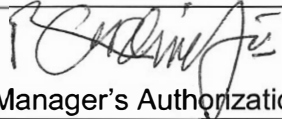


 City of Santa Ana Administrative Policies and Procedures	 City Manager's Authorization
	Section Human Resources Department
Subject Injury and Illness Prevention Program (IIPP) Title 8, California Code of Regulations, Section 3203	Date
	April 2, 2018

PURPOSE

To ensure City employees, contractors, volunteers and the general public are provided with a safe environment in which to work and conduct business; to ensure compliance with regulations governing injury and accident prevention and employee safety; to outline the responsibilities of directors, managers, supervisors and employees in maintaining safety practices; to establish a process for reporting violations of safety practices; and to summarize the procedures for investigating complaints regarding workplace safety and:

- Identify a person or persons with authority and responsibility for implementing the program;
- Communicate with employees regarding Health and Safety matters and how to report hazards;
- Develop compliance strategies;
- Provide procedures for identifying and evaluating hazards and unsafe conditions;
- Provide procedures to investigate accidents and incidents;
- Develop procedures for correcting hazardous conditions;
- Provide employee training programs; and
- Maintain documentation for Health and Safety programs.

BACKGROUND

Employees have the right to a safe working environment as well as the responsibility to familiarize themselves with safe work practices and procedures as established by the City, departmental policies and procedures, as well as applicable Federal and State regulations.

The Occupational Safety and Health Act of 1973 requires every employer to provide and maintain a safe and healthful workplace for employees. Title 8 of the California Code of Regulations (8CCR) requires every California employer to have an effective Injury and Illness Prevention Program (IIPP) which must be in accord with 8CCR Section 3203. The employer's IIPP must be a written plan that includes the following elements:

- Management commitment and assignment of responsibilities;
- Safety communications system with employees;
- System for assuring employee compliance with safe work practices;
- Scheduled inspection and evaluation system;
- Accident investigation;
- Procedures for correcting unsafe and unhealthy conditions;

- Safety and health training and instruction; and
- Recordkeeping and documentation.

POLICY

It is the policy of the City of Santa Ana that employees are obligated to follow the provisions set forth in the City's Injury and Illness Prevention Program (IIPP). Employees who violate the provisions of this plan may be subject to disciplinary action, up to and including termination.

It is also the policy of the City of Santa Ana that retaliation against an employee for reporting violations of the IIPP, for making a complaint regarding safe work practices, or for participating and cooperating in an investigation concerning safe work practices is prohibited and may result in disciplinary action, up to and including termination.

SCOPE OF APPLICATION

This policy shall apply to all City of Santa Ana employees, including but not limited to management, non-management, full-time, part-time, part-time civil service, seasonal, employees appointed on a temporary basis, City officials, contractors, and interns unless the employee has an obligation to adhere to more stringent or different standards (e.g., essential functions of the job and POST requirements for sworn Police personnel).

City departments: City Attorney; City Manager; Clerk of the Council; Community Development; Finance and Management Services; Information Technology; Human Resources; Parks and Recreation; Planning and Building; Police; Public Works.

Hazards present at City of Santa Ana workplaces have been recognized to be:

- Moving Parts and Machineries
- Chemical Hazards
- Physical hazards
- Biological Hazards
- Pressure Vessels
- Electrical Hazards
- Heat and Cold
- Falling Objects
- Ergonomics Hazards
- Uneven Surfaces
- Slip and fall at ground level or at heights
- Confined Spaces
- Pools
- Animals and Zoo related activities
- Traffic control and related activities

- Other Hazardous Machineries, surfaces, and materials including Proposition 65 materials

RESPONSIBILITIES

The City of Santa Ana's City Manager, Raul Godinez, or his/her designee, has the authority and responsibility for ensuring that the provisions of this IIPP are successfully implemented. The City Manager has delegated the IIPP implementation and oversight responsibilities to the Executive Director of Human Resources, Steven Pham, or his/her designee.

Responsibilities of the Executive Director of Human Resources

The Executive Director of Human Resources shall:

- Oversee the City's implementation of this IIPP.
- Ensure adequate and appropriate employee training programs are offered on a regular basis.
- Ensure employees receive regular and effective communications regarding safety training and safety programs, rules and regulations.
- Ensure all workplace and on-the-job accidents are reported to the appropriate authorities as per regulatory provisions.
- Ensure accidents on the job are timely investigated by the appropriate staff.
- Based on the results of an authorized investigation, work in conjunction with the impacted department to implement the appropriate disciplinary measures for safety violations as per Cal-OSHA regulations, and in accordance with City practice and negotiated labor contract provisions.
- Monitor City's compliance with Federal, State and local safety rules and regulations.
- Delegate responsibility and accountability to Department Managers.

