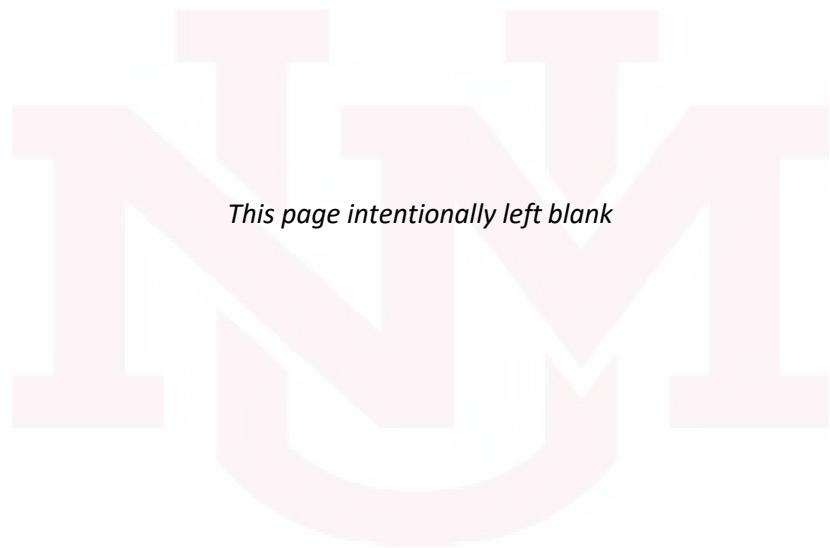




Loss Prevention & Control Plan

The University of New Mexico
University of New Mexico Hospital
Sandoval Regional Medical Center



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A. PURPOSE

This plan complies with the State Loss Prevention and Control Program rule (1.6.4 NMAC) in order to assure that loss prevention and control are an integral part of the job and the required training of every university employee, a line management responsibility of high priority evaluated on the execution of this responsibility, a campus-wide commitment demonstrated by the appointment of knowledgeable and experienced loss control personnel, and compliance with workplace safety and employment-related civil rights rules and regulations is a priority. All divisions within the University of New Mexico (UNM), the University of New Mexico Hospital (UNMH) and the Sandoval Regional Medical Center (SRMC) are covered by this plan.

B. DEFINITIONS

1. **LPCP** refers to the Loss Prevention and Control Plan
2. **LPCC** refers to the Loss Prevention and Control Committee
3. **Loss** refers to all damage to, destruction of, theft of, or loss of property
4. **Occurrence** is an event that results in a loss of property
5. **Theft** includes any absence of property from a location where it is known to have been, under circumstances where a probability of theft exists. However, theft does not include the wholly unexplained or mysterious disappearance of university property.
6. **Replacement cost** is the dollar amount required to replace or repair any property in the same condition as when acquired by the University
7. **UNM** refers to The University of New Mexico main campus, including all branch campuses and field locations
8. **UNMH** refers to the University of New Mexico Hospital
9. **UNMMG** refers to The University of New Mexico Medical Group
10. **HSC** refers to the Health Sciences Center
11. **Learning Central** refers to UNM's Learning Management System;
12. **SRMC** refers to Sandoval Regional Medical Center
13. **RMD** refers to the State of New Mexico Risk Management Division

All definitions contained in the State Loss Prevention and Control Program rule (1.6.4NMAC) are adopted and hereby incorporated by reference.

C. POLICIES AND PROCEDURES

This Loss Prevention and Control Plan includes the following:

1. Appointment and duties of the Loss Prevention and Control Coordinator and Co-Coordinator:

- a. The role of Loss Prevention and Control Coordinator will be held by the Manager of Risk Services.
- b. The role of Loss Prevention and Control Co-Coordinator will be held by the Director of Environmental Health & Safety.
- c. The Coordinator and Co-Coordinator will share the responsibilities outlined in the State Loss Prevention and Control Program rule (1.6.4NMAC) according to their individual knowledge and skills as well as their responsibilities as Manager of Risk Services and Director of Environmental Health & Safety.
- d. The Coordinators will coordinate loss prevention and control activities for each division and field location of UNM and UNMH. Unless otherwise identified, the responsibilities outlined in this plan are shared by the Coordinator and Co-Coordinator according to their respective areas of expertise.
- e. The names of the Coordinators will be noted and updated in a separate exhibit to this plan (Appendix 1), and will be submitted to the State Loss Control Manager when changes occur.
- f. The Coordinators will have responsibilities as detailed in the job description (Appendix 2).

