# California Institute of Technology

# INJURY AND ILLNESS PREVENTION PROGRAM

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## Table of Contents

# INTRODUCTION

The California Institute of Technology (Caltech) is committed to conducting work activities in a manner that promotes the safety and health of employees and complies with all applicable occupational health and safety regulations. Activities at Caltech should be conducted in accordance with the following guiding principles:

- The responsibility for implementing and maintaining a safe work environment rests on all employees at Caltech;
- Supervisory personnel are responsible for establishing safe work practices in their respective laboratories or workplaces, and for providing safe equipment and facilities for employees;
- All employees are expected to follow proper and safe work procedures, and to report accidents, unsafe conditions or practices promptly to their Supervisor; and
- Institute activities must comply with all applicable federal, state, and local environmental, health and safety laws and regulations.

Per *California Code of Regulations (CCR), Title 8, § 3203*, Caltech has implemented this Injury and Illness Prevention Program (IIPP) which describes specific requirements for program responsibility, compliance, communication, hazard assessment, and accident / exposure investigations. A copy of the IIPP is *available online,* as well as at the Environment, Health, and Safety Office.

# RESPONSIBILITIES

The ultimate responsibility for Caltech's IIPP rests with the President of the Institute.

## PROGRAM ADMINISTRATOR

The Program Administrator is:

    Name:       Casimir Scislowicz, ARM
    Title:      Director – Environment, Health, and Safety
    Address:    1200 E. California Blvd., M/C B125-6, Pasadena, CA 91125
    Telephone:  (626) 395-6727

## ASSOCIATE VICE PRESIDENTS, DIRECTORS, AND DIVISION OPERATIONS OFFICERS

Associate Vice-Presidents, Directors, and Division Operations Officers are responsible for ensuring:

- Individuals under their management have the authority to implement appropriate health and safety policies, practices, procedures, and programs;
- Areas under their management have funding for health and safety programs, practices, policies, procedures, and equipment; and
- Areas under their management are in compliance with Caltech's health and safety practices, policies, procedures, and programs.

## SUPERVISORY PERSONNEL: FACULTY AND SUPERVISORS

Faculty and Supervisors are responsible for implementing Caltech's IIPP. This includes:

- Ensuring that workplaces and equipment are safe, well maintained, and in

compliance with local and federal governmental regulations as well as Caltech's policies, procedures, programs, and practices;

- Ensuring that workplace safety and health practices and procedures are clearly communicated and understood by employees through training programs;
- Enforcing health and safety rules fairly and uniformly as they relate to job performance;
- Acknowledging employees who make a significant contribution to maintenance of a safe workplace, and disciplining employees who fail to follow safe work practices;
- Encouraging employees to report workplace hazards without fear of reprisal;
- Ensuring that periodic, scheduled workplace inspections/surveys are conducted, and that identified health and safety deficiencies are corrected in a reasonable time period;
- Ensuring that workplace incidents (i.e., injuries, exposures, or illnesses) are reported and investigated, and that corrective actions are taken; and
- Ensuring that inspections/investigations and employee records are kept for the designated time period(s).

## EMPLOYEES

Employees are responsible for following the requirements of this IIPP, which involves:
- Keeping themselves informed of conditions affecting their health and safety;
- Participating in training programs as required;
- Adhering to healthy and safe practices in their workplace; and
- Reporting to their Supervisors any potential workplace hazards and incidents (i.e., injuries, exposures, or illnesses).

## ENVIRONMENT, HEALTH, AND SAFETY OFFICE

The Environment, Health, and Safety Office (EHS) is responsible for the development and administration of the IIPP, which involves:
- Training;
- Assisting in conducting workplace hazard assessments to identify, evaluate, and correct hazards; and
- To review, update, and evaluate the overall effectiveness of the IIPP.

## COMPLIANCE

Managers and Supervisors are responsible for ensuring that all workers comply with the safe practices to include:
- Recognition for following safe and healthful work practices;
- Providing training when safety performance is deficient; and
- Disciplining workers for failure to comply with safe and healthful work practices.

## COMMUNICATION

Supervisors and managers must communicate with their employees, contractors and volunteers about occupational hazards and appropriate protective measures, in a manner readily understood by all personnel. Communication strategies include the

following:
- Multi-tiered training program;
- Meetings;
- Supporting safety programs, policies, and guidelines;
- Health and Safety Resources; and
- Process to report workplace hazards.

## TRAINING

The objective of the Institute's safety training program is to protect the health and safety of employees. Training is provided:

1. To all new employees;
2. To employees given new job assignments for which training has not previously been received;
3. Whenever new substances, processes, procedures or equipment are introduced to the workplace and represent a new hazard;
4. Whenever the employer is made aware of a new or previously unrecognized hazard; and,
5. For supervisors to familiarize themselves with the safety and health hazards to which employees under their immediate direction and control may be exposed.

### *MULTI-TIERED TRAINING PROGRAM*

Caltech organizes its training system into a multi-tiered program as described below:

#### Tier 1: New Employee Orientation
- New Employee Orientation is provided *by Human Resources* to all new employees. This includes information on Caltech's health and safety policies and practices, employee health and safety rights and responsibilities, health and safety services, and what the employee should expect in terms of further training.

#### Tier 2: Program-Specific Training
- Employees are required to have *program-specific* training on hazards they may encounter in labs, shops, or other workplaces.

#### Tier 3: Workplace-Specific Training
- *Supervisors* ensure employees are appropriately trained. Specific training is defined by the hazards employees work with in their environment.

