



**AGC**  
THE CONSTRUCTION  
ASSOCIATION

**Elements of an Effective  
Underground Utility Excavation Safety and Damage  
Prevention Program  
and  
Record Keeping, Incidents/Damages Reporting**

## TABLE OF CONTENTS

SECTION	PAGE
1. Executive Summary.....	1
2. Introduction.....	2
3. Excavation Facility Incident Avoidance Flow Chart.....	3
4. Key <u>Best Practices</u> for an Effective program.....	4
5. Record Keeping, Defending Against Frivolous Claims & Reporting.....	10
a. When an Incident Occurs.....	10
b. Create a Project Safety and Damage Prevention File.....	11
c. In the Event a Claim is Received.....	12
d. Record Keeping, Incident/Damage Reporting.....	13
6. Conclusion.....	15
7. Underground Utility Incident Reporting Form.....	16

© 2019 The Associated General Contractors of America, Inc.

This document (the copyright to which is owned by The Associated General Contractors of America (AGC) contains excerpts from Section 5 of *Best Practices, the Definitive Guide for Underground Safety & Damage Prevention* (the “Best Practices”). CGA owns the Best Practices and the intellectual property rights in the Best Practices and in any derivatives of the Best Practices. AGC has included the excerpts under a license granted by CGA. Copying or other exploitation of CGA’s intellectual property rights in the Best Practices by others (including AGC members) may be prohibited by law without further license by CGA. Additional information about, and a complete copy of, the Best Practices is available at <https://commongroundalliance.com/best-practices-guide>.

This document is intended to provide helpful information. However, reliance on the information and implementation of any practices suggested in this document is at your sole discretion. AGC will not be liable for any damages (including, but not limited to, direct, indirect, special or consequential damages) arising out of or in connection with the information provided. AGC disclaims all forms of warranties related to this document, including, without limitation, implied warranties of merchantability, fitness for use, and fitness for a particular purpose.

# Elements of an Underground Utility Excavation Safety and Damage Prevention Program

## Executive Summary

---

When it comes to dealing with the myriad of hazards associated with excavation activities, a professional construction contractor must establish a comprehensive safety program addressing everything from trench safety to confined spaces. Most safety precautions are straightforward and definitive in mitigating dangers. However, there is one area that not only requires set precautions, but also demands constant attention, improvisation, and engagement: underground utility safety and damage prevention, also known as the 811 process.

The 811 process involves multiple stakeholders, each with responsibilities they must execute properly for the overall process to work. Owner/Operators (O/O's) should be members of their local 811 center, have up-to-date maps of facility locations and competent technicians locating and marking their facilities accurately. One call centers are the communication hub for the process and must reliably take locate requests in detail and pass them on to O/O's to act on. And finally, the contractor must have a program in place to communicate with other stakeholders and deal with existing facilities on the job site.

Contending with existing facilities during excavation activities can demand methods and processes that go beyond simply calling 811, waiting on O/O's to mark their facilities and digging safely. A robust safety and damage prevention program can significantly help contractors address peripheral issues that are part and parcel of excavating near existing facilities.

For the construction industry, implementing an effective excavation safety and damage prevention program can address key priorities. Most importantly, it may help prevent safety incidents that jeopardize workforce and public health and safety. It can also help contractors defend against questionable claims and collection activities.

AGC's Utility Infrastructure Division (UID) developed this sample damage prevention program for professional contractors based on [Common Ground Alliance Best Practices](#) and input from AGC's substantial underground utility safety and damage prevention experience and resources. This sample program includes:

- Best Practices to help avoid safety incidents and property damage,
- Record keeping guidelines that help memorialize the 811 process and circumstances related to a damage/incident when they occur,
- Information on electronic applications that are field friendly, simple and capture comprehensive records in multiple formats to help enhance your program.
- Guidelines to help defend against sometimes frivolous and fraudulent utility damage claim activities.

All due diligence on the part of a contractor is wasted if other stakeholders in the process do not exercise due diligence in fulfilling their responsibilities. This document is tailored to the contractor's responsibilities. For an accounting of other stakeholder's responsibilities, i.e. facility owner/operators, locators, 811 centers, design professionals, etc., please refer to the [CGA Best Practices](#).

