



Incident Reporting, Notification, and Review Procedure

1. Purpose and Scope

- 1.1. The purpose of this procedure is to require incident reporting and notification and to aid the University of Notre Dame in preventing or mitigating future incidents through the use of an incident investigation process. Incident investigations require the identification of the incident causes and the development of corrective actions that address those causes.
- 1.2. This procedure applies to **all workplace** injuries/illnesses, environmental releases, and near misses that occur with faculty, staff, students, and visitors at the University of Notre Dame.

2. Responsibilities

- 2.1. Faculty, staff, and student employees shall comply with this procedure, report all incidents in a timely manner including property damage or near miss events regardless of the extent of incident, and participate in the incident investigation process as appropriate.
- 2.2. Deans, Provost, Department Heads, Center/Institute Directors, or Designees shall:
 - 2.2.1. Enable enforcement of these requirements and take prompt, effective corrective action when necessary.
 - 2.2.2. Identify resources needed to address risk mitigation efforts that exceed the ability of the responsible personnel.
 - 2.2.3. Make appropriate notifications of incidents occurring in their college, center, department, unit, etc.
- 2.3. Department Managers, Supervisors and others in supervisory roles shall:
 - 2.3.1. Ensure all personnel reporting to them receive communication that this procedure shall be adhered to within the area(s) of responsibility.

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- 2.3.2. Implement immediate corrective actions if it is discovered that this procedure is not being followed. Examples include retraining or adherence to the University's discipline process.
 - 2.3.3. Participate in all incident investigations that occur within their area of responsibility or that occur to personnel reporting to them.
 - 2.3.4. Make appropriate notifications within their organization of incidents occurring in their area of responsibility.
 - 2.3.5. Ensure the First Report of Incident form is completed for all workplace injury accidents occurring to personnel working for them.
- 2.4. ND Security Police / Fire shall:
- 2.4.1. Make appropriate external communications as required by local, state, or federal mandate.
 - 2.4.2. Make internal notifications to ensure the appropriate level of leadership at the University of Notre Dame is notified.
 - 2.4.3. Inform RMS or the RMS on-call staff during off-hours of all incidents, as defined in this procedure.
 - 2.4.4. Take control and/or command of an incident scene depending on type and severity.
 - 2.4.5. Facilitate or participate in incident investigations and root cause analysis (RCA) of incidents pertinent to their area of expertise.
 - 2.4.6. Forward incident reports relating to this procedure to Risk Management and Safety when complete.
- 2.5. Risk Management and Safety (RMS) shall:
- 2.5.1. Make appropriate external communications as required by local, state, or federal mandate.
 - 2.5.2. Make internal notifications to ensure the appropriate level of leadership at the University of Notre Dame is notified.
 - 2.5.3. Maintain Federal and State record keeping requirements.
 - 2.5.4. Facilitate or participate in incident investigations and root cause analysis involving incidents pertinent to their area of expertise.
 - 2.5.5. Coordinate the incident investigation program and provide technical expertise, as necessary.
 - 2.5.6. Assist in developing Safety Alerts and forwarding to affected groups.
 - 2.5.7. Track incident report corrective actions to closure.
 - 2.5.8. Report to University Leadership incident information and the status of open corrective actions.



2.5.9. Notify the Wellness Center at (631-2371) of any work-related injury resulting in transportation to an emergency room when the Wellness Center may not have knowledge of the incident.

2.5.10. Notify all applicable regulatory agencies as required by statute.

2.6. The University Health Services (St. Liam's Hall) shall contact RMS as soon as reasonably possible after any incident that may warrant an investigation (e.g. student injured in a lab, student fall from height).

2.7. The Wellness Center shall contact RMS within one hour or as soon as reasonably possible after any university employee reports a work-related Tier 1 or Tier 2 injury, illness or campus accident.

3. Definitions

3.1. Accident – An unplanned work-related event resulting in injury or illness, equipment or property damage, or an environmental release. An accident does not necessarily include equipment failures that are the result of electrical, mechanical or structural failures not caused by human intervention and that are controlled by system shutdown, malfunction or safety devices.

3.2. Critical Infrastructure – These are systems and assets, whether physical or virtual, vital to the safety and health of ND faculty, staff, students, visitors, or contractors and the continuity of research, teaching, or business operations. Examples of critical infrastructure include:

- Electrical (generation, transmission and distribution).
- Telecommunication (phone, internet, etc.).
- Water (chilled water, potable water, waste water/sewage and storm water).
- Heating (steam, condensate, and natural gas).