#### TRAINING RESOURCES FROM EHS
- EHS assists Divisions and Departments in providing health and safety training to employees on a variety of topics. Training information can be accessed on-line through*: http://safety.caltech.edu/training-/training-opportunities*

#### MEETINGS
Meetings can be a mechanism to reinforce important concepts including the following:
- Clearly communicate health and safety programs and procedures to employees;
- Encourage employees to report workplace hazards to management without fear

of reprisal; and

- Encourage employees to report workplace incidents (i.e., injuries, exposures, and illnesses).

## SUPPORTING SAFETY PROGRAMS, POLICIES, and GUIDELINES

As part of the Institute's ongoing safety commitment, supporting safety programs, policies, and guidelines, as listed in *Appendix A,* have been developed to prevent accidents and injuries.

## HEALTH AND SAFETY RESOURCES

Health and safety resources are available from the EHS Office.

- EHS website*: https://www.safety.caltech.edu/*

## REPORTING HAZARDOUS CONDITIONS

Employees are encouraged to report potential health or safety hazards to their Supervisors. Supervisors are responsible for following-up on employee suggestions and concerns communicated to them. EHS can assist in this effort.

Employees can also report hazards or share a health and safety concern (anonymously, if desired) by using one of the following methods:

- Directly to the EHS Office by calling x6727; or
- Contacting the Caltech Compliance Hotline at x8787 or on-line at *https://hotline.caltech.edu*

***No employee will be subject to reprisal for reporting hazards or potential hazards, or for making suggestions related to workplace health and safety.***

# IDENTIFYING AND EVALUATING WORKPLACE HAZARDS

## INSPECTIONS

*Supervisors* conduct workplace evaluations to identify and evaluate hazards when:

- New substances, processes, procedures, or equipment are introduced into the workplace that represent a new occupational and health hazard; or
- New or unrecognized hazards in the workplace are identified.

Supervisors may develop and use their own self-inspection checklists or use the self-inspection checklists available including:

- *Dining Services Self-Inspection Checklist*
- *Laboratory Self-Inspection Checklist*
- *Office Self-Inspection Checklist*
- Shipping and Receiving Self-Inspection Checklist
- *Shop Self-Inspection Checklist*
- *Vehicle Self-Inspection Checklist*

*EHS* conducts periodic surveys to identify unsafe conditions and work practices.

## INCIDENT/ ACCIDENT INVESTIGATION AND REPORTING PROCESS

The Supervisor reports all emergencies, injuries, or illnesses to the Security Department at extension 5000. Security reports all health and safety-related incidents to EHS, and the Disability and Leave Administration Unit.

### NON-SERIOUS INJURY OR ILLNESS

- Supervisors must provide the following to the Leave and Disability Unit in the event of a Non-Serious injury or illness.
  - Notification of the non-serious injury or illness as soon as possible or within 24 hours of knowledge; and
  - Submit a completed *Supervisor's Injury Investigation Report* within three (3) working days.
- In the event of a "Near Miss" or to report an unsafe condition, supervisors should complete an *Incident Report* and provide to EHS.
- The Leave and Disability Unit will generate an Employer's Report of Occupational Injury or Illness (Form 5020) and forward it to EHS.
- EHS will assist into investigating the immediate and underlying causes and document recommended further corrective actions as warranted.

### SERIOUS INJURY, ILLNESS, OR FATALITY

- The Disability and Leave Unit will immediately notify EHS in the event of a "Serious injury, illness, or fatality"
  - Cal/OSHA defines an injury or illness as "serious" if it:
    - Requires in-patient hospitalization for a period in excess of 24 hours for other than medical observation; or

- An employee suffers a loss of any member of the body; or
- An employee suffers any serious degree of permanent disfigurement.

- Supervisor must submit a completed *Supervisor's Injury Investigation Report* within three (3) working days.

## HAZARD CORRECTION

Unsafe or unhealthy work conditions, practices, or procedures must be corrected in a timely manner based on the severity of the hazards. Hazards must be corrected:

- When any hazard is observed or discovered; or
- If an imminent hazard exists which cannot be immediately abated without endangering employee(s) and/or property
  - All exposed personnel will be removed from the area, except those necessary to correct the existing condition; and
  - Employees correcting the hazardous condition must be provided with the necessary safeguards.

## DOCUMENTATION

Supervisors must keep documentation to demonstrate compliance with regulations and standards for at least one year. Required documents include:

1. Records of scheduled and periodic inspections to identify unsafe conditions and work practices, including person(s) conducting the inspection, the unsafe conditions and work practices that have been identified, and action(s) taken to correct the identified unsafe conditions and work practices; and
2. Documentation of safety and health training for each employee, including employee name or other identifier, training dates, type(s) of training, and training providers. Training records shall be maintained in accordance with the *Institute's Records Retention Schedule.*
   a. Supervisors and faculty maintain records of safety training for their employees.
   b. EHS maintain records of training conducted by EHS staff.

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## APPENDIX A: SUPPORTING SAFETY GUIDES, PROGRAMS & MANUALS
- Asbestos Management Program
- Biosafety Manual
- Bloodborne Pathogen Exposure Control Program
- Chemical Hygiene Plan
- Confined Space Program
- Construction Safety Guide
- Emergency Management Plan
- Fall Protection Program Guide
- Fire Prevention Plan
- Hazard Communication Program
- Hearing Conservation Program
- Heat Illness Prevention Program
- Industrial Truck Policy (Caltech Cart Policy)
- Laser Safety Manual

- [Lockout / Tagout Program](#)
- [Radiation Safety Manual](#)
- [Respiratory Protection Program](#)