

UBC OKANAGAN

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 / Refusal of Unsafe Work
9	Mandatory Training
10	Conducting a Safety Orientation
12	Violence in the Workplace
13	Bullying and Harassment
14	Job Specific Training
15	Documenting Training
16	Ongoing Supervisory Role
17	Incident Investigation
18	What to do if there is an accident?
19	The 2 Types of Investigation
20	Supervisory Responsibility and Incidents
21	How to conduct an Investigation?
24	Common Questions and Answers
26	UBC Okanagan Safety Supervision Links & Resources

Introduction

Supervisors have distinct and significant responsibilities in relation to the safety of their work areas and workers. They have an important role in promoting and maintaining workplace safety. Their words and actions demonstrate how they view and value health and safety.

Supervisors are well-positioned to be safety champions. Effective supervisors are intentional and purposeful in promoting health and safety. Safety Supervision at UBC is an online course that helps supervisors understand the importance of their role in workplace safety. It is a required course for all UBC supervisors.

This Supervisor Handbook (UBC Okanagan) contains the information that is presented in the Safety Supervision at UBC Course and is intended as a resource to supervisors working on the UBC Okanagan campus.

Note: During digital viewing, links embedded (underlined and in light blue) will open as new tabs in your web browser.

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 the Joint Occupational Health and Safety Committee, WorkSafeBC, Local Safety Teams (LSTs), Regulators, and Safety and Risk Services
- Designate a supervisor if you will be leaving for an extended period of time. The designated supervisor will be responsible for carrying out your supervisory responsibilities during this time. You cannot permanently designate this task
- A designated supervisor can be a colleague, your own supervisor, or a subordinate with adequate experience

DUE DILIGENCE

As a supervisor, you need to exercise due diligence.

Due diligence is defined as *taking all **reasonable care** to prevent workers from harm*.

This means that, given the circumstance, you are expected to take all precautions that a reasonable person would.

NOTE: 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

As per UBC Policy SC1 and WorkSafeBC, 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, or faculty)
- Anyone with supervisory responsibilities for worker health and safety

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?

- Documentation
- 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](#) 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 due to the hazard
- Ensure that your workers have the appropriate Personal Protective Equipment (PPE), and that PPE is inspected and used properly
- Educate workers on how to report incidents
- Investigate incidents and record findings by filing a report on the [Centralized Accident/Incident Reporting System \(CAIRS\)](#)

TRAINING

- Ensure [mandatory](#) and program specific safety courses have been completed
- Establish job specific training requirements for your workers
- Train your workers – and document the training

INSTRUCTION

- Establish clear safety expectations/standards through documented procedures
- Educate your workers about the safety resources that are available to them within your department and the University:
 - [Health, Safety & Environment](#)
 - [Joint Occupational Health and Safety Committee](#)
 - [Local Safety Team](#)

SUPERVISION

- Observe your workers to ensure safety competency
- Where safety competency is demonstrated by workers, direct supervision may be less continuous

Potential Hazards

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

BIOLOGICAL	Microorganisms, animals, blood, bodily fluids, allergens
CHEMICAL	Flammables, oxiders, corrosives, compressed gases, toxins
ERGONOMIC	Physiological demands on the worker (eg. repetitive movements, awkward postures arising from improper work methods or workstation design)
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 (eg. 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). PPE only acts as a barrier between the worker and the hazard, and should not be relied upon as a primary control measure.



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:
 - Supervisor
 - [Joint Occupational Health and Safety Committee](#)
 - **Local Safety Team** (where applicable)
3. The right to refuse unsafe work without discriminatory action

WORKER'S RESPONSIBILITIES

- Ensure that your workers understand their responsibilities which include:
- Reporting hazards to their supervisor
- Following safe work procedures and acting in a safe manner at all times
- Using personal protective clothing, devices, and equipment correctly where required
- Co-operating with the Joint Occupational Health and Safety Committee, WorkSafeBC officers and anybody with health and safety duties
- Reporting workplace injuries and seeking first aid
- Never working under the influence of alcohol and/or recreational drugs
-

Resolving Refusal of Unsafe Work Situations

SUPERVISOR'S INVESTIGATION

If a worker refuses unsafe work, the supervisor must investigate the matter and fix it if possible. If the supervisor decides that the worker's concern is not valid, this decision and rationales should be reported 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. UBC [Health, Safety & Environment](#) (HSE) will provide assistance and try to resolve the situation
3. UBC HSE will notify WorkSafeBC who 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, a number of courses are mandatory to meet WorkSafeBC and UBC safety requirements.

