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MAY 18 2021

INDIANA DEPT OF LABOR
IOSHA

SETTLEMENT AGREEMENT

The Commissioner of Labor (hereinafter referred to as "Commissioner") and **John Ward Concrete & Excavating** (hereinafter referred to as "Employer") hereby agree as follows:

A Safety Order and notification of Penalty resulting from IOSHA Inspection No. 318129392 was issued to the Employer on *April 26th, 2021* and is resolved in the following manner.

Citation 01:

- Item 1: *Upheld, Penalty reduced: \$298.00, Abatement due: 7/16/2021*
- Item 2: *Upheld, Penalty reduced: \$1000.00, Abatement due: Completed*
- Item 3: *Upheld, Penalty reduced: \$1000.00, Abatement due: Completed*
- Item 4: *Upheld, Penalty reduced: \$1000.00, Abatement due: 7/16/2021*

Citation 02:

- Item 1: *Upheld, Penalty reduced: \$2000.00, Abatement due: Completed*

The TOTAL AGREED PENALTY is \$5,298.00

In consideration, The Employer has agreed to the following enhanced abatement:

1. *Work with INSafe or 3rd party safety consultant to:*
 - a. *Reviewed company Safety & Health Program, and Disciplinary Program.*
 - b. *The employer shall provide a record of the findings to IDOL upon completion of the consultation.*
2. *Work with INSafe or 3rd party safety consultant in a full-service and comprehensive safety consultation on an active jobsite within sixty (60) days of signed Settlement Agreement.*
 - a. *Employer shall provide copy of confirmation of consultation request by the consultant.*
3. *Work with INSafe or 3rd party safety consultant to provide training for all employee(s) within sixty (60) days of signed Settle Agreement in:*
 - a. *Trenching/Excavations requirements.*
 - b. *General safety and personal protective equipment.*
 - c. *Common Construction Hazards and Competent Person Requirements*

Note: The employer shall provide an agenda and the class sign-in sheet to IDOL upon completion of the course.

Employer agrees that a request must be made in writing to IOSHA for a Petition for Modification of Abatement prior to the above abatement date if abatement cannot be met by the respective dates and an extension is required. Except for the above specified amendments all other provisions of Safety Order Number 318129392 are retained intact.

Employer agrees that failure to abide by the terms of enhanced abatement as stated herein above will rescind any penalty adjustment provided by the enhanced abatement, and the original penalty amount will be due within 15 business days of the Commissioner's knowledge of said failure.

Employer is required under the authority of §1903.16 to post copies of all amendments or changes to citations resulting from informal conferences. Employer must provide employee representatives with copies of any agreements.

The Commissioner agrees to allow the Employer a total of [24] consecutive months to pay the TOTAL AGREED PENALTY. The Employer shall make one payment of at least [Two Hundred Twenty Dollars and 75/100] Dollars (\$220.75) each consecutive month until the TOTAL AGREED PENALTY of \$[5,298.00] is paid in full. The first payment shall be due with the Employer's execution of this Agreement. Subsequent payments shall be due by the 15th day of each month until said penalty is paid in full. If the Employer fails to make timely payments or fails to pay the full TOTAL AGREED PENALTY as stated herein, the full amount of unpaid penalty that remains shall be immediately due to the Commissioner, the Commissioner may use every legal remedy available to collect such unpaid amount, interest shall begin to accrue on said unpaid amount at the rate of 12% apr compounded daily, and the Commissioner may collect legal fees from the Employer for any collection action that may be necessary.

If paying online, visit: <https://payingov.com/Payment/SelectEntity/475>

If paying by check or money order: Please make your check or money order payable to "Indiana DOL/IOSHA," indicate IOSHA's Inspection Number (indicated above) on your remittance, and send payments to the following address:

Indiana Department of Labor
402 West Washington Street – Room W195
Indianapolis, Indiana 46204

Upon full execution of this Settlement Agreement the Employer will post this Agreement for three (3) working days or until abatement is completed, whichever period is longer.
The Safety Order(s) and Notification(s) of Penalty, as amended herein, shall be a final and enforceable Order of the Board of Safety Review.

