

Guide for the Work Health & Safety Due Diligence Report

Overview of Due Diligence

Members of the University's governance structure have duties as 'officers' under the *Work Health and Safety Act 2012* (SA) (WHS Act). They must exercise 'due diligence' to ensure that the University is complying with its various obligations under the WHS Act.

The information summarised in this report is provided to members of the University's governance structure as a tool to assist them to meet their due diligence obligations. This information should be used and considered in conjunction with an understanding of the University's operations and safety management system.

Under the WHS Act, the University's officers have an ongoing personal obligation to inform and satisfy themselves about the work health and safety status of the University. If individual members of the University's governance structure have any concerns or queries in this respect, these should be followed through as appropriate.

Components of Due Diligence

Under the WHS Act, due diligence is defined as 'taking reasonable steps to':

- A. Acquire and keep up-to-date knowledge of work, health and safety matters; and
- B. Gain an understanding of the nature of operations of the business and undertaking of the person conducting the business or undertaking, and generally of the hazards and risks associated with those operations; and
- C. Ensure that the person conducting the business or undertaking has available for use, and uses, appropriate resources and processes to eliminate or minimise risks to health and safety from work carried on as part of the conduct of the business or undertaking; and
- D. Ensure that the person conducting the business or undertaking has appropriate processes for receiving and considering information regarding incidents, hazards and risks and responding in a timely way to that information; and
- E. Ensure the person conducting the business or undertaking has, and implements, processes for complying with any duty or obligation of the person conducting the business or undertaking under the legislation; and
- F. Verify the provisions and use of the resources and processes referred to in paragraphs (C) to (E) above.

Note - For the purposes of (E), the duties or obligations may include: reporting notifiable events; consulting with workers; ensuring compliance with notices issued under the Act; ensuring the provision of training and instruction to workers about work health and safety; ensuring that health and safety representatives receive their entitlements to training.

From the [Work Health and Safety Act 2012 \(SA\)](#) - Section 27

HSW	Due Diligence Report Guide	Effective Date:	Oct 2021	Version 3.0
Authorised by	Director, HSW	Review Date:	As required	Page 1 of 5
Warning	This process is uncontrolled when printed. The current version of this document is available on the HSW Website.			

Sections of the Report

1. Safety Issue Reporting Statistics

Relevant to components of due diligence items B, C, D and F.

This data enables officers to give due consideration of where and when workers are exposed to risks of injury and to exercise due diligence if/where required (e.g. by ensuring that appropriate resources and processes are being used to eliminate or minimise risks to health and safety).

Figure 1: Injuries and hazards reported (including student placements)

Figure 2: Injury and hazards by year

Figure 3a: Mechanism of Injury (excluding student placements)

Figure 3b: Mechanism of Injury (Student Placements)

The purpose of figure 1 and 2 is to provide a comparative view of the number of safety-related incidents being reported by Faculty/Division and each year across the University. Used in conjunction with figure 3a and figure 3b Mechanism of Injury graphs, the data provides a profile of safety-related incidents and injuries that are occurring across the organisation.

Notes for the safety issue reporting statistics section

Figures 1 to 3 should be viewed in the context of a total population of 35,000 to 40,000 people (staff, students, contractors, volunteers and others) who constitute the individuals for whom injury and near miss data is recorded.

2. Claim Statistics

Relevant to components of due diligence items B, C, D and F.

Figure 4: Workers Compensation Claims (Broken down by year for LTI and non-LTI)

The purpose of figure 4 is to provide a comparative view of the total number of claims lodged each year. The graph uses the most recent data available at the time of writing the report and all claims are shown within the year of injury regardless of whether the claim was lodged in a subsequent year, or if they were accepted or rejected, in line with the requirements of Australian Standard 1885.1 (1990). The data in this graph includes all controlled entity workers compensation claims.

This data provides officers with an indication of how many of the reported injuries (i.e. represented in figures 1, 2 and 3) are resulting in a workers compensation claim. The number of workers compensation claims lodged highlights the potential for personal, financial and workplace consequences.)