Responsibilities of the City Safety Committee

The City Safety Committee is comprised of representatives of each Department. The Executive Director of Human Resources, or his/her designee chairs the committee. The combined expertise should result in adequate technical knowledge sufficient to identify and offer remedies of hazards within the organization. The Safety Committee's responsibility is to ensure that all provisions of the Injury and Illness Prevention Program specific to all departments are implemented. The Safety Committee representatives shall:

- Meets an average of six (6) times per year, and never less than quarterly (four (4) times per year) to perform the following functions:
 - a. Analyze effectiveness of the Injury and Illness Prevention Program and develop policy recommendations to meet City's safety compliance needs.

- b. Review safety problems and recommend practical and cost effective solutions to the problems.
 - c. Receive reports and review actions of the Department safety representatives.
 - d. Review workplace reports of injuries, illness, accidents, incidents, inspections, as well as supervisor investigations and corrective actions taken.
- Advise department managers on safety and health policies as they pertain to the specific areas of work.
 - Maintain compliance to current information on Local, State, and Federal regulations as they pertain to the department functions.
 - Assist in investigating accidents as necessary to identify cause(s) and implement corrective action to prevent future occurrences.
 - Ensure that all recommendations to enhance the safety of our employees are carried out by follow-up inspections and take additional action, as appropriate.

Responsibilities of all Department Managers

Department Managers shall:

- Familiarize themselves with City and Department safety policies, programs and procedures.
- Ensure effective implementation of this IIPP within their department, division or unit.
- Provide and/or facilitate appropriate safety training to employees.
- Ensure employees who require training pursuant to Cal-OSHA regulations receive the training in a timely manner.
- Ensure all safety and health policies and procedures, including this IIPP, are clearly communicated and understood by employees.
- Consistently and fairly follow and enforce all State, City and Department safety rules.
- Investigate, or facilitate the appropriate investigation of safety concerns or accidents that occur on the job within the Director's or Manager's department.
- Based on the results of an authorized investigation, work in conjunction with the Human Resources Department to implement the appropriate disciplinary measures for safety violations as per Cal/OSHA regulations, and in accordance with City practice and negotiated labor contract provisions.
- Encourage employees to report workplace hazards, and emphasize that such reporting may be done without fear of reprisals.
- Ensure all workplace health and safety violations are timely documented and the appropriate personnel notified.

Responsibilities of all Supervisors

City Supervisors shall:

- Become familiar with and follow all Federal, State, City and departmental safety regulations, policies, practices, programs and procedures.
- Consistently and fairly apply all pertinent safety rules, practices and procedures.
- Ensure employees successfully complete required safety training prior to assigning job duties.
- Document all safety training provided to employees.
- Inspect work areas on a periodic basis to ensure compliance with health and safety rules and regulations.
- Monitor employees' safety performance on the job.
- Ensure unsafe conditions are mitigated as soon as feasibly possible, as per City and other appropriate regulatory rules.
- Encourage employees to maintain safe working conditions and areas by enforcing proper housekeeping procedures.
- Encourage employees to report workplace hazards or unsafe working conditions.
- Ensure all workplace injuries, no matter how minor, are treated immediately.
- Ensure all workplace injuries are documented appropriately. When needed, workplace injuries shall be referred to the Human Resources Department (Workers' Compensation/Loss Control) for further action.
- Ensure all workplace health and safety violations are timely documented and the appropriate personnel notified.
- Cooperate with department management and the Human Resources Department as appropriate, if discipline is instituted for violations of City safety policies, practices or procedures.

Responsibilities of all Employees

Employees shall:

- Follow their Department heads', Managers' or Supervisors' safety directives.
- Comply with the provisions of this written plan.
- Obtain clarification on any provision in this Plan that they do not understand.
- Report to work in an appropriate mental and physical condition, unimpaired by drugs, alcohol or controlled substances.
- Inform Supervisors if there is a reason they are unable to perform the essential functions of their job.
- Wear appropriate safety equipment as required when performing job duties.
- Maintain equipment in proper working order and good condition.

- Immediately report all injuries, accidents and near misses, no matter how minor, to a Supervisor.
- Report unsafe acts, work practices and working conditions without fear of reprisal.
- Complete the necessary training for their job.
- Complete Health and Safety training, as directed by Supervisors, Managers or Department heads.
- Maintain their work area in a safe and healthful condition.
- Cooperate fully with all authorized investigations regarding accidents and safety practices.

