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Policy
for

Incident (Injury, Illness, or Close Call Event) Reporting and Prevention

REVISION

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1. PURPOSE

- 1.1 To establish a procedure for reporting, investigating, and preventing work-related incidents (e.g., injury, illness, or a close call event that is safety-related).

2. GOALS

- 2.1 To meet the injury, illness, incident, and close call event prevention program requirements set forth by OSHA.
- 2.2 To determine the root cause(s) of the incident through the incident investigation process and to implement corrective action(s) to prevent a recurrence.
- 2.3 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

- 3.1 This procedure applies to NY CREATES employees who are involved in a work-related injury, illness, or close call event (e.g., fire, chemical spill) while performing an activity or operation at the Albany NanoTech Complex (ANC).
- 3.2 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 **Incident** – A work-related injury, illness, fatality, or close call event that is safety-related.
- 4.2 **Incident Investigation** – The process of investigating work-related incidents where the root cause(s) is determined, and corrective action(s) are implemented to prevent incident recurrence.
- 4.3 **Direct Costs** – Include, but are not limited to, Worker's Compensation Insurance premiums and medical bills.
- 4.4 **Indirect Costs** – Include, but are not limited to, lost work time, damaged equipment and product, training a new worker, and loss of production.

- 4.5 **Close Call Event** – A safety-related incident (e.g., chemical spill, fires, slip/trip/fall hazards not marked) that could have caused an injury or illness but did not; also called a ‘near miss.’
- 4.6 **Root Cause(s)** – The underlying possible cause(s) of an incident such as, but not limited to, awareness of job hazards, level of training, level of inspection/maintenance.

5. RESPONSIBILITIES

5.1 The Supervisor

- 5.1.1 Must investigate any workplace incident involving their staff, complete the **Supervisor’s Incident Investigation Report (Injury, Illness, or Close Call Event) (EHS-00026-F2)**, and follow-up with corrective measures to prevent incident recurrence.
- 5.1.2 Ensure the environment in which the incident occurred is safe for the Employee(s) to resume or continue working.
- 5.1.3 Ensure medical attention is given to the person, as appropriate.
- 5.1.4 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.
- 5.1.5 Ensure the corrective action(s) are completed in a timely manner. [Ensure the incidents are shared with other impacted employees as a lesson learned.](#)
- 5.1.6 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.

5.2 Employee

- 5.2.1 The employee must report any work-related injury, illness, or close call event immediately to their supervisor and call the site emergency number 518-437-8600. The employee must complete the **Employee Report of Incident (Injury, Illness or Close Call Event) form (EHS-00026-F7)** and email it to their supervisor. This report should be completed prior to the end of the shift that the incident occurred in and is due no later than 24 hours after the incident occurrence.
- 5.2.2 Immediately report work-related concerns such as potential hazards to their supervisor.
- 5.2.3 Participate in workplace inspections and incident investigations.

5.2.4 Comply with the Worker Compensation Insurance Carrier investigating the claim.

5.2.5 Update Human Resources (HR) regarding medical status each week, at a minimum.

5.3 The Environmental, Health & Safety (EHS) Department

5.3.1 Will oversee and provide advice to supervisors/professors on incident investigations to ensure that possible root cause(s) and corrective action(s) have been identified and implemented.

5.3.2 Review the **Supervisor’s Incident Investigation Report (Injury, Illness, or Close Call Event) (EHS-00026-F2)** to ensure that the possible root cause(s) have been established and that corrective action(s) are implemented.

5.3.3 Track incident investigation reports to closure and file reports in the EHS database.

5.3.4 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. Assist Supervisor with corrective action remedies, if needed.

5.3.5 Assist investigations for work-related illnesses, (e.g., cumulative trauma, inhalation exposures).

5.3.6 Report any serious injury, illness, or fatality to OSHA per **EHS-00083** procedure.

5.4 Witnesses

5.4.1 Ensure that the appropriate personnel are notified.

5.4.2 Ensure that the incident was reported to Security at (518) 437-8600.

5.4.3 Give their account of what happened to the Supervisor. 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.

5.5 Security

5.5.1 Assist the employee, supervisor, professor, tenant, and/or EHS regarding the reporting of incidents.

5.5.2 Notify the ERT, by radio or phone of the incident. Assist the ERT, if off-site assistance is necessary, by making those arrangements and escorting the help to the incident.

5.5.3 Complete and forward any necessary reports regarding their involvement in an incident to the Supervisor, EHS and HR staff.

5.6 Emergency Response Team (ERT)

5.6.1 Provide First Aid medical assistance to injured and/or ill employees, students, or individuals on the campus.

5.6.2 Complete a **First Aid Report (EHS-00012-F7)** upon completion of the incident response and within the same shift of the call.

5.6.3 Complete and forward necessary reports to the EHS and HR staff.

5.7 Human Resources (HR) Department

5.7.1 Complete all legal reporting requirements to OSHA and/or our Worker Compensation Insurance Carrier, and any other relevant agencies.

5.7.2 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).

5.7.3 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 Close Call Event)

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

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

7. INCIDENT REPORTING

- 7.1 To report an incident (e.g., injury, illness, or close call event), the involved party must contact Security immediately at (518) 437-8600, as well as their supervisor.
- 7.2 Security will initiate an ERT response, if necessary, and proper documentation will be filled out to record the incident.

8. RETURN TO WORK

- 8.1 To return to work, an employee must provide HR with a note from their physician stating a date the employee can return to work.
- 8.2 Contact HR for more information on procedures to return to work.

9. MODIFIED WORK

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