

Accident, Incident Reporting and Investigation Policy and Procedure



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Approved by: NSW State Librarian & CE

Policy owner/sponsor: Director, Operations & CFO

Policy Contact Officer: Manager, HR

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1. Summary

This policy and procedure states the State Library's (the Library) requirements for reporting and investigating accidents and incidents in the workplace.

2. Policy statement

The Library recognises its obligation to ensure that all accidents and incidents are reported, recorded and investigated.

This policy and its procedures aim to ensure that:

- the reporting and investigation of accidents and incidents at the Library conform with legislative requirements and records are retained on the relevant TRIM file
- accidents and incidents are investigated in consultation with a Health and Safety Representative and/or relevant stakeholders
- a risk management approach is applied to the findings of accident and incident investigations so that any hazards identified are eliminated or, where that is not reasonably practicable, minimised by the application of the Hierarchy of Control
- agreed preventative and corrective actions are implemented, monitored and reviewed for effectiveness
- the privacy and confidentiality of personal and health information pertaining to an injured worker or person is maintained and managed in accordance with the requirements of NSW privacy legislation.

3. Legislative and Policy Framework

- *Health Records and Information Privacy Act 2002*
- *Privacy and Personal Information Protection Act 1998*
- *State Records Act 1998*
- *Work Health and Safety Act 2011*
- *Work Health and Safety Regulation 2011*
- *Workers Compensation Act 1987*
- *Workplace Injury Management and Workers' Compensation Act 1998*
- *Workers Compensation Regulation 2010*

- Australian/New Zealand Standard AS/NZS 4801:2001
- Enterprise Risk Management Framework and Policy
- Injury Management Policy
- Privacy Management Plan
- Records Management Policy
- Return to Work Procedure
- Work Health and Safety Policy

4. Definitions and acronyms

Accident means an unplanned occurrence or incident that causes or contributes to personal injury or damage to property

Incident means any unplanned event resulting in, or having a potential for injury, ill health, damage or other loss (as defined by Australian/New Zealand Standard AS/NZS 4801:2001)

Notifiable incident means:

- the death of a person, or
- a serious injury or illness of a person, or
- a dangerous incident.

Serious injury or illness means an injury or illness requiring the person to have:

- immediate treatment as an in-patient in a hospital, or
- immediate treatment for:
 - the amputation of any part of his or her body, or
 - a serious head injury, or
 - a serious eye injury, or
 - a serious burn, or
 - the separation of his or her skin from an underlying tissue (such as degloving or scalping), or
 - a spinal injury, or
 - the loss of a bodily function, or
 - serious lacerations, or
- medical treatment within 48 hours of exposure to a substance.

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:

- an uncontrolled escape, spillage or leakage of a substance, or
- an uncontrolled implosion, explosion or fire, or
- an uncontrolled escape of gas or steam, or
- an uncontrolled escape of a pressurised substance, or
- electric shock, or
- the fall or release from a height of any plant, substance or thing, or
- 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
- the collapse or partial collapse of a structure, or

- the collapse or failure of an excavation or of any shoring supporting an excavation, or
- the inrush of water, mud or gas in workings, in an underground excavation or tunnel, or
- the interruption of the main system of ventilation in an underground excavation or tunnel.

5. Responsibilities

Executive

- Provide leadership and direction within their divisions to ensure that accidents and incidents are managed effectively and all reporting requirements are met
- Ensure that information on the Library's accident and incident reporting and investigation procedures is incorporated in the induction process
- Ensure that managers and supervisors attend training on the requirements for reporting and investigating accidents and incidents
- Ensure that resources required to implement agreed preventative and corrective actions are available and that these actions are afforded appropriate priority.

Managers and supervisors

- Ensure that all workers in their work group are aware of the requirements of the Library's Accident, Incident Reporting and Investigation procedures
- Undertake training provided on the reporting and investigation of accidents and incidents in the workplace
- Complete the WHS Accident/Incident and Investigation Report form (even where no injury is apparent) and submits this to the Senior WHS Consultant within 24 hours of the accident/incident occurring
- Report serious and notifiable incidents immediately to WorkCover (phone 13 10 50), the Senior WHS Consultant (ext 418) and the State Librarian & CE
- Investigate all accidents and incidents in consultation with the work area Health and Safety Representative and/or relevant stakeholders
- Apply a risk management approach to the findings of all accident and incident investigations, so that any hazards identified are eliminated or, where that is not reasonably practicable, minimised by the application of the Hierarchy of Control
- Ensure that agreed preventative and corrective actions are implemented, monitored and reviewed for effectiveness
- Maintain and manage the privacy and confidentiality of personal and health information pertaining to an injured worker or person in accordance with the requirements of NSW privacy legislation.

