Hazard & Incident Reporting Procedure – HS307

Version	Approved by	Approval date	Effective date	Next full review
9.0	Director, Risk and Safety Management	7 March 2022	7 March 2022	March 2025

Procedure Statement		
Purpose	To outline the process in identifying hazards to the health and safety of staff, students, contractors and visitors to UNSW campuses; and the reporting and recording of hazards and incidents.	
Scope	This procedure applies to all workers, including staff, students, contractors and visitors on any UNSW campus or affected by UNSW business.	
Are Local Documents on this subject permitted?	☒ Yes, however Local Documents must be consistent with this University-wide Document	☐ No
Procedure Processes and Actions		

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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, 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 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

Workers and Students	Take immediate actions to remove any identified hazards, if safe to do so Report all hazards and incidents as soon as practicable after the event 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) Inform a supervisor/manager as soon as practicable Participate in the investigation process and assist in identifying corrective actions.
Supervisors/Managers	Encourage workers and students to report any hazards and incidents as soon as practicable Carry out further investigations to identify corrective actions, in consultation with the person reporting the issue Monitor corrective actions for timely implementation Liaise with the Local Safety Contact and Safety Unit as required.
Person designated responsible for corrective actions	Ensure corrective actions are implemented in a timely manner and reviewed for their effectiveness prior to closing out the report.
Local Safety Contacts	Assist in identifying corrective actions and assist in the investigation process.
Safety Unit	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.
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*.

Accountabilities	
Responsible Officer	Director, Risk and Safety Management
Contact Officer	Senior Manager, Safety and Injury Management
Supporting Information	
Legislative Compliance	This Procedure supports the University's compliance with the following legislation: *Work Health and Safety Act 2011* (NSW) Work Health and Safety Regulation 2017
Parent Document (Policy)	Health and Safety Policy
Supporting Documents	Hazard & Incident Report Form – HS001 Investigation Report Form – HS003 How to Report a Hazard How to Report an Incident How to Report an Inspection How to Manage a Hazard How to Manage an Incident How to Manage an Inspection How to Create Corrective Actions
Related Documents	HS329 Risk Management Procedure
Superseded Documents	HS307 Hazard & Incident Reporting Procedure, v8.0
File Number	2014/15659
Definitions and Acronyms	
Corrective action	An action taken to eliminate or minimise health and safety risks so far as is reasonably practicable.
Environmental Incident	An occurrence or set of circumstances, as a consequence of which pollution (air, water, noise, or land) or an adverse environmental impact has occurred, is occurring, or is likely to occur.
Hazard	A situation or thing that has the potential to harm a person or property, damage equipment or cause environmental impact.
Incident	With regards to health and safety, an unplanned event related to a person or property resulting in or potential for injury/ill health or other loss (including environmental and near miss).
Injury/Accident	Any event arising as a result of work performed which results in a work injury, illness, or damage to property.
Near Miss	An event that could have resulted in human injury or damage to property, process or the environment, but did not.

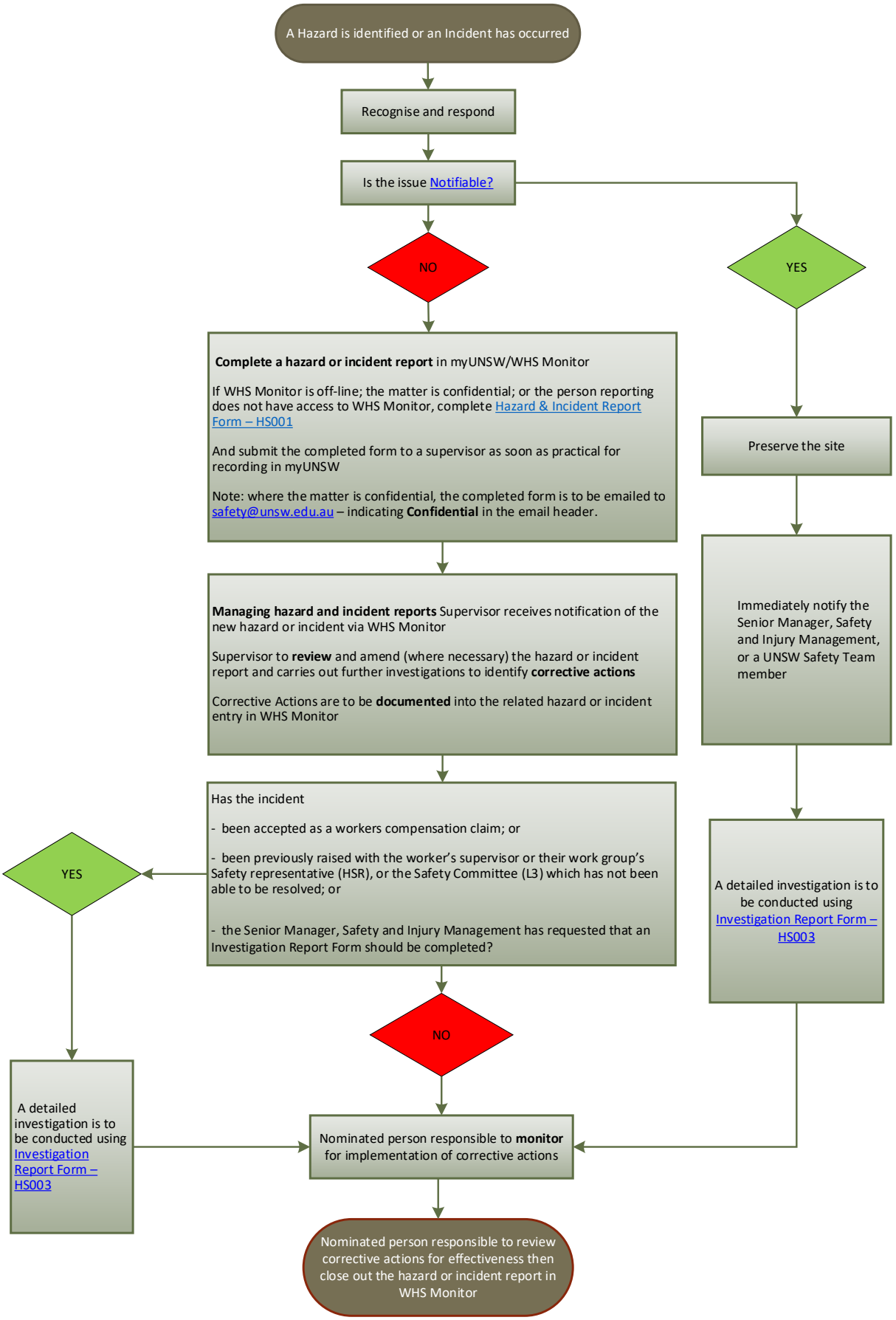
Notifiable incident	Is an event that must be reported to the Regulator, that is: (a) the death of a person, or (b) a serious injury or illness of a person, or (c) a dangerous incident. See Appendix 2 for a list of serious injuries or illnesses and dangerous incidents, detailed within Part 3 of the *Work 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

Version	Approved 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.
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.
9.0	Director, Risk and Safety Management	7 March 2022	7 March 2022	Full review + new flowchart

Appendix 1 – Hazard and Incident Reporting Flowchart

Appendix 1: HAZARD AND INCIDENT REPORTING FLOWCHART



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.