THE EMPLOYER IS SATISFIED WITH THE AMENDMENTS STATED ABOVE AND ACCORDINGLY WAIVES ITS RIGHT TO FILE A NOTICE OF CONTEST OF THE SAFETY ORDER(S) AND NOTIFICATION(S) OF PENALTY AS AMENDED AND AGREES TO WITHDRAW ANY PREVIOUSLY FILED NOTICES OF CONTEST IN THIS MATTER.

Except for this Agreement, and IOSHA matters arising out of this Agreement, and any other subsequent IOSHA proceedings between the parties, none of the foregoing agreements, statements, findings, and actions taken by the Employer shall be deemed an admission by the Employer of the allegations contained within the Safety Order(s) and Notification(s) of Penalty. The agreements, statements, findings, and actions taken herein are made in order to compromise and settle this IOSHA matter economically and amicably, and they shall not be used for any other purpose except as herein stated.

John Ward Concrete & Excavating

By:  _____

Title: Owner _____

Date: 5-17-21 _____

COMMISSIONER OF LABOR

By:  _____

Title: Director of Construction _____

Date: 5-18-21 _____

Indiana Department of Labor

Indiana Occupational Safety and Health Administration
402 West Washington St - Room W195
Indianapolis, IN 46204
Phone: (317)232-1979 FAX: (317)233-3790



Safety Order and Notification of Penalty

To:
John Ward Concrete & Excavation
and its successors
1617 3rd St
Osceola, IN 46561

Inspection Number: 318129392
CSHO ID: G8141
Optional Report No.: 00221
Inspection Date(s): 3/17/2021 - 3/19/2021
Issuance Date: 4/26/2021

Inspection Site:
925 Eddy Street
South Bend, IN 46617

The violation(s) described in this Safety Order and Notification of Penalty is (are) alleged to have occurred on or about the day(s) the inspection was made unless otherwise indicated within the description given below.

An inspection of your place of employment has revealed conditions which we believe do not comply with the provisions of the Indiana Occupational Safety and Health Act (Indiana Code Chapter 22-8-1.1) or the standards or rules adopted thereunder. Accordingly, enclosed please find safety order(s) and notification(s) of penalty describing such violation(s) with references to applicable standards, rules, or provisions of the statute and stating the amount of any penalty(ies).

Informal Conference - Please be advised that it may be possible to informally settle any potential dispute without initiating the more elaborate proceedings brought on by a petition for review. Prior to filing a petition for review, you may request an informal conference concerning any of the results of the inspection (safety orders, penalties, abatement dates, etc.) by contacting the Indiana Department of Labor/IOSHA, preferably by telephone, in a prompt manner. Please be advised that a request for an informal conference cannot extend the fifteen working day period for filing a petition for review. Informal conferences frequently resolve any possible disputes, and therefore you are urged to take advantage of this opportunity. Because of the limited time period and in order to facilitate scheduling, any requests for an informal conference should be made promptly upon your receipt of the safety order(s) and notification(s) of penalty.

Right to Contest - You are hereby also notified that you are entitled to seek administrative review of the safety order(s), penalty(ies), or both by filing a written petition for review at the above address postmarked within fifteen working days of your receipt of the safety order(s) and notification(s) of penalty. ("Working days" means Mondays through Fridays, but does not include Saturdays, Sundays, legal holidays under a state statute or days on which the Indiana Department of Labor's offices are closed during regular business hours). If you do not file such a petition for review (contest), the safety order(s)

and penalty(ies) shall be deemed final orders of the Board of Safety Review and not subject to review by any court or agency. The issuance of a safety order does not constitute a finding that a violation has occurred unless no petition for review is filed, or if a petition for review (contest) is filed, it must contain a statement of its basis and should reference the above inspection number. Upon receipt of your petition for review, we will affirm, amend or dismiss the safety order(s) and notification(s) of penalty. If we affirm, your petition for review will be granted (unless it was not timely) and the dispute will be certified by the Board of Safety Review for further proceedings. The Board of Safety Review is an independent board appointed by the governor with authority to conduct legal proceedings leading up to and including administrative hearings, or assign and Administrative Law Judge (ALJ) to conduct the same, and to issue decisions concerning disputed safety orders and notifications of penalties. If we amend the safety order(s) or notification(s) of penalty, your petition for review shall be deemed moot. However, you will then be given an opportunity to file a petition for review concerning the amended safety order(s) and notification(s) of penalty.

