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1. OBJECTIVE

To provide details of RMIT's requirements for how Health, Safety and Wellbeing (HSW) incidents (and near misses) are to be reported, managed and investigated so that root causes are determined and appropriate actions are taken to prevent their recurrence.

2. BACKGROUND

N/A

3. SCOPE

The Incident Management & Investigation Process applies to all RMIT staff, students, researchers, contractors, visitors, volunteers, clients and member(s) of the public. As a point of clarity, this process only applies to HSW related incidents.

4. WHAT MUST GO RIGHT?

The 'What must go Right?' principles applicable to this process are:

- All HSW incidents are reported and escalated to the relevant RMIT roles within required timeframes as listed in the process.
- HSW Team is notified, through P.R.I.M.E. (Proactive Reporting and Incident Management Excellence), of all HSW related incidents to ensure classification, escalation, follow up and required preventative actions are implemented.
- HSW Incidents are entered into the online P.R.I.M.E. incident reporting system within 24 hours.
- The root causes of HSW incidents are identified and control measures are developed to prevent or mitigate the likelihood of recurrence.
- Control measures are actioned within required timeframes and monitored to completion.

5. PROCEDURE/IMPLEMENTATION

The incident management process contains several steps that need to be undertaken to ensure appropriate action is taken to prevent recurrence.

The table below outlines the positions and the incident management steps they are required to be involved in:

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5.1. Initial Response and Immediate Action

If there is a HSW incident or near miss, all staff, students, contractors, researchers, volunteers, visitors, clients and members of the public are expected to report the incident to their Operational Leader or to RMIT Campus Safety and Security (RMIT Security), as soon as possible (within 24 hours).

Any person in the vicinity where an incident has occurred is required to:

- Call Emergency Services, if required

- Notify RMIT Security by phone or via the SafeZone* app on your smart phone. RMIT Security will be able to provide support with co-ordinating first aid, access for emergency services and will also assist with preserving the incident scene.
- Move any injured person to safety, depending on their injury or location and only if it is safe to do so.
- Provide first aid, if qualified
- Make the area safe, if it is within their capability.

The Operational Leader with responsibility for the area where the incident has occurred or the injured person, is required (when notified of an incident) to:

- Ensure and injured person receives first aid and arrange for any medical treatment, if required.
- If emergency services have been called, send a person to wait for them and direct them to the injured person.
- Ensure (as far as reasonably practicable) circumstances contributing to the event have been sufficiently controlled to avoid recurrence, prior to allowing work to proceed in the area or in similar activities.

5.1.1. *What is SafeZone?*

SafeZone is an app for RMIT Staff and Students to use in the case of an emergency. The SafeZone App. is currently only available at RMIT campuses in Victoria, Australia

5.2. Preserving the Scene

Persons who are managing the incident are to ensure that the incident scene is preserved (as far as is reasonably practicable) while assisting injured people and preventing further injury or damage. Examples of when the incident scene is to be preserved:

- Death of a person
- Serious injuries (requiring hospitalisation)
- Collapse, overturning, failure or malfunction of or damage to any plant
- Fire or explosion
- Spillage or leakage of any substance
- Fall or release from a height of any plant, substance or object.

The incident scene must be preserved until directed from a member of the HSW Team. Once this confirmation is provided, works may commence for site cleaning/restoration, repair work and arrangements to make the site safe.

