



The University Of

T A M P A.

Accident/Incident Investigation Procedure

University of Tampa Personnel

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Revision 1.7

RECORD OF AMENDMENTS

Date	Section	Amendment	Initial
08/22/16	All	Changed references to the Chemical Hygiene & Biological Safety Officer	LKJ
08/21/18	All	Changed document to conform to UT standard document format	LKJ

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Form 1 – Accident/Incident Investigation Report

1. PURPOSE AND SCOPE

The Accident/Incident Investigation process will determine the causal factors that contributed to a noted event by examining all relevant deficiencies that permitted the accident to occur. The outcome of the investigation is to provide corrective and alternative actions to eliminate or reduce the probability of recurrence. This approach to accident investigation will reduce the probability of accident recurrence and provide valuable data concerning accident prevention.

All accidents and potentially serious incidents should be investigated. The causes of minor injuries or potentially serious incidents, if not corrected, may later result in serious injury and/or property damage. The types of accidents and incidents that should be investigated include, but are not limited to, the following:

- Injuries requiring medical treatment
- An injury requiring First Aid (where management deems appropriate)
- Occupational illness
- Incidents with potential for injury or property damage
- Significant property damage

1.1 APPLICABLE

This document is intended for all University of Tampa personnel. Students and visitors must report all accidents or incidents to Security at 813-257-7777.

1.2 REGULATORY STANDARD

29 Code of Federal Regulations [CFR] 1904 - Recording and Reporting Occupational Injuries and Illnesses.

1.3 DEFINITIONS

Accident -- An unplanned, undesired event that results in personal injury or property damage. For the purposes of this procedure, the terms "accident" and "incident" will be interchangeable.

Incident -- An unplanned event whereby property is damaged or a "near miss" occurs that could have resulted in someone being injured and/or property damaged.

Principle Investigator - A principal investigator (PI) is a generic term for UT personnel (faculty and/or staff) who have primary responsibility, either solely or collaboratively, for the safe and proper use of the University of Tampa space(s) assigned to them.

Unsafe Act – Disregard of a commonly accepted safe operation or procedure by an employee that may directly or indirectly cause an accident or incident to occur. The unsafe act may be committed by the injured employee or another employee, and usually is performed just prior to the occurrence of the accident or incident. The unsafe act may be something an employee did or failed to do. An unsafe act is committed only when an employee fails to take proper precautions or decides on one course of action when a reasonable and less hazardous procedure could have been followed. The following is a partial list of commonly committed unsafe acts:

- Failure to heed warnings
- Failure to use available personal protection
- Horseplay
- Improper use of equipment
- Improper use of body parts
- Rendering safety devices inoperative
- Operating at an unsafe speed
- Working on live equipment

Unsafe Condition -- An unsafe condition identifies the characteristics of objects, substances, or environments that have/may pose a risk to person(s) or property. Per OSHA, unsafe conditions do not include descriptions of people in relation to an incident. An unsafe condition may often be the result of an unsafe act, poor planning, or a direct violation of orders, or may exist because there is no feasible method of eliminating the hazard. The following is a partial list of major unsafe conditions:

- Blocked fire extinguisher
- Defective equipment
- Environmental hazards
- Hazardous method or procedure
- Inadequate guarding
- Poor housekeeping

This definition from OSHA is explicit about describing the circumstances that led to the incident, without rendering a judgment on the person(s) involved in the incident. Any judgment is deferred until the end of the investigation report and corrective action(s) identified by those charged with investigating the incident.

Causal factors -- Events, situations, and conditions that contribute to an accident or incident in the workplace.

Witness(es)- are a valuable resource that often provides an alternative perspective into the contributing factors to an incident. All witnesses should be interviewed individually, and should be interviewed in the same manner as the injured employee(s).

2. RESPONSIBILITIES

Whoever is closest in supervisory capacity (i.e. principal investigator, department Chair or area manager) when an incident has occurred initiates the accident/incident investigation report.

It is understood that although most investigations will be initiated by a manager, any employee may complete and submit an incident/accident investigation report form.