MANDATORY SAFETY TRAINING FOR ALL UBC WORKERS

- [New Worker Safety Orientation](#)
- [Preventing and Addressing Workplace Bullying and Harassment](#)
- [Workplace Violence Prevention](#)

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 within UBC

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

- A Safety Orientation helps familiarize an individual with their work environment, the hazards to which they may be exposed and the ways they can protect themselves

HOW DO YOU CONDUCT A SAFETY ORIENTATION?

- Instruct the worker to complete Part 1 of the [New Worker Orientation Course](#)
- Have a documented discussion of the: [Site Specific Orientation Checklist](#)
 - 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 UBC do not have access to a computer and as a result, the New Worker Safety Orientation may be carried out in person within your department/building.

For more information, visit the [UBC HSE Website](#).

Conducting a Safety Orientation

TOPIC

WHAT DO I NEED TO DISCUSS?

NAME AND CONTACT INFORMATION FOR 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 view the applicable JOHSC meeting minutes and membership by visiting the [UBC Safety Committee Website](#).

SAFETY PROGRAM AND PROCEDURES

- Instruct your worker to read [UBC Policy SC1: University Safety](#)
- Identify the location of the [Health, Safety & Environment \(HSE\) website](#) (general Safety Program) and any area-specific safety program or procedures that are in place

WORKPLACE HEALTH AND SAFETY RULES

- Communicate local rules for your area (e.g. no eating or drinking, requirements to enter specific areas, [enrollment in occupational and preventive health](#))

WORKER'S RIGHTS AND RESPONSIBILITIES

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, following safe work procedures, reporting workplace injuries and seeking first aid, never working while impaired

POTENTIAL HAZARDS OF A WORKPLACE

- Consider the presence of the following hazards and ways they can protect themselves from the hazards:
 - [Biological, Chemical, Ergonomic](#), Physical (ex. [Radiation, Working at Heights](#))

WORKPLACE HAZARDOUS MATERIAL INFORMATION SYSTEM (WHMIS)

Instruct your worker to complete either the [WHMIS and Other Hazard Identification Systems Course](#) and/or the [Chemical Safety Course](#)

PERSONAL PROTECTIVE EQUIPMENT (PPE) *(if applicable)*

- Communicate which tasks require PPE and:
 - The exact PPE needed, how to acquire and how to store it
 - How to use the PPE properly and inspect it to check for integrity
- Respirators must be fit tested. Visit the [UBC Respirator Safety](#) web page.

Conducting a Safety Orientation *(continued)*

TOPIC	WHAT DO I NEED TO DISCUSS?
EMERGENCY PROCEDURES	- Communicate the location of the UBC Emergency Procedures and Information website - Provide a tour of the work area and point out the location of the emergency evacuation maps, areas of refuge, pull stations, fire extinguishers, pre-designated meeting area, and where applicable, eye wash stations and emergency showers - Inform your worker that they are automatically signed up to UBC Alert, but that they need to keep their information up to date with UBC Human Resources - Inform your worker of the UBC Safe App and the various features that may apply
FIRST AID	- On Campus: Call Campus Security at 250.807.8111 - Off Campus: Call the designated First Aid number for your location - Communicate the locations of AEDs: UBC-O AED Map
ACCIDENT INCIDENT REPORTING AND INVESTIGATION	Instruct your worker that incidents (injuries, illnesses and near misses) need to be reported to you as their supervisor and into the Centralized Accident/Incident Reporting System (CAIRS)
VIOLENCE IN THE WORKPLACE	Instruct the worker to complete the Violence Prevention Training
BULLYING & HARASSMENT (B&H)	Instruct your worker to complete the Preventing and Addressing Workplace Bullying and Harassment Training
WORKING ALONE OR IN ISOLATION <i>(if applicable)</i>	Communicate results of the Working Alone risk assessment and the procedures to follow if the worker will be working alone

NOTE: HSE is available to support supervisors in relation to worker training requirements and campus safety programs. If you would like support, please contact HSE at hse.ok@ubc.ca.

