



## **Incident Prevention, Reporting, & Investigation Program**

### **Purpose & Scope**

The purpose of this Incident Prevention, Reporting, and Investigation Program is to ensure that ALL accidents, incidents, close calls/near-misses, or unsafe acts/conditions, involving university employees or contractors are reported and investigated in order to prevent future occurrences. It provides employees with information and guidelines that will assist them in recognizing, preventing, reporting, and investigating incidents. This program applies to all faculty, staff, and contractors.

### **Policy**

It is the policy of Fayetteville State University that all accidents, incidents, close calls/near-misses, or unsafe acts/conditions, involving university employees or contractors be reported in accordance with this policy. All employees have the right to report work-related injuries or illnesses free from retaliation.

An accident is an unanticipated event that results in an injury, illness, hazardous spill/release, or significant property damage (e.g., fire or flooding). An incident is a close call/near miss that has the potential to escalate to accident status. Regarding this document, incident will encompass all descriptions of accidents and incidents.

The Fayetteville State University Incident Prevention, Reporting, and Investigation system enables anyone to submit hazard reports to Environmental Health and Safety (EHS) and accident and incident reports to Human Resources (HR). This system does not replace contacting the FSU Public Safety Department at 1911 from a campus phone or (910) 672-1911 from any other phone for emergencies, but rather supplements the process by streamlining and centralizing recordkeeping.

Proper, accurate, and timely reporting plays a critical role in the investigation which allows for the following:

- Identification of the hazard;
- Determination of the cause;
- Development of a corrective action plan; and
- Implementation of proper safeguards to prevent reoccurrences.

This Incident Prevention, Reporting, and Investigation Program will be reviewed annually and updated as needed to maintain compliance with applicable regulations and standards. Workplace inspection reports and incident reports will be maintained and used to provide corrections and improvements to the program.

This plan will be available for employee review at any time during all normal working hours.

Established August 1, 2020  
Date

By Paul Harbison  
EHS Officer / Professional

## Roles and Responsibilities

### EHS Officer/Professional

- Ensures an effective system is available for employees to report incidents
- Provides training and ongoing assistance to supervisors and other assigned employees responsible for conducting incident investigations
- Ensures a thorough investigation is conducted for all incidents
- Maintains accurate records of all reported incidents
- Reviews submitted incident reports and monitors reports for thoroughness, appropriate solutions, and timely implementation of corrective actions
- Ensures access to basic investigation equipment, I.e. tape measure, flashlight, clipboard, graph paper, barricade tape, PPE, and camera
- Ensures university safety committees are actively involve with reviewing incident data
- Monitors program results to identify trends and determine addition needed focus area
- Responds to and conducts a root cause analysis investigation of all accidents and incidents, as deemed necessary
- Assist departments with the development and implementation of corrective action plans
- Ensure those responsible have completed the scope as agreed
- Notify OSHA and OSHR of any fatality, in-patient hospitalization, amputation, or loss of an eye

### HR & WCA

- Provides and Reviews the NC Employee Incident Report, NC Witness Statement Form(s), and NC Supervisor Incident Investigation Report
- Ensures all accidents and incidents have been reported to EHS
- Supports EHS by pledging leadership support for investigation of incidents
- Ensures university's incident reporting system is effective and a prompt response is provided to all reported incidents
- Supports safety programs by emphasizing safety and loss prevention in periodic communications to employees

### Manager/Supervisor

- Immediately notify the university's workers compensation administrator (WCA) of any possible "work-related" incident, injury, or condition(s)
  - In case of any emergency, or "after hours" incidents, notify the university's campus police department at (910) 672-1911
- Obtain a "treatment authorization form" and ensure that the employee goes to the authorized medical provider.
  - In the event of an emergency, send the employee to the nearest medical facility. A list of authorized facilities can be found in the "Workers Compensation" section of the Human Resources webpage.
- Complete the "NC Supervisor Incident Investigation Report" within 24 hours and submit it to the WCA
- Provide employee and witnesses with the "NC Employee Incident Report, Leave Form, and NC Employee Witness Report(s)" and ensure that they get completed and submitted to WCA within 24 hours

