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Dragon Boating WA

INCIDENT REPORTING AND INVESTIGATION PROCEDURE

Rev 3

Dec 2023

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Purpose

The purpose of the procedure is to provide a standard practice to outline the requirements of Dragon Boating WA (DBWA) for incident notification, reporting and investigation.

This procedure and associated documentation will apply to all DBWA sponsored events, Western Australian (WA) registered club, members, officials, volunteers and activities associated with the sport i.e. training sessions, regattas, transportation of boats/equipment.

Responsibilities

DBWA requires that all Board Members, WA registered club committees, club presidents, club vice presidents, club coaches and sweeps shall be familiar with and abide by this procedure.

Club committees, presidents, coaches and sweeps shall ensure that all club members are familiar with the requirements of this procedure and monitor compliance when required.

Definitions

- AusDBF – Australian Dragon Boating Federation
- DBWA – Dragon Boating Western Australia

Reference

This document shall be read in conjunction with the DBWA Safety Manual.

Requirements

Incident types to be reported and recorded are:

- Injury / Illness
- Near miss incidents
- Damage incidents
- Boat / vehicle incidents
- Community / third party contact incidents
- Environmental incidents

Procedures

Minimum Requirements

All registered clubs and club members have the responsibility to report all incidents no matter how minor to their president, coach or sweep, as soon as is reasonably practicable after the event and no later than 24 hours of the incident occurring.

Any incident that results in an injury occurring must be reported immediately to the club president, coach and / or sweep. DBWA President is to be advised of any serious injury as soon as is reasonably practicable within 2 hours of the incident.

Incidents are to be reported to Dragon Boating WA utilising the Safe365 Safety Management Program. WA Clubs are to nominate two positions (Coach and President normally) within their club to be the registered users for the Safe 365 program.

The WA Head Coach will review all incidents that are reported and recorded in Safe365, and DBWA Board will minute and discuss incidents at the monthly Board meetings.

Notifications

Verbal Notification

The following table outlines the verbal notification process:

Notification to:	Notified by: Responsible Person	First Aid Only	Near Miss Incident	Medically Treated Injury / Illness	Serious Incident	Environmental
DBWA	Club President	Within 24 hours	Immediate*	Immediate*	Immediate*	Within 24 hours
Club President	Sweep / Coach	Immediate*	Immediate*	Immediate*	Immediate*	Within 24 hours
Sweep / Coach	Club Member	Immediate*	Immediate*	Immediate*	Immediate*	Within 24 hours

* **Immediate:** As soon as practicable within 2 hours of the incident

Table 1 Verbal Notification Process

Incident Reporting Requirements

All initial incident notifications are to be submitted within 24 hours of the event occurring to Safe365, unless specified at a shorter notification period in Table 1. The nominated positions of DBWA President, DBWA Administration Director and WA Head Coach shall receive an email notification from Safe365 advising of the submission.

Part A - The initial report notification is to be completed by the injured person or witness and submitted to the club president.

On completion the investigation reports the club are to input the close out actions to Safe365 and notify the initial person reporting the incident of the outcome of the investigation. DBWA Board shall review the action and outcomes initiated by the club and discuss at the monthly Board meeting.

Report	First Aid Only	Near Miss Incident	Medically Treated Injury / Illness	Serious Incident	Environmental
Incident Notification	Same Day	Same Day	Same Day	Immediate	Same Day
Incident Investigation	Within 7 Days (if required)	Within 7 Days	Within 48 Hours	Within 24 Hours	Within 7 Days
Corrective Actions / Close Outs	Within 14 Days	Within 7 Days	Within 7 Days	Within 7 Days	Within 14 Days

Table 2 Reporting and Investigation Requirements

Investigation

All incidents as identified in Table 2 shall be investigated by the club to establish the cause of the event and to implement actions to minimise the risk of the event occurring again.