3.3. Environmental Release – An unplanned release of chemical, biological, radioactive materials, or petroleum products to the air, water, or ground.

3.3.1. Water is defined as any natural (above or below ground) or manmade waterways, e.g., lakes and sewer systems.

3.3.2. The ground is defined as soil, outdoor paved area, or uncontained areas inside buildings such as floors, bench tops, etc. Spills inside buildings



include releases that could have resulted in contamination to the air, water (e.g., sewer), or soil. Secondary containment areas such as a dike or laboratory ventilation hood are not included in this definition.

- 3.4. Incident – An event that either did or could have (near miss) resulted in injury or illness, equipment or property damage, or an environmental release.
- 3.5. Near-miss – An unplanned work-related event that could have reasonably resulted in injury or illness, equipment or property damage, or an environmental release. For an event to be a near miss an unplanned release of energy or other situation that could have resulted in an injury had to occur.
- 3.6. Root Cause(s) – Personal factors or job factors that allow unsafe behaviors to occur or unsafe conditions to exist.
- 3.7. Reportable Environmental Release – Any release of a hazardous substance to the environment in an amount equal to or greater than a regulatory reportable quantity. A release is defined as any spilling, leaking, pumping, pouring, emitting, emptying, discharging, injecting, escaping, leaching, dumping, or disposing into the environment.
- 3.8. Student Employee – Any student who receives compensation from the University of Notre Dame for performing work activities is considered an employee.
- 3.9. Tier 1(Critical Incident)
 - 3.9.1. Any incident resulting in:
 - A fatality on University of Notre Dame property.
 - A fatality to a University of Notre Dame faculty, staff, or student while traveling on University business.
 - A life threatening or serious work related injury, illness, or accident resulting in hospitalization.
 - A fire, explosion or other failure reasonably expected to cause greater than \$25,000 in loss or results in the cancellation of multiple classes, research activities, or a major campus activity.



- Critical infrastructure failure affecting daily operations. This is not intended to necessarily include end-of-service life failures (e.g. pump, water main, etc.).
 - National media attention.
- 3.9.2. Police or security events resulting in:
- Shots being fired (does not include training or animal euthanasia).
 - Life threatening incident.
 - University property damage or theft reasonably expected to cause greater than \$25,000 in loss.
 - Large disturbance or riot with significant impact to University operations.
- 3.10. Tier 2 (Significant Incident)
- 3.10.1. Any incident resulting in:
- Faculty, staff, or student work-related injury or illness resulting in lost time.
 - A faculty, staff, or student exposure to a biological Class 3 or unprotected contact e.g., needle stick with a Class 2 biological hazard.
 - A fire, explosion or other failure reasonably expected to cause between \$5,000 and \$25,000 in loss or any extended interruption of teaching, research, or other activities.
 - A reportable environmental release to the air, water, or soil.
 - On-scene local media attention.
 - Regulatory agency contact.
 - Threats to public health that could impact the larger community (e.g. communicable disease or foodborne illness outbreak).
- 3.10.2. Police or security events:
- Property damage or theft resulting in \$5,000 and \$25,000 in loss or any extended interruption of teaching, research or other activities.
- 3.11. Tier 3 (Minor Incident)
- 3.11.1. Any incident resulting in:
- Faculty, staff, or student injury or illness requiring medical treatment or evaluation at a medical facility.
 - Faculty, staff, or student injury or illness not requiring evaluation at a medical facility or one that was self-treated.
 - Fire or other failure reasonably expected to cause less than \$5,000 in loss.
 - A Near Miss event.



- Police or security events not listed as Tier 1 or Tier 2.

4. Incident Reporting

4.1. Injury / Illness (Refer to Appendix D for flow chart)

4.1.1. In the event of an injury or illness requiring treatment personnel are required to **immediately** seek medical evaluation.

- For injuries or illnesses requiring emergency medical care, call 911 (from a campus phone) or 574-631-5555 (from a mobile phone) to receive emergency medical response from Notre Dame Fire Department (NDFD).
- If emergency transport to the emergency room or Wellness Center is necessary or requested, NDFD shall evaluate to determine the appropriate mode of transportation and ensure transport is provided.
- If emergency transportation is required to an emergency room for a member of the general public injured at the University of Notre Dame, NDFD shall evaluate to determine the appropriate mode of transportation and ensure transport is provided.
- For minor injuries or illnesses incurred during University sponsored work hours or event, faculty, staff, or student employees shall contact their supervisor, if able, and report to the Wellness Center. When the Wellness Center is closed treatment shall be provided by St. Joe Regional Medical Center Emergency Room or Memorial Hospital MedPoint on Main St., Mishawaka, IN. Contact NDFD for assistance.