- Exceptions might be made in cases of emergencies, incidents occurring during the weekends or, “after hours”, and/or when the employee remains out of work due to the incident, injury, or condition
- Partner with the Environmental Health & Safety Professional / Officer to investigate the incident
- Immediately notify the WCA of any changes in the employee’s medical status, or any absences due to the incident, injury, or condition
- If necessary, identify modified duty and collaborate with the WCA to provide a reasonable accommodation
- Maintain periodic contact with employee, and with the WCA for an effective and efficient management of the case
- Ensures employees complete incident prevention, reporting, and investigation training
- Identify and ensure timely implementation of corrective actions

### **Employees**

- Obtain appropriate first aid or medical treatment as quickly as possible following an incident involving personal injury
- Report all accidents and injuries to your supervisor immediately. If your supervisor is not available, contact the Workers’ Compensation Administrator (WCA), Benefit Specialist, or Human Resources Consultant Benefits
- If medically necessary, you will be taken, or sent, to the medical network provider listed below after obtaining a medical authorization form from the WCA
  - Concentra Urgent Care 1702 Owen Drive Fayetteville 28304
  - Cape Fear Valley Medical Center 1638 Owen Drive Fayetteville NC 28304
- If possible, you will be given a medical authorization form to give to the medical provider to ensure that the bill for the treatment will go to CCSMSI, the workers’ compensation third party administrator, for payment.
- As soon as possible, you are required to complete the NC Employee Incident Report and Leave Option Form within 24 hours. The completed form must be given to your supervisor, or the WCA, as soon as possible after the accident or report of illness.
- If you are contacted by the CCMSI Adjuster in the claim investigation or administration process, you must provide all required information to expedite claim processing
- Any absences from work related to the injury must be authorized with a statement from the treating physician. You must provide any such documentation given to you by the physician to the WCA as soon as possible.
- You are required to provide a doctor’s note to the WCA stating any medical restrictions placed on you as a result of the injury.
- You must adhere to any transitional duty(s) assigned to you as part of the FSU Return to Work Program.
- Complete incident prevention, reporting, and investigation training
- Actively participate in the incident investigation process to help identify and correct hazards and recommend further corrective actions to prevent future occurrence
- Contacts:
  - (910) 672-1451 Benefits Specialist / Workers Compensation Administrator
  - (910) 672-1825, Human Resources Consultant, Benefits
  - (910), 672-1827, Environmental Health & Safety Officer / Professional

## Contractors

- All contractors hired at FSU shall have their own written incident reporting program that fulfills all regulatory requirements or follow the guidance in this program

## Implementation

### Incident Prevention

The OSHR Flag the Hazard Reporting tool will be utilized to identify, document, and eliminate hazards in the workplace. It is a proactive approach that will be utilized to help prevent accidents and injuries from occurring and while protecting FSU faculty, staff, and contractors from hazards and potential hazards. The form will be reviewed by the EHS Officer / Professional and all necessary parties for actions that can be taken to minimize or remove hazards. If you identify a hazard, following the below steps:

1. Immediately notify your supervisor of any known hazards
2. If the hazard is not resolved departmentally, complete the hazard report found on <https://oshr.nc.gov/flag-hazard>
3. The EHS Officer / Professional will get back with you in a reasonable time frame
4. If the issue is not resolved in a timely manner and you have followed your chain of command, contact OSHR Safety staff at 919-807-4824.

### Incident Handling & Reporting

Work-related injuries and illnesses will be handled and reported in the following manner:

1. If a work injury is serious or life-threatening, employers should seek emergency assistance immediately by calling 911. Examples of serious or life-threatening symptoms:
  - a) Loss of consciousness
  - b) Seizure
  - c) Bleeding that cannot be immediately controlled
  - d) Chest pain or pressure
  - e) Difficulty breathing
  - f) Confusion
  - g) Inability to talk, walk, or raise both arms

An injured employee may request that emergency medical services (EMS) not be called. FSU faculty and staff have a legal obligation to call EMS if a life-threatening situation is suspected. FSU faculty and staff should not delay seeking medical care or argue with the injured employee; instead, employers should call 911.

