

INCIDENT, INJURY AND ILLNESS REPORTING AND INVESTIGATION

I. SCOPE AND PURPOSE

The purpose of this brochure is to provide an informational tool to ensure that all injuries and illnesses incidents are reported in a timely manner and that investigations are completed to prevent recurrence. Please reference PIM 26 for more information.

II. RESPONSIBILITIES

Employee

The employee must report the incident to the supervisor or manager as soon as possible. The employee must complete the “Employee Incident Report” and provide all information that will be helpful in reporting and following up on the incident.

Supervisor/Manager

The supervisor is responsible for enforcing safety and health standards and supplying appropriate equipment and training. Supervisors are responsible for communicating the incident reporting requirements to their employees and taking steps to ensure it is followed.

When incidents are reported they must be investigated by supervisor. This is to ensure :

- Employee receives medical treatment
- Hazards are eliminated as soon as possible
- Timely completion of required forms.

Supervisors must also obtain a written statement from any witnesses.

The Supervisor Incident Investigation Report must be thoroughly completed. Contact the Environmental Health and Safety (EHS) office for assistance.

All forms can be accessed on the EHS website at:
<http://safety.uncc.edu/>

III. CONDUCTING ACCIDENT INVESTIGATIONS

It is important to investigate the nature of each work-related Injury or occupational illness. An incident investigation must consist of more than simply filling out a report form. Actually seeing the location of the occurrence will provide the investigator with important clues about the true cause of the incident. Important points to remember:

- Provide emergency response if needed
- Conduct the investigation at the site where the incident occurred. Take pictures
- Secure the site as soon as possible
- Identify potential witnesses

IV. ACCIDENT INVESTIGATION PROCEDURES

Step 1: Immediate Response

- Employees should notify their supervisor immediately or as soon as possible after an incident has occurred. The supervisor’s first responsibility is to provide medical treatment. The supervisor should consult with the Environmental Health and Safety Office for any assistance needed in the case of uncertainty.
- Any life threatening situations such as chest pain, loss of consciousness, excessive bleeding, sudden weakness, disorientation or cases with questions as to the severity must be reported to UNC Charlotte Police and Public Safety (PPS) immediately at 704-687-2200 or 911 via campus phone. For ‘Serious’ or ‘Life Threatening’ injuries PPS will contact medic for transport to the Emergency Room at University Hospital. This also applies to motor vehicle or transportation accidents. If treatment is refused, employee can sign the waiver provided by Medic.
- The Student Health Center located at Cameron Blvd and Mary Alexander Rd offers treatment for work-related injuries that occur during regular business hours. The center is fully staffed with qualified doctors who provide care for ‘Non-Life Threatening’ injuries, such as lacerations, rashes, mild dizziness, sprains, strains, etc. Normal hours are 8:00 am—5:30pm and Summer hours 8:00 am - 4:00 pm.

Injured employees and supervisors should contact the EHS Office at 704-687-1111 with questions.

Step 2: Investigation to Get the Facts

- Immediate evaluation of an incident allows for a clear understanding of all elements that caused the incident.
- The supervisor must make sure all appropriate emergency response actions are taken and secure the incident scene using rope, tape, cones, etc. o preserve potential evidence if the seriousness of the accident warrants photographs, etc.
- Once the immediate response has been completed, a more thorough on-site investigation should be conducted.
- The primary goal for the investigation is to gather as many objective facts as possible about how the incident happened. This can be accomplished by asking the following questions (7 Why’s):
 1. What happened?
 2. When did it happen?
 3. Where did it happen?
 4. What caused it to happen?
 5. Who was affected?
 6. Why did it happen?
 7. What can be done to prevent recurrence?

- Objective facts are obtained by talking to the injured person and witnesses, checking relevant records, examining the materials and equipment involved and taking photo of physical conditions, if this is appropriate. When conducting interviews, remember to look for facts, not fault. Ask non-leading questions and try to conduct all interviews privately.

Step 3: Analyze Facts to Determine Causes

- After gathering as much information as possible, it is essential to examine why the incident occurred. This is necessary for developing an effective plan of action to prevent a similar occurrence. Try to identify as many of the contributing causes as possible when evaluating the incident.

- Incidents rarely happen from one single, simple cause such as “unsafe action”, “lack of guarding” or “employee not trained”. Incident occurrences often include a combination of unsafe physical conditions, unsafe actions, inadequate administrative procedures or training and others factors.

Step 4: Development of Corrective Actions

- The main reason for investigating incidents is to prevent or to reduce the potential for reoccurrence of similar incidents. The intended outcome of an incident investigation is the implementation of specific and effective corrective actions. This means developing good corrective recommendations and then following through with the management to ensure that the appropriate measures are implemented.
- The plan of action developed should contain various physical and administrative control strategies that address the multiple causes uncovered through initial incident fact-finding and analysis. Recommendations may include physical and procedural modifications, training sessions, safety program reforms, personnel improvements, environment changes, personnel protective equipment and administrative control strategies addressing the cause(s).
- The corrective actions must be specific such as, submit work orders for repairs, purchase new equipment, retrain employee, request capital funding for long-term repair, or created a new procedure. All corrective actions should be documented on the supervisor incident investigation report.

V. TRAINING

Training on incident reporting and the basic investigation procedures should be part of the initial training for each new supervisor. The Environmental Health and Safety Office (EHS) is available to assist in this or any other training by contacting us at 704-687-1111.

VI. Workers’ Compensation

As defined under the **North Carolina Workers’ Compensation Act**, an injury is covered under workers’ compensation if it was caused by an accident or incident which arose out of and in the course of your employment. An accident is defined in the law as a separate event preceding and causing the injury. However, the Workers’ Compensation Act may not provide compensation for all injuries by accident. Unless there is an accident, an injury received while performing the regular duties in the usual and customary manner is not compensable.

A **Third Party Administrator (TPA)** contracted by the State of North Carolina, handles the individual workers’ compensation cases for the University System. .

The TPA is responsible for accepting or denying liability for the State and is responsible for the management of and processing of claims. Additionally, the TPA is responsible to pay for medical benefits and compensation in accordance with the North Carolina Workers' Compensation Act. The University and the TPA will work to provide the best possible medical care for injured employees to help them reach maximum medical improvement and return to work as soon as possible.

The **UNC Charlotte** Workers’ Compensation program is administered by the Risk Management and Insurance Office. This program is self insured, which means the University is responsible for paying medical costs, equipment cost and in some cases weekly benefits associated with each work-related injury. As indicated in Workers’ Compensation [Policy #101.7](#) all UNC Charlotte employees are covered under the State Workers’ Compensation program, including full-time faculty, staff, senior administrative officers, part-time employees, student employees, and temporary employees (excluding those contracted through Temporary Agencies).



Reporting and Investigating Work-Related Injuries and Illnesses Incidents

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