SUBJECT AREA CONTENT

Introduction

This subject area describes the notification and analysis process for occupational injuries or illnesses. All injuries or illnesses to workers (i.e., employees, contractors, guests or students) sustained while performing work in accordance with their jobs at BNL, regardless of how minor the injury or illness seems (including those that occur while the employee is on business travel) must be:

- Reported to the supervisor;
- Evaluated by medical personnel (e.g., BNL Occupational Medical Clinic or Fire/Rescue), prior to leaving the BNL site; and
- Analyzed in accordance with this subject area.

All injuries and illnesses, determined to meet the criteria as recordable injuries and first aid cases must be analyzed, regardless of severity. An analysis is expected to be conducted utilizing a graded approach, based on actual or potential severity, frequency of similar events, or value of lessons to be learned (see the section Application of Graded Approach in the Graded Approach for Requirements Subject Area for additional guidance). The Safety and Health Services Division (SHSD) can provide guidance on the depth/adequacy of an injury/illness analysis.

Note: Construction contracts may specify certain exceptions to this process. However, the contractor is responsible for immediately notifying Laboratory project/safety personnel of all injuries, and to conduct a thorough and timely accident analysis, determine the cause(s), and implement corrective and preventive measures. The Laboratory reserves the right to monitor all such investigations and causal analysis processes for all recordable injuries, and further reserves the right to conduct it's own analysis.
It is important during this process to always keep in mind that the supervisor’s primary responsibility is to the worker’s welfare, and that the primary purpose of the analysis is to prevent recurrence. The owner of the Injury Illness Analysis Report is the supervisor.

For the purpose of this subject area:

- The term ‘worker’ includes employees, contractors, guests, and students.
- The term ‘supervisor’ refers to the worker’s direct supervisor, or BNL project manager, as appropriate.

For assistance, contact the following:

- Safety and Health Services Division (ext. 8800, or ext. 7493);
- Your ESH Coordinator, or Safety & Health Representative.

### Contents

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<th>Section</th>
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| **1. Discovering an Injury/Illness and Notifications** | Report injuries or illnesses immediately to your supervisor and OMC.  
Seek medical attention at OMC or Fire-Rescue and do not leave site prior to notification.  
Communicate basic information related to incident.  
Report unusual situations to BNL’s Legal Office or HR Directorate.  
Accompany the injured worker to OMC to report injury/illness.  
OMC formally notifies categorizer, line organization, bargaining unit, and Safety Engineering Group.  
Safety Engineering Group notifies ESH management, the line, and others of all occupational injuries and illnesses. |
| **2. Preserving the Scene for the Analysis** | Preserve evidence by securing the scene. |
| **3. Conducting an Analysis** | Ensure the line supervisor is directly engaged.  
Assign a Lead Investigator to coordinate the analysis.  
Determine level of investigation/analysis needed.  
Interview injured worker and witnesses as soon as possible.  
Document the scene of injury/illness. |
• Obtain all documentation pertinent to the injury or illness.
• Determine causality.
• Develop corrective actions and lessons learned as appropriate.
• Complete and distribute the Injury/Illness Analysis Report.
• Develop a "One-Pager" safety alert bulletin.
• Follow procedure for injuries/illnesses occurring during off-hours or on travel.

Definitions

Exhibits

Injury/Illness Notification and Analysis (On-site) Flowchart

Forms

None

Training Requirements and Reporting Obligations

This subject area contains the following training requirements:

• All SHSD Investigators and line organization lead investigators must have completed the following two courses that are approved by the SHSD Safety Engineering Group Manager:
  ◦ Illness and Injury Notification and Analysis web training (TQ-NOTIFY-ILL):
    http://training.bnl.gov/portal/TQ-NOTIFY-ILL
  ◦ ASSE Incident Investigation Training or DOE HSS SAF 230 Accident Investigation
  ◦ Events and Causal Analysis Factors and Human Performance Improvement are part of both training courses
• ESH Coordinators, SHSD investigators, supervisors, and those personnel assigned by their managers as lead investigators must receive BNL classroom training provided by the subject matter expert (SME) or by the BNL Training and Qualifications Office.

