

Reclamation Manual

Directives and Standards

Subject:	Safety and Occupational Health (SOH) – Accident Investigation and Reporting
Purpose:	To establish SOH Program (Program) requirements for accident investigation and reporting processes for all Bureau of Reclamation facilities and worksites. By standardizing Reclamation’s accident investigation and reporting process, Reclamation can gain more organizational knowledge about its accidents and near misses to help prevent future events.
Authority:	Basic Program Elements for Federal Employee Occupational Safety and Health Programs and Related Matters (29 CFR 1960); Rules of Practice in Transportation (49 CFR Part 845); Marine Casualty Investigation by the Board (49 CFR 850.15); Department Manual (DM), Part 485, Incident/Accident Reporting/Serious Accident Investigation (485 DM 7), Safety and Occupational Health Program, Watercraft Safety (485 DM 22); Reclamation Manual Directive and Standard (D&S), Emergency Notification System (SLE 07-01), Motor Vehicle Safety Program (SAF 01-04); and Facilities Instructions, Standards and Techniques (FIST) Volume 6-3, Unexpected Event Reporting
Approving Official:	Director, Security, Safety, and Law Enforcement
Contact:	Safety and Occupational Health Office, 84-43000

1. Introduction.

- A. The safety and health of Reclamation employees, contractors, and the visiting public are critical to achieving Reclamation’s mission. To achieve mission success, an updated process of accident investigation and reporting must be maintained. A well-defined accident and near-miss investigation and reporting program is a mechanism to share factual information, prevent future accidents, meet regulatory compliance requirements, and is an opportunity for organizational learning.
- B. This D&S establishes Reclamation’s processes for accident investigation and reporting.

2. Applicability. This D&S applies to all Reclamation employees, supervisors, and managers.

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3. Definitions.

- A. **Accident.** As defined by the Interagency Serious Accident Investigation (ISAI) Guide - August 2013, an accident is an unplanned event or series of events that resulted in injury, occupational illness, or damage to or loss of equipment or property to a lesser degree than defined as a serious accident.¹
- B. **Augmented Accident Investigation (AAI).** An in-depth investigation conducted for accidents or near misses that had the potential to be serious accidents.
- C. **Board of Survey.** Consists of no less than three government employee members who are appointed in writing by the Accountable Property Officer to investigate loss of Government property, complete a Report of Survey (ROS) documenting the investigation, and arrive at findings and make determinations about the disposition of the property and financial liability for the loss. See ROS, Paragraph 3.K.
- D. **Cause.** As defined by the ISAI Guide– August 2013, a cause is an event, situation, or condition (a deficiency) which if corrected, eliminated, or avoided, would likely have prevented or mitigated the mishap, damage, or significant injury; cause does not imply blame.
- E. **Designated Agency Safety and Health Official (DASHO).** A designated official with sufficient authority and responsibility to represent effectively the interest and support of the agency head in the management and administration of the agency program.
- F. **Incident.** As defined by 485 DM 7, a departmental incident is an unplanned event involving departmental property, employees, volunteers, contractors, emergency fire fighters, the public, or the environment that could have resulted in an injury, illness, or material loss, but did not. If there is injury, illness, or loss of property, the incident is reported as an accident. See Near Miss, Paragraph 3.I.
- G. **Injury.** As defined by the Occupational Safety and Health Administration (OSHA), an injury is any wound or damage to the body resulting from an event in the work environment.
- H. **Investigation.** A fact-finding and analysis process designed to identify cause to prevent future accidents and control hazards from occurring. See Accident, Near Miss, Paragraph 3.I.; Incident, Paragraph 3.F.; AAI, and Serious Accident, Paragraph 3.M.²

¹Damage to public property as a result of normal Reclamation operations (i.e., flood operations) are not considered reportable under this D&S.

²Investigations identify the cause of the accident leading to prevention of future accidents. They are not to be conducted to find fault or assign blame unless determined SOH requirements were deliberately not followed.