Figure 5: Claims Costs by Year of injury

The purpose of figure 5 is to map the actual payments for claims against the year the injury occurred. The analysis also outlines what the outstanding liability is and the number of open claims which contribute the greatest percentage to that liability.

Figure 6: Lost Time

The purpose of figure 6 is to provide a comparative view of the severity of the injuries that resulted in claims in any given year by using the days lost as an indicator of severity. All lost time is shown within the year of injury regardless of whether the time is lost within subsequent years. The lost time is based only on accepted workers' compensation claims that lose one or more complete shifts/days in line with the requirements of Australian Standard 1885.1 (1990).

This data provides officers with an indication of the ongoing impact of workplace injuries over time to the injured worker and the organisation.

HSW	Due Diligence Report Guide	Effective Date:	Oct 2021	Version 3.0
Authorised by	Director, HSW	Review Date:	As required	Page 2 of 5
Warning	This process is uncontrolled when printed. The current version of this document is available on the HSW Website.			

Figure 7: Lost Time Injury Frequency Rate (LTIFR)

The purpose of the Lost Time Injury Frequency Rate (LTIFR) graph is to provide the University with a comparative view of the number of lost-time injuries within the reporting period relative to the total number of hours worked in that period. The LTIFR is based only on accepted workers compensation claims that lose one or more complete shifts/days in line with the requirements of Australian Standard 1885.1 (1990). The frequency rate is calculated using the Full-Time Equivalent (FTE) staff number cited in the most recent actuarial report.

Figure 8: LTIFR showing key contributing areas

The purpose of figure 8 is to provide visibility of any trends both in terms of the total LTIFR and areas contributing multiple claims.

Figure 9: Workers Compensation Claims by Events Table

The purpose of the Workers Compensation Claims by Event table is to provide detail on the types of events from which claims are arising. This information can assist managers in developing strategies to reduce the key types of injuries that are leading to claims. The claims data is based on the years workers compensation claims lodged up to date shown.

Notes for the claims statistics section

Figures 4 to 9 should be viewed in the context of a total staff population of approximately 8,000 staff.

3. Key WHS Issues in Faculties and Divisions

Relevant to components of due diligence items C and D

The reporting process provides an opportunity to the Head of Faculty/Division to flag current key safety issues that she/he believes are worth noting to senior management.

4. Overdue Corrective Actions

Relevant to components of due diligence items C, D, and E

'Corrective actions' are actions taken by the University to address particular safety risks which have arisen from hazard reports, incidents and audits. Given the size and scope of the University, this section monitors only overdue corrective actions. Corrective actions are monitored by Faculty/Division Health and Safety Committees across the University.

The purpose of this section is to identify any areas where actions have been identified through hazard reports, incidents and audits but have failed to be completed within required timeframes. Overdue corrective actions are usually an indicator of a breakdown in HSW systems and as such are an important indicative tool for the health of the system.

5. Legislative, Regulatory & Compliance Review

Relevant to components of due diligence items A and E

Legislative, Regulatory and Compliance Review

The purpose of this section is to provide a summary of legislative, regulatory and/or compliance obligations as well as a summary on any relevant court cases and activities.

Relevant Cases

The purpose of this section is to highlight legal cases which are of interest to the University based on the industry and/or incident type.

HSW	Due Diligence Report Guide	Effective Date:	Oct 2021	Version 3.0
Authorised by	Director, HSW	Review Date:	As required	Page 3 of 5
Warning	This process is uncontrolled when printed. The current version of this document is available on the HSW Website.			

5. Legislative, Regulatory & Compliance Review (continued)

The purpose of figure 10 is to provide an indication of which Handbook chapters are under review by HSW, have been released ready to progress for authorisation by the Policy Custodian and indicate which chapters are due for review.

6. University Hazard Review

Relevant to components of due diligence items B, C, D, and E

The University Hazard Review is conducted annually to provide a University-wide summary of the type, location, and risks posed by hazards identified within local areas. The Head of School or Branch certifies through this process that hazards are being managed locally in accordance with the Health, Safety & Wellbeing (HSW) Handbook.

