Created Date 🗸	Investigation Owner	Investigation Team	Q 216 Was there an applicable risk	(
216	occurred UAT Test Centre 1A	No.	20 Nov 2019			assessment for the activity?	Investigation Requir

To view and record the findings of an investigation:

1. From the Investigations page, click on the **'Edit Investigation'** button at the top of the page. The Edit Investigation page is displayed.

	Save changes	170 UAT1AB ASO-One 18 Dec 2019	Incident Ref No. Investigation Team Investigation Summary	Investigation Details Details of the investigation team and a high level summary of the activities undertaken.
	Risk Assessment Was there an applicable risk assessmen for the activity?	t 🔹 🔐 Cilck to select		Risk Assessment Amended / final version of the risk assessment relating to the incident.
Unsafe Acts & Conditions Final categorisation for reporting purposes.			Unsafe Conditions	Indicates a mandatory field Investigation Completion For the investigation to be closed by the Investigation Owner, the final Investigation Report needs to be uploaded and all actions completed.
Further Actions Required As identified by the investigation.	Further Actions Required (0) Supp Create new Further Action Require	Additional doci	uments obtained stigation relating	Search Further Actions Required

2. Complete the following fields in the 'Investigation' section:

Field Name	Description / Action
Investigation Team	Enter the names of the members of the investigation team separated by a comma.
Investigation Summary	Enter a succinct summary of the activities, findings, outputs and recommendations from the investigation into the incident.

3. From the 'Risk Assessment' section, click on the '...' button to indicate if there was an update required to any risk assessment following this incident and investigation, and select 'Yes' or 'No'.

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

- a. Date the Risk Assessment Reviewed enter the date the risk assessment was reviewed in DD/MM/YYYY format or click on the '…' button and select the appropriate date from the calendar. Upon completion, the date format will change to DD MMM YYYY e.g. 12 Dec 2019.
- b. **New Risk Assessment Upload** click on the **'...'** button. The Edit document box is displayed.
 - i. Click on the '**Browse...**' button. The Windows Open dialogue box is displayed.
 - ii. Navigate to and select the updated 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:

- Why not? free text box. Enter the justification for why no update was needed.
- 4. Go to 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 'How To – Select Unsafe Acts and Conditions' for more information on the different categories and examples of how they should be used.

5. Go to the 'Investigation Completion' section and click on the '...' button next to the 'Investigation Report' field. The 'Edit Document' box is displayed.

- a. Click on the 'Browse...' button. The Windows Open dialogue box is displayed.
- b. Navigate to and select the Investigation Report document to upload and then click on the '**Open'** button. The box closes and the file name is displayed.
- 6. If any further actions were agreed to be taken as part of the investigation, follow Steps a i below. Otherwise, go to Step 7.

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.

✓ Action Required		 indicates a mandatory field
Action Ref No.	Automatically assigned	
Action Date	Automatically calculated	
Person Responsible	Automatically calculated	
Target Completion Date	* DD MMM YYYY	
Action Required	*	
Current workflow step	$^{\vee}$ Action (1 action pending)	
() Assigned to		
(Not assigned)		
Actionee Email Address		

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 competion of the task.
- a. Go to the 'Further Actions Required' section and click on the **'Create new Further Action Required'** button. The 'Action Required' and 'Action Completion' sections are displayed.
- 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.



Action details		Close
💮 Assigned to (1	lot assigned)	
Assigned to	No users selected	
	Done	
		ок

- d. Click on the '...' button next to the 'Assigned to' field.
- e. Enter the name of the person you wish to assign the task to in the Search field and click on the '**Search**' button at the top of the box.

niversity .	Search	
Jser	Email	
Jniversity-One, UATAll	crmtrn15@ox.ac.uk	
Jniversity-Two, UATAll	crmtm16@ox.ac.uk	

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 user records in IRIS.

See step h to assign actions to other individuals.