Workers

- Are aware of the requirements for reporting accidents and incidents in the workplace
- Report all accidents and incidents to their immediate supervisor as soon as reasonably practicable after they occur and before leaving work for the day
- Report serious and notifiable accidents and incidents immediately to their manager or supervisor

- Complete the WHS Accident/Incident and Investigation Report form (even where no injury is apparent) and submit this to their immediate supervisor before leaving work for the day
- Maintain the privacy and confidentiality of personal and health information pertaining to an injured worker or person in accordance with the requirements of NSW privacy legislation.

Senior WHS Consultant

- Where an injury has occurred, reports the accident to the Library's insurer within 48 hours
- Ensures that all serious and notifiable accidents/incidents are reported to WorkCover and the State Librarian & CE
- Reports all serious and notifiable accidents/incidents to the Director, Operations & CFO and the Manager, HR as soon as practicable
- Assists in the investigation of accidents and incidents as required
- Assists in the identification of preventative and corrective actions, monitors that actions are implemented and updates the Accident/Incident and Investigation Report form with actions implemented; monitors and reviews corrective actions for effectiveness
- Reviews and maintains up to date information on the Library's accident/incident reporting and investigation procedures in the staff induction package
- Ensures that health and safety training for managers and supervisors incorporates information on the procedures for reporting and investigating accidents in their work areas
- Reports all accidents and incidents to the Work Health & Safety Committee
- Ensures that accidents and incidents are appropriately recorded and that records are retained on a TRIM file
- Maintains and manages the privacy and confidentiality of personal and health information pertaining to an injured worker or person in accordance with the requirements of NSW privacy legislation.

WHS Committee Members/Health & Safety Representatives

- Review data on accidents and incidents in the workplace
- Participate in the investigation of accidents and incidents as required
- Monitor and review for effectiveness the implementation of corrective actions arising from accidents and incidents.

6. Reporting requirements

The following reporting requirements apply:

- All accidents and incidents must be reported to the immediate supervisor by the staff member as soon as reasonably practicable after they occur and, wherever possible, before leaving work for the day **and** a WHS Accident/Incident and Investigation Report form completed, even if no injury is apparent
- The WHS Accident/Incident and Investigation Report form is to be forwarded to the Senior WHS Consultant within 24 hours of the accident/incident

- Serious and notifiable incidents must be reported **immediately** to the relevant Manager and the Senior WHS Consultant in Human Resources (ext 418)
- Serious and notifiable incidents must be reported to WorkCover (phone: 13 10 50), the insurer (where injury has occurred) and the State Librarian & CE
- All accidents and incidents are reported to (in a de-personalised format) and reviewed by the Work Health & Safety and Joint Consultative Committees
- De-personalised briefings on serious and notifiable incidents are provided to the Library's Audit and Risk Committee.

7. Procedures

7.1 When an Accident/Incident Occurs

In the event of an accident or incident, where it is safe to do so, staff will take appropriate immediate action to minimise the risk of further injury or damage (for example, isolating the hazard, first aid, evacuation, containing spills). In a case of injury, depending on the severity of the injury and the injured worker's preference, appropriate first aid or medical attention should be sought from one or more of the following:

- A First Aid Officer in Security (Dial 222) or from the immediate work area
- An Ambulance Officer (Dial 0 000)
- The nearest available hospital or medical facility, such as Sydney Hospital, Macquarie Street, Sydney
- The injured worker's treating doctor.

All work related accidents and incidents must be reported to the immediate supervisor as soon as reasonably practicable after they occur and, wherever possible, before the staff member leaves work for the day. A WHS Accident/Incident and Investigation Report form must be completed, even where no injury is apparent. The completed report is forwarded to the Senior WHS Consultant in Human Resources Branch within 24 hours of the accident or incident occurring.

All **serious** and **notifiable** accidents/incidents must be reported to the relevant Manager and the Senior WHS Consultant (ext 418) **immediately**. The Manager notifies WorkCover of the accident/incident immediately (phone 13 10 50) and informs the State Librarian & CE as soon as possible. The person responsible for managing or controlling the workplace where a notifiable accident/incident has occurred must ensure, so far as is reasonably practicable, that the site where the incident occurred is not disturbed – including any plant, substance, structure or thing associated with the notifiable incident until an inspector arrives at the site or any earlier time that an inspector directs.

Staff may take such steps as are necessary:

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

7.2 When an Injury Occurs

When advised that a worker or client will require medical or other treatment and/or time off work for an injury or condition arising from the accident, the supervisor must advise the Senior WHS Consultant before the end of the working day that the person has suffered a work related injury so that the injury management process or appropriate follow-up action can be commenced. The Senior WHS Consultant is the Library's designated Return to Work Coordinator (RTW Coordinator) and is contactable at:

Human Resources Branch
Level 3, Macquarie Building
Phone: ext 418 Fax: ext 257

Rehabilitation may not be necessary in all cases of work related injury. However, early assessment of the need for rehabilitation is critical. Initial notification from the supervisor should include the following information:

- staff member's name
- how the injury occurred
- nature of the injury (if known)
- details of any first aid administered
- location where incident occurred
- names of witnesses to the incident
- time and date of incident
- time and date reported to supervisor.