4.1.2. Faculty, staff, and student employees shall report **all incidents** to their immediate supervisor or designee (Example: Department/Unit Head, PI, Lab Manager, Supervisor, etc.) **immediately** upon discovery or realization of the event or after receiving medical attention.

4.1.3. Upon notification of the incident, the supervisor shall ensure that the condition, hazard, or area is isolated or the hazard is eliminated to prevent further incident(s).

4.2. In event of a fire, any environmental spill or release, or security matter employees shall contact NDSP at 911 (from a campus phone) or 574-631-5555 (from a mobile phone) or activate the building fire alarm as appropriate. (Refer to Appendix D).



4.3. Campus Safety Notification Requirements

4.3.1. **Tier 1 (Critical Events)**

- NDFD or NDSP shall immediately notify the VP of Campus Safety and RMS.
- The VP of Campus Safety shall immediately notify:
 - Executive Vice President,
 - Provost,
 - VP of Communications (for campus notification as deemed appropriate by the VP of Communications), and the
 - Division AVP or Office of Research / Dean of the area involved.

4.3.2. **Tier 2 (Significant Incident)**

- NDFD or NDSP shall notify the VP of Campus Safety and RMS as soon as practical.
- The VP of Campus Safety shall notify as soon as practical during business hours:
 - Executive Vice President, and the
 - VP of Research (laboratory incident) or Division VP or Dean of the area involved.

4.3.3. **Tier 3 (Minor Incident)** notifications are not required.

4.4. Incident Notification for **Tier 1 (Critical Incidents) and Tier 2 (Significant Incidents)**:

4.4.1. The Manager or Supervisor shall inform the department/unit manager/designee as soon as possible for incidents within their area of responsibility.

- If a Department Safety Coordinator is informed of the incident he/she shall contact the appropriate Department Head, department/unit manager, Center/Institute Director, or Designee as soon as possible.

4.4.2. The Manager or Supervisor shall inform the appropriate Dean, Department Head, Center/Institute Director, Department/Unit manager or Designee of the incident as soon as reasonably possible.

4.5. Incident notification for **Tier 3 (Minor Incidents)**

4.5.1. The Manager or Supervisor shall inform the Department Safety Coordinator and his/her manager/designee within 1 business day of incident knowledge.



5. Incident Investigations Requirements

- 5.1. An investigation shall be conducted for all Tier 1, 2 and 3 incidents.
 - 5.1.1. Incidents shall be investigated following this procedure or as directed by Campus Safety.
 - 5.1.2. Fire investigations shall be directed by NDFD.
 - 5.1.3. Police/security events shall be investigated as directed by NDSP.
Examples include: Campus crimes, motor vehicle crashes, and public or residence accidents.
- 5.2. Incident investigations shall be initiated as soon as reasonably possible following the event or upon receiving knowledge that an event has occurred.
- 5.3. Except as noted in 5.1.2 and 5.1.3 incident investigations shall have a documented root cause analysis with corrective actions addressing the causes (Appendix B). The VP of Campus Safety has the authority to suspend this requirement.
- 5.4. Except as noted in 5.1.2 and 5.1.3 all incident investigations shall be documented using the Incident Investigation Report (Appendix C).
- 5.5. Investigation Process (Refer to Appendix D for Tier 1 & 2 process flow chart)
 - 5.5.1. A team approach shall be used when conducting internal incident investigations.
 - 5.5.2. Incidents that are criminal or that are fire investigations shall be managed by the jurisdiction having authority.
 - 5.5.3. Tier 1 (Critical Incidents) and Tier 2 (Significant Incidents)**
 - For fire and police incidents, the scene shall remain secured until it is approved for access by NDFD / NDSP. Only at that time will NDFD / NDSP permit key personnel entry for fact finding. Key personnel shall be identified by Campus Safety.
 - The incident investigation shall be led by Campus Safety or by others at the request of Campus Safety.
 - All photographs used as evidence shall be taken by or at the direction NDSP.