Please be advised that an employee or representative of employees may file a petition for review to contest the reasonableness of the time stated in the safety order(s) for the abatement of any violation.

Posting - Upon receipt of any safety order(s) you are required to post such safety order(s), or a copy thereof, unedited, at or near each place an alleged violation referred to in the safety order(s) occurred. However, if your operations are such that it is not practicable to post the safety order(s) at or near each place of alleged violation, such safety order(s) shall be posted, unedited, in a prominent place where it will be readily observable by all affected employees. For example, if you are engaged in activities which are physically dispersed, the safety order(s) may be posted at the location from which the employees operate to carry out their activities. You must take steps to ensure that the safety order is not altered, defaced, or covered by other material. Posting shall be until the violation is abated, or for three working days, whichever is longer.

Penalties - Penalties are due within fifteen (15) working days of receipt of this notification unless contested. Abatement does not constitute payment of penalties.

Abatement - The conditions cited in the safety order(s) must be corrected (abated) on or before the date shown for each item on the safety order(s) and notification(s) of penalty unless:

(1) You file a petition for review concerning the violation, in which case the full abatement period shall commence from the issuance of a final decision by the Board of Safety Review or the courts which requires compliance with the safety order; or

(2) The abatement period is extended by the granting of a petition for modification of abatement date.

PMAs - The petition for modification of abatement date is a manner in which you may seek additional time to correct (abate) a violation without having to file a petition for review concerning the safety order, or after the expiration of the time period to file such a petition for review when it becomes apparent that you need extra time to abate the violation. A petition for modification of abatement date shall be in writing and shall include the following information:

(1) All steps you have taken, and the dates of such actions, in an effort to achieve compliance during the prescribed abatement period.

(2) The specific additional abatement time necessary in order to achieve compliance.

(3) The reasons such additional time is necessary, including the unavailability of professional or technical personnel or of materials and equipment, or because necessary construction or alteration of facilities cannot be completed by the original abatement date.

(4) All available interim steps being taken to safeguard employees against the cited hazard during the abatement period.

(5) A certification that a copy of the petition has been posted, and if appropriate, served on the authorized representative of affected employees, and a certification of the date upon which such posting and service was made.

A petition for modification of abatement date shall be filed with the Indiana Department of Labor/IOSHA no later than the close of the next working day following the date on which abatement was originally required. A later-filed petition shall be accompanied by the employer's statement of exceptional circumstances explaining the delay. A copy of such petition shall be posted in a conspicuous place where all affected employees will have notice thereof or near such location where the violation occurred. The petition shall remain posted until the time period for the filing of a petition for review of the Commissioner's granting or denying the petition expires. Where affected employees are represented by an authorized representative, said representative shall be served a copy of such petition.

Notification of Corrective Action - Correction of the alleged violations which have an abatement period of thirty (30) days or less should be reported in writing to us promptly upon correction. A "Letter of Abatement" form and an "Abatement Photographs" worksheet are enclosed for your assistance in providing adequate documentation of abatement. Reports of corrections should show specific corrective action on each alleged violation and the date of such action. On alleged violations with abatement periods of more than thirty (30) days, a written progress report should be submitted, detailing what has been done, what remains to be done, and the time needed to fully abate each such violation. When the alleged violation is fully abated, we should be so advised. Timely correction of an alleged violation does not affect the initial proposed penalty..

Followup Inspections - Please be advised that a followup inspection may be made for the purpose of ascertaining that you have posted the safety order(s) and corrected the alleged violations. Failure to correct an alleged violation may result in additional penalties for each day that the violation has not been corrected.