Violence in the Workplace

VIOLENCE IN THE WORKPLACE IS DEFINED AS:

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

Note: When the incident of violence towards an employee is by a co-worker, this is called Workplace Conduct

WHAT DO I NEED TO COMMUNICATE TO MY WORKER?

- If there is a perceived threat of violence, call Campus Security (604-807-8111) and advise you (their supervisor)
- If there is a perceived threat of violence at an off-campus location, instruct your worker to follow site-specific procedures and to advise you (their supervisor)
- If there is ever an imminent risk of injury from violent behavior, call 911

SUPERVISOR'S RESPONSIBILITIES FOR WORKPLACE VIOLENCE

- All employees are required to take the [UBC Workplace Violence Prevention Training](#)
- In areas where a risk of violence exists a [Workplace Violence Risk Assessment](#) must be conducted and the results communicated to the affected workers. Risk of violence exists in the following situations:
 - Providing services directly to the public
 - Handling, securing, protecting cash or valuables including narcotics and controlled substances
 - Dealing with unstable/volatile individuals
 - Working alone or in isolation with the likelihood of dealing with an irate person
 - Providing protective services and/or by-law enforcement
 - Making decisions which may impact academic, employment status, or dealing with controversial personal matters
 - Transporting people or goods
 - Travelling to remote or hazardous locations
- Control measures shall be implemented to eliminate or minimize the risk
- If a Workplace Violence incident occurs, the supervisor must report this as an incident through CAIRS, complete an investigation and establish corrective actions to any ongoing or future risk

Note: Workplace Conduct Incidents are also reported through CAIRS

For more information, visit the [WorkSafe BC Website on Workplace Violence](#)

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* is based on the reasonable person standard

WHAT DO I NEED TO COMMUNICATE TO MY WORKER(S)?

- Your worker should report incidents of bullying and harassment to you (their supervisor)
- If the worker feels that you (their supervisor) is responsible for, or involved in, the bullying or harassment, they should contact the Administrative Head of Unit, Union/Association representative, the [Human Resources Advisor](#) or the UBC [Equity and Inclusion Office](#)
- Bullying and Harassment complaints *MUST NOT* be reported on CAIRS

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 guidance from your [Human Resources Advisor](#)
- Ask the employee for full details
- Offer the employee resources ([Employee Family Assistance Plan](#))
- 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 [UBC Bullying and Harassment website](#)

Job Specific Training

Once your worker has been oriented to the workplace and completed the mandatory training 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.

PROGRAM SPECIFIC TRAINING COURSES

These courses provide a broad overview of specific types of hazards and must be completed where applicable prior to Job Specific Training. Click [here](#) to see a list of Program Specific Training opportunities.

JOB SPECIFIC TRAINING

Each role at UBC has assigned tasks that require training specific to that worksite. Supervisors are responsible for task assignment and assessment of the training needed to complete tasks safely and effectively by the workers under their supervision.

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 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 prior to sign off of the training record for that assessed requirement.

A [Job Specific Training template](#) available to guide you in the documentation of staff training assessments and completion.

Conducting Job Specific Training

The supervisor or trainer with subject matter expertise must:

1. Instruct the worker to read the relevant protocol/procedure for individual tasks/techniques
2. Ensure safety measures (hierarchy of controls) are integrated into the protocol/procedure
3. Demonstrate how to do the task as per the protocol/procedure and have the worker observe
4. Instruct the worker to perform the task while you observe them and verify that the workers' performance meets expectations for safety
5. Document the training

WHEN IS ADDITIONAL TRAINING REQUIRED?