Investigation Flowchart

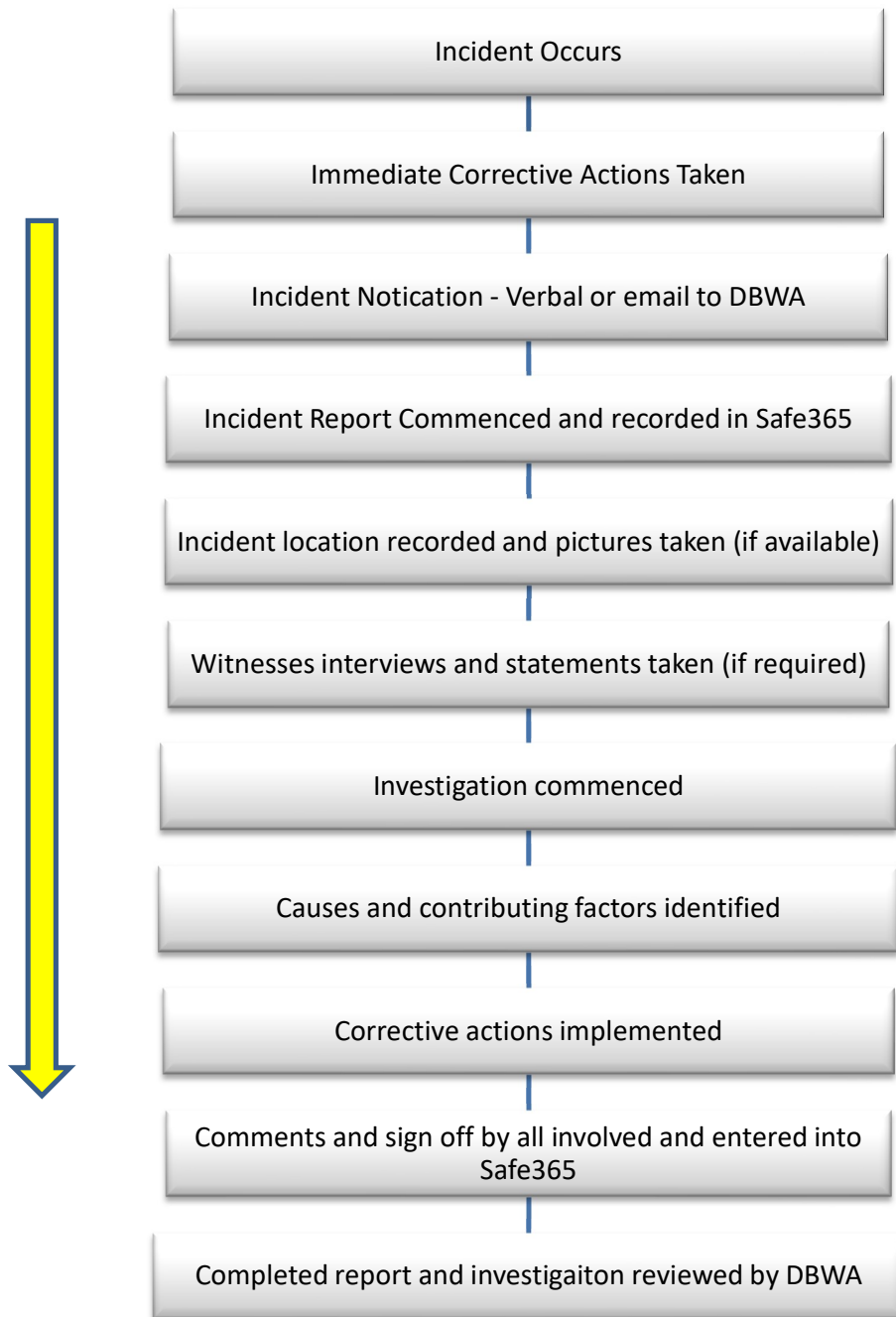


Figure 1 Investigation flowchart

Investigation Team

Club presidents are responsible for the initial commencement of the incident investigation. Inclusion of other relevant club members should also be included where necessary.

The investigation team should comprise of a cross section of the club, as an example:

- President
- Coach
- Sweep
- Committee Member
- Witnesses involved (where possible)

Communication between all of the above is key for a complete, comprehensive and fair understanding of the incident.

