VIU HEALTH AND SAFETY SERVICES

1

Supervisor Handbook

Contents

|  |  |
| --- | --- |
| **3** | Introduction |
| **4** | Responsibilities and Due Diligence |
| **5** | Four Cornerstones of Due Diligence |
| **6** | Potential Hazards |
| **7** | Hierarchy of Controls |
| **8** | Worker’s Rights and Responsibilities |
| **9** | Mandatory Training |
| **10** | Conducting a Safety Orientation |
| **12** | Violence in the Workplace |
| **13** | Bullying and Harassment |
| **14** | B&H vs Workplace Violence vs Workplace Conduct |
| **15** | Job Specific Training |
| **16** | Documenting Training |
| **17** | Ongoing Supervisory Role |
| **18** | Incident Investigation |
| **19** | What to do if there is an accident? |
| **20** | The 2 Types of Investigation |
| **21** | Supervisory Responsibility and Incidents |
| **22** | How to conduct an Investigation? |
| **25** | Common Questions and Answers |
| **27** | VIU Safety Supervision Links & Resources |

2

# Introduction

Supervisors play an important role in promoting and maintaining workplace safety. Their words and actions demonstrate how they view and value health and safety.

3

Supervisors are well-positioned to be safety champions. Effective supervisors are intentional and purposeful in promoting health and safety.

# Responsibilities and Due Diligence

SUPERVISOR RESPONSIBILITIES

* Ensure the health and safety of all workers under your direct supervision.
* Ensure you are knowledgeable about the hazards your workers could be exposed to and the ways to minimize the risk through effective controls.
* Communicate all known and reasonably foreseeable hazards to your workers.
* Engage with your workers to ensure workplace safety controls are realistic for the task and are being used properly.
* Be knowledgeable on legislative requirements related to the work being supervised.
* Cooperate with WorkSafeBC, Health and Safety Services, the Joint Occupational Health and Safety Committee, and Local Safety Committees.
* Designate a supervisor if you will be leaving for an extended period. The designated supervisor will be responsible for carrying out your supervisory responsibilities during this time. You cannot permanently designate this task.

4

* A designated supervisor can be a colleague, your own supervisor, or a subordinate with adequate experience.

As per VIU Policy and WorkSafeBC definition, a Supervisor can be:

* Anyone who instructs, directs, and controls workers in the performance of their duties.
* Anyone who meets the definition, regardless if they have “Supervisor” within their title (this can be management, staff, faculty, or instructors).
* Anyone with supervisory responsibilities for worker health and safety.

DUE DILIGENCE

As a supervisor, you need to exercise due diligence. Due diligence is defined as:

Taking all reasonable care to prevent harm to your workers

* You are expected to take all precautions to prevent harm that a reasonable person would.
* Reasonable care is the amount of care that a reasonable person with the same knowledge, experience, and authority would take in any given situation.

What do I need to remember about due diligence?

* You could be legally required to prove that you have taken all reasonable steps to protect your workers from harm.

Due Diligence involves:

1. Recognizing the potential for harm.
2. Developing a system to prevent the harm from occurring.
3. Taking reasonable steps to ensure that the system is working.

How do I prove due diligence?

* + Ensure your actions are documented through:
    - Orientation records
    - Training records
    - Inspections reports
    - Incident Investigation reports and corrective actions

# The Four Cornerstones of Due Diligence

INFORMATION

* Provide a [workplace orientation](https://adm.viu.ca/health-and-safety-services/health-and-safety-orientatation) to your workers.
* Inform your workers about the hazards associated with their work.
* Ensure that controls are being used by your workers to minimize the risk of the hazard.
* Ensure that your workers have the appropriate Personal Protective Equipment (PPE), and that it is inspected and used properly.
* Educate workers on how to report incidents.
* Investigate incidents and record findings by completing required investigations on the [VIU Health and Safety Incident Reporting System](https://safetyincidents.viu.ca/).

INSTRUCTION

* Establish clear safety expectations/standards through documented procedures.

5

* Educate your workers about the safety resources that are available to them within your department and the University:
  + [Health and Safety Services Hazard Control Plans](https://adm.viu.ca/health-and-safety-services/hazard-control-plans)
  + [VIU Joint Occupational Health and Safety Committee](https://adm.viu.ca/health-and-safety-services/viu-joint-occupational-health-and-safety-committee)
  + [Local Health and Safety Committees](https://adm.viu.ca/health-and-safety-services/local-health-and-safety-committee)

TRAINING

* Ensure [mandatory](https://adm.viu.ca/health-and-safety-services/training) safety courses have been completed.
* Complete additional [safety courses](https://learn.viu.ca/d2l/loginh/).
* Establish job specific training requirements for your workers based on the hazards present.
* [Train your workers](https://www.worksafebc.com/en/health-safety/create-manage/training-orientation) on their specific tasks and document their training.

SUPERVISION

* Observe your workers to ensure that safety competency targets are met.
* Where safety competency is demonstrated by the personnel, supervision may be more remote.