The supervisor shall arrange for additional orientation and training if:

1. workplace observation reveals that the worker is not able to perform work safely, or
2. additional training is requested by the worker

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 control hazards. Where a hazard is identified:

- A risk assessment may be necessary to assess the risk posed by the hazard
- Determine how to best control that risk using the hierarchy of controls
- Establish a documented procedure for working with or in proximity to the hazard
- Written procedures and training 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 recognized risk of injury or illness

DO I HAVE TO DOCUMENT TRAINING FOR EVERY TASK?

Where tasks involve the same hazards, are performed in the same environment and workers are expected to apply the same controls, training may be generalized across the tasks.

HOW IS TRAINING DOCUMENTED?

- Maintain training records (Workday / Canvas Catalog) and/or course certificates (hard copies)
- Create a training log for job specific training on protocol/procedures
 - A training log must indicate the name of the trainer, trainee, date of training, and the specific protocol/ procedure/ topic that was the subject of the training
- Some training is best provided by a 3rd party specialist. In these cases:
 - The training must be adequately specific for the tasks performed and the associated hazards
 - 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 ENSURES ORIENTATION AND TRAINING RECORDS ARE BEING KEPT?

- The Supervisor *OR*
- The Department (only if there is a system in place)

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

- Training records may be kept in centralized systems (Workday / Canvas Catalog) where appropriate
- Hard copy records may be kept for specialized training (e.g. create a training binder to keep training certificates /logs)

Ongoing Supervisory Role

HAVE I ADEQUATELY ORIENTED AND TRAINED MY WORKERS?

1. Verify that mandatory courses have been completed
2. Verify if other applicable program specific safety courses are completed
3. Verify that appropriate job specific training has been provided by you (the supervisor) or a trainer with subject matter expertise
4. Verify that training is fully documented

THE ITEMS BELOW DESCRIBE WAYS IN WHICH YOUR ROLE AS A SUPERVISOR REMAINS ONGOING AND DEMONSTRATES DUE DILIGENCE

Provide refresher training at appropriate intervals – i.e. do your workers still remember the procedure on how to report an incident?

Train your workers on new hazards/processes/tasks

Provide active supervision and remain available for ongoing questions

Verify that workers' performance meets safety expectations

Correct improper and unsafe work activities and conditions

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

Reinforce safe and appropriate work performance

Record a daily entry in a supervisor journal

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

Complete incident investigations and ensure that corrective actions are implemented and effective

Incident Investigation

An analysis of an incident by gathering and assessing information towards determining the root causes in an effort to prevent recurrence

WHAT IS CAIRS?

CAIRS is UBC's Centralized Accident/Incident Reporting System (CAIRS). It is used to:

- Report incidents
- Obtain required information to initiate a WorkSafeBC claim for work-related injuries/illnesses
- Facilitate Joint Occupational Health and Safety Committee (JOHSC) participation
- Document incident investigations
- Track corrective actions
- Submit incident investigation reports to WorkSafeBC as required
- Generate incident statistics

WHICH INCIDENTS REQUIRE AN INVESTIGATION?

NEAR MISS

A workplace incident that had the potential for causing a serious injury

INJURY **NOT** REQUIRING MEDICAL TREATMENT BUT HAD POTENTIAL FOR SERIOUS INJURY

A workplace injury that did not result in a visit to the doctor but had the potential for causing serious injury

INJURY REQUIRING MEDICAL TREATMENT

A workplace injury resulted in a visit to any kind of doctor, such as Emergency Doctor, Family Doctor, Walk-in Clinic

INJURY RESULTING IN TIME LOSS*

A workplace injury that resulted in taking time off work the day after the incident

IMMEDIATELY REPORTABLE INCIDENTS

Incidents that require immediate notification to WorkSafeBC (through reports to Campus Security)

NOTE: The Work Reintegration & Accommodation Program should be engaged directly whenever there is a Time Loss incidents. WRAP will support return to work planning.