## Introduction

The following documents and information will help contractors improve and memorialize their overall underground utility safety and damage prevention program. These resources have been assembled to help improve safety, protect underground utilities and provide ways and means to keep a reliable program record. This will help contractors gauge their program's effectiveness, keep track of other stakeholders' veracity in performing their responsibilities, structure data reporting and provide the wherewithal to defend against frivolous utility damage claims and collection activities.

- The Excavation Facility Incident Avoidance Flow Chart (pg. 3) provides a quick reference guide highlighting key steps in the 811 process.
- The Key Best Practices section (pg. 4-9) highlights Best Practices from the [Common Ground Alliance Best Practices \(CGA\) Guide](#) addressing excavation and contractor's responsibilities in the 811 process.
- The Record Keeping, Defending Against Frivolous Claims & Reporting section (pg. 10) provides guidance on what information and data should be collected to create a robust record of a program and the overall 811 process on any given project. The guidance also includes information on software applications tailored to worksite incident recording and management. Information on CGA's Data Information Reporting Tool (DIRT) and how to use it is also included.
- The Underground Utility Incident Reporting Form (pg. 15) is provided as an abbreviated record of the basic circumstances surrounding an incident to assist members in easily transcribing information from their record into DIRT.

Know the State's Call Before You Dig 811 Law. Know all Stakeholders' Responsibilities in the 811 Process. Follow Excavator Responsibilities as Set Forth in Overriding Law/Regulations.

The Following Steps are General and Should be Used as General Guidance. Under No Circumstances Should this Guidance be Used to Supersede, or in Conflict with Applicable Local, State and/or Federal Law.

Review and Document Jobsite with Pictures/Video/Drawings/Notes.

White Line/Markout Area(s) You Want Located.

Submit Formal Utility Locate Request to 811 within Time Frame Described in State Law.

Log/Record Locate Request Ticket Info, i.e. Number, Responding Utilities, etc. Keep Copy Readily Available.

Refresh Ticket as Needed/Required.

Wait the Required Time for Responding Facility Owner/Operators to respond to Locate Request.

Document/Memorialize all Locate Marks and Symbols with Pictures/Video/Drawings/Notes. Compare Marks to Facility Placement on Project Documents, if any.

Visually Verify Location of Marked Utilities by Potholing/Soft Digging with Non-Mechanized Equipment Where Excavation Activities will be Conducted Within the Marked Tolerance Zone for each Marked Facility as Set Forth in State Law.

Document/Memorialize Actual Placement of All Visually Verified Marked Facilities with Pictures/Video/Drawings/Notes. Compare Marks to Facility Placement on Project Documents.

Review Project Documents and Jobsite for Signs of Exiting Facilities that may not have Been Marked, such as Pedestals, Risers, Meters, New Trench Lines, Service Feeds, etc.

If There are Signs of Unmarked Facilities, Notify 811 Center.

Review Pre-Excavation Checklist and Jobsite with All Company Personnel.

Commence Excavation Activities with All Due Care to Protect Existing Facilities.

If During Excavation Activities, any Unmarked, Mismarked and/or Unidentified Facilities are Encountered, Cease Excavation and Notify 811 and Affected Facility Owner/Operator (if Known).

Record all Downtime Realized due to Unmarked, Mismarked and/or Unidentified Facilities.

Retain Records on File.

If During Excavation Activities a Damage Occurs, Cease Excavation Activities Notify 811 and Affected Facility Owner (if Known).

Immediately Record/Document Circumstances Surrounding Damage with Personnel Interviews, Pictures/Video/Drawings/Notes.

Retain Records on File.

If the Damage Results in the Escape of any Flammable, Toxic, or Corrosive Gas or Liquid or Endangers Life, Health, or Property, Immediately Notify 911, Then 811 and the Affected Facility Owner (if Known).



**Excavation Facility Incident Avoidance Flow Chart**



## Proposed Elements of an Effective Program

---

The following are verbatim excerpts from the Common Ground Alliance Best Practices, except where noted in italics as, “*AGC Note:*” In these instances, AGC included comment to elaborate on the respective Best Practice, but in no way intends to modify, edit, and/or contradict the Best Practice. We propose these best practices are crucial elements of any underground utility safety and damage prevention program. For more information on Best Practices, including individual Best Practice descriptions visit [www.CommonGroundAlliance.com](http://www.CommonGroundAlliance.com).

