

# Health and safety topics guide

Health and Safety Excellence program



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# Introduction

Developing a strong workplace health and safety program helps you define health and safety responsibilities, identify and control hazards and respond to issues and emergencies. Health and safety shouldn't be an afterthought. It should be built into all of your workplace practices and activities.

Health and Safety Excellence program topics help you build your program. Each topic focuses on specific hazards or processes, such as training or health and safety participation. Topics outline the particular standards, equipment and procedures you require to develop your business's overall occupational health and safety system.

This guide contains descriptions and requirements of all 39 health and safety topics within the program. It also highlights suggested prerequisites you can take for some topics and which topics you should work on simultaneously.

Your provider can help you choose the most relevant topics for your workplace, complete your action plan and support you in implementing each health and safety topic.

# Level 1: Foundation

# Leadership and commitment

## Recommended prerequisite(s):

None

## Summary:

The success of your health and safety program depends on effective leadership from senior management and their commitment to the health and well-being of everyone in the workplace. Senior management has ultimate responsibility for health and safety.

This topic includes development and implementation of:

1. senior management occupational health and safety responsibilities, and
2. an occupational health and safety policy

## Requirements:

### Responsibilities of senior management

Your business will establish health and safety responsibilities for senior management. Senior management must show leadership and commitment to the health and safety of everyone in your business. At least one senior manager must be assigned overall responsibility for health and safety, including the creation, implementation and maintenance of the health and safety program. All employees need to be made aware of this person and how to contact them.

Senior management will:

- take overall responsibility and accountability for the protection of everyone's health and safety in the workplace
- plan for creation and implementation of the health and safety program
- ensure there is a budget to support health and safety activities
- ensure everyone who works in their workplace has the time, training and support to participate in the health and safety program

### Health and safety policy

Senior management will establish, implement, monitor and maintain a health and safety policy that's right for the size, industry and location of your business. The health and safety policy will include their commitment to:

- preventing illness and injury in the workplace
- meeting all legal requirements
- involving workers in the development of the policy
- working together to create a workplace that is physically and psychologically safe
- continually improving the health and safety program and health and safety performance

The Health and Safety policy must:

- provide a framework for setting and reviewing occupational health and safety objectives
- be documented, implemented and maintained
- be communicated and made readily available to affected parties
- be reviewed as often as is necessary, but at least annually
- be signed by the employer and the highest member of management at the workplace

# Health and safety responsibilities

## Recommended prerequisite(s):

None

## Summary:

Everyone in the workplace, from the employer to the newest employee, has their part to play in keeping the workplace safe. Health and safety responsibilities are outlined in applicable legislation (the *Occupational Health and Safety Act*, *Canada Labour Code*, other health and safety legislation) and in your workplace health and safety program.

For example, the *Occupational Health and Safety Act* sets out responsibilities for:

1. the employer (who is in charge of everyone)
2. the supervisor (who is in charge of a workplace or has authority over someone who works there)
3. the worker (this is the term used in legislation to describe employees or any person who performs work or supplies services)

## Requirements:

Your business will establish, implement, monitor and maintain a procedure to define health and safety responsibilities for all parties in your workplace. The procedure will include:

- the employer\*, supervisor, worker, joint health and safety committee (JHSC), health and safety representative, visitors and others
- responsibilities under applicable law
- responsibilities resulting from company rules and the health and safety program

\*Employer responsibilities are included in the **leadership and commitment** topic. You are not required to repeat this work.

# Health and safety communication

## Recommended prerequisite(s):

None

## Summary:

Communication is the key to creating a healthy, safe and productive workplace. Effective communication ensures health and safety messages are understood. It's a two-way process, with information being sent and received back.

## Requirements:

Your business will establish, implement, monitor and maintain a procedure for communicating occupational health and safety information. The procedure will include:

- requirement to provide information on the health and safety program and its progress
- receiving, documenting and responding appropriately to internal and external health and safety communications (e.g., internal is within your business, examples of external communications are emergency services and regulatory bodies)
- methods of ensuring communication is appropriate for the intended audience (e.g., accommodating an individual with hearing or vision impairment, language skills and literacy)
- roles and responsibilities for individuals responsible for the communication of information
- identifying methods of communication that meet the needs of the business, such as: newsletters, bulletin boards, safety talks, department meetings, intranet
- identifying methods of getting suggestions, ideas and feedback from all employees (e.g., suggestion box, feedback, ideas)
- identifying when to communicate (e.g., how often is information communicated and how is it documented?)



# Health and safety participation

## Recommended prerequisite(s):

None

## Summary:

All workers (or their representatives) must be informed, consulted and given the opportunity to participate in health and safety at the workplace.

## Requirements:

Your business will establish, implement, monitor and maintain a procedure(s) to ensure people at all levels of the business are consulted and participate in the planning, implementation and evaluation of the health and safety program.

Encourage and support people to participate in health and safety at your workplace. This could include:

- becoming a health and safety representative, or participating on the joint health and safety committee(s) or trades committee(s)
- hazard identification, risk assessments and determination of controls
- incident investigations
- development and review of health and safety policies, procedures, processes and health and safety objectives
- access to relevant reports (air sampling results, noise surveys, etc.)
- working on any other health and safety matters, as appropriate

Everyone who works at your business, including their representatives, must be provided with appropriate information, training, time and resources necessary to effectively participate in health and safety. Encourage and support participation by identifying and removing any barriers (e.g., literacy and language barriers, failure to respond to input or suggestions).

# Hazard identification

A **hazard** is anything (e.g., chemicals, moving vehicles, etc.) that can hurt workers (injury), make them sick (illness) or cause property damage.

## Recommended prerequisite(s):

None. It's highly recommended that the Hazard identification and Risk assessment topics be completed in the same action plan.

## Summary:

The first step in the risk assessment process is to identify workplace hazards that have the potential to cause harm. Before your business can effectively reduce the risk from workplace hazards, you need to know what they are. Hazards come in many forms: chemical, physical, biological, musculoskeletal, safety and psychological.

## Requirements:

This topic focuses on creating a process for identifying hazards and creating a list/registry of all the hazards within your workplace that could hurt someone.

Your business will establish, implement, monitor and maintain a written procedure for identifying workplace hazards. The written procedure will include the following:

- the definition of a hazard
- assigned roles and responsibilities for identifying workplace hazards and creating a list/registry
- identify the training that those with responsibility for hazard identification will receive
- identify hazard categories to consider when identifying health and safety hazards (chemical, physical, biological, musculoskeletal, safety and psychological)
- a process for creating the list/registry that explains what the list/registry is, how it's used and maintained
- the requirement to review the list/registry of hazards when there are changes to or in the workplace and when a new or uncontrolled hazard is identified
- a defined review period for the procedure (e.g., annual, bi-annual)
- details of how employees (or their representatives) will be informed, consulted and participate in the hazard identification process

Your business will create a list/registry of all workplace hazards that considers the following, as applicable to your business:

- hazards posed by workplace activities and the work environment
- hazards posed by people, equipment, materials and processes
- hazards involved in routine and non-routine activities (e.g., maintenance or repair)

- hazards that affect any person in the workplace (e.g., employees, customers, contractors, visitors, etc.)
- hazards that affect employees who may work at locations not under the control of the business (e.g., client homes, other businesses, temporary agencies, fieldwork, events)
- the design and layout of the work area, installations, machinery, equipment, processes, related procedures or controls
- hazards that may result from human interaction within the workplace (e.g., violence or harassment)
- hazards associated with the start-up, use and operation of, maintenance, and set-up and shutdown conditions of machinery, equipment or processes
- hazards identified through available workplace records, including past incident or near-miss reports and workplace inspection reports

# Hazard reporting

A **hazard** is anything (e.g., chemicals, moving vehicles, etc.) that can hurt workers (injury), make them sick (illness) or cause property damage.

