
Version	2.1
Short description	
Relevant to	All officers, managers, supervisors, and workers
Authority	Council
Policy owner	Chief Financial & Operations Officer
Responsible office	Office of the Chief Financial & Operations Officer
Date approved	17 June 2014
Date effective	17 June 2014
Review due	June 2017
Related Avondale documents	
Related legislation	
Key words	

1. PURPOSE

- 1.1 This document prescribes requirements for work health and safety (WHS) incident reporting, investigation, and corrective action.

2. DEFINITIONS

- 2.1 **Incident:** Any unplanned event resulting in, or having the potential for, injury, ill health (including psychological health), damage or other loss related to the management of WHS. For example: accidents and near misses; fire; certain property damage and security breach incidents; uncontrolled or poorly controlled workplace hazards; the failure of existing controls; regulatory breaches; and failures of the WHS management system.
- 2.2 **Notifiable incident:** An incident required by Section 35 of the *Work Health and Safety Act 2011* [NSW] to be notified to WorkCover (see appendix A).
- 2.3 **Responsible Officer for WHS:** The responsible officer for WHS is the Chief Financial & Operations Officer.
- 2.4 **Senior Administrator:** A senior Administrator will be the Vice-Chancellor, Chief Financial & Operations Officer or Provost.

3. REPORTING AND RECORDING INCIDENTS

Workers

- 3.1 Report all incidents, whether or not they involve damage to persons or property, to your Manager/Supervisor.
- 3.2 This requirement applies to all incidents, including those involving volunteers, contractors, workers from other organisations, work experience students and visitors.

Managers/Supervisors

- 3.3 Immediately notify the WHS Coordinator, if not available, the Officer Responsible for WHS, if not available, a Senior Administrator in the event of a Notifiable incident (see appendix A). It is the responsibility of the WHS Coordinator, Officer Responsible for WHS, or Administrator to notify WorkCover.
- 3.4 Ensure, in the event of a Notifiable incident, that the incident site is secured to prevent it being disturbed pending direction from a WorkCover inspector (see appendix A, clause 39).
- 3.5 Complete – or ensure the completion of - an Incident Report for all incidents. The incident must be recorded on the approved Incident Report Form (appendix B).
- 3.6 Complete the incident investigation as soon as is reasonably practicable, of the incident.
- 3.7 Forward a copy of the report to the WHS Coordinator within 24 hours of the occurrence of the incident.
- 3.8 Make sure that required corrective action is implemented as soon as is reasonably practicable after the event.

Work Health and Safety Coordinator

- 3.9 Review upon receipt incident reports from managers/supervisors to determine if further action is taken. Ensure follow-up action is taken if required.

- 3.10 Maintain on file received incident reports.
- 3.11 Prepare incident summaries for presentation to the Board.

4. INVESTIGATION OF INCIDENTS

4.1 Incidents may be a result of multiple causes, ranging from work methods, the worker, work environment, the equipment being used and organisational structure. Incidents occur because of a deficiency in the whole occupational health and safety management system, not a fault in an individual.

4.2 **Factors to consider when identifying causes to incidents:**

- a) **Work organisation** - Look at how the work is organised including work processes, production demands, etc.
- b) **Work methods** - Identify whether the job being performed at the time of the incident had been subject to a job safety analysis. If the job had been analysed, then the risk control measures may require modification. If the job has not been analysed, then an analysis may identify hazards associated with the job that contributed to the incident.
- c) **Work Environment** - Identify environmental conditions and stressors that may have affected the health of employees. Examples of environmental factors can include chemicals; noise; illumination; vibration; climate; radiation and biological agents.
- d) **Work Equipment/Plant** - Identify if plant is:
 - i. Designed for the work it is intended for
 - ii. Adjustable to accommodate the user
 - iii. Adequately safeguarded
 - iv. Regularly inspected for defects and repaired where required
 - v. Routinely maintained
 - vi. Not used beyond its rated capacity
 - vii. Used in accordance with manufacturer's specifications
- e) **Employees** - Identify the skills, attitudes, habits, physical attributes, experience, and training of the individual/s involved.

5. FORMULATION OF SAFETY SOLUTIONS

- 5.1 Recommended safety solutions will be identified from the careful analysis of the facts obtained from the incident investigation.
- a) Identify appropriate risk control measures in consultation with employees. Use the hierarchy of hazard control outlined in the Risk Management Procedure
 - b) Implement agreed risk control measures
 - c) Establish a system for regular review and evaluation of risk control measure

6. APPENDICES or RELATED DOCUMENTS

- Appendix A: Notifiable Incident

- Attachment: Incident Report Form

Table of amendments

Version Number	2.1	Replaces Version	2.0
Implementation Date	17 June 2014	Scheduled Review Date	June 2017
Approving Body	Council	Approval Date	17 June 2014
Policy Owner	Chief Financial & Operations Officer	Date first introduced	13 March 2012
Short description of amendment	<p>V2.1 <i>June 2023: updated branding, nomenclature and position titles, as relevant.</i></p> <p>V2.0 Review only, no significant changes</p>		

Appendix A

Work Health and Safety Act 2011 No 10

35 What is a “notifiable incident”

In this Act, *notifiable incident* means:

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

36 What is a “serious injury or illness”

In this Part, *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 degloving 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.

37 What is a “dangerous incident”

In this Part, 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

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- (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.

38 Duty to notify of notifiable incidents

(1) A person who conducts a business or undertaking must ensure that the regulator is notified immediately after becoming aware that a notifiable incident arising out of the conduct of the business or undertaking has occurred.

Maximum penalty:

- (a) in the case of an individual—\$10,000, or
- (b) in the case of a body corporate—\$50,000.

(2) The notice must be given in accordance with this section and by the fastest possible means.

(3) The notice must be given:

- (a) by telephone, or
- (b) in writing.

Example. The written notice can be given by facsimile, email or other electronic means.

(4) A person giving notice by telephone must:

- (a) give the details of the incident requested by the regulator, and
- (b) if required by the regulator, give a written notice of the incident within 48 hours of that requirement being made.

(5) A written notice must be in a form, or contain the details, approved by the regulator.

(6) If the regulator receives a notice by telephone and a written notice is not required, the regulator must give the person conducting the business or undertaking:

- (a) details of the information received, or
- (b) an acknowledgement of receiving the notice.

(7) A person conducting a business or undertaking must keep a record of each notifiable incident for at least 5 years from the day that notice of the incident is given to the regulator under this section.

Maximum penalty:

- (a) in the case of an individual—\$5,000, or
- (b) in the case of a body corporate—\$25,000.

(8) Despite subsection (1), a person is not required to give notice under this section of an incident that occurs at a mine to which the [Mine Health and Safety Act 2004](#) applies or at a coal workplace.

39 Duty to preserve incident sites

(1) The person with management or control of a workplace at which a notifiable incident has occurred must ensure so far as is reasonably practicable, that the site where the incident occurred is not disturbed until an inspector arrives at the site or any earlier time that an inspector directs.

Maximum penalty:

- (a) in the case of an individual—\$10,000, or
- (b) in the case of a body corporate—\$50,000.

(2) In subsection (1) a reference to a site includes any plant, substance, structure or thing associated with the notifiable incident.

(3) Subsection (1) does not prevent any action:

- (a) to assist an injured person, or
- (b) to remove a deceased person, or
- (c) that is essential to make the site safe or to minimise the risk of a further notifiable incident, or
- (d) that is associated with a police investigation, or
- (e) for which an inspector or the regulator has given permission.

(4) This section does not apply to a mine to which the [Mine Health and Safety Act 2004](#) applies or to a coal workplace.