# Potential Hazards

As a supervisor, one of your responsibilities is to ensure that your workers are aware of all known and reasonably foreseeable hazards. When discussing hazards consider the following:

BIOLOGICAL Microorganisms, animals, blood, bodily fluids, allergens

6

CHEMICAL Flammables, oxidizers, corrosives, compressed gases, toxins

ERGONOMIC Physiological demands on the worker

(e.g. repetitive movements, awkward postures arising from improper work methods or workstation designs)

PHYSICAL Noise, vibration, energy, heat, cold, electricity, radiation, pinch points, unguarded machinery, exposed moving parts, working with mobile equipment, slipping/tripping hazards

PSYCHOSOCIAL Effects on mental health

(e.g. bullying & harassment, violence, overwork, stress)

# Hierarchy of Controls

The most effective control is to eliminate the hazard and the least effective is Personal Protective Equipment (PPE) as it only acts as a barrier between the worker and the hazard.

MOST EFFECTIVE

7

ELIMINATION Physically remove the hazard

SUBSTITUTION Replace the hazard

Removing the hazardous substance completely

Using a non-lead-based paint instead of lead-based paint

ENGINEERING CONTROLS

ADMINISTRATIVE CONTROLS

PERSONAL PROTECTIVE EQUIPMENT (PPE)

Isolate people from the hazard

Change the way people work

Protect the worker with PPE

Using a device to carry a heavy load

Training, work, rest schedule, signage

Hard hats, hearing protection, respirators, lab coats, gloves

LEAST EFFECTIVE

# Worker’s Rights and Responsibilities

WORKER’S RIGHTS

1. The right to know about hazards in the workplace.
2. The right to participate in identifying and solving health and safety issues through the:
   * Their Supervisor
   * [Joint Occupational Health and Safety Committee](https://adm.viu.ca/health-and-safety-services/viu-joint-occupational-health-and-safety-committee)
   * [Local Health and Safety Committee](https://adm.viu.ca/health-and-safety-services/local-health-and-safety-committee)
3. The right to refuse unsafe work without discriminatory action.

WORKER’S RESPONSIBILITIES

Ensure that your workers understand their responsibilities, these include:

* Reporting hazards to their supervisor.
* Following safe work procedures and always acting in a safe manner.
* Using personal protective clothing, devices, and equipment correctly where required.
* Co-operating with WorkSafeBC Officers, Health and Safety Services, the VIU Joint Occupational Health and Safety Committee, and anybody with health and safety duties, such as regulators.
* Reporting workplace injuries and seeking first aid.
* Never working under the influence of alcohol and/ or recreational drugs.

8

# Resolving Refusal of Unsafe Work Situations

SUPERVISOR’S INVESTIGATION

If a worker refuses unsafe work, the supervisor must investigate the matter immediately and fix it if possible. If the supervisor decides that the worker’s concern is not valid, report back to the worker.

If the worker still views the work as unsafe after a supervisor has said it is safe to perform a job or task, the following steps must be taken:

1. The supervisor must investigate the problem in the presence of the worker and a worker representative of the Joint Occupational Health and Safety Committee, or a worker chosen by the worker’s trade union.
2. VIU Health and Safety Services will provide assistance to help resolve the situation.
3. VIU Health and Safety Services will notify WorkSafeBC if a resolution cannot be found. WorkSafeBC will then investigate and take steps to find a workable solution.

NOTE:

* A worker who refuses unsafe work because of a hazardous situation:
  + Shall not be subject to discriminatory action.
  + May be assigned other duties, at no loss of pay while the situation is being resolved.

# Mandatory Training

As a new employee, several courses are mandatory to meet WorkSafeBC and VIU requirements.

MANDATORY TRAINING FOR ALL VIU WORKERS

* [Health and Safety Orientation for New Employees](https://adm.viu.ca/health-and-safety/health-and-safety-orientatation)
* [WHMIS 2015](https://adm.viu.ca/health-and-safety/whmis)

ADDITIONAL SAFETY TRAINING FOR SUPERVISORS

* [VIU Accident and Incident Investigation Course](https://adm.viu.ca/health-and-safety/incident/accident-reporting-and-investigation)

ADDITIONAL SAFETY TRAINING FOR ALL VIU WORKERS

* [VIU Asbestos Awareness Course](https://adm.viu.ca/health-and-safety-services/asbestos-safety-management)

WHICH EMPLOYEES NEED A NEW WORKER SAFETY ORIENTATION BEFORE COMMENCING WORK?

* Employees who are new hires.
* Employees who are returning to a workplace where the hazards have changed during the employee’s absence.
* Employees who have changed jobs and/or job locations

within VIU.

WHAT ARE THE BENEFITS OF CONDUCTING A NEW WORKER SAFETY ORIENTATION?

* A Safety Orientation helps familiarize an individual with their work environment, hazards present, and ways they can protect themselves.

HOW DO YOU CONDUCT A SAFETY ORIENTATION?

* Instruct the worker to complete the online Health

9

and Safety Orientation for New Employees.

* Review the New Worker Orientation Checklist with your worker: [Site Specific Orientation Checklist](https://adm.viu.ca/sites/default/files/viu-hss-orientation-checklist-update-2022.doc)
  + The topics on the checklist and what you are required to discuss are detailed on the next page.
  + These topics should be reviewed annually with your worker(s) or when there are changes to the workplace.

NOTE:

Some employees at VIU do not have access to a computer and as a result, the New Worker Safety Orientation may be delivered in person with the worker.

For more information, visit the [VIU Health and Safety Website](https://adm.viu.ca/health-and-safety-services).

NAME AND CONTACT INFORMATION OF SUPERVISOR

* Provide your name and contact information.
* Provide a clear organizational structure of your area indicating who the designated supervisor is when you are not around.