## Recommended prerequisite(s):

None

## Summary:

Reporting workplace hazards helps identify where there is a safety concern. Once you know where incidents, injuries or illnesses could happen, you can take steps to prevent them. Everyone in the workplace needs to take an active role in reporting hazards in the workplace.

## Requirements:

Your business will establish, implement, monitor and maintain a written procedure for reporting workplace hazards.

The written procedure will:

- include the definition of a hazard
- assign roles and responsibilities for reporting hazards
- establish standard documentation for people to use for reporting hazards (e.g., hazard reporting forms)
- explain the process to follow when reporting hazards, including when and how to report hazards, what to include and who should be notified (e.g., supervisor, Joint Health and Safety Committee, worker representative)
- establish a method for rating reported hazards to assist with prioritization (examples: A, B, C or high, medium, low)
- outline how completed hazard reports will be used, including who is responsible for responding to the reports and making sure steps are taken to correct the hazard
- identify a timeframe for addressing the reported hazard(s)
- require a review of the existing hazard list/registry, if one exists, after a hazard is reported to determine necessary updates
- identify the training all employees will receive on identifying hazards and the hazard reporting procedures
- establish how people will be informed of any changes or steps taken to address a reported hazard
- define a review period for the procedure (e.g., annual, bi-annual)

\*Reporting of workplace incidents, injuries and illness is included in the **injury, illness and incident reporting** topic. Use the **hazard reporting** topic to identify a proactive process for employees to report hazards.

# Workplace inspections

A **hazard** is anything (e.g., chemicals, moving vehicles, etc.) that can hurt workers (injury), make them sick (illness) or cause property damage.

## Recommended prerequisite(s):

None

## Summary:

Workplace inspections help identify potential hazards and risks in the workplace and can help prevent incidents, injuries or illnesses.

In Ontario, the *Occupational Health and Safety Act* outlines when workplace inspections must occur. To ensure inspections are complete they should consider chemical, physical, biological, musculoskeletal, safety and psychological hazards in the workplace.

## Requirements:

Your business will establish, implement, monitor and maintain a written procedure for workplace inspections.

The written procedure will:

- explain the purpose of workplace inspections
- assign roles and responsibilities for workplace inspections
- identify legal requirements for workplace inspections (e.g., Joint Health and Safety Committee/worker representative)
- identify the training that those with responsibility for workplace inspections will receive
- identify areas and equipment to be inspected
- establish when and how often inspections are conducted
- establish standard documentation for recording inspection findings which includes:
  - the name of the person(s) who completed the inspection
  - the date of inspection
  - the locations/equipment inspected
  - a comprehensive list of items to check
  - documentation of any concerns raised from interviews or through observations made during the inspection
  - descriptions and locations of identified hazard(s)
  - a method for prioritizing any hazards identified through an inspection (examples: A, B, C or high, medium, low)
  - recommendations for correcting any hazards
  - date when hazards were corrected

- management sign-off
- establish who receives the inspection record, who is responsible for correcting any hazards and the expected timeframes
- require a review of the hazard list/registry, if one exists, post inspection to determine if this needs to be updated
- identify how long and where inspection records will be kept
- establish how employees will be informed of the results of workplace inspections and made aware of what changes or steps were taken to correct any issues
- define a review period for the procedure (e.g. annual, bi-annual)

\*Pre-use inspections are included in the **pre-use inspection** topic. You are not required to repeat this work.

# Risk assessment

## Recommended prerequisite(s):

Hazard identification

## Summary:

Understanding the hazards in a workplace and how those hazards could result in injury or illness is known as risk assessment. Once you've recognized the hazards in your workplace, the next step is to determine the likelihood of harm (injury or illness occurring), and its severity.

Using this approach can help you prioritize where to spend your health and safety time and money. Businesses that focus on risk assessment will see the benefits of effectively eliminating or controlling health and safety hazards in their workplace.

## Requirements:

Your business will develop and implement a risk assessment process. This process will prioritize risks based on the nature of the hazards and level of risk for each of the routine and non-routine operations and/or activities within your business.

All risk assessments will be documented and updated and relevant documents will be made readily available to affected workplace parties. Everyone at your workplace (or their representatives) will be informed, consulted and given the opportunity to participate in the risk assessments.

The risk assessment procedure will:

- assign roles and responsibilities for the individual(s) directly responsible for conducting the risk assessment
- identify the core competencies and training required by the individual(s) directly responsible for conducting the risk assessment
- be completed proactively before performing any task(s) related to the operations and/or activity and before the introduction, start-up or use of new equipment, material, substance or process
- be completed when there is a change to existing equipment, material, chemical or process and when there is a change to the occupational health and safety management system that may affect workplace operations and/or activities
- include or take into consideration contributing factors that may, cause a low-priority risk to become a high-priority risk (e.g., working outside cutting grass may normally be a low priority risk, but when thunder storms are present the risk may rise to high priority)
- include a review of related job factors as well as personal factors which may contribute to risks (e.g., someone has a fear of heights)
- include a way to identify which hazards present the highest risk and prioritize what to work on first (i.e., starting with high risk hazards, and working down to low risk hazards)



## Control of hazards basics

A **hazard** is anything (e.g., chemicals, moving vehicles, etc.) that can hurt workers (injury), make them sick (illness) or cause property damage.

### Recommended prerequisite(s):

Hazard identification, Risk assessment

### Summary:

Controlling a hazard means taking steps to protect people and to help avoid injuries, illnesses and incidents. Before controlling hazards, it's important that your business knows how to evaluate and implement controls using a defined procedure or process. The goal is to eliminate or reduce the risk to as low as possible without creating any new hazards.

Your procedure will need to apply the hierarchy of controls when determining how to control a hazard. The hierarchy ranks different control methods from the most effective to the least effective level of protection.

### Hierarchy of controls:

Type of control	Definition	Example
<b>Elimination</b>	Physically remove the hazard	Remove and properly dispose of products stored in the workplace but no longer used
<b>Substitution</b>	Replace the hazard	Using a new, larger granule product instead of a fine powder to reduce dust while ensuring the new product doesn't create any new hazards
<b>Engineering controls</b>	Isolate/separate people from the hazard	Installing a plexiglass barrier to enclose a booth, putting guards around moving machinery, using ventilation systems, guardrails, etc.
<b>Administrative controls</b>	Change the way people work	Safe work procedures, training or signage
<b>Personal protective equipment</b>	Anything the employee wears to protect them	Hard hat, safety boots, gloves, apron, eye protection, ear plugs, etc.