- Once evidence is gathered and the scene is safe, the area may be released to the department or area owner (manager, supervisor, etc.). Every effort will be made to return the area back to the owning department/unit as quickly as possible.
- The incident investigation team shall include at a minimum the area supervisor or the immediate supervisor or manager of the employee involved, an employee that has knowledge of the process involved, the Department Safety Coordinator, and Campus Safety. The employee(s) involved in the incident shall not be a member of the team.
- The team shall conduct the investigation to determine the root cause of the incident and identify corrective actions to prevent recurrence.
- The team leader shall provide the VP of Campus Safety with daily progress reports for Tier 1 (Critical Incidents) and other incidents as identified by the VP of Campus Safety.

5.5.4. Tier 3 (Minor Incidents)

- It is required that the Manager or Supervisor responsible for the employee or the Manager or Supervisor responsible for the area where the incident occurred initiate/lead the incident investigation.
- The team leader shall identify team members. At a minimum, the team shall include the employee's supervisor or manager, the Department Safety Coordinator, and an employee that has knowledge of the process involved. The employee involved in the incident shall not be a team member.
- The team shall conduct the investigation to determine the root cause of the incident and identify corrective actions to prevent recurrence.

5.5.5. Fact Finding

- The incident investigation shall be conducted as a fact-finding exercise and **not as a fault-finding mission**.
- The scene of the incident shall be visited as quickly as possible to collect and document evidence.
- The area of the incident shall be carefully controlled. In some cases, it may be necessary to isolate and/or barricade the area pending the investigation. Contact NDSP as necessary for scene control.
- In some cases, pictures, diagrams, and other means should be taken to record evidence.



- Interviews shall be conducted with personnel involved in the incident including witnesses, as soon as possible. These interviews should be conducted with each person individually and be documented. If a person involved in the incident is not immediately available, he/she should be interviewed as soon as practical or be asked to write their statements and provide to the lead investigator.
- Evidence from the incident for Tier 1 incidents shall be secured by NDSP or by the authority having jurisdiction. Evidence for Tier 2 and 3 incidents shall be retained at the discretion of the team leader.

5.5.6. Corrective Actions

- Specific corrective actions shall be developed to address the causes of the incident so that similar events can be prevented.
- Each corrective action shall include the name of a person responsible for completing the item and a target date.
- Where feasible, corrective actions shall be developed using the following hierarchy of controls:
 - Elimination of process or activity,
 - Substitution of less hazardous materials, processes, operations or equipment,
 - Engineering controls (i.e. redesign, machine guards, ventilation systems),
 - Warnings and Administrative controls (i.e. signage, changes to work procedures, training, job planning, rotating and scheduling), and
 - Personal protective equipment (e.g., hearing protection, gloves).

5.5.7. Written Report

- All workplace injuries shall be documented using RMS First Report of Incident (See Appendix A). **This shall be completed by the Manager or Supervisor responsible for the employee within 48 hours of the injury or knowledge of the injury.**
- Investigations shall be completed within 5 business days of the incident or the knowledge thereof.
- Tier 1 (Critical Incidents) and Tier 2 (Significant Incidents) investigations shall be documented using the Tier 1 and Tier 2 Report Form (Appendix C). Campus Safety leadership may elect to use a different investigation process for certain events.



- All incident investigations shall be uploaded into the RMS Investigation Report tab of the First Report of Incident. Appendix A (Incident Report Form) depicts the RMS Investigation Report tab. Appendix B (Root Cause Analysis Forms) defines root cause categories and provides formats for documenting the investigation's root cause analysis.
 - For investigations requiring additional time, the departmental Safety Coordinator or the manager/supervisor responsible for completing the report shall notify the Department Head / Manager and RMS. A reason for the delay and expected completion date shall be provided.
- 5.6. Communication – In order to create an atmosphere of information sharing and learning a safety alert shall be created for all Tier 1 (Critical Incidents) and Tier 2 (Significant Incidents). The safety alert shall be disseminated to affected departments by RMS and posted on the RMS web site at this [link](#).
- 5.7. Contractors, Minors, Volunteers, Visitors, and Visiting Researchers
- 5.7.1. Contractors – Contractors shall be instructed to report all incidents to their ND contact. The ND contractor contact shall perform notifications of the event as outlined in this procedure and consult with University of Notre Dame legal counsel on Tier 1 events prior to taking action. If counsel supports, the ND contractor contact shall ensure all Tier 1 events are investigated by the contractor company and the incident report is provided to RMS.
- 5.7.2. Minors, Volunteers, Visitors, and Visiting Researchers – The ND individual responsible for the minor, volunteer, visiting researcher, or visitor shall ensure that medical treatment is sought if needed. Reporting and investigations shall follow as directed in this procedure.

