

NDSU

Risk Management Program

University Police

&

Safety Office

## A message from the President

### SAFETY POLICY STATEMENT

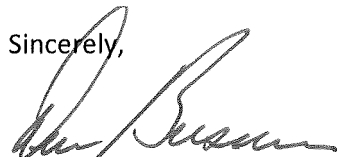
North Dakota State University is committed to providing a safe and healthy environment for all of its employees. To facilitate this objective, NDSU has established a safety and risk management program which places a high priority on the prevention of accidents and injuries, quality health care for injured employees and a return to work assistance program. With the employee's needs as the main objective, the program also aims to improve cost containment through safety training and claims management principles and practices.

Administrative and supervisory personnel are responsible for an expanded role in the development of and compliance with the safety and risk management program. They will provide the incentive and full support for all safety rules and procedures, training, and elimination of hazardous practices. They will keep fully informed on all health and safety issues to constantly review the effectiveness of the program. Only by doing this will employees have the total confidence that we are providing for their safety and health.

Supervisory personnel are directly responsible for the education and participation of all employees under their supervision for safety rules and procedures compliance in their job tasks; taking immediate corrective measures in the prevention of accidents, whether personal injury or property damage; and eliminating hazardous conditions and practices. The supervisor must enforce the established safety and risk management program by promoting a higher level of safety awareness through positive leadership and reinforcement. Supervisors will not permit safety to be sacrificed for any reason, be it production, time limitations, or unexpected problems.

The success of the safety and risk management program will be dependent on each employee's active participation and cooperation in every aspect of the program.

Sincerely,



Dean L. Bresciani

NDSU President

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## **North Dakota State University**

### **RISK MANAGEMENT PROGRAM**

#### ***PROGRAM ELEMENTS***

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NDSU does not discriminate in its programs and activities on the basis of age, color, gender expression/identity, genetic information, marital status, national origin, participation in lawful off-campus activity, physical or mental disability, pregnancy, public assistance status, race, religion, sex, sexual orientation, spousal relationship to current employee, or veteran status, as applicable. Direct inquiries to Vice Provost for Title IX/ADA Coordinator, Old Main 201, NDSU Main Campus, 701-231-7708, [ndsuoaa@ndsuo.edu](mailto:ndsuoaa@ndsuo.edu).

## **North Dakota State University Risk Management Coordinator**

The Vice President of Finance and Administration has appointed the Director of the University Police and Safety Office as the Risk Management Coordinator for North Dakota State University.

The Risk Management Coordinator will appoint the contact person for the North Dakota State Risk Management Program. The Director will be responsible for the full implementation of this program and by that authority has delegated responsibilities to the University Police and Safety Office.

The duties are outlined herein:

1. Develop and promote enforcement of the incident and injury reduction program.
  - a. Act as liaison between management and employees.
  - b. Develop and enforce Claims Management Program, including Return-to-Work
  - c. Maintain incident records.
2. Maintain statistical analysis of all incidents and claims.
3. Stay apprised of applicable federal, state and local safety regulations
4. Develop and promote enforcement of the safety policy.
5. Provide training guidelines for all personnel in their specific safety responsibilities.
6. Assign chairperson of Loss Control Committee.
7. Assign chairperson of the Accident Review Board
8. Develop and implement facility inspection program.
9. Provide guidance in the development of recommended safe operating procedures.
10. Assist management in identifying hazards of proposed operations and/or facilities.
11. Conduct research on technical safety concerns.
12. Conduct an annual review of University safety objectives and results.

## **NDSU GENERAL SAFETY RULES**

NDSU's General Safety Rules are considered minimum safety standards for usual work conditions and shall be adhered to by all who enter the NDSU workplace. All employees must be fully aware of the expectations of management regarding proper job performance. Special instructions and introductions of all loss control/safety rules and regulations must be made during the following critical periods.

1. General safety rules will be reviewed during general orientation and Baseline Safety Training.
2. Department rules shall be reviewed during the first day the employee is on the job.
3. Rules should be reviewed annually and posted in each department.

The following written General Safety Rules shall be posted in a conspicuous manner at fixed worksites and where possible in remote mobile locations. All personnel shall adhere to the following:

- Participate in **new employee training** immediately upon hire or as soon as possible thereafter.
- Participate in **mandatory Annual Baseline Safety Training, Supervisor Safety Training** and continuing education which is conducted on a departmental level; major programs included are:
  - [Health & Safety Policy #166](#)
  - General Safety Rules
  - Designated Medical Provider
  - Basic Principles of Ergonomics
  - Emergency Action Guide
  - Housekeeping, Slips, Trips, and Falls
  - Fire and Evacuation Procedures
  - Computer Security
  - Claims Management and Incident Reporting
  - Substance Abuse Program
  - Hazard Communications (Right to Know Law)
  - Electrical Safety
  - Bloodborne Pathogens/Exposure Control Plan
  - Personal Protective Equipment (PPE)
  - Material Handling
  - Departmental Safety Policies and Procedures
- Report all accidents, injuries, near misses or safety hazards in the workplace immediately to your supervisor (24 hr reporting requirement). Remember NDSU's Designated Medical Provider requirement.
- Immediately report all faulty electrical equipment to Facilities Management (231-7911). Faulty electrical equipment will be removed from service until the equipment has been repaired or replaced.
- Immediately report any dangerous situations or equipment to appropriate maintenance personnel or to Facilities Management (231-7911) or the NDSU Police (231-8998).
- Ask and insist on sufficient help before lifting or moving heavy objects. Follow proper procedure when lifting - bend knees and keep back straight, lift with weight close to the body and do not twist while lifting. Use mechanical devices!
- Remember - Horseplay, scuffling and other adverse safety acts are not allowed in the workplace.
- Always wear your safety belt when driving any NDSU leased/owned vehicle and comply with CDL requirements, if specific to your job position. Do not ride in the back end of a pickup truck.
- Always wear your appropriate personal protective equipment in accordance with the job operation that you are performing. This is a mandatory requirement and the responsibility of each department.
- Participate in proper housekeeping; this is mandatory in all departments.
- Comply with the [Drug and Alcohol Policy: #155](#) as set forth by University System Policy.
- "No Smoking" in or on any NDSU facility or property - [Policy #153](#)
- In the event of a fire, **sound the alarm and evacuate the building.**
- Chemicals and other hazardous substances shall only be used by persons familiar with and trained in the hazardous characteristics.

- All farm related equipment, power tools, buildings, associated vehicles, and equipment used in agriculture production or animal care are to comply with general safety regulations as outlined by the University Safe Operating Procedures.
- All small appliances and hand tools are to be kept in good working order and inspected regularly by the supervisor for signs of wear and inappropriate use.
- Stairways, aisles, and doorways are to be maintained in compliance with building safety and fire codes.
- Proper height devices, such as ladders, scaffolds or stools, will be used. When appropriate, seek assistance of a second person and wear appropriate fall protection equipment.

## **NDSU INCIDENT, INVESTIGATION & NEAR MISS PROGRAM**

To promote a safe work environment, every incident/near miss, and work related illness must be reported immediately to the supervisor. NDSU does have a 24-hour reporting requirement and the employee must also cooperate with the investigation process.

### **Incident – No Medical Treatment:**

- If you **do not** need immediate medical treatment, complete the employee section of the NDSU [Incident Report Form](#) and give to your supervisor or appropriate Administrative Personnel immediately. This incident report serves as a record of notification to your employer pursuant to N.D.C.C. 65-05-1.3 in the event you should require medical treatment at a future date.
- The Claims Management Specialist will forward a copy of the incident report to the State Risk Management Division. If the incident does not result in a worker's compensation claim, the incident report will be used for loss control purposes.

### **Incident – With Medical Treatment:**

- Any event causing injury and requiring medical treatment by a medical provider must be reported immediately to your supervisor, and you must follow all reporting requirements as stated above.
- Immediately following medical care with the Designated Medical Provider, the employee will contact the Claims Management Specialist at the University Police and Safety Office.
- The injured employee will complete all report forms in their own handwriting and in the presence of the Claims Management Specialist or authorized representative.
- The injured worker is responsible for returning a medical report or C3/workability form to their supervisor and the Claims Management Specialist after each medical visit. That includes any visits to a referred provider.
- Follow all Claims Management Procedures.

### **Investigation:**

- The supervisor will be responsible for investigating the incident and completing the [Supervisor Investigation Report](#).