## Requirements:

Your business will establish, implement, monitor and maintain a procedure for controlling workplace hazard(s). The written procedure must include the following:

- assigned roles and responsibilities for workplace parties directly responsible for developing, implementing, monitoring and maintaining control measures
- competency and training requirements for each of the roles assigned above
- a requirement for prioritizing hazards with the most serious risks so that controls can be applied to these first
- consideration of applicable legislation, regulatory requirements and recognized standards, requirements, guidelines, codes of practice, manufacturer/supplier instructions related to the operations of the organization
- application of the hierarchy of controls when choosing control measures and eliminating or reducing the risk level to as low as possible while considering if controls create additional risks
- a requirement for follow-up to confirm that controls are effective
- a defined review period of the procedure (e.g., annual, bi-annual)
- details of how employees (or their representatives) will be informed, consulted and participate in the selection of hazard controls

\* Use the **control of hazards basics** topic to establish a foundational procedure to control hazards. Then use this procedure to guide you in selecting and implementing controls using the **control of hazards** topic.

# Control of hazards

A **hazard** is anything (e.g., chemicals, moving vehicles, etc.) that can hurt workers (injury), make them sick (illness) or cause property damage.

## Recommended prerequisite(s):

Hazard identification, Risk assessment, Control of hazards basics

## Summary:

After identifying hazards and assessing the risk of each, you can begin to control them. Controlling a hazard means taking steps to protect people and to help avoid injuries, illnesses and incidents.

For each identified hazard, your business must develop, communicate, train and implement measures to eliminate or reduce the risk of an incident or of someone being hurt or becoming sick from it.

The **control of hazards** topic can be repeated as many times as needed to address hazards that haven't been controlled and may be eligible for multiple rebates. Talk to your program provider to learn more.

**Note:** When you're ready to submit this topic for validation, you'll need to tell us which approach you took in your evidence story to help the WSIB validator understand how you worked on this topic. Work with your program provider to identify the best approach for you and your business.

You'll need to use the hierarchy of controls when determining how to control a hazard. The hierarchy ranks different control methods from the most effective to the least effective level of protection.

## Hierarchy of controls:

Type of control	Definition	Example
<b>Elimination</b>	Physically remove the hazard	Remove and properly dispose of products stored in the workplace but no longer used
<b>Substitution</b>	Replace the hazard	Using a new, larger granule product instead of a fine powder to reduce dust while ensuring the new product doesn't create any new hazards
<b>Engineering controls</b>	Isolate/separate people from the hazard	Installing a plexiglass barrier to enclose a booth, putting guards around moving machinery, using

Type of control	Definition	Example
		ventilation systems, guardrails, etc.
<b>Administrative controls</b>	Change the way people work	Safe work procedures, training or signage
<b>Personal protective equipment</b>	Anything the employee wears to protect them	Hard hat, safety boots, gloves, apron, eye protection, ear plugs, etc.

**Tip:** When determining how to control a hazard, you should always start with elimination, the most effective control method, and then move down through each step, identifying solutions at each if possible.

While personal protective equipment is often the first control people think of (e.g., safety glasses or a hard hat), they are the least effective way to control a hazard. Think of personal protective equipment as the last line of defense. Ideally, through this process you'll have identified controls at each step, which helps increase protection from the hazard.

## Requirements:

Select one of these three approaches:

- a. develop a hazard control program (e.g., Hot work, Lock out tag out)
- b. identify and control a specific hazard in the workplace (e.g., moving vehicles)
- c. control all hazards related to a specific process, task or piece of equipment (e.g., receiving and handling vaccines packed in dry ice)

Your business will establish, implement, monitor and maintain control measures to lower the risk level of the hazard(s). Control measures must be new, current, reflect actual hazards present in your workplace and be implemented in all areas where the hazard exists. Your submission must include:

- which hazard(s) has been controlled
- how the hierarchy of controls was considered and applied to reduce the risk level to as low as possible
- that any applicable legislation or regulatory requirements were considered and met
- how the implemented control measures have been documented (e.g., control program, policy, safe operating procedures, safe work practices)
- how people were trained and educated about the hazards, their risk, and how they are controlled
- how it was ensured that people understand the controls and the expectations for how they'll work safely

- how the implemented controls will be monitored to ensure they are working as intended, continue to be effective in reducing the risk posed by the hazard, and that workers are using the controls correctly and consistently (e.g., include in your workplace inspections, include as an agenda item on your Joint Health and Safety Committee meeting)

## Examples of common workplace hazards and control programs

The following is a list of common hazards and associated control programs. **This is not an exhaustive list.** If you want to implement a hazard control program or work on a specific hazard that is not listed, please speak to your program provider for guidance.

You're not permitted to work on the same hazards using multiple options.

### Examples of hazard control programs

- Asbestos management
- Confined space
- Control of hazardous energy/Lock out tag out
- Designated substance control
- Driving safety
- Electrical safety
- Hazardous drug exposure
- Hazardous products/chemicals
- Hearing conservation
- Heat stress
- Hot work
- Impairment in the workplace
- Lab safety
- Ladder safety (where not captured under another control program)
- Machine guarding
- Manual handling (e.g., lifting, carrying, pushing/pulling)
- Musculoskeletal disorder prevention
- Needle safety/safe sharps handling
- Office ergonomics
- Operating mobile vehicles and equipment
- Pedestrian safety plan
- Respiratory protection
- Roadside work
- Safe patient handling
- Spills prevention and response
- Trenching/excavating
- Working alone
- Working at heights/fall protection
- Working on, in or near water
- Workplace harassment prevention
- Workplace violence prevention
- X-ray safety

### Examples of specific hazards

#### Chemical hazards:

- Exposure to chemicals (absorption, inhalation, ingestion, injection)
- Exposure to compressed gas
- Exposure to corrosive liquids and solids
- Exposure to dangerously reactive liquids and solids
- Exposure to flammable and combustible materials
- Exposure to oxidizing agents
- Exposure to toxic materials

**Physical hazards:**

- Exposure to extreme temperatures
- Exposure to extreme weather
- Exposure to hazardous noise
- Exposure to poor lighting
- Exposure to radiation (e.g., UV exposure from the sun)
- Exposure to vibration

**Musculoskeletal hazards:**

- Awkward postures
- Overexertion
- Patient handling/repositioning
- Poor tool design
- Poor workstation design
- Repetition
- Static postures
- Working overhead

**Biological hazards:**

- Exposure to animals (bites/scratches)
- Exposure to biohazardous materials (e.g., blood, vomit, feces, urine)
- Exposure to blood-borne pathogens
- Exposure to hazardous plants (e.g., poison ivy, giant hogweed)
- Exposure to insects (e.g., ticks, bees)
- Exposure to mould and fungus

**Safety hazards:**

- Blades, sharp objects
- Confined space
- Electrical hazards
- Equipment collapse (e.g., racking, scaffolding, trenching)
- Falls from elevation
- Firearms
- Flying debris (e.g., blasting, grinding, hammering, drilling)
- Hazardous energy (e.g., electrical, hydraulic, pneumatic, gravitational, mechanical)
- High-pressure air
- Industrial lasers
- Medical sharps
- Moving parts (e.g., conveyors, pinch points, nip points, punches, rotation points, blades)
- Overhead hazard/load
- Slips, trips and falls from the same level (walking and working surfaces)
- Struck by moving equipment
- Struck by moving vehicles
- Struck by person
- Welding, cutting, grinding, soldering and brazing

**Psychological hazards:**

- Caring for violent or aggressive patients
- Exposure to chronic stress
- Exposure to traumatic or stressful events
- Remote or isolated work
- Responding to angry customers/vendor

# Injury, illness and incident reporting

## Recommended prerequisite(s):

None

## Summary:

Consistent reporting of injuries, illnesses and incidents allows businesses to comply with the WSIB, Ministry of Labour, Immigration, Training and Skills Development and other legislated reporting requirements, to complete timely investigations and implement corrective action to eliminate the potential for other injuries/illnesses.