2. Appointment and Duties of the Loss Prevention and Control Committee

- a. This committee consists of representatives from various major UNM, UNMH and SRMC departments (Appendix 1).
- b. The Manager of the Department of Risk Services and the Director of Environmental Health & Safety serving in their roles as Coordinator and Co-Coordinator of the committee will appoint the members of this committee.
- c. The committee will annually elect a secretary from among the members.
- d. The committee will hold regular meetings at least quarterly, (special meetings may be called). The committee secretary will keep minutes of the proceedings and will forward copies to the State Loss Control Manager within thirty (30) days of the meeting. Copies of minutes from lower level committees will be retained by the University's Loss Prevention and Control Coordinator.
- e. The Committee will perform specific duties as required by 1.6.4 NMAC. (Appendix 3)

3. Self-Inspection and Audit Procedures

- a. Self-inspections and audits will be implemented and executed as often as needed or required.
- b. Self-inspections and audits will be university-wide and will extend to all campus and hospital operations.
- c. The University, UNMH and SRMC will develop and utilize appropriate checklists for self-inspection and audit purposes (Appendix 4).
- d. A written self-inspection or audit report will be made of all unsatisfactory conditions and copied to the University's Loss Prevention and Control Coordinator. Repeat deficiencies will be identified and brought to the attention of the Committee.
- e. For each noted unsatisfactory condition, a written response and corrective action may be taken or initiated. If initiated this shall occur no later than thirty (30) days after initial notice of the incident. Corrective action documentation will be attached to the report, and a copy will be retained by the University's Loss Prevention and Control Coordinator.

4. Incident and Loss Investigation

- a. The University, UNMH and SRMC will establish and implement Incident and Loss Investigation Procedures (Appendix 5).
- b. The Loss Prevention and Control Coordinator will be responsible for sending the annual log to OSHA and for posting the required information for three (3) months. This involves injuries and lost time pertaining to Workers' Compensation claims.
- c. Copies of investigation reports will be distributed as appropriate, and care will be exercised in the handling of confidential material.
- d. Investigations and all documentation pertinent to a job-related injury or illness will become a part of the injury or illness claim record, to be held on file with the Loss Prevention and Control Coordinator.
- e. The duty to investigate may be delegated between Environmental Health and Safety and the Department of Risk Services. The investigation must be reviewed by UNM, UNMH and SRMC management.
- f. Environmental Health and Safety will be notified of any incident or loss that pertains to UNM employee, student, and visitor safety.
- g. Findings will be communicated and corrective actions may be implemented as necessary in all other activities or programs of UNM, UNMH and SRMC.

5. Loss Prevention and Control Training

- a. Managers will be responsible for coordinating all training and ensuring compliance for their area of responsibility.
- b. Safety, loss prevention and control, and employment-related civil rights training (including conflict resolution) will be provided to all employees on an annual basis in a variety of ways. Formal training will be documented in Learning Central and made a part of an employee's training file. Employees will receive credit for these training courses once they have been satisfactorily completed and proof of completion tendered.
- c. These scheduled courses will be maintained in Learning Central.
- d. University management will discuss relevant loss prevention and control policies, procedures and strategies with employees and will facilitate ongoing training.
- e. UNM's New Employee Orientation includes the following annual training:
 1. Basic Annual Safety Training
 2. Ethics: A framework for Ethical Decision Making
 3. Sexual Harassment (Civil Rights).
 4. Prevention of Harassment and Discrimination
 5. Shooter on Campus: Run, Hide, Fight
- f. The above annual training is required for all University Employees.
- g. For HSC Employees, the following trainings are also required:
 1. HIPAA and HITECH Training
 2. HIPAA Security Training
 3. HSC Code of Conduct and HSC Code of Ethics
 4. UNMH/HSC Compliance Training

- h. The completion of the annual training is documented in Learning Central and maintained in the employee's training file.
- i. Position-specific training in environmental, safety, and security issues will be provided by the new employee's direct management. Training on the New Mexico Occupational Health and Safety Act and other applicable laws and regulations will be included in training to managers, supervisors, and/or employees requiring, referred to, or otherwise needing such training on a continuing basis as required.
- j. A summary and analysis of university-wide losses will be used to supplement training whenever possible, and will be distributed to management and supervisors at least annually.
- k. On an annual basis, the University Loss Prevention and Control Coordinator will present to the Department Secretary a summation of the year's issues/incidents.