- The supervisor will attempt to determine the cause of the incident from the information gathered through “actual investigation” (who, what, where, how, why and when?).
- The supervisor will take immediate corrective action or refer to the proper authorities to prevent similar injuries from occurring (remove the hazard, repair, replace or retrain).
- The investigative report shall be documented and forwarded to the Claims Management Specialist at the University Police and Safety Office.
- The Loss Control Committee shall review all incident reports and determine if appropriate corrective action to prevent recurrence was taken.
- The Claims Management Specialist and supervisor shall determine if the incident was caused by insufficient policy or by not complying with existing policy, and shall also determine if training was adequate.
- The [Initial Incident Report](#) and the [Supervisor Investigation Report](#) will be maintained by the Claims Management Specialist.

**Near Miss/Potential Hazard:**

Near misses are events/occurrences that do not involve injury or property damage but have the potential for injury or property damage. These “close calls” are indications that something is not right in the workplace. It is very important that near misses are reported and corrective action taken immediately.

- Incidents are often preceded by some kind of near miss involving unsafe conditions, or someone’s unsafe actions.
- Near miss incidents should serve as “wake up calls”.
- The overall approach is to make the process of reporting near misses a positive experience that benefits everyone in the organization. View near miss reports as opportunities to prevent an incident rather than to place personal blame or find fault.
- Employees need to be involved in the investigation of the near misses and the implementation of the corrective actions.
- Near misses deserve the same investigative attention as an incident. Near miss reports can be filled out by the people involved in, or observing the near miss and then be given to a supervisor or sent to the University Police and Safety Office (UP&SO), Claims Specialist.

**Document all Near Misses.**

- [Near Miss Report Form](#) is available to all employees on the UP&SO Web Site. The report form should record the following information:
  - Date, time and specific location of the incident/potential hazard.
  - Detailed description of the incident/potential hazard. Description of the factors that contributed to the near miss (unsafe conditions, unsafe actions, or a combination of the two).

- Upon receipt of a near miss report, the supervisor will conduct an investigation. The following topics may be included in this follow-up report:
  - Names of all people involved in and witnessing the near miss.
  - Determination of all causes (primary and contributing).
  - Corrective actions needed and taken.
  - Specific individual or teams responsible for each corrective action (work order).
  - Specific completion date expected for each corrective action.
  - A place for the supervisor or other manager to sign off, indicating the corrective actions have been satisfactorily completed. (see Near Miss Report Form)

## Claims Management Program

The primary purpose and goal of the Claims Management Program is to assist the employee in every phase of the claims process from the time of the injury until the employee reaches maximum medical improvement. This may include assistance with claims processing, transitional duty, and retraining. All employees shall be educated regarding worker's compensation procedures immediately upon hire and annually thereafter.

When an NDSU employee seeks medical attention for a work related injury/illness, the supervisor will direct or accompany the injured employee to the initial medical treatment. If the supervisor is not available, the Claims Management Specialist will direct the injured employee to the initial medical treatment. In case of an emergency, call the ambulance (911) or campus police (231-8998) immediately.

The Risk Management Division (RMD) of the Office of Management and Budget (OMB) administers the State Agency Worker's Compensation account. This allows RMD to designate health care providers to treat your workplace injuries and illnesses. Employees may elect to be treated by a different provider by completing the [Designated Medical Provider form](#) and returning it to the UP&SO prior to an injury occurrence.

- **Designated Medical Provider Law:**

NDSU understands that the Office of Management and Budget and Workforce Safety and Insurance, under House Bill 1221, requires the University to select and direct employee medical care/treatment for workplace injuries. Preferred Providers means a **“Designated Medical Provider”** or group of providers of medical services and can be individuals, clinics, hospitals, or any combination thereof. **ND Workforce Safety and Insurance may not pay for medical treatment** by another provider unless a designated provider refers you, or you notify us in writing prior to an injury that you want to be treated by a different provider. You must also name your different medical provider. **Emergency care** is exempt from the Designated Medical Provider requirement.

NDSU will inform all employees of our intent in complying with this law. We will also post our provider's name in conspicuous sight at the workplace and include it in the new employee orientation and mandatory annual baseline training component under Claims Management.



Our Designated Medical Providers are familiar with our workplace and understand our desire to give our injured employees the best treatment available and return them to work as quickly as possible. They are also a valuable part of the required NDSU Return to Work Program that provides transitional work for our injured employees. For information on your Designated Medical Provider, please refer to:

- The annual notice of Policies Covered under ND RMP that has been provided to all NDSU employees for your specific Designated Medical Provider.
- Call the UP&SO at 231-7759
- The UP&SO web site – [Forms - Risk Management Policies/DMP Forms](#)
- If you are injured and seek medical care:
- Notify your supervisor immediately (at the time of injury or have a colleague contact them while you are in transport to the medical facility).
- Obtain necessary medical care from a designated provider as required by OMB/Workforce Safety & Insurance as listed above:
  - **Fargo – Sanford Health Occupational Medicine, 3838 12<sup>th</sup> Ave North**
  - **Others - As directed in the Designated Medical Provider Law (above)**

- **Claim Filing:**

The Claims Management Specialist in the University Police & Safety Office will guide and direct the injured worker through the process. This will include the responsibilities and cooperation of the injured worker in the Return to Work Program.

- Complete the NDSU Incident Report Form (within 24 hrs.) and cooperate with the Supervisor's Investigation.
- The Claims Management Specialist will provide the necessary Workers Compensation forms and assist the employee in completing them and forwarding to Workforce Safety & Insurance.
- All Workforce Safety & Insurance Forms must be completed in the employee's handwriting.
- Injured employees are required to return a workability form (C3) or medical report after each and every medical visit. The provider must provide medical opinion and not make employment decisions ("off work" or "no work").

**Medical Management:**

It is the policy of NDSU to return all employees injured in the course of their employment to some form of gainful employment as soon as possible, as long as it is consistent with good medical care.

- Injured workers are required to follow medical restrictions 24 hours a day/7 days a week, and not to work beyond the established work assignment.
- Notify the Claims Management Specialist and supervisor if referred to another provider/specialist.
- Notify Claims Management Specialist and supervisor if there is any change in the claims status (limitations, restrictions and capabilities).
- Comply with the NDSU Return to Work Program.

### **Return to Work Program**

It is the policy of NDSU to return all employees injured in the course of their employment to some form of gainful employment as soon as possible, as long as it is consistent with good medical care. When the Claims Management Specialist determines, through effective employee and physician contact, that the injured employee has work capabilities, every reasonable effort will be made to bring the employee back to work. If necessary, temporary transitional work shall be provided.

Temporary transitional work shall be offered in writing (Transitional Job Offer Form) to clearly define job duties for the injured employee and supervisor. If no position exists that accommodates the injured employee's capabilities, a position may be created by the Claims Management Specialist or designee. A job description shall be written which stipulates the essential functions of the transitional job and takes into consideration the nature of the illness and/or injury.

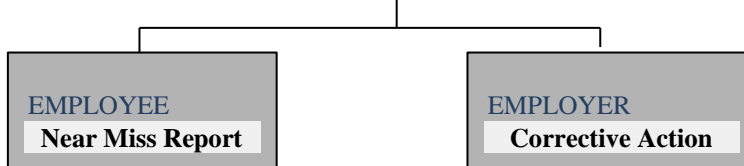
Under no circumstances shall an injured employee be requested to perform any activity that exceeds their on or off the job capabilities or restrictions as outlined by the medical provider. However, it is important that the employee understand that it is their responsibility to follow the restrictions. If asked to perform a task that exceeds their restrictions, the appropriate response would be to indicate that the particular task exceeds their restrictions and that they cannot do it. If the employee violates restrictions, they will be subject to the disciplinary process.

All employees in a transitional work position are subject to the same policies and procedures of the University as the rest of the staff observe. In addition, under ND Workforce Safety & Insurance laws, an employee who refuses the offer of a temporary transitional job, after being certified by their health care provider to perform such work, is no longer eligible to receive worker's compensation benefits for lost wages.