2. Employees responding to an incident should ensure the scene is safe for other employees and emergency responders. A victim should only be moved from the incident scene in extreme situations when there is an ongoing danger to life and health.
3. Emergency vs. Non-Emergency Treatment
  - a) Emergency Treatment: If an injured employee needs emergency transport to a hospital or emergency room, the supervisor or designee accompany the employee to the hospital. The employee's emergency contacts should also be notified.

- b) Non-Emergency Treatment: If an injury requires non-emergency medical care other than first aid, the employer may provide transportation (if needed) for the injured employee's initial medical visit. Employers should pre-identify the location and business hours of local urgent care facilities in the Workers' Compensation Third Party Administrator's medical provider network. If possible, employees should be provided with a medical treatment authorization form to give to the urgent care facility.
4. Supervisors should immediately report an employee injury to the agency WCA and EHS Officer / Professional
5. Provide the employee with the NC Employee Incident Report. The employee should complete this form and give it to their agency WCA within 24 hours of the injury
6. Supervisors and employees shall not release information to news media. Employees should refer news media inquiries to the applicable FSU spokes person
7. Fatalities, hospitalizations, and amputations should be reported according to the OSHR Procedure for Reporting State Employee Fatality, Amputation, Loss of Eye(s), or Hospitalization (Attachment 1)

## **Incident Investigation**

Incident investigations will be handled and reported in the following manner:

1. Supervisors should start the incident investigation process immediately after the occurrence of any incident. The supervisor may obtain assistance from the EHS Officer / Professional
2. Supervisors should secure the incident scene immediately following the incident with rope, tape, guards, etc. (if needed) as soon as possible after the scene is cleared so that a full incident investigation may be performed
3. Supervisors should identify incident witnesses who were within hearing or visual distance of the incident as quickly as possible. Each witness should complete the NC Witness Statement Form detailing their perception of the facts of the event, including their own impression of what they heard, saw, or smelled prior to, during, and after the event. Witnesses should independently complete the form without input from others, to ensure the form captures their unique perspective. Employee witnesses should be informed that no retaliation will occur for telling the truth and assigning blame to employees is not the purpose of the investigation.
4. Supervisors should collect, record, and/or photograph all materials at the site of the incident that may be relevant to the investigation. Supervisors should also gather records, i.e. inspection reports, maintenance reports, and prior incident reports as needed. Supervisors should consult experts in the process related to the events as needed.
5. Supervisor's incident investigation reports should include a timeline of events that led to the incident, contributing physical and psychological factors at each step leading up to the incident, and the root cause(s). Psychological conditions include but are not limited to changes in the employee's emotional state such as depression, anger, loneliness, feelings of grief over a loss, feelings of emotional pressure at work, and/or high stress levels at home. Supervisors should investigate and report any factors that might have caused distraction or a lapse in judgment.

6. At a minimum, the affected employee and supervisor should work together, when possible, to identify the root cause(s) of the incident.
- a. Supervisors should expand the team to include additional resources and viewpoints, such as the EHS Officer and management, or others as applicable for more complicated incidents that may result in design or workflow changes.
  - b. The “Five Whys” technique is one method that may be used to identify the root cause(s) and contributing factors of an incident. This is a question-asking technique wherein the investigator asks the same question repeatedly: “What caused or allowed this condition/practice to occur?” or by simply asking “Why?” until the root cause(s) are found. The example below illustrates how the “5 Whys” might be applied to an incident:

**Problem:                    The car will not start.**

- |         |  |
|---------|--|
| 1. Why? | The batter is dead.  |
| 2. Why? | The alternator is not functioning.   |
| 3. Why? | The alternator belt is broken.   |
| 4. Why? | The alternator belt is worn out and had not been replaced.                   |
| 5. Why? | The vehicle was not being maintained per the manufacturer’s service schedule |

- c. For complex investigations involving equipment, tasks, and processes, more detailed questions may help to determine root causes for the incident. Below are some examples of questions that may be asked if relevant to the incident

**Task & Procedures**

- Is there a written procedure?
- Was the procedure used?
- Had conditions changed to make the normal procedure unsafe?
- Were the appropriate tools and materials available? Were they used?
- Were safety devices working properly?

