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Policy  
for

## Incident (Injury, Illness, or Near Miss Event) Reporting

**REVISION**

Rev No.	DCN No.	Change Summary	Release Date	DCN Initiator	Document Owner
10	DCN4201	Annual updates and added form	March 2025	P. LaFountain	K. Rydberg

Prior revision history, if applicable, is available from the Document Control Office.

## 1. PURPOSE

This document serves to establish a procedure for reporting (e.g., injury, illness, or a [near miss](#) event that is safety-related).

This procedure coincides with [EHS-00089 – Incident Investigation Analysis Procedure](#).

## 2. GOALS

- 1) To meet the injury, illness, incident, and close call event prevention program requirements set forth by OSHA
- 2) To reduce and/or eliminate the direct and indirect costs of an incident to NY CREATES by identifying potential deficiencies in our workplace (e.g., behavior, conditions, procedures, processes, equipment, training) and addressing them

## 3. SCOPE

This procedure applies to NY CREATES employees who are involved in a work-related injury, illness, or [near miss](#) event while performing an activity or operation at the Albany NanoTech Complex, [and provides forms for documenting such events](#).

Tenants, contractors, and sub-contractors may comply with their own organization's procedure, provided that it meets and/or exceeds the minimum requirements set forth in this procedure.

## 4. DEFINITIONS

- 4.1 [Administrative \(or Work Practice\) Controls](#) – Procedures that are used to reduce the duration, frequency or severity of exposure to a hazard. These may include work methods training, job rotation, and gradual introduction to work.
- 4.2 [Engineering Controls](#) – A method of eliminating or reducing the quantity or severity of job risk factors by redesigning equipment, processes, tools, and workstations.
- 4.3 [Incident](#) - An unplanned, undesired event that adversely affects completion of a task. A work incident could include, but is not limited to, an accident resulting in a near miss, injury, illness, and/or property damage.

- 4.4 **Injury or Illness** - An injury or illness is an abnormal condition or disorder. Injuries include cases such as, but not limited to, a cut, fracture, sprain, or amputation. Illnesses include both acute and chronic illnesses, such as, but not limited to, skin disease, respiratory disorder, poisoning, or hearing loss.
- 4.5 **Near Miss or Close Call** - Incidents where no property was damaged and no personal injury sustained, but where, given a slight shift in time or position, damage and/or injury easily could have occurred. At this Site, they will be referred to as “near miss.”
- 4.6 **Personal Protective Equipment (PPE)** – Gloves, safety glasses, kneepads, and other equipment worn by employees that may help reduce hazards until other controls can be implemented, or to supplement existing controls.
- 4.7 **Direct Costs** – Include, but are not limited to, Worker's Compensation Insurance premiums and medical bills.
- 4.8 **Indirect Costs** – Include, but are not limited to, lost work time, damaged equipment and product, training a new worker, and loss of production.

## 5. RESPONSIBILITIES

### 5.1 Employee

- Report any work-related injury, illness, or **near miss** event to their supervisor immediately, and call the site emergency number 518-437-8600.
- Complete the **EHS-00026-F7** – Employee Report of Incident (Injury, Illness, or Close Call Event) or **EHS-00026-F8** – Employee Near Miss Report, and email it to their supervisor.
  - This report should be completed prior to the end of the shift during which the incident occurred, and is due **no later than 12 hours after the incident occurrence**, unless there are **extenuating circumstances that prohibit the completion**. EHS and HR **MUST** be made aware of these circumstances as soon as they are known.
- Immediately report work-related concerns such as potential hazards to their supervisor.
- Participate in workplace inspections and incident investigations.

- Comply with the Worker Compensation Insurance Carrier investigating the claim.
- Update Human Resources (HR) regarding medical status each week, at a minimum.

