Hazard & Incident Reporting Procedure – HS307

Introduction

Early reporting of hazards and incidents enables prompt identification of corrective actions that need to be implemented to prevent recurrence of similar hazards and incidents, ultimately reducing the number of hazards and incidents occurring across UNSW.

Reporting of hazards and incidents also enables senior management to identify and address areas of concern and trends in occurrence (Refer to Appendix 1: Hazard and Incident Reporting Flowchart).

1. Identifying a hazard or incident

Hazards may be identified in several ways including during normal day-to-day activities, during an inspection or audit, or as the result of an incident investigation. An incident may occur as a result of a hazard/s impacting the safety of people, equipment, or the environment. This may result in injury, damage, or environmental releases.

All hazards and incidents must be reported as soon as practicable after the event.
Death, serious illness or injury and dangerous incidents (defined as Notifiable – see Appendix 2), must be reported immediately to the Senior Manager, Safety and Injury Management, or a member of the Safety Unit located here - https://safety.unsw.edu.au/contacts.

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 an Emergency Response, such as raising alarm, evacuation, access control, obtaining first aid assistance
- Initiate response for rescue, medical, fire, security, isolation, containment where required
- Consider site preservation and data gathering for the investigation phase
- Consider debrief, counselling and EAP services for those potentially affected.

3. Completing hazard and incident reports
Confidential reports are to be submitted directly to the Senior Manager, Safety and Injury Management by emailing a completed Hazard & Incident Report Form – HS001 to safety@unsw.edu.au. Indicate Confidential in the email header.
All other hazards and incidents are to be reported online in WHS Monitor which can be accessed via myUNSW / WHS Monitor. For further details on how to report an entry in WHS Monitor, refer to:
- How to Report a Hazard
- How to Report an Incident
- How to Report an Inspection.

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.
Hazard & Incident Report Form – HS001 can be used to report a hazard or incident if:
- WHS Monitor is off-line; or
- The person reporting the issue does not have access to the online platform.

The person completing the form must submit the form to their supervisor/manager as soon as practical for recording in MyUNSW / WHS Monitor. A copy of the paper form must be emailed to safety@unsw.edu.au.

4. Managing hazard and incident reports
The supervisor responsible for the person who reported the hazard or incident must carry out further investigations to identify corrective actions, in consultation with the person reporting the issue. Corrective actions must be recorded in the related report and assigned to an appropriate responsible person. The nominated responsible person must ensure the corrective actions are implemented in a timely manner. Corrective actions should then be reviewed for effectiveness, prior to closing out the relevant entry in WHS Monitor.
For further details in managing an entry in WHS Monitor, refer to:
- How to Manage a Hazard
- How to Manage an Incident
- How to Manage an Inspection
- How to Create Corrective Actions.

4.1. Incident investigations
Safety related incidents falling in the below categories require a detailed investigation to be conducted:

a) A serious incident has been reported, which may need to be reported to the State Regulator (e.g., in NSW - SafeWork NSW; in Canberra - WorkSafe ACT)
b) An incident/issue that has been accepted as a Workers Compensation claim
c) An issue that has been previously raised with the worker’s supervisor or their work group’s Safety Representative (HSR), or the Safety Committee (L3) which has not been able to be resolved
d) As requested by the Senior Manager, Safety and Injury Management.
In addition to reporting the incident in WHS Monitor, \textit{Investigation Report Form – HS003} must be completed to record the detail of the investigation.

The Safety Unit will coordinate the investigation with other relevant persons as required, such as the Senior Manager of the area, supervisor of the area, HS Committee representative, the UNSW Legal Office. The Safety Unit will coordinate any external investigation report that is to be forwarded to SafeWork NSW, WorkSafe ACT or other relevant authorities. If required, a content expert in the area, field or equipment relating to the incident will be consulted.

The investigation process should include the following steps to gather information required to complete the \textit{Investigation Report Form – HS003}:

1. The formation of the investigation team which may include a central safety contact; management representatives who have knowledge of the relevant work area or process; the relevant manager/supervisor from the School or Unit, and the appointment of a lead investigator.