SAFETY COMMUNICATION

Communication between Management and Employees

The City shall promote and/or facilitate a variety of communication means with employees to support an injury-free and safe workplace. Communication and sharing of relevant information shall include but not be limited to the following:

- Regularly scheduled City Safety Committee meetings: review inspection results, accident investigation reports, OSHA logs, workers' compensation claims, public liability claims and employee exposures/complaints; make recommendations to the City Manager and other appropriate agencies to correct and prevent incidents of workplace injuries or safety violations. Meets an average of six (6) times per year, but not less than four (4).
- New Employee Safety Orientation: discuss Health and Safety policies, and the IIPP.
- Regularly scheduled Department safety meetings: review IIPP; explore ways to prevent incidents of workplace injuries or safety violations; discuss safety concerns.
- Regularly scheduled training programs.
- Employee safety bulletin boards in areas employees routinely visit, such as a break rooms or main entrances.

HAZARD ASSESSMENT AND CORRECTION

The City shall continuously undergo Health and Safety inspections.

Inspections shall consist of:

Identification and evaluation of workplace hazards, utilizing applicable sections of Title 8 of the California Code of Regulations and any job-specific inspection process that may be required by other agencies (for example, Peace Officer Standards and Training (POST) or the State of California).

Unsafe or unhealthy work conditions and hazards should be corrected as soon as they are identified.

I. Assessment of Hazards

Inspection of the workplace is a primary tool to identify and evaluate unsafe conditions and work practices. While the City encourages all employees to continuously identify and report hazards and poor safety practices certain situations require formal evaluation and documentation. Along with each inspection, the department head or designee shall evaluate the severity of the hazard identified and, if it cannot be abated immediately, suggest priority for corrective action. All inspections and findings shall be fully documented and kept on file.

The department head or designee will conduct an inspection whenever any of the following occur:

- A. Routinely in each work area. The department head or designee will set the time and frequency of inspections according to the type of work being performed.
 - The person or persons conducting the inspection should review workplace injury reports and inspection records since the last inspection.
 - Follow up on any complaints or concerns expressed by employee(s).
- B. The introduction of new substances, process, procedures, or equipment that present a new safety and health hazard.
 - Each supervisor is responsible for promptly reporting to the department head and Risk Management whenever a new substance (i.e., chemical or solvent), new work procedure or technique, and/or new equipment are introduced which may cause a safety risk.
 - Each supervisor report should include an evaluation of the potential hazard or hazards, and training or other steps which may possibly abate the hazards.
 - Based upon the information received, the Department head or designee will conduct an inspection and issue any directive which may be necessary.
- C. The department head becomes aware of a new or previously unrecognized hazard, either independently, by receipt of information from an employee, or entry of a new job function or condition which is a recognizable hazard.
- D. Occurrence of an occupational injury, occupational illness, or a near miss accident.
- E. From time to time, the department head or designee may conduct unannounced inspections.

II. Reporting of Hazards and Unsafe Conditions

As a condition and requirement of employment all employees are required to report hazards and unsafe conditions in the workplace to their Supervisor or Manager. The Supervisor and/or Manager will take prompt and appropriate action to determine if a hazard

exists. If it is determined that a hazard does in fact exist, it will receive immediate attention for correction or interim protective measures until it can be alleviated. Regardless of whether or not a hazard is determined, the reporting employee may be notified of the corrective action or procedures to eliminate the hazard. If practical, this information may be shared with all employees of the facility. All reports of hazards and corrective measures/action taken will be documented and kept on file. Management will review this documentation. Pertinent information will be made available for employee review.

III. Abatement of Hazards

It is the City's intention to eliminate all hazards and unsafe work practices immediately. However, some corrective actions require more time; priority will be given to severe and imminent hazards.

- A. Hazard assessment forms will be used to describe the measures taken to abate the hazard or correct the unsafe work practice. All such steps and the dates completed shall be documented on the appropriate forms and maintained on file. Steps to be taken may include, but are not limited to:
 - Fixing or replacing defective equipment
 - Implementing safer procedures
 - Installing guards or modifying equipment
 - Providing personal protective equipment
 - Training employees
 - Posting warning signs and notices
- B. While corrective action is in process, necessary precautions are to be taken to protect or remove employees from exposure to hazards.
- C. Employees shall not enter an imminent hazard area without prior specific approval of the Department head, Supervisor, or Safety Committee Member. Employees expected to correct the imminent shall be properly trained and provided necessary safeguards.

