

| | | | |
|------------------------------|--|----------------------|-----------------------|
| Policy Hierarchy link | Work Health and Safety Act 2011 Work Health and Safety Regulation 2011 Work Health and Safety Policy | | |
| Responsible Officer | Director, UNSW Safety and Sustainability | | |
| Contact Officer | Manager, UNSW Health & Safety | | |
| Superseded Documents | HS307 HS Hazard & Incident Procedure v7.2 | | |
| File Number | 2016/00369 | | |
| Associated Documents | HS713 Guide to reporting hazards and incidents HS003 Incident Investigation Guide HS714 Supervisors guide to dealing with reported hazards and incidents | | |
| Version | Authorised by | Approval Date | Effective Date |
| 8.0 | Director, UNSW Safety and Sustainability | 16 March 2016 | 16 March 2016 |

| | | |
|-------|--|---|
| 1. | Purpose and Scope..... | 1 |
| 2. | Definitions..... | 1 |
| 3. | Procedure..... | 2 |
| 3.1 | Identifying a hazard or incident | 2 |
| 3.2 | Recognise and Respond | 2 |
| 3.3 | Completing a hazard and incident report | 2 |
| 3.4 | Incident investigation | 3 |
| 3.4.1 | Detailed incident investigation..... | 3 |
| 3.5 | Reporting Incidents to Authorities | 4 |
| 3.5.1 | Reporting notifiable incident to the Regulator | 4 |
| 3.5.2 | Reporting to other Authorities..... | 4 |
| 3.5.3 | Preservation of the site..... | 5 |
| 3.6 | Recordkeeping | 5 |
| 4. | Review & History..... | 5 |
| | Appendix A – Notifiable incidents..... | 6 |

1. Purpose and Scope

Hazard and Incident Reporting Procedure is designed to:

- Identify potential hazards to the health and safety of staff, students and visitors to UNSW campuses;
- Encourage early reporting and corrective actions;
- Reduce the number of incidents arising from UNSW activities;
- Enable senior management to identify areas of concern; and
- Facilitate corrective action to address the causes of the hazards or incidents.

This procedure applies to all workers, including all staff, students, contractors and visitors on any UNSW campus or affected by UNSW business. It applies to hazards and incidents identified at a UNSW campus or, a place of work for a UNSW staff or student, or whilst travelling on UNSW business.

Hazards identified in areas outside of the normal control of a School or Unit, e.g. on internal footpaths or roadways, should also be reported to Facilities Management via FM Assist. UNSW Canberra should report to Defense Support and Reform Group.

2. Definitions

Corrective action: Any action taken to eliminate or remedy an undesirable situation or condition.

Hazard: Hazard is a situation or thing that has the potential to cause harm to people, property or the environment.

Incident: A Health & Safety (HS) incident is any unplanned event which occurs in the course of UNSW work which could result in:

- Work illnesses;
- fire and explosion;
- Physical injuries;
- Minor injuries;
- Equipment plant or property damage;
- Dangerous occurrences which could have, but did not injure any person;
- Exposure to hazardous substances or circumstances;
- Material harm to the environment is caused or threatened;
- Any other incident that could put workers or plant at risk.

Notifiable incident is an event that must be reported to the Regulator, that is

- (a) the death of a person, or
- (b) a serious injury or illness of a person, or
- (c) a dangerous incident.

See Appendix A for a list of serious injuries or illnesses and dangerous incidents, detailed within Part 3 of the Work Health and Safety Act 2011 (WHS Act 2011).

Note: All events that lead to an injury, illness or possible injury/illness must be reported to UNSW, regardless of whether they are a “notifiable incident”.

Worker: A person is a **worker** if the person carries out work in any capacity for a person conducting a business or undertaking (PCBU), including work as: an worker, contractor or subcontractor, an worker of a contractor or subcontractor, or an worker of a labour hire company assigned to work for a PCBU, an outworker, an apprentice or trainee, a student gaining work experience, volunteer.

3. Procedure

3.1 Identifying a hazard or incident

Workers may identify a hazard during their normal day-to-day activities, or during a planned inspection or audit. An incident is one where it meets the criteria in the definition above.

All hazards and incidents must be reported as soon as practicable after the event, where it is a notifiable incident the Manager HS Unit or HS Coordinator must be informed immediately (e.g. by phone or in person).