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- I. **Near Miss.** As defined by the ISAI Guide – August 2013, a near-miss is an unplanned event or series of events that could have resulted in death, injury, occupational illness, or damage to or loss of equipment or property but did not. A near-miss is thought of as a close call.³
 - J. **Occupational Disease or Illness.** A condition produced in the work environment over a period longer than 1 workday or shift. It may result from systemic infection, exposure to toxins, poisoning, related stress or strain, or other prolonged conditions of the work environment.
 - K. **Report of Survey (ROS).** A Board of Survey report documenting the investigation, making determinations about the disposition of the property and financial liability for the loss.⁴
 - L. **Safety Management Information System (SMIS).** As defined by 485 DM 7, SMIS is the official recordkeeping system for the Department of the Interior and is managed by the Office of Occupational Safety and Health. All Department employees may access the system to record an occupational injury or illness, damaged Department property, or a near miss.⁵
 - M. **Serious Accident.** As defined by the ISAI Guide – August 2013, a serious accident is an unplanned event or series of events that resulted in death, injury, occupational illness, or damage to or loss of equipment or property and involves any of the following: one or more fatalities; three or more personnel who are inpatient hospitalized, for other than observation, as a direct result of or in support of operations; property or equipment damage of \$250,000 or more; or consequences that the DASHO judges to warrant a Serious Accident Investigation (SAI)⁶. See Investigation, Paragraph 3.H.
4. **Responsibilities.**
- A. **DASHO.** The DASHO is responsible for:
 - (1) ensuring resources are available and allocated to address accident analysis and/or a special emphasis program; and

³“...thought of as a close call” is not part of the ISAI definition and has been added by Reclamation. See Incident, Paragraph 3.F.

⁴The ROS Findings and Recommendations cannot be used as disciplinary actions.

⁵SMIS is not a comprehensive investigation tool and it serves as a conduit for employees to file and monitor workers’ compensation claims.

⁶Reclamation specifies a serious accident involves employee(s) and/or Reclamation contractor(s) which is not part of the ISAI definition.

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(2) authorizing and appointing a Serious Accident Investigation Team (SAIT).

B. Reclamation SOH Program Manager. The Reclamation SOH Program Manager is responsible for:

(1) notifying the DASHO and other Reclamation leadership of serious accidents;

(2) ensuring appropriate qualified personnel are available to establish a SAIT;

(3) ensuring appropriate serious accident abstracts and reports are prepared for broader distribution;

(4) ensuring SMIS meets Reclamation's needs;

(5) providing management timely and accurate information of accidents and near misses occurring throughout Reclamation;

(6) ensuring necessary documentation of accidents or near misses is submitted as required by this D&S; and

(7) providing technical support, as appropriate, to ensure that all contractors working at Reclamation-owned facilities submit necessary documentation for accidents or near misses in the appropriate time frame.

C. Regional SOH Managers/Specialists. Regional SOH managers/specialists are responsible for:

(1) notifying the relevant regional director and the Reclamation SOH Program Manager of any serious accident and any injury or illness that results in an inpatient hospitalization, amputation, or loss of an eye;

(2) reviewing all regional injuries and identifying accident and near miss trends;

(3) providing oversight to ensure accident and near miss records/logs are maintained;

(4) ensuring "authorized users" who are involved in the accident review are identified and can access SMIS;

(5) ensuring an AAI is performed for incidents that had a high potential for a serious accident but the outcome was less than serious; and

(6) sending a copy of the final AAI report and abstract to the Director, Security, Safety, and Law Enforcement.