What to do if there is an incident?

STEP 1:

Ensure that care is provided to the impacted employee and any others who are impacted by the incident and that individuals and property are not at further risk.

- Call 911 (major incidents) and/or campus security (first aid)
- Offer support ([Employee Family Assistance Plan](#) or [Student Health and Wellness](#)) to those involved

STEP 2:

Is it Immediately Reportable as per the list below? If so, contact Campus Security at 250.807.8111 (78111) 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 potential for serious injury Blasting incident causing personal injury

Dangerous incident involving explosives

Diving incident

* Life threatening or could cause permanent injury

STEP 2:

According to the *Which Incidents Require an Investigation?* table on the previous page, does it require an investigation? If so, proceed to Step 3.

STEP 3:

Begin investigation and follow the Investigation Procedure on the next page.

The 2 Types of Investigation

PRELIMINARY INVESTIGATION (WITHIN 48 HOURS)

Ensure that anyone injured has received first aid and any required ongoing care

Within 48 hours of the incident occurring, attend the area where the incident happened to ensure that it is safe

Gather information by speaking with your worker or other witnesses

Input information into [CAIRS](#) within 2 working days

Document immediate corrective actions that address the direct (obvious) causes of the incident

If possible, within 48 hours identify root causes and document the completion of corrective actions that address the root causes

Ensure that all corrective actions are complete during the Preliminary Investigation

A Preliminary Investigation is enough if:

- You do not need to add more incident details
- Root causes and related corrective actions have been documented and a timeline for completion stated

FULL INVESTIGATION (WITHIN 30 DAYS)

Full Investigation required when you need to add more incident details

A full investigation should to be completed within 25 days of the incident occurring to meet the 30 day legal requirement

Add any additional information about the incident that may have surfaced post initial 48 hours into UBC [CAIRS](#)

Should include involvement of a Worker Representative from the [JOHSC](#)

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

Root causes and corrective actions addressing them documented and a timeline for completion stated

Incidents & Supervisory Responsibility

WHO INVESTIGATES?

It is the supervisor's responsibility to investigate incidents in which their workers are involved. Others are available to assist as described in the blue box.

IF YOU ARE THE SUPERVISOR OF A WORKER* WHO WAS INVOLVED IN AN INCIDENT YOU MUST:

1. Notify Campus Security (250.807.8111) of immediately reportable incidents
2. Complete an incident report in CAIRS
3. Conduct preliminary and full investigations
4. Identify and ensure completion of corrective actions (even if they were assigned to others)
5. Follow up to ensure corrective actions are implemented, effective and have not created new hazards
6. If there is time loss, or a request for medical accommodations, contact [WRAP](#) who will support the accommodation and return to work process

NOTES: -Workers include Faculty, Staff, Paid Student, and Practicum/Clinical Placement Student
 -UBC applies the same investigation requirements to incidents involving students and visitors using UBC facilities

WORKERS UNDER YOUR SUPERVISION SHOULD BE INSTRUCTED TO:

1. Report the incident to you (the supervisor)
2. Complete an incident report in CAIRS
3. Notify you (the supervisor) of any changes to the incident severity (doctor visit or time lost the day after the incident)
4. Begin a WorkSafeBC Claim (where applicable) by calling 1-888-967-5377 if they have seen a doctor or missed time from work the day after the incident

WORKERS SHOULD BE ENCOURAGED TO SUBMIT AN INCIDENT REPORT IN CAIRS. THE SUPERVISOR IS REQUIRED TO SUBMIT AN INCIDENT REPORT ON CAIRS

WHO CAN HELP THE SUPERVISOR CONDUCT AN INCIDENT INVESTIGATION?

The following Worker Representatives can assist with gathering and analyzing information, identifying corrective actions and witnessing the investigation:

- [JOHSC](#) Worker Safety Representative (required)
- Others who are familiar with the job or process or a member of Local Safety Team, if applicable

[Health, Safety & Environment](#) will assist as required

NOTE: HSE will facilitate investigations of immediately reportable incidents and incidents that occur in unsupervised work environments (i.e. campus grounds where the worker is not performing regular work activities).