Employer Discrimination Unlawful - The law prohibits discrimination by an employer against an employee for filing a complaint or for exercising any rights under this Act. An employee who believes that he/she has been discriminated against may file a complaint no later than 30 days after the discrimination occurred with the Indiana Department of Labor/IOSHA at the address shown above.

Notice to Employees - The law gives an employee or his/her representative the opportunity to object

to any abatement date set for a violation if he/she believes the date to be unreasonable. The contest must be mailed to the Indiana Department of Labor/IOSHA at the address shown above within fifteen (15) working days (excluding weekends and State holidays) or receipt by the employer of this safety order and penalty.

If you wish additional information, you may direct such requests to us at the address or telephone number stated above.

Indiana Department of Labor

NOTICE TO EMPLOYEES OF INFORMAL CONFERENCE

An informal conference has been scheduled with IOSHA to discuss the safety order(s) issued on 4/26/2021. The conference will be held at the IOSHA office located at 402 West Washington Street, Room W195, Indianapolis, IN 46204 on _____ at _____. Employees and/or representatives of employees have a right to attend an informal conference.

Indiana Department of Labor
Occupational Safety and Health Administration

Inspection Number: 318129392
Inspection Date(s): 3/17/2021 - 3/19/2021
Issuance Date: 4/26/2021
CSHO ID: G8141
Optional Report No.: 00221

Safety Order and Notification of Penalty

Company Name: John Ward Concrete & Excavation
Inspection Site: 925 Eddy Street, South Bend, IN 46617

Safety Order 01 Item 001 Type of Violation: **Serious**

29 CFR 1926.21(b)(2): The employer shall instruct each employee in the recognition and avoidance of unsafe conditions and the regulations applicable to his/her environment to control or eliminate any hazards or other exposure to illness or injury:

Jobsite Area – 1140 Howard St, South Bend, IN 46617 - On March 17, 2021, during construction activities, employees were not instructed in the recognition and avoidance of unsafe conditions applicable to their work environment such as but not limited to those connected with excavations.

Date By Which Violation Must Be Abated: **6/11/2021**
Proposed Penalty: **\$600.00**

Indiana Department of Labor
Occupational Safety and Health Administration

Inspection Number: 318129392
Inspection Date(s): 3/17/2021 - 3/19/2021
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Safety Order and Notification of Penalty

Company Name: John Ward Concrete & Excavation
Inspection Site: 925 Eddy Street, South Bend, IN 46617

Safety Order 01 Item 002 Type of Violation: **Serious**

29 CFR 1926.651(c)(2): A stairway, ladder, ramp or other safe means of egress was not located in trench excavations that were 4 feet (1.22m) or more in depth so as to require no more than 25 feet (7.62m) of lateral travel for employees:

Jobsite Area – 1140 Howard St, South Bend, IN 46617 - On March 17, 2021, during construction activities, no ladder, ramp, or other acceptable means of egress was provided for employees in the excavation that was 30 feet wide, 300 feet long and 29 feet deep.

Date By Which Violation Must Be Abated:	Corrected During Inspection
Proposed Penalty:	\$2,000.00

Indiana Department of Labor
Occupational Safety and Health Administration

Inspection Number: 318129392
Inspection Date(s): 3/17/2021 - 3/19/2021
Issuance Date: 4/26/2021
CSHO ID: G8141
Optional Report No.: 00221

Safety Order and Notification of Penalty

Company Name: John Ward Concrete & Excavation
Inspection Site: 925 Eddy Street, South Bend, IN 46617

Safety Order 01 Item 003

Type of Violation: **Serious**

29 CFR 1926.651(j)(2): Employees were not protected from excavated or other materials or equipment that could pose a hazard by falling or rolling into excavations, or by a combination of both if necessary:

Jobsite Area – 1140 Howard St, South Bend, IN 46617 - On March 17, 2021, during construction activities, during construction activities, the employer did not ensure that spoil piles were placed at least 2 feet from the edge of the excavation.