If an incident occurs that does not involve chemicals, the UT HR Director has the lead role in responding to and closing out an accident/incident report. If the incident involves chemicals or hazardous wastes, the UT chemical hygiene &

biological safety officer (CHBO) has this lead role. If this leadership is not clear following an incident, both of these individuals will work collaboratively to decide with whom this leadership responsibility falls upon. Whoever is in the lead role here will keep senior staff apprised on the status of an investigation.

2.1 THE INVESTIGATION TEAM

The investigation team should include both management and non-management employees, at the initiative of and determined by the UT HR Director or CHBO (as defined above). Typically, investigations will be initiated by the immediate manager of the injured employee. If no one is injured or there is a “near miss”, the manager of the area in which the incident occurred should initiate completing and submitting the accident/incident reporting form.

3. IMMEDIATE ACTIONS FOLLOWING INCIDENT

The safety and health of employees, visitors, and the public must be the primary concern immediately after an accident occurs. Immediate actions are interim measures used to prevent further conflict or injury. The following steps must be the first response to an accident:

- Take all steps necessary to provide emergency rescue and medical help for the injured; and
- Take all actions necessary to prevent or minimize the risk of further accidents, injury, or property damage.

Most accidents will require one or more of the following immediate actions:

- Securing, barricading, cordoning off, or otherwise isolating employees from the vicinity of the accident;
- Shutting down power sources to equipment that could cause further harm;
- Collecting straying or perishable evidence

- Photographs or video of scene and surroundings; and
- Determining the extent of damage to equipment, materials, or building facilities.

4. NOTIFICATION PROCEDURES

Following an occupational fatality or critical injury care must also be taken to notify the following entities:

4.1 FAMILY

Coordinate with Human Resources to notify the family (families) that an injury has occurred. If the injured person has been taken to a hospital, the family should be given its name and location. Transportation to the treatment facility should be offered whenever feasible. If a fatality is involved, this notification should be made in person, and if possible, accompanied by a relative, friend of the family, or local clergy.

4.2 PUBLIC RELATIONS

The Human Resources department assists the UT Public Relations staff to prepare statements for release to the media.

4.3 OSHA REQUIREMENTS

The University of Tampa Human Resources Director or the CHBO are the authorized representatives for contacting OSHA due to any workplace injury, as defined in Section 2 "Responsibilities." Any fatality resulting from an occupational accident must be reported to the Occupational Safety & Health Administration [OSHA] within 8 hours of occurrence. Likewise, all work-related in-patient hospitalizations, amputations or loss of an eye must be reported within 24 hours to OSHA. .

The Human Resources Director or CHBO may:

Call During Normal Business Hours Tampa Area Office

(813) 626-1177

Or the OSHA National Toll Free Number:

1-800-321-OSHA (6742).

OSHA is developing a new means of reporting events electronically, which will be available soon at www.osha.gov. Any questions concerning notifying the OSHA Area Director or State Agency of such incidents should be referred to the CHBO.

5. INVESTIGATION PROCESS

The primary goal of an accident investigation is to prevent the recurrence of similar incidents by identifying the contributing factor(s) and, ultimately, cause(s) in a thorough and systematic manner.

The level of effort or composition of the investigation team depends upon the complexity and severity of the accident. It is mandatory that employees immediately report all incidents, however small, to their manager.

The injured employee and his/her peers should also be part of the investigation process. Their contributions can be important for two reasons: First, Their input concerning facts and underlying causes is valuable evidence that should be gathered as soon as possible; and second, their support can help ensure that recommendations and corrective actions are appropriate to associated employees doing similar work.

Upon receipt of the incident/accident investigation report, the UT HR Director or CHBO (per section 2 "Responsibilities") will begin the accident investigation process in a timely manner:

- Begin the investigation as soon as possible to collect evidence from the accident scene before it is disturbed. Inspect the scene of the accident and equipment for unsafe conditions. Review applicable work procedures for job safety hazards. Review employee training records. Collect all the facts and preserve samples, note conditions of the affected area, take

photographs from all angles, or draw accurate and complete sketches and diagrams.

