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**Policy Number:** 105.125  
**Title:** A Workplace Accident and Injury Reduction Program (AWAIR)  
**Effective Date:** 3/3/20

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**PURPOSE:** To provide resources and support for maintaining a safe and healthy environment for employees/residents, offenders, visitors, volunteers, and contractors. All department employees share responsibility for a safe workplace.

**APPLICABILITY:** Department-wide

**DEFINITIONS:**

Near miss – a circumstance in which an event could have clearly caused an injury or illness.

Safety incident management system (SIMS) – a system for communicating very serious safety or environmental incident information. Examples may include fires; electrical-related, chemical/gas-related, or environmental incidents; and employee injury or fatality.

Trauma bag –for the purposes of this policy, a kit consisting of a collection of supplies and equipment for the purpose of responding to a medical emergency. This includes such examples as a “go bag,” squad bag, etc.

**PROCEDURES:**

- A. Responsibilities for initiating a workplace accident and injury reduction (AWAIR) program
1. The appointing authority is responsible for:
    - a) Allocating resources to maintain effective safety and health programs;
    - b) Designating employees to be responsible and accountable for safety and health programs;
    - c) Demonstrating concern and commitment for employee safety and health by promoting the proper attitude, setting a good example, and encouraging employee involvement;
    - d) Actively promoting safety and health programs through verbal and written communication; and
    - e) Annually reviewing the AWAIR program to ensure the program is operating as outlined in this policy.
  2. The supervisors/watch commanders are responsible for:
    - a) The safety and health of all individuals working or passing through their areas of supervision;
    - b) Knowing and enforcing the safety, fire, and sanitation codes, rules, and regulations that apply to their areas;
    - c) Monitoring for unsafe work practices or conditions, taking immediate action to correct those conditions (including completing and submitting a maintenance request form when necessary), and advising employees of the work practices or conditions;
    - d) Ensuring that each week safety, fire, and sanitation inspections occur in their areas of supervision;

- e) Actively participating in mandatory annual inspections performed by outside agencies;
- f) Actively participating in the investigation of work related injuries and illnesses, or near misses that involve employees;
- g) Ensuring the correct personal protective equipment (PPE) is available and used;
- h) Ensuring employees receive recurring safety training and additional training when new products, equipment, processes, or procedures are introduced into the workplace or when they discover unsatisfactory safety performance;
- i) Providing the safety administrator/designee with detailed information regarding the injuries, work related illness, accidents, and near misses;
- j) Completing the Injury, Illness, Incident Data form (IDF, link attached) and Agency Claims Investigation form (link attached) within 24 hours and sending them to human resources (HR) and the site safety administrator; and
- k) Taking the appropriate corrective action based on information from the accident investigation, safety inspection, or other observation.

3. Employees are responsible for:

- a) Their own safety and health, and the safety and health of co-workers, offenders, visitors, volunteers, and contractors;
- b) Maintaining good housekeeping habits within their assigned work areas;
- c) Observing all department policies, procedures, and operating guidelines related to the safe performance of their duties; and
- d) Immediately recording all accidents, injuries, illnesses, and near misses on an incident report or memo, and submitting it to their supervisors/watch commanders. If the supervisor is not at work at the time of the injury/illness, the employee must inform the acting supervisor or the watch commander.

B. Establishing, measuring, and maintaining AWAIR

1. Establishment

The appointing authority must:

- a) Ensure the written safety and health policies are followed;
- b) Develop safety and health operating procedures as needed and communicate those procedures to employees;
- c) Ensure that the warden's staff, administrative team, or the safety leadership team (SLT) participate in the safety committee meetings or activities (facilities only);
- d) Provide the necessary direction and training to all employees; and
- e) Hold supervisors and employees accountable for safety performance.

2. Measurement

The appointing authority must:

- a) Ensure completion of the Corrective Action Plan (CAP, link attached) for regulatory agency and other third-party inspections;
- b) Ensure the completion and follow-up of all safety, fire, and sanitation inspections;
- c) Review injury investigations; safety, fire, and sanitation inspection reports; and safety committee meeting minutes; and
- d) Ensure timely completion of corrective action(s) noted on the CAP resulting from inspections or incidents.

3. Maintenance

The appointing authority must:

- a) Review safety on a regular basis and address concerns with managers and supervisors as necessary; and
- b) Encourage employee involvement and active participation in all safety-related matters.