5.3. Classification and Notification of Incidents

Level	Classification definition	Roles to be notified ¹	Mandatory timeframe for notification
3	<ul style="list-style-type: none"> Fatality Serious injury An event, which is likely to cause extreme physical and /or emotional distress to staff, students, volunteers, visitors and clients Natural disaster, a large fire, material release, civil unrest, environmental issue or ethical or reputation damage Near miss that could have resulted in the above 	<ul style="list-style-type: none"> Director, Health Safety and Wellbeing <p>Consideration is to be given to all other relevant persons:</p> <ul style="list-style-type: none"> HSW team Safer Community Compliance Regulation Reporting Manager, Property Services Safety team Executive Director of Property Services Executive Director of Portfolio PVC of College Head of School / Work Unit 	<p>Immediate verbally (within 1 hour at latest)</p> <p>Incident is to be entered into P.R.I.M.E within 24 hours</p>
2	<ul style="list-style-type: none"> Injury resulting in lost time Medical treatment (requiring more than first aid) Injury requiring the staff member to be assigned alternate duties Multiple person injury Near miss that could have resulted in any of the above 	<ul style="list-style-type: none"> Operational Leader responsible for work area of staff, student, contractor, volunteer or client Senior Advisor, Health and Safety <p>Consideration is to be given to all other relevant persons:</p> <ul style="list-style-type: none"> HSW team Safer Community team Manager, Property Services Safety team Executive Director of Property Services Executive Director of Portfolio PVC of College Head of School / Work Unit 	<p>Immediate – or before end of the shift (at latest)</p> <p>Incident is to be entered into P.R.I.M.E within 24 hours</p>
1	<ul style="list-style-type: none"> First aid injury Property damage Near miss that could have resulted in either of the above 	<ul style="list-style-type: none"> Operational Leader responsible for work area of staff, student, contractor, volunteer or client <p>Consideration is to be given to all other persons as relevant:</p> <ul style="list-style-type: none"> HSW team Safer Community team Manager, Property Services Health & Safety team Head of School / Work Unit 	<p>Immediate – or before end of the shift (at latest)</p> <p>Incident is to be entered into P.R.I.M.E within 24 hours</p>

The Operational Leader who is responsible for the staff member, student, researcher, contractor, volunteer, visitor or client involved in the incident, must:

- Verbally notify RMIT Security and First Aid Officer(s) immediately as required.
- Verbally notify HSW Team of any serious incidents immediately, to ensure they are aware of the incident and can take necessary actions as soon as possible.
- Record all incidents in P.R.I.M.E within 24 hours of the incident being reported, or as soon as practicable.

Once a member of the HSW Team has been contacted they will then classify this incident as per table below.

5.3.1. Notification to RMIT Security

If the HSW Team is notified of an incident, they will ensure that RMIT Security is also notified of the incident.

5.3.2. Australia Only - Notifiable Incidents

Some incidents are deemed to be “notifiable” to relevant statutory authorities.

The Senior Advisor, Health and Safety is responsible for communicating with the relevant Regulators, to ensure both verbal and written notification requirements for incident notifications are complied with. For further information

regarding WorkSafe Victoria incident notification requirements, please refer to guidance **HR - HSW-PR10-WI01 - VIC Statutory Reporting Guideline**.

5.4. Escalation

Level	Role notified (per s.4.2)	Roles the notified person is required to escalate the incident to:	Mandatory timeframes for escalation
3	Director, Health Safety and Wellbeing	<ul style="list-style-type: none"> Executive Director, Human Resources Chief Operating Officer (COO) 	Immediately upon becoming aware
2	Senior Advisor, Health and Safety	<ul style="list-style-type: none"> Director, Health Safety and Wellbeing Head of College/Portfolio or /School/Work Unit Operational Leader responsible for area, staff, student, contractor, visitor, volunteer or client 	Immediately upon becoming aware either verbally or by email notification from P.R.I.M.E.
1	First Aid Officer If unavailable, Operational Leader responsible for staff, student or contractor, visitor, volunteer or client	<ul style="list-style-type: none"> Head of College/Portfolio or /School/Work Unit Senior Advisor, Health and Safety 	Immediately upon becoming aware – either verbally or by email notification from P.R.I.M.E.