This subject area contains the following reporting obligations:

• Reporting obligations to DOE and other external agencies are addressed through the following means:
  ◦ Safety and Health Services Division (Safety Engineering Group) internal procedures
  ◦ Compliance Suite database/ETQ Database
  ◦ DOE's Computerized Accident Investigation Reporting System (CAIRS)
  ◦ Bureau of Labor Statistics online annual mandated reporting
  ◦ Event/Issues Management Subject Area
  ◦ Injury and Illness--Notification and Analysis Subject Area
  ◦ Occurrence Reporting and Processing System (ORPS) Subject Area
**External/Internal Requirements**

<table>
<thead>
<tr>
<th>Requirement Number</th>
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<td>20 CFR Parts 1 and 30 (EEOICPA)</td>
<td>Interim Final Rule Implementing the Energy Employees Occupational Illness Compensation Program Act (EEOICPA)</td>
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<tr>
<td>29 CFR 1904</td>
<td>Labor/Recording and Reporting Occupational Injuries and Illnesses</td>
</tr>
<tr>
<td>29 CFR 1910</td>
<td>Labor/Occupational Safety and Health Standards</td>
</tr>
<tr>
<td>29 CFR 1926</td>
<td>Labor/Safety and Health Regulations for Construction</td>
</tr>
<tr>
<td>BSA Contract No. DE-SC0012704 - Clause C.4</td>
<td>Statement Of Work</td>
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<td>BSA Contract No. DE-SC0012704 - Clause H.25</td>
<td>Workers' Compensation</td>
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<tr>
<td>BSA Contract No. DE-SC0012704 - Clause I.131 (DEAR 970.5223-1)</td>
<td>INTEGRATION OF ENVIRONMENT, SAFETY, AND HEALTH INTO WORK PLANNING AND EXECUTION (DEC 2000)</td>
</tr>
<tr>
<td>O 231.1B Admin Change 1 (Nov 28 2012)</td>
<td>Environment, Safety and Health Reporting</td>
</tr>
</tbody>
</table>

**References**

DOE Order 231.1B Environment, Safety and Health Reporting, Contractor Requirement Document

29 CFR 1904 and OSHA Recordkeeping Manual, Section 1904

Public Law 91-596, OMB No. 1220-0045, BLS-9300-IDCF

Emergency Preparedness Subject Area

ESH Guide: Injury and Illness--Notification and Analysis, Safety and Health Services website

Event/Issues Management Subject Area

Lessons Learned Subject Area

Occurrence Reporting and Processing System (ORPS) Subject Area

**Standards of Performance**
All staff and guests shall share information based on experience (e.g., lessons learned) to promote continuous improvement in business and work practices.

All staff and guests shall carry out appropriate emergency responses and off-normal event follow-up activities.

All staff and guests shall promptly report accidents, injuries, ES&H deficiencies, emergencies, and off-normal events in accordance with procedures.

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Before using a printed copy, verify that it is the most current version by checking the effective date.

https://sbms.bnl.gov/sbmsearch/subjarea/130/130_SA.cfm
PROCEDURE: DISCOVERING AN INJURY/ILLNESS AND NOTIFICATIONS

Management System: Worker Safety and Health

Subject Area: Injury and Illness--Notification and Analysis

1. Discovering an Injury/Illness and Notifications

Effective Date: Nov 16, 2017

Subject Matter Expert: John Ellerkamp Jr

Management System Executive: Gail Mattson

Applicability

This information applies to BNL staff and non-BNL staff who discover that an individual has sustained an occupational injury or discover that they have an occupational illness, including after normal work hours or while on business travel.

Information is provided for individuals involved in the notification process including Occupational Medical Clinic (OMC) staff, Fire Rescue, line supervisors, line managers, bargaining unit (if applicable), the Associate Laboratory Director (ALD) for the cognizant directorate, Environmental Safety and Health (ESH) Coordinators, Safety and Health Representatives, the ALD for ES&H, and the Safety and Health Services Division (SHSD).

Note: Construction contracts may specify certain exceptions to this process. However, Laboratory project management/safety personnel must immediately be notified of all injuries by the contractor.

Required Procedure

Workers who sustain an occupational injury or discover that they have an occupational illness, regardless of how minor the injury or illness seems at the time are to inform their supervisor and seek on site medical attention, immediately.