JOINT OCCUPATIONAL HEALTH AND SAFETY COMMITTEE (JOHSC)

* Instruct your worker on how to contact the JOHSC and visit the [VIU Safety Committee Website](https://adm.viu.ca/health-and-safety/university-health-and-safety-committees).

SAFETY PROGRAM AND PROCEDURES • Instruct your worker to read the [VIU Safety Policy](https://adm.viu.ca/health-and-safety-services/safety-policy).

* + Communicate the location of the [VIU Hazard Control Plans](https://adm.viu.ca/health-and-safety-services/hazard-control-plans).

WORKPLACE HEALTH AND SAFETY RULES

* Communicate local rules for your area (e.g. No eating or drinking, No smoking or vaping indoors, campus-designated smoking/vaping areas, requirements to enter specific areas).

WORKER’S RIGHTS AND RESPONSIBILITIES

10

Communicate the 3 rights of a worker:

1. Right to know
2. Right to participate
3. Right to refuse unsafe work Worker’s main responsibilities include:
   * Reporting hazards to their supervisor, following safe work procedures, reporting workplace injuries and seeking first aid, never working under the influence of alcohol or recreational drugs.

POTENTIAL HAZARDS OF A WORKPLACE

* + Consider the presence of the following hazards and ways that workers can protect themselves from the hazards. Refer to the [VIU Hazard Registry](https://adm.viu.ca/sites/default/files/2024-viu-hazard-registry-web-version.docx) for more information on the hazard classes present at VIU.
    - Physical
    - Biological
    - Chemical
    - Safety
    - Psychosocial

WORKPLACE HAZARDOUS MATERIAL INFORMATION SYSTEM (WHMIS)

* Instruct your worker to complete [VIU WHMIS 2015 training](https://learn.viu.ca/d2l/loginh/) on VIULearn.

PERSONAL PROTECTIVE EQUIPMENT

(PPE)

* + Communicate which tasks require PPE and:
    - The exact type of PPE needed, and how to acquire and store it.
    - How to use the PPE properly, and how to inspect it.
  + Respirators must be fit tested before first use and annually thereafter.

EMERGENCY PROCEDURES • Introduce workers to the [VIU Emergency website](https://adm.viu.ca/emergency).

* Communicate the location of the VIU Emergency posters in buildings.
  + - Provide a tour of working areas.
    - Point out location of the pull station, fire extinguishers, pre-designated muster areas, and emergency eye wash stations and emergency showers (if applicable).
    - Recommend that your worker to download the [VIU Safety App](https://adm.viu.ca/emergency/emergency-messaging) to their mobile device.
    - Ensure emergency spill clean-up training is complete (if applicable).

FIRST AID • For Medical Emergencies, call 911

* For [VIU-](https://srs.ubc.ca/health-safety/safety-programs/first-aid/)Nanaimo: call 250-740-6600 (6600)
  + - For Cowichan campus: call 250-740-6600 (6600)
    - For VIU-[tiwšɛmawtxʷ](https://pr.viu.ca) campus: Call 604-485-2878
    - Communicate Location of AEDs on campus

11

ACCIDENT INCIDENT REPORTING AND INVESTIGATION

* Understand [Incident Reporting](https://adm.viu.ca/health-and-safety-services/reporting-injuries/incidents) procedures at VIU.
* Incidents need to be reported through the online the VIU Safety Incident Reporting System.
* Employee reporting: <https://safetyincidents.viu.ca/>.
* Students/Public reporting: <https://safetyincidents.viu.ca/public_incident>
* First Aid Attendant OFA reports: <https://safetyincidents.viu.ca/public_first_aid_form>

VIOLENCE IN THE WORKPLACE • Instruct the worker to review the [VIU Violence Prevention Program](https://adm.viu.ca/health-and-safety-services/violence-prevention-program).

BULLYING & HARASSMENT (B&H) • Instruct your worker to watch the following WorkSafeBC Bullying and Harassment

videos:

[What does Bullying and Harassment Mean for You and Your Workplace](https://www.youtube.com/watch?v=u7e2c6v1oDs&list=PLUyWkHwckhS4ESoIYtpqyZt0ONEO5Lkuo&index=15&pp=iAQB)?

[Worker-to-Worker Bullying and Harassment](https://www.youtube.com/watch?v=2p5dAP6APiw&list=PLUyWkHwckhS4ESoIYtpqyZt0ONEO5Lkuo&index=18&pp=iAQB)

WORKING ALONE OR IN ISOLATION

* + Communicate the results of your worksite Working Alone Risk Assessment and the [procedures](https://srs.ubc.ca/health-safety/safety-programs/personal-safety/6969-2/) to follow when working alone or in isolation.

# Violence in the Workplace

VIOLENCE IN THE WORKPLACE IS DEFINED AS:

1. Source is not a VIU Employee

Any incident of violence towards an employee by any person *other than a co-worker* including:

* + - Attempted or actual assaults.
    - Any threatening statement or behavior which gives the employee reasonable cause to believe that he or she is at risk of injury.

1. Source is a VIU Employee

This is called Workplace Conduct – Prohibition of Improper Activity or Behaviour, under WorkSafeBC Legislation.

*"improper activity or behaviour"* includes:

(a) the attempted or actual exercise by a worker towards another worker of any physical force so as to cause injury, and includes any threatening statement or behaviour which gives the worker reasonable cause to believe the worker is at risk of injury.