Process for Incident Investigation

A useful approach to incident investigation is:

1. Find out what happened. Let each witness involved tell you their story without prompting or questions from you.
2. Once you have established what each witness saw and contributed to the event, take a statement from each one (if possible).
3. Visit the site of the incident and review it in the light of each story you have heard. Make preliminary measurements, sketches and photographs to preserve the situation as it was at the time of the incident.
4. Sight and think through the situation, collate the facts and form an initial opinion. Prepare a first draft report.
5. Return to the individuals and question them if there is a need to clarify certain points. You may need to supplement their account with questions but do not lead them.
6. Prepare your final report. Remember to cover:
 - What
 - Why
 - When
 - How
 - Where
 - Who
7. Build in follow-up action.

The right time for investigation is as soon as possible after the incident. The shorter the time lapse between the investigation and the incident, the more accurate the information is likely to be. Facts are still fresh in the minds of the individuals and the witnesses.

Identifying the Cause

Avoid Allocation of Blame

The primary purpose of conducting an investigation is to find the causes and not to apportion the blame. Accusations levelled, or the apportionment of blame to individuals make for defensive witnesses, and thereby prevents the investigators from establishing the direct (mechanical and behavioural) and contributory causes.

Boating / On Water Causes

Foreseeable hazards arising from exposure to dangerous boating situations, strong winds, rough water, storm conditions, collision with other vessels, wake from other vessels, nighttime paddling, poorly maintained boats and equipment, etc.

Behavioural Causes

Disregard for accepted safety practices, procedures or rules, such as the misuse of tools and equipment, disregard instructions of sweep, disregard of cautionary advice, failure to wear protective equipment, horseplay, affected by alcohol and or illicit drugs.

Interviewing Witnesses

When investigating incidents, it is easy to fall into the trap of identifying the lowest causal factors, i.e. "human failure" or "acts of god". As the term implies, an act of god is usually outside human control. Human failure is controllable, but in order to achieve, control, it is necessary to sub divide the human failure element into three basis areas:

- Unsafe acts of persons;
- Unsafe sporting conditions;
- Contributory causes.

The importance of distinguishing between unsafe acts and unsafe conditions cannot be overstated. For it is at this level of analysis that the direct causes usually emerge. It is from these two areas that a more in-depth investigation can be carried out to determine the total contributory causes.

Recognising that the objective of the investigation is prevention. This follows that prevention can only be achieved if all causes are discovered. It is therefore necessary to keep three basic questions in mind during the investigation.

- What – were the contributory causes?
- Why – was the unsafe act or condition permitted?
- How – can a similar incident be prevented?

Note: These questions should never be put during an interview of persons who are concerned with or have witnessed the incident.

Incident Risk Ranking

All incidents are to be risk rated to ensure a structured priority is placed on the incident management, notification, investigation and reporting. The risk will clearly identify the actual consequence that did occur as a result of the incident.

Impact

When considering impact, it is important to consider more than just people, other potential outcomes may have a greater effect such as property and environment. When determining the impact, the highest score on the matrix should be utilised. The impact is ranked from insignificant to severe.