<table>
<thead>
<tr>
<th>Step 1</th>
<th>If the event is perceived as an emergency, activate an appropriate alarm and/or call ext. 2222 or 911. Follow the procedure in the section Emergency Response - All Staff in the Emergency Preparedness Subject Area.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Step 2</td>
<td>Report the injury/illness, regardless of how minor the injury or illness seems at the time, to your supervisor immediately (if supervisor is unavailable, report it to the next higher level of management), or to the ES&amp;H Coordinator or ESH Representative who must notify the Department Chair/Division Manager or Associate Laboratory Director (ALD).</td>
</tr>
<tr>
<td>Step 3</td>
<td>Seek medical attention at the Occupational Medicine Clinic (OMC) immediately*. If the OMC is closed, notify or proceed to Fire-Rescue (Building 599) for medical assistance. Do not leave the site without following this step.</td>
</tr>
</tbody>
</table>
Workers on business travel must inform their supervisors telephonically or by email, seek medical attention at a local facility, and report to the OMC immediately upon returning to BNL (see section 3.3 Analysis of Injuries/Illnesses Occurring on Business Travel).

Step 4

If the worker becomes aware of a work-related injury/illness after leaving work, they must attempt to contact the supervisor at that time and report to the OMC immediately upon arriving at BNL on their next scheduled workday.

Step 5

If the incident involves non-employees or members of the public and there is a reasonable basis for liability litigation, notify BNL's Legal Office (see the Potential for Litigation in the ESH Guide: Injury and Illness--Notification and Analysis).

The supervisor notifies management in the Human Resources Directorate if the analysis process reveals issues that could potentially involve disciplinary action.

See the Injury/Illness Investigation Tool (in the ESH Guide: Injury and Illness--Notification and Analysis) to assist in the analysis process.

Step 6

The supervisor or person designated by the line organization accompanies the injured worker to the OMC to report the injury/illness and to lend support to the employee as well as provide initial information back to the line management (not to complete the investigation at that time).

If the employee is transported off-site, the supervisor or line manager/designee reports to the OMC with the employee on their next workday.

Step 7

The OMC formally notifies the event categorizer, the line organization, bargaining unit, and the Safety Engineering Group telephonically after evaluating employee reporting the injury/illness.

Step 8

The Safety Engineering Group will electronically notify ESH management and the line regarding all occupational injuries and illnesses.

**Guidelines**

Managers have overall responsibility for coordinating the investigation and reporting requirements. Supervisors are responsible for the safety of their workers. This procedure should be performed by personnel with sufficient authority, training, and knowledge of reporting processes and requirements. Managers may have a standing committee, supervisor, or ESH Coordinator perform this procedure, or choose to use trained help from other organizations. Workers must be involved as much as possible to ensure their input into the corrective actions.

The manager may request the ALD for Environment, Safety and Health to appoint an independent committee or board to investigate and report in detail appropriate recommendations to the manager.

**References**

Emergency Preparedness Subject Area

ESH Guide: Injury and Illness--Notification and Analysis, Safety and Health Services website

Event/Issues Management Subject Area
PROCEDURE: PRESERVING THE SCENE FOR THE ANALYSIS

Management System: Worker Safety and Health

Subject Area: Injury and Illness--Notification and Analysis

2. Preserving the Scene for the Analysis

Effective Date: Nov 16, 2017
Subject Matter Expert: John Ellerkamp Jr
Management System Executive: Gail Mattson

Applicability

This information applies to all employees, contractors, guests, and students at BNL.

Required Procedure

Not all scenes of injuries or illnesses will require that the scene be preserved. If you need assistance in making that determination, call the Safety Engineering Subject Matter Expert (SME).