2. If there are any witnesses or persons that were involved in the incident/issue, the lead investigator should attempt to interview them. Some useful things to remember in interviews are:
   a. Avoid asking leading questions or prompting the witness (e.g., 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 persons 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. Obtain copies of Risk Management Forms (RMFs), Safe Work Procedures (SWPs), 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. Equipment
   c. Organisation
   d. People
   e. Procedure

8. Identify the root cause/s of the incident/issue

9. Attach all supporting investigation information to the Investigation Report Form

10. Identify any corrective actions to prevent the incident/issue from happening again, or suggested measures to help resolve the matter. To ensure corrective actions arising from the incident investigation are appropriate and realistic, it is important to consult with workers or worker representatives who will be directly affected by those actions

11. Enter the corrective actions into the related WHS Monitor report and assign an appropriate responsible person for each corrective action.

12. A copy of the completed Investigation Report Form is to be uploaded as an attachment in the relevant WHS Monitor report

13. A copy of the completed Investigation Report Form should be emailed to the Senior Manager, Safety and Injury Management at safety@unsw.edu.au.

All investigations should be treated as confidential, and the Investigation Report form should not be widely distributed.

For reportable incidents, a Safety Unit contact must be involved in the investigation.

Local copies should only be retained in RAMS.
5. Reporting incidents to Authorities

5.1. Reporting Notifiable Incidents to the Regulator

Any notifiable incident must be reported to the Regulator immediately after UNSW is aware it has happened by the fastest means possible e.g., by telephone or in writing. The Senior Manager, Safety and Injury Management will coordinate the reporting of notifiable incidents to SafeWork NSW or WorkSafe ACT.

Note - Firstly, it is important to ensure the wellbeing of potential injured parties - providing emergency care e.g., first aid or ambulance, prior to contacting the Regulator.

Where an incident occurs outside of business hours the Security Manager will contact the Senior Manager, Safety and Injury Management 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.

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 (e.g., 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 Senior Manager, Safety and Injury Management can also be contacted to assist in direct reporting.

5.3. Preservation of the site

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

6. Roles and Responsibilities

<table>
<thead>
<tr>
<th>Workers and Students</th>
<th>Take immediate actions to remove any identified hazards, if safe to do so</th>
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<tbody>
<tr>
<td></td>
<td>Report all hazards and incidents as soon as practicable after the event</td>
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<td></td>
<td>Record hazard and incident reports online via WHS Monitor (if WHS Monitor is off-line, or you do not have access to WHS Monitor Hazard and Incident Report Form-HS001 is to be completed)</td>
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<td>Inform a supervisor/manager as soon as practicable</td>
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<td>Participate in the investigation process and assist in identifying corrective actions.</td>
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<tr>
<th>Supervisors/Managers</th>
<th>Encourage workers and students to report any hazards and incidents as soon as practicable</th>
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<td></td>
<td>Carry out further investigations to identify corrective actions, in consultation with the person reporting the issue</td>
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<td>Monitor corrective actions for timely implementation</td>
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<td>Liaise with the Local Safety Contact and Safety Unit as required.</td>
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<th>Person designated responsible for corrective actions</th>
<th>Ensure corrective actions are implemented in a timely manner and reviewed for their effectiveness prior to closing out the report.</th>
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<tr>
<th>Local Safety Contacts</th>
<th>Assist in identifying corrective actions and assist in the investigation process.</th>
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<tr>
<th>Safety Unit</th>
<th>Coordinate the investigation process of significant and notifiable incidents and liaise with all relevant persons as required, such as workers, supervisors, relevant authorities and relevant experts.</th>
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</thead>
</table>

| Senior Manager, Safety and Injury Management | Coordinate the reporting of notifiable incidents to SafeWork NSW, WorkSafe ACT or other relevant authorities. |
7. Recordkeeping
All records relating to HS hazard and incident reporting and investigation must be maintained in accordance with the University’s Recordkeeping Policy.