How to Conduct an Investigation?

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 go to the scene (where appropriate).

Provide treatment to the injured:

- First Aid
 - On Campus: 250.807.8111 (78111)
 - Off Campus Locations: Call the designated First Aid number for your area

Control the remaining hazards

- Ensure that the incident scene is safe (where appropriate, go to the scene and see it for yourself)
- Where practicable, remove and/or control any current or ongoing hazard(s) to minimize the risk of any further injury

Preserve the accident scene

- Document and/or isolate any equipment or machinery that may have been involved in the incident

STEP 2: GATHER INFORMATION

Ensure an appropriate and 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 incident

How to Conduct an Investigation?

STEP 3: EVALUATE & ANALYZE FINDINGS

1. Build a sequence of events based on facts and evidence that occurred:
 - Before the incident
 - During the incident
 - After the incident
2. Record this information on the Incident Description Section of the CAIRS report - be as detailed as possible with respect to timing, environmental conditions, organizational factors and injuries BUT do not name individuals involved in the incident

It is insufficient to just say: “worker fell on stairs”

Better to say: “Worker was carrying a pile of papers and running down the stairs which were wet and slipped and fell 3 feet landing on their back”

STEP 4: DETERMINE CAUSES

22

DIRECT CAUSES

- Easy to identify as they can usually be seen and sensed
- They are the unsafe acts and conditions that contributed to the incident (e.g. wet floor)

ROOT CAUSES

- 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’ll need to ask at least one more “why?” question. Do not stop your analysis at personal factors – consciously avoid blaming.

When recording your investigation findings in CAIRS, it is good practice to also note common factors that did not contribute. By documenting what did and did not contribute, you are showing what was investigated and documenting all considerations that were contemplated.

How to Conduct an Investigation?

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

In order to prevent occurrences of similar incidents corrective actions should be:

S	<i>SPECIFIC</i>	<i>State exactly what needs to be done, including as much detail as possible.</i>
M	<i>MEASURABLE</i>	<i>How will you know when the action has been achieved?</i>
A	<i>ACTIONABLE</i>	<i>Use strong and clear action verbs when describing, including who is responsible.</i>
R	<i>REALISTIC</i>	<i>Can this be achieved? Have all obstacles been considered?</i>
T	<i>TIMELY</i>	<i>A specific completion date should be assigned? Give dates instead of ASAP or Immediately</i>

STEP 6: COMPLETE DOCUMENTATION

- All of the information gathered needs to be inputted into the [CAIRS](#) report
- Your worker should also file a [CAIRS](#) report
- If you need any help, contact HSE at hse.ok@ubc.ca to request assistance

STEP 7: FOLLOW UP

- This needs to be documented in your [CAIRS](#) report! You can indicate that the corrective action was completed by clicking a check box on [CAIRS](#) and detailing the actions taken

NOTE: CAIRS can remind you to follow up on corrective actions in order to confirm completion

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:

- Workplace Health Services (WHS)
- Local Safety Team (LST), where applicable
- Joint Occupational Health and Safety Committee (JOHSC)
- Health, Safety & Environment (HSE)

Common Questions & Answers

1. WHAT IF I WAS NOT AROUND WHEN THE INCIDENT HAPPENED?

If you are not physically present the moment your worker is involved in an incident, you are still required to submit a CAIRS report and complete an investigation if:

- Your worker reports an incident that requires investigation
- You receive an email notification that your worker has submitted a CAIRS report relating to a workplace incident

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

- A supervisor must be designated prior to leaving who will be responsible for filing CAIRS reports if your worker is involved in an incident
 - A designated supervisor can be a colleague, your own supervisor, or a subordinate with adequate experience
 - If you receive an email notification from CAIRS while you are away, send it to your designate
- If you cannot be reached, your direct supervisor will be contacted to submit the incident report in CAIRS and to perform the investigation

NOTE: A designated supervisor can only carry out the task of filing an incident report on CAIRS on your behalf during the time you are out of town/away from work. You cannot permanently designate these duties

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

UBC employees work in a variety of settings outside of the UBC Campuses. Some examples include hospital and public school settings. In these settings, other jurisdictions are present and processes in place.