C. Methods to analyze, control, and identify new or existing hazards, conditions, and operations – facilities

1. Analyzing and controlling hazards

- a) Each site must employ a site safety administrator/designee, who is qualified in interpreting and implementing the requirements of all applicable fire, safety, and environmental health codes including such examples as: Occupational Safety and Health Administration (OSHA), Minnesota Pollution Control Agency (MPCA), Uniform Fire Codes, and Minnesota Department of Health codes.
- b) The site safety administrator/designee must review all IDF and Agency Claims Investigations forms (links attached) and must continuously monitor the OSHA injury/illness log to identify any new or existing hazardous conditions or practices.
- c) Safety committee
  - (1) The safety committee must meet at least quarterly to discuss job safety and health.
  - (2) The members must represent the various unions.
  - (3) The site safety administrator/designee is the chairperson.
  - (4) The committee must review employee injuries/illnesses, on an anonymous basis only.
  - (5) The committee chair or designee must distribute committee minutes to the administrative team, and post the minutes on iShare, available to all facility staff.
  - (6) The facility safety administrator retains committee minutes according to the retention schedule.

2. Identifying hazards

- a) Employees must inspect their work areas on a daily basis for unsafe practices and conditions.
- b) Facilities
  - (1) Supervisors/designees must conduct a weekly safety/fire/sanitation inspection of their areas of supervision. Weekly inspections are retained on iShare for three years.
  - (2) The safety administrator/designee must conduct a monthly safety/fire/sanitation inspection of the entire facility. The findings must be recorded and distributed to the supervisor responsible for each area.
  - (3) The safety administrator/designee must conduct a monthly food service inspection in accordance with Policy 302.300, “Food Service.”
  - (4) The warden or designee, associate warden(s), and a designated member of the facility administrative team must conduct monthly inspections of the living units to informally observe living and working conditions.
  - (5) The facility safety administrator requests that annual inspections be conducted by the Department of Health, State Fire Marshal, and various outside safety inspectors, to evaluate occupational safety, sanitation, and

life safety compliance. The facility safety administrator/designee must review each report and direct documented remedial action as appropriate, and send any follow-up remedial action to the facility warden and the facility health authority.

- c) Non-facilities
  - (1) The department safety administrator and supervisors must conduct safety/fire/sanitation inspections as needed.
  - (2) The department safety administrator must coordinate outside safety/fire/sanitation inspections as needed, or requested by the appointing authority, to evaluate occupational safety, sanitation, and life safety compliance. The department safety administrator/designee must review each report and direct documented remedial action as appropriate. The department safety administrator/designee must post the inspection on the appropriate iShare safety site.

D. Methods to analyze, control, and identify new or existing hazards, conditions, and operations – community services and central office

1. Analyzing and controlling hazards

- a) The department safety administrator ensures proper interpretation and implementation of all applicable fire, safety, and environmental health codes.
- b) The department safety administrator continuously monitors the safety performance of the department to identify any new or existing hazardous conditions, practices, or emerging trends.
- c) Non-facility safety committee
  - (1) The safety committee must meet at least quarterly to discuss job safety and health.
  - (2) The safety committee must represent various unions.
  - (3) The safety administrator/designee is the chairperson.
  - (4) The safety committee must review employee injuries/illnesses, on an anonymous basis only.
  - (5) The safety committee minutes must be distributed to the administrative team and all employees of central office and community services and are retained by the department safety administrator according to the retention schedule.

2. Identifying hazards

- a) Employees must inspect their work areas on a daily basis for unsafe practices and conditions.
- b) The department safety administrator and supervisors must conduct safety/fire/sanitation inspections as needed.
- c) The department safety administrator must coordinate outside safety, fire, and sanitation inspections as needed or requested by the appointing authority to evaluate occupational safety, sanitation, and life safety compliance. The safety administrator/designee must review each report and direct documented remedial action as appropriate.

E. Communication

1. Safety related concerns should be communicated in:
  - a) Safety committee meetings;
  - b) Administrative and supervisors meetings;
  - c) Safety, fire, and sanitation inspection reports and non-compliance reports on the Online Weekly Safety Inspections iShare link (adult and juvenile facilities, link attached); and
  - d) Staff training, as required for the work areas.
  
2. The safety administrator/designee ensures that Safety Data Sheets (SDS) are located in an accessible area where hazardous products are utilized (a master file of all SDS must be maintained at all sites).
  
3. Training
  - a) All safety-related mandatory training (e.g., OSHA) is designed by the safety administrator/designee and coordinated through the work site's employee development unit. Training is documented and electronically retained in the agency-approved electronic training management system.
  
  - b) All supervisors must receive appropriate periodic in-service or supervisory training.
  