6. Training

- 6.1. All affected personnel with responsibilities listed in this procedure shall receive initial training in the provisions of this procedure. Training shall minimally include seeking medical treatment, reporting requirements and notifications, preventing secondary effects, and preservation of evidence.
- 6.2. Supervisory personnel shall be trained initially and every two years thereafter on how to conduct and document incident investigations.

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6.3. Employees shall receive annual training in the provisions of this procedure. Training shall minimally include seeking medical treatment and reporting requirements.

7. Audit and Program Review

7.1. RMS shall perform a documented annual evaluation of this program.

7.2. The annual evaluation shall include a review of the following:

- This procedure to determine if it is complete and up-to-date.
- Appropriate incident reports, and injury logs to determine if reports were completed for all required cases.
- Incident Investigation Reports to insure their accuracy, including: (a) use of proper investigation techniques, (b) root-cause identification, (c) identification and completion of corrective actions.
- Training records to determine if all required training was appropriately conducted and attended.

7.3. All actions that are necessary to improve the process shall be documented and acted upon.

8. Records (including evidence) required by this procedure shall be retained per the RMS-LS-Specific Records Retention Schedule or released by the VP of Campus Safety. This includes:

8.1. Documentation gathered throughout the investigation process, such as:

- Data gathered during fact finding.
- The documented root cause analysis.
- The incident investigation report.

8.2. Initial and refresher training for affected personnel this procedure.

8.3. Audit and program review documentation.



Appendix A Incident Report Form

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Root Cause Description

Provide a description of the causes. Use a root cause analysis technique such as "5-Why" or "Why Tree" to determine causes.

Attach Supporting Documents

Incident Investigation Supporting Document(s)

Management System Root Cause Category

Check the box categorizing the causes. (You may check more than one)

<input type="checkbox"/> Responsibility and Accountability	<input type="checkbox"/> Equipment & Materials Procurement	<input type="checkbox"/> Inspections, Assessments & Preventative Maintenance
<input type="checkbox"/> Planning and Risk Assessment	<input type="checkbox"/> Contractors	<input type="checkbox"/> Documents and Records
<input type="checkbox"/> Resources	<input type="checkbox"/> Emergency Preparedness	<input type="checkbox"/> Incident Investigations
<input type="checkbox"/> Design Review and Management of Change	<input type="checkbox"/> Training	<input type="checkbox"/> Corrective and Preventative Actions
<input type="checkbox"/> Controls	<input type="checkbox"/> Communication	<input type="checkbox"/> Human Actions

Corrective Actions (click to Expand)

Action Item 1 Done

Responsible Person Full Name	Email Address	Net ID	Target Date	Date Completed
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Action Item 2 Done

Responsible Person Full Name	Email Address	Net ID	Target Date	Date Completed
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Link to Form: [First Report Form](#)

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**Appendix B
Root Cause Analysis Forms**

Management System Root Cause Worksheet

The management system deficiencies below should be used to help identify and categorize the causes from a “Why Tree”. Compare the root causes to the “Explanation” column, if the statement is true, identify that “Category” in the **Management System Root Causes** section of the Incident Investigation of the On-Base form.

Multiple Root Causes and Categories are Acceptable and Likely

Category	Explanation
Responsibility and Accountability	Responsibility was not properly assigned or personnel were not held accountable to their responsibilities.
Planning and Risk Assessment	Planning or a risk assessment was not conducted or inadequate. The assessment did not include applicable life cycle phases or process verification.
Resources	The resources (personnel, equipment, time, etc.) were not adequate.
Design Review and Management of Change	The current design was not analyzed for risk therefore it used incorrect specifications & was built so that it was inadequate for the intended service. A change occurred without proper review or analysis to implement effective controls.
Controls	The risk reduction controls (including elimination, engineering controls, warnings, administrative, or PPE) were not proper for the task either due to not being properly identified or specified.
Equipment & Materials Procurement	The equipment, parts, or materials procured created a hazard or were not as analyzed for risk, were defective, or did not meet the specifications.
Contractors	The contractor safety program was not established or was inadequate to identify, evaluate, and control health and safety risks from contractor activities or to the contractors from the organization’s activities.
Emergency Preparedness	A process was not developed or was inadequate to identify, prevent, prepare for, and/or respond to emergencies.
Training	Training was not available, timely (initially or refresher) or not adequate or verified to be effective to achieve requirements.