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 at the bottom of the section. The users selected are listed.

ction details		Close	
😚 Assigned to (N	ot assigned)		Note: At this point it is important that you do not
Assigned to	UATALL University-One, UATALL University-Two		click (tick) the 'Done' option, unless the task has actually
		ОК	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 any 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 emaill address' field.
- i. Click on the '**Save changes**' button underneath the Action Completion section. The Edit DSO Review page is displayed and the Further Actions Required section is updated. The status of the action is listed as 'Open'.
- j. Repeat step 6 for additional tasks.
- 7. If any additional supporting documents such as additional witness statements or email chains are available, then follow steps a g to upload them. If not, go to step 8.
 - a. Click on the 'Supporting Documents' tab. The Supporting Documents section is displayed.

 Details 		Indicates a mandatory field
Document Ref No.	Automatically assigned	
Document Upload	* No file attached	
Date Uploaded	Automatically calculated	
Type of Document	* 📖 Click to select	
Notes		
Save changes		

- b. Click on the '**Create new Supporting Documents**' button. The Add Supporting Documents Details box is displayed.
- c. 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.
- d. Click on the '...' button next to the '**Type of Document'** field. The type of document list is displayed.
- e. Click (tick) the relevant option from the list.
- f. Click in the '**Notes**' field and add a description of the document and any additional information that may be of use when reviewing it.
- g. Click on the 'Save changes' button at the bottom of the page. The Supporting Documents section is updated with a link to the additional document and associated details.
- 8. Click on the '**Save changes**' button at the bottom of the page. The main Investigation page is displayed listing a summary of the investigation and any further actions identified and supporting documentation obtained during the investigation process.

Completing an Investigation

An investigation is marked as closed in IRIS when the following rules are met:

- Investigation Report the Investigation Report is uploaded.
- Actions all investigation actions are closed in both the DSO Review and the Investigation.
- **Confirmation by Investigation Owner** the Investigation is marked as complete by the investigation owner.

The first two requirements are met automatically, the third requires manual intervention by the Investigation Owner.

To complete an Investigation:

- 1. Navigate to and view the relevant investigation.
- 2. Click on the 'Edit Investigation' button. The Edit page is displayed,
- 3. In the 'Investigation Completion' section, click on the (Assigned) '**Investigation Owner**' box.



The Action Details section is displayed.

 Click (tick) the 'Done' option and then click on the 'OK' button.

Ó	Investigation	Owner (Probable RIDDOR) (Assigned)	
	Assigned to	UAT1AB ASO-One	
		Done	

5. Click on the '**Save Changes**' button. The Investigation page is displayed and the Investigation should now have a closed status.

Note: If this does not show immediately, try refreshing the page. If the status still hasn't updated then check that all of the actions are complete in both the DSO Review and Investigation, and that an investigation report has been uploaded.

Edit Investigation			Last mo	dified by UAT1AB ASO-One on 18 Dec 20	19 17:50 📥 Print 🔳 Download
 Investigation 					
Investigation Ref No.	170		Investigation Created Date	18 Dec 2019	
Investigation Owner	UAT:	LAB ASO-One	Investigation Team	Chris Sanders and Kerri Richard	ds
Investigation Summa	ry See I	nvestigation Report	Status	Closed	
Create new Furth	Action Date V	Action Required	Person Responsible	C Sear	ch Further Actions Required
> <u>126</u>	18 Dec 2019	Confirm that the door has been brought back into operation.	UAT1AB ASO-One	31 Dec 2019	Closed

Further Information and Guidance

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

Related Guidance Documents			
How To – System Overview and Navigation	How To – Report a Safety Incident		
How To – Select Reportable Classification (RIDDOR)	How To – Update Incident Details and Record a		
How To – Select Unsafe Acts and Conditions	DSO Review		
How To – Select Injury Cause (USHA)	How To – View and Complete Actions		

Appendix A – Investigation Triggers and Email Notifications

DSO Review Record	Investigation Record		
	Automatically Triggered		Manual Trigger Option
Reportable Classification	University Safety Office	Area/Divisional Safety Officer	Area/Divisional Safety Officer
Fatal	✓		
Specified Injury	✓		
Dangerous Occurrence	✓		
Reportable Disease	✓		
Member of the Public		✓	
Over 7 days		✓	
Over 3 days			\checkmark
Under 3 days			\checkmark
No lost time			\checkmark
Environmental			\checkmark
RIDDOR Status Key:	Definite RIDDOR	Probable RIDDOR	No RIDDOR