However, you must preserve the accident scene and notify the Safety Engineering SME when the following occurs:

- An Incident Command post is established by Laboratory Protection at the scene;
- The injury/illness will require medical intervention;
- A required analysis will need to be performed to meet criteria established for the DOE Occurrence Reporting & Processing System [ORPS] and/or Computerized Accident/Incident Reporting System [CAIRS] (e.g., all electrical shocks; falls from heights);
- There is evidence that could be lost (moved, disturbed, evaporated, lose its value to an investigation, etc.) (e.g., the ladder involved in an incident was moved to a different location) prior to completing the analysis;
- Hazards remain that need to be mitigated to protect equipment, personnel, environment, or the public (e.g., gas escaping from frozen piping);
- Special barriers/controls and coordination with Laboratory Protection is necessary;
- There is a need to protect sensitive classified or unclassified controlled nuclear information material, or privacy information and related systems;
- Non-Emergency Response or non-investigative personnel have access to the area (general traffic or curious individuals with cameras or cell phones); or
- The investigator(s) have not yet arrived, or there is a need to leave area unattended.

The scene may also require investigation by a BNL Accident Investigation Committee (AIC), a DOE Accident Investigation Board (AIB), or involvement of other agencies, such as OSHA, National Transportation Safety Board, FBI, Suffolk County Police, etc. Access to such accident scenes must be absolutely controlled until the Agency Having Jurisdiction arrives and takes control of the scene.

https://sbms.bnl.gov/sbmsearch/SubjArea/PrintAll.cfm?SAId=130&DisplayButton=No&Exhibit...
### Step 1
Individuals who are present at the time of an accident or injury must not contaminate the scene, remove, relocate, or clean anything until so directed by the Safety Engineering Group Manager, or designee, or the chair of an analysis team, who may either release the scene following the field portion of the analysis, or insist that it remain secured.

**Note:** Following any of the above listed conditions, contact Safety Engineering. They will make the decision on whether the scene must continue to be preserved. They will take over the authoritative control of the scene and either release it after evidence is collected, or require Laboratory Protection to continue to secure the scene for as long as it is deemed necessary. The scene and access to it will be officially controlled by the Safety Engineering Group Manager, or designee.

For all injuries and illnesses, concurrence from Safety Engineering is required to release any scene.

**Note:** The scene will be secured after the injured person(s) is removed from the scene. Investigators may enter once the scene is made safe (see the section Application of the Graded Approach in the Graded Approach for Requirements Subject Area for additional guidance) and control of the scene is released.

### Step 2
Individuals who have witnessed (or were present at the time of) an accident or injury must provide true and accurate information to the analysis team.

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**References**

Graded Approach for Requirements Subject Area

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The only official copy of this file is the one on-line in SBMS.

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PROCEDURE: CONDUCTING AN ANALYSIS

Management System: Worker Safety and Health

Subject Area: Injury and Illness--Notification and Analysis

3. Conducting an Analysis

Effective Date: Nov 16, 2017
Subject Matter Expert: John Ellerkamp Jr
Management System Executive: Gail Mattson

Applicability

This information applies to individuals that may be involved in the analysis of an occupational injury/illness including workers, supervisors, project managers, ESH Coordinators, and ES&H Directorate professionals.

Required Procedure

Conducting an Analysis contains three subsections:

3.1 Analysis Process
3.2 Analysis of Injuries/Illnesses Occurring Off-Hours
3.3 Analysis of Injuries/Illnesses Occurring on Business Travel

Line management is responsible for completion of a thorough and accurate analysis consistent with this subject area and other applicable institutional requirements. The line manager’s signature on the analysis report confirms satisfaction with the analysis. Analysis of recordable events must involve collaboration between the line organization and the ES&H directorate. Reports not meeting the acceptance criteria established in this subject area will be rejected by SHSD. A Report Rejection Form will be sent back to the supervisor and Lead Investigator for re-work and re-submittal.

For ORPS reportable events, the injury/illness analysis process must incorporate notification/reporting aspects required by the ORPS process (see the Occurrence Reporting and Processing System (ORPS) Subject Area, or contact the ORPS Coordinator for guidance.

All recordable injuries and first aid cases must be analyzed, regardless of severity. The analysis is expected to be conducted utilizing a graded approach, based on actual or potential severity, frequency of similar events, and/or value of lessons to be learned.

Note: The Safety and Health Services Division (SHSD) may provide guidance on depth/adequacy of an analysis (see the section Application of the Graded Approach in the Graded Approach for Requirements Subject Area for additional guidance).