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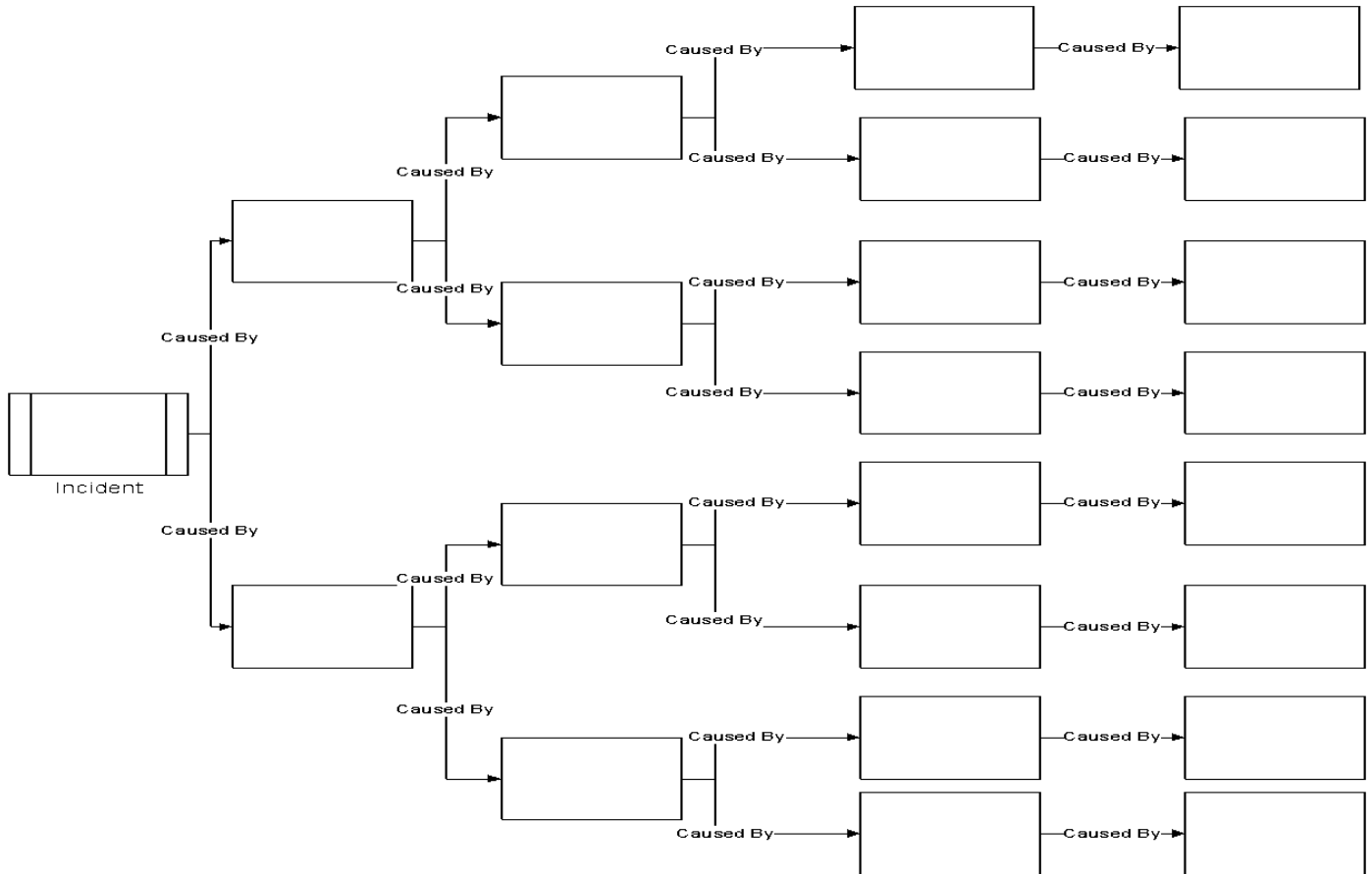


Communication	Communication was ineffective due to no communication; late communication, no shift change process or process not used.
Inspections, Assessments & Preventative Maintenance	Inspections & PM were <u>not</u> in accordance with procedures, manufacturer's or experience based recommendations or governing standards & were <u>not</u> adequate for the conditions. Exposure assessments or occupational health assessments were not conducted as required or did not identify the risks.
Documents and Records	The required documents (procedures) were not developed or maintained.
Incident Investigations	The incident investigation process is not in place or did not investigate or analyze previous similar events.
Corrective and Preventative Actions	The corrective and preventative action process was not implemented or did not address non-conformances, hazards, or new hazards to an acceptable risk level. The process did not ensure effectiveness of corrective and preventative actions.
Human Actions	Personnel actions, activities, and decisions were <u>not</u> in accordance with procedures, training, or standards. Examples: Taking shortcuts, Deliberate violation of procedure, Horseplay.