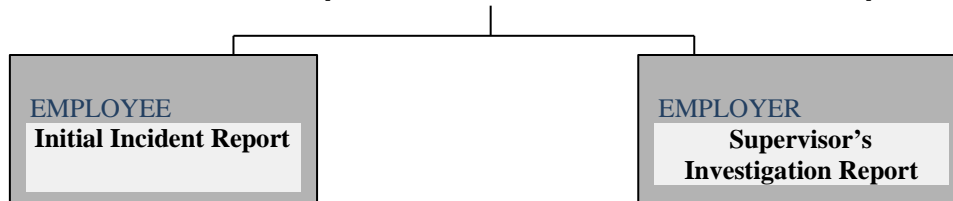
Changes in transitional duty are based on the treating medical provider's documented physical limitations. The employee must bring an updated physical assessment form to their supervisor and Claims Specialist after each appointment to evaluate the possibility of changes or increase in duties.

# NORTH DAKOTA STATE UNIVERSITY WORKERS COMPENSATION CLAIMS MANAGEMENT CHART

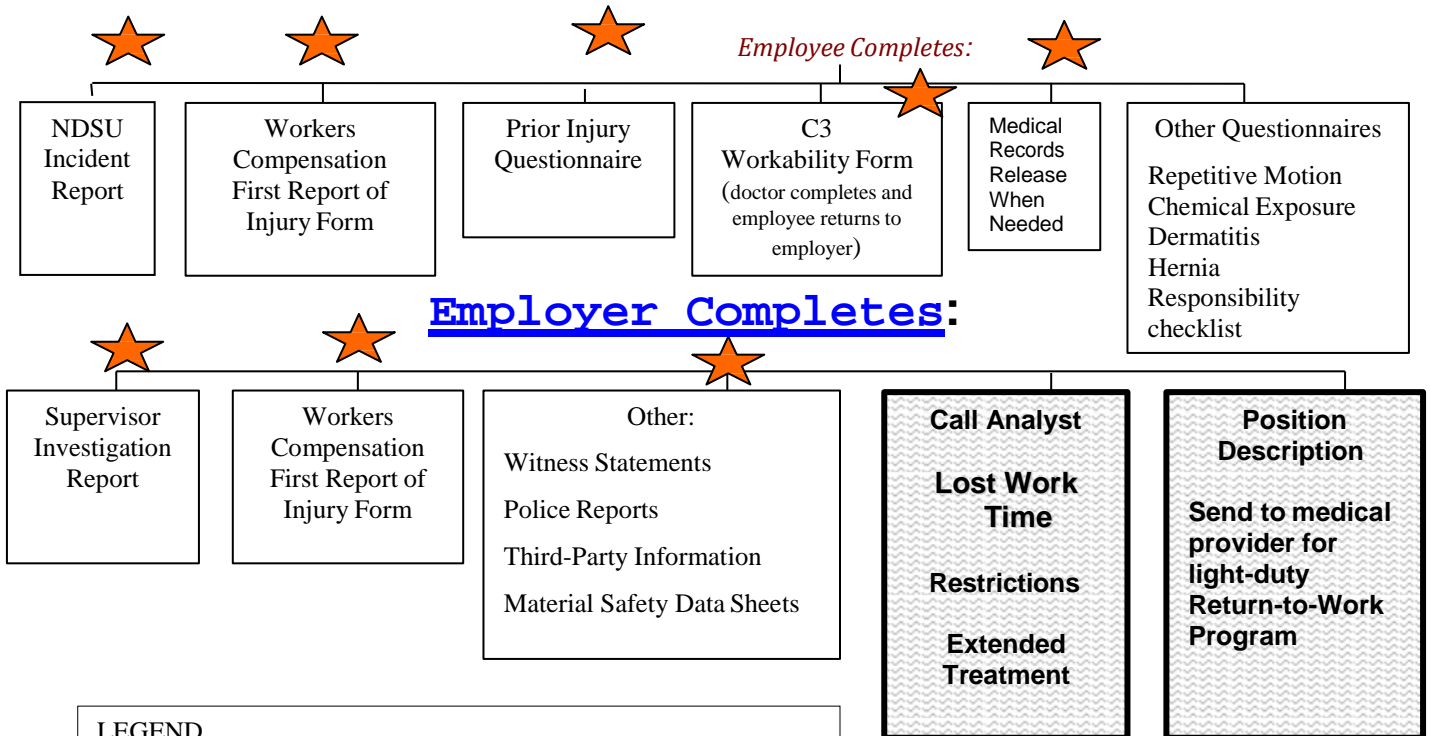
## NEAR MISS



## INCIDENT (with NO medical treatment)



## INCIDENT (WITH medical treatment)



### LEGEND

- For NDSU files and available for WSI review
- Send completed forms to the WSI and maintain a copy for NDSU files
- Procedures to follow



Complete this form on every claim

## NDSU Designated Medical Provider

NDSU understands that the Office of Management and Budget and Workforce Safety and Insurance, under North Dakota House Bill 1221, requires the University to select and direct employee medical care/treatment for workplace injuries. Preferred Providers means a “**Designated Medical Provider**” or group of providers of medical services and can be individuals, clinics, hospitals, or any combination thereof. **Workforce Safety and Insurance may not pay for medical treatment** by another provider unless a designated provider refers you, or you notify NDSU in writing prior to an injury that you want to be treated by a different provider. You must also name your different medical provider. **Emergency care** is exempt from the Designated Medical Provider requirement.

Our Designated Medical Providers are familiar with our workplace and understand our desire to give our injured employees the best treatment available and return them to work as quickly as possible. They are also a valuable part of the required NDSU Return to Work Program that provides transitional work for our injured employees.

For information on your Designated Medical Provider, please refer to:

- The Annual Notice of Policies Covered under ND RMP that has been provided to all NDSU employees for your specific Designated Medical Provider.
- Call the University Police and Safety Office at 231-7759
- The University Police and Safety Office web site – [Forms - Risk Management Policies/DMP Form](#)

## Position Description with Essential Functions

The North Dakota University System (NDUS) office has established a standardized Position Description for its constituents, which includes NDSU. These essential job functions and job descriptions have been identified and developed for each job category, and will assist in properly placing workers in jobs and also returning injured workers to temporary modified/transitional duty jobs. Upon employment, the employee is given a copy of his/her job description:

- Part A of that form requires information regarding the duties/responsibilities and a task inventory of the position.
- Each duty/responsibility identified is indicated as either essential or secondary for ADA compliance.
- The task inventory lists the specific tasks involved in accomplishing that duty/responsibility.
- It also includes a description of the physical demands associated with the duty/responsibility.
- Working safely shall be identified as 100% of the time.

The position descriptions at NDSU are continually being revised to meet ADA compliance and will follow one of three schedules:

- Reviewed annually by the Department/Unit Manager and the employee during the annual responsibility review.

- When a position is in the recruitment process.
- If the employee is injured at work and files a worker's compensation claim and there is a need for modifications of a position description.

Each schedule maintains the essential functions and physical demands for a position, and these may be modified for the return to work program required by OMB/WSI. A copy is also available for review in the Human Resources Department and specifically in each department.

## Emergency Procedures

### [Section 164: Emergency Procedures](#)

The purpose of the following emergency procedures is to provide for an immediate and orderly response to situations so the well-being of faculty, staff, students, and visitors will be assured.

#### 1. EMERGENCY SERVICES

##### 1.1

Ambulances/Fire/Police/Sheriff: **911**

When dialing, remain on the line, give location and describe problem.

##### 1.2

Employees should become familiar with evacuation procedures and guidelines in the ["Personal Safety & Security on the NDSU Campus" handbook](#) with additional information available on the [Emergency Response Guideline Poster](#).

##### 1.3

The Communication Call Center will serve as an Emergency Control Center in the event of campus emergencies.

## Safe Operating Procedures

North Dakota State University consists of a very diverse work environment with varied job tasks and associated hazards. Safe Operating Procedures or Standard Operating Procedures (SOP's) are written for these specific hazards to describe the use of appropriate methods of control, such as engineering, work practices, administrative controls, and appropriate personal protective equipment. SOP's will be developed and written as new hazards are identified or as new procedures are developed for existing processes. Each department is responsible for identifying the chief hazards pertinent to their employees and the written procedures will be outlined in the table of content or index from the department specific manuals, other facility manuals and the University Police and Safety Office web-site.

Supervisory personnel are directly responsible for the education and participation of all employees under their supervision for safety rules and procedure compliance, taking immediate corrective measures in the prevention of incidents/near misses, and eliminating hazardous conditions and practices. The supervisor must also enforce the established safety and risk management program by promoting a higher level of safety awareness and holding everyone accountable and responsible for a safe work place.