3.1 Analysis Process

https://sbms.bnl.gov/sbmsearch/SubjArea/PrintAll.cfm?SAId=130&DisplayButton=No&Exhibit... 12/21/2017
**Step 1**
Utilizing a graded approach, the line organization Lead Investigator (or the analysis team for more serious recordable incidents) reports to the scene of the injury or illness with appropriate response items as soon as possible, ready to initiate the analysis. The lead investigator ensures that the line supervisor of the affected worker is directly engaged in the analysis.

For recordable incidents, the trained analysis team typically consists of the following:

- Lead Investigator;
- Injured worker’s supervisor;
- SHSD Investigator (assigned by SHSD);
- Union Representative (for analyses involving bargaining unit employees—see note below).

See [Suggested Site Investigation Response Items](https://sbms.bnl.gov/sbmsearch/SubjArea/PrintAll.cfm?SAId=130&DisplayButton=No&Exhibit...) (go to the ESH Guide: Injury and Illness--Notification and Analysis).

**Note:** Union representative participation on the analysis team is encouraged, but not mandatory. Initiation of the analysis should not be delayed to await team member assignment.

**Step 2**
The line organization assigns a Lead Investigator to coordinate the analysis and ensure:

- The line supervisor of the affected worker is responsible for the analysis, including being directly engaged in and involved in the analysis process;
- Appropriate communication and collaboration with SHSD;
- Timeliness and quality of analysis.

**Note:** It is important that during the course of the analysis, to always keep in mind the purpose, which is to prevent recurrence and to show concern for any injured workers.

**Step 3**
To determine if the incident is recordable, contact one of the following Safety and Health Services Division (SHSD) staff (make every attempt to speak directly to a person whenever possible; try not to leave a message):

- OSHA Recordkeeper; or
- Safety Engineering Group Manager; or
- Safety & Health Services Division Manager.

The SHSD can provide guidance regarding the analysis process. See the section [Application of the Graded Approach](https://sbms.bnl.gov/sbmsearch/SubjArea/PrintAll.cfm?SAId=130&DisplayButton=No&Exhibit...) in the Graded Approach for Requirements Subject Area for additional guidance.

First Aid Incidents - The line organization conducts the analysis without an assigned SHSD Investigator, but may request assistance with the analysis.

Recordable Incidents - An SHSD Investigator is required to provide expertise and assistance to the supervisor and line organization.

**Exception:** In the event of a very serious injury or illness, the SHSD or an ALD may decide that a special investigator or team of special investigators will conduct the analysis. In these cases, the ALD will determine the scope and assign designated staff to conduct the analysis to completion. In these cases, the assigned personnel reports to the scene of the event and provide assistance to the analysis.

**Step 4**
Interview the injured worker and witnesses as soon as possible. At the request of an injured bargaining unit worker, a union representative may be present.
Note: Ideally one, but no more than two investigators, should interview a worker/witness at a time. If there is more than one injured person, interview separately and obtain a separate statement from each individual. The Injured Worker's Statement Form available at the ESH Guide: Injury and Illness--Notification and Analysis.

Note: It is important to obtain the information as soon as possible after the event takes place, when the details are fresh in his/her mind.

When dealing with injured employees, it is important to show concern for their injury or illness and explain the purpose of the analysis. Consider human performance and wearing of required PPE as part of the analysis, where appropriate.

### Step 5
Contact witnesses individually and conduct an interview. Witness Forms are available to document their account of the event (see the ESH Guide: Injury and Illness--Notification and Analysis).

If the witness refuses to provide a statement, or sign the form, document their refusal, stating their reason on the form, and sign your name.

Note: Witness information is not required, but may be valuable to the analysis.

### Step 6
Photograph/document the scene and any transient evidence (such as water on the floor, sunlight, lighting, weather conditions, etc.) before the scene is disturbed.

Use a photo log to document the position from where the photograph was taken (such as the distance to the subject of the photograph, or other measurements).

### Step 7
Incorporate applicable requirements found in the Event/Issues Management Subject Area, as appropriate (e.g., Fact Finding Meetings, etc.), as they apply, along with the aspects of this procedure.

### Step 8
Obtain all documentation pertinent to the injury or illness, as appropriate to the graded approach, such as

- Training records;
- Inspection and maintenance records;
- Owner's manuals (for equipment);
- Safety rules or procedures;
- Work Planning documents;
  - Work Permits
  - Procedures
  - Job Risk Assessments
  - Facility Risk Assessments
  - Hazard Analyses
  - Experimental Safety Reviews

### Step 9
Identify and evaluate controls that apply (or should apply) to the activity that was in process at the time of the event.

