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Title <i>INCIDENT REPORTING AND INVESTIGATION</i>	Effective Date 06/17/2021

1. Purpose

University of Alaska Anchorage (UAA) employees, student workers, faculty, staff, and outside contractors must report workplace incidents resulting in injury or property damage. In addition, all personnel are encouraged to report near loss incidents where, if conditions were different, an incident could have occurred. Incident reporting and investigation plays an important role in identifying hazards to UAA personnel and correcting those hazards to prevent reoccurrence. This program for Incident Reporting and Investigation is intended to ensure workers are knowledgeable in the reporting process and the steps to be taken to protect themselves and others.

2. Objective

UAA, in its continuing effort to provide employees with safe, healthful working conditions, and to comply with the Occupational Safety and Health Act, is implementing the following incident reporting and investigation program to ensure UAA Personnel and outside contractors better understand how to properly report and investigate incidents.

3. Scope

This program applies to UAA employees, student employees, faculty, staff, and outside contractors working for UAA.

4. Definitions

Hazardous Material/Oil Spill - An unplanned or uncontrolled release of material from a tank, vessel, pipe, transport vessel or equipment intended to serve as the primary container for, or used for the transfer of, a material or container of any item or agent (biological, chemical, radiological, and/or physical), which has the potential to cause harm to humans, animals, or the environment, either by itself or through interaction with other factors.

Incident - an unplanned, undesired event that adversely affects completion of a task.

Injury or Illness - An abnormal condition or disorder. Injuries include cases such as, but not limited to, a cut, fracture, sprain, or amputation. Illnesses include both acute and chronic illnesses, such as, but not limited to, a skin disease, respiratory disorder, or poisoning.

Near Loss Incident - Any incident in which if any of the conditions would have been different could have resulted in an incident meeting trigger criterion, and if by fixing the root cause will prevent similar incidents from happening again in the future.

OSHA Recordable Injury or Illness - An injury that meets one or more of the following:

- Death
- Days away from work

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- Restricted work or transfer to another job
- Medical treatment beyond first aid
- Loss of consciousness
- A significant injury or illness diagnosed by a physician or other licensed health care professional

Note: Due to OSHA's complicated definition of reportable injury, EHS/RM will assist in the recordability of an injury.

Property Damage - Damage to UAA property including structures, equipment, vehicles, furniture foundations, etc.

Restricted Work or Transfer to Another Job - When personnel cannot perform their assigned tasks due to an injury and illness, but can still perform a different task or job.

Root Cause - The ultimate set of actions, behaviors, or conditions that directly resulted in an incident.

Root Cause Investigation (RCI) - A class of problem-solving methods aimed at identifying the root causes of problems or events.

RCI Facilitator - A person who takes part in an incident investigation and whose role is to facilitate the investigation process. The facilitator may not have any knowledge in the incident under investigation but must be knowledgeable and able to lead the RCI process.

RCI Trigger Criteria - A criteria for incidents which, if met, requires a formal RCI. Criteria will be set for injuries, hazardous material/oil spills, property damage, fires, and near losses.

5. Authority and Responsibilities

In addition to the roles and responsibilities outlined in the UAA Training Program, the following apply to the Incident Reporting and Investigation Program.

EHS/RM

- Work with departments to determine severity of incidents to ensure appropriate investigations take place
- Track incidents and near loss incidents to ensure appropriate investigations take place and proper action items are implemented to prevent the incident from reoccurring
- Annually report applicable injuries on the OSHA 300 log and post OSHA Form 300A in a common area where notices to employees are usually posted

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Supervisor/ Project Manager

- Ensure incidents and near loss events are properly reported through the UAA Online Incident Reporting website
- Assist personnel in the department in incident reporting if necessary
- Ensure department personnel are trained in the incident reporting procedure
- If an incident meets an RCI trigger criterion, ensures an appropriate Root Cause Investigation takes place and appropriate action items are implemented
- Reports incident investigation results to EHS/RM
- Seeks assistance from EHS/RM as needed

Department Safety Coordinator

- Assist in the determination of reportable incidents
- Assist with incident reporting and investigations as requested
- Assist in the determination of corrective actions to prevent reoccurrence

Employees/Student Workers

- Report all incidents and near loss events as soon as possible to department supervisor
- After notifying supervisor report incident or near loss incident using UAA Online Incident Reporting Tool
- Participate in Root Cause Investigations and corrective action determination

Outside Contractors

- Perform all work in compliance with their company's incident reporting and investigation program, which will be reviewed and approved by the EHS/RM department
- If the company does not have a program, they must comply with this program

6. Hazards Associated with Incident Reporting and Investigation Program

Incident reporting and investigation is intended to identify and correct hazards before injuries occur. Failure to properly identify and correct hazardous conditions and behaviors can lead to future hazards to personnel which can result in injury, environmental impact or property damage.