6. Job-Related Illness or Injury Claims Management Procedures

- a. UNM, UNMH and SRMC will follow the Workers' Compensation statutes and the Workers' Compensation Administration (WCA) rules when managing job-related illness and injury.
- b. The WCA Employer Guidebook sets forth guidance and rules pertaining to State of New Mexico employer's and can be located at:
<https://workerscomp.nm.gov/sites/default/files/documents/publications/empguide.pdf>
- c. The standardized WCA forms and reports are used at UNM, UNMH and SRMC. (See Appendix #7)
- d. UNM, UNMH and SRMC have written policies regarding employee safety and worksite injury or illness.
- e. UNM and UNMH will report Workers Compensation claims to the State of New Mexico Risk Management Division.
- f. SRMC will report Workers Compensation claims to Hospital Services Corporation.
- g. New Employee Orientation programs include job safety and Workers' Compensation information.
- h. Early return-to-work procedures for workers with job-related injuries or illnesses are followed at UNM, UNMH and SRMC.
- i. Relevant training regarding each supervisor's role and responsibilities is available from the Human Resources Department.
- j. UNM, UNMH and SRMC shall employ sufficient full-time employees who are responsible for the Workers' Compensation Program, Property & Casualty claims management and other duties as outlined in the LPCP.

7. Audits Conducted by RMD

- a. UNM, UNMH and SRMC will cooperate and assist RMD in audits of loss control activities.
- b. UNM, UNMH and SRMC will respond to RMD audit recommendations within a reasonable period of time given budgetary and staffing constraints.
- c. As appropriate and available, UNM and UNMH will utilize assistance and resources provided by RMD.
- d. As appropriate, UNM and UNMH will participate in programs, policies and procedures developed by RMD to further enhance the on-going State Loss Prevention and Control Program effort.

D. APPENDICES

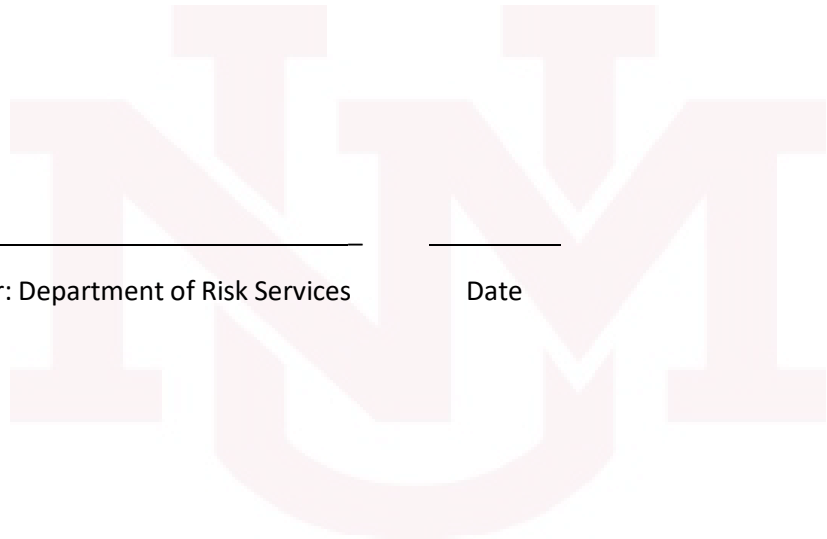
- 1. Name(s) of Loss Prevention and Control Coordinator, Co-Coordinator and Members
- 2. Loss Prevention and Control Coordinator Job Description
- 3. Loss Prevention and Control Committee Duties
- 4. Self-Inspection and Audit Checklists
- 5. Incident and Loss Investigation Outline
- 6. Workers' Compensation Claims Forms and Documents

DI. APPROVAL

This loss prevention and control plan is approved by:

APPROVED BY: _____

Manager: Department of Risk Services Date



Appendix 1 Loss Prevention and Control Coordinator and Co-Coordinator and Loss Prevention and Control Committee Members

Loss Prevention and Control Coordinator:

Joseph Malouff, Risk Services

Loss Prevention and Control Co-Coordinator:

Casey Hall, Environmental Health & Safety

Loss Prevention and Control Committee Members:

Adam Royal: Golf Courses

Alfred Sena: Facilities Maintenance (FM)

