



# Investigating and Reporting Incidents Involving Structure Work

## Revision and Approval

Revision	Date	Nature of Changes	Approved By
0	04-25-2023	Original Issue	Richard Foley

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## Background

This process establishes SC responsibilities, and procedures for (1) reporting incidents involving structure work, and (2) investigating and reporting the cause of incidents involving structure work.

Attention is directed to the following important definitions:

- *Incident*: An incident is defined in the *Caltrans Employee Safety and Health Manual, Chapter 1, Injury and Illness Prevention Program*, as: “An incident is an unplanned event which results in an injury, illness, property damage, and/or the interruption of a process. It also includes near-miss events that did not result in an accident, injury, illness, or damage.”
- *Accident*: The term accident is used to refer to vehicle accidents.
- *Serious Injury*: A serious injury or illness is defined in Cal/OSHA Title 8 CCR [§ 330, Definitions](#), (h) : “... any injury or illness occurring in a place of employment or in connection with any employment which requires inpatient hospitalization for a period in excess of 24 hours for other than medical observation or in which an employee suffers a loss of any member of the body or suffers any serious degree of permanent disfigurement...”
- *Near-miss*: SC defines a near-miss as an incident in which:
  - An incident where no one was hurt, however, the potential for a serious injury was present.
  - SC staff can learn from the incident.

## Process Inputs

1. Incidents involving SC contract work within the project limits meeting the definitions provided in the Background statement.

## Procedure

1. All work associated with this process is charged as [Project Direct – Construction](#).
2. SC Staff:
  - a. Establish a clear understanding with the SC Supervisor of participation for incident investigation and reporting by SC staff.
  - b. Review and understand:
    - i. *Caltrans Employee Safety and Health Manual*:
      1. Chapter 1, *Injury and Illness Prevention Program (IIPP)*, [Section 1.06](#), *Accident/Incident Investigations*
      2. [Chapter 4](#), *Accident Investigation and Analysis*
      3. [Chapter 10](#), *Reporting Personal Injuries and Illnesses*
      4. [Chapter 18](#), *Motor Vehicle Accidents*
      5. [Chapter 19](#), *Special Reporting of Serious Injury, Illness or Fatality*
    - ii. Caltrans Office of Employee Health and Safety (OEHS) website:
      1. [Motor Vehicle Accident Reporting](#)
      2. [Employee Injury Reporting Requirements](#)
      3. [OEHS Guide for Cal/OSHA Inspections](#)
    - iii. *Construction Manual*, Chapter 2, [Section 2-3](#), *Safety and Traffic – Major Construction Incidents*
    - iv. *Caltrans Director’s Policy DP-03, Employee Safety and Health*
    - v. Any local District policies
    - vi. Cal/OSHA - Title 8 regulations:
      1. Title 8 CCR [§ 330](#), *Definitions*, (h), *Serious Injury or Illness*
      2. Title 8 CCR [§ 3203](#), *Injury and Illness Prevention Program*
      3. Title 8 CCR [§ 342](#), *Reporting Work-Connected Fatalities and Serious Injuries*
    - vii. From the [Safety link](#) on the SC intranet:

1. [Reporting Safety Incidents: Forms, Links, & Flow Charts](#) in the Reporting an Accident sub-link.
- c. When an incident, per the definitions in this BCM, occurs:
- i. Notify the Division of Construction (DOC) chain of command as described per local District guidelines. In absence of local District guidance, notify the Resident Engineer (RE). If the RE is not available, continue up the DOC chain of command until a live person is contacted. For incidents not involving injuries or significant damage, email notification is acceptable. The types of incidents which justify a phone call versus an email include:
    1. Injuries to State, Consultant, or Contractor personnel transported to a hospital by an ambulance.
    2. Incidents such as a falsework collapse, shoring failure, live utility line strike, crane tip-over, or impacts to the traveling public of 30 minutes or more.
  - ii. Notify the Structure Representative (SR) by phone. If the SR is not available, continue up the SC chain of command until a live person is contacted. For incidents not involving injuries or significant damage, email notification is acceptable. The types of incidents which justify a phone call versus an email include:
    1. Injuries to State, Consultant, or Contractor personnel transported to a hospital by an ambulance.
    2. Incidents such as a falsework collapse, shoring failure, live utility line strike, crane tip-over, or impacts to the traveling public of 30 minutes or more.
  - iii. When requested, assist the RE with incident reporting.
  - iv. Assist the SC Supervisor in the investigation of incidents.
  - v. Secure the site and preserve any evidence.
  - vi. When applicable, facilitate access for emergency services and law enforcement to perform their tasks.
  - vii. If media arrive to the jobsite regarding the incident:
    1. Refer the media to the Public Information Officer (PIO) for comment
    2. Notify the RE, SR, and SC Supervisor.
  - viii. If Cal/OSHA arrives to the jobsite, follow the guidance on the Headquarters [OEHS website](#) and complete the [OEHS Guide for Cal/OSHA Inspections](#).
    1. Notify the RE, SR, and SC Supervisor.