- Interview everyone involved in the accident including:
 - a. The injured;
 - b. Witnesses to both the accident itself and events leading up to the accident;
 - c. Those who came upon the scene immediately after the accident; and
 - d. All others who may have useful information.

All interviews should be conducted individually and in reasonable privacy. These interviews should be conducted between the injured employee and his/her manager and, if possible, at the scene of the accident.

NOTE: Never indicate blame or fault. All questions should be open-ended and concentrate on the facts surrounding the accident, not exploring the causes.

Witnesses may be able to help clarify specific circumstances, verify job methods, tool usage, or work practices. Carefully document all sources of information. Note observation findings, evidence, statements, discrepancies, and analysis and interpretations. Carefully separate facts from opinions, direct evidence from circumstantial evidence, and eyewitness statements from hearsay.

6. DETERMINING THE CAUSE

The true cause of an accident is vitally important because it forms the basis for recommendations. Drawing the wrong conclusion from the investigation will likely cause inaccurate recommendations and increase the probability of accident reoccurrence.

Some typical questions that the accident investigation team should consider are:

- Was this an unsafe act, condition, or both?
- Was personal protective equipment required, and was it worn?
- Was the employee under stress?

If an unsafe condition exists, leadership of the investigation team will make recommendation(s) for corrective action(s). When analyzing evidence it must be remembered that no one element stands alone. Each of the elements (people, equipment, material, or working environment) must be analyzed with regard to their relationship to one another.

7. RECOMMENDATIONS

The accident investigation team should make recommendations to prevent an incident recurrence. The scope of recommendations for immediate and long-range remedies may apply to a particular situation or job or to the entire site.

Recommendations should include the following:

- The name of the person responsible for implementing action;
- The target date for completion;
- Items that are feasible and practical; and
- A statement explaining by what mode or means UT management will resolve the situation.

8. ACCIDENT/INCIDENT INVESTIGATION REPORT

(Because of earlier clarification - first paragraph matters are addressed previously)

All signed, final reports are retained by the HR Office with the person charged with maintaining risk management records.

The Incident Investigation Report Form 1 is useful in providing a means of organizing investigation findings and recording them for future use and follow-up. The form will also be helpful in providing guidelines for the investigation team and in compiling regulatory reporting statistics. This Incident Investigation Report Form meets injury/illness record keeping requirements specified in OSHA 101 (or

301) Supplementary Report or First Report of Injury. All questions on this form should be answered. If an answer is not available, or the question does not apply, indicate "N/A." Answers should be complete and specific. Remember, the accuracy and thoroughness of the report will determine the quality and effectiveness of the corrective action.

9. COMMUNICATING INVESTIGATION RESULTS

After the incident or accident investigation has been completed, all involved in the investigation will be provided knowledge of the outcome of the investigation for the purpose of reducing the likelihood of the incident/accident being repeated. All employees in the area where the injury occurred and employees in similar operating areas or exposures should be informed of the important report details. Important subjects to be communicated to employees include: all relevant facts, basic causes, lessons to be learned, and corrective action recommendations.

FORM 1 - ACCIDENT/INCIDENT INVESTIGATION REPORT



Witness Account of Incident		
Witness Signature		Date
Manager/Instructor Account of Incident		
Manager/Instructor Signature		Date
Supervisor at Time of Accident:	<input type="checkbox"/> Directly Supervised	<input type="checkbox"/> Indirectly Supervised
	<input type="checkbox"/> Not Supervised	<input type="checkbox"/> Supervision Not Feasible
C O R R E C T I V E A C T I O N S		
CASUAL FACTORS, EVENTS & CONDITIONS THAT CONTRIBUTED TO THE ACCIDENT:		
Corrective Actions: Those that have been or will be taken to prevent recurrence:		
Date Due:		
UT HR or CHBO REVIEW		
Approved by:	Title:	Date
		Case Number: