Incident Reporting and Procedure Policy

General

The University of Maine is committed to the safe operation of all activities and facilities. All University of Maine sites are required to use the incident reporting and investigation procedures. Incident reporting, incident investigation, and corrective action follow-up is a fundamental feature of our Safety and Environmental Management System. Investigation of incidents is not to place personal blame or fault for an incident, but is a tool intended to improve Safety and Environmental Management practices and systems by identifying causal factors associated with the incident. Incident investigation provides for the sharing of lessons learned so that recurrence of such incidents can be prevented.

Regulatory Guidance

Maine Department of Labor (DOL), Title 26, Chapter 1, General Provision, Reports of deaths and serious injuries.

U.S. Department of Labor OMB No. 1220-0029, Record Keeping Guidelines for Occupational Injuries and Illnesses


Requirements

This procedure establishes a uniform protocol for reporting incidents, injuries, illnesses, and near misses experienced by employees while actively engaged in work on behalf of the University of Maine.

Incident reporting and investigation procedures are designed to ensure that appropriate actions are taken to identify causal factors and to develop methods to prevent recurrences.

This procedure does not apply to: Agency enforcement proceedings, liability determination, or grievance proceedings - all of which may require a supplementary or separate investigation.

Additional emergency procedures are maintained in the University of Maine Phonebook and department specific requirements. These procedures should be reviewed on an annual basis and updated when required.

Incident Reporting:

All injuries or illnesses must be reported immediately to the Supervisor and/or Area Manager and documented on the Workers' Compensation Employee Injury/Illness Incident Report Form to ensure appropriate follow-up procedures. The form may be downloaded from the SEM Accident web page at http://sem.umaine.edu/accident-reporting/
Specific incident types, such as those that may be urgent, (Fires, Spills, Evacuations, etc.) require immediate verbal communication with the University of Maine Police Department. For a detailed description of reporting procedures see the last page of this procedure.

Any fatality must be immediately reported to the Director of Safety and Environmental Management (SEM) or the on call Facility Coordinator. The Department of Labor shall be contacted within eight (8) hours of notice of fatality by SEM.

Any hospitalization or serious physical injury must be immediately reported to the Director of SEM or the on call Facility Coordinator. The Department of Labor shall be contacted within 24 hours of notice of injury or illness.

The Area Supervisor or designee is responsible for initiating corresponding action/response for the following incident level scenarios outlined on the last page of this procedure.

**Tier I Incident Investigation:**

The Area Supervisor or SEM will conduct Tier I investigations when necessary.

All DOL recordable/DEP reportable incidents will require investigation by a Tier I Investigation Leader.

All incident and investigation reports shall be forwarded to the Director of SEM for review and recordkeeping purposes. When corrective actions have been implemented and documentation has been submitted to the Director of SEM, each investigation will be designated as closed.

**Responsibilities**

**University Administrators** - Ensure that the injury/illness/incident procedures are implemented within their areas of responsibility and provide support to ensure effective prevention measures are taken when necessary. When necessary supervisor shall participate in follow-up investigation and complete any required corrective actions.

**Supervisors** - Ensure that reporting procedures as outlined in this procedure are completed in an accurate and timely manner to prevent future injury/illness/incident occurrences. When necessary supervisor shall participate in follow-up investigation and complete any required corrective actions.

**Faculty and Instructors** - Shall maintain documentation of any student or volunteer injury/illnesses and develop control measures to prevent future occurrences.

**Employee, Students and other individuals** authorized to conduct University activities. - shall immediately report injuries/illness/incidents to their supervisor and assist in providing the necessary information for completing the required reporting documentation.

**The Department of Safety and Environmental Management** – maintains injury/illness records in accordance with Maine Department of Labor, Title 26, Chapter 1, General provisions. When designated SEM staff conduct Tier I investigations to assist the department(s) with determining key
factors and the development of corrective action strategies to prevent future occurrences. Periodically SEM will conduct an audit of the status of corrective actions and provide reports to university administration.

**Definitions**

**Employee** - a person (including student) receiving pay or other compensation for work performed.

**Incident** - An unexpected occurrence with undesirable consequences, this includes fires, explosions, and releases of toxic or hazardous substances, sudden releases of energy which have adverse human health and/or environmental effects and/or cause property damage and result in death, injury, and/or illness.

**Near Miss** - Any occurrence, this has recognized potential for injury, fire, release or loss. A near miss is any identified event where the conditions for an incident were present, however, the potential was not recognized and did not occur.

**Serious Physical Injuries** - are injuries that result in an amputation, loss or fracture of any body part or that necessitates immediate hospitalization.

**Tier I Investigation** - Consists of a review of the incident by the affected employees Immediate Supervisor, Department Administration or the SEM staff trained to conduct and lead Tier I incident investigations. When conducted the investigation shall include completion a Tier I Incident/Injury Investigation Report (MF05012) with well-defined corrective actions. The completed investigation shall be forwarded to the Director of SEM for review.

**For Additional Information**

Contact your Supervisor, Department Safety Coordinator or the Department of Safety and Environmental Management at 207/581-4055.

- Incident Reporting Procedures – MP05001
- Workers' Compensation Employee Injury/Illness Incident Report Form (SEM Accident web page at http://www2.umaine.edu/SEM/accident.htm)
- Facility Emergency Coordinator Incident Report Form – MF05007
- Tier I Incident/Injury Investigation Report – MF05012

**Document History**

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