The HSW team member who has been notified of the incident must notify the Director, Health Safety & Wellbeing. The HSW Team is responsible for escalating to RMIT’s Leadership Team and relevant persons as per the table below

5.5. Escalation to Crisis Management Team

- RMIT Security is responsible for notifying the Chief Operating Officer.
- The Chief Operating Officer (COO) is responsible for notifying the Crisis Management Team.

5.6. Recording in P.R.I.M.E.

For all HSW incidents and near misses, the Operational Leader must ensure the incident is recorded in P.R.I.M.E within 24 hours of the incident being reported, or as soon as practicable. Any person can enter the incident into P.R.I.M.E., it does not have to be the person involved.

If P.R.I.M.E. is unavailable for any reason, an Incident Report Form (**HR - HSW-PR10-FR01 - Incident Report Form**) and Hazard Report Form (**HR - HSW-PR10-FR02 - Hazard Report Form**) can be downloaded and completed as a hard copy document. After notifying the HSW Team of the incident or hazard, the completed Report Form should be forwarded to healthandsafety@rmit.edu.au, and when P.R.I.M.E. is available enter the incident or hazard as soon as practicable.

The HSW team will receive email notification of the submitted incident reports via P.R.I.M.E. and the relevant Senior Advisor, Health and Safety will review and assess the type of incident. They will then follow up with the relevant Operational Leader and person involved for further information as required and provide advice/assistance on identifying appropriate corrective actions.

For incidents that involve circumstances such as bullying or stress or personal medical conditions, there is provision for these to be submitted confidentially into P.R.I.M.E. so they are initially escalated to the Director of Health, Safety and Wellbeing only who will then assess and follow up.

5.7. Investigations

Level	Investigation level	Role responsible for completing	Mandatory timeframes for investigation & reporting
3	ICAM (always)	Senior Advisor, HSW	<ul style="list-style-type: none"> Commence investigation within 24 hours of incident occurring ICAM Report to be finalised within 2 weeks of incident* Immediate actions to be identified, implemented and all actions to be monitored until completed
2	Investigation (Minor) or ICAM may be required depending on risk rating of incident; severity of injury/illness or near miss	Senior Advisor, HSW / Operational Leader	<ul style="list-style-type: none"> Commence investigation within 48 – 72 hours of incident occurring. ICAM/Investigation Report to be finalised within 2 weeks of incident occurring* Immediate actions to be identified and implemented and all actions to be monitored until completed and incident closed out.
1	Root cause analysis to be documented in P.R.I.M.E. and Action Plan to be completed	Operational Leader	<ul style="list-style-type: none"> Commence assessment of incident within 24 hours of being notified. Complete Action Plan in P.R.I.M.E. within 1 week. Complete all corrective actions to close incident within 1 month.

The Operational Leader of the person involved in the incident will receive an email notification via P.R.I.M.E. once the incident has been logged and will be required to undertake a preliminary investigation (P.R.I.M.E. Action Plan). An investigation should commence as soon as possible, within 24 hours, after an incident or near miss occurs and after the site has been made safe.

The Senior Advisor, Health and Safety will be responsible for forming the investigation team for Level 3 and 2 incidents and will ensure that appropriate consultation is conducted with elected Health and Safety Representatives (HSRs) where available.

After a Level 3 incident and prior to undertaking an incident investigation, the HSW Team, in consultation with the General Counsel and RMIT Leadership, must determine if external legal counsel should be engaged to invoke legal privilege over the work product. This decision must be formally documented as part of the incident investigation.

5.7.1. Unable to meet timeframes?

There may be some extenuating circumstances where the timeframe for finalising an Incident Investigation Report is unable to be met. The Director, Health Safety and Wellbeing should be notified as soon as practicable, to explain the reasons, ongoing activities and expected completion date.

5.8. Taking Action to Prevent Recurrence

After the investigation (P.R.I.M.E. Action Plan) is completed, the responsible person is required to determine the control measures to be implemented to prevent recurrence.