**Equipment Related Incidents**

- Was there an equipment failure?
- What caused the equipment to fail?
- Were hazardous substances involved?
- Were the substances clearly identified?
- Was a less hazardous alternative substance possible and available?
- Should personal protective equipment (PE) have been worn?
- Were users of PPE properly fitted, trained, and documents?

**Personal Factors**

- Were employees experienced in the work performed?
- Have employees been adequately trained?
- How much overtime is being worked?
- Does the employee have a second job that does not allow for recovery between shifts?
- Can the employee physically do the work?
- What was the status of the employee’s health?
- Was the employee tired?

- Was the employee under stress (work or personal)?
- Was there any indication of drug or alcohol use?

### **Environmental Factors**

- Were there changes in the normal work environment (especially sudden changes)?
- What were the weather conditions and humidity?
- Was poor housekeeping a problem?
- Was it too hot or too cold?
- Was noise a problem?
- Was there adequate light?
- Were toxic or hazardous gases, dusts, or fumes present?

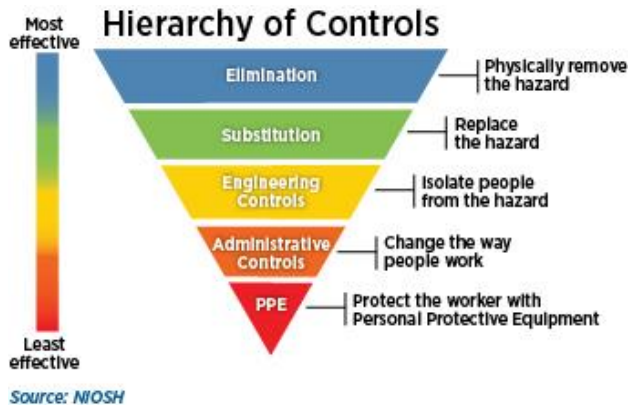
### **Root Causes**

- Were safety rules communicated to and understood by all employees?
- Were written procedures and orientation available?
- Were rules and procedures being enforced?
- Was there adequate supervision?
- Were workers trained to do the work?
- Had hazards been previously identified?
- Had procedures been developed to overcome hazards and prevent injuries?
- Were unsafe conditions corrected?
- Was regular preventative maintenance of equipment performed?
- Were regular safety inspections performed?

### **Recommending Corrective Actions**

Supervisors, managers, and/or the EHS Officer / Professional are required to develop, implement, track, and follow-up on corrective actions for all accidents and incidents.

1. A corrective action will be recommended for each identified root cause of an incident based on risk and opportunity of exposure.
2. The following common corrective actions may be considered:
  - Submit work orders for repair or replacement of broken or damaged materials
  - Purchase recommended equipment or PPE
  - Create or update policies and/or procedures
  - Train or re-train employees
  - Update related training courses
  - Implement Hazard Awareness meetings across the university
3. When selecting and recommending corrective actions, possible solutions are prioritized using the hierarchy of hazard control. Elimination is the most desirable solution followed by substitution, engineering controls, administrative controls, and finally PPE:



4. Corrective actions need to be as specific as possible. "Be Careful" is not an acceptable corrective action
5. All suggested corrective actions must be determined if the proposed change will introduce additional hazards
6. Management may wish to review corrective actions after implementation to ensure the hazard was minimized or eliminated, that employees are following the new process, and no new hazards were introduced.

## Training

All employees and new hires will receive training on the Incident Prevention, Reporting, and Investigation Program. Upon hire or promotion into their position, managers and supervisors will be appropriately trained on the Incident Prevention, Reporting, and Investigation Program. Employees and supervisors will receive refresher training at regularly scheduled intervals as determined by the EHS Officer / Professional. The training program shall emphasize the following:

- a) The Incident Prevention, Reporting, and Investigation Program and Responsibilities
- b) Procedure for reporting hazards and incidents and the importance of prompt reporting
- c) How to complete an investigation with emphasis on determining root causes, contributing factors, and corrective actions.