WHAT DO I NEED TO COMMUNICATE TO MY WORKER?

* + - If there is an imminent risk of injury from violent behavior, call 911.
    - If there is a perceived threat of violence, report it to Health and Safety Services to activate the VIU Risk and Threat Assessment Team ([safety@viu.ca](mailto:safety@viu.ca) or 250-740-6283)

SUPERVISOR’S RESPONSIBILITIES FOR WORKPLACE VIOLENCE

* + - The [VIU Workplace Violence Risk Assessment](https://adm.viu.ca/sites/default/files/violence-risk-assessment-tool-may-2017.pdf) must be conducted in areas where a risk of violence exists and the results must be communicated to the workers. Risk of violence exists in the following areas:
      * Working alone or in isolation with the likelihood of dealing with an irate person.

12

* + - * Providing services directly to the public.
      * Handling, securing, protecting cash or valuables, including narcotics and controlled substances.
      * Making decisions which may impact academic, employment status, or dealing with controversial personal matters.
      * Dealing with unstable/volatile individuals.
      * Patrolling or providing protective services and/or by-law enforcement.
      * Transporting people or goods.
      * Travelling to remote or hazardous locations.
    - Control measures must be implemented to eliminate or minimize the risk of violence.
    - If a Workplace Violence incident occurs, the supervisor must report this as an incident through [VIU’s Incident reporting system](https://adm.viu.ca/health-and-safety-services/reporting-injuries/incidents) and establish corrective actions to control the risk in the future.

*Note: Workplace Conduct Incidents are also reported through the* [*Online VIU Safety Incident Reporting System*](https://safetyincidents.viu.ca/)

For more information, visit the [VIU Violence Prevention Program](https://adm.viu.ca/health-and-safety-services/violence-prevention-program)

# Bullying & Harassment (B&H)

BULLYING AND HARASSMENT IS DEFINED AS:

Any inappropriate conduct or comment by a person towards a worker that the person *knew or ought to have known* could cause the worker to be humiliated or intimidated.

*Note:*

* + - *A person can include the employer, a supervisor, a co-worker, a customer or the general public.*
    - [*Knew or ought to have known*](https://www.worksafebc.com/en/health-safety/hazards-exposures/bullying-harassment#:~:text=Resources-,What%20is%20bullying%20and%20harassment%3F,to%20be%20humiliated%20or%20intimidated.) *is based on the reasonable person standard.*

WHAT DO I NEED TO COMMUNICATE TO MY WORKERS?

* + - Your worker must report the bullying and harassment incident to you.
    - All incidents of Bullying and Harassment are to be reported through the [VIU Online Safety Incident Reporting System](https://safetyincidents.viu.ca/).
      * Supervisors will not be notified of B&H incidents when they are reported through the online system.
      * If the worker feels that you (their supervisor) is the alleged bully or harasser, they must contact the Administrative Head of Unit, Union/Association representative, or their Human Resources Advisor.

SUPERVISOR’S RESPONSIBILITIES FOR BULLYING AND HARASSMENT

* + - Listen to the complaint and take the information presented seriously.
    - Investigations of complaints should be conducted at a management level with support from Health and Safety Services, your VIU [Human Resources Advisor](https://employees.viu.ca/human-resources/contact-us), or the [Diversity, Equity and Human Resources](https://adm.viu.ca/human-rights) office for allegations that include a protected right.

13

* + - Ask the complainant for full details and offer resources ([Employee Family Assistance Plan](https://employees.viu.ca/human-resources/employee-benefits-health)) and follow up with the employee regarding the investigation.
    - Assist with developing corrective actions and implement them to prevent future incidents.

For more information, visit the [VIU Website on Workplace Bullying and Harassment.](https://adm.viu.ca/health-and-safety-services/bullying-harassment-faqs)

ted B&H vs. Workplace Violence vs. Workplace Conduct

A diagram of a company's flowchart

Description automatically generated

# Training

Once your worker has been oriented to the workplace and completed all the mandatory courses, as a supervisor you need to ensure they have the appropriate training for the work that they perform and hazards they are exposed to.

JOB SPECIFIC TRAINING

Each role in the workplace has assigned tasks that require training specific to that worksite. Supervisors are responsible for task assignment and assessment of the training needed to complete those tasks safely and effectively.

While this job-specific training may be delivered by the supervisor or a trainer with demonstrated subject matter expertise, the supervisor retains responsibility for oversight of training and confirmation that an adequate level of proficiency has been attained.

Signing off on an employee’s training completion testifies to a demonstration of trainee competency and is a legally necessary demonstration of supervisory *due diligence*. If a supervisor finds that an employee has not reached an adequate level of competency, further training must be done before signing off on the training record for that assessed requirement.

15

A [Task Specific Training Record Template](https://adm.viu.ca/sites/default/files/2024-task-specific-training-record.docx) is available to guide you in the documentation of staff training assessments and completion.

PROGRAM SPECIFIC TRAINING COURSES

The supervisor or trainer with subject matter expertise must:

1. Instruct the worker to read the relevant protocol/procedures for individual tasks/techniques.
2. Ensure the worker understands the safety measures (hierarchy of controls) that are required and integrated into the task/protocol/procedure.
3. Review the task and relevant task/protocol/procedure documents with the worker before work begins.
4. Document the training.