Incorporating these best practices into your underground utility safety and damage prevention program will help protect the public, our workforce and integrity of vital facilities.

---

### **WHITE LINING**

#### **CGA Best Practices, Excavation Best Practice 5.2**

---

##### **Practice Statement:**

When the excavation site cannot be clearly and adequately identified on the locate ticket, the excavator designates the route and/or area to be excavated using white premarking, either onsite or electronically (when available through the one call center), prior to or during the request for the locate ticket.

### **ONE CALL FACILITY LOCATE REQUEST**

#### **CGA Best Practices, Excavation Best Practice 5.1**

---

##### **Practice Statement:**

The excavator requests the location of underground facilities at each site by notifying the facility owner/operator through the one call center. Unless otherwise specified in state/provincial law, the excavator calls the one call center at least two working days and no more than ten working days prior to beginning excavation.

### **SEPARATE LOCATE REQUESTS**

#### **CGA Best Practices, Excavation Best Practice 5.6**

---

##### **Practice Statement:**

Every excavator on the job has a separate one call reference number before excavating.

*AGC Note: This includes first tier subcontractors, and lower tier subcontractors performing excavation activities on a project. All are required to call and request their own locate.*

## **LOCATE REFERENCE NUMBER**

### **CGA Best Practices, Excavation Best Practice 5-3**

---

#### **Practice Statement:**

The excavator receives and maintains a reference number from the one call center that verifies that the locate was requested.

## **ONE CALL REFERENCE AT SITE**

### **CGA Best Practices, Excavation Best Practice 5-13**

---

#### **Practice Statement:**

Except in case of an emergency, the excavator at each job site has available a complete description of the dig site, a list of the facility owner members impacted at that dig site as identified by the one call center, and the one call center ticket number.

## **POSITIVE RESPONSE**

### **CGA Best Practices, Excavation Best Practice 5-8**

---

#### **Practice Statement:**

The underground facility owner/operator either 1) identifies for the excavator the facility's tolerance zone at the work site by marking, flagging, or other acceptable methods; or 2) notifies the excavator that no conflict situation exists. This takes place after the one call center notifies the underground facility owner/operator of the planned excavation and within the time specified by state/provincial law.

## **LOCATE REQUEST UPDATES**

### **CGA Best Practices, Excavation Best Practice 5-23**

---

#### **Practice Statement:**

The excavator calls the one call center to refresh the ticket when excavation continues past the life of the ticket (sometimes, but not always, defined by state/provincial law). This recognizes that it is a best practice to define ticket life. If not currently defined in state/provincial law, ticket life is ideally 10 working days but does not exceed 20 working days. Original locate request tickets are generated so that the minimum number of locate request updates are necessary for the duration of a project. After all the excavation covered by a locate request is completed, no additional locate request updates are generated. Communication between excavation project planners, field personnel, and clerical personnel is essential in accomplishing this task.

## **LOCATE VERIFICATION**

### **CGA Best Practices, Excavation Best Practice 5-10**

---

#### **Practice Statement:**

Prior to excavation, excavators verify that they are at the correct location, verify locate markings and, to the best of their ability, check for unmarked facilities.

## **MISMARKED FACILITIES**

### **CGA Best Practices, Excavation Best Practice 5-21**

---

#### **Practice Statement:**

The excavator notifies the facility owner/operator directly or through the one call center if an underground facility is not found where one has been marked or if an unmarked underground facility is found. Following this notification, the excavator may continue work if the excavation can be performed without damaging the facility, unless specified otherwise in state/provincial law.

## **DOCUMENTATION OF MARKS**

### **CGA Best Practices, Excavation Best Practice 5-11**

---

#### **Practice Statement:**

An excavator uses dated pictures, videos, or sketches with distance from markings to fixed objects recorded, to document the actual placement of markings.

## **MARKING PRESERVATION**

### **CGA Best practices, Excavation Best Practice 5.17**

---

#### **Practice Statement:**

The excavator protects and preserves the staking, marking, or other designation of underground facilities until no longer required for proper and safe excavation. The excavator stops excavating and notifies the one call center for re-marks if any facility mark is removed or is no longer visible.