## Recordkeeping

**HR & the WCA** will:

- Retain records related to workers' compensation claims filed with the North Carolina Industrial Commission (NCIC) for 60 years from the date received;
- Retain records concerning workers' compensation claims submitted to the NCIC electronically until the death of the employee plus 5 years;
- Retain records concerning non-documentary evidence received by NCIC that does not become part of the case file including exhibits created for hearing until a final judgment is rendered in the case plus 3 years;
- Retain records of employee reports of injury to NCIC to which no file number is assigned 1 year from the date received; and
- Retain agency records for workers' compensation claims of their employees until the employee returns to work or separates from the agency plus 5 years.



**EHS** will:

- Retain records concerning asbestos, toxic substances, and bloodborne pathogen exposure from date of exposure for 30 years;
- Retain first aid records of minor job-related injuries for 5 years;
- Retain records concerning physical examinations required by the employer in connection with any personnel action; includes health or physical examination reports, or certificates created in accordance with the Americans with Disabilities Act (ADA) your 1 year;

### **Annual Review**

The Incident Prevention, Recording, and Reporting Program will be reviewed by the **EHS Officer / Professional**. The annual review will include current training and any documents associated with this program. The NC Annual Incident Program Evaluation Report (Attachment 2) will be utilized to analyze the following:

- Evaluation of Incident Prevention, Reporting, and Investigation training program and records
- The need for retraining managers, supervisors, and employees
- The length of time between incident, reporting, investigations, and corrective actions implementation
- The program's success based upon comparison to previous years, using the following criteria:
  - Frequency of incidents
  - Frequency of Workers' Compensation claims
- Employee feedback through tools such as direct interviews, walk-through observations, written surveys, questionnaires, and re-evaluations



NORTH CAROLINA Office of  
*State Human Resources*

ROY COOPER  
*Governor*

BARBARA GIBSON  
*Director, State Human Resources*

**OSHR Procedure for Reporting State Employee  
Fatality, Amputation, Loss of Eye(s), or Hospitalization**

**State agencies must report the following injuries involving permanent, contract, or temporary employees to OSHA:**

- a. Fatalities - within 8 hours
- b. Amputation(s), loss of eye(s), hospitalization - within 24 hours.

**State agencies must also report these injuries as follows:**

1. Contact your Agency/University Human Resources Director and your Agency/University Safety Leader. In the event of a fatality, also contact your Agency/University Legal Counsel.
2. Contact the NC Department of Labor during working hours (8 a.m. to 5 p.m.) at 919-779-8560 or 1-800-625-2267. After working hours, (5 p.m. to 8 a.m.), weekends or holidays, call State Capitol Police at (919) 733-3333. **(See below)\***
3. Contact a member of the OSHR Safety, Health and Workers' Compensation Division

Scarlette Gardner, Division Director	(919) 807-4858	<a href="mailto:Scarlette.Gardner@nc.gov">Scarlette.Gardner@nc.gov</a>
Heather Banta, Safety Director	(919) 807-4897	<a href="mailto:Heather.Banta@nc.gov">Heather.Banta@nc.gov</a>
Kathy Conner, Safety Consultant	(919) 807-4824	<a href="mailto:Kathy.Conner@nc.gov">Kathy.Conner@nc.gov</a>
OSHR Main Number	(919) 807-4800	

**Be prepared to provide contact information, addresses, and telephone numbers for person(s) involved.**

4. Follow-up with an email message or fax (919) 733-0653 to OSHR staff listed above. Emails and faxes are public information. Please utilize sensitivity and discretion when describing incident details.

**OSHR will notify the Governor's office and assist in incident investigation.**

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\*Effective January 1, 2015, Employers are required to contact OSHA for any work-related fatality within (8) hours. Inpatient hospitalizations, all amputations and all losses of an eye must be reported within (24) hours. An amputation is the traumatic loss of a limb or other external body part. Amputations include a part, such as a limb or appendage that has been severed, cut off, amputated (either completely or partially); fingertip amputations with or without bone loss; medical amputations resulting from irreparable damage; amputations of body parts that have since been reattached. Amputations do not include avulsions (tissue torn away from the body), enucleations (removal of the eyeball), degloving (skin torn away from the underlying tissue), scalping's (removal of the scalp), severed ears, or broken or chipped teeth.