7. Engineering Controls

Engineering controls are design plans or changes to the working environment to prevent or reduce employee exposure to hazards. UAA has developed an online incident reporting program to facilitate timely and accurate reporting of incidents for UAA personnel.

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8. Administrative Controls

Administrative controls are safe work practices and procedures designed to reduce risk. Examples of administrative controls include the following:

- Train personnel on the incident reporting and investigation procedures
- Conduct routine review of incidents to ensure proper reporting and investigations are taking place
- Conduct periodic review of incident data to identify systematic hazards are not present

9. Procedures

While the purpose of this program is to ensure incidents are reported properly and within the appropriate timeframe, the immediate health and safety of UAA personnel, students and guests are the priority. In the event of an emergency, for immediate emergency response call 911 or the UAA University Police Department dispatch.

Incident Reporting

Injuries/ Fatalities

All injuries including fatalities must be reported to EHS/RM by utilizing the UAA Online Incident Reporting Tool. A link to this tool is located on the EHS/RM website. It is important to report seemingly minor injuries in the event the condition worsens at a later time, so the event is documented.

If the injury requires medical attention, the supervisor must contact the System Office of Risk Services (SORS) within 24 hours for more information on required notification and forms for State Workers Compensation.

SORS Website: <http://www.alaska.edu/risksafety>.

Once the report is received, SORS will manage all reporting requirements under Workers Compensation which are prescribed by state statute. The completed forms must be submitted to SORS within two days of supervisory knowledge of an incident. Fines levied by Workers Compensation Board against the University for late reporting may be passed on to the submitting departments.

All injuries to third parties must be reported within 24 hours.

In the event of a fatality or hospitalization of any UAA personnel, Alaska state law requires the incident to be reported to the Department of Labor within 8 hours. The EHS/RM department is responsible for making this report, but immediate notification is required.

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Fire

In the event of a fire, the initial response is to initiate the fire alarm system and get all people to safety. EHS/RM should be notified as soon as it is safe to do so. Any unintentional flame or explosion created on UAA property should be reported using the UAA Online Incident Reporting Tool.

Vehicle Accident

Vehicular accidents occurring at UAA must be reported to the University Police (907-786-1120). University Police may provide copies of these reports to EHS/RMS. In addition, University Police will immediately notify EHS/RMS of serious occurrences of injury, death, or property loss or damage. Extended sites and campuses should report serious incidents to local police departments and to EHS/RMS. The extended sites and campus should obtain copies of police reports and forward them to EHS/RMS. EHS/RMS will coordinate information flow and communications with the System Office of Risk Services (SORS) and may perform further investigations after consultation with the University Police. SORS will process liability claims when submitted. If the accident involves an injury, follow the appropriate procedures for processing.

Property Damage

Incidents resulting in property damage must be reported as soon as feasible using the UAA Online Incident Reporting Tool. Any incident expected to result in greater than \$10,000 in damages must be reported to SORS within 8 hours. If after an incident the loss is greater than expected and found to be in excess of \$10,000, the incident should be reported to SORS at that time.

Hazardous Materials/Oil Spills

Spills of hazardous materials or oil that require assistance to clean up, pose a hazard to human health or the environment, or that reach the storm drains must be reported to EHS/RM as soon as possible and, when safe to do so, using the UAA Online Incident Reporting. In addition, the incident must be reported to SORS within 8 hours. EHS/RM and SORS will make additional reports to the appropriate government agencies as needed.

Unsafe Conditions

Any observed condition that could result in or cause injury, spill, fire or property damage on UAA campus should be reported as soon as possible to EHS/RM and using the UAA Online Reporting Tool.

Any near loss incident where, if conditions had been different, could have resulted in injury, fire, vehicular accident, property damage or hazardous material spill should be reported using the UAA Online Incident Reporting Tool. Tracking these near losses will help UAA identify at risk areas

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and procedures and provide an opportunity to correct before an actual event occurs.