# Documenting Training

As a supervisor, you are responsible for making your workers aware of all foreseeable hazards they may be reasonably expected to be exposed to in the course of their work. Job-specific training records provide a legal record that workers have been trained to competently recognize and deal with hazards as outlined in the procedures. Where a hazard is identified:

* + [A risk assessment](https://adm.viu.ca/health-and-safety-services/hazard-identification-risk-assessment-and-control) may be necessary to assess the risk posed by the hazard.
  + Determine how to best control that risk using the hierarchy of controls.
    - Refer to the relevant [VIU Hazard Control Plan](https://adm.viu.ca/health-and-safety-services/hazard-control-plans) if available.
  + Establish a documented safe work procedure for working with or in proximity to the hazard by incorporating the required

hazard controls.

* + - Refer to the relevant [VIU Hazard Control Plan](https://adm.viu.ca/health-and-safety-services/hazard-control-plans) if available.
  + Written procedures and training on the procedures should always be provided together because:
    - Written procedures facilitate consistent training delivery.
    - Training is most effective when key messages can be heard and read.
  + Training delivery and verification of competency must always be documented where there is a potential for worker exposure.

DO I HAVE TO DOCUMENT TRAINING FOR EVERY TASK?

Where tasks involve the same hazards, use the same risk mitigation procedures, and are performed in the same environment, training may be generalized across the tasks.

HOW IS TRAINING DOCUMENTED?

16

* + - Maintain a mechanism to retain course certificates for each employee.
    - Create a training matrix log for job-specific training on protocol/procedures for each employee.
      * A training log must indicate the name of the trainer, trainee, date of training, and the name/ number of the protocol/procedure that was trained on.
    - Some procedural training is best provided by a specialist (3rd party) for that topic. If the training is provided by a third-party:
      * The training must be adequately specific for the job tasks performed.
      * Attendance must be documented, and a course syllabus kept as proof of training.
        + Create a log indicating the name of the trainer, trainee, date of training, and name of third-party course/ training session.

WHO KEEPS THE ORIENTATION AND TRAINING RECORDS? IN WHAT FORM DO YOU KEEP THE ORIENTATION AND

TRAINING RECORDS?

* + - The Supervisor *OR*
    - The Department (only if there is a system for maintaining training records) *OR*
    - Supervisor and VIU Human Resources (VIULearn certificates for WHMIS 2015 and Health and Safety Orientation for New Employees only) which the employee emails to Human Resources.
    - Keep a hard copy (e.g. create a training binder and keep training certificates and logs).
    - Ensure training certificates are easily accessible so you can show completion of courses quickly.

# Ongoing Supervisory Role

HAVE I ADEQUATELY ORIENTED AND TRAINED MY WORKERS?

1. Verify that my employees know the hazards of their job.
2. Verify that mandatory courses have been completed.
3. Verify if other applicable program-specific safety courses are completed.
4. Verify that appropriate job-specific training has been provided by you (the supervisor) or a trainer with subject matter expertise.
5. Verify that training is fully documented.
6. Verify that you have documented procedures available for my employees.

THE ITEMS BELOW DESCRIBE WAYS IN WHICH YOUR ROLE AS A SUPERVISOR REMAINS ONGOING

Providing refresher training at appropriate intervals.

* + Do your workers still remember the procedure on how to report an incident?

Training your workers on new hazards/processes/tasks.

Providing active supervision and being available for ongoing questions.

17

Verifying that workers’ performance meets safety expectations.

Correcting improper and unsafe work activities and conditions.

Identifying any new workplace hazards and taking steps to ensure that everyone stays safe.

Reinforcing safe and proper work performance.

Recording a daily entry in a supervisor journal.

Ensuring all documentation is clear, appropriate, and frequent, showing a systematic approach to safety.

Completing incident investigations when required.

# Incident Reporting

WHAT IS THE ONLINE SAFETY INCIDENT REPORTING SYSTEM?

The Online Safety Incident Reporting System is used to:

* + Report incidents.
  + Collect information to initiate a WorkSafeBC Employer Report of Injury (Form 7) claim for

compensation for a work-related injury or illness.

* + Document incident investigations.
  + Submit incident investigation reports to WorkSafeBC when required.
  + Generate incident statistics.

# Incident Investigation

# An investigation analyzes an incident based on the information gathered to determine the root cause.

WHICH INCIDENTS DON’T REQUIRE AN INVESTIGATION? (BUT IT’S GOOD TO ONE DO ANYWAY)

NEAR MISS/NO INJURY A workplace incident that had the potential to cause an injury or

Illness.

INJURY REQUIRING FIRST AID/MINOR INJURY

18

A workplace injury that did not result in a visit to the doctor, but a First Aid Attendant was needed.

WHICH INCIDENTS REQUIRE AN INVESTIGATION?

NEAR MISS/NO INJURY WITH THE POTENTIAL FOR A workplace incident that had the potential for causing a serious injury

CAUSING A SERIOUS INJURY or illness.

INCIDENTS THAT ARE IMMEDIATELY REPORTABLE Incidents that require immediate notification to WorkSafeBC.

TO WORKSAFEBC

INJURY REQUIRING MEDICAL TREATMENT A workplace injury resulting in a visit to any kind of doctor, such as:

Emergency room, family doctor, or walk-in clinic.

INJURY RESULTING IN TIME LOSS A workplace injury that results in taking time off work beyond the day

of the incident.