3.2 Recognise and Respond

- Assess the situation and at no time put yourself or others in danger
- Inform a supervisor if possible.
- Assess the need to trigger Emergency Response
- Immediate actions may include raising alarm, evacuation, access control
- Initiate response for rescue, medical, fire, security, isolation, containment
- Consider site preservation and data gathering for investigation phase
- Consider debrief, counselling, EAP needs for those potentially affected

3.3 Completing a hazard and incident report

All hazards and incidents can be reported online via myUNSW. The details for how to report hazards and incidents can be found in the Guide to reporting hazards and incidents (HS713).

If access to myUNSW is unavailable e.g. due to problems with the network, the paper form HS001 Hazard_Incident_Reporting Form is available on the Health and Safety website. This form must be submitted to the responsible supervisor

and a copy sent to the HS Unit. This form can also be used by those who do not have access to myUNSW, for example visitors and contractors, who want to submit a report. To avoid the use of paper forms, those who have access to myUNSW can submit a report 'on behalf' of another staff member, visitor or contractor.

3.4 Incident investigation

The supervisor responsible for the person who reported the hazard or incident must carry out an investigation. The supervisor, along with the person who reported the hazard/incident, need to identify corrective actions and the supervisor must ensure these are implemented where necessary. This should be recorded in the online hazard and incident reporting system.

Corrective actions must be closed off on the system by supervisors in a timely manner. The risk rating for the hazard determines the timeframes for commencing action e.g. if it's a very high or high risk you might tag out equipment

| | |
|-----------|-----------------|
| Very High | Act immediately |
| High | Act today |
| Medium | Act this week |
| Low | Act this month |

Refer to Appendix A: Risk Rating Matrix in the HS329 Risk Management Procedure

Details on how to do this can be found in Supervisors guide for managing reported hazards and incidents (HS714).

3.4.1 Detailed incident investigation

Any incident that is notifiable to the Regulator or becomes a Workers Compensation claim must be reviewed to determine whether a detailed investigation is required. The HS Unit will coordinate the investigation in conjunction with the UNSW Legal Office (if required), senior manager (if required), HS committee representative (if necessary) and relevant supervisor from the local School or Unit. The HS Unit will coordinate any external investigation report that is to be forwarded to SafeWork NSW, WorkSafe ACT or other relevant authority. If required, a content expert in the area, field or equipment relating to the incident will be consulted.

HS003 Incident Investigation Report can be used to assist the incident investigation and the subsequent report.

The investigation process should include the following steps:

1. When an investigation team is formed the incident investigation team may include management representatives who have knowledge of the relevant work area or process, members of UNSW Health and Safety, Health and Safety Representative, topic-specific specialists.
2. If there are any witnesses or persons that were involved in the incident/issue you should attempt to interview them about the incident/issue. Some useful things to remember in interviews are:
 - a. Avoid asking leading questions or prompting the witness (example; Open: Where were you at the time? Leading: You were in the kitchen at the time were you?)
 - b. Document only the facts: what the interviewee said, did or saw

3. The people/person involved in the investigation should inspect the area and/or equipment related to the incident/issue.
4. Photos should be taken wherever possible; these are particularly beneficial to those who may not be familiar with the area.
5. Any test equipment (e.g. air monitor) used must be properly calibrated and within service date.
6. Get copies of risk management forms (SWP's, training records, induction records etc) related to the incident/issue.
7. Narrow down the causes of the incident/issue by a process of elimination. Determine whether the following contributing factors had an impact on the incident/issue:
 - a. Environment
 - b. People
 - c. Plant/Materials/Substances
 - d. Actions taken
8. Identify root causes of the incident and attach all supporting investigation information to the incident file.
9. Identify any corrective actions to prevent the incident from happening again, or suggested measures to help resolve the health & safety issue.

To ensure corrective actions arising from the incident investigation are appropriate and realistic, it is important to get the input of workers or workers representative who will be directly affected by those actions. Records of corrective actions must be assigned to individuals.

For reportable incidents or potential SafeWork NSW reportable incidents, Health and Safety must follow an internal template.

3.5 Reporting Incidents to Authorities

3.5.1 Reporting notifiable incident to the Regulator

Any notifiable incident shall be reported to the Regulator immediately (within 48 hours) by the fastest means possible e.g. by telephone or in writing. The Manager HS Unit will coordinate the reporting of notifiable incidents to SafeWork NSW.

Note- It's important to provide emergency care e.g. first aid or ambulance, to make sure your worker gets the right care before contacting the regulator.

Where an incident occurs out of business hours the Security Manager will contact the Manager HS Unit in order to coordinate the reporting.

At UNSW Canberra, the Manager HS & Facilities will coordinate the reporting of notifiable incidents to WorkSafe ACT. If a notifiable incident occurs outside of business hours the relevant UNSW Canberra manager must either notify WorkSafe ACT on 6207 3000 or the Manager HS & Facilities as soon as practicable.

