

INCIDENT MANAGEMENT PROGRAM

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1.0 PURPOSE

An effective incident management program builds on Risk Management principles and ensures that occupational incidents, including near misses, are reported and investigated in a timely and effective manner, and that corrective actions are appropriately identified, implemented and monitored to prevent recurrence and to ensure legislative compliance.

The University's objective in conducting incident investigations is to:

- Evaluate the severity of a problem and the potential for recurrence.
- Determine causal conditions and practices contributing to incidents.
- Communicate information pertaining to the cause of the incident, preventive and corrective control measures.
- Analyze incident trends for the development of appropriate loss control methods, procedures, and programs.
- Identify hazards in the workplace and implement Risk Control.

2.0 SCOPE

This program applies to all employees at the University of Waterloo.

3.0 DEFINITIONS

Corrective Action

Pro-active actions taken to prevent incidents, hazards or non-compliance / non-conformity before they occur or actions taken post incident with the intention of preventing recurrence.

Critical Injury (per O. Reg. 420/01)

Any injury of a serious nature that:

- Places life in jeopardy
- Produces unconsciousness
- Results in substantial loss of blood
- Involves the fracture of a leg or arm but not a finger or toe
- Involves the amputation of a leg, arm, hand or foot but not a finger or toe
- Consists of burns to a major portion of the body
- Causes the loss of sight in an eye

Hazard

Any source of potential damage, harm or adverse health effects on something or someone.

Incident

An unwanted and unplanned event that may or does result in injury, illness, equipment or property damage.

Lost Time

When a worker suffers a work-related injury/disease which results in the worker being off work past the day of accident or a loss of wages/earnings.

Medical Aid

The services of a health professional, as defined by the Workplace Safety and Insurance Board (e.g., physician, physiotherapist, chiropractor, dentist).

Near Miss

A work-related condition, incident or unplanned event that did not result in injury, illness, equipment or property damage but had the potential to do so.

Occupational Illness

A condition that results from exposure in a workplace to a physical, chemical or biological agent to the extent that the normal physiological mechanisms are affected and the health of the worker is impaired.

Risk The chance or probability that a person will be harmed or experience an adverse health effect if exposed to a hazard. It may also apply to situations with property or equipment loss, or harmful effects on the environment.

Risk Control

The elimination or reduction of risk associated with an identified hazard.

Workplace

Anywhere University employees or students conduct work, including work environments in the field or in teaching or research facilities shared with other organizations.

4.0 ROLES AND RESPONSIBILITIES

4.1 UNIVERSITY OF WATERLOO

- Facilitate the implementation of corrective actions identified through the process of incident investigation and Risk Control.

4.2 DEPARTMENT HEAD/CHAIR/DIRECTOR

- Implement this program in their area of responsibility and accountability.

- Review and sign off on incident investigations, verifying that the root cause has been identified and appropriate Risk Control has been implemented.
- Ensure that appropriate resources are applied to Risk Control.
- Incorporate findings of investigations into the departmental Hazard Register, as appropriate.
- Communicate Risk Control changes arising from incident investigation to all relevant department members for the purpose of ensuring consistent application of Risk Control.
- Request quantitative departmental incident trending and analysis of incidents from the Safety Office when qualitative information suggests a safety performance issue or at regular intervals

4.3 SUPERVISOR/MANAGER

- Respond to incidents immediately, including obtaining emergency medical attention for a worker, if necessary.
- In the event of an incident, protect the safety of employees, students, public, equipment and facilities from further injury or damage.
- Conduct investigations into all reported incidents in a timely manner, identifying immediate and root causes.
- Implement corrective actions to eliminate or reduce hazards.
- Notify the Safety Office of an incident within 24 hours of the occurrence, normally through the electronic submission of an incident and investigation report.
- Ensure that workers are made aware of incident reporting procedures at least annually (e.g. orientations, annual reviews, staff meetings).
- Address workplace hazards or potential health and safety concerns, as identified through workplace inspections or by workers.
- Be familiar with the requirements and principles of incident investigation, normally attained through incident investigation training (SO1012 – Incident Investigation).
- Request additional assistance or expertise of the Safety Office as needed.