# What to do if there is an incident?

STEP 1:

Is it immediately reportable? If so, contact WorkSafeBC IMMEDIATELY and then proceed to Step 3.

IMMEDIATELY REPORTABLE

Serious injury to or death of a worker Major structural failure or collapse Major release of a hazardous substance

Fire or explosion that had the potential for serious injury Blasting incident causing personal injury

Dangerous incident involving explosives

**CONTACT WorkSafeBC**

1-888-621-7233

Diving incident

STEP 2:

Have the employee report the incident in the [Online Safety Incident Reporting System](https://safetyincidents.viu.ca/). If the Employee is unable to do this,

The manager is responsible for documenting the incident.

STEP 3:

When notified by the Online Safety Incident Reporting System, the manager will begin the investigation process.

STEP 4:

Document the investigation in the [Online Safety Incident Reporting System](https://safetyincidents.viu.ca/).

# The 2 Types of Investigation

See the [VIU Incident Investigation website](https://adm.viu.ca/health-and-safety-services/incident/accident-reporting-and-investigation) for Resources to

guide the investigation process.

PRELIMINARY INVESTIGATION (WITHIN 48 HOURS) FULL INVESTIGATION (WITHIN 30 DAYS)

20

Upon notification of an incident, ensure that anyone injured has received first aid or medical care.

A full investigation must be completed within 30 days of the date of the incident to meet VIU’s legal obligation under the BC Workers Compensation Act

Within 48 hours of the incident occurring, go to the area

where the incident occured, ensure that the area is safe.

Must have a plan of corrective action(s) in place to address all direct and indirect root causes.

Gather information by speaking with your worker and

witnesses.

Input information into [the Online Safety Incident Reporting System](https://safetyincidents.viu.ca/) within 48 hours of the incident occurring (if the incident occurs on Friday, it is acceptable to submit the report on Monday).

Ensure that all corrective actions are complete from the Preliminary Investigation.

A Preliminary Investigation is enough if:

* You do not need to add more incident details.
* Root causes and corrective actions addressing them have been documented and a timeline for completion stated.

Document immediate corrective actions that address the

direct (obvious) causes of the incident.

If possible, identify root causes and document the completion of corrective actions that address the root causes.

Add any additional information about the incident that may have surfaced since the initial incident occurred.

# Investigation Responsibilities

WHO INVESTIGATES?

It is the supervisor's responsibility to investigate incidents in which their workers are involved.

IF YOU ARE THE SUPERVISOR OF A FACULTY, STAFF, PAID STUDENT, PRACTICUM/CLINICAL PLACEMENT STUDENT WHO WAS INVOLVED IN AN INCIDENT YOU MUST:

1. Complete an incident report in the Online Safety Incident Reporting System if your worker is unable to do so.
2. Complete the preliminary and full investigation (if required).
3. Identify and ensure completion of corrective actions (even if they are assigned to others).
4. Follow up to ensure corrective actions are implemented, effective, and have not created new hazards.

WORKERS UNDER YOUR SUPERVISION MUST BE INSTRUCTED TO:

1. Report the incident to you (the supervisor).
2. Report the incident report in the Online Safety Incident Reporting System.
3. Notify you (the supervisor) and Health and Safety Services of any changes to the incident severity (doctor visit or time lost beyond the day of the incident).
4. Begin a Worker Report of Injury with WorkSafeBC Claim by calling 1-888-967-5377 if they have seen a doctor or missed time from work the day after the incident.

21

WHO CAN HELP THE SUPERVISOR CONDUCT AN INCIDENT INVESTIGATION?

* + The worker involved in the incident if able.
  + A Worker Safety Representative from the Joint Occupational Health and Safety Committee.
  + A worker representative who is familiar with the job or process.
  + A union worker representative.
    - Assist with gathering and analyzing information, identifying corrective actions, and witnessing the investigation

*Note: Supervisors are required to know how to access the resources mentioned above for conducting investigations.*

STEP 1: MANAGE THE SCENE

Sometimes your worker may not inform you that they have been involved in an incident right away. In this case, ask questions to find out if the steps below were followed and always visit the scene if practical.

Provide treatment to the injured, **Call 911** for all medical emergencies.

First Aid

* + - Nanaimo Campus: Dial local 6600 from any internal phone or Dial 1-250-740-6600 from your cell phone.
    - Cowichan Campus: Dial local 6600 from any internal phone or Dial 1-250-740-6600 from your cell phone.
    - Tiwšɛmawtxʷ Campus: Call 604-485-2878
    - Deep Bay: Immediately inform a VIU employee working at the site.

Control the remaining hazards.

* + Ensure that the incident scene is safe (where practicable, visit the scene yourself).
  + Where practicable, remove and/or control the hazard(s) to minimize the risk of any further injury to others.

Preserve the accident scene.

* + Isolate any equipment or machinery that may have been involved in the incident.

STEP 2: GATHER INFORMATION

22

To ensure that all the required information is collected for inputting into VIU’s Online Safety Incident Reporting System, use the [VIU Incident and Accident Investigation Procedures Manual](https://adm.viu.ca/sites/default/files/viu-incident-and-accident-investigation-procedures-manual.docx) to assist you. In addition, ensure a thorough investigation by collecting:

Physical Data

* + Take photos and measurements.
  + Document any equipment, products, and safety devices in use.
  + Document environmental factors such as noise and lighting levels.