  - c) Every new employee must receive required safety training at three different levels:
    - (1) All new employees must receive a safety training overview during the department orientation at central office, online, and at the work location where assigned. This training must be coordinated by employee development.
    - (2) All new employees must receive facility-wide safety training including, but not limited to: emergency plans, safety, fire safety, right-to-know, facility bloodborne exposure control plans, PPE use, and any other training the facility deems necessary. This training must be coordinated and approved by the facility's employee development unit.
    - (3) All new employees must receive workplace-specific new employee safety briefings. Supervisors must conduct this training in the workplace utilizing training plan outlines. The training must include specific right to know training, fire evacuation, general workplace safety and all other applicable standards.
  
  - d) Supervisors must observe a new employee's use of tools and equipment operation to verify the employee's safety practices are acceptable prior to assigning the employee to any task. Supervisors must ensure that the employee completes appropriate specialized safety training (e.g., confined spaces, lockout/tagout procedures, etc.) prior to being assigned to work requiring these skills.
  
  - e) Every supervisor is responsible to enforce safe work practices in the workplace, observing and immediately correcting unsafe behaviors by direct intervention. Supervisors must assist employees to recognize unsafe behaviors and demonstrate correct safety practices.

- f) Employees and contractors must train offenders/residents exclusively on all equipment, machines, chemicals, safety procedures and required PPE. This training must be initial, as well as ongoing when there are changes in equipment or processes or otherwise deemed necessary. The Offender Safety Training form (attached) must be used to document this training and must be kept in the offender's/resident's work file. A copy must also be given to the offender/resident and the form must also be uploaded into the offender's/resident's electronic file in the Offender Document Storage System (ODocS). Upon transfer or release from the work unit, the form is retained in the electronic file.

F. Accident investigation/work related injuries/illnesses

1. Supervisor/watch commander

- a) The supervisor/designee responsible for the area and/or activity where an employee has been injured or has become ill must:
  - (1) Ensure that the injured/ill employee receives the appropriate medical care;
  - (2) Ensure a staff escort is offered to the designated health care provider;
  - (3) Conduct an initial injury/illness investigation;
  - (4) Notify the safety administrator/designee (in person if available, or by voice mail, or e-mail);
  - (5) Complete the Injury, Illness, Incident Data form (IDF) and the Agency Claims Investigation form within 24 hours and immediately send them to HR and the safety administrator; and
  - (6) Take action to minimize the potential for reoccurrence of a similar injury/illness. The action is based on the supervisor's initial investigation and the safety administrator's recommendations.
- b) In the event of a work-related fatality or a work-related incident (injury/illness), the supervisor/watch commander must immediately contact the appointing authority, officer of the day (OD) and safety administrator/designee.

2. Safety administrator

The facility/unit safety administrator must:

- a) Notify the Minnesota OSHA compliance office in accordance with these guidelines:
  - (1) All work-related fatalities within eight hours;
  - (2) All work-related inpatient hospitalization within 24 hours;
  - (3) All work-related amputations within 24 hours;
  - (4) All work-related losses of an eye within 24 hours;
  - (5) Notify Minnesota OSHA compliance during regular business hours, 8:00 a.m. to 4:30 p.m., Monday through Friday, at 651-284-5050 or 1-877-470-6742; and
  - (6) Notify Minnesota OSHA compliance outside of business hours, on a weekend, or on a holiday through the federal OSHA office at 1-800-321-6742.
- b) Review and investigate, if necessary, all work-related injuries/illnesses, record findings, and determinations; and develop recommendations. The area of the incident should be photographed if possible. These recommendations must be forwarded to the injured employee's supervisor, human resources, and the associate warden of administration, when applicable.

3. Visitors and contractors
  - a) In the event of an incident, the injured/ill person(s) must be provided with basic first aid. The incident commander or designated staff must contact 911, if necessary, for emergency medical support.
  - b) All involved employees must complete an incident report. The report must include all the important details, such as, but not limited to, such examples as the names of the involved individuals, extent of the injuries, location, time of day, weather conditions, internal conditions (floors, stairs, steps, etc.), witnesses, and machinery and vehicles involved. The area of the incident should be photographed.
  - c) The incident report must be forwarded to the appropriate safety administrator/designee, in addition to the normal distribution indicated on the form for facilities.
  