**Supervisors will not permit safety to be sacrificed or compromised for any reason, and are required to stop any activity which may create a life-threatening situation.**

NDSU has identified in our facilities, certain operating procedures, processes and tasks that represent chief hazards. Some of the written procedures that have been developed to address these potential hazards and are listed below:

### **Safe Operating Procedures**

- Hazard Communication/Right to Know Law
- Bloodborne Pathogens/Exposure Control Plan
- Ergonomics/Material Handling
- Electrical Safety
- Fire and Evacuation Program
- Housekeeping
- Lockout/Tagout Program
- Slips, Trips, and Falls
- Personal Protective Equipment
- Substance Abuse Program
- Computer Security
- Others: [Safe Operating Procedures](#)
- *Department Specific Procedures*

NDSU departmental written safe operating procedures will be updated and reviewed on a regular basis by the respective departments.

## **NDSU Ergonomics Program**

### **I. Introduction**

Ergonomics is the science of workplace design that takes steps to make the job fit the person rather than the person fitting the job. The idea behind Ergonomics is to reduce physical strain by designing or modifying the work station, work methods and tools in an attempt to eliminate excessive stress, and to decrease the number of repetitive motions needed to get the job done.

### **II. Purpose**

To recognize, identify, and effectively eliminate or reduce work-related Musculoskeletal Disorders (MSD's) and hazards to which employees may be exposed, provide training through a work place analysis; prevent pain and suffering as well as costs associated with ergonomic related illnesses/injuries.

### **III. Goals**

1. To enhance human performance while improving health, comfort, safety and job satisfaction.
2. To decrease level of risk for ergonomic injuries to employees
3. To reduce workers compensation claims costs

### **IV. Management Leadership & Employee Responsibility**

1. Policy Statement: To establish a comprehensive safety policy that facilitates the protection of life and property by providing a safe University work and learning

environment that is free of recognized hazards that could cause injury, illness or property damage. The University President's Safety Policy Statement is that commitment to provide a safe and healthy environment for all of its employees. With the employee's needs as the main objective, this program also aims to improve cost containment through safety training and claims management principles and practices.

**a. Management/Program Administrator will:**

- 1) Assign and communicate responsibilities for setting up and managing the ergonomics program so managers, supervisors, and employees know what is expected of them and how they are held accountable for meeting those responsibilities.
- 2) Provide those persons with the authority, resources, information, and training necessary to meet their responsibilities.
- 3) Examine existing policies to ensure they encourage reporting and do not discourage reporting.
- 4) Inform supervisors to receive and respond promptly to reports about signs and symptoms of MSDs, MSD hazards and recommendations. Take action, where required, to correct identified problems.
- 5) Communicate regularly with employees about the program and their concerns about MSDs. This shall be accomplished through safety and health committees, postings, newsletters, staff meetings and routine safety training.

**b. Supervisors will:**

- 1) Enforce reporting of signs and symptoms of MSDs and MSD hazards and to make recommendations about appropriate ways to control them.
- 2) Reporting procedures include notification of immediate supervisor, ergonomic request forms and medical management.
- 3) Provide prompt response in their reports and recommendations.
- 4) Provide access to information about the ergonomics program and make the program available to all employees for review.
- 5) Provide methods to become involved in developing, implementing, and evaluating:
  - a) Job hazard analysis and control
  - b) Training
  - c) Employee involvement by enlisting comments, recommendations, and suggestions and forwarding them to the designated program administrator for action and response.

**c. Employees will:**

- 1) Attend mandatory training.
- 2) Report ergonomic risks and hazards immediately.
- 3) Report every incident, injury, illness and near miss immediately to their supervisor and the Safety Office.
- 4) Review and comply with the Ergonomics Program and control methods
- 5) Provide comments, recommendations, and suggestions and forward them to the designated program administrator for action and response

## V. Procedure

The purpose of the job analysis is to recognize and identify MSD hazards/risk elements to provide information for effective control measures. When MSD hazards/risks are identified, control measures will be implemented to eliminate or control the hazards/risk to the extent feasible.

1. The following points must be considered when analyzing a job for ergonomic problems:
  - a. Weight of the objects being handled
  - b. Repetitions of certain movements or tasks
  - c. Rate/duration of job task
  - d. Appropriateness of tools/equipment
  - e. Body position and mechanics
  - f. Force of grip and amount of exertion
  - g. Environmental conditions
  - h. Training
2. The second step in implementing the work place analysis will be a review of the injury and illness records.
3. The third step will include observation of employees performing their work tasks. Some typical risk factors may include improper lifting techniques, excessive repetition and prolonged activities, exposure to vibrations and excessive force.
4. Obtain information from employees related to repetitive motion symptoms and risk factors. The earlier you can identify a repetitive motion problem, the more likely you are to do something about it. Pay attention to warning signs such as pain and soreness. Be alert to the symptoms of numbness, tingling and apparent loss of strength of muscles.
5. Symptoms can occur in any part of the body, but appear most frequently in the muscles and tendons of the upper limbs. The results are fatigue and inflammation. This can sometimes be misdiagnosed as they can be caused by other medical related problems. Eye strain and discomfort are also problems that can be avoided.

Fatigue or tiredness in muscles or joints is your body's way of telling you to change your pattern of working. Doing the same motion over and over or using certain types of positions or grips can cause pain and inflammation. Some of the most common conditions and concerns are:

- a. **Tendonitis** - inflammation of the tendons. Can be caused by performing repeated motions incorrectly or in an awkward position.
- b. **Tenosynovitis** - a condition in which both the tendon and its covering become inflamed. This can be caused by improper or repetitive bending of the wrist.
- c. **Carpal Tunnel Syndrome** - painful squeezing of the median nerve in the wrist. Causes loss of grip, muscle pain, weakness, numbness in the thumb and first two fingers.
- d. **Cumulative Trauma Disorders (CTD's)/ Repetitive Motion Injuries (RMI's)** - are defined as those disorders that are caused or aggravated by repeated exertion or movements of the body.



- e. **Risk Factors** - are elements or components of a task that increase the probability of cause or contribution to musculoskeletal disorders (*MSDs*). *Musculoskeletal disorders* are injuries and disorders of the muscles, nerves, tendons, ligaments, joints, cartilage and spinal disks. Common symptoms include:
  1. Sore and painful joints. Pain in wrists, shoulders, forearms, knees and legs
  2. Pain, tingling or numbness in hands, palms or feet. Fingers or toes turning white
  3. Back or neck pain, headaches, dry burning eyes and blurred vision
  4. Swelling or inflammation, stiffness or burning sensation
  5. Loss of muscle function, strength or coordination and decreased movement
  6. Difficulties performing daily activities

When any of these symptoms appear, it is time to evaluate the job and look for ways to limit repetitive motions. Immediately report these symptoms to your supervisor, complete an incident report, and schedule an evaluation through the University Police and Safety Office. If the problem persists or reoccurs, medical attention may be needed.

## 6. Occupational and Personal Risk Factors that may lead to Musculoskeletal Disorders (MSDs):

- a. Repetition:
  1. Long or concentrated hours of keyboarding or using a mouse
  2. Head movement between copy and monitor - eyes refocusing
- b. Awkward Positions:
  1. Repeated or prolonged reaching, twisting, bending, kneeling, squatting
  2. Working overhead with your hands or arms - bent wrists
  3. Neck rotation or side bending - slouching
  4. Staying in a fixed position for long period of time
- c. Forceful Exertions:
  1. Lifting, carrying, pushing, pulling, poor body mechanics
  2. Pinching, grasping, keying, mousing, writing, stapling, hammering, etc.
- d. Contact Stress:
  1. Resting or pressing the body against a hard or sharp edge which causes too much pressure and may cause damage to nerves, tendons and blood vessels
- e. Vibration:
  1. Operating vibrating tools such as sanders, grinders, chippers, routers, drills and other saws can lead to nerve damage
- f. Environmental:
  1. Heat, cold, ice, water, humidity, etc.
  2. Seating, work surface, storage, lighting, air quality, noise, privacy
  3. Psychosocial Issues:
    - a. Interaction with co-workers, job satisfaction, time pressures, performance measures
- g. Smoking:
  1. Constricts blood vessels, reduces oxygen to body, coughing (mechanical strain)