Amy Coburn: Planning, Design & Construction (PDC)

Barbara Morck: Parking and Transportation Service (PATS)

Beth Walker: Finance and Administration

Betsy Suazo: Sales and Events: Los Alamos Branch Campus

Brian Pietrewicz: Information Technologies (IT)

Byron Piatt: Emergency Manager

Chelsea Walker: Finance and Administration

Emily Ballo: Strategic Support Manager

Ignacio Ortiz: ASM Administration

James MacFarlane: HSC O/R General Administration

Karen Roberts: Program Planning Manager: Arts and Sciences Admin Support

Kevin Gick: University Counsel Office (OUC)

Joseph Silva: Interim Chief of Police

Kirsten Martinez: IT Business Operations

Matthew McKernan: Athletics Facilities

Michael Chicarelli: COO, UNMH Administration

Ronald Petranovich: Physical Plant & Facilities, Gallup Branch

Rudy Rael: Facilities Maintenance (FM)

Ruth Stoddard: Residence Life and Student Housing (RLSH)

Sara Frasch: UNMH Human Resources

Stacy Bigbie: HSC, Sponsored Projects Office

Vahid Staples: Budget Office

Victor Griego: Internal Audit Department

Vincent Chavez: Facilities Maintenance (FM)

This Loss Prevention and Control Plan will be reviewed annually by the Departments of Risk Services and Environmental Health and Safety to verify accuracy of information. Necessary revisions will be made resulting in a revision number which is noted in the revision log.

Appendix 2 Loss Prevention and Control Coordinator and Co-Coordinator Job Description

Position Title(s): Loss Prevention and Control Coordinator, Co-Coordinator

Primary Objective of Position(s): To establish and promote safe working conditions and practices, to develop accident prevention and Loss Prevention and Control Programs, and to design procedures for evaluation of these programs.

Essential Functions of Position(s):

1. Conduct and coordinate the University's Loss Prevention and Control Program.
2. Serve as members on the University's Loss Prevention and Control Committee.
3. Report to University management on matters pertaining to management of the Loss Prevention and Control Program, safety, employment-related civil rights issues, or any other matters of potential or actual liability within the University.
4. Act as liaisons with the State Loss Control Manager and other Loss Prevention and Control Coordinators, both within and outside the University, on loss prevention and control matters.
5. Establish or interpret and apply policies and procedures to guide UNM, UNMH and SRMC in loss prevention and control.
6. Review UNM, UNMH and SRMC losses and make recommendations to prevent future losses.
7. Oversee UNM, UNMH and SRMC self- inspection and audit procedures.
8. Develop, use and make available appropriate checklists for self-inspection and audit procedures.
9. Monitor and, where appropriate, aid in the investigation and reporting of incidents and losses, including receiving, recording and analyzing loss information for statistical purposes. Loss prevention and control coordinators may conduct their own investigation and analysis of any incident or loss where necessary to determine the cause and prevent recurrence.

10. Report quarterly to Management on relevant loss control activities and issues. The quarterly Loss Prevention and Control Committee meeting shall satisfy this requirement.
11. Provide information to Management concerning the New Mexico Occupational Health and Safety Act requirements, as well as State Risk Management Division policies, procedures and rules.
12. Oversee loss prevention and control training and assess the adequacy of such training.
13. Monitor New Employee Orientation to address UNM, UNMH and SRMC loss prevention and control goals, policies and procedures.
14. Report all required information to the State Loss Control Manager, including, at a minimum, updated loss prevention and control plans and copies of minutes from quarterly loss control committee meetings within thirty (30) days of occurrence.



Appendix 3 Loss Prevention and Control Committee Duties

- Participate in quarterly (and other) meetings, trainings, and related initiatives.
- Compile, analyze, and evaluate UNM, UNMH, and SRMC loss information to ensure adequate measures are being taken to prevent recurrence of the same or similar losses. Where such measures are not adequate, the committee will make recommendations to the Manager of the Department of Risk Services or initiate additional action, as appropriate.
- Establish, evaluate and make recommendations for improvement of UNM, UNMH, and SRMC loss prevention and control activities. For purposes of evaluation, the Committee may use self-inspection reports, RMD audits, other surveys, other guidelines, minutes and written or oral reports from UNM, UNMH, and SRMC Safety Committees, and any other information the committee considers useful and appropriate.
- Perform any other functions the committee considers useful and appropriate, and which are consistent with the University's Loss Prevention and Control Plan.

