HOW-TO Guide

Record a Health and Safety Incident Investigation

UNIVERSITY OF OXFORD
IRIS – Incident Reporting & Investigation System

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:**

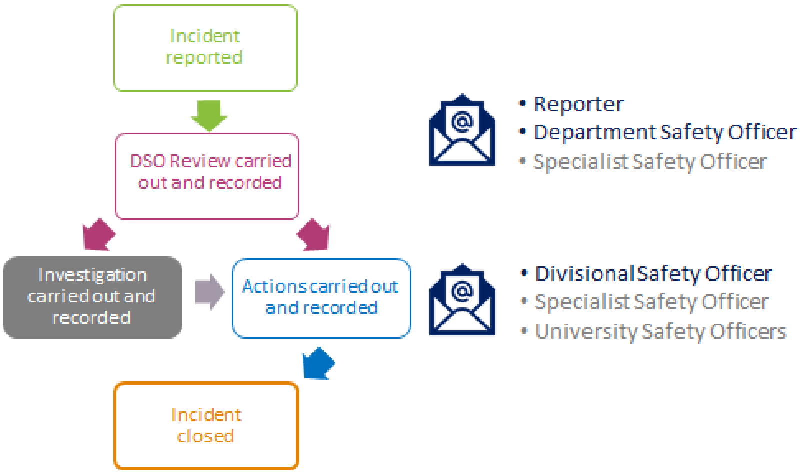
- **View** an investigation record in the Incident Reporting and Investigation System (IRIS)
- **Record** the details of an investigation into a health and safety incident that may have been automatically triggered based on the type and/or classification of the incident or manually triggered by a Department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

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.

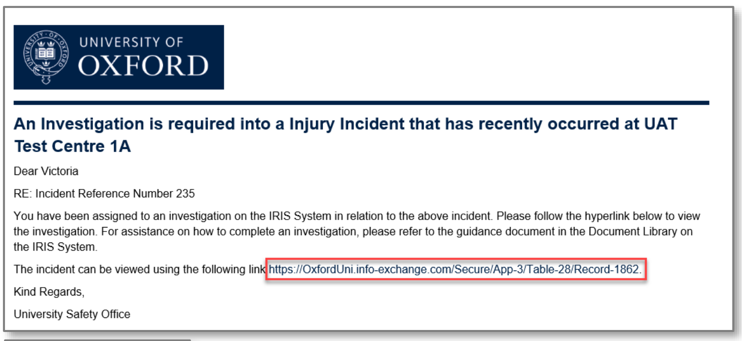
- **DSO Review** – the 'Investigation' section in the relevant DSO Review.

To access the investigation record via an investigation notification email:

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

2. Click on the link in the email where it says 'The Incident can be viewed using the following link ….'.

   The Incident page is displayed.



UNIVERSITY OF OXFORD

An Investigation is required into a Injury Incident that has recently occurred at UAT Test Centre 1A

Dear Victoria

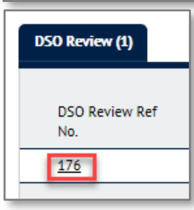
RE: Incident Reference Number 235

You have been assigned to an investigation on the IRIS System in relation to the above incident. Please follow the hyperlink below to view the investigation. For assistance on how to complete an investigation, please refer to the guidance document in the Document Library on the IRIS System.

The incident can be viewed using the following link https://OxfordUni.info-exchange.com/Secure/App-3/Table-28/Record-1862.

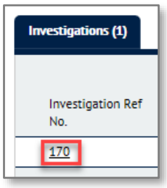
Kind Regards,

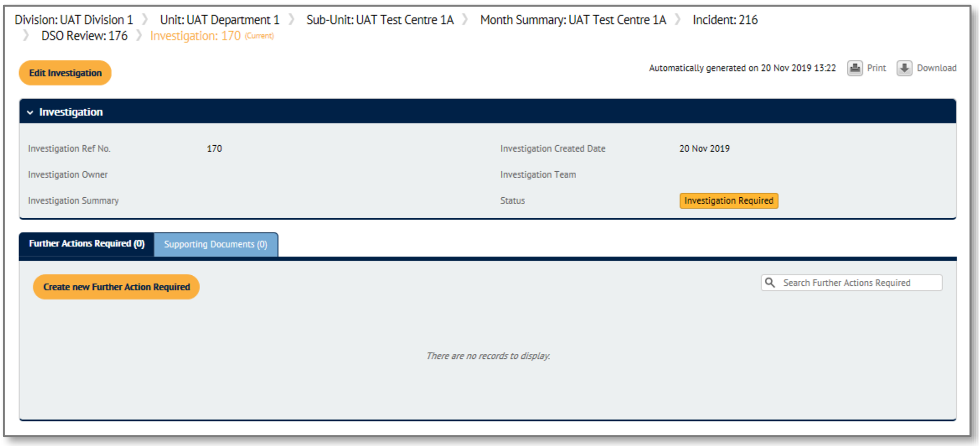
University Safety Office



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.