Date By Which Violation Must Be Abated:
Proposed Penalty:

Corrected During Inspection
\$2,000.00

Indiana Department of Labor
Occupational Safety and Health Administration

Inspection Number: 318129392
Inspection Date(s): 3/17/2021 - 3/19/2021
Issuance Date: 4/26/2021
CSHO ID: G8141
Optional Report No.: 00221

Safety Order and Notification of Penalty

Company Name: John Ward Concrete & Excavation
Inspection Site: 925 Eddy Street, South Bend, IN 46617

Safety Order 01 Item 004 Type of Violation: **Serious**

29 CFR 1926.651(k)(2): Where the competent person found evidence of a situation that could result in possible cave-in, indications of failure of protective systems, hazardous atmospheres, or other hazardous conditions, exposed employee was not removed from the hazardous area until the necessary precautions have been taken to ensure their safety:

Jobsite Area – 1140 Howard St, South Bend, IN 46617 - On March 17, 2021, during construction activities, the competent person failed to perform the duties as required, in that he did not correct conditions, and did not prevent employees from being exposed to, or cause them to be removed from, the hazards of a cave in, in an excavation 29 feet deep.

Date By Which Violation Must Be Abated: **6/11/2021**
Proposed Penalty: **\$2,000.00**

Indiana Department of Labor
Occupational Safety and Health Administration

Inspection Number: 318129392
Inspection Date(s): 3/17/2021 - 3/19/2021
Issuance Date: 4/26/2021
CSHO ID: G8141
Optional Report No.: 00221

Safety Order and Notification of Penalty

Company Name: John Ward Concrete & Excavation
Inspection Site: 925 Eddy Street, South Bend, IN 46617

Safety Order 02 Item 001 Type of Violation: **Repeat**

29 CFR 1926.652(a)(1): Each employee in an excavation was not protected from cave-ins by an adequate protective system designed in accordance with 1926.652(b) or (c), and does not fall under either exception in 1926.652(a)(1)(i) or (ii):

Jobsite Area – 1140 Howard St, South Bend, IN 46617 - On March 17, 2021, during construction activities, no cave-in protection was provided for the employees in the excavation approximately 18 feet wide at the bottom, 30 feet wide at the top, 300 feet long, and 29 feet deep, that had the sides sloped at approximately 68 degrees which was less than the 34 degrees required.

Date By Which Violation Must Be Abated:
Proposed Penalty:

Corrected During Inspection
\$4,000.00


Jeremy Galloway
Director of Construction Safety

Indiana Department of Labor

Indiana Occupational Safety and Health Administration
402 West Washington Street, Room W195
Indianapolis, Indiana 46204
Phone: (317) 232-1979 FAX: (317) 233-3790



INVOICE/DEBT COLLECTION NOTICE

Company Name: John Ward Concrete & Excavation
and its successors
Inspection Site: 925 Eddy Street, South Bend, IN 46617
Issuance Date: 4/26/2021

Summary of Penalties for Inspection Number: 318129392


Safety Order 1, Serious	= \$6,600.00
Safety Order 2, Repeat	= \$4,000.00
TOTAL PENALTIES	= \$10,600.00

Penalties are due within fifteen (15) working days of receipt of this notification unless contested. Make your check or money order payable to: "Indiana DOL/IOSHA." Please indicate IOSHA's Inspection Number (indicated above) on the remittance. You may also make a payment online at <https://payingov.com/dol/>. Your account number is your inspection number.

IOSHA does not agree to any restrictions or conditions or endorsements put on any check or money order for less than full amount due, and will cash the check or money order as if these restrictions, conditions, or endorsements do not exist.

Corrective action, taken by you for each alleged violation should be submitted to this office on or about the abatement dates indicated on the Safety Order and Notification of Penalty.

A worksheet has been provided to assist in providing the required abatement information. A completed copy of this work sheet should be posted at the worksite with the safety order(s).


Jeremy Galloway
Director of Construction Safety

04-26-2021

Date