Figure 11: University Hazard Review

The purpose of these tables is to enable individuals at different levels of the organisation to have an understanding of the hazard profile relevant to each Faculty/Division, and to engage with the hazard management process further, where they consider more may need to be done to mitigate the risks.

7. Controlled Entities Traffic Light and Hazard Review

Figure 12a: Annual Hazard Review of Controlled Entities

The hazard profile is conducted annually to provide the University with a summary of the type, location, and risks posed by hazards identified within the Controlled Entity.

In accordance with the [HSW Policy](#)

Where an officer is responsible for a Controlled Entity, they must

- monitor that the Controlled Entity is meeting legislative and RTWSA self-insurance requirements; and
- take corrective action where gaps are identified in consultation with the Board of the Controlled Entity.

Figure 12b: Controlled Entity self-reporting against the RTWSA performance standards

This is a report from each entity on their current status against the [Work health and safety standards for self-insured employers](#).

Whilst the Controlled Entity is individually responsible for their management of safety within their organisations, the University is linked to these entities via self-insurance. If the Controlled Entity fails to meet the performance standards, then this will impact the University's self-insurance level.

The purpose of this process is to enable the University to monitor the performance of the controlled entities against the requirements outlined by Return to Work for self-insurers. It should be noted that the HSW Traffic Light Report has a three-colour monitoring system (Red, Amber and Green).

Red = Non-conformance with the standards
 Amber = Conformance but unable to be evidenced
 Green = Conformance that can be evidenced

HSW	Due Diligence Report Guide	Effective Date:	Oct 2021	Version 3.0
Authorised by	Director, HSW	Review Date:	As required	Page 4 of 5
Warning	This process is uncontrolled when printed. The current version of this document is available on the HSW Website.			

8. University HSW Traffic Light Report

Relevant to due diligence component F

The consolidated University Health, Safety and Wellbeing (HSW) Traffic Light Report is updated quarterly and shows the current status of compliance by each Faculty and Division against 13 generally applicable chapters of the University's HSW Handbook.

The purpose of the Traffic Light Report (Figure 13) is to enable individuals at different levels of the organisational hierarchy to monitor HSW Handbook compliance.

This process allows Senior Managers to engage with Schools and Branches where there is a need for improvement in HSW performance.

What do the traffic light colours mean?

Green - the due diligence of the Head of School/Branch has not discovered any HSW Handbook compliance concerns/issues, and it is therefore reasonable for the Head of School/Branch to determine that the School/Branch is compliant with the HSW Handbook.

'A' - Where an issue of non-compliance with the HSW Handbook is highlighted specifically through either an incident investigation or an HSW audit, and is subsequently rectified prior to the next reporting cycle, an 'A' should be added to the box on the HSW Traffic Light Report. This denotes that a corrective action/activity was required to maintain green status.

Amber – the due diligence undertaken by the Head of School/Branch has determined that the School/Branch has one or more HSW Handbook compliance issues that are expected to be rectified by the next HSW Traffic Light Report.

Red - the due diligence undertaken by the Head of School/Branch has determined that the School/Branch has one or more HSW Handbook compliance issues that are unlikely to be rectified by the next HSW Traffic Light Report.

9. Key Incident Details

Relevant to due diligence components B, C, and F

This section is a summary of the key incidents and associated actions which have occurred in the quarter, including all events notifiable to SafeWork SA. Where a notifiable event occurs, the investigation process will always involve:

- ensuring that the area has been made safe following the incident
- a review of procedures to ensure that appropriate control measures are in place (this extends to contractor procedures)
- a review of training and induction associated with the task where relevant.

HSW	Due Diligence Report Guide	Effective Date:	Oct 2021	Version 3.0
Authorised by	Director, HSW	Review Date:	As required	Page 5 of 5
Warning	This process is uncontrolled when printed. The current version of this document is available on the HSW Website.			