INTERNAL AUDIT CHECKLIST
INCIDENT REPORTING AND INVESTIGATION

Audit No._____   Date: _____   Auditor(s):_____

Item	Compliance	Remarks
Has an incident management system been implemented and maintained across the organisation that addresses incidents and near misses?		
Does the incident management system ensure that when an incident or near miss is relevant to more than one category, all identified categories are address when reported in the system?		
Does OTML have established procedures and supporting documentation that are maintained to ensure incidents and near misses are managed appropriately?		
Do the procedures describe the processes for: • Scene / site preservation? • Restart procedures? • Injury / illness management? • Incident and near miss reporting and recording? • Risk classification? • Emergency and crisis management?		

• Business continuity plans? • Identification of responsible personnel and their defined roles throughout the incident / near miss process? • Notification requirements and timeframes for recording and reporting incidents / near misses? • Regulatory and jurisdictional reporting requirements? • Appointment of legal counsel for certain incidents? • Management and closure for corrective and preventative actions? • Risk register review? • Learning outcomes, communication and stakeholder engagement? • Documentation and record retention?		
Has OTML established and maintained an electronic incident management system and database that incorporates recording, reporting and storage of information and action management requirements?		
Are all personnel who are in a position of authority to enter information into OTML's electronic incident management system trained and competent to ensure accurate records and incident management takes place?		

Has one incident investigation methodology been adopted across the organisation?		
Is this methodology used for all investigations of incidents / near misses?		
Does the investigation process: • Establish the facts surrounding the incident? • Identify contributing factors? • Ensure that existing controls and procedures are adequate? • Generate a report of findings? • Provide recommendations for corrective and preventative actions to reduce risk and prevent recurrences? • Facilitate identification of organisational factors or deficiencies for root cause analysis? • Identify learning opportunities for continuous improvement?		
Is a risk matrix utilised to determine the risk level of an incident or near miss?		
Is the risk level based upon the actual and potential consequences, and the most credible outcome?		

Are Incidents investigated at a level of detail that is appropriate to the highest risk level?		
Are personnel who are appointed to lead or participate in an investigation trained to the level that is appropriate for their involvement?		
Are investigations: • Initiated and conducted in accordance with the established timeframes? • Monitored to ensure compliance?		
Do responsible managers ensure that investigations are completed and closed out in the electronic management system within the specified timeframes?		
Are Corporate Legal Counsel consulted when a significant incident occurs?		
Is information regarding incident investigation outcomes and lessons learned communicated to OTML personnel by the appropriate level of management?		
Do responsible managers present outcomes and lessons learned to OTML's senior management committee when an incident is assigned a risk level of "high"?		
Has the OTML Board established a set of key performance indicators that are aligned with the business functions?		

Are incidents and near misses reviewed annually to ensure that reporting criteria remains appropriate, and to identify trends and deficiencies that may exist within the incident management system?		
Are SHEC compliance audits carried out at least every 3 years?		
Are the incident management system, support processes and documentation reviewed regularly to ensure they are compliant and effective?		
Is an annual review of incidents and near misses for incident categories conducted to determine trends and deficiencies, and to share common learning across the organisation?		
Are the following KPIs regularly monitored and reviewed: • Total incident report statistics • Overdue incident reports • Fatalities • TRIFR • LTIFR • Environmental incidents • Spills / loss of containment		

• Total volume spilled		
• Hours worked		
• High potential incidents		
• Serious vehicle / mobile plant incidents		
• Driving high impact incidents		
• Seatbelt exceptions		
• Driving IVMS		
• Property / plant damage		
• Adverse media reporting		
• Proactive SHEC reporting		

Key:

Exceed / Action NA	Requirements with this score exceed obligations. No corrective action required.
Compliant / Low Priority	Requirements with this score do not require corrective action. Opportunities for improvement should become a longer term goal once the quality system is established.
Minor N/C / Medium	Requirements with this score require corrective action which should become a medium term priority. These are quick wins but you should focus on the major non-conformities first.
Major N/C / High Priority	Requirements with this score require corrective action which should become a high priority for rectification. These elements should be corrected by ensuring full implementation and documentation.
Major N/C	Requirements with this score require corrective action which must become an immediate priority. These elements must be corrected through process implementation

Immediate	and documentation.