Control measures are to be agreed by the investigation team and in consultation with the person(s) responsible for making required changes. Consultation regarding decisions made to control the risks and proposed corrective actions and changes must include the elected Health and Safety Representative(s) (HSRs) if available and staff, students, contractor(s) and others who may be affected by the proposed actions.

All of the control measures will be tracked via P.R.I.M.E. and should be completed as soon as possible and within allocated timeframes. This will be considered an important HSW Key Performance Indicator. The control measures may only be closed out by the person who allocated them in the first place in consultation with the assigned person(s) i.e. action owner(s). The incident can only be closed out, once all the control measures are completed.

The HSW Team must regularly review investigations and reports following Level 3 and 2 incidents. Findings and recommendations from these investigations may be included in the HSW VCE Quarterly Report and applicable monthly HSW Reports. In addition, the HSW team should review findings and recommendations to identify implications for the HSW Management System and recommend improvements, where necessary.

Relevant information from completed incident investigations (e.g. Investigation Summary Reports) and lessons learnt should be communicated to: Senior/Operational Leaders at the College/Portfolio/School/Work Unit; Health and Safety Representatives, Health and Safety Committees (where available) and others as applicable.

Safety Alerts or other methods of communication may be used to inform staff, students and contractors of specific risks, hazards arising from the incident which occurred and the remedial actions that were taken to prevent similar incidents occurring.

5.8.1. Involvement of HSRs

The requirements for HSR's and consultation is only legislated in Victoria (as per the Occupational Health & Safety Act 2004) and Australia. Other jurisdictions can choose to follow these requirements, if local legislation does not exist.

6. Responsibilities

6.1. Executive/Senior Leaders

- Provide all necessary resources to enable Colleges/ Portfolio/School/Work Units to comply with this process and to implement required preventative actions within their area of control
- Ensure they are informed of incidents and appropriately involved.

6.2. Operational Leaders (i.e. Managers/ supervisors)

- Ensure that all incidents in their area of control are reported and escalated as required.
- Ensure that all incidents are logged in P.R.I.M.E. within 24 hours or as soon as practicable.
- For Level 1 incidents, ensure that an investigation is conducted and logged into P.R.I.M.E. with required assessment and Action Plan completed and appropriate control measures to prevent further similar incidents are identified.
- Ensure that all identified control measures have been completed within 1 month so incident can be closed out.

6.3. HSW Team

- Provide Managers/Supervisors with advice, instruction, mentoring and coaching as required in incident management and investigation
- Determine whether legal advice is required following a Level 3 and 2 incident.
- Review Level 3 and Level 2 Incident Reports to identify lessons to be learnt and circulate appropriate information throughout RMIT.
- Undertake and facilitate investigations for Level 3 and 2 incidents in accordance with required process and timeframes.
- Assist with the implementation of the incident reporting management and investigation process requirements
- Monitor and report on performance through audits and performance reviews
- Assist with the identification and integration of any additional organisation and legislative requirements for consultation and communication.

6.4. RMIT Campus Safety and Security

- Be the incident 'first responders'
- Preserve the incident site, if attending the incident
- Administer first aid, if trained
- Notify the relevant persons - as per Table 1 re. Incident Classification and Notification Requirements - immediately or as soon as practicable.

6.5. Staff, students and contractors, researchers, volunteers, clients and visitors

- Report all incidents and near misses
- Give information to support incident and near miss investigation and analysis
- Assist to keep incident site undisturbed, as required
- Assist with implementation of investigation report recommendations, as required.

7. Definitions

Defines any key terms and acronyms relating to the process where they apply.

Term / acronym	Definition
Control Measure	Issued when a process or issue has been identified which could be further safe guarded, enhanced or streamlined in some way.
Damage	Destruction, loss or harm such as an injury to a person or to property or reputation resulting from an action or event.
Environmental Impact	The impact on the environment created by an industry, service, plan or project
Fatality	Death that occurs on RMIT premises or whilst carrying out RMIT work duties or participating in RMIT endorsed activities off-site.
First Aid Injury (FAI)	A minor work injury requiring any one time treatment, and one follow up visit for the purpose of review/clearance of minor injury, which do not ordinarily require medical care. It does not depend on whether the treatment is provided by a physician or another licensed health care professional.