## Requirements:

Your business will establish, implement monitor and maintain a procedure for reporting of injuries, illnesses and incidents. The procedure will include:

- definitions of injury, illness and incidents, including incidents with known health and safety or psychological impacts
- reporting requirements for incidents (e.g., fatalities, critical injuries, lost-time injuries, medical aid, occupational illness, property damage, fire, environmental release and incidents with potential for psychological injury)
- description of the roles and responsibilities for employers, supervisors, workers and Joint Health and Safety Committee or health and safety representatives
- when to report an injury, illness or incident
- notification requirements (i.e., who should be notified internally and externally, including timeframes)
- what treatment should be provided (e.g., first aid, medical aid)
- recording requirements (documentation and record keeping)

# Incident investigation and analysis

## Recommended prerequisite(s):

Injury, illness and incident reporting

## Summary:

Incident investigations highlight the reasons why accidents occur and how to prevent them. The primary purpose of incident investigations is to improve health and safety performance by exploring the reasons for the event and identifying both the immediate and underlying root causes to prevent it from happening again.

## Requirements:

Your business will establish, implement, monitor and maintain a procedure to investigate, analyze, document and maintain records for all incidents.

The procedure must include:

- roles and responsibilities for management, Joint Health and Safety Committee, health and safety representatives and others who may be assigned to or are required to participate in the investigation process
- requirement for the person or people investigating incidents to be trained and competent
- identification of root causes, including all contributing factors
- requirement to take actions to mitigate any additional consequences of an incident
- identification and implementation of recommended corrective and preventive actions
- identification of opportunities for continual improvement
- requirement for the investigation process to be conducted in a professional manner
- investigation timelines
- reporting/notification requirements for both internal and external parties
- communication of investigation results and follow up with appropriate workplace parties

Investigations will be conducted for:

- fatalities
- critical injuries
- lost-time injuries
- no lost-time injuries (i.e., medical aid)
- first aid and near misses
- occupational illnesses
- property damage
- fires
- environmental releases



- workplace violence and harassment
- incidents with potential for psychological injury

## First aid

### Recommended prerequisite(s):

None

### Summary:

First aid is help given to someone who has become ill or been injured until they can access professional medical care. The purpose of first aid is to minimize injury and future disability. The *Workplace Safety and Insurance Act* regulation 1101 sets out the requirements for all employers covered by the WSIB to have first aid equipment, facilities and trained personnel in all workplaces in relation to physical injuries.

### Requirements:

Your business will establish, implement, monitor and maintain a first aid program. The first aid program must meet the requirements of regulation 1101 and include the following:

- first aid station(s)
- first aid kit inspections
- record of the first aid treatment/advice given to anyone treated (i.e., incident report)
- names of those trained in first aid (WSIB-approved training)
- display of required postings
- procedure for transportation of the injured or ill person to a hospital, doctor's office or home, if necessary

# Level 2: Intermediate

# Competency

## Recommended prerequisite(s):

All level one topics, and should be selected at the same time as **health and safety training**

## Summary:

All businesses need to be confident that the people performing tasks for, or on behalf of, the business are competent to do so.

## Requirements:

Competent means that a person has:

1. knowledge of, and ability to recognize, the hazards and risks associated with the tasks for the operations and activities
2. demonstrated understanding and working knowledge of the control measures associated with the hazards and risks
3. training related to the hazards, risks and associated control measures
4. the skillset, ability and willingness to deal with the hazards, risks and control measures

Your business must establish, implement monitor and maintain a competency program that includes:

1. identification of task competency expectations
2. identify and list the required health and safety certification(s) and licenses for all positions to ensure that any person who performs a task has current certification(s) and licenses
3. training needs analysis or assessment for each position
4. a review at regularly planned intervals

Your business must take into account:

- different levels of responsibility of those being trained (e.g., training may be different for supervisors and managers)
- literacy, language skills and overall ability of those being trained
- likelihood of exposure to the hazards and risk

# Health and safety training

## Recommended prerequisite(s):

All level one topics and should be selected at the same time as **competency**

## Summary:

Health and safety training is an administrative control that can help ensure the people assigned to tasks are able to do so and are less likely to be injured in the process of performing the task. Health and safety training must be effective and appropriate for the workplace and include refresher training as required. Health and safety training must be based on a competency assessment that identifies required health and safety training, a timetable for completion and frequency of refresher training.

## Requirements:

The business will establish, implement, monitor and maintain a process for health and safety training, which includes:

1. how the training will be administered and managed
2. the assessment evaluation, monitoring and reassessment evaluation criteria, as necessary
3. a provision that ensures each of the above are conducted or administered by a competent person

Health and safety training must include, as a minimum:

1. training as prescribed by applicable legislation
2. roles, responsibilities and rights
3. the purpose of the occupational health and safety management system, and its respective elements
4. conforming to the health and safety policy, procedures and the occupational health and safety management system overall
5. legal and other requirements, including potential consequences for deviations or noncompliance
6. importance of worker participation within the occupational health and safety management system
7. any other requirements to ensure a person is competent

The business will:

1. ensure required training or instruction is provided for each individual prior to the individual performing the required task
2. take into account the different levels of responsibility, literacy, language skills, overall ability and likelihood of exposure to the hazards and risk of the learner
3. retain a record of training for each individual for, as a minimum, the duration the training record is valid

## Legal and other requirements

### Recommended prerequisite(s):

All level one topics

### Summary:

All workplaces, regardless of size or sector, are required to identify legal and other applicable requirements. These exist as municipal, provincial, federal and other requirements.

### Requirements:

Your business must establish, implement, monitor and maintain a procedure to identify and document legal and other requirements that are applicable to your business. The procedure will include a method for scanning for new laws and regulations and updating the procedure as needed.

- all legal and other requirements will be taken into account, and incorporated as appropriate, into the establishment, implementation and maintenance of the health and safety program
- the business will ensure that the documentation of legal and other requirements are kept current, and that relevant information related to the legal and/or other requirements are communicated to the workplace parties as appropriate

# Health and safety accountabilities

## Recommended prerequisite(s):

All level one topics

## Summary:

Establishing accountabilities recognizes and commends accomplishments/contributions, while reinforcing the business's expectation that all workplace parties do their part to maintain a healthy and safe workplace.

## Requirements:

The business will establish, implement, monitor and maintain a procedure to hold workplace parties accountable for carrying out their health and safety responsibilities. This applies to all workplace parties.