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D. **Area/Local SOH Managers/Specialists.** Area/local SOH managers/specialists are responsible for:

- (1) ensuring OSHA is notified of any work-related fatality or injury or illness that results in an inpatient hospitalization, amputation, or loss of an eye as identified in Paragraph 5.(H);
- (2) notifying the regional SOH manager/specialist as soon as possible (preferably within 1 hour or the same work day), but no longer than 24 hours after every work-related accident or near miss;
- (3) assisting supervisors with their responsibility to conduct accident investigations;
- (4) reviewing accident reports and SMIS reports for completeness and accuracy within 7 calendar days of notification;
- (5) maintaining and reviewing all accident and near miss reports to identify trends for prevention purposes; and
- (6) finalizing and ensuring the lessons learned are shared with all regional SOH managers/specialists and employees.

E. **Managers.** Managers are responsible for:

- (1) providing resources and technical support for completing the accident investigation process;
- (2) ensuring the OSHA's Form 300 Log of Work-Related Injuries and Illnesses is accurate and available upon request by authorized officials;
- (3) ensuring OSHA's Form 300A Summary of Work-Related Injuries and Illnesses is posted in a conspicuous place(s) where notices to employees are customarily posted by February 1 of the year following the year covered by the form and keep it posted until April 30 of that year;
- (4) ensuring the appropriate supervisors receive a copy of the ROS and the recommendations are implemented; and
- (5) ensuring contractor employers conduct accident investigation and reporting in accordance with Paragraph 5.E of this D&S.

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F. Supervisors. Supervisors are responsible for:

- (1) immediately notifying their respective SOH manager, specialist, professional, and/or official of any serious accidents and any injury or illness that results in an inpatient hospitalization, amputation, or loss of an eye;
- (2) conducting and documenting an investigation as required in this D&S;
- (3) notifying their respective SOH manager, specialist, professional, and/or official as soon as possible (preferably within 1 hour or the same work day), but no longer than 24 hours after every work-related accident or near miss;
- (4) reporting into SMIS and providing all necessary and required information as best as possible (preferably within 1 working day), but no more than 6 working days after notification of the accident or near miss;
- (5) ensuring employees receive medical treatment for occupational disease, illness, or injury;
- (6) conducting the AAI or near miss investigation and identifying the cause prior to completing the entry into SMIS;
- (7) following Office of Workers' Compensation Program's (OWCP) procedures; and
- (8) sharing the lessons learned with employees.

G. Employees. All Reclamation employees, including those identified in Paragraphs 4.A.-F., are responsible for:

- (1) notifying their supervisor, respective SOH manager, specialist, professional, and/or official as soon as possible (preferably within 1 hour or the same work day), but no longer than 4 hours after any work-related serious accident and any work-related injury or illness that results in an inpatient hospitalization, amputation, or loss of an eye;
- (2) notifying their supervisor, of every work-related accident or near miss as soon as possible (preferably within 1 hour or the same work day), but no longer than 24 hours after every work-related accident or near miss; and
- (3) filing the appropriate compensation claim and/or property damage form(s) in accordance with Department or Reclamation policy, if the employee(s) decides to file a compensation claim.

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5. Requirements.

- A. **Accidents and/or Near Misses.** Every work-related accident and/or near miss will be reported by Reclamation employees to their immediate supervisor and electronically filed into SMIS. Applicable reports and claims must be filed with the OWCP within 10 working days or as required by OWCP regulations after reporting into SMIS.
- (1) Immediately after an accident, the appropriate supervisor(s) and/or manager will notify the local safety office, OWCP, human resources, and property/facilities programs, if appropriate, via phone and/or electronically depending on the severity of the accident.
 - (2) Reviews of SMIS accident reports will be conducted as required by 485 DM 7.
 - (3) OSHA's Form 300 Log of Work-Related Injuries and Illnesses will be maintained by and available from the area/local SOH managers/specialists. See Paragraph 4.E.(2).
- B. **Investigation.** Every work-related accident or near miss will be investigated and coordinated, if appropriate, among Reclamation groups or offices (i.e., property, facilities, power, and safety and health) with exception to serious accidents⁷ requiring a SAIT. Investigation reports and materials will:
- (1) as a whole, be used solely for accident prevention purposes (see footnote 2);
 - (2) provide only factual information to the Board of Survey from an accident investigation specific to property loss or property damage, if requested;
 - (3) be reviewed and reported into SMIS; and
 - (4) follow the latest version of FIST 6-3 for power related incidents, if appropriate.
- C. **AAI.** The AAI is carried out at the regional, area, or local level at the discretion of the regional safety manager on behalf of the regional director or regional management.⁸ AAI abstracts and/or reports and materials will:
- (1) be more detailed than an accident investigation, but similar to and possibly less detailed than a SAI, if appropriate;