## **FACILITY OWNER/OPERATOR FAILURE TO RESPOND,**

### **CGA Best practices, Excavation Best Practice 5.9**

---

#### **Practice Statement:**

If the facility owner/operator fails to respond to the excavator's timely request for a locate (e.g., within the time specified by state/provincial requirements) or if the facility owner/operator notifies the excavator that the underground facility cannot be marked within the time frame and a mutually agreeable date for marking cannot be arrived at, then the excavator re-calls the one call center. However, this does not preclude the excavator from continuing work on the project. The excavator may proceed with excavation at the end of two working days, unless otherwise specified in state/provincial law, provided the excavator exercises due care in all endeavors.

*AGC Note: Be sure to know overriding state law requirements associated with re-calling/contacting the local 811 center to report unmarked/mismarked facilities before commencing excavation activities.*

## **WORK SITE REVIEW WITH COMPANY PERSONNEL**

### **CGA Best practices, Excavation Best Practice 5.12**

---

#### **Practice Statement:**

Prior to starting work, the excavator reviews the location of underground facilities with site personnel.



## EXCAVATION TOLERANCE ZONE

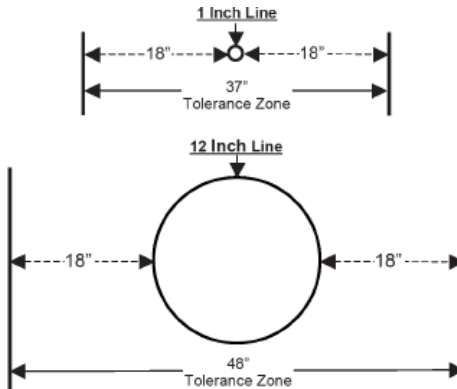
### CGA Best practices, Excavation Best Practice 5.19

---

#### Practice Statement:

The excavator observes a tolerance zone that is comprised of the width of the facility plus 18 in. on either side of the outside edge of the underground facility on a horizontal plane. This practice is not intended to preempt any existing state/provincial requirements that currently specify a tolerance zone of more than 18 in.

The following examples are of tolerance zones for a 1 in. and 12 in. line.



## EXCAVATION WITHIN TOLERANCE ZONE

### CGA Best Practices, Excavation Best Practice 5-20

---

#### Practice Statement:

When excavation is to take place within the specified tolerance zone, the excavator exercises such reasonable care as may be necessary for the protection of any underground facility in or near the excavation area. Methods to consider, based on certain climate or geographical conditions, include hand digging when practical (pot holing), soft digging, vacuum excavation methods, pneumatic hand tools, other mechanical methods with the approval of the facility owner/operator, or other technical methods that may be developed. Hand digging, and non-invasive methods are not required for pavement removal.

#### AGC Note: Excavation in Tolerance Zone

- Understand overriding state and local tolerance zone excavation requirements,
- Know your state tolerance zone (18", 24", or more),
- Know if there are regional or utility specific tolerance zone requirements,
- Most are measured from the outer edge of the facility,
- This assumes that the width of the facility is represented accurately by the marks, or the width of the facility is provided.

## VACUUM EXCAVATION

### CGA Best Practices, Excavation Best Practice 5-32

---

#### Practice Statement:

Vacuum excavation, when used appropriately, is an efficient, safe, and effective alternative to hand digging within the designated underground facility tolerance zone. Use of equipment also follows state/provincial laws and/or local ordinances.

## FACILITY AVOIDANCE

### CGA Best Practices, Excavation Best Practice 5-15

---

#### Practice Statement:

The excavator uses reasonable care to avoid damaging underground facilities. The excavator plans the excavation so as to avoid damage or to minimize interference with the underground facilities in or near the work area.

## EXCAVATION OBSERVER

### CGA Best Practices, Excavation Best Practice 5-18

---

#### Practice Statement:

The excavator has an observer to assist the equipment operator when operating excavation equipment around known underground facilities.