### Step 10
Determine the direct, contributing, and root cause(s) of the event, as appropriate.
Note: First aid incidents may only require identification of an apparent cause.

Note: The DOE Facility Representative may be invited to causal analysis meetings/discussions.

Note: If a formal causal analysis was conducted, identify the type used, and a copy of the worksheet or analysis should be included with the final report.

Step 11
Identify the Integrated Safety Management (ISM) core function that is most clearly related to the direct cause of the incident/injury:

Core Function 1: Define the scope of work - Missions are translated into work, expectations are set, tasks are identified and prioritized, and resources are allocated.

Core Function 2: Identify and analyze hazards associated with the work - Hazards associated with the work are identified, analyzed, and categorized.

Core Function 3: Develop and implement hazard controls - Applicable standards and requirements are identified and agreed-upon, controls to prevent/mitigate hazards are identified, the safety envelope is established, and controls are implemented.

Core Function 4: Perform work within controls - Readiness is confirmed and work is performed safely.

Core Function 5: Provide feedback on adequacy of controls and continue to improve safety management - Feedback information on the adequacy of controls is gathered, opportunities for improving the definition and planning of work are identified and implemented, line and independent oversight is conducted, and, if necessary, regulatory enforcement actions occur.

Step 12
Develop SMART corrective action(s) that will address the root cause. For assistance, use Guidelines for the Development of Corrective Actions (see the ESH Guide: Injury and Illness--Notification and Analysis).

Note: A corrective action calling for a further analysis is not an acceptable corrective action.

Step 13
Determine the extent of condition and include additional corrective actions, if applicable. Use the exhibit Extent of Condition/Cause Review in the Event/Issues Management Subject Area for guidance.

Step 14
Complete, sign, and distribute the Injury/Illness Analysis Report by the target timeframe of five to seven working days from the event.

Note: SHSD will review the report for quality, accuracy and timeliness. Unacceptable reports will be rejected and returned to the responsible supervisor/lead investigator accompanied by a rejection form which will identify why it was rejected and require re-work be submitted in 5 to 7 working days from the date rejected. Reports that are acceptable will receive no feedback.

Step 15
The line organization is responsible for developing a safety alert bulletin slide (also known as a “One Pager”) after completing the analysis for the following incidents:

- Recordable injuries/illnesses;
- First aid incidents that provide lessons learned information (SHSD Manager or line organization discretion).
Obtain line management approval and then forward safety alert bulletin slide to the ES&H Directorate for database input/processing.

**Note:** The safety alert bulletin slide is a summary of the analysis and includes a description of the incident, including injuries and location, department(s) involved, cause(s), corrective action(s), and photos, as appropriate.

### Step 16
Where indicated by management, the line organization is responsible for developing and forwarding a lessons learned communication, if a lessons learned results from the incident (see the Lessons Learned Subject Area), and forwards it to the Lessons Learned Coordinator for distribution. Not every incident will have a lessons learned.

## 3.2 Analysis of Injuries/Illnesses Occurring Off-Hours

### Step 1
Injuries or illnesses occurring during non-routine work hours (when the OMC is closed), requires notification to Laboratory Protection and evaluation by Fire/Rescue Emergency Medical Technicians at that time. Analysis of an occupational injury/illness that occurs during non-routine work hours (i.e., other than 0800 to 1700 hours) will generally be initiated the next workday.

**Note:** However, exceptions may occur depending on incident severity.

The worker’s supervisor ensures notification of the

1. Occupational Medicine Clinic at ext. 3670;
2. Line management, as appropriate;

Should the Occupational Medicine Clinic be informed first, the nurses will handle the required notifications.

For recordable incidents, SHSD provides guidance regarding incident investigation. The supervisor must preserve the scene and obtain incident information using a graded approach, as prescribed in this subject area.

The worker must report to the OMC, when it opens or prior to start of shift the next workday he/she is on site, whichever is sooner.