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Why Tree Form

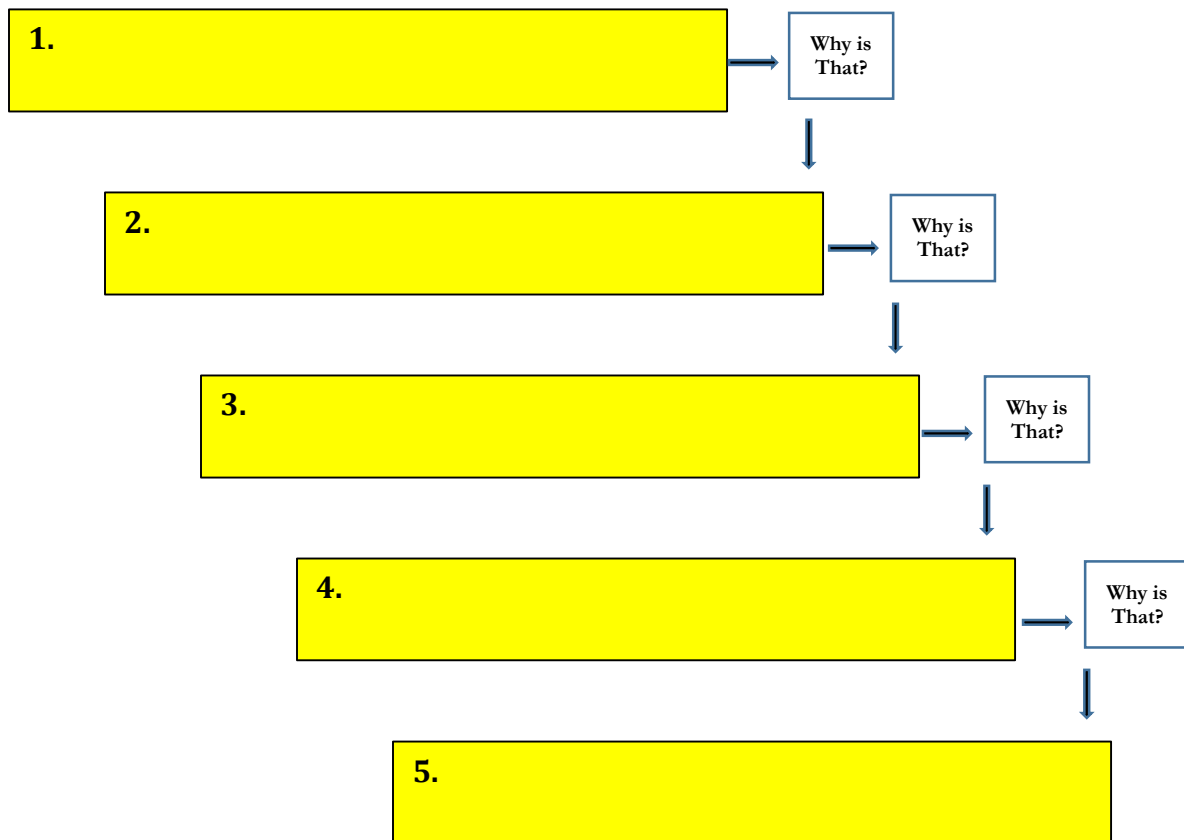


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5 Why Form

Define the Problem



The diagram illustrates the 5 Why process. It consists of five yellow rectangular boxes arranged in a descending staircase pattern from top-left to bottom-right. Each box is numbered 1 through 5. To the right of each box (except the last one) is a smaller white box with a blue border containing the text "Why is That?". A horizontal arrow points from each box to its corresponding "Why is That?" box. A vertical arrow points downwards from each "Why is That?" box to the next yellow box in the sequence.