## FACILITY DAMAGE NOTIFICATION

### CGA Best Practices, Excavation Best Practice 5-24

---

#### Practice Statement:

An excavator discovering or causing damage to underground facilities notifies the facility owner/operator and the one call center. All breaks, leaks, nicks, dents, gouges, grooves, or other damages to facility lines, conduits, coatings, or cathodic protection are reported.

---

#### *AGC Note: Recording and Reporting Damage*

*All utility strikes, both at fault and no fault need to be reported. This process not only protects the excavator, but it also holds all parties accountable for their role in damage prevention.*

*After a utility strike occurs and the area has been deemed safe to enter, a formal post-hit evaluation must be initiated. Please refer to local call center for post damage process/requirements, if any.*

- *Note the project name, location, date, time and address of the incident.*
- *Note all names of foreman, employees that are involved.*
- *Note the utility operator, as well as representative names, contact information, business card, etc.*
- *Note the damage incurred, root cause of the incident and who was at-fault.*
- *Take pictures of the incident. Show all markings or lack of markings.*
- *Note what could have been corrected to prevent the incident from occurring again.*

- *Use of a post-incident checklist (see “Record Process, Incidents/Damages and Reporting,” pg. 10) and noted software applications is recommended. These will serve as a record if claims or legal activities arise in the future.*

## **NOTIFICATION OF EMERGENCY PERSONNEL**

### **CGA Best Practices, Excavation Best Practice 5-25**

---

#### **Practice Statement:**

If the damage results in the escape of any flammable, toxic, or corrosive gas or liquid or endangers life, health, or property, the excavator responsible immediately notifies 911 and the facility owner/operator. The excavator takes reasonable measures to protect everyone in immediate danger, the general public, property, and the environment until the facility owner/operator or emergency responders arrive and complete their assessment.

# Recording Process, Incidents/Damages and Reporting, Defending Against Frivolous Claims and Collections

## When an Incident Occurs

---

In the unfortunate event an existing facility is damaged, or a near miss occurs during excavation activities, it is critical that all precautions are taken to protect the public, workforce and property as prescribed in the [CGA Best Practices](#) and overriding laws and regulations.

In addition, it is of paramount importance to record the circumstances surrounding an incident, be it a damage, or near miss, regardless of which stakeholder in the process is apparently responsible for the incident. Not only does this provide contractors with a record of the event to assess and improve their internal safety program, it also will assist with damage claims that may be filed by facility O/O's and/or their agents long after an incident has occurred.

*The Utility Infrastructure Division has reviewed online applications that are notable in helping to keep accurate and necessary records. They include [SiteRight](#), [TYFOOM](#) and [Compatica](#).*

It is not unusual for O/O's to file an unfounded claim against an excavation contractor years after a damage has occurred or file a claim even if the damage did not happen during the alleged offender's excavation activities. This type of claims activity, known as "aggressive billing," poisons and corrupts the call before you dig/811 process and is something contractors must guard against.

To properly ensure contractors have complete records to ensure their safety program's effectiveness and help defend against frivolous claims and collections activities, below are guidelines to follow when an incident occurs on your job site:

### **Create a Project Safety and Damage Prevention File (SDPF)**

Memorialize/Record the job site in photos, videos, sketches and/or notes:

- Before any locating and/or excavation activities begin
- After the prescribed time for O/O's to respond to a locate notice, but before facility location visual verification takes place
- Be sure to record all facility markings whether directly in conflict with proposed excavation, or not
- After, potholing/soft digging to visually confirm the actual location of marked facilities in conflict with excavation activities and before commencing excavation activities
- Review and record general area around job site for above ground signs of unmarked facilities
- In the event an unmarked/mismarked facility is discovered in conflict with or during excavation:
  - Cease and /or postpone excavation and record unmarked facility location and condition

- Notify 811 center and O/O's if known
- Record downtime costs from waiting on O/O's to return to mark their unmarked facilities
- Downtime should include at a minimum equipment, personnel, administrative and liquidated damage costs
- Interview job site personnel on circumstances surrounding incident. Document interviews, interviewees, and circumstances in writing, with photos, videos and/or recordings
- Document O/O's response to incident, including names of O/O's responding representatives
  
