

Safety Manual

Subject: Incident Investigation	Number:
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Approved By: Louisa V. Newman Director of Environmental Health & Safety	Signature:

Incident Investigation of Injuries, Illnesses, and Near Misses

Background

North Carolina Agricultural and Technical State University (NC A&T) is committed to correcting an unsafe and/or unhealthy work environment. To do so, it is imperative incident investigations are conducted immediately to ensure that workplaces and equipment are safe and well maintained and safe and health work practices/procedures are clearly communicated and understood by employees. Prompt investigations demonstrate the University's level of dedication and concern for safety and the wellbeing of employees.

Incident Investigation

The purpose of an incident investigation is to prevent future incidents from occurring. Thus, a fact finding, not fault-finding process needs to be in place. To clearly identify the unsafe circumstances surrounding the occurrence of the incident, a cause and effect needs to be identified. The **cause** is the why an incident happened (i.e. oil on the floor). The **effect** is the result of what occurred (i.e. the employee slipped and bruised leg). When looking for the cause, several items should be investigated such as processes (i.e. lack of scheduled maintenance for equipment, changes to procedure), personnel (i.e. lack of training), machine/equipment (i.e. faulty equipment that leaks), materials (i.e. no tools), and environment (i.e. poor worksite cleanliness). Once the cause(s) are identified, then corrected action is to be implemented to mitigate future occurrence. In some cases, employee failure to follow proper safety procedures may be identified and should not be excluded.

Responsibility

Supervisor

The Supervisor must investigate any workplace incident (near miss, injury/illness) involving their staff including part-time and temporary. The incident investigation should occur immediately upon notification of the incident. It is critical in evaluating the scene before changes can occur, obtaining witness statements before memory alters, etc. After conducting the incident investigation, the Supervisor Incident Report is to be completed and list any details that may correct the problem and/or to increase health and safety awareness. Additional supplemental information should be included such as pictures/diagrams of the incident scene, witness statements (before, during, afterwards), or other agency reports such as police or fire. This report and supplemental documents are required to be sent immediately to the EHS for review.

EHS

EHS is responsible for collaborating with the Supervisor on the initial incident investigation as specified in the table below.

Incident	Supervisor	EHS
Near miss/property damage without injury	X	
First Aid/Minor Medical (i.e. UE0HC)	X	

Minor Medical with multiple similar claims in a particular work unit/department	X	X
Near miss, first aid or minor medical with potential for serious injury	X	X
Minor Medical that is reportable to a regulatory agency (i.e. CDC, APHIS, local health department, etc.)	X	X
Claims with potential of LT ≥ 6 days	X	X
Immediate Hospitalization	X	X
Fatality	X	X

EHS shall also complete an incident investigation report outlining a specific time table for corrective action and responsible parties for implementation. In some cases corrective action may include both short-term and long-term recommendations.

Corrective action/mitigation of hazards

All deficiencies identified by the incident investigation are to be corrected immediately. Documentation of the corrective action is to be sent to EHS.

If any deficiencies identified have the potential for serious injury/illness, then EHS has authorization to stop all work until the hazard has been corrected. EHS will notify the Departmental contact when work can resume.

If a corrective action is identified which requires additional resources that is not available to the Department, then EHS will report the deficiency to the University Safety and Security Committee (USSC) for further action. The USSC will review the incident investigation report and prioritize resources for corrective action.

Failure to Implement Correct Action in a Timely Manner

If a Supervisor fails to implement corrective action, EHS will notify the Department Head of the failure to implement corrective action. The Department Head will be provided a specified period of time to remediate the issue.

If the Department Heads fail to implement corrective action, then the deficiencies and departmental information will be reported to the USSC for review and further action.

NC A&T SUPERVISOR'S INCIDENT REPORT FORM

This form is to be completed by the Supervisor and forwarded to the Department of Environment, Health and Safety along with a copy of the North Carolina Industrial Commission Form 19 (Workers' Compensation Form) as soon as practicable. All incidents involving serious bodily injury or death must be reported to the Department of Environment, Health and Safety immediately.

General Info.	Injury/Illness Near Miss	Location of Incident		
	Time of Incident : AM PM	Date Incident Occurred / /		Date Incident Reported / /
Personnel Info	Name: (Last) (First) (MI)		Occupation of Injured Worker	
	Length of Employment Years Months	Length in Present Job Years Months	Shift 1 st 2 nd 3 rd	Overtime Yes No
Incident Description	Injury Type (i.e. cut/strain)	Body Part Affected		Cause of injury
	Describe events leading to incident:			
Witnesses	Name of Witness(s)	Phone #		Before/During/Afterwards
Immediate Cause	What acts or conditions contributed directly to the incident?			
Basic Cause	What personal and/or job factors contributed to the incident?			
PPE	What Personal Protective Equipment was required for this job?			
	Was it in use? ____ yes ____ no			
Risk Assmnt.	Probability of event recurring		Severity Potential	
	Likely Possible Unlikely	Major Serious Minor		Exposure Frequency Frequent Occasional Rare
Prevention	Temporary Fix – What immediate corrective action has been taken to prevent a recurrence?		Permanent Solution – What correction action has been or will be taken to eliminate the basic causes?	
Treatment Data	Medical Treatment		Treatment Status	
	None UEOHC ER (life threatening)		None Medical only Lost Time (medical note)	
Investigated by	Name		Date of Investigation	
	Signature			