4. Offender/resident – adult and juvenile facilities
  - a) All offender/resident injuries must be reported and the offender/resident must be offered medical assessment. The area of the incident should be photographed if possible, especially in the case of serious injuries requiring offsite medical treatment. Photographs of the area of the incident, and video of the incident, must be retained according to policy 301.147, “Security Video Recording Systems/Photographic Images.”
  - b) The Offender Accident/Injury Report (attached) must be completed for all offender/resident injuries by the first responding staff or contractor.
    - (1) The Offender Accident/Injury Report is not required in the case of sexual abuse, as defined and documented according to policy 202.057, “Sexual Abuse/Harassment Prevention, Reporting, and Response.”
    - (2) Distribution of the document
      - (a) Staff initiating the document must forward the original to the watch commander for review. All sections of the form must be completed.
      - (b) The watch commander reviews the form to ensure it is complete. If the form is not properly completed, the watch commander follows up with the appropriate first responding staff or contractor to ensure the form is completed.
      - (c) The watch commander distributes the Offender Accident and Injury Reports to designated health services staff, the safety administrator or designee, and records staff.
      - (d) Designated records staff forward the Offender Accident and Injury Report to the offender/resident electronic file.
  - d) In the event of a major incident, such as dismemberment, lacerations, burns, work-related chemical exposure, or death, the warden, officer of the day (OD), and safety administrator/designee must be contacted immediately.
  - e) The safety administrator/designee and the assigned supervisor/officer-in-charge (OIC) must conduct the follow-up investigation as necessary and submit the findings to the appropriate supervisors.

5. Safety Incident Management System (SIMS)
  - a) The SIMS Report is designed to thoroughly document and communicate environmental, health and safety incidents in a timely manner appropriate to the severity of the incident. By reporting and sharing near misses; or incidents with potential for serious injury, property damage, agency inspections, or environmental violations; other locations might be able to avoid similar problems.
  - b) Incident Types
    - (1) Fire Related: Smoke only, odor, overheat, melting, flash, 4" flame, 5-second flame, extinguished, etc.
    - (2) Electrical Related: Minor shock, 440 Volts, overheat, short, loose connector, failed emergency stops (emergency mains off or EMO), wrong wiring, reverse polarity, battery related, alternating current/direct current (AC/DC), etc.
    - (3) Chemical/Gas related
    - (4) Other Hazardous Energy: Mechanical, Pneumatic, 600 lbs. material fell into aisle way, hand pinched in gears, etc.
    - (5) Exceedance: Details on any exceeding of an environmental permit/license or control limit
    - (6) Explosion: Chemical, mechanical, water, electrical, etc.
    - (7) Environmental Equipment Failure
    - (8) Employee or Public Concern
    - (9) Agency Visit/Inspection/Action: Scope of visit/inspection/action, OSHA agency visit.
    - (10) Other (specific details required)
  - c) Responsibilities
    - (1) The watch commander/officer of the day/designee at the time of the incident must notify the facility safety administrator of a possible SIMS Incident as soon as possible. The time between the incident and the notification should not exceed 24 hours.
    - (2) The facility safety administrator must lead the incident investigation and complete the SIMS Report. The completed SIMS Report must be sent to the DOC safety director and the facility administration team for approval.
    - (3) The DOC safety director must send the approved SIMS Report to all facility wardens/designees and post it on the safety and occupational health iShare site.
6. Vehicle accidents/incidents
  - a) Employees must first ensure the initiation of an appropriate emergency response (e.g., local law enforcement, ambulance).
  - b) The employee must immediately notify the employee's supervisor or watch commander and complete an incident report.
  - c) Employees must notify the facility financial services unit in order to process additional vehicle accident documents as required. For additional information, refer to:
    - (1) Policy 104.4615, "Use of State Vehicles."



(2) State of Minnesota Department of Administration Risk Management  
Division Claims Reporting Guide.

The guidelines must be kept in the state vehicle.

- d) If an employee is unable to complete the forms due to injuries or inability to return to the employee's work site, the employee's supervisor must complete and submit the appropriate forms and reports.
- e) If an accident occurs in a personal vehicle while an employee is on duty in the performance of assigned duties, the employee must complete an incident report and immediately notify the supervisor or watch commander. If available, the employee must provide a copy of the police report. The employee must also report the accident to the employee's insurance company.
- f) If an injury or illness occurs, the supervisor or watch commander must complete an IDF form and Agency Claims Investigation form for each individual involved in the accident. All forms must be submitted to the safety administrator and human resources management within 24 hours. Serious accidents and/or injuries/illnesses involving a state vehicle or vehicle being rented by the state must also be reported to the appointing authority, OD, safety administrator/designee and appropriate supervisor.