ACCIDENT REPORTING AND INVESTIGATION

I. Administrative Duties

All accidents shall be investigated by department Supervisor(s) to determine the root cause(s) of the accident. The Department Head is responsible for all facets of the investigation and has full authority to make necessary decisions to ensure the success of any hazard corrections necessary as a result of an accident investigation.

II. Accident Reporting Procedures

Employees injured on the job are to report the injury to their Supervisor as soon as possible after the incident/accident.

The Supervisor must immediately notify the Risk Management Division when an incident/accident occurs by completing and timely submitting all applicable forms.

Any employee witnessing an accident at work is to call for emergency help or any assistance necessary. In addition, the employee should immediately report the accident to his/her supervisor and take part in answering questions related to the Accident Report and Investigation.

If a workplace accident results in fatality or injury or illness requiring inpatient hospitalization for a period in excess of twenty-four (24) hours for other than medical observation, or in which an employee suffers the loss of any member of the body, or suffers any serious degree of physical disfigurement, Risk Management shall report the incident within eight hours by phone or in person to the nearest Cal/OSHA office.

III. Accident Investigation

Please see Guidelines for Conducting an Investigation and training materials.

HEALTH AND SAFETY TRAINING

The Executive Director of Human Resources shall ensure City compliance with Cal/OSHA and City health and safety training requirements, and shall ensure employees receive regular and effective communications regarding safety training and safety programs, rules and regulations. Examples of the types of training to be offered include, but are not limited to:

- Federally mandated training as required for employees' job functions (i.e., Department of Transportation [DOT] safety-sensitive employee drug and alcohol testing; DOT safety-sensitive Supervisor's 'Reasonable Suspicion Drug and Alcohol' testing).
- Cal/OSHA mandated training for employees' job functions.
- City mandated training for employees' job functions.
- Other training required by federal, state and municipal rules and regulations.
- Other training determined to be necessary by the City Manager, Executive Director of Human Resources or employees' department head.

Employee training shall be offered under, but not limited to, the following circumstances:

- To all employees new to the City and/or to a particular work assignment, unless the employees provide documentation and/or proof of current valid training (i.e., a certificate of training from another employer or agency);
- To all employees with respect to hazards specific to their job assignment;
- To supervisors and/or managers when necessary to familiarize them with the safety and health hazards to which workers under their immediate direction and control may be exposed;

- Whenever new equipment, substances, processes, and procedures are introduced to the workplace which may pose or represent a new hazard or non-routine hazard;
- Whenever the employer is made aware of a new or previously-unrecognized hazard;
- As required by other agencies (i.e., Police Officers' Standards Training (POST) Council, County Agencies, Municipal Water Boards, Department of Motor Vehicles (DMV), DOT, etc.) for continuing education and/or certification for employee to function on behalf of the City.

In addition to the above, and at a minimum, workplace health and safety training and practices for all City employees shall include, but not be limited to, the following:

- Explanation of the City's IIPP, Emergency Action Plan and Fire Prevention Plan;
- Instructions on how to report any unsafe conditions, work practices, and injuries;
- Explanation on what to do when additional instruction is needed;
- Job specific instructions regarding non-routine hazards unique to job assignment, to the extent that such information was not already covered in other training;
- Information regarding availability of toilet, hand-washing, shower, drinking water, and emergency eyewash/shower facilities;
- Instructions on how to select, use, store, and replace personal protective equipment (PPE) such as clothing, gloves, footwear, respirators, hard hats, eye protection, and hearing protection;
- Information about chemical hazards to which employees may be exposed;
- Information regarding other hazard communication programs;
- Information regarding the provisions for medical services and First Aid, including emergency procedures; and
- Information regarding the name, telephone number, and location of the medical clinic and nearby hospital where employees should be taken for treatment.

RECORDKEEPING AND DOCUMENTATION

The Executive Director of Human Resources shall ensure City compliance with Cal/OSHA and City recordkeeping requirements. Examples of the types of health and safety documentation subject to this provision include, but are not limited to:

- OSHA 300-Log of Work-Related Injuries and Illness;
- Safety Committee Meeting notes;
- Accident investigation notes, memorandums and required forms;
- Memorandums or other official documentation regarding discipline implemented as result of accident investigations;
- Training records;
- Safety inspection records;
- Hazard assessment and correction records.