Appendix 4 Self-Inspection and Audit Checklists



Appendix 5 Investigation Analysis and Evaluation of Incidents and Losses Outline

Incident and Loss Investigation Outline

What is an Incident?

An incident is any unplanned event that results in personal injury, damage to property or equipment, or an event that has the potential to result in such consequences. Incident Investigation is an integral part of a comprehensive safety, health, and loss prevention program.

Environmental Health and Safety and the Department of Risk Services will utilize their department specific Standard Operating Procedures for accident investigation and corrective action.

Selecting Corrective Actions:

- Develop an effective and cost-effective corrective action plan to eliminate or control the hazard identified
- Ask for suggestions from employees. Employees who are directly involved with a situation on a day-to-day basis often have different insights from an outside observer

Ten Steps of Incident Investigation:

1. Provide Emergency Response – Make sure a first-aid response is available
2. Secure the area – Isolate the incident scene (rope, tape, guard). Do whatever it takes to prevent another occurrence while preserving evidence
3. Identity Potential Witnesses – Eye witness, audio witness or others who might have information
4. Have investigation tools available – Camera, video camcorder, tape recorder, measuring devices, plus interview and investigation forms
5. Procure hard evidence and record data – Collect all evidence that can or may be used for your investigation.
6. Conduct Interviews – Use open-ended questions that cannot be answered with a “yes” or “no”
7. Review data – Inspections reports, maintenance reports, prior incident reports and analysis.
Are there patterns or trends?
8. Prepare an Investigation Report – Record key facts
9. Implement Corrective Action – This is critical to the prevention of future incidents that result in injuries, illnesses, and property damage

10. Follow-up:

- Assure that decided corrective actions are implemented by established rules
- Talk to people involved to assure necessary training was received and that the corrective actions work

**All incidents are unique; each individual investigation will follow UNM best practices in regard to investigation and analysis of information. Therefore, all 10 steps may not be necessary dependent upon the incident type.



Appendix 6 Workers’ Compensation Claims Management Policy And Job-Related Illness or Injury Claims Policy

JOB RELATED CLAIMS MANAGEMENT – WORKERS’ COMPENSATION

1. Job related claims management is a partnership between the reporting employee, involved supervisor, loss control investigative committee, the GSD/RMD assigned adjuster and the medical providers.
2. Employees on medically directed time off due to a job-related claim will code their unpaid time off as directed by the University’s Human Resource Department, in coordination with Safety and Risk Services and UNM Payroll.
3. Job related claims will be managed in accordance with:

Rules, Regulation, or Statute	Descriptor
52-1-1 to 52-1-70 NMSA	Workers’ Compensation Statutes
GSD 350-2.14	Workers’ Compensation Policy
GSD 350-2.00	Code of Conduct
GSD 350-2.33	Family Medical Leave Act
GSD 350-2.35	Donation of Annual Leave

*The above Rules, Regulation, and Statutes may be subject to amendment.

4. The following document(s) will be used in the internal administration of job-related claims (**Note: employees are entitled only to documents that they sign**):

Document:	Completed by:
Notice of Accident Form NOA-1	Employee
Employer's First Report of Injury or Illness NM WCA Form E1.2	Supervisor
Claim Explanation Form RMD: WC1	Employee or supervisor
Authority to Release Medical Reports and Information RMD WC-303	Employee
Doctor Visit Form RMD: WC-1	Medical Facility
Workers Comp Benefit Explanation Form	Employee

Appendix 7 Workers' Compensation Claims Forms and Documents

Mandatory Documents:

- Notice of Accident or Occupational Disease Disablement (WCA Form NOA-1-W)
- Employer's First Report of Injury or Illness (WCA Form E1.1);
- New Mexico Workers' Compensation Administration Worker's Authorization for Use and Disclosure of Health Records
- Workers' Compensation Claim Explanation Form
- Workers' Compensation Benefits Explanation Form

Other Documentation (if appropriate or applicable to the injury or illness incident):

- Doctor's visit form (or similar record of information);
- Employment Occupational Health Services (EOHS) Report;
- Modified Work Assignment Form
- Final Report of Injury
- Injured employee and witness statements;
- Supervisor's investigation report;
- Safety specialist or loss prevention and control coordinator investigation report;
- Follow-up action documents;
- Adjuster's and medical provider's documents; and
- Photographs and sketches.