Interview Witnesses

* + Reassure each interviewee that the purpose of the investigation is to find and eliminate causes of the accident, not to assign blame.
  + Ask the interviewee to describe what happened before, during, and after the incident.

Document Review

* + Review documentation such as training records, safe work procedures, inspection records, risk assessments, safety audits.

STEP 3: EVALUATE & ANALYZE FINDINGS

Create a timeline of events leading up to the incident and include this as the description of the incident.

1. Build a sequence of events based on facts and evidence:
   * Before the incident
   * During the incident
   * After the incident
2. Record this information on the Incident Details section of the incident reporting form - be as detailed as possible with respect to timing, environmental conditions, organizational factors and injuries.

***It is insufficient to say:*** *“The worker fell on stairs.”*

***It is better to say:*** *“The worker was carrying a pile of papers and running down the stairs which were wet, they slipped and fell 3 feet landing on their back.”*

STEP 4: DETERMINE CAUSES

DIRECT CAUSES ROOT CAUSES

23

* + Easy to identify as they can usually be seen and sensed.
  + Are there unsafe acts and conditions that contributed to the incident (e.g. wet floor)?
  + Identified by asking “WHY” to the direct causes.
  + Helps determine underlying deficiencies that allowed these unsafe things (direct causes) to occur.

1. *Choose one direct cause and ask why the direct cause happened/exists and write the answer down.*
2. *If the answer you provide doesn’t identify the root cause of the incident, ask “why” again.*
3. *Keep asking “why” until the incident’s root cause is identified.*
4. *Continue this process for other direct causes as incidents can have more than one root cause.*

When you identify a personal factor such as “worker was distracted,” you will need to ask at least one more “why” question. Do not stop your analysis at personal factors and avoid blaming.

When recording your investigation findings into VIU’s Online Safety Incident Reporting System, it is good practice to also note key common factors that did not contribute to the incident. By documenting both the contributing and non-contributing factors of the incident, you demonstrate a comprehensive investigation and validate your methodology.

STEP 5: S.M.A.R.T. CORRECTIVE ACTIONS

To prevent occurrences of similar incidents corrective actions should be:

**S** *SPECIFIC*

**M** *MEASURABLE*

**A** *ACTIONABLE*

**R** *REALISTIC*

**T** *TIMELY*

24

*State exactly what needs to be done, include as much detail as possible.*

*How will you know when the action has been achieved?*

*Use strong and clear action verbs when describing.*

*Within Reach? Obstacles Considered?*

*“The Completion Date” By When? Give dates instead of ASAP or Immediately.*

STEP 6: COMPLETE DOCUMENTATION

* All the information gathered needs to be inputted into the VIU Online Safety Incident Report System.
* Use the VIU Incident and Accident Investigation Procedures Manual to help complete the investigation.
* If you need any help, contact Health and Safety Services at [safety@viu.ca](mailto:safety@viu.ca) or 250-740-6283.

STEP 7: FOLLOW-UP

* Follow-up needs to be documented in your online report.

*Note: The Online System will send reminders to you to follow up on corrective actions that are incomplete.*

Reason for following up:

* Confirm that corrective actions have been implemented.
* To see if the implementation of corrective actions has not created new hazards.

Incident reports are reviewed by:

* Managers
* Health and Safety Services
* Local Health and Safety Committees
* Joint Occupational Health and Safety Committee (JOHSC)
* Human Resources (B&H only)
* DEHR (B&H only)
  1. WHAT IF I WAS NOT AROUND WHEN THE INCIDENT HAPPENED?

If you are not physically present when your worker is involved in an incident, you are still required to do an investigation if:

* + - Your worker describes an incident that requires an investigation.
    - You received an email notification that your worker has submitted an incident report that requires an investigation.

If you are/were out of town or away from work during the time of the incident:

* + - A supervisor must be designated before leaving who will be responsible for completing the investigation in your absence.
      * A designated supervisor can be a colleague, your supervisor, or a subordinate with adequate experience.
      * If you receive an email notification from the Online Safety Incident Report System while you are away, send it to your

designated supervisor.

* + - If you cannot be reached, your supervisor will be contacted to submit an incident report in your absence.

*Note: A designated supervisor can only carry out the task of conducting the investigation on your behalf during the time you are out of town/away from work. You cannot permanently designate this task.*

* 1. WHAT IF I HAVE NO JURISDICTION OVER THE AREA WHERE THE INCIDENT HAPPENED?

25

VIU employees work in a variety of settings outside of the Campus. An example would be a construction site acting as a learning facility. In these settings, other jurisdictions are present.

If your employees work in a building or area where you have no jurisdiction, you are still required to complete an investigation since your worker was involved.

Because you have no jurisdiction over the area, it may be harder to identify and assign corrective actions. You may need to contact a supervisor or the Prime Contractor in the area where the incident occurred and collaborate on the incident investigation. To facilitate this process, contact Health and Safety Services.

* 1. WHAT IF I HAVE DIFFICULTY FINDING ROOT CAUSES OR CORRECTIVE ACTIONS?

If you are struggling with identifying root causes and corrective actions, contact a member of your JOSHC or Health and Safety Services for assistance.

When recording your investigation findings in the online system, it is good practice to also note key common factors that did not contribute to the incident. By documenting both the contributing and non-contributing factors of the incident, you demonstrate a comprehensive investigation and validate your methodology.