The procedure will:

- include a method of performance evaluation that determines whether health and safety responsibilities are met in the business
- include a progressive discipline process to ensure health and safety responsibilities are implemented
- include incorporating occupational health and safety responsibilities into job descriptions and checking to make sure the responsibilities are carried out
- be reviewed on a regularly planned schedule

# Emergency prevention and preparedness

## Recommended prerequisite(s):

All level one topics and should be selected at the same time as **emergency response**

## Summary:

Emergencies are hazardous situations that you must try to prevent and be prepared for. Some examples of potential emergencies include, but are not limited to, bomb threats, chemical spills, fire, gas leak, threat of violence, confined space entrapment, medical emergencies, motor vehicle incidents, power failure, adverse weather conditions, working at heights emergencies/rescue, external threats and pandemic (broad public emergency).

## Requirements:

Your business will identify the types of emergency situations you may face and then develop and implement procedures to prevent the emergencies from happening (where possible) and be prepared for them if they do happen.

The business will establish, implement, monitor and maintain procedure(s) to:

- identify potential emergency situations
- prevent, as far as reasonably practicable, an emergency situation from occurring
- identify the necessary resources to implement the prevention procedures, while taking into account the needs of other interested parties, such as emergency services, authorities or the general public
- communicate emergency prevention procedures with all workplace parties and known external interested parties, including specific training for any person with defined duties or responsibilities in relation to the procedures or plans
- review the procedure at minimum annually and revise as needed



# Emergency response

## Recommended prerequisite(s):

All level one topics and should be selected at the same time as **emergency prevention and preparedness**

## Summary:

Well-developed and implemented emergency response plans can:

- prevent fatalities and injuries
- reduce damage to buildings, inventory and equipment
- protect the environment and the community
- help business resume normal operations as quickly as possible

## Requirements:

The business will establish, implement monitor and maintain procedure(s) to:

1. establish documented response plans for how to respond to emergency situations
2. prevent or minimize injury or occupational illness for the identified emergency situations
3. test or drill the identified emergency situations
4. identify the necessary resources to activate the response plans, including taking into account the needs of other interested parties, such as emergency services, authorities or the general public
5. ensure that response equipment is maintained in good working condition and are operationally ready at all times
6. ensure that drills or testing of the response plans for the identified emergency situations are conducted at regularly planned intervals and in a way that does not introduce new hazards – records of drills and tests will be retained
7. periodically review emergency response plans and revise as appropriate, but at minimum annually
8. communicate emergency response plans with all workplace parties and known external interested parties, including specific training for any person with defined duties or responsibilities in relation to the procedures or plans

# Return-to-work program requirements, forms and tools

## Recommended prerequisite(s):

All level one topics and should be selected at the same time as **return-to-work roles and responsibilities and accommodation and return-to-work plans**

## Summary:

A return-to-work program will outline the business's approach to disability management. Specifically, it will outline policies, legal obligations, define clear roles and responsibilities, and clarify program expectations. Formalized return-to-work processes promote consistent administration of the return-to-work program, helps to prevent further injury and promotes recovery of the injured/ill person.

## Requirements:

The business will establish, implement, monitor and maintain a return-to-work program that incorporates case management processes. This include standards and procedures for accessing and participating in the return-to-work program and planning:

- roles and responsibilities for initiating and maintaining contact with the injured/ill person
- frequency and methods of contact (e.g., telephone calls, meetings, emails, letters)
- opportunities for collaboration and input from injured/ill person, supervisor, return-to-work coordinator and union where applicable to develop return-to-work plans
- documentation required (e.g., WSIB's Form 8, functional abilities forms, letters of offer)
- provisions for requesting independent medical assessments or functional abilities evaluations where appropriate
- analysis of job tasks and/or physical demands analysis to determine suitability
- privacy policies and processes that protect personal information
- standards for record keeping and document retention policies

The return-to-work program includes the use of at minimum, the following standardized forms, tools and templates to manage the return-to-work process:

- functional abilities form
- return-to-work plan
- contact log
- progress report
- physical and cognitive demands analysis (regular and transitional work assignments)
- letter to health care practitioner
- modified work offer letter to injured/ill person
- medical consent for release of information
- return-to-work plan closure and evaluation feedback forms

The return-to-work program includes written procedures for reporting and resolving return-to-work disputes:

- internally (e.g., who to report, how to report, process for resolution)
- externally (e.g., WSIB Return-to-Work Specialist, WSIB appeal, third party mediation, Ontario Human Rights Commission complaint)

The return-to-work program has procedures for program evaluation that include clearly defined performance measures including, but not limited to:

- return-to-work plan outcomes (e.g., how many went back to work)
- duration of plans
- return-to-work program costs (e.g., lost-time benefits, costs of accommodation, etc.)
- return-to-work program satisfaction surveys

The return-to-work program includes the assignment of responsibility to establish a budget, track, analyze and prepare a report on the results of the program evaluation:

- communication of performance measures and results is shared with senior management and employees annually
- improvement opportunities are added to the company's continuous improvement plans(s)

# Return-to-work roles and responsibilities

## Recommended prerequisite(s):

All level one topics and should be selected at the same time as **return-to-work program requirements, forms and tools, and accommodation and return-to-work plans**

## Summary:

Defining detailed roles and responsibilities is the most important step in defining a return-to-work program and ensuring its success.

## Requirements:

The business will establish, implement, monitor and maintain the roles, responsibilities and training requirements of a multidisciplinary team within the return-to-work program to facilitate a safe and timely return to work.

The employer maintains a documented return-to-work program that includes defined roles and responsibilities for (where applicable):

- return-to-work coordinator
- senior management/owner
- supervisors
- workers
- co-workers
- health care provider(s)
- WSIB
- where applicable:
  - insurers
  - return-to-work/disability management committee
  - union
  - medical department
  - the employer has assigned an individual(s) to coordinate return-to-work activities that is knowledgeable, experienced and/or trained in return-to-work coordination and/or disability management

Return-to-work training includes:

- the goals and objectives of the program
- the roles and responsibilities of everyone during the return-to-work process
- procedures for initiating and responding to accommodation requests
- procedures for dispute resolution

The employer:

- reviews program requirements and responsibilities with workers annually and with an injured/ill person when injury or illness is reported
- ensures return-to-work program information is accessible to all workers (e.g., on intranet or bulletin boards)
- keeps records of return-to-work training and evaluates annually

# Accommodation and return-to-work plans

## Recommended prerequisite(s):

All level one topics and should be selected at the same time as **return-to-work program requirements, forms and tools, and return-to-work roles and responsibilities**

## Summary:

The accommodation process includes an analysis and comparison of job tasks and physical demands with the injured/ill person's abilities. Accommodation solutions are considered when there are gaps in abilities to perform regular job duties.

## Requirements:

The business will establish, implement, monitor and maintain an accommodation procedure that includes provisions for returning an injured/ill person back to work. Return-to-work planning to identify suitable return-to-work options begins when the functional/cognitive abilities of the injured/ill person are confirmed.

The program looks to establish optimum return-to-work options including:

- return-to-work pre-injury
- return-to-work pre-injury with accommodation(s)
- return-to-work suitable (another position)
- return-to-work other available work

The program includes provisions for:

- transitional or temporary alternate work
- graduated return-to-work
- the purchase of assistive devices/accommodation supports where appropriate

Return-to-work plans are jointly developed and documented to include:

- the return-to-work goal with key milestones and timelines
- roles and responsibilities
- functional abilities/limitations
- required job/task functions/details
- accommodation details (temporary/permanent)
- injured/ill person, supervisor and return-to-work coordinator input/signatures

# Pre-use inspections

## Recommended prerequisite(s):

All level one topics

## Summary:

Pre-use inspections are conducted before using any equipment or process. If a deficiency is identified, it must be addressed before use.