- **In the event a facility is damaged during excavation activities:**
- **Cease excavation and follow damage response protocols as set forth in company policy, overriding laws and regulations. Notify 911, 811 and affected O/O (if known) as prescribed**
- Interview job site personnel on circumstances surrounding incident. Document interviews, damage(s), locate marks, job site and circumstances with notes, photos, videos and/or recordings
- Document O/O's response to incident, including names of O/O responding representatives
- Have a company representative on site for the entire time repairs are underway by O/O. Note number of O/O personnel, repair time, number of vehicles and type of equipment used
- Record all your downtime costs associated with damage and O/O response/repair time
- Determine the root cause of the damage/incident and who is responsible

During a post incident investigation, a party (O/O's, locator, other) may accept responsibility for the damage. However, even years later, a claim may be filed against contractors for a long-forgotten incident. Without the documentation prescribed above it will be difficult to dispute such a claim. Often, insurance companies would rather pay a frivolous claim than fight one. Having the documentation of an incident at hand is the single most effective way to deal with frivolous claims and collections activities.

In some cases, O/O's will discover an unknown, or unclaimed damage. Without knowing how the damage occurred, or who may have been involved, they will pull all locate requests for the area and attempt to collect based on who was excavating in the area. This is known as "fishing." If you were excavating in the area you may receive a fishing claim; even though, no damages or incidents

occurred during your excavating activities. It is important to keep your project damage prevention documentation whether incidents occurred on your project or not.

**In the event you receive a claim:**

- Pull your project SDPF
- Request the O/O's "subrogation" file (this file will contain all information collected by the O/O's associated with the incident. O/O's are required to provide it to you in most all instances)
- Review claim and files for contradictions, inaccuracies, and inaccurate law/regulation interpretations (be aware, some O/O's and/or their agents have been found to misrepresent laws and regulations in an attempt to collect)

Be aware, often O/O's and/or their agents will contact your insurance agents, project owner/engineers and other contracted parties to collect on a damage. Be prepared to share your SDPF with project owner/engineers and other contracted parties

Respond to claim as appropriate. If the root cause of the damage was not your responsibility, deny the claim in writing.

O/O's are very reluctant to pay for downtime claims filed against them. Keep a running tally of downtime costs for each O/O associated with downtime due to their failure to execute their responsibilities as set forth in overriding safety and damage prevention laws and regulations. Apply credits and debits to their account as appropriate and attempt to collect outstanding balances.

**State Enforcement Boards and Commissions**

Some states have boards and commissions who adjudicate violations of overriding safety and damage prevention laws. Some are complaint driven, while others are proactive. Know if the state in which work is being performed has an enforcement/adjudication mechanism and use it. A positive ruling by such an entity will help you defend against frivolous claims and collections and better the overall 811/safety and damage prevention program.

**Record Keeping and Incident/Damage Reporting**

---

As noted, record keeping is of the utmost importance. Another issue of equal importance is reporting our experience with the 811 process, how it affects projects, where the successes/deficiencies are and identifying areas in need of improvement. In this arena the contractors' story is not being told.

The Common Ground Alliance hosts the Damage Information Reporting Tool (DIRT). DIRT is a database of information used to determine weakness' in the 811 process and where efforts need to be applied to make the process as effective as possible. CGA's Data Reporting & Evaluation program touches every aspect of damage prevention. The program collects critical information, analyzing the data and producing targeted recommendations for damage prevention stakeholders on how to help ensure safety and best protect buried facilities. [The DIRT Report](#) has benefitted from a drastic increase in the number of records submitted, further strengthening the value of its

conclusions and recommendations.

DIRT has become the go-to resource for safety and damage prevention data nationwide. It is cited in states' working to better their 811 laws, municipal polices and regulatory oversight. However, data input from professional excavators is relatively scarce compared to the amount of data provided by facility O/O's, locators, municipalities, regulatory agencies and 811 centers. It is imperative the construction industry step-up and provide the industry's experience with the 811 process on the job site. By not doing so, others are telling the industry's story.

DIRT is completely secure allowing stakeholders to anonymously submit information about damages and near-misses, which in turn helps create an industry-wide picture of opportunities to improve safety. The information recommended being collected in this document can easily be used to fill out the DIRT reporting. We have developed a DIRT friendly form (see next page) to use on the job site for your records that makes it easy to transcribe the information into DIRT.