<table>
<thead>
<tr>
<th>Accountabilities</th>
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<tr>
<td>Responsible Officer</td>
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<td>Contact Officer</td>
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<th>Supporting Information</th>
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<td>Legislative Compliance</td>
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<td>Parent Document (Policy)</td>
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<td>Supporting Documents</td>
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<td>Related Documents</td>
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<td>Superseded Documents</td>
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<thead>
<tr>
<th>Definitions and Acronyms</th>
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<tr>
<td>Corrective action</td>
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<td>Environmental Incident</td>
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<td>Hazard</td>
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<td>Incident</td>
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<td>Injury/Accident</td>
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<td>Near Miss</td>
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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 2 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”.

Risk

The possibility that harm (death, injury or illness) might occur when exposed to a hazard.

Worker

Any person who carries out work for a PCBU, including work as an employee, contractor, subcontractor, self-employed person, outworker, apprentice or trainee, work experience student, employee of a labour hire company placed with a ‘host employer’ and volunteers.

Workplace

Any place where work is carried out for a business or undertaking and includes any place where a worker goes, or is likely to be, while at work. This may include offices, factories, shops, construction sites, vehicles, ships, aircraft or other mobile structures on land or water.

Revision History

<table>
<thead>
<tr>
<th>Version</th>
<th>Approved by</th>
<th>Approval date</th>
<th>Effective date</th>
<th>Sections modified</th>
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<tr>
<td>1-5</td>
<td>Director, Risk Management Unit</td>
<td>2001-2005</td>
<td>2001-2005</td>
<td>All</td>
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<tr>
<td>6.0</td>
<td>Director, Human Resources</td>
<td>1/1/2007</td>
<td>1/1/2007</td>
<td>Hazard and incident reporting procedure changed to reflect online system.</td>
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<tr>
<td>6.1</td>
<td>OHS Manager</td>
<td>1/1/2007</td>
<td>1/1/2007</td>
<td>Details of investigator competency added</td>
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<tr>
<td>7.0</td>
<td>Director, Human Resources</td>
<td>19/11/2010</td>
<td>19/11/2010</td>
<td>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.</td>
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<td>7.1</td>
<td>Director, Human Resources</td>
<td>24/04/2013</td>
<td>24/04/2013</td>
<td>Reviewed for administrative updates</td>
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<tr>
<td>7.2</td>
<td>Director, UNSW Safety and Sustainability</td>
<td>30 April 2014</td>
<td>30 April 2014</td>
<td>Reviewed for administrative updates, investigation processes and reporting timeframes to authorities.</td>
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<td>8.0</td>
<td>Director, UNSW Safety and Sustainability</td>
<td>16 March 2016</td>
<td>16 March 2016</td>
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Appendix 1: HAZARD AND INCIDENT REPORTING FLOWCHART

A Hazard is identified or an Incident has occurred

Recognise and respond

Is the issue Notifiable?

NO

Complete a hazard or incident report in myUNSW/WHS Monitor
If WHS Monitor is off-line; the matter is confidential; or the person reporting does not have access to WHS Monitor, complete Hazard & Incident Report Form – HS001
And submit the completed form to a supervisor as soon as practical for recording in myUNSW
Note: where the matter is confidential, the completed form is to be emailed to safety@unsw.edu.au – indicating Confidential in the email header.

YES

A detailed investigation is to be conducted using Investigation Report Form – HS003

Managing hazard and incident reports
Supervisor receives notification of the new hazard or incident via WHS Monitor
Supervisor to review and amend (where necessary) the hazard or incident report and carries out further investigations to identify corrective actions
Corrective Actions are to be documented into the related hazard or incident entry in WHS Monitor

Has the incident
- been accepted as a workers compensation claim; or
- been previously raised with the worker's supervisor or their work group's Safety representative (HSR), or the Safety Committee (L3) which has not been able to be resolved; or
- the Senior Manager, Safety and Injury Management has requested that an Investigation Report Form should be completed?

YES

Nominated person responsible to monitor for implementation of corrective actions

NO

Nominated person responsible to review corrective actions for effectiveness then close out the hazard or incident report in WHS Monitor

Preserve the site

Immediately notify the Senior Manager, Safety and Injury Management, or a UNSW Safety Team member

A detailed investigation is to be conducted using Investigation Report Form – HS003

Has the incident

Hazard and Incident Reporting Procedure -HS307 Version: 9.0 Effective XX Month Year [Consultation draft 7 to 25 February 2022]
Appendix 2 – 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.