## Requirements:

Your business will establish, implement, monitor and maintain a pre-use inspection procedure. The procedure will include:

- a list of all items (inventory) to be inspected
- a pre-use inspection schedule that includes:
  - identification of who is required to do pre-use inspections; and
  - frequency of inspections
- a standard recording form/log/checklist to be used for each pre-use inspection that documents the following:
  - equipment inspected
  - inspectors signature or initials or identification
  - date of inspection
  - list of components to be inspected
  - description of any hazard discovered
  - recommendations for corrective action
- record that shows corrective action (who, what, when) was taken before equipment is used
- review of records by supervisor/manager to ensure identified corrective actions have been taken

# Preventive maintenance

## Recommended prerequisite(s):

All level one topics

## Summary:

A key component of risk assessment is the identification of effective control measures. Preventative maintenance is a control that can help you to identify problems, deficiencies and non-conformities related to specific equipment and lead to the correction of the issue before it leads to an incident, injury or breakdown of equipment.

## Requirements:

The business will establish, implement, monitor and maintain a preventive maintenance procedure that includes:

1. a list of all items (inventory) included in the program
2. documented inspection schedules for each piece of equipment that requires scheduled servicing, adjusting or replacing of their components including but not limited to:
  - mobile equipment
  - production equipment
  - facility equipment such as heating and ventilation
  - other workplace-specific equipment
3. standards and schedules to be met, including:
  - manufacturer's instructions
  - industry standards
  - legislation requirements
4. a standard recording form
5. roles and responsibilities of applicable workplace parties as it relates to preventive maintenance
6. ensure anyone using the equipment is qualified
7. responsibility for review of program is assigned
8. review is scheduled



# Control of documents

## Recommended prerequisite(s):

All level one topics

## Summary:

Documents are written materials that describe a policy, procedure, method or practice. Documents related to health and safety help formalize the health and safety management system, develop consistency and reduce reliance on the knowledge of individual people. Documents identify what needs to be done, who does it, when they do it, what forms they use and who checks to make sure it is done. The level of documentation will vary depending on the size, activities and complexity of the business.

## Requirements:

The business will establish, implement, monitor and maintain a procedure for the control of documents. The occupational health and safety management system documentation must include, as a minimum:

- a description of the scope for which the occupational health and safety management system is applicable
- the occupational health and safety policy, objectives, and leading and lagging performance measures
- a description of the main elements, their interaction and reference to related documents
- all documents determined by the business to be necessary for planning, implementation, control, evaluation and overall management of the occupational health and safety management system

The creation, collection, retention and distribution of documents should comply with all applicable legal requirements, collective agreements and organizational policies, as appropriate.

Your business will establish, implement, monitor and maintain a method for managing the creation, approval, distribution and archiving of health and safety documents. This includes:

- approval of documents before use
- regular review and updating of documents where applicable, including removal of out-of-date documents
- tracking changes made to documents (what was changed, who changed it)
- documents that are readily available when and where needed
- documents that are legible and readily identifiable
- identification of documents from a source outside the business
- prevention of unintended use of out-of-date documents and identification of such documents if they are retained for any purpose

Documents will be created in a format that is accessible to all workplace parties. Special needs will be accommodated such as language, literacy or disabilities. Additionally, the privacy of personal or sensitive information must be considered when developing procedures for control of documents.

# Control of records

## Recommended prerequisite(s):

All level one topics

## Summary:

Records related to health and safety demonstrate that training, communication and implementation have taken place. Unlike documents, which describe the "who, what and when" of a process and are changed as needed, records are created when things are done and are never modified once they have been created. Examples of records include, training records, meeting minutes, inspection reports, evaluation reports, sampling reports, documented interviews and test results.

## Requirements:

The occupational health and safety management system documentation will include, as a minimum, records determined by the business to be necessary for planning, implementation, control, evaluation and overall management of the occupational health and safety management system.

The creation, collection, retention and distribution of records must comply with all applicable legal requirements, collective agreements and organizational policies, as appropriate. Your business will create and maintain records to provide evidence of conformity to health and safety system requirements.

Your business will establish, implement, monitor and maintain a procedure to:

- maintain records as necessary to demonstrate conformity to the requirements of its occupational health and safety management system
- identify, store, protect, retrieve, retain and dispose of records
- ensure protection of privacy and confidentiality, as appropriate
- ensure records are, and remain, legible, identifiable and tracked, so that they can be retrieved if needed

Employees have the right to access records relevant to their health and safety, while respecting the need for confidentiality.

# Contractor management program

## Recommended prerequisite(s):

All level one topics and **health and safety accountabilities**

## Summary:

A contractor is a person who, or business that, provides goods or services to your business under terms specified in a written agreement. Contractors include those performing maintenance, renovations or construction, operations security, cleaning and on-site service providers. Examples of contractors include:

- construction/renovations
- snow removal
- utility service and repair
- equipment maintenance, servicing or repair
- janitorial
- pest control
- food services
- information technology
- security services

Having a contractor management program in place enforces the same health and safety standards for everyone performing work in your workplace. It ensures that no one is put at risk by the contractor's activities and that the contractor's employees are not put at risk from your business's activities.

## Requirements:

Your business will establish, implement, monitor and maintain a contractor management program. The procedure will include:

- criteria for selecting contractors that have the capability and capacity to meet the health and safety requirements of your business
- a plan to monitor and evaluate contractors' health and safety performance
  - requirement to communicate your health and safety rules, emergency response procedures and notice of any changes affecting the specific work to contractors. Contractors must also communicate relevant health and safety information to the employer
  - requirement to hold contractors accountable for their health and safety responsibilities (e.g., performance rating system and contract incentives)
  - consequences for unsafe behaviour (e.g., not working in compliance with the Occupational Health and Safety Act and regulations, policy or procedure violation)

- The identification of hazards, control of risks and the competency and ability of the contractor to control the risk(s) to the business's workers arising from the contractor's activities and materials
- the identification of hazards, control of risks and the competency and ability of the contractor to control the risk(s) to the contractor and the contractor's workers arising from the business's activities and materials
- communication with contractors when there are changes affecting the specific work or circumstances surrounding the work
- acceptance/sign-off documentation by contractor that they'll abide by the employer's (e.g., general contractor) health and safety program and/or rules and regulations at the worksite

There may be circumstances where there is more than one employer or contractor present at a job site. In these situations, your business must establish, implement, monitor and maintain a documented procedure for, and lead the coordination and integration of, relevant portions of the business's occupational health and safety management system with the affected contractors.

# Workplace health promotion

## Recommended prerequisite(s):

All level one topics

## Summary:

Workplace health promotion (also known as health and wellness) is the combined efforts of your business, employees and community to improve the health and well-being of people, both at work and at home. It may include things like improving the way work is organized, encouraging personal and professional development, promoting a strong health and safety culture, and the promotion of general well-being.