4.4 WORKERS

- Promptly report all incidents, hazards, injuries or occupational illnesses to their supervisor, including near misses.
- Participate in incident investigations to assist in identifying causes and corrective actions.

- Provide directly to the Safety Office copies of written medical limitations from health care practitioners when medical treatment for injuries was received (normally as a WSIB Form 8 Health Professionals Report or a WSIB Functional Abilities Form).

4.5 SAFETY OFFICE

- Administer the Incident Management Program and oversee the management of reported incidents.
- Review all incident and investigation reports and analyze for incident trends.
- Report required incidents to the Workplace Safety and Insurance Board (WSIB) and the Joint Health and Safety Committee (JHSC).
- Notify the Ministry of Labour, Immigration, Training and Skills Development (MLITSD) and the JHSC of reports of critical injury or occupational illness
- Lead incident investigations of a fatality or critical injury
- Provide technical and best practice advice in incident management.
- Provide incident investigation training.
- Follow up on Incident & Investigation Reports and corrective actions implemented, providing additional recommendations where further action is required
- Receive reports of legislatively reportable incidents (Section 11(1) of O.Reg. 213/91) involving contractors engaged in construction work on University property
- Notify senior management of any workplace fatality, critical injury.
- Liaise with external government agencies, where required.

4.6 JOINT HEALTH & SAFETY COMMITTEE WORKER MEMBERS

- Investigate incidents as required, in particular where a person is killed or critically injured.
- Submit a report to the Ministry of Labour where a worker is killed or critically injured.
- Consult on corrective actions to reduce or eliminate workplace hazards.
- Receive reports on workplace incidents and follow up as necessary by requesting further information, further investigation, or making recommendations to management.

4.7 UW SPECIAL CONSTABLE SERVICE

- Provide emergency response and if required, first aid to any injured individuals.

- Assume control of an incident scene where a person has been critically injured or killed.
- Notify the Safety Office immediately where a person has been critically injured or killed, or in the event of any other critical incident (significant property damage, fire, hazardous materials incident).

5.0 PROCEDURES

5.1 INCIDENT & INVESTIGATION REPORTING

In the event of any incident involving personal injury or illness, the Safety Office must be notified within 24 hours of the occurrence via the electronic submission of an Incident & Investigation report. Initial reporting (within 24 hours) does not need to be complete – reports can be revised to include investigative details and full signatures.

The supervisor of the area where the incident occurred will investigate all incidents, identify root causes and corrective actions (completed and planned), submitting the fully completed Incident and Investigation Report to the Safety Office as soon as possible, and no later than seven days after the occurrence.


Reports will be evaluated against the Loss Potential Matrix (Image 1) using Risk Categories Ratings (Table 1).


Loss Potential Matrix


		Severity		
		Critical	Major	Minor
Likelihood	Very Likely			
	Likely			
	Unlikely			

Risk Categories

SEVERITY	PROBABILITY
CRITICAL – Danger of death, severe injury (e.g., critical injury, > 2 weeks lost time, major property damage.	VERY LIKELY – likely to occur in a short period of time, expect to occur frequently.
MAJOR – Medical treatment required by a doctor, at least one day lost time. (e.g., burns, fractures or lacerations), moderate property damage.	LIKELY – event is probable; foreseeable varying conditions are present and event is quite likely to occur in time.
MINOR – Negligible personal harm or property damage, minor cuts, burns or bruises.	UNLIKELY – event is very improbable; a result of a rare combination of circumstances; not likely to occur but possible.

 **Incidents of High loss potential (Red)** – The Safety Office will engage with the department and participate in the investigation. The Safety Office may suspend the work or work activity in the space while the incident is being investigated and until any unsafe conditions are satisfactorily resolved. Evidence of completed corrective actions must be submitted to the Safety Office (e.g., new or revised standard operating procedures, training records, Plant Operations Works Requests etc.).