## 5.2 The Supervisor

- Initiate incident investigation process involving their staff **within 24 hours of an incident.**
- Complete **EHS-00026-F2** – Supervisor's Incident Investigation Report, and implement approved corrective measures to prevent incident recurrence.
- Ensure the incident (e.g., injury, illness) is reported to the site emergency number 518-437-8600, and the appropriate reports are completed and distributed.
- Ensure the environment in which the incident occurred is safe for the Employee(s) to resume or continue working.
- Ensure all completed forms are sent to all parties involved with the incident investigation (if required), as well as the EHS department and Human Resources, within the time specified by EHS.
- Ensure the corrective action(s) are completed in a timely manner. Ensure the incidents are shared with other impacted employees as a lesson learned.
- Comply with the Worker Compensation Insurance Carrier and may, in some instances, have to appear in court to testify, if suit is brought against NY CREATES.

## 5.3 Environmental, Health & Safety (EHS)

- Oversee and provide advice to **managers** / supervisors regarding incident investigations, in order to ensure that possible root cause(s) and corrective action(s) have been identified and implemented.
- Review the **submitted forms from the supervisor and team** to ensure that the possible root cause(s) have been established and that corrective action(s) are implemented.
- Track incident investigation reports to closure, and file reports in the EHS **files**.

- Review incident metrics (e.g., OSHA Total Recordable Cases Incidence Rate of Occupational Injuries and Illnesses) on a quarterly basis to evaluate the site and program's success in meeting the objectives. Initiate EHS program revisions and/or improvements, as needed.
- Report any serious injury, illness, or fatality to OSHA per **EHS-00083** – OSHA Injury and Illness Recordkeeping and Reporting Requirements.
- Assist Supervisor with corrective action remedies, if needed.
- Assist in investigations for work-related illnesses (e.g., cumulative trauma, inhalation exposures).

#### 5.4 Witnesses

- Ensure that the appropriate personnel are notified.
- Ensure that the incident was reported to Security at (518) 437-8600.
- Give the Supervisor an account of what happened. Comply with the Worker Compensation Insurance Carrier and, in some instances, appear in court to testify if a suit is brought against NY CREATES.

#### 5.5 Security

- Assist the Employee, Supervisor, professor, tenant, and/or EHS, regarding the reporting of incidents.
- Notify ERT of the incident by radio or phone. Assist ERT, if off-site assistance is necessary, by making appropriate arrangements and escorting the help to the incident.
- Complete and forward any necessary reports regarding Security's involvement in an incident to the Supervisor, EHS and HR staff.

#### 5.6 Emergency Response Team (ERT)

- Provide First Aid medical assistance to injured and/or ill employees, students, or individuals on the campus.
- Complete **EHS-00012-F7 – First Aid Report** upon completion of the incident response and within the same shift of the call, and distribute the report to supervisors, EHS and HR.

## 5.7 Human Resources (HR) Department

- Complete all legal reporting requirements to OSHA and/or NY CREATES' Worker Compensation Insurance Carrier, and any other relevant agencies.
- Prepare OSHA 300 logs and PESH 900 logs, and post them in accordance with applicable regulations ([OSHA 29 CFR 1904 Recording and Reporting Occupational Injuries and Illness](#); PESH Part 801 Recording and Reporting Public Employees' Occupational Injuries and Illnesses).
- Assist the Supervisor and EHS in incident investigations and closures, as appropriate.

## 6. ASSOCIATED DOCUMENTS

6.1 **EHS-00012-F7** – First Aid Report

6.2 **EHS-00026-F2** – Supervisor's Incident Investigation Report (Injury, Illness, or [Near Miss](#) Event)

6.3 **EHS-00026-F7** – Employee Report of Incident (Injury or Illness Event)

6.4 [EHS-00026-F8](#) – Employee Near Miss Report

6.5 **EHS-00083** – OSHA Injury and Illness Recordkeeping and Reporting

6.6 [EHS-00089](#) - Incident Investigation Analysis

## 7. INCIDENT REPORTING

To report an incident (e.g., injury, illness, accident), the involved party must contact Security immediately at (518) 437-8600, as well as their supervisor.

Security will initiate an ERT response, if necessary, and proper documentation will be filled out to record the incident.

## 8. RETURN TO WORK

To return to work, an employee must provide HR with a note from their physician, stating a date the employee can return to work.

Contact HR for more information on procedures to return to work.

## 9. MODIFIED WORK

An employee may be placed on modified work by their physician or a medical provider. If this occurs, contact HR for further information.