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 '**Incident Ref No**' relating to the investigation you wish to review. The DSO Review page is displayed.

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

To access an investigation record directly from the Incidents Home page:

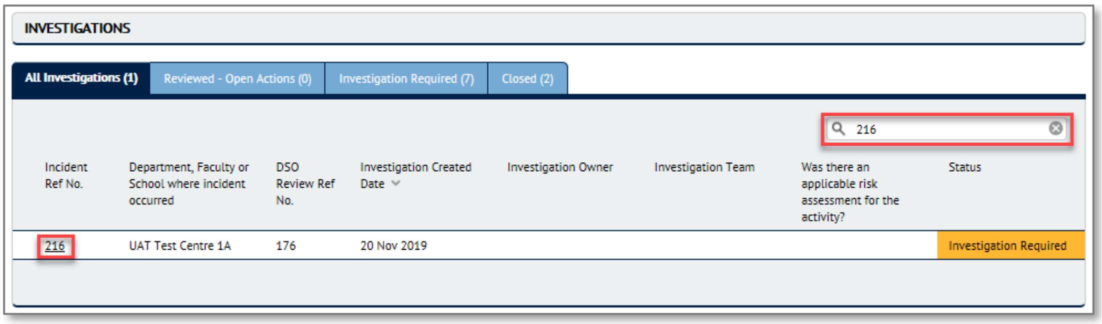
1. Log into IRIS.

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.



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.

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.

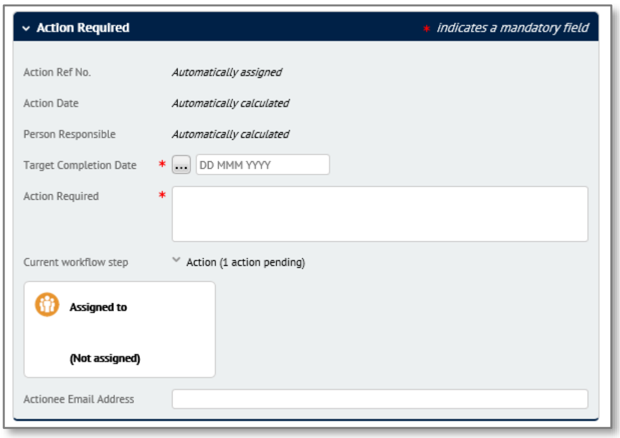
5. Go to the 'Investigation Completion' section and click on the '**…**' button next to the 'Investigation Report' field. The 'Edit Document' box is displayed.

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.

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.

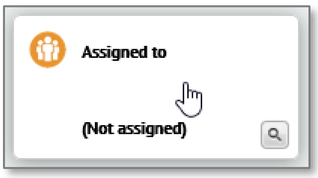
a. Go to the 'Further Actions Required' section and click on the **'Create new Further Action Required'** button. The 'Action Required' and 'Action Completion' sections are displayed.

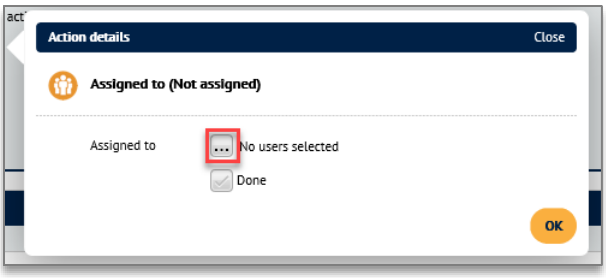
b. In the 'Action Required' section, complete the following fields:

- **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.

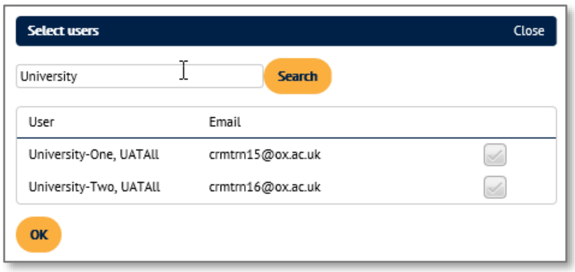
c. Click in the '**Assigned To**' box. The 'Action details' box is displayed.





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

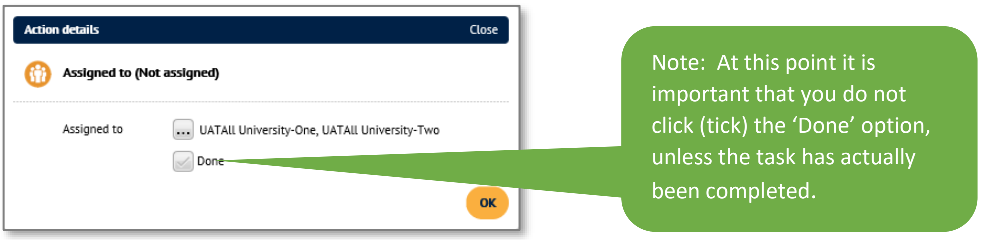
e. Enter the name of the person you wish to assign the task to in the Search field and click on the '**Search**' button at the top of the box.