Attachments:

- A. Guidelines for Conducting an Accident Investigation
- B. Supervisors Accident/Incident Investigation
- C. Employee Report of Injury
- D. Witness Statement
- E. Facility Inspection/Hazard Assessment
- F. Job Hazard Analysis

Attachment A

GUIDELINES FOR CONDUCTING AN ACCIDENT INVESTIGATION

1. Why Accidents Are Investigated

The first step in the accident investigation process is understanding why accidents are investigated. There are many reasons for conducting an accident investigation, and, when performed properly, the results of an investigation can provide important information to help you prevent future accidents. A thorough investigation of an accident will often help:

Show concern for employees. Thorough investigations show employees that you are working hard to prevent future accidents and that you are committed to providing a healthy and safe working environment.

Prevent repeat accidents. Breaking the chain of accident repetition is probably one of the most important reasons behind accident investigations. There are at least two reasons for this, including:

- Repeat accidents are an indicator of problems in the workplace, and
- Frequency breeds severity – the more accidents a workplace experiences, the greater chance of a severe accident.

Identify root causes of accidents. Your goal should be to identify the failures at a deep level in order to prevent not only a recurrence of the accident, but also all of the potential accidents stemming from the same root cause.

Address liability issues. The best defense against liability issues at your facility is to take all necessary steps to provide a safe and healthy working environment and to prevent accidents from occurring. Proper accident investigation shows that you are committed to prevention.

Expose errors in processes. Exposing errors in processes is an important part of accident investigation because one or more errors may have played a part in the accident. Some of these errors may include poor attitude, lack of proper tools or equipment, and lack of guards or similar safety devices.

Identify and eliminate hazards. Effective management identifies and prevents hazards or minimizes the harm from job-related injuries and illnesses.

Hazards identified through assessment:

- Establish procedures to correct or control all current and potential hazards;
- Provide for facility and equipment maintenance so that malfunctions are reduced;
- Plan and prepare for emergencies, and conduct training and drills as needed; and
- Establish a medical program, which includes availability of first aid on site so that harm will be minimized if an injury or illness does occur.

Correct unsafe acts and conditions. While investigating an accident, it is likely that you will discover some unsafe conditions that may have contributed to the accident. Some of the more typical methods of finding unsafe acts and conditions in your facility include observation, interviews, employee records, and surveys.

Provide information to make recommendations. Often times, a thorough accident investigation will result in recommendations being made for improving a process or for reducing hazards in a work area. Some examples of recommendations may include increasing lighting in a work area, installing or improving machine guarding, establishing new procedures for general housekeeping, or improving communication between management and employees.

2. Respond to the Accident Scene

When responding to the scene of an accident, you should:

Assess the scene. Rescuer/responder safety is always the first priority. Something injured the victim or made them ill. Before taking action, identify the hazard(s) and determine if it is safe to proceed with the capabilities and protections you have.

Evaluate the situation. As you arrive at the scene, try to get an overall picture of what has just taken place. The first few minutes of observation will likely provide you with a good indication of what just happened, how it happened, and what needs to be done next.

Assess the condition of the victim(s). Victim assessment determines the extent and location of any injury that the victim may have and who needs medical attention first. Some of the most important things to immediately check for are whether or not the victims are breathing, if they have life-threatening injuries, or if they are in shock. Call 911, if applicable.

Notify emergency medical services personnel. If, after assessing the condition of the victim(s), you find that they will require medical attention, send someone to call your facility's emergency response team and/or local EMS personnel. Call 911.

Perform basic First Aid as necessary. While waiting for EMS personnel to arrive, all trained and qualified personnel should begin performing first aid on any injured accident victims.

3. Control the Accident Scene

In order to control an accident scene, you should:

Secure the accident scene. Securing the accident scene is necessary to protect those working at the scene. In order to secure the accident scene area, you should ensure that you and the victim(s) are in no further danger from things such as falling debris, sharp objects, or rolling equipment.

Prevent additional accidents from occurring. Workers responding to the scene might be in a hurry and they may not notice the hazards at the accident scene. In order to prevent additional injured personnel, there are several things you can do to protect them, including:

- Issuing personal protective equipment,

- Isolating pressurized systems, or
- Providing emergency lighting.

Protect City property from further damage. Protecting City property from becoming further damaged should be one of your priorities. Without disturbing the scene, you may place markers or pylons around evidence(s).

Preserve evidence. Because the evidence collection process is important, someone should be in charge of protecting the accident scene. If someone is not in control of the accident scene, it is likely that evidence will be moved, swept up, mopped up, or even thrown away inadvertently. Pictures could help preserve most evidence.

Keep upper management informed. Because everyone, including the upper management is responsible for the health and safety of the workforce, managers should be continuously informed of the accident investigation results and progress, what steps were taken to prevent immediate similar accidents from occurring, and any support needed to continue the process of the accident investigation.