3. SC Supervisors:

- a. For incidents involving serious injuries or significant incidents without injuries, notify the SC Manager, SC HQ Manager, SC Safety Senior Engineer, and SC Deputy Division Chief.
- b. For Cal/OSHA reportable injuries to SC staff, as defined in Cal/OSHA Title 8 CCR [§ 342](#), *Reporting Work-Connected Fatalities and Serious Injuries*, ensure that Cal/OSHA notifications occur within eight hours of notification of injury. If the local District Safety Officer cannot be reached, or requests that the SC supervisor perform the notification, follow the guidelines in the *Caltrans Employee Safety and Health Manual*, Chapter 19, *Special Reporting of Serious Injury, Illness or Fatality*. Complete the Cal/OSHA reporting template located in Appendix B, *Cal/OSHA Reporting Template*, of Chapter 19. This will ensure the SC supervisor will be able to answer the questions asked by Cal/OSHA.
- c. Investigate, analyze, and document every vehicle accident, occupational injury and/or illness, and near miss in the construction zone.
  - i. Investigate per the duties of the first line supervisor as described in the *Caltrans Safety and Health Manual*:
    1. Chapter 1, Section 1.07, *Incident Investigation*
    2. Chapter 4, *Accident Investigation and Analysis*.
  - ii. When possible, initiate the investigation within 24 hours and complete within 72 hours of the incident.
  - iii. Complete [Form HS-0005](#), *Incident Investigation*. Form HS-0005 is not required for a vehicle accident. Submit Form HS-0005 to the SC Manager, the SC HQ Manager, the SC Deputy Division Chief, and the SC Safety Senior Engineer.
- d. Communicate with the SC Manager on the status of the incident investigating and reporting.

4. SC Managers:

- a. Perform the investigation per the duties of the second line supervisor as described in the *Caltrans Safety and Health Manual*:
  - i. Chapter 1, Section 1.07, *Incident Investigation*
  - ii. Chapter 4, *Accident Investigation and Analysis*.
- b. Review the draft [Form HS-0005](#), *Incident Investigation* with SC Staff.
- c. Verify applicable reporting forms and [Form HS-0005](#), *Incident Investigation* is submitted. After review, forward Form HS-0005 to the DES Safety Officer.

- d. Communicate with the SC Deputy Division Chief and the DOC Area Construction Engineer of incident investigating and reporting.

## **Process Outputs**

1. [Form HS-0005](#), *Incident Investigation*
2. Depending on the type of incident or accident, a variety of forms will be required. The SC website, [Reporting Safety Incidents: Forms, Links, & Flow Charts](#), can be used as a reference. These forms may include:
  - a. [Form CEM-603](#), *Major Construction Incident Notification*
  - b. [Form PM-S-0066](#), *Report of Minor Incident*
  - c. [Form PM-S-0037](#), *Medical Treatment Authorization*
  - d. [Form SCIF 3301](#), *Employee's Claim for Workers' Compensation Benefits*
  - e. [Form PM-S-0012](#), *Acknowledgement of Receipt of SCIF 3301*
  - f. [Form SCIF 3067](#), *Employers Report of Occupational Injury or Illness*
  - g. [Form PMS-S-0067](#), *Data Input for Personal Injury Accident*
  - h. [Form STD 269](#), *Accident Identification Card*
  - i. [Form STD 270](#), *Vehicle Accident Report*
  - j. [Form HS-0270](#), *Data Input for Motor Vehicle Incident*
  - k. Cal/OSHA reporting template

## **Attachments**

None