Incident Investigation

Root Cause Incident Trigger Criteria

Following an incident at UAA it may be necessary to conduct an incident investigation, to determine and correct the cause of the incident and prevent reoccurrence. If an incident meets any of the RCI trigger criteria in Table 1, a root cause investigation should be performed. Depending on the severity or the potential for the incident to reoccur or be more severe it may be decided to perform an investigation on incidents not meeting these triggers.

Table 1 Root Cause Incident Investigation Trigger Criteria

Event Type	Trigger Criteria
Injury	Any OSHA recordable injury
Fire	Any unintentional flame.
Vehicular Accident	Vehicle accidents involving UAA personnel resulting in medical treatment or vehicle damage greater than \$10,000
Property Damage	Any incident resulting in property damage of greater than \$10,000
Hazardous Material/Oil Spill	Any release of a hazardous chemical or oil in excess of 5 gallons.
Near Loss	Any incident in which if any of the conditions would have been different could have resulted in an incident meeting trigger criterion, and if by fixing the root cause will prevent similar incidents from happening again in the future. These are to be conducted at the discretion of the EHS/RM, SORS or Department Supervisor. In the case of contractor near miss incidents at UAA, it shall be at the discretion of the Project Manager.

Incident Investigation Process

The type of investigation conducted depends on the seriousness or complexity of the incident, but it is best done as a team, so all parties can contribute their skills and expertise to achieve the best result. EHS/RM, Department Supervisors, and possibly SORS will work together to determine the team required for the investigation. Teams may consist of two people for a simple incident, or a large group for something more serious or complex. The following should always be considered for a formal incident investigation:

- Personnel or contractors directly involved in the incident, along with their supervisor
- Personnel or contractors who witnessed the incident or have relevant knowledge
- Investigation Facilitator

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Other recommendations for a successful incident investigation include:

- Conduct the investigation as soon as possible after the incident
- Make feasible efforts to preserve evidence related to the incident until SORS, EHS/RM, UPD, or other investigation agencies have had a chance to complete investigations.
- The incident scene may need to be secured from entry until others have a chance to investigate
- Take pictures of the incident and surrounding areas before evidence is disturbed

For incident investigations involving a fatality or expected fatality, relevant materials and equipment shall not be moved until a representative of the Department of Labor investigates the scene and releases these materials, except where removal is essential to prevent further incidents. EHS/RM or SORS should be contacted immediately for support.

Upon the arrival of a Department of Labor investigator, the immediate supervisor and all personnel who were witnesses to the incident, or whomever the investigator deems necessary to complete the investigation, shall be made available to provide information to the investigator.

Vehicular incidents involving UAA personnel require immediate the supervisor to initiate the incident investigation with assistance from EHS/RM or SORS upon request.

Claims Forms

All required forms for claims can be acquired by clicking on the forms link on the UAA EHS/RM web site, or by contacting EHS/RM or SORS.

10. Inspections

A representative from EHS/RM reviews all pertinent entries into the UAA Online Incident Reporting Tool and will follow up with personnel and their supervisors as necessary to ensure incidents are properly investigated and the proper reporting takes place.

Annually, the EHS/RM department will complete a thorough review of the historical incident data, looking for areas and trends that can be addressed to improve UAA health and safety.

11. Training

UAA shall provide a training program for UAA personnel on the incident reporting and investigation procedures.

The program shall enable personnel to understand the incident reporting process and who to seek for assistance.

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Retraining shall be provided for each personnel as necessary if incidents are not reported, reported improperly or there is a change in the incident reporting procedures so that personnel maintains the understanding and knowledge acquired through compliance with this section.

12. Program Evaluation

The Incident Reporting and Investigation Program shall be evaluated on an annual basis utilizing the protocols set forth by EHS/RM. The evaluation team will consist of a department safety coordinator and a designee from EHS/RM. EHS/RM will define the scope of the evaluation. The final report will be developed by the EHS/RM utilizing the information received during the evaluation. The deficiencies determined in the report will be documented and corrective action plans will be developed.

13. References

OSHA regulations that apply to incident reporting and investigation are included below.

- 29 CFR 1904

14. Revision History

Revision Number	Date Revised	Description of Change	Revised By	Approved By
1				
2				
3				