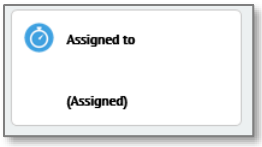
Note: You will only be able search for and select those users in your department (Departmental Safety Officer) or Division (Area/Divisional Safety Officers), who have user records in IRIS.

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.



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).



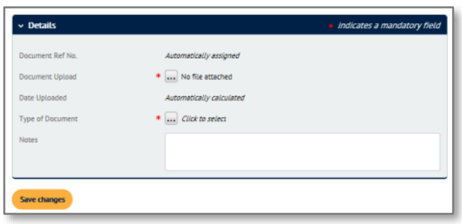
h. For any individuals from other departments and / or divisions that you can't view via the 'Assigned to' function then you can enter their email address in the 'Actionee emaill address' field.

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.



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.

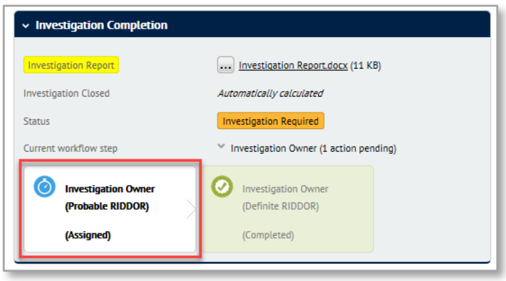
The first two requirements are met automatically, the third requires manual intervention by the Investigation Owner.

To complete an Investigation:

1. Navigate to and view the relevant investigation.

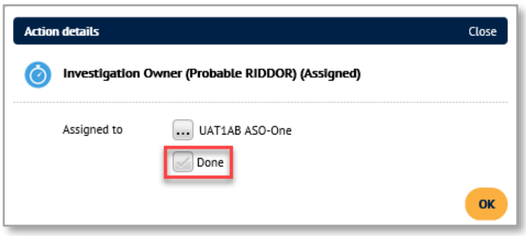
2. Click on the ‘**Edit Investigation’** button. The Edit page is displayed,

3. In the ‘Investigation Completion’ section, click on the (Assigned) ‘**Investigation Owner**’ box.



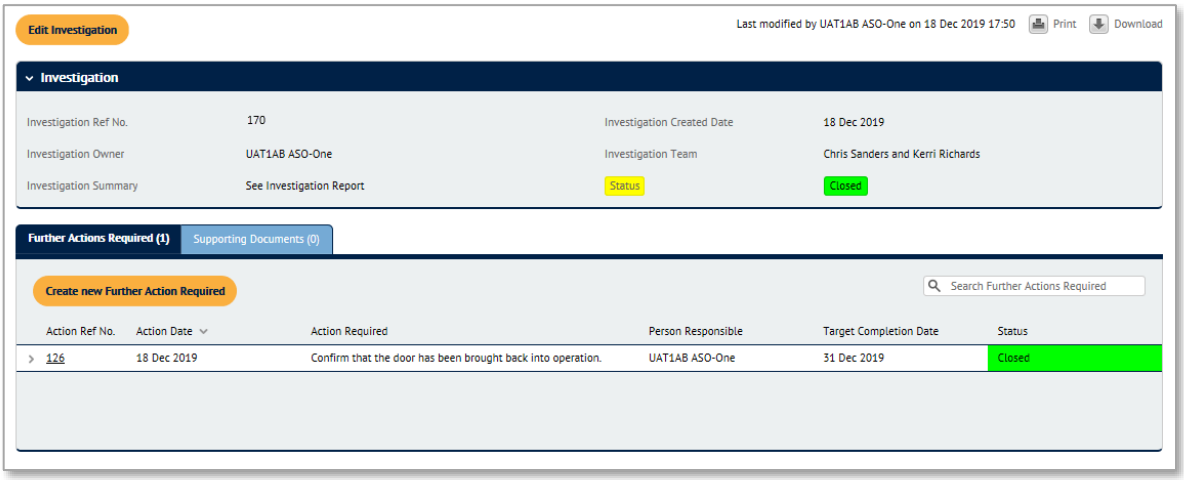
The Action Details section is displayed.

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



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.



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 Safety Incident How To – Update Incident Details and Record a DSO Review How To – View and Complete Actions

Appendix A – Investigation Triggers and Email Notifications

DSO Review Record	Investigation Record		
Reportable Classification	Automatically Triggered		Manual Trigger Option
	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			✓
Under 3 days			✓
No lost time			✓
Environmental			✓
RIDDOR Status Key:	*Definite RIDDOR*	*Probable RIDDOR*	*No RIDDOR*