Environmental Health and Safety
Incident Reporting and Investigation Procedure

General
The University of Southern Maine (USM) is committed to the safe operation of its facilities and grounds. All USM sites and locations are required to utilize these incident reporting and investigation procedures. Incident reporting, incident investigation and possible corrective action follow-up is fundamental to maintaining a safe and hazard free campus. Any investigation of an incident is not intended to place personal blame or fault for any occurrence, but is a tool intended to improve health and safety for all. The USM incident investigation initiative provides for the sharing of lessons learned from serious potential hazards and incidents so that recurrences can be prevented at all USM campuses and locations.

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 possible hazardous situations, incidents, injuries, and illnesses, experienced by employees while actively engaged in work for the University.

Incident reporting and investigation procedures are designed to ensure that appropriate actions are taken to identify causes and, if necessary, enable management and employees 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 USM 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 either the USM Injury Report or the UMS Injury/Incident Report to ensure appropriate follow-up procedures. Specific incident types (Fires, Spills, Evacuations, etc.) require immediate verbal communication with the University of Southern Maine Public Safety (USMPS) (for reporting procedures see page 4 of this procedure).

Any fatality must be immediately reported to USM Human Resources Office. The Department of Labor shall be contacted within 8 hours of notice of fatality.

Any hospitalization or serious physical injury must be immediately reported to the USM Human Resources Office. 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 reporting and corresponding action/response for incidents as well as leading the Tier I incident Investigation.

**Tier I Incident Investigation:**

The Area Supervisor or, in their absence, The Office of Environmental Health & Safety (EH&S) will conduct a Tier I investigation when there are injuries that result in an amputation, loss or fracture of any body part or that necessitates immediate hospitalization necessary.

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

All incident and investigation reports shall be forwarded to the Director of EH&S and USM Human Resources Office for review and recordkeeping purposes. If corrective actions are necessary, a plan and implementation schedule will be developed and submitted to the Director of EH&S and USM Human Resources Office. When implementation is completed, then the investigation will be 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, will ensure that the area 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 required the supervisor shall participate in follow-up investigation and complete any required corrective actions.

**Faculty and Instructors** - Shall immediately report to USM Public Safety of any student or volunteer injury/illnesses and assist in providing the necessary information for completing the required reporting documentation.
**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.

**University of Southern Maine Human Resources Office** – maintains injury/illness records in accordance with Maine Department of Labor, Title 26, Chapter 1, General provisions.

**Environmental Health and Safety** - When requested, EH&S staff will 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 EH&S 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.

**Potential Hazard** - Any identified event where the conditions for an incident are/were present (e.g. the potential for injury, fire, release, loss, etc.) but 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 employee’s Immediate Supervisor, Department Administration or, if requested, the EH&S staff. When conducted, the investigation shall include completion a Tier I Incident/Injury Investigation Report (see page 5) with, if identified, any well-defined corrective actions. The completed investigation shall be forwarded to the USM Human Resources Office and the Director of EH&S for review.

### For Additional Information

Contact your Supervisor, Department Manager or the USM Environmental Health and Safety Office at 207/780-5406.

Tier I Investigation Form (page 5)
*University of Southern Maine Injury Report* (pages 7 – 8)
*University of Maine System Incident Report* (page 9)
*University of Maine System Workers Comp Incident Report* (pages 10 – 12)
*EH&S Safety Complaint Report* (page 13)

### Document History

Date originally published:
# Incident Reporting Procedure

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<tr>
<th>Incident Level Scenario</th>
<th>Action/Response</th>
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| Any abnormal release of chemical, in any amount, to bare ground, sewer, or surface water. | • Immediately contact USMPS - 911  
• Immediately contact ES&H - 780-5406 to coordinate response and complete [UMS Incident Report](#) |
| Any liquid or solid chemical release in excess of five gallons to an impervious contained surface (concrete, blacktop, containment pan, floor, etc.). | • Immediately contact USMPS - 911  
• Immediately contact ES&H - 780-5406 to coordinate response and complete [UMS Incident Report](#) |
| Any chemical release that involves human dermal contact, or inhalation, that causes dizziness, nausea, shortness of breath or other exposure symptoms (i.e., skin reddening or swelling). | • Immediately contact USMPS - 911  
• Immediately contact ES&H - 780-5406 to coordinate response and complete [UMSI Injury Report](#) or a UMS Incident Report |
| Any incident causing equipment/property damage; or fire.                                 | • Immediately contact USMPS - 911  
• Supervisor to submit [UMS Incident Report](#) to Risk Manager.                                        |
| Any employee/student employee injury/illness requiring assistance from emergency medical services (EMS). | • Immediately contact USMPS - 911  
• Employee and Supervisor to submit [UMSI Injury Report](#) to USM HR and Risk Manager |
| Any student injury/illness requiring assistance from emergency medical services (EMS). | • Immediately contact USMPS - 911  
• Supervisor to submit [UMS Incident Report](#) to Risk Manager.                                        |
| Any injury/illness that is work related that does not require professional medical attention. | • Supervisor to submit [UMSI Injury Report](#) to USM Human Resources Office |
| Any student injury/illness that does not require professional medical attention.         | • Immediately contact USMPS - 911  
• Faculty/Instructor/Area Supervisor to document injury or illness and submit [UMS Incident Report](#) to Risk Manager. |
| Small quantity (less than a gallon) unintentional releases of oil to ground or water.   | • Immediately contact to USMPS – 780-5211  
• Contact Facilities Management                                                                                     |
| Any occurrence which has reasonable potential for injury or loss or damage.              | • Immediately contact Immediate Supervisor  
• Supervisor, if possible will initiate corrective actions  
• Submit [Safety Complaint Form](#) to EH&S |