4. Investigating the Accident

When investigating the accident, you should:

Identify the evidence. Evidence is anything that is real, has substance, and helps to establish the facts of an accident investigation. Types of evidence can include the following items:

- Position of tools and equipment;
- Equipment operations logs, charts, and records;
- Equipment identification numbers;
- Housekeeping records;
- General working environment.
- Floor or surface condition.

Identify contributing factors. In addition to physical evidence, there may be other factors that contributed to the accident. Some examples of contributing factors that you may want to consider investigating include:

- Operational errors;
- Violations of rules or procedures;
- Employee attitude, and knowledge;
- Health and safety records; or
- Alcohol and drug abuse.

Collect the evidence. Collecting evidence consists of locating, identifying, and preserving accident information so that it can be analyzed later, and used to determine the cause of the accident. Some methods of collecting evidence for future analysis include photographs, sketches and notes, and personal interviews.

Photograph the accident scene. Photographs document the facts surrounding the accident and provide the investigator with accurate information about the accident. In order to preserve the facts, instruct the employees at the accident scene not to move equipment or other items involved in the accident until photographs have been taken. If equipment must be moved to rescue injured workers, instruct the rescuers to move only what is necessary.

Write notes. Investigation notes should focus on the: who, what, when, where, how, and why facts of the accident. Taking good notes is important because they are used to develop the final accident investigation report.

Interview observers. When interviewing the victim(s) and observers, your goal should be to get the facts, not to assign blame, criticize, or point out how inconvenient, expensive, or legally damaging the situation may be.

To conduct a productive interview, consider the following points:

- Make time for the interview as soon as possible after the accident, and, if possible, perform the interview at the scene of the accident.
- Do not start the process with any other goal, but to understand what happened and how it happened.
- Do not suggest any ideas or implant any thoughts in to the process. You are there simply to document FACTS.
- Verify the employee's physical and mental condition, especially if interviewing at the accident scene.
- Keep things on a personal level in terms of maintaining concern for the employee's wellbeing. Doing so helps to avoid a defensive reaction.
- Put the employee at ease. This can be done by wearing clothes that employees are comfortable with; most interviewers avoid wearing a suit and tie in these circumstances.
- Let every person involved in this process know that your job is to gather information and help understand what took place before, during, and after the accident took place and let them speak as they wish to express their thoughts.

5. Review the Evidence

Review the evidence that was gathered during the investigation. When reviewing evidence, you should:

Review notes. Your investigative notes should focus on the: who, what, when, where, how, and why facts of the accident.

Review sketches and photographs. Sketches and photographs preserve the facts surrounding the accident and provide the investigator(s) with accurate information about the accident. Sketches of the accident scene should complement your photographs by providing additional detail that a photograph cannot provide, such as distances, locations of people and equipment, and structural and/or geographical data.

Re-examine the physical evidence. Examining the various types of evidence collected during the investigation process and combining this information with the notes, photographs, and sketches should help you determine a root cause of the accident. Types of physical evidence you might want to re-examine include:

- Position of tools and equipment;
- Equipment operations logs, charts, and records;
- Identification numbers of equipment;
- General housekeeping of the accident area;
- Working environment of the accident area; and
- Floor or surface conditions of the accident area.

Consult with witnesses and victims as necessary. If, after reviewing all of the evidence that you have collected, you are unsure about some of the facts, you may want to further discuss the accident with the witnesses and victims.

6. Determine the Root Cause(s) of the Accident

Determine the root cause(s) of the accident through reconstruction of the event you just investigated. When determining the root cause(s), you should:

Examine each potential cause. Once all of the possible causes have been identified, each one should be examined until a root cause is identified. At this point, it is important not to focus on one particular suspected cause because all factors that led up to the accident need to be examined and eventually corrected.

Examine the reasons for employee actions. When looking for root causes to an accident, it will be helpful for you to determine why an employee acted the way they did prior to the accident. Or, you might want to look at the specific conditions of the task just prior to the accident. Some questions you may want to consider include:

- Was there something unusual or different about the job or task on the day of the accident?
- Was the employee properly trained?
- Was there a communications breakdown between employees and Supervisors?

7. Develop Corrective and Preventive Actions

Develop a list of corrective and preventive actions that will prevent similar future accidents at your facility. To determine the corrective and preventive actions that should eventually be recommended to the Department manager, you should:

Evaluate the root cause(s) of the accident. Once you have determined the root cause(s) of the accident, evaluate it/them to determine how the cause can be prevented from occurring in the future. With the help of other supervisors, managers, and employees, discuss ways to remove the root cause(s) from the system.