- h. Medical Factors:
  - 1. Previous injury, illness or hereditary and congenital conditions
- i. Other contributing factors that can result in similar symptoms:
  - 1. Age and gender – women are more susceptible than men
  - 2. Pregnancy and contraceptives
  - 3. Hobbies, sports activities, fishing, etc.
  - 4. Diseases and illnesses (diabetes, kidney disease, lupus, hypothyroidism, MS, etc.)
  - 5. Obesity
  - 6. Smoking/tobacco
  - 7. Alcoholism and drugs
  - 8. Sleeping postures

## 8. Procedures for Prevention & Control

Appropriate steps must be identified to correct, control, or eliminate the ergonomic hazard. Those at NDSU are as follows:

- a. **Engineering Controls** – are the physical changes to jobs that control exposure to MSD hazards, and where feasible, are the preferred method for controlling MSD hazards.
  - 1. Work Station Design: Workstations shall be made easily adjustable when possible; either designed or selected to fit the task, so they are comfortable for the employee.
  - 2. Work Method Design: Work methods shall be designed to reduce static, extreme or awkward postures, repetitive motion and excessive force.
  - 3. Tool and Handle Design: A variety of sizes will be available to achieve proper fit and reduce ergonomic risk. The appropriate tool shall be used to do a specific job.
- b. **Work practices** - provides control based upon the behavior of managers, supervisors and employees to follow proper work methods. It will include several elements which will require education and hands on training.
  - 1. Proper work techniques: Includes training on the correct lifting procedures and correct use of ergonomically designed work stations, fixtures and tools.
  - 2. Employee conditioning: Includes a gradual “break-in” training period or a gradual increase in duties and job requirements until the maximum workload, specific to the job, is attained. This would include employees reassigned to new jobs.
  - 3. Inspections: Shall be conducted periodically to ensure safe operating procedures are being followed.
  - 4. Maintenance: Will be the preventive program for monitoring mechanical equipment and tools to ensure they are appropriate for the job or working conditions and are in good working order.
  - 5. Feedback: Will provide a method for employees to notify management about conditions with potential ergonomic hazards.

- c. **Administrative Controls** - are procedures and methods, typically instituted by the employer to assist in reducing the duration, frequency and severity of exposures to ergonomic hazards by altering the way in which work is performed. Options include:
    - 1. Pacing - reducing the total number of repetitions per hour.
    - 2. Breaks\_ - providing short rest periods to relieve fatigue. Remember the 20-20-20 Rule. Every 20 minutes, take a 20 second break, look 20 feet away and exercise
    - 3. Job rotation - periodically rotating to a different task involving different movements.
    - 4. Personal Protective Equipment\_- Personal protective equipment (PPE) should never be used as a substitute for engineering, work practices or administrative controls. All PPE must be used in conjunction with other hazard control methods. The management element of the PPE program is the evaluation of equipment, procedures and processes needed to protect against the hazard.
- 9. Medical Management** – Prompt and effective medical management will be provided whenever an employee has identified signs or symptoms of an ergonomic injury or illness.
- a. Medical management will include an assessment or evaluation of the work space and the employee’s symptoms. It will also include establishing work restrictions and reasonable accommodations based on the Designated Medical Provider’s (DMP) report and recommendations. Symptoms may include the following:
    - 1. Numbness, tingling or burning in the fingers
    - 2. Pain in the wrists, neck, shoulders, back, legs or feet
    - 3. Loss of grip, cramping or muscle weakness
    - 4. Fatigue or abnormal tiredness
  - b. Employees are instructed to report ergonomically related symptoms to their supervisors and complete the NDSU Incident Report within 24 hours of the employee’s first signs or symptoms. The completed form will be filed with the NDSU Claims Specialist within 24 hours.
  - c. A request for an Ergonomic Assessment is recommended immediately and if medical treatment is necessary, a WSI First Report of Injury must be filed with the Claims Specialist proceeding the first date of medical treatment. **(REMEMBER THE 24 HOUR REPORTING REQUIREMENT)**.
  - d. Information regarding the employee’s job will be provided to the DMP to help ensure medical management is effective
- 10. Training** – Educate all employees about MSD signs and symptoms, risk factors and control measures. Include mandatory supervisor training on basic awareness and the identification of ergonomic risks.
- a. *Baseline Safety Training:*
  - b. *Ergonomic Training:*
  - c. *Supervisor Training:*

**11. Program Evaluation** – evaluation of the ergonomics process and controls will be conducted periodically, and at least once a year, to monitor administration, management and compliance with requirements.

**12. Points to Remember**

- a. Adjust your work area to fit you. A comfortable work environment benefits both you and your employer.
- b. Request an assessment from the Safety Office.
- c. Stretch every 20 to 40 minutes to relieve physical tension and body aches. Stretching can increase your productivity.
- d. Change your work pattern so you are not doing the same motion over and over.
- e. If you can, lean or sit rather than stand for long periods of time.
- f. Work with your wrists straight – neutral posture.
- g. Avoid twisting and bending at the same time.
- h. Lift by using your legs and buttocks. Bend your knees and keep your head, back and hips in a straight line. Never bend over to pick anything up - bend at your knees first.
- i. Request assistance when necessary and use mechanical assist when possible.

It is everyone’s responsibility to help identify poor ergonomic practices in the workplace. Managers, supervisors, employees, engineers, and health professionals shall work as a team to correct existing ergonomic problems and train in early identification of potential problems.

**REPORT ANY PHYSICAL SIGNS OF ERGONOMIC STRESS TO YOUR SUPERVISOR OR CLAIMS SPECIALIST IMMEDIATELY.**

Use the request for Ergonomic Assessment Form.

[Ergonomic Assessment Request Form](#)

[NDSU Incident Report Form](#)

**NDSU Ergonomic Guide Attached**



## NDSU Ergonomic Guide

Problem	Possible Causes	Try This!
<b>Headaches</b>	Muscular tension	Frequent breaks and stretching exercises
	Stress	Stress management & body stretches
	Vision	Recommend eye exam or move the monitor
	Head extended forward or tilted	Adjust the monitor
<b>Irritated &amp; Dry Eyes</b>	Distance of the monitor	Position monitor for your vision
	Prolonged computer use	Take frequent mini breaks
	Size of the font/characters	Adjust for your vision – larger/smaller
	Glare on the monitor	Provide glare screen, move monitor, task lighting
	Color of the print	Dark font on light background
	Dusty and dirty screen	Keep screen dusted and clean
	Lighting	Increase/decrease lighting or task lighting
	Lack of frequent mini breaks	Every 20 minutes/20 sec. break/look 20 ft. away
<b>Neck Pain</b>	Vision	Recommend eye exam
	Poor head posture Tilted up, back, forward or to the side	Adjust the monitor height Adjust the monitor distance Adjust the monitor location – straight ahead Use a document holder – in front of monitor
	Bifocals	Drop the monitor down
	Arms extended	Move the keyboard and mouse closer
	Shoulders elevated/raised	Drop the armrest Maintain neutral posture – relax shoulders
	Armrest high/low	Adjust properly – maintain 90° angle
	Poor work habits/posture	Use equipment and time properly Use proper body posture and body mechanics
	Phone	Avoid cradling the phone, use headset/rest
<b>Shoulder Pain</b>	Lack of frequent mini breaks	Every 20 minutes/20 sec. break/look 20 ft. away
	Shoulders elevated/raised	Drop the armrest Maintain neutral posture – relax shoulders
	Arms extended	Move the keyboard and mouse closer
	Armrest high/low	Adjust properly – maintain 90° angle Avoid leaning on elbows
	Poor work habits/posture	Use equipment and time properly Use proper body posture and body mechanics
	Lack of frequent mini breaks	Every 20 minutes/20 sec. break/look 20 ft. away
	Poor conditioning	Strength/stretching exercises
	Forward head posture	Check monitor position
<b>Elbow Pain</b>	Overhead reaching/lifting	Organize workstation – Circle of Power
	Cradling the phone	Use fixed headset/rest or speaker phone
	Keyboard too high	Maintain elbows at 90° angle
	Leaning on elbows	Adjust arm rest of the chair & sit-up straight
	Pressure points	Avoid sharp edges of the desk
	Prolonged repetition	Avoid prolonged repetition & take mini breaks
	Pinch gripping	Avoid pinch gripping or choking the mouse
	Striking keys too hard	Check keyboard for problems & address stress
	Reaching for mouse or keyboard	Maintain elbows at 90° & move closer to work
	Reaching for the phone	Move phone closer to the operator
<b>Elbow Pain</b>	Lifting binders/material that are too large/heavy	Maintain material in smaller binders and maintain an acceptable load limit
	Pulling/lifting & extreme exertion	Push instead of pull & use legs and hips for lifting
	Lack of frequent mini breaks	Every 20 minutes/20 sec. break/look 20 ft. away

