

**California Institute of Technology**

**INJURY AND ILLNESS PREVENTION  
PROGRAM**



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# INJURY AND ILLNESS PREVENTION PROGRAM

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## Table of Contents

- INTRODUCTION .....3
- ROLES AND RESPONSIBILITIES .....3
- PROGRAM ADMINISTRATOR .....3
- WORKPLACE VIOLENCE PREVENTION PLAN .....3
- ASSOCIATE VICE PRESIDENTS, DIRECTORS, AND DIVISION OPERATIONS OFFICERS .....4
- SUPERVISORY PERSONNEL: FACULTY AND SUPERVISORS .....4
- EMPLOYEES .....4
- ENVIRONMENTAL HEALTH AND SAFETY OFFICE .....4
- COMPLIANCE .....5
- COMMUNICATION.....5
- TRAINING .....5
- MULTI-TIERED TRAINING PROGRAM.....5
  - TIER 1: NEW EMPLOYEE ORIENTATION .....5
  - TIER 2: PROGRAM-SPECIFIC TRAINING .....6
  - TRAINING RESOURCES FROM EH&S.....6
  - MEETINGS.....6
- SUPPORTING SAFETY PROGRAMS, POLICIES, and GUIDELINES .....6
- HEALTH AND SAFETY RESOURCES .....6
- COVID-19 PREVENTION .....6
- WORKPLACE VIOLENCE PREVENTION TRAINING.....6
- REPORTING HAZARDOUS CONDITIONS.....6
- IDENTIFYING AND EVALUATING WORKPLACE HAZARDS .....7
- INSPECTIONS .....7
- INCIDENT/ ACCIDENT INVESTIGATION AND REPORTING PROCESS .....7
- SERIOUS INJURY, ILLNESS, OR FATALITY.....8
- REPORTING, RECORDING, AND ACCESS .....8
- HAZARD CORRECTION .....8
- DOCUMENTATION .....8
- QUICK LINKS TO RELATED MATERIALS .....9

## 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 with 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.
- 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 Environmental Health and Safety Office.

Per [Cal/OSHA Non-Emergency Regulations for COVID-19](#), Caltech keeps records of work related COVID illness. Information Resources and Support website are available [here](#).

As mandated by California Senate Bill 553 (SB 553), Caltech has established, implemented, and will maintain an effective [Workplace Violence Prevention Plan](#) (WVPP) to ensure a safe working environment for all employees. This plan is designed to address and mitigate the risks associated with workplace violence.

## ROLES AND RESPONSIBILITIES

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

### PROGRAM ADMINISTRATOR

The Program Administrator is:

Name: Lauriane Quenee, PhD, RBP, CBSP (ABSA)  
Title: Senior Director – Environmental Health and Safety  
Address: 1200 E. California Blvd., M/C B125-6, Pasadena, CA 91125  
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## WORKPLACE VIOLENCE PREVENTION PLAN

The Chief of Campus Security and Parking Services has the authority and primary responsibility for implementing the provisions of the [Workplace Violence Prevention Plan](#) for Caltech employees.

## **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.
- Ensure employees are appropriately trained.
- 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 identified health and safety deficiencies are corrected in a reasonable time.
- Ensuring that workplace incidents (i.e., injuries, exposures, or illnesses) are reported and investigated, and that corrective actions are taken; and
- Ensuring that health and safety documentation are kept for the designated time period(s) in accordance with Caltech's [Records Retention Schedule](#).

## **EMPLOYEES**

Employees and authorized employee representatives 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.
- Reporting to their Supervisors any potential workplace hazards and incidents (i.e., injuries, exposures, illnesses, or workplace violence).

## **ENVIRONMENTAL HEALTH AND SAFETY OFFICE**

The Environmental Health and Safety Office (EH&S) is responsible for:

- Developing, administering and documenting Program-Specific Training.
- Assisting in conducting and documenting workplace hazard assessments to identify, evaluate, and correct hazards and
- Reviewing, updating, and evaluating the overall effectiveness of the IIPP.
- Conducting periodic workplace inspections/surveys, recording findings and corrective actions and follow-up on corrective actions.

## COMPLIANCE

Managers and Supervisors are responsible for ensuring that all workers comply with safe work practices to include:

- Recognition for following safe and healthy work practices.
- Providing training to ensure safety proficiency.
- Correcting findings when notified and supporting the documentation of corrective actions' completion.
- Disciplining workers for failure to comply with safe and healthy 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 new occupational health or safety regulations are introduced that specifically address new or emerging hazards to ensure all employees are informed and equipped to handle these changes safely and effectively.
5. Whenever the employer is made aware of a new or previously unrecognized hazard, and
6. 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 environmental, health, safety and emergency preparedness 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, and other workplaces.
- Specific Training for [Workplace Violence Prevention](#) and [COVID Prevention Measures](#) are described in their respective plans.
- Supervisors ensure employees are appropriately trained. [Workplace specific training](#) is defined by the hazards employees work with in their environment.