Hazard	A situation that has the potential to cause injury or illness, harm to health and/or danger to property or the environment.
High Potential Incident (HiPo)	An event with the realistic potential of serious/high consequence outcome i.e. fatality/ies (staff, student, contractor, visitor, volunteer or client) or serious disabling injury &/OR substantial environmental impact. Includes events with regulatory intervention, potential material brand impact, business interruption for RMIT, Divisions or related entities.
HSE Breach	A breach of Health and Safety or Environmental Laws, regulations, or related regulatory instruments. Includes breach of RMIT HSW Policies, standards or procedures.
HSW	Health, Safety and Wellbeing
Incident / Accident	An occurrence that leads to, or might lead to injury or illness of a person and or damage to property or the environment.
Journey Incident	An incident that occurs whilst the employee is travelling to or from work AND they have left or not reached their household boundary
Lost Time Injury (LTI)	A work-related injury or illness which results in an employee (including contractors and their employees or subcontractors) being absent from work for a full scheduled day/shift, subsequent to the day/shift during which an injury or illness occurred. This does not include the day/shift during which the event occurred. The period of absence is measured in full days.
Operational Leader (i.e Manager/ Supervisor)	Any staff member of RMIT who: <ul style="list-style-type: none"> Plans, organises or supervises the activities of other staff, students, contractors, volunteers, visitors and clients on behalf of RMIT; or Designs or organises the design, maintenance or refurbishment of facilities on behalf of RMIT
Medical Treatment Injury (MTI)	A serious work injury requiring prescribed medical treatment by a Registered Medical Provider, which is beyond the scope of normal first aid.
Near Miss	A Near Miss (also known as a Near Hit or a Dangerous Occurrence) is an unplanned or unwelcome event, which has the potential to cause harm to the health and safety of a person, damage to property and/or environment. Such events could include: <ul style="list-style-type: none"> The collapse, overturning, failure or malfunction of, or damage to, plant that is required to be licensed or registered The collapse or failure of an excavation or of any shoring supporting an excavation The collapse or partial collapse of a building or structure An implosion, explosion or fire The escape, spillage or leakage of any substance including dangerous goods The fall or release from a height of any plant, substance or object.
Notifiable Incident	This is defined in the HSW-PR10-WI01 - VIC Statutory Reporting Guideline
Report Only	A minor work injury where treatment is either not sought or not required, but an injury report is received, for example: a fall or collision with a stationary object where minor bruising occurs, an odour, flickering light that results in a headache. The purpose of these reports is to capture all incident experiences and triage to determine any corrective action required.
RMIT Security	RMIT Campus Safety & Security
Serious Injury	Serious injury include, but are not limited to, incidents that result in a person requiring: <ul style="list-style-type: none"> Medical treatment within 48 hours of exposure to a substance Immediate treatment as an in-patient in a hospital

- Loss of consciousness
 - Immediate medical treatment for amputation, serious head injury, serious eye injury, separation of skin from underlying tissue (for example de-gloving or scalping), electric shock, spinal injury, loss of bodily function or serious lacerations.
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8. Supporting Documents

- HR – HSW-PR10-FR01 - Incident Report Form
- HR - HSW-PR10-FR02- Hazard Report Form
- HR - HSW-PR10-FR03 - Incident Investigation (Minor) Form
- HR - HSW-PR10-FR04 - ICAM Report Template
- HR - HSW-PR10-WI01 - VIC Statutory Reporting Guideline
- HR - HSW-PR10-WI02 - HSW Incident Investigation Guideline
- HR - HSW-PR10-WI03 - Medical Treatment and First Aid Classification Guide