<b>Problem</b>	<b>Possible Causes</b>	<b>Try Possible Solutions</b>
<b>Wrist &amp; Forearm Pain</b>	Keyboard/mouse positioning	Align elbows with the keyboard and mouse Reduce edges and pressure points
	Repetitive Motion	Reduce the number of motions Job rotation
	Contact forces/ pinch points Striking keys too hard	Avoid pinch/contact points and resting on elbows Replace keyboard if keys are sticking Take a stress break and back away from work
	Choking the mouse	Use a smaller mouse or one that fits your hand Slow down the cursor
	Gripping too tight	Use smaller binders Use ergonomic pens, pencils, tools, etc.
	Wrist alignment	Hands in neutral posture and elbows at 90° Trim long finger nails – interferes with neutral posture
	Wrist rest	Provide wrist that is proper height
	Lack of frequent mini breaks	Every 20 minutes/20 sec. break/look 20 ft. away
	<b>Hand &amp; Finger Pain</b>	Excessive force-keyboard/mouse
Type of mouse		Use a smaller mouse or one that fits your hand
Wrist alignment		Hands in neutral posture and elbows at 90° Use tools that encourage proper positioning
Gripping too tight		Use ergonomic pens, pencils, tools, etc. Avoid awkward positions
Keyboard/mouse positioning		Align elbows with the keyboard and mouse
Lack of frequent mini breaks		Every 20 minutes/20 sec. break/look 20 ft. away
<b>Low Back Pain</b>	Poor conditioning	Strength and stretching exercises
	Sitting forward in the chair	Address posture Adjust the seat pan depth and arm rests Move closer to your work Keyboard centered – not to the side or angled
	Lack of lumbar support	Provide chair with adjustable lumbar support
	Feet dangling	Adjust chair height or provide foot rest
	Lack of an adjustable seat pan	Provide chair with adjustments
	Elevated shoulders	Maintain neutral posture and elbows at 90°
	Arms extended	Move closer to your work and elbows at 90°
	Lifting/Carrying	Follow proper lifting/carrying procedures
Lack of frequent mini breaks	Every 20 minutes/20 sec. break/look 20 ft. away	
<b>Leg &amp; Feet</b>	Pressure on the back of the knees	Adjust seat pan depth (2-3 fingers width)
	Crossing legs	Address posture and work practices
	Feet dangling	Adjust chair height or provide foot rest
	Lack of frequent mini breaks	Every 20 minutes/20 sec. break/look 20 ft. away

## Substance Abuse Program

### Purpose

The purpose of this policy is to maintain a work environment, which is free from the influence of illegal drugs and alcohol to protect the health, safety, and well being of our employees, faculty, staff and students. It is also to assist in identifying appropriate interventions in reference to the chemically dependent person, and to create an environment conducive to that person, identifying the problem and taking appropriate action before the condition renders the person unemployable.

### Philosophy

North Dakota State University has a genuine caring concern for the community in which it lives and for its people. For this reason, the University is committed to maintaining an academic and social environment that is conducive to the intellectual and personal development and to the safety and welfare of all members of the University community. To maintain this environment NDSU complies with and supports the North Dakota State Board of Higher Education policy governing alcohol use on campus, the Drug Free Workplace Act of 1988, Public Law 100-690 and the Drug-Free Schools and Communities Act Amendments of 1989, Public Law 101-226.

The misuse and abuse of alcohol and other drugs represents a major health problem in the United States today and poses a serious threat to the health and welfare of the NDSU community. Therefore, this policy and documents apply to all NDSU students and employees, as well as visitors to campus.

To comply with the OMB Risk Management and Workforce Safety and Insurance program requirements for a Drug and Alcohol Program element, North Dakota State University will follow Policies [#155](#) and [#161](#) and State Board of Higher Education (SBHE) [Policy #918](#). Adherence to the above noted policies is a condition of continued employment for all employees. All employees are required to consent to this policy by signing the “Annual Notice of Policies Covered under the North Dakota Risk Management Program” acknowledgment form.

### Policy

The University prohibits the unlawful or unauthorized use, possession, storage, manufacture, distribution or sale of alcoholic beverages and any illicit drugs or drug paraphernalia in University buildings, any public campus area, in University housing units, in University vehicles, or at any University-sponsored events held on or off-campus, which are sponsored by students, faculty and/or staff and their respective campus organizations (including all fraternities and sororities).

The State Board of Higher Education specifically prohibits the use or possession of alcohol in residence halls. State and Federal laws will be regarded as the only bodies or rules governing the use of alcoholic beverages and other drugs in University faculty housing, married student housing, fraternities and sororities and the president’s house.

- 5.2 Any employee convicted of violating a criminal drug statute in his or her workplace on or off- campus, must notify the University Human Resources Director no later than five days after such conviction. North Dakota State University is required by

law to inform the federal contracting officer within 10 days of receiving such notice from an employee or otherwise receiving notice of such conviction

For the complete text of the *North Dakota State University Policy Statement and Regulations on the Use of Alcohol and Other Drugs by Students, Faculty and Staff*, please reference Policies [#155](#), and [#161](#) on the NDSU web-site and [Policy #918](#) on the North Dakota University System (NDUS) web-site. For student questions regarding this policy, please contact the Dean of Student Life: for employee questions, call Human Resources. Adherence to the above noted policies is a condition of continued employment for all employees.

All employees are required to consent to this policy by signing the “Annual Notice of Policies Covered under the North Dakota Risk Management Program” acknowledgment form.

## **SUBSTANCE ABUSE AND THE WORKPLACE**

### **Supervisory Training Guide**

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#### *Objectives:*

1. To Identify Signs and Symptoms of Substance Abuse
2. To Provide Guidelines for Effective Intervention
3. To Provide Supervisory Guidelines in the Event of an Accident
4. To Review Supervisory Guidelines in the Event of Reasonable Suspicion (“ForCause Behavior”)

#### *Identifying Signs and Symptoms of Substance Abuse*

Being able to recognize the problem early, and act, will save valuable human resources and money. This is difficult because the early signs of substance abuse blend so subtly with the array of problems managers deal with. Alcohol and other drug abuse tend to exaggerate some of the following:

#### *Personnel Problems*

**Absenteeism** - Alcohol and other drug abusers are absent an average of two to three times more than the normal employee.

**Poor morale** - Chronic substance abuse creates wide mood swings, anxiety, depression, and agitation. Healthy employees often see the behavior of substance abusers as a safety hazard and as poor team workers.

#### *Production Problems*

Chronic substance abuse physically and mentally affects the employee. These effects occur not only during acute intoxication (from one to 24 hours after intake), but also show up as residual hangovers, fatigue and mental impairment. Other physical and mental effects may include:

- Slow reactions
- Poor coordination
- Delayed decision making
- Confusion



- Learning difficulty
- Poor memory recall
- Loss of concentration
- Mood swings
- Resistance to authority

### *Direct signs*

Signs and symptoms pointing directly to serious substance abuse include:

- On-the-job drug use
- Paraphernalia: needles, balloons, aluminum foil wrappers, sniffing tools, marijuanasmoking pipe and holders, drug containers obviously not used for legitimate purposes
- Drugs: bags of marijuana, small containers of tablets, capsules or powder accidentally dropped or stashed for later sale or use
- Intoxicated behavior
- Odor of marijuana smoke
- Empty beer, wine and liquor bottles

### *Behavioral Signs (What to Look for)*

When a supervisor notes a performance or behavior problem in an employee, indicators may point toward possible alcohol and other drug usage. An employee who is using alcohol or other drugs while at work may exhibit all or some of the following characteristics:

- Bloodshot or watery eyes
- Very large or very small pupils
- Runny nose or sores around the nostrils
- Bloodstains on shirtsleeves
- Wearing sunglasses indoors or in all weather
- Slurred speech or unsteady gait
- Emotional outburst, depression, anxiety or withdrawal
- Unpredictable responses to ordinary requests
- A lackadaisical “I don’t care” attitude
- Secretive behavior
- Forgetful and indecisive
- Impulsiveness, erratic work performance
- Changes in personal appearance
- Jitters, hand tremors, agitation, irritability
- Carelessness
- Sleeping on the job

Any one of these symptoms may point to many problems other than drug abuse, but when a pattern begins to develop, the supervisor or manager needs to be alert and act quickly. These behaviors can lead to greater absenteeism, higher operating costs, serious production problems, and an increase in accidents and health care costs.