3.5.2 Reporting to other Authorities

In the event of a serious incident which requires reporting to other regulatory authorities, contact the relevant responsible officer (for example in the event of a radiation incident contact the UNSW Radiation Safety Officer, in the event of a release of, or exposure to, a genetically modified organism (GMO) contact the

GTRC Support Officer in the UNSW RECS Unit). The Manager HS Unit can also be contacted to help direct reporting.

3.5.3 Preservation of the site

Where UNSW is the controller of the workplace where a notifiable incident has occurred it shall ensure, so far as is reasonable practicable, that the site (e.g. plant, substance, structure) is not disturbed until an inspector arrives or directs so.

3.6 Recordkeeping

A workers compensation injury, system failure or a serious illness, injury or incident must be recorded in UNSW online reporting system. The online reporting system is the recording system for incident root causes, investigation details and corrective actions.

All records relating to HS hazard and incident reporting and investigation must be maintained in accordance with the University's Recordkeeping Policy.

4. Review & History

| Version | Authorised by | Approval Date | Effective Date | Sections modified |
|---------|--|---------------|----------------|---|
| 1-5 | Director, Risk Management Unit | 2001-2005 | 2001-2005 | |
| 5.1 | Director, Human Resources | 1/3/2007 | 1/1/2007 | All |
| 6.0 | Director, Human Resources | 1/1/2007 | 1/1/2007 | Details of investigation committee added. Scope increased. Reporting serious incidents and recordkeeping added. |
| 6.1 | OHS Manager | 1/1/2007 | 1/1/2007 | Details of investigator competency added |
| 7.0 | Director, Human Resources | 19/11/2010 | 19/11/2010 | Hazard and incident reporting procedure changed to reflect online system. |
| 7.1 | Director, Human Resources | 24/04/2013 | 24/04/2013 | Specified that any WorkCover NSW notifiable or Workers Compensation Incident must have detailed investigation. Updated the notifiable incidents to what is specified in the new legislation. Added the need to preserve the site. Removed reference to travel to or from work Updated Branding Logo in accordance with UNSW Branding Guidelines. Modified the document identifier from OHS to HS in accordance with WHS legislation review |
| 7.2 | Director, UNSW Safety and Sustainability | 30 April 2014 | 30 April 2014 | Reviewed for administrative updates |
| 8.0 | Director, UNSW Safety and Sustainability | 16 March 2016 | 16 March 2016 | Reviewed for administrative updates, investigation processes and reporting timeframes to authorities. |

Appendix A – Notifiable incidents

(Reference- Work Health and Safety Act 2011- Part 3 Incident Notification, Section 35-39)

1. Death of a person

2. Serious injury or illness of a person

A serious injury or illness of a person means an injury or illness requiring the person to have:

- (a) immediate treatment as an in-patient in a hospital, or
- (b) immediate treatment for:
 - (i) the amputation of any part of his or her body, or
 - (ii) a serious head injury, or
 - (iii) a serious eye injury, or
 - (iv) a serious burn, or
 - (v) the separation of his or her skin from an underlying tissue (such as de-gloving or scalping), or
 - (vi) a spinal injury, or
 - (vii) the loss of a bodily function, or
 - (viii) serious lacerations, or
- (c) medical treatment within 48 hours of exposure to a substance, and includes any other injury or illness prescribed by the regulations but does not include an illness or injury of a prescribed kind.

3. Dangerous incident

A dangerous incident means an incident in relation to a workplace that exposes a worker or any other person to a serious risk to a person's health or safety emanating from an immediate or imminent exposure to:

- (a) an uncontrolled escape, spillage or leakage of a substance, or
- (b) an uncontrolled implosion, explosion or fire, or
- (c) an uncontrolled escape of gas or steam, or
- (d) an uncontrolled escape of a pressurised substance, or
- (e) electric shock, or
- (f) the fall or release from a height of any plant, substance or thing, or
- (g) the collapse, overturning, failure or malfunction of, or damage to, any plant that is required to be authorised for use in accordance with the regulations, or
- (h) the collapse or partial collapse of a structure, or
- (i) the collapse or failure of an excavation or of any shoring supporting an excavation, or
- (j) the inrush of water, mud or gas in workings, in an underground excavation or tunnel, or
- (k) the interruption of the main system of ventilation in an underground excavation or tunnel, or
- (l) any other event prescribed by the regulations, but does not include an incident of a prescribed kind.