G. Enforcement of safe practices and rules

- 1. Each employee is expected to acknowledge the employee's role and responsibility in preventing accidents, injuries, and illnesses to co-workers, offenders, visitors, volunteers, contractors and the employee's self. Any hazards, unsafe conditions, or activities, including imminent personal danger situations, must be immediately reported to the immediate supervisor, or to the safety administrator/designee if the issue is not addressed in a timely manner.
- 2. Each employee must be responsible for using all provided safety equipment and procedures in daily work. Failure to use this equipment and procedures may result in disciplinary action. Employees must cooperate in all safety and accident prevention programs.
- 3. The supervisor must complete a Safety Counseling Notice (attached) for unsafe actions or conditions and corrective actions.

H. Corrective action

- 1. Each employee is expected to communicate unsafe working conditions, violations of fire code or OSHA standards, and other identified safety hazards to the employee's direct supervisor and the facility safety administrator.
- 2. The area supervisor, with assistance of the facility safety administrator, is responsible for determining appropriate corrective action to eliminate unsafe working conditions, violations of fire code or OSHA standards, or other identified safety hazards and must communicate corrective action to appropriate staff responsible for eliminating safety hazards. The supervisor must also detail the corrective actions on the Corrective Action Plan Template found on the Compliance and Risk Management iShare site (link attached).

3. All corrective action must be completed within a reasonable period of time. Unsafe working conditions presenting an immediate threat to personal safety must be corrected before staff, offenders, visitors, or contractors are exposed to the hazard. Regulatory violations must be corrected within the specified time frame given by the inspectors. All other identified safety hazards that do not present an immediate threat to personal safety must be corrected within a maximum of 90 days.
  4. In the event that the staff person responsible for taking corrective action does not possess the resources needed to eliminate the identified safety hazard within 90 days, the responsible staff person must communicate the need for resources to the employee's direct supervisor.
  5. The direct supervisor must provide the needed resources or consult with the facility safety administrator to determine an alternative control method to eliminate the hazard.
- I. Trauma bags are available in designated areas of the facility based on need, and in non-facility locations. An automatic external defibrillator (AED) is available for use at each facility. Facility health services staff approve the contents of the trauma bags, procedures for the monthly inspection of the bags, and written procedures for the use of the bags by nonmedical staff. Safety staff, in consultation with health services staff, determine the number and locations of the trauma bags.

#### **INTERNAL CONTROLS:**

- A. Facility safety committee minutes, safety inspections and SIMS Reports are posted on the facility Safety iShare and retained according to the retention schedule.
- B. Offender Accident/Injury reports are retained in the offender's electronic file.
- C. Completed IDF forms and agency claim documentation are retained by human resources.
- D. All Offender/Resident Safety Training forms (105.125F) are uploaded into the offender's/resident's electronic file in ODocS.

**ACA STANDARDS:** 4-4212; 4-4329; 4-4390; 1-ABC-4E-30; 4-APPFS-3E-01; 2-CO-2A-02; and 2-CO-4D-01.

**REFERENCES:** [Minn. Stat. §182.653, subd. 8.](#)  
[Minn. Rule 5208](#)  
[Policy 103.240, "Return to Work Process"](#)  
[Policy 104.4615, "Use of State Vehicles"](#)  
[Policy 105.113, "Personal Protective Equipment \(PPE\)"](#)  
[Policy 105.150, "Right to Know Program"](#)  
[Policy 202.057, "Sexual Abuse/Harassment Prevention, Reporting, and Response"](#)  
[Policy 300.300, "Incident Reports"](#)  
[Policy 301.147, "Security Video Recording Systems/Photographic Images"](#)  
[Policy 302.300, "Food Service"](#)  
[State of Minnesota Department of Administration Risk Management Division Claim Reporting Guide.](#)

**REPLACES:** Policy 105.125, “A Workplace Accident and Injury Reduction Program (AWAIR),” 1/3/17, and revision issued 12/3/19 but not made effective.  
All facility policies, memos, or other communications whether verbal, written, or transmitted by electronic means regarding this topic.

**ATTACHMENTS:** [Injury, Illness, Incident Data form \(IDF\)](#) (external Department of Administration form)  
[Agency Claims Investigation form](#) (external Department of Administration form)  
[Online Weekly Safety Inspections iShare link](#)  
[Offender/Resident Accident/Injury Report](#) (105.125C)  
[Offender/Resident Safety Training form](#) (105.125F)  
[Safety Counseling Notice](#) (105.125G)  
Correction Action Plan (104.251B, on [Compliance and Risk Management iShare site](#))

**APPROVALS:**

Deputy Commissioner, Community Services

Deputy Commissioner, Organizational Services

Assistant Commissioner, Facility Services

Assistant Commissioner, Office of Strategic Planning, Implementation, and Employee Development