The temptation to steal is always present on the job. However, increasing internal theft may point to increasing drug abuse by employees.

***Common sites for on-the-job substance abuse include, but are not limited to:***

- Lunchroom and lounge areas
- Near lunch trucks and vendors
- Parking lots and cars
- Infrequently traveled areas
- Meeting rooms
- Equipment or other out-of-the-way rooms
- Restrooms

***Signs of Drug Sale or Group Abuse***

- Leaving the work area frequently
- Visits by strangers who have no legitimate reason for being in the work area
- Secretive phonecalls
- Visiting the lounge or restroom frequently, particularly at non-break times
- Frequent trips to the car, often with other workers
- Gathering of a group of workers in an out-of-the-way spot during breaks

A manager or supervisor who witnesses some or all of these behaviors would have reasonable cause to discuss changes in behavior with the employee. If not satisfied with the responses provided by the worker, referral for assessment and/or counseling may be appropriate.

Although incidents of suspected substance abuse will not be the same, these step-by-step procedures should provide a useful guide for actions the University must take when such incidents occur.

***Confronting the Employee***

When an employee's behavior or performance makes confrontation necessary and you suspect there may be a substance abuse problem, follow the steps described below. The focus of the discussion must be on the behavior and the performance problems observed. Maintaining the employee's self-esteem throughout the discussion is imperative.

***Describe the behavior/performance problems and why they concern you***

Describe observations you've made (*"I've noticed you have lost your temper with Bill and Tom twice in the past week..."*) or performance that has declined (*"I counted three errors this past week and four last week..."*). Leave no doubt about the performance or behavior that you are discussing. If there have been previous discussions, be sure to recap them, including any actions the employee agreed to take (*"We discussed this problem several weeks ago and you agreed that you would..."*). Emphasize the impact that the behavior or poor performance will have on the organization, and other employees. This discussion should be handled without becoming emotional, threatening, angry or accusing to the employee.

***Ask for, listen to and respond to the employee's reason***

It is critical that employees be allowed the opportunity to explain their behavior. It is equally important that the supervisor listens and responds with empathy. However, it must be made clear to the employee that the problem (behavior or performance) must be corrected. The employee must accept responsibility for the problem before the supervisor moves on to the next step. If the employee

fails to accept responsibility for the problem, or this discussion is the result of the employee's failure to correct the problem after previous discussions, the consequences of failing to correct or improve must be discussed. Communicating consequences is not intended to threaten or punish the employee but instead lets the employee know the importance of correcting the problem.

#### ***Stress that the situation must change and ask what the employee will do to solve the problem***

Emphasize that correcting the problem is not a question of "if" but rather "how" and "by when". The problem is the employee's. Thus, it is critical that the employee takes an active role in finding solutions. People work harder to solve problems when they have a voice in the solution. The objective here is to generate solutions. The discussion can then focus on choosing which action the employee is going to take.

#### ***Agree on the actions the employee will use and schedule a follow-up session to review progress***

Discuss each realistic idea and offer your recommendations for solving the problem. Your recommendations could include referring the employee to the Employee Assistance Program or Referral Provider for professional help. Once an agreement has been reached on what the employee will do to solve the problem, it is important this be documented and reviewed with the employee. Finally, agree on a specific follow-up date to review progress.

#### ***Guidelines for Effective Documentation***

Thorough documentation is one of the primary responsibilities of the supervisor in any of these episodes. Any supervisor involved, even indirectly, should create a detailed written factual history of the incident. Accurate recall of these facts is more likely if the documentation occurs soon after the actual event. Pay particular attention to details that answer the Who, What, When, Where, Why, and How questions.

Documentation of your observations (specific behaviors) and the facts of the situation (performance data, attendance records, etc.) provide a solid base of information you can refer to during discussions with the employee. Documenting the results of discussions is equally important, as you may need to later refer to agreements and commitments made. It is also imperative that the situation be fully discussed with your Personnel Director before taking any action.

#### ***Supervisory Guidelines in the Event of an Incident***

If an incident occurs in which medical assistance is required, personal injury to others, damage to property, or it appears the injury will result in absence beyond the current work day and factors are present which may suggest that the employee may have been impaired, a "fitness for duty" evaluation may be appropriate.

Make sure the medical needs of the employee are the number one priority. Determine if an ambulance is appropriate or if some other method of transportation will be adequate.

Document the entire situation including all dialogue and the known factual details of the incident. If another supervisor makes the trip to the clinic, that person should also document his or her observations.

### ***Supervisory Guidelines in the Event of Reasonable Suspicion (For Cause Behavior)***

If you observe suspicious, “unfit for duty” behavior:

- Approach the employee, ask questions and observe how the employee responds/behaves.
- If you are satisfied with the response and you continue to believe the employee is “unfit”, ask the employee to accompany you to your office or a meeting place that offers privacy. Find another supervisor to accompany you when meeting with the employee.
- Continue questioning the employee about the “unfit” behavior observed (e.g., Why do you appear drowsy? Why are your eyes dilated? Etc.).
- Confer privacy with the other supervisor. Allow this supervisor to also conduct a fitness-for-duty observation/evaluation. Include Human Resources in this process.
- Confer with the department manager responsible for administrative review.
- If you believe the individual to be “unfit for duty,” suspend the employee from his/her work activity. This decision does not require concurrence of another supervisor/manager.
- If alcohol/drug testing is appropriate, initiate process.
- Offer them transportation alternatives.
- If the employee insists on driving, tell the employee that local law enforcement officers will be contacted if they drive off the company premises.
- Tell them when to call in or report in (usually start of the next workday).
- If the employee drives off the premises, contact law enforcement officers.
- Write up the facts of the situation. Do not include conjecture or the opinions of others.
- Contact your Manager/Human Resources and present information.
- Possible charges in such cases include violation of safety rules, reporting for work in an unfit condition, insubordination, or being under the influence of alcohol or other drugs.

### ***CAUTION - In a situation requiring the steps listed above:***

- Do not attempt to physically restrain the employee.
- Do not accuse the employee of being on drugs or alcohol or being drunk. Focus on the observable, “unfit” behavior.
- Do not confront the employee in the presence of fellow employees.
- Do not diagnose the nature of the employee’s problem. Be accurate in what you say and what you write. Record only objective facts.
- Do not procrastinate in writing up the incident. A “fresh” memory is always the best.
- Do not record opinions or conjecture, only the facts.
- Do not tell anyone who does not “need to know” of the incident.

### ***Talk with your employees before it’s too late.***

Addressing the issue is the best thing to do for both the company and for the chemically dependent person. When an employer moves to take action with a troubled employee, the rate of recovery is highest. The important thing to remember is to act sensitively but firmly.

## **SUBSTANCE ABUSE INVESTIGATION REASONABLE SUSPICION AND INCIDENT GUIDELINES**

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This form shall be completed and signed by the person suspecting another employee of drug and/or alcohol abuse during working hours, on company property, or on company business, unless otherwise stated in the [NDSU Policy #155: Alcohol And Other Drugs: Unlawful And Unauthorized Use By Students And Employees](#) and [NDSU Policy #161: Fitness for Duty](#). Check all signs and symptoms that apply and complete the related questions. This form is to be reviewed by the employee's supervisor/manager to determine if testing is warranted. The suspecting employee and his/her supervisor will sign, date, and forward the form to the appropriate personnel.