 **Incidents of Moderate Loss potential (Orange)** – The Safety Office will review the root cause analysis and corrective actions. If, in the opinion of the Safety Office, either the root cause determination or the corrective actions are insufficient, the Safety Office will contact the supervisor to discuss the incident. Further investigation or corrective action may be requested of the supervisor. Corrective actions must be identified on the Incident and Investigation Report with a projected completion date.

 **Incidents of Low Loss potential (Yellow)** – The Safety Office will not engage with the supervisor/department unless a pattern of similar incidents is evident.

5.2 FATALITY OF CRITICAL INJURY

In the event of a fatality or Critical Injury, once 911 and UW Special Constables have been called, the supervisor or designate of the area where the incident occurred will work with UW Special Constables to immediately cordon off the scene. The supervisor will ensure that no part of the scene is disturbed, or materials removed until permission to do so has been given by a MLITSD inspector.

The supervisor will immediately notify the Safety Office of the event details. The Safety Office will notify the MLITSD, a JHSC worker member who represents the injured worker, trade union if applicable, and senior management. Notification of family members is the responsibility of the department working with UW Special Constables.

The Safety Office will investigate along with the supervisor.. A JHSC worker member (preferably certified) ,may be asked by the Safety Office to engage in a joint investigation or the committee member may initiate their own investigation.

The supervisor will complete a written Incident & Investigation Report and submit the report to the Safety Office within 24 hours of the injury.

5.3 CONTRACTOR INCIDENTS

In addition to legislated reporting to the MLITSD under OHSA s. 51 and 53, contractors working on a University of Waterloo site or project must notify the University of any reportable incident under the Construction Projects Regulation 213/91 s.11. Reporting of incidents involving construction work is done through the Plant Operations Owner Designated Representative who will in turn notify the Safety Office. All other incidents involving contractors shall be communicated directly to the Safety Office by the department representative overseeing the contractor.

6.0 MONITORING

The Safety Office will monitor reported incidents. Where patterns of incidents become apparent (two or more high or moderate loss potential incidents, or a series of similar

nature low risk recurring events) the Safety Office may initiate further investigation with the department. Incident trends and key incident management measurement criteria will be reported to the Joint Health & Safety Committee and senior management via the Annual Health, Safety & Environment Report.

7.0 TRAINING

Incident Investigation (SO1012) training is available through the Safety Office, and must be completed by supervisors of high risk areas. The training is recommended for supervisors of low risk areas, supervising faculty and CUPE lead hands.

8.0 RECORD OF REVISIONS

Date of Review	Author/Editor	Change	Version
November 2022	Andrew Scheifele	<ul style="list-style-type: none"> • Incorporated a risk matrix which outlines how severity will be measured, aligning it with what is used in the Risk Register • Clarified the involvement of the Safety Office in investigations, referencing the severity index • Identified what incident trending is done and how it is shared • Specify roles and responsibilities around the reporting and management of OHSA reportable injuries • Updated references to stakeholders and legislation 	Incident Management Program v.3.0 NOV2022
November 2021	Andrew Scheifele	No changes	Incident Management Program v.2.1 NOV2021
November 2020	Andrew Scheifele	<ul style="list-style-type: none"> • Minor clarifications and formatting • Updated section 4.3 Supervisor/Manager Responsibilities 	Incident Management Program v.2.1 NOV2020
November 2019	Andrew Scheifele	<ul style="list-style-type: none"> • Program was updated to align with the Risk Assessment Program • Updated section 2.0 Scope • Updated section 3.0 Definitions • Updated section 4.0 Roles & Responsibilities <ul style="list-style-type: none"> ◦ Added section 4.3 Department Head/Chair/Director 	Incident Management Program v.2.0 NOV2019
November 2018	Andrew Scheifele	<ul style="list-style-type: none"> • No significant changes 	Incident Management Program v.1.3 OCT2018