IMPACT RATING	Score	Risk Categories					
		Financial	Operational	Health, Safety & Environment	Legal & Regulatory Compliance	Reputation	Market and Events
Insignificant	1	Direct loss of opportunity cost impact of less than \$5k.	Negligible or no impact on delivery of services. Interruption to systems / processes for less than 1 day.	First aid treatment only required. Under \$5k damage and minimal disruption. No environmental damage.	Low level legal or regulatory issues, minor compliance breach of internal policies and procedures.	Local public relations concern. No effect on operations.	Isolated complaints that are minor in nature with insignificant impact on revenue or events.
Minor	2	Direct loss of opportunity cost impact of \$5k - \$10k.	Interruption to critical systems / processes for between 2 – 3 days	Minor medical attention required. \$5k - \$50k damage and slight disruption. Minor environmental damage.	Potential legal or regulatory issue or compliance breach requiring board management attention. Minor financial impact.	Attention in local media public distrust.	Low level complaints received limited local and adverse media coverage with minor impact on revenue or events.
Medium	3	Direct loss of opportunity cost impact of \$10k - \$25k.	Moderate interruptions to services resulting in delays to processes for between 4 – 5 days	Single loss time injury or reversible hospitalisation for single person. \$50k - \$100k damage and slight disruption. Reversible environmental damage	Legal or regulatory issue involving substantial management time to resolve those results in moderate financial impacts or restrictions.	Adverse local media, ongoing public attention.	Moderate level of customer complaints receiving state or regional media coverage with moderate impact on revenue or events.
Major	4	Direct loss of opportunity cost impact of \$25k - \$50k.	Disruption preventing delivery of one or more services and or major interruption to critical systems and processes for 6 – 7 days	Multiple loss time injury or significant reversible requiring hospitalisation for multiple persons. \$100k - \$250k damage and contingency plan required. Serious environmental damage	Legal or regulatory issue involving substantial senior management time to resolve those results in major financial impacts or restrictions.	National media attention, operations restricted, brand impacted.	Large numbers of complaints receiving adverse state or regional media coverage with major impact on revenue or events.
Severe	5	Direct loss of opportunity cost impact of greater than \$50k.	Catastrophic disruption preventing delivery of multiple services and or major interruption to critical systems and processes for greater than 7 days.	Fatality or significant irreversible disability. More than \$250k damage and reorganisation of premises. Major environmental damage	Successful prosecution for breach of legal or regulatory compliance obligations resulting in severe financial impact or restrictions.	International media attention, international events at risk.	Prolonged (>2 months) adverse national media coverage and or regulatory attention resulting in severe impacts on revenue or events.

Table 3 Impact

Probability

Determine the probability from the rare to almost certain. Using the probability chart establish the probability of the consequence severity occurring. Not the probability of the incident / event occurring.

Probability 1-5	Description	Frequency
1 - Rare	The event may only occur in exceptional circumstances.	Likely to occur less than once in 10 years.
2 - Unlikely	The event could occur at some time.	May occur once every 5 years.
3 - Possible	The event should occur at some time.	The risk event could occur in a 2-year period.
4 - Likely	The event will probably occur in most circumstances.	The risk could occur once per year.
5 – Almost Certain	The event is expected to occur in most circumstances	The risk could occur more than once per year.

Table 4 Probability

Calculate the risk

After determining the likelihood and consequence, the next step is to calculate the risk. The agreed outcome from Table 3 Consequences and Table 4 Likelihood should then be applied to the risk assessment matrix to determine the level of risk.

Risk Matrix					
	Impact				
1	1	2	3	4	5
2	2	4	6	8	10
3	3	6	9	12	15
4	4	8	12	16	20
5	5	10	15	20	25

Table 5 Risk Assessment Calculator

It is important to recognise that it is not possible to remedy all areas at once. The ranking score is to be used to facilitate the prioritising of effects focused controlling hazards and reducing risks.

The resulting rating and investigation findings will be reviewed against the initial risk assessment completed by the registered club to ensure appropriate changes are implemented. The review will also extend to existing procedure/s to ensure they are sufficient and where recommended, changes made.

Communication of investigation findings

The club president will communicate the findings of the investigation to DBWA in order to share the information with all relevant stakeholders to help prevent similar incidents from occurring again. All findings and close out actions should be updated to the initial report in Safe365.

Register clubs shall communicate investigation findings with:

- DBWA
- Club members
- Club committee
- All involved in the incident
- All involved in the investigation

DBWA shall communicate investigation findings it deems appropriate to:

- AusDBF
- Registered Clubs
- Registered Members
- Club Officials
- Department of Transport
- Western Australian Police
- Regulatory Agency

Confidentiality

Information identifying a registered club or member will not be released by DBWA to any third party except with written consent from the registered club and or member, or to obtain professional or legal advice, or if required by law.

In the interest of safety, discussions of incidents may be discussed at DBWA committee meetings and investigation findings and preventative actions released to other registered clubs, but not specifically identifying that registered club or members directly involved.

Submission of incident reports, investigation and findings

All initial incident reports, investigation and findings will be submitted to DBWA by the registered club president. Reports should be forwarded to the DBWA Administration email account of admin@dbwa.net.au

If the club president is not available a designated person from the registered club will forward the required information to DBWA.

It is the responsibility of the registered club presidents to ensure that all incident notifications and reports are recorded as soon as reasonably practicable to DBWA.