Your workplace health promotion program could include initiatives such as:

- employee assistance program
- wellness initiatives
- mental health promotion
- psychological first aid
- vehicle safety
- personal health and safety
- health and safety at home
- off-the-job health and safety

## Requirements:

Your business will establish, implement, monitor and maintain a workplace health promotion program that promotes healthy and safe lifestyles both on and off the job.

# Health and safety objectives

## Recommended prerequisite(s):

All level one topics

## Summary:

Health and safety objectives are established by your business to improve health and safety performance. They should be specific, measurable, achievable, realistic and have timelines. Objectives can be set:

- at your organizational level (e.g., reduce slips, trips and falls across your business)
- at the facility, project or process level (e.g., reduce slips, trips and falls on ice during winter in the storage yard)
- at the activity level (e.g., reduce slips, trips and falls by ensuring all truck drivers wear proper footwear)

## Requirements:

Your business will establish, implement, monitor and maintain a procedure for health and safety objectives. The objectives should consider all locations, all employees and all work activities within your business.

The procedure will include:

- documented health and safety objectives with an action plan for implementation, including target activities, dates and who is responsible
- schedule for review (objectives are evaluated at least once a year and revised as needed)
- requirement to communicate status of objectives to all employees
- review and approval by senior management

The objectives will:

1. be measurable
2. be consistent with the occupational health and safety policy
3. take into account:
  - a. review of previous objectives
  - b. year-to-year statistics and comparisons
4. Consider leading and lagging measures:
  - a. occupational health and safety hazards and risks
  - b. occupational health and safety management system deficiencies or non-conformance
  - c. opportunities for continual improvement
5. take into consideration:
  - a. physical, mechanical and technological options

- b. operational business and financial requirements of the business
- c. other requirements or opportunities
- d. views of workplace parties



# Corrective action

## Recommended prerequisite(s):

All level one topics and all other level two topics

## Summary:

Corrective action is about making changes and/or improvements to a business's processes to eliminate causes of unacceptable or undesirable situations. These unacceptable or undesirable situations are also known as non-conformities. Once the non-conformity is identified, the corrective action process is used to evaluate and prioritize issues. Responsibilities are assigned to correct the non-conformity and to follow up to ensure the issue has been corrected. Ultimately, the goal is to prevent the situation from re-occurring.

## Requirements:

Your business will establish, implement, monitor and maintain a procedure to address occupational health and safety management system non-conformities, including:

- a process for identifying, investigating and correcting non-conformities and potential non-conformities (e.g., they can be identified through audits, inspections, investigations, hazard reporting, process review, employee feedback and other sources)
- a process to address ineffective healthy and safety hazard controls, corrective actions and preventive actions
- taking action to eliminate hazards and effectively control risks
- assignment of responsibility and timeframe for corrective action
- conducting a risk assessment of the recommended corrective actions to ensure that new hazards are not being created
- ensuring actions implemented are recorded, communicated and tracked to ensure they prevent and correct the occurrence of the non-conformity
- monitoring, assessing and evaluating the effectiveness of the implemented corrective and preventive actions and updating the occupational health and safety management system

# Level 3: Advanced

# Change management and procurement

## Recommended prerequisite(s):

All level one and two topics

## Summary:

The purpose of a change management and procurement procedure is to ensure that health and safety risks are assessed and controls are put in place when adding or changing equipment and/or processes. This also helps to ensure that new hazards are not introduced and any current hazards are controlled.

## Requirements:

The business will establish, implement, monitor and maintain a change management and procurement procedure that will include:

- requirement to conduct hazard recognition, risk assessment and control procedures when:
  - there is a significant change to its work processes, control measures (e.g., pre-start reviews), procedures, equipment, organizational structure, staffing, products, workplace parties, physical locations or services
  - new developments in health and safety knowledge or technology is available and introduced or there are changes to legal requirements, other requirements and agreements, where applicable
  - when functions or processes are outsourced
- the inclusion of health and safety requirements in purchasing specifications when products, equipment, materials and other goods and services are procured
- requirements for a pre-start review before first use of new equipment, processes or materials and providing the pre-start review report to the Joint Health and Safety Committee or health and safety representative
- identification of the roles and responsibilities for employees involved in procurement
- communication and training requirements to affected workplace parties

The procedure or process for identifying hazards, assessing risks and determining controls of procured goods and services must follow the same methodology established, implemented, monitored and maintained for recognition of hazards, risk assessment and control of hazards.

# Monitoring, measurement and analysis

## Recommended prerequisite(s):

All level one and two topics, and should be selected at the same time as **review health and safety trends**

## Summary:

In order to achieve the intended outcomes of the occupational health and safety management system all procedures should be monitored, measured and analyzed. This health and safety topic will help to identify opportunities for continual improvement.

- monitoring – checking, supervising, observing and maintaining records of those activities
- measurement – determine a value
- analysis – process of examining data to look for patterns and trends, and then draw conclusions from the data

## Requirements:

Your business will establish, implement, monitor and maintain a procedure to regularly monitor, measure and analyze that the intended outcomes of the system have been achieved.

The process must:

- be reflective of the operations and/or activities of the organization
- provide for the monitoring of the extent to which the organization's health and safety policy and objectives are being met, as well as conform to the occupational health and safety management system
- provide for the monitoring of the effectiveness of the control measures
- include leading and lagging performance measures

Examples of what could be monitored and measured could include, but are not limited to:

- qualitative measures such as use of interviews, reviews of documented information and observation of work performed
- quantitative measures (e.g., noise levels and air quality levels)
- the extent to which your business's health and safety policy and objectives are being met
- effectiveness of the control measures (e.g., hearing protection)
- requirement to calibrate and maintain any equipment needed for monitoring and measuring health and safety in the workplace

Once your business has identified the above, you will compare or benchmark these measurements against:

- legislative requirements
- your industry (access this information from the WSIB's online services portal) to compare your injuries against your industry average)

- standards and codes
- your own objectives
- health and safety statistics

Results of the monitoring, measuring and analysis should be used to take actions to continually improve your occupational health and safety management system.

The results of these measurements must be recorded and communicated with interested workplace parties.

# Review health and safety trends

## Recommended prerequisite(s):

All level one and two topics and should be selected at the same time as monitoring, **measurement and analysis**

## Summary:

Reviewing health and safety trends helps to identify opportunities for improving your occupational health and safety management system and establish objectives for your health and safety program. It also helps management to allocate resources and meet due diligence requirements. Businesses need to establish a system to record and review trends and statistics.

Businesses should review trends for both leading and lagging indicators. A regular review of leading indicators can inform your business of its progress toward annual targets and objectives (e.g., having 100 per cent of employees receive workplace hazardous materials information system (WHMIS) training). Lagging indicators (e.g., injury reports) can potentially reveal where previously implemented controls may need to be reviewed and improved.

