

Due Diligence Checklist

Workplace:

1. Does the employer keep the following types of records or documents?

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| <input type="checkbox"/> Worker orientation records | <input type="checkbox"/> Records of worker/supervisor training showing the date, names of attendees, and topics covered (e.g., WHMIS) |
| <input type="checkbox"/> Inspection reports and records of corrective actions taken to solve problems | <input type="checkbox"/> Incident/accident investigation reports and records of corrective actions taken to solve problems |
| <input type="checkbox"/> Records of meetings and crew talks where safety issues were discussed | <input type="checkbox"/> Supervisor's notes and logs of safety contacts with workers |
| <input type="checkbox"/> Records showing use of progressive discipline to enforce safety rules and written safe work procedures | <input type="checkbox"/> JHSC meeting reports showing steps taken to address health and safety issues |
| <input type="checkbox"/> Subcontractor pre-qualification documents | <input type="checkbox"/> Equipment log books and maintenance records |
| <input type="checkbox"/> First aid records, medical certificates, hearing tests. | <input type="checkbox"/> Forms and checklists showing that the employer requires workers to follow safe work procedures (e.g., confined space entry permits) |
| <input type="checkbox"/> Sampling and monitoring records of exposures to harmful substances | <input type="checkbox"/> Emergency response plan and record of drills and any resulting improvements |
| <input type="checkbox"/> OH&S-related budget items and purchase orders | <input type="checkbox"/> Statistics on the frequency and severity of accidents |

Regulatory: MLITSD field visit reports, orders, notice of compliance, WSIB records, clearance certificates

2. Do the employer's records or documents show an effective OH&S program?

| Do records/documents indicate that the employer/management: | | |
|--|------------------------------|-----------------------------|
| 1. States and communicates a clear workplace OH&S policy | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 2. Assigns responsibility and resources for implementing OH&S program to identified person(s) | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 3. Includes workplace OH&S issues on management meeting agendas | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 4. Requires contractors to conform to OH&S regulations | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 5. Ensures records are maintained (See Part 1) | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 6. Reviews statistics on the frequency and severity of accidents, as well as injury and illness trends over time | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 7. Assigns responsibility for identifying hazards and conducting risk assessments | <input type="checkbox"/> Yes | <input type="checkbox"/> No |

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| 8. Implements appropriate controls (engineering, work practice/administrative, PPE) for identified hazards (machine guarding, lockout, blood-borne pathogens, confined space, falls from height, chemical hazards, repetitive strain injury, etc.) | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 9. Implements a preventative maintenance schedule as required by manufacturers' and industry recommendations and standards | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 10. Addresses Joint Health & Safety Committee or health & safety representative recommendations | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 11. Reviews OH&S Program activities (e.g., once a year) and makes improvements as needed | <input type="checkbox"/> Yes | <input type="checkbox"/> No |

Do records/documents indicate that supervisors:

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|---|------------------------------|-----------------------------|
| 12. Receive training to perform their safety and health responsibilities | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 13. Give crew talks/conduct safety meetings | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 14. Participate in inspections | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 15. Conduct incident/accident investigations | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 16. Take action to correct reported hazards | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 17. Conduct orientations | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 18. Conduct on-the-job training | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 19. Evaluate training to ensure that it is effective | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 20. Monitor work conditions and practices in areas where they have responsibility | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 21. Correct employees who are not following rules and procedures | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 22. Keep records of progressive discipline | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 23. Have OH&S considered as an element in their performance evaluation | <input type="checkbox"/> Yes | <input type="checkbox"/> No |

Do records/documents indicate that workers:

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| 24. Receive orientation | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 25. Receive specific job instruction | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 26. Receive health and safety training (e.g., responsibilities, hazards, engineering controls, written safe work procedures, use of PPE) | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 27. Demonstrate the skills/knowledge necessary to perform their jobs safely | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 28. Report injuries and hazards | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 29. Participate in inspections | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 30. Participate in incident/accident investigations | <input type="checkbox"/> Yes | <input type="checkbox"/> No |

When dealing with disciplinary procedures for workers, supervisors, and managers who don't follow safety rules or safe work procedures:

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| 31. Are there disciplinary procedures in place? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 32. Are workers/supervisors/managers aware of them? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 33. Are disciplinary procedures used effectively? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 34. Are they monitored by the Joint Health & Safety Committee or health and safety representative? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 35. Are good records kept of progressive discipline used to enforce safety rules and written safe work procedures? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |