

INCIDENT INVESTIGATION POLICY AND PROCEDURE

Purpose:

This policy aims to establish a standardised approach for investigating incidents that occur within Downs Syndrome NSW (DS NSW). The goal of this policy is to identify the root causes of incidents, implement corrective actions, and prevent future incidents from occurring.

Policy Statement:

DS NSW is committed to providing a safe and healthy work environment for all employees, contractors, visitors and participants. We recognize the importance of incident investigation in preventing future incidents and maintaining a safe workplace and safe environment. This policy outlines the procedures for reporting, investigating, and documenting incidents that occur within DS NSW

Definitions:

- Incident: Any unplanned or unexpected event that results in or has the potential to result in injury, damage to property, loss of information or disruption to business operations.
- Investigation: The process of collecting information, analyzing evidence, and determining the root causes of an incident.

Responsibilities:

CEO	Oversee the implementation of this policy and procedure. Ensure compliance of this policy and procedure. Manage non-compliance of this policy and procedure.
COO	Support the CEO to analyse and report on any incidents to the Board
Management	Ensure compliance of this policy and procedure. Report non-compliance to the CEO.
Workers	Comply with this policy and procedure.

Non-Retaliation:

DS NSW prohibits retaliation against any employee, contractor, or visitor who reports an incident or who participates in an incident investigation.

Document Control

Form review every: 3 years

Version	Date Commenced	Form Owner	Change Description	Review Date	Form Approver
V1.0	April 2023	Specialist People and Culture	New Form	March 2026	CEO

Incident Investigation Procedure:

The Incident Investigation Procedure outlines the steps that must be taken to report, investigate, and document incidents. All employees, contractors, and visitors must comply with the procedures outlined in this policy.

1. **Reporting:** Employees, contractors, visitors and/participants who witness or are involved in an incident must report the incident immediately to the supervisor or manager. The report should include a description of the incident, the time and location of the incident, and the names of any witnesses or individuals involved. Individuals must use [The Incident Investigation Form](#) to report any incident that occurs.
2. **Initial Response:** The supervisor or manager will respond to the incident and take any necessary steps to ensure the safety of individuals, protect property, and preserve evidence. The supervisor or manager will also notify the Health and Safety Manager and any other appropriate individuals or departments.
3. **Investigation:** The supervisor or manager will investigate to determine the root cause of the incident. The investigation may include interviewing witnesses, reviewing documentation, and analysing evidence. The Health and Safety Manager may assist with the investigation as needed.
4. **Root Cause Analysis:** Once the investigation is complete, the supervisor or manager will identify the root causes of the incident. The root cause analysis should determine what factors contributed to the incident and what corrective actions are necessary to prevent future incidents from occurring.
5. **Corrective Actions:** The supervisor or manager will develop and implement corrective actions to address the root causes of the incident. Corrective actions may include changes to policies, procedures, or training, or the installation of new equipment or systems.
6. **Documentation:** All incident reports, investigation findings, and corrective actions must be documented and retained in accordance with DS NSW's record retention policy.
7. **Follow-Up:** The supervisor or manager will conduct a follow-up review to ensure that the corrective actions have been implemented and are effective. The Health and Safety Manager may assist with the follow-up review as needed.
8. **Communication:** The supervisor or manager will communicate the results of the incident investigation and the corrective actions taken to all relevant parties,

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Down Syndrome
New South Wales

including employees, contractors, and visitors who were involved in the incident or who may be affected by the corrective actions.

The COO supports the CEO to analyse and report on any incidents to the Board at each monthly meeting, in order to identify any trends and take steps to rectify them as appropriate.

Reporting to the Board includes:

- The number of incidents occurring
- The time taken to investigate and address the incidents
- Actions arising from incidents
- The outcome of actions, including matters addressed and resolved
- Systemic issues identified, and opportunities for improvement.

Associated Documents:

[Client Protection Policy and Procedure](#)

[Discrimination Bullying and Harassment Policy and Procedure](#)

[Managing External Complaints and Feedback Policy and Procedure](#)

[Participant Incident Policy and Procedure](#)

[Risk Management Policy and Procedure](#)

[Up! Club Policy and Procedure](#)

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