## TRAINING RESOURCES FROM EH&S

- EH&S assists Divisions and Departments in providing health and safety training to employees on a variety of topics. Training information is readily available online through the [Training Opportunities](#) section of the EH&S website.

## MEETINGS

Meetings are an effective tool for reinforcing key health and safety concepts, including:

- Clearly communicating health and safety programs and procedures to employees.
- Introducing updates and clarifying existing protocols.
- Encourage employees to report workplace hazards to management without fear of reprisal.
- Stressing the importance of reporting injuries, exposures, and illnesses, and
- Providing a clear process for reporting incidents and sharing lessons learned from improvements made from reports.

## SUPPORTING SAFETY PROGRAMS, POLICIES, and GUIDELINES

As part of the Institute's ongoing safety commitment, supporting safety programs, policies, and guidelines have been developed to assist in preventing accidents and injuries.

## HEALTH AND SAFETY RESOURCES

Health and safety resources are available from the EH&S Office.

- EH&S websites: [safety.caltech.edu](http://safety.caltech.edu)

## COVID-19 PREVENTION

Information on the Institute's [COVID-19 Information Center](#) site provide Caltech's policies and procedures to protect against COVID-19 along with information on the hazards associated with COVID-19.

## WORKPLACE VIOLENCE PREVENTION TRAINING

[Workplace Violence Prevention](#) training is provided by Caltech Security.

## 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. EH&S 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 EH&S Office by calling (626) 395-6727 or x6727; or
- Contacting the Caltech Compliance Hotline at (626) 395-8787 or x8787 or on-line at [hotline.caltech.edu](http://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:

- [Shipping and Receiving Self-Inspection Checklist](#)
- [Dining Services Self-Inspection Checklist](#)
- [Shop Self-Inspection Checklist](#)
- [Vehicle Self-Inspection Checklist](#)
- [Office Self-Inspection Checklist](#)
- [Lab Safety Review Checklist](#)

EH&S 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 Campus Security at extension 5000. Security reports all health and safety-related incidents to the Disability and Leave Administration Unit and EH&S. EH&S will assist in investigating immediate and underlying causes and identifying corrective actions as warranted.

- **In the event of an injury**, Supervisors must submit a completed [Supervisor's Injury Investigation Report](#) to Disability and Leave and EH&S as soon as possible.
  - Disability and Leave must provide the completed [Supervisor's Injury Investigation Report](#) to EH&S as a back-up in the event Supervisor did not send a copy to EH&S.
  - Caltech's Third-Party Administrator (TPA) generates an Employer's Report of Occupational Injury or Illness (Form 5020) and forwards a copy to both Disability and Leave and EH&S.
- **In the event of a "Near Miss" or to report an unsafe condition**, Supervisors should complete an [Incident Report](#), then email to [safety@caltech.edu](mailto:safety@caltech.edu) so an EH&S Representative can review and verify that the corrective action plan is complete.

## SERIOUS INJURY, ILLNESS, OR FATALITY

The Disability and Leave Unit will immediately notify EH&S 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.

## REPORTING, RECORDING, AND ACCESS

It is our policy to:

- Make our written [Workplace Violence Prevention Plan](#) available at the workplace to employees and representatives of Cal/OSHA immediately upon request.
- Use Employer's Report of Occupational Injury or Illness (5020 form) to keep a record of and track work related COVID-19 cases.

EH&S will notify Cal/OSHA as required.

## HAZARD CORRECTION

Unsafe or unhealthy work conditions, practices, or procedures must be corrected in a timely manner based on the severity of the hazard(s). 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 or as per the [Institute's Records Retention Schedule](#).

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. EH&S maintains records of training conducted by EH&S staff.

## QUICK LINKS TO RELATED MATERIALS

- [California Senate Bill \(SB\) 553](#), also known as the Workplace Violence Prevention Act (WVP Act)
- [Caltech Compliance Hotline](#)
- [COVID-19 Information Center](#)
- [COVID-19 Reporting Application](#)
- [COVID Prevention Measures](#)
- [Institute Records Retention Schedule](#)
- [Program-specific training on hazards](#) in labs, shops, or other workplaces
- [Title 8, § 3203: California Code of Regulations \(CCR\)](#)
- [Workplace Violence Prevention Plan](#)