Determine how to reduce or eliminate root causes from all workplace activities. There are several steps that you can take to reduce or eliminate the root cause(s) of the accident from your facility's workplace activities. Keep in mind that a root cause can be a mechanical problem with a machine or a personal problem with an employee.

Some options for reducing or eliminating root causes may include:

- Seeking input from employees;
- Conducting hazard assessment training classes;
- Establishing procedures to correct or control all current and potential hazards;
- Providing for facility and equipment maintenance; and
- Conducting job refresher training classes.

8. Communicate Results

Communicate the results of the investigation to management. When reporting the results of the investigation, you should:

Describe the accident. Provide a complete description of the accident including information about the who, what, when, where, how, and why facts of the accident.

Report the facts of the accident. This part of the report should cover the investigation in a logical sequence that eventually begins to focus on the suspected causes of the accident.

Report the root cause(s) of the accident. This part of the report is essentially an analysis of the information gathered during the investigation. You should provide information about the potential causes of the accident, any related employee actions that may have contributed to the accident, and, finally, the root cause(s) of the accident.

Report your recommendations. In order to help prevent future accidents, the results of the accident investigation must be reviewed with appropriate operating, maintenance, and other personnel whose work assignments are within the facility where the accident occurred.

Attachment B



CITY OF SANTA ANA
SUPERVISOR'S ACCIDENT/INCIDENT INVESTIGATION
 To be completed by the employee's Supervisor or other responsible administrative official.
(Use additional paper if necessary)

Department OSHA Log #: _____

Injured Employee:

Name of Injured Employee: _____ Cell #: _____
Last First

Department/Division: _____ Date of Hire: _____

Classification: _____ Length of time in this classification: _____ Shift: _____

Accident/Injury Information: (Supervisor's Notes and Observations)

Accident/Injury Date: _____ Time Occurred: _____ ☐ a.m. ☐ p.m.
 Date Injury Reported: _____ Time Reported: _____ ☐ a.m. ☐ p.m.
 Location of Accident: _____ Area: _____
(Address/Name of Building) (Loading dock, bathroom, etc.)

What was the employee doing when injury/illness occurred? _____
 What equipment was being used? _____
 Was the equipment damaged or malfunctioning at the time of the injury/illness? _____
 Describe fully how accident/injury occurred. Include events that occurred immediately before the accident. _____

Type of Injury:
 Part(s) and side of body affected/injured (be specific): _____
 Nature and extent of injury/illness and/or property damaged (be specific): _____

Analysis:
 What could be the cause(s) of this accident/injury? _____
 What is the chance of it happening again? ☐ High ☐ Moderate ☐ Rare
 What action has or will be taken to prevent a recurrence? _____
 Who has or will take the action? _____ When will the action be taken? _____

Please indicate all of the following which may have contributed to the Injury or Illness:

☐ Bypass of safety devices	☐ Not following procedures	☐ Slippery/unsafe surface	☐ Lack of training/knowledge
☐ Improperly guarded equipment	☐ Defective equipment	☐ Operating without authority	☐ Poor housekeeping
☐ Contact with poisonous plants	☐ Insects/bites	☐ Not using protective equipment	☐ Other: _____

Did employee seek medical treatment? ☐ Yes ☐ No

If yes, check attending clinic:
☐ Coastline Urgent Care - 1421 W. MacArthur Blvd., Suite #E, Santa Ana, CA 92704 - (714) 710-3030
☐ ProCare Work Injury Center - 17232 Red Hill Avenue, Irvine, CA 92614 - (949) 752-1111
☐ U.S. HealthWorks - 800 N. Tustin, Suite A, Santa Ana, CA 92705 - (714) 245-0800
☐ U.S. HealthWorks - 1619 E. Edinger, Santa Ana, CA 92705 - (714) 542-8904

Was employee trained on all subject matters related to this injury? ☐ Yes ☐ No ☐ N/A
 Type of training and date of training: _____
 Was employee counseled or advised on issues that may have contributed to this accident? ☐ Yes ☐ No ☐ N/A
 Did the employee promptly report the injury/illness? ☐ Yes ☐ No
 Is there modified duty available? ☐ Yes ☐ No ☐ N/A

Supervisor's name (please print) _____

Supervisor's signature _____

Cell # _____

Date _____

Department Manager Signature _____

Date _____

Distribution: White/Original - Workers' Compensation M-41
Yellow/Copy - Supervisor's Copy
Revised: June 2016

Attachment C



CITY OF SANTA ANA
EMPLOYEE'S REPORT OF INJURY
 To be completed by the Employee
(Use additional paper if necessary)

Employee Information: (print clearly)

Name: _____ Gender: ☐ M ☐ F
Last First Middle

Date of Birth: ____/____/____ Work Telephone #: _____ Contact Telephone #: _____

Home Address: _____

City: _____ State: _____ Zip Code: _____

Department/Division: _____ Classification Title: _____

Length of time in this classification: _____ Date of Hire: _____

Accident/Injury Information:

Accident/Injury Date: _____ Day of Week: _____ Time Occurred: _____ ☐ a.m. ☐ p.m.