It's simple to [sign-up for DIRT](#) and with the [DIRT users guide](#) it's easy to get started. When signing-up the registration process will lead you to an option to register in "CGA DIRT North America."

However, some states require excavators to report incidents and damages through a third party; for instance, the local 811 center, public utilities commission or some other entity. Many of these entities use a Virtual Private DIRT (VPD) application, which is a version of DIRT that allows those entities to host DIRT input and resources. If an entity in your state hosts a VPD, the DIRT registration process will lead you to an option to register in that VPD or DIRT North America. If reporting through a VPD is required by your state, we recommend you register in that VPD. In some state's participation in a VPD may be an option but not mandatory.

Once registered, either in DIRT North America or a VPD, you can use DIRT's Data Grants feature to share your data with AGC of America. By doing so you ensure your data is going directly into DIRT and AGC has access to your data. In case you are concerned about anonymity, in Data Grants you have the option to share your identity or not.

If you have any questions or need assistance in registering in DIRT, click "Support" on the lower left of the DIRT website.

## **CONCLUSION**

Underground utility safety and damage prevention is a shared responsibility. Owner/operators, locators, 811 centers, contractors, regulatory agencies, and others have grave responsibilities in the process. Without each stakeholder executing their responsibilities the process is compromised, endangering public and workforce safety, property, vital services, life and limb.

AGC developed this document to assist contractors in doing their part in the process. It provides the means to better their program, exhibit its veracity and keep an accurate record of circumstances surrounding an incident. It also provides guidance on collecting and reporting information on all aspects of the process, including other stakeholder's veracity in performing their responsibilities.

Unfortunately, beyond the immediate safety concerns associated with a breakdown in the overall 811 process, sometimes there is finger-pointing, frivolous claims and collection activities and legal wrangling. This document is intended to help address these issues too, but most importantly ensure we all go home safe and without incident.





**AGC**  
THE CONSTRUCTION  
ASSOCIATION

# UID Underground Utility Incident Report Form (CGA DIRT Friendly)

A. Name of the person providing the information: \_\_\_\_\_

B. Date of the event: \_\_\_\_\_

Location / Address of the event: \_\_\_\_\_

C. Was a facility damaged?  Yes  No (If "No", skip to D)  
Was service interrupted?  Yes  No How long was service interrupted? \_\_\_\_\_

If "Yes", what type of facility/facilities?

- |                                   |                                |   |
|-----------------------------------|--------------------------------|---|
| <input type="checkbox"/> Phone    | <input type="checkbox"/> Water | <input type="checkbox"/> Petroleum Pipeline |
| <input type="checkbox"/> Gas      | <input type="checkbox"/> Sewer | <input type="checkbox"/> Cable TV           |
| <input type="checkbox"/> Electric | <input type="checkbox"/> Steam | <input type="checkbox"/> Other _____        |

If you know, circle one:

Was this a: 1) Service, 2) Distribution, 3) Transmission Facility

Type of equipment causing damage:  Explosives  
 Hand Tools  
 Mechanical Equipment: (specify) \_\_\_\_\_

D. Type work you were doing:  Trenching  Mass Excavation  
 Grading  Post / Pole Holes \_\_\_\_\_  
 Clearing  Other (Specify) \_\_\_\_\_

E. Give your One Call Ticket # \_\_\_\_\_

F. Were facilities located on time?  Yes  No  
Were facilities located accurately?  Yes  No

G. Did you incur downtime or costs due to the event?  Yes  No Estimated Cost: \_\_\_\_\_

H. Was anyone injured?  Yes  No How many? \_\_\_\_\_  
Was anyone killed?  Yes  No How many? \_\_\_\_\_

I. What was the Root Cause of the event? - Check all that apply.

- |  |   |   |
|--|---|---|
| <input type="checkbox"/> Marking / Location not accurate | <input type="checkbox"/> Excavation error           | <input type="checkbox"/> Other: Explain _____ |
| <input type="checkbox"/> Facility not marked / located   | <input type="checkbox"/> More facilities than marks | _____   |
| <input type="checkbox"/> No locate request made          | <input type="checkbox"/> More marks than facilities | _____   |

J. Other useful information or comments: \_\_\_\_\_

---



---



---



---