⁷See Paragraph 5.DD.

⁸At the regional safety manager's discretion, SAI procedures and format will be followed.

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- (2) be completed and provided to the Reclamation SOH Office for distribution and prevention purposes within 45 calendar days after the accident;
 - (3) be reviewed and reported into SMIS; and
 - (4) include findings, causes, and recommendations (i.e., similar, if not the same as, to the serious accident format) will be developed and distributed as deemed appropriate by the regional safety manager and following completion of the investigation electronically filed into SMIS. The regional safety manager will send a copy of the final AAI abstract and/or report to the Director, Security, Safety, and Law Enforcement.
- D. **SAI.** Prior to and during any SAIs, Reclamation's accident investigation requirements will be followed. SAIs will be conducted in accordance with 485 DM 7. Notification, coordination, collaboration, and/or reporting of the SAI will:
- (1) be made to OSHA within 8 hours (1-800-321-OSHA or 1-800-321-6742);
 - (2) be made in accordance with and follow SLE 07-01;
 - (3) be completed within 45 calendar days of the accident, unless additional time is approved by the delegating official such as the DASHO; and
 - (4) be entered into SMIS.
- E. **Reclamation Contractors.** Where an accident or near miss involves a Reclamation contractor at a Reclamation-owned, -maintained, or -operated facility⁹ in conjunction with Reclamation property (e.g., boat, aircraft, vehicle), management (i.e., directors, supervisors, safety professionals, contracting officers) will:
- (1) follow the same reporting as required for Reclamation employees; and
 - (2) ensure that all necessary information is collected, investigated, and documented in accordance with this D&S, and applicable clause or contract provisions.
- F. **Contracts.** Accident investigation and reporting requirements will be included in contract clauses.

⁹Does not include transferred works, but serious accidents must be reported as Reclamation possesses the right to investigate.

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- G. **The Public.** Where an accident occurs to a member of the public as a direct result from Reclamation operations, management will ensure that all necessary information is collected, investigated, and documented in accordance with this D&S.
- H. **Reporting to OSHA.** All work-related fatalities within 8 hours and all work-related inpatient hospitalizations, amputations, and losses of an eye within 24 hours must be reported to OSHA.¹⁰ Report to OSHA by at least one of the following ways:
- (1) call OSHA's free and confidential number at 1-800-321-OSHA (6742);
 - (2) call your closest OSHA Area Office during normal business hours; or
 - (3) use OSHA's online form.

¹⁰ Fatalities occurring after 30 days of the work-related accident are not reported to OSHA. In-patient hospitalization, amputation, or loss of an eye is not reported to OSHA if they occur after 24 hours of the work-related accident.

RECLAMATION MANUAL TRANSMITTAL SHEET

Effective Date: _____

Release No. _____

Ensure all employees needing this information are provided a copy of this release.

Reclamation Manual Release Number and Subject

Summary of Changes

NOTE: This Reclamation Manual release applies to all Reclamation employees. When an exclusive bargaining unit exists, changes to this release may be subject to the provisions of collective bargaining agreements.

Filing instructions

Remove Sheets

Insert Sheets

All Reclamation Manual releases are available at <http://www.usbr.gov/recman/>

Filed by: _____

Date: _____