Name \_\_\_\_\_ Department \_\_\_\_\_ Empl# \_\_\_\_\_

### **Physical Signs or Symptoms**

1. \_\_\_\_\_ Possessing, dispensing, or using prohibited substances
2. \_\_\_\_\_ Slurred or incoherent speech
3. \_\_\_\_\_ Unusual unsteady gait or other loss of physical control, poor coordination
4. \_\_\_\_\_ Dilated or constricted pupils or unusual eye movement
5. \_\_\_\_\_ Bloodshot or watery eyes
6. \_\_\_\_\_ Extreme fatigue or sleeping on the job
7. \_\_\_\_\_ Excessive sweating or clamminess of skin
8. \_\_\_\_\_ Flushed or very pale face
9. \_\_\_\_\_ Highly excited or nervous
10. \_\_\_\_\_ Recurrent nausea or vomiting
11. \_\_\_\_\_ Odor of marijuana
12. \_\_\_\_\_ Disheveled (untidy/unkept) appearance or out of uniform
13. \_\_\_\_\_ Dry mouth (frequent swallowing/lip wetting)
14. \_\_\_\_\_ Dizziness or fainting
15. \_\_\_\_\_ Unusual shaking hands or body tremors/twitching
16. \_\_\_\_\_ Breathing irregularity or difficulty breathing
17. \_\_\_\_\_ Runny nose or sores around nostrils not associated with other respiratory infection symptoms
18. \_\_\_\_\_ Puncture marks or "tracks"
19. \_\_\_\_\_ Inappropriate wearing of sunglasses
20. \_\_\_\_\_ Other (please specify) \_\_\_\_\_

### **General Job Performance**

1. \_\_\_\_\_ Excessive unauthorized absences – number in the last 12 months \_\_\_\_
2. \_\_\_\_\_ Frequent Monday/Friday absence or other patterns
3. \_\_\_\_\_ Increase concern about, or actual incidents of safety offenses involving the employee (cite examples on back of sheet)
4. \_\_\_\_\_ Inability to follow through on job performance recommendations
5. \_\_\_\_\_ Other (please specify) \_\_\_\_\_

**Personal Matters**

- 1. \_\_\_\_\_ Changes in or unusual speech (incoherent, stuttering, loud)
- 2. \_\_\_\_\_ Changes in or unusual physical mannerisms (gestures, posture)
- 3. \_\_\_\_\_ Changes in or unusual level of activity: much reduced or increased \_\_\_\_\_
- 4. \_\_\_\_\_ Increasingly irritable or tearful
- 5. \_\_\_\_\_ Unpredictable or out-of-context displays of emotion
- 6. \_\_\_\_\_ Episodes of unusual fear or paranoia
- 7. \_\_\_\_\_ Lacks appropriate caution
- 8. \_\_\_\_\_ Engages in detailed discussion about obtaining selling or using drugs
- 9. \_\_\_\_\_ Makes unfounded accusations toward others, has feelings of persecution
- 10. \_\_\_\_\_ Secretive or furtive
- 11. \_\_\_\_\_ Memory problems (difficulty recalling instructions, data, past behaviors)
- 12. \_\_\_\_\_ Makes unreliable or false statements
- 13. \_\_\_\_\_ Unrealistic self-appraisal or grandiose statements
- 14. \_\_\_\_\_ Temper tantrums or angry outbursts
- 15. \_\_\_\_\_ Major change in physical health with no known cause
- 16. \_\_\_\_\_ Other (please specify) \_\_\_\_\_

**Written Summary**

Please summarize the facts and circumstances of the incident, employee response, supervisor actions taken, and any other pertinent information not previously noted. Please attach any additional documentation related to this reasonable suspicion

\_\_\_\_\_  
Employee Signature

\_\_\_\_\_  
Date/Time

\_\_\_\_\_  
Supervisor's Signature

\_\_\_\_\_  
Date/Time

\_\_\_\_\_  
Director/Human Resource Signature

\_\_\_\_\_  
Date/Time

## NDSU Training Program

The key element to a successful accident prevention program, and in any occupational safety and health program, is effective job orientation and safety and health training. NDSU's Risk Management Program will address the basic safety training and continuing education requirements for the prevention of injury and illness. The program shall include an employee orientation process in which all employees learn the general safety rules, safe operating procedures, ergonomic hazards, substance abuse policy and claims management procedures.

The program will, at a minimum, require orientation and initial training for new, transferred and reassigned employees to different positions, along with periodic regular training on at least an **annual** basis for all employees. Required training will consist of documented training on the following subjects.

### Baseline Safety Training - Mandatory All NDSU Employees

- Incident/Injury Reporting Procedures
- Claims Management
- Basic Principles of Ergonomics
- Substance Abuse Policy
- Safe Operating Procedures
- HIPPA
- Emergency Response and Computer Security
- **Department Specific Safe Operating Procedures (examples)**
  - *Lab and Chemical Safety Training (initial & Module 2 every year)*
  - *Radiation Safety Training (initial & refresher every 5 yrs.)*
  - *Hazardous Waste & Biohazards*
  - *Pesticide Application*
  - *Defensive Driving Course*
  - *Occupational Health & Safety Guidelines for Animal Care & Use*
  - *Safe Operating Procedures*

### Supervisor Safety Training

Additional training will be conducted as follows:

- For employees changing positions or beginning a new position for which training has not been previously received.
- Whenever new substances, processes, procedures or equipment are added or changed that may present a new or previously unrecognized hazard.
- Whenever, an incident or near miss investigation recognizes a training need.

The University Police and Safety Office will manage documentation of the mandatory, all staff safety training. Departments will be responsible for maintaining the documentation of the Department Specific Training. Training requirements use a fiscal year calendar and documentation must consist of the following information: date of training, topics covered, name of the person providing the training, and the participant's acknowledgement of attendance. Records should be maintained for five years.

## NDSU Inspection/Hazard Recognition Program

The Self Inspection/Hazard Recognition Program plays a vital role in the safety program, particularly in regard to reducing the overall incident rate. The program is designed to improve environmental safety for employees, staff, faculty, students, and visitors, and to maintain compliance with relevant regulatory standards. This is best accomplished by identification of hazards and correcting hazards immediately throughout the university.

The following are objectives of the hazard surveillance program:

- **“Hazard recognition”** shall mean a systematic review process conducted in order to identify hazards.
- To reduce the risk of injury to employees, staff, faculty, students, and visitors, by identifying and eliminating hazards located in the University.
- To provide an ongoing, systematic monitoring mechanism to measure the facilities compliance with relevant regulatory standards, such as local fire department standards, building codes, Risk Management, etc.
- To monitor construction sites for safety hazards and compliance with relevant facility policies and procedures.
- To reduce the risk of specific hazards such as fire, falls and bloodborne pathogens.
- To raise managerial and employee awareness regarding hazard recognition issues.

### Procedures

1. The implementation of the Inspection Program is the responsibility of the University Police and Safety Office. The inspector is granted the authority to pursue approved activities necessary to effectively implement the program.
2. The program activities include reviewing and inspecting all areas of the University, taking action to correct identified problems, and reporting the results of these activities to the Loss Control Committee.
3. The facility’s supervisors are responsible for conducting regular hazard surveillance in their areas. They are also responsible for making certain that areas under their direction are free of hazards at all times. When hazards are identified, supervisors should take immediate actions to resolve such issues.
4. The hazard inspection rounds will be conducted as often as necessary, but at least **annually** in order to identify and correct hazards in their respective areas. These can be done in conjunction with the Fire Marshall inspections
5. All employees shall report any and all identified hazards by the use of the Near Miss Report to the Safety Office or to their supervisor immediately.
  - a. For the purpose of this program **“hazard”** shall mean:  
Any unsafe act or condition that presents an obvious hazard to employees, staff, faculty, students or visitors, such as radioactive substances, corrosive chemicals, infectious wastes, sharp objects, tripping hazards, exposed electrical wires, burned-out exit lights, torn carpets, etc.



- b. Anyone or anything that violates other facility safety policies, safety standards, rules or regulations.
- 6. Hazard inspection activities must result in clear documentation of all hazards existing in the area at the time of the survey, including hazards that are corrected at the time of the survey.
- 7. Hazard inspection report forms will include a provision area for corrective actions taken to remedy the hazards or violations that are found. The report will also provide a provision for the date of the inspection, the inspector's name and management's review and signature.
- 8. Animal facility inspections will comply with the Institutional Animal Care and Use Committee [guidelines and requirements](#).
- 9. The Forestry Department, Research Centers and other off site facilities will complete the NDSU Safety Inspection Checklist on at least an annual basis and return it to the University Police and Safety Office.

[Hazard Inspection Checklist](#) – guide to assist in the inspection process.