* 1. WHAT IF I DON’T HAVE TIME TO COMPLETE AN INVESTIGATION?

While everyone is busy, completing and submitting an investigation is a requirement under provincial law. This is part of

exercising your due diligence.

* 1. WHAT IF I MISS THE 48 HOUR DEADLINE FOR A PRELIMINARY INVESTIGATION?

Even if the deadline is missed, complete the investigation as soon as you find out that your worker was involved in an incident.

Ensure your workers know these timelines and know to either report an incident immediately in the online system or to tell you that they were involved in an incident.

* 1. WHAT IF IT IS A PERSONAL HEALTH ISSUE?

Personal health conditions or illnesses are confidential. If it was an illness, you may indicate in a general way that it was a medical condition (no detail about the nature of the condition). Indicate what was investigated to rule out causative factors.

If the individual is in a safety-sensitive role, such as operating hazardous machinery or equipment, where they could endanger themselves or others, it is important to discuss this with your HR advisor.

* + - As a proactive measure, you can refer your employee to the Employee Health, Well-Being and Benefits department in HR to determine if a medical accommodations is needed.

26

* 1. WHAT DO I DO IF THIS IS A BULLYING AND HARASSMENT, WORKPLACE VIOLENCE, OR WORKPLACE CONDUCT INCIDENT?

Bullying and Harassment

Discuss this with Health and Safety Services, HR, and DEHR and begin the investigation immediately. Your worker

can enter the details into the Online Incident Reporting System. The alleged will not be notified of the

incident report.

Workplace Violence

Reports of imminent violence must be reported through 911. If the threat is not imminent, report the incident through the

Online Incident Reporting System and the VIU Risk and Threat Assessment Team (RTAT) will be notified.

Workplace Conduct

Discuss this with Health and Safety Services and HR and begin the investigation immediately. Your worker

can enter the details into the Online Safety Incident Reporting System. The alleged will not be notified of the

incident report.

* 1. WHAT RESOURCES ARE AVAILABLE?

Accident/Incident Investigation Training Course is available through the [VIULearn website](https://learn.viu.ca/d2l/loginh/)

Resources can be found on the Health and Safety Services [website](https://adm.viu.ca/health-and-safety-services/incident/accident-reporting-and-investigation).

Contact Health and Safety Services at [safety@viu.ca](mailto:safety@viu.ca) or 250-740-6283 to assist with issues surrounding the Online Safety

Incident Reporting System and the investigation process.

# VIU Vancouver Safety Supervision Links & Resources

The following links will open as new tabs in your web browser.

LAW AND POLICY INCIDENTS

[Workers Compensation Act](https://www.bclaws.gov.bc.ca/civix/document/id/complete/statreg/19001_00)

[WorkSafeBC Occupational Health and Safety Regulation](https://www.worksafebc.com/en/law-policy/occupational-health-safety/searchable-ohs-regulation/ohs-regulation) [VIU Safety Policy 41.09](https://gov.viu.ca/policies-and-procedures/policy-index)

TEMPLATES

[What to do following an incident](https://adm.viu.ca/sites/default/files/viu-incident-and-accident-investigation-procedures-manual.docx)

[WorkSafeBC Reference Guide for Employer Incident](https://adm.viu.ca/sites/default/files/worksafebc-reference-guide-for-employer-incident-investigations.pdf)

[Investigations](https://adm.viu.ca/sites/default/files/worksafebc-reference-guide-for-employer-incident-investigations.pdf)

[VIU Incident Investigation Procedures Manual](https://adm.viu.ca/sites/default/files/viu-incident-and-accident-investigation-procedures-manual.docx)

[VIU Online Safety Incident Reporting System](https://safetyincidents.viu.ca/)

[Emergency Procedures Posters](https://adm.viu.ca/emergency)

27

[Violence in the Workplace Risk Assessment](https://adm.viu.ca/sites/default/files/violence-risk-assessment-tool-may-2017.pdf)

[Working Alone or in Isolation Risk Assessment](https://view.officeapps.live.com/op/view.aspx?src=https%3A%2F%2Fadm.viu.ca%2Fsites%2Fdefault%2Ffiles%2Fworking-alone-or-in-isolation-risk-assessment.docx&wdOrigin=BROWSELINK)

[Working Alone Program](chrome-extension://efaidnbmnnnibpcajpcglclefindmkaj/https:/adm.viu.ca/sites/default/files/working-alone-or-in-isolation-program-complete.pdf)

[VIU Health and Safety](https://adm.viu.ca/health-and-safety-services/incident/accident-reporting-and-investigation)

[VIULearn](https://learn.viu.ca/d2l/loginh/)

[VIU Health and Safety Committees](https://adm.viu.ca/health-and-safety/university-health-and-safety-committees)

[VIU Emergency Website](https://adm.viu.ca/emergency)

[Employee Family Assistance Plan](https://employees.viu.ca/human-resources/work-wellness-medical-leaves-rehabilitation) [Human Resources Advisor](https://employees.viu.ca/human-resources/hr-partner-contacts-area)

VIU Health and Safety Services

900 fifth Street

Nanaimo, BC Canada V9R 5S5

T: 250-740-6283

E: [safety@viu.ca](mailto:safety.risk@ubc.ca)

[www.viu.ca/healthandsafety](http://srs.ubc.ca/)