Date Injury Reported: _____ If date reported different from injury date, give reason: _____

Location: _____ Area: _____
(Address/Name of Building) (Loading dock, bathroom, etc.)

Describe fully how accident/injury occurred. Include events that occurred immediately before the accident.

Type of Injury:

☐ Amputation	☐ Bruising	☐ Burn/Scald	☐ Chemical Reaction	☐ Dislocation
☐ Foreign Body	☐ Fracture	☐ Internal	☐ Laceration/Cut	☐ Scratch/Abrasion
☐ Strain/Sprain	☐ Continuous Trauma	☐ Other (specify): _____		

Remarks: _____

Injured Part of Body (e.g., Head, back, groin, etc., and indicate left or right): _____

Name of supervisor: _____ Telephone #: _____

Name(s) of witness(es): _____ Telephone #: _____
(Attach witness(es) report(s))

Name(s) of witness(es): _____ Telephone #: _____
(Attach witness(es) report(s))

When did you report the accident/injury to your supervisor? _____

To whom did you report the accident/injury? _____

Do you require medical attention? ☐ Yes ☐ No

Have you been treated by a physician for this injury before? ☐ Yes ☐ No

Physician's Telephone #: _____

What can the City of Santa Ana do to help prevent similar accidents? _____

Signature of employee: _____ Date: _____

Attachment D

	CITY OF SANTA ANA ACCIDENT WITNESS STATEMENT To be completed by accident Witness <i>(Use additional paper if necessary)</i>
Injured Employee Information: (print clearly)	
Name: _____ Last First Middle	
Witness Information:	
Name: _____ Last First Middle	
Home Address: _____	
City: _____ State: _____ Zip Code: _____	
Contact Telephone #: _____ Is witness a city employee? ☐ Yes ☐ No	
If witness is a city employee, complete the following:	
Department/Division: _____ Classification Title: _____	
Date of Hire: _____ Supervisor: _____ Contact Telephone #: _____	
Accident/Injury Information:	
Accident/Injury Date: _____ Day of Week: _____ Time Occurred: _____ ☐ a.m. ☐ p.m.	
Location: _____ Area: _____ (Address/Name of Building) (Loading dock, bathroom, etc.)	
Describe fully how accident/injury occurred. Include events that occurred immediately before the accident:	
_____ _____ _____ _____ _____	
Describe bodily injury sustained (be specific about body part(s) affected):	
_____ _____ _____ _____	
Recommendation on how to prevent this accident from recurring:	
_____ _____ _____ _____	
Signature of Witness: _____ Date: _____	
 Distribution: White/Original - Workers' Compensation M-41 Yellow/Copy - Supervisor's	

Attachment E



CITY OF SANTA ANA
INJURY & ILLNESS PREVENTION PROGRAM
Facility Inspection/Hazard Assessment

Department/Division: _____

Location (address/name of building): _____

Department Contact: _____

Phone Number: _____

Person Conducting Inspection: _____

Date of Inspection: _____

Unsafe Condition or Work Practice	Location (Floor, Room Number, etc.)	Insert Photograph (if available)	Priority (High, Medium, Low)	Person Assigned to Take Correction Action	Corrective Action Taken and Date

Comments: _____

Attachment F



CITY OF SANTA ANA
Injury and Illness Prevention Program
Job Hazard Analysis

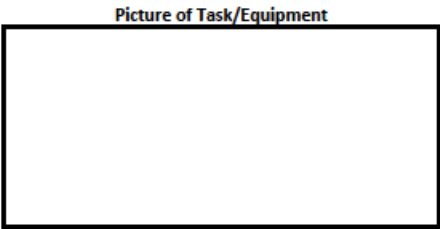
Department/Division: _____

Department Contact: _____

Task: _____

Job Title(s): _____

Analyzed by: _____ Date: _____



Required Personal Protective Equipment:	_____
Required/Recommend Training:	_____

TASK	HAZARD	CONTROLS