## 3.3 Analysis of Injuries/Illnesses Occurring on Business Travel

### Step 1
Analysis of an occupational injury/illness that occurs while on business travel must be initiated promptly upon the supervisor receiving notification.

The supervisor is to immediately notify the following:

1. ORPS Categorizer via cell phone at 631-433-0443;
2. Occupational Medicine Clinic at ext. 3670;
3. Line management, as appropriate;
4. Line organization ESH Coordinator;
5. One of the following Safety and Health Service Division (SHSD) staff (make every attempt to speak directly to a person whenever possible; try not to leave a message):
   ◦ OSHA Recordkeeper; or
   ◦ Safety Engineering Group Manager; or
   ◦ Safety & Health Services Division Manager.

For recordable incidents, SHSD will provide guidance regarding incident analysis. The supervisor notifies the

- Union Representative (for bargaining unit workers);
- Human Resources and Occupational Medicine Division (as necessary, for international travel, insurance issues, etc.).

These analyses generally do not require travel to the incident scene. However, exceptions may occur depending on incident severity.

The worker must report to the OMC immediately upon returning to BNL, along with the supervisor/designee.

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**Guidelines**

Workers are involved as much as possible to ensure their input into the corrective actions.

No more than two investigators should interview an injured worker/witness at a time.

**References**

[ESH Guide: Injury and Illness--Notification and Analysis](https://sbms.bnl.gov/sbmsearch/SubjArea/PrintAll.cfm?SAId=130&DisplayButton=No&Exhibit...) Safety and Health Services website

[Graded Approach for Requirements](https://sbms.bnl.gov/sbmsearch/SubjArea/PrintAll.cfm?SAId=130&DisplayButton=No&Exhibit...) Subject Area

[Lessons Learned](https://sbms.bnl.gov/sbmsearch/SubjArea/PrintAll.cfm?SAId=130&DisplayButton=No&Exhibit...) Subject Area

[Occurrence Reporting and Processing System (ORPS)](https://sbms.bnl.gov/sbmsearch/SubjArea/PrintAll.cfm?SAId=130&DisplayButton=No&Exhibit...) Subject Area

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| SBMS Home Page | Top of Subject Area | Instructions | Changes |
EXHIBIT: INJURY/ILLNESS NOTIFICATION AND ANALYSIS (ON-SITE) FLOWCHART

Management System: Worker Safety and Health

Subject Area: Injury and Illness--Notification and Analysis

Injury/Illness Notification and Analysis (On-site) Flowchart
Effective Date: Mar 10, 2016

The Injury/Illness Notification and Analysis (On-site) Flowchart is provided as a PDF.

The only official copy of this file is the one on-line in SBMS.

Before using a printed copy, verify that it is the most current version by checking the effective date.

Questions/Comments  
Disclaimer

https://sbms.bnl.gov/SBMSearch/subjarea/130/130_Exh11.cfm
Injury/Illness Notification and Analysis (On-site) Flowchart

Injury/Illness Occurs

Ambulance response needed?

Yes

Office of Emergency Management sends out notifications of Fire-Rescue and Security Response, ambulance involvement (if scene is preserved, notify SHSD Manager and SME), and follow-up actions as required.

No

Worker notifies supervisor

Worker reports to OMC or to (Fire Rescue - after hours)

Supervisor or designee:
- Accompanies worker to OMC
- Notifies line management and ESH Coordinator
- Ensures scene is preserved

Safety Engineering sends out email to ESH Management and the cognizant organization

OMC Notifications
- Via Phone Calls:
  - Event Categorizer
  - Line Supervisor
  - Union Representative

Laboratory Protection releases the scene to Safety Engineering

Recordable or DART Case

No

Conduct analysis using graded approach
- Supervisor directly engaged and involved with ESH Representative

Yes

Analysis Team
Report to scene and initiate analysis with the graded approach
- Line Lead/Investigator
- Line Supervisor
- SHSD Investigator
- Other SME(s), as necessary
- Union Representative
- ESH Representative

Line Organization:
- Line organization designates lead investigator, if not already assigned
- Confers with SHSD OSHA Recordkeeper

SHSD concurrence
- Analysis scope and graded approach
- Release of scene

Communication via ESH meetings, Director’s Councils, Lessons Learned publications, etc.