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**Appendix C
Incident Report Form**

**Incident Investigation Report
University of Notre Dame**

Location:
Department Manager or Supervisor:
Date/Time of Incident:
Date Incident Discovered:
Type of Incident:
Cost of Property Loss:
Cost to Return to Service:
Date Investigation Began:
Witnesses:
Team Members:
Description of Event:

Time Line of Events:

Date	Time	Event

Findings / Information:
Root Causes:
Corrective and Preventive Actions:

Corrective Action	Responsible Person	Target Date	Completion Date

Approvals:

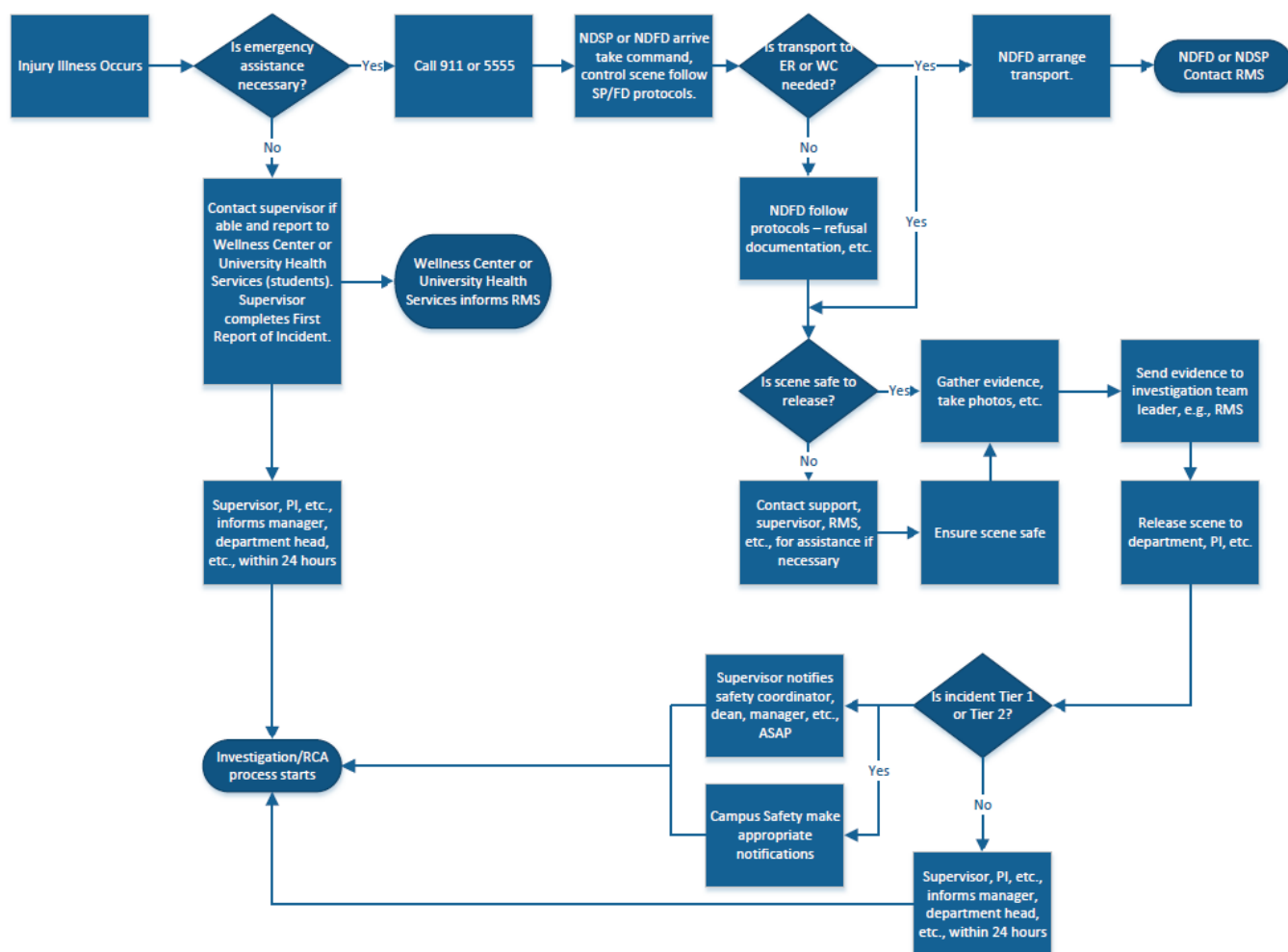
Name	Signature	Date

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Appendix D Flow Charts

Appendix D Incident Reporting Flow Chart



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Appendix D

Tier 1 & Tier 2 Incident Investigation Process Flow Chart