Supervisors should be aware that the injured worker or person retains the right of choice of medical services. Supervisors will ensure that injured workers understand the benefits of workplace injury management, are supportive of the injured person, and cooperate with reasonable workplace changes designed to assist rehabilitation. An individual staff member's personal and medical information should only be directly discussed with those involved in management of the injury and/or Return to Work Plan in accordance with WorkCover NSW Guidelines for Confidentiality of Injury Management Information.

Staff must keep their supervisor informed about any anticipated leave from work, prescribed medical restrictions and any specific needs at work in relation to their injury or illness. Further information is available from the Library's Injury Management Policy and Return to Work Procedure.

7.3 When an Accident/Incident/Injury Occurs – Outside normal working hours

When an accident, incident or injury occurs outside normal working hours, the supervising security officer on duty and/or the Officer in Charge (OIC) in the Reading Rooms assume the role of Manager/supervisor in relation to the accident/incident reporting procedures. Full details and documentation of the accident/incident/injury must be referred to the relevant Manager and the Senior WHS Consultant on the next available working day. Serious and notifiable accidents/incidents/injuries are notified to WorkCover **immediately** (phone 13 10 50) and the supervising security officer on duty will notify the after hours emergency contacts as soon as possible.

7.4 Recordkeeping and privacy management

The Library will maintain confidential records of accidents, incidents and injury management information in accordance with NSW records management and privacy legislation and policy. The WorkCover NSW Guidelines for Confidentiality

of Injury Management Information for access to rehabilitation records and consent to release information will apply.

7.5 Investigating an Accident or Incident

The immediate Supervisor and/or Manager will investigate the accident/incident in consultation with the work area Health and Safety Representative (HSR) and the worker or person who was involved in the accident/incident (where possible). The investigation should commence as soon as reasonably practicable after the accident/incident occurs or at least within 24 hours of receiving notice of the accident/incident. Depending on the complexity and nature of the accident/incident, the investigation may involve other workers or stakeholders and may require expertise from the Senior WHS Consultant or an external source.

The focus of the investigation is to obtain an accurate picture of what occurred by:

- Examining the scene of the accident or incident and recording (as relevant) any physical evidence related to the event such as, but not limited to:
 - The location of the person at the time of the event
 - Any problem associated with the use of any plant, equipment, or substances
 - Workplace conditions such as lighting, floor surface, warning signs, weather conditions (if the event occurred outside)
- Interviewing persons involved and witnesses
- Reviewing background information including, but not limited to:
 - Documented procedures for the work being carried out and if there were any deviations from such
 - Maintenance and testing reports, if plant or equipment involved
 - Training and competency
 - Any similar events that have occurred previously.

The findings of the investigation must be recorded on the WHS Accident/Incident and Investigation Report form.

7.6 Corrective and preventative actions

The immediate supervisor or Manager, in consultation with the work area HSR, the person who was involved in the accident or incident (where possible) and, where relevant, other stakeholders, identifies the corrective and/or preventative actions required to prevent a recurrence of the event. Controls shall be selected in descending order from the Hierarchy of Controls in accordance with section 5.5 of the Library's Risk Management Procedure.

The findings must demonstrate that any risks to health and safety are eliminated, or where that is not reasonably practicable, minimised, and that priorities for action are assigned in accordance with the Risk Rating Matrix outlined in section 5.3 of the Risk Management Procedure. Depending on the outcome of the investigation, both short and long term control measures may be required.

7.7 Monitor and review actions for effectiveness

The immediate supervisor and/or Manager will:

- Track and monitor the implementation of agreed corrective and/or preventative actions
- Discuss, monitor and evaluate controls for effectiveness in consultation with workers in the affected area and any other relevant stakeholders

- Commence the risk assessment process if a new hazard is identified
- Include a review of any controls implemented into workplace inspections, as relevant
- Communicate the outcomes of the accident and incident investigation process to the Senior WHS Consultant so that the record of actions taken can be attached to the TRIM file
- Close out any outstanding corrective and preventative actions.

7.8 Accident/Incident Reporting & Investigation Procedure Flowchart

A Flowchart for the accident/incident reporting and investigation process is available to assist staff involved in dealing with accidents and incidents in the workplace.

8. Approval

This policy and its procedures were approved by NSW State Librarian & CE on 3 July 2012 for immediate implementation.

9. Implementation

This policy and its procedures are implemented on 3 July 2012.

10. History

This policy and its procedures replace the Accident and Incident Procedures on the Library intranet.

11. Related Policy

This policy is related to the Injury Management Policy and the Work Health and Safety Policy.

12. Prepared by:

Manager, HR
18 June 2012

13. Document History and Version Control

Version	Date approved	Approved by	Brief description
1.0	3 July 2012	NSW State Librarian & CE	First release