If your employees is involved in an incident in a building or area where UBC does not have direct jurisdiction, you are still required to submit a CAIRS report since your worker was involved.

Because you have no direct jurisdiction over the area, it may be more difficult to identify and assign corrective actions. However, in this case, you may need to contact a supervisor in the area where the incident occurred and collaborate on the incident investigation. To facilitate this process, contact [HSE](#) or a member of your [JOHSC](#).

3. 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 LST (if applicable), [JOHSC](#) or [HSE](#) for assistance.

When recording your investigation findings in CAIRS, it is good practice to also note key common factors that did not contribute. By documenting what did and did not contribute, you are showing what was investigated and documenting all considerations that were contemplated.

4. WHAT IF I DON'T HAVE TIME TO COMPLETE AN INVESTIGATION?

While everyone is busy, submitting a CAIRS report is a UBC Policy requirement and necessary under provincial law. This is also a demonstration of you exercising due diligence as a supervisor.

Common Questions & Answers

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

Even if the deadline is missed, submit a report on CAIRS and 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 report that they were involved in an incident in a timely manner in the future.

6. WHAT IF IT IS A PERSONAL HEALTH ISSUE?

Personal health conditions or illnesses are confidential. If it turns out that the incident related to 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 working in a safety sensitive position (e.g. operating hazardous machinery/equipment), and the circumstances may put themselves or others at risk, the situation should be discussed with Human Resources.

- As a proactive measure, you can send your employee to [Work Reintegration & Accommodation Program](#) (WRAP) or [Occupational and Preventive Health](#) where the employee can disclose any conditions they may have to a health care worker and accommodations can be made along with conducting a job hazard assessment

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

Bullying and Harassment

Discuss this with HR, and do not enter this into CAIRS. A separate investigation will be facilitated through HR.

Workplace Violence

Violence in the workplace incidents are reported and investigated in CAIRS. Supervisors should work with Campus Security to perform related investigations.

Workplace Conduct

Workplace conduct incidents are reported and investigated in CAIRS. Supervisors should contact their HR Advisor prior to investigation to ensure that conduct issues are dealt with appropriately.

8. WHAT RESOURCES ARE AVAILABLE?

Support for completing investigations is available by contacting HSE directly (hse.ok@ubc.ca).

The [UBC Incident Site Investigation Guide](#) can assist in documenting your investigation prior to reporting it on CAIRS. Once you have all the information written in this document, you can easily input it into the relevant fields in the CAIRS report.

UBC Okanagan Safety Supervision Links & Resources

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

LAW AND POLICY

[UBC Policy SC1](#)

[UBC Statement on Respectful Environment](#)

[Workers Compensation Act](#)

[WorkSafeBC Occupational Health and Safety Regulation](#)

UBC SUPPORT DEPARTMENTS/ GROUPS

[Health, Safety & Environment](#)

[Joint Occupational Health and Safety Committees](#)

[Campus Security](#)

[Human Resources](#)

[Work Reintegration & Accommodation](#)

[Employee Family Assistance Plan](#)

[Equity & Inclusion](#)

[Student Health & Wellness](#)

[Aboriginal Programs & Services](#)

RESOURCES & TEMPLATES

[Emergency and Safety Contacts Poster](#)

[First Aid Poster](#)

[HSE Courses](#)

[Centralized Accident/Incident Reporting System \(CAIRS\)](#)

[UBC Incident Site Investigation Guide](#)

[Violence in the Workplace Risk Assessment](#)

[Working Alone or in Isolation Risk Assessment](#)

[UBC Alert](#)

UBC Health, Safety & Environment

E: hse.ok@ubc.ca

operations.ok.ubc.ca/health-and-safety