Analysis Scope
- SHSD enters information into database

One Pager
- Only required for recordable and first aid incidents that provide lessons learned information
- Line organization responsible
- Approved by line organization

Investigation Report
- 5 to 7 day target completion
- Signatures
- SME review
- SHSD Manager final approval

One Pager
- Bargaining Unit employee events
- Assigned by Safety & Health Services Division (SHSD)
# DEFINITIONS

## Definition: Injury and Illness--Notification and Analysis

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
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<tbody>
<tr>
<td>contributing cause</td>
<td>A cause that contributed to an incident but, by itself, would not have caused the incident.</td>
</tr>
<tr>
<td>corrective actions</td>
<td>Actions taken to remedy a problem, prevent recurrence of an incident, and/or preclude similar incidents.</td>
</tr>
<tr>
<td>direct cause</td>
<td>The initiating event of an incident; the release of energy that caused an injury.</td>
</tr>
<tr>
<td>extent of condition</td>
<td>When the same problem/condition exists elsewhere or when the same root or underlying causes of the problem/condition may cause a recurrence elsewhere.</td>
</tr>
<tr>
<td>first aid</td>
<td>Limited to one-time treatment and subsequent observation and involves treatment of minor injuries only (29 CFR 1904.5).</td>
</tr>
<tr>
<td>near miss</td>
<td>An event that did not cause a recordable injury or illness but had the potential to do so. In a near miss, the potential for injury was present, but injury did not actually occur. However, injury might occur at the next occurrence of the circumstances, unless the circumstances are corrected.</td>
</tr>
<tr>
<td>occupational injury/illness</td>
<td>Injury or illness that occurs while the affected person is performing work in accordance with their job.</td>
</tr>
<tr>
<td>recordable</td>
<td>Occupational injury/illness cases are recordable if they result in death, medical treatment beyond first aid, lost or restricted workdays, loss of consciousness, permanent change of job, or a significant aggravation of a pre-existing injury or illness.</td>
</tr>
<tr>
<td>root cause</td>
<td>The causal factor(s) that, if corrected, would prevent recurrence of the accident. The system failures that permitted, encouraged, allowed, failed to identify and correct, failed to follow-up, failed to anticipate or predict – the unsafe act or condition that preceded the release of energy. For example, &quot;Inadequate system design which allows a failed electrical device to lead to a major, uncontrolled fire,&quot; or &quot;Poor vehicle maintenance (bald tires) leading to skidding accidents&quot;.</td>
</tr>
<tr>
<td>safety alert bulletin</td>
<td>A one-page communication intended to provide a brief summary of the event and any precautionary information to others in the Laboratory to prevent recurrence.</td>
</tr>
<tr>
<td>term</td>
<td>description</td>
</tr>
<tr>
<td>------------------------------------------</td>
<td>---------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>serious injury</td>
<td>Injuries that can only be treated by a physician, or other licensed medical practitioner; impair normal bodily function; cause the individual to rest for the remainder of the shift; result in damage to the physical structure (i.e., fractures), or involve complications requiring follow-up medical treatment.</td>
</tr>
<tr>
<td>SHSD investigator</td>
<td>A subject matter expert (SME) or other person who has received formal accident investigation training and is assigned by the SHSD to either (1) provide expertise and guidance to the supervisor; or, (2) to participate in a special investigation.</td>
</tr>
<tr>
<td>Supervisor</td>
<td>Refers to the worker’s direct supervisor, BNL project manager, or sponsor, as appropriate.</td>
</tr>
<tr>
<td>very serious injury or illness</td>
<td>This is an actual, or a potential life style altering event. Examples of very serious injuries include: fatalities, amputation, hospitalization of &gt;48 hours commencing within 7 days of the injury, loss of sight, spinal injuries, brain and head trauma, lacerations that cause hemorrhages, nerve, muscle or tendon damage, burn or scald injuries effecting more than 5% of the total body area, or other injuries deemed very serious by the ALD for ESH.</td>
</tr>
<tr>
<td>worker</td>
<td>Includes employees, contractors, guests, and students.</td>
</tr>
</tbody>
</table>

The only official copy of this file is the one on-line in SBMS.

Before using a printed copy, verify that it is the most current version by checking the effective date.