## Requirements:

Your business will establish, implement, monitor and maintain a procedure to identify health and safety trends. Your procedure will include:

- roles and responsibilities for those reviewing health and safety trends
- requirement for senior management to review the trends
- a list of all indicators to be reviewed, examples include:
  - workplace inspections
  - incident investigations
  - incident reports
  - hazard reports
  - permits (hot work, confined space entry)
  - Joint Health and Safety Committee/health and safety representative recommendations and meeting minutes
  - injury/illness data, including information from the WSIB's online services
  - medical aid and first aid records
  - critical injuries
  - lost-time/no-lost-time injuries
  - near misses
- a schedule for reviewing all indicators (e.g., quarterly review of incident reports against the pre-determined targets)
- requirement for the results of the trends review to be considered when revising objectives and the continual improvement plan

# Internal audit

## Recommended prerequisite(s):

All level one and two topics

## Summary:

An audit of your occupational health and safety management system identifies what is being done well, system deficiencies and opportunities for improving health and safety performance. The purpose of the audit is to measure and verify the extent to which the occupational health and safety management system has been implemented and maintained.

## Requirements:

Your business will establish, implement, monitor and maintain a procedure for annual internal auditing of your occupational health and safety management system. The written procedure will include:

- purpose of audit
- roles and responsibilities of the auditor, management, workers and anyone else affected by the audit
- auditor competency requirements
- scope of the audit: locations, departments, activities that will be audited
- frequency of audit
- audit methodology: interviews, observations, sampling, document review, etc.
- reporting of audit activity and results
- prioritization of identified non-conformities

Audit findings and conclusions must be documented and include:

- conformities
- non-conformities
- opportunities for improvement
- acknowledgement of successes
- communication to relevant parties

Non-conformities must be prioritized and addressed using the corrective action process and incorporated into the continual improvement plan. Senior management must monitor and evaluate actions taken to address the non-conformities until they are resolved.

# Management review

## Recommended prerequisite(s):

All level one and two topics, **review health and safety trends, monitoring, measurement and analysis, and internal audit**

## Summary:

The purpose of a management review is to determine what is working and what needs improvement in your business's occupational health and safety management system. Senior management conducts a review of the business's occupational health and safety management system at least once a year to make sure it is meeting its objectives, is up-to-date, implemented and working.

## Requirements:

Your business will establish, implement monitor and maintain a procedure for senior management to review your business's occupational health and safety management system at planned intervals (annually as a minimum) to verify and ensure its continuing suitability, adequacy and effectiveness. The reviews will include:

- an assessment of the opportunities for improvement of the occupational health and safety management system (e.g., changes to the health and safety policy, procedures, programs and/or objectives, review of current control strategies/programs)
- identification of emerging issues or trends (e.g., legislative changes, new industry standards)
- communication of outputs to applicable workplace parties
- implementation strategy for continual improvement
- a requirement for the review to be documented

Input to management reviews must include, as a minimum, the following information:

- results of audits, monitoring measuring and analysis, and health and safety trends review
- status of action items from previous management reviews
- evaluations of compliance with legal requirements
- results of participation and consultation with workers/health and safety representative/ Joint Health and Safety Committee
- communication received from external interested parties, including complaints
- health and safety performance of your business (e.g., injury and illness rates)
- evaluation of the extent to which health and safety objectives have been met
- evaluation of the effectiveness of procedures and processes to identify hazards and assess, prioritize and control risks
- status of incident investigations, trends identified, corrective actions



- changing circumstances related to health and safety, such as developments in legal requirements
- recommendations for improvement

Outputs from the management review must support your business's commitment to continual improvement, and include decisions and actions related to:

- health and safety performance, the health and safety policy and objectives, and the need for change, if any
- allocation of resources to achieve the improvements
- any other elements that are appropriate for the occupational health and safety management system

# Health and safety continual improvement planning

## Recommended prerequisite(s):

All level one and two topics, and **management review**

## Summary:

Continual improvement planning is a coordinated system of procedures, processes and other measures designed to promote continual improvement in workplace health and safety. When planning continual improvements, your business needs to determine the following:

- what will be done
- the resources needed
- who will be responsible
- when it will be completed
- how the results will be evaluated, including indicators for monitoring
- how the actions to achieve the improvement will be integrated into your business's processes
- how the results of management review will be incorporated into your continual improvement plan

## Requirements:

Your business will establish, implement, monitor and maintain a continual improvement planning process that identifies:

- specific goals/priorities to be achieved (e.g., all employees need to receive slips and falls training)
- target dates for completion of each goal
- assignment of responsibility for each goal
- resources required (e.g., people, time, money)
- provisions for the program or plan(s) to be reviewed at regular intervals (annually as a minimum) and revised as appropriate, to ensure the objectives are achieved

Senior management must approve the continual improvement plan. The continual improvement plan must:

- be relevant to your business's current needs
- include scheduled progress reviews
- include progress reports that must be communicated to the appropriate workplace parties
- include successes celebrated with employees as goals are achieved

## External audit

### Recommended prerequisite(s):

All level one and two topics, and **health and safety continual improvement planning**

### Summary:

You arrange for an external third party to perform an audit when your business decides to validate its occupational health and safety management system against a standard set of requirements. A qualified and competent independent auditor will compare and verify that all areas and activities within your occupational health and safety management system meet the relevant criteria.

Audits by a third party will be completed along with internal audits as part of an audit strategy to show that your business is maintaining an occupational health and safety management system and addressing any non-conformities that have been identified.

### Requirements:

Your business will establish, implement, monitor and maintain a procedure to coordinate an external third party audit of your occupational health and safety management system. The written procedure will include:

- purpose of audit(s)
- roles and responsibilities as they relate to the audit(s)
- auditor qualifications and selection
- audit plan
- scope of the audit(s)
- frequency of audit(s)
- audit methodology
- reporting of audit activity and results to internal and external parties, as appropriate

Audit findings and conclusions must be documented and include:

- conformities
- non-conformities
- opportunities for improvement
- acknowledgement of successes
- communication to relevant interested parties

Non-conformities must be prioritized and addressed using the corrective action process and incorporated into the continual improvement plan. Senior management will monitor and evaluate actions taken to address the issues until they are resolved.

Recommendations for program improvement as a result of the audit must be considered when completing the management review, setting health and safety objectives, and developing the continual improvement plan.

# Networking and peer learning

## Recommended prerequisite(s):

None

## Summary:

Networking and peer learning provides businesses with the opportunity to interact with and learn from the experiences of other companies and individuals.

## Requirements:

Your business will establish, implement, monitor and maintain a process for networking and peer learning with other individuals or companies in order to share and gain health and safety information and best practices.

The process will identify:

- who will participate in networking and peer learning activities
- how the information will be shared, who the information will be shared with and how often they will do this
- rules specifying what type of information can be exchanged with other businesses (e.g., policies, documents, guidelines)
- methods for networking and peer learning may include:
  - email, newsgroups, shared documents, conference attendance
  - personal contacts, such as visits or phone calls
  - consultation with professional associations
  - health and safety association events and training

# Corporate social responsibility

## Recommended prerequisite(s):

None

## Summary:

Corporate social responsibility is when a business takes responsibility for its impact on the environment, the communities where they operate, their employees, stakeholders and the public.

## Requirements:

Your business will establish, implement, monitor and maintain a social responsibility program that:

- actively engages with local communities and community groups (e.g., encourage open discussions with neighbours about your operations, safety programs, environmental conditions and other aspects of your operations that may impact the communities in which your business operates)
- works with governments, community representatives and other businesses to support and undertake initiatives to help improve corporate social responsibility
- identifies how you'll conduct business in a manner designed not only to protect the environment, but also the health and safety of employees, customers and the public