

Health and Safety Excellence program

Validation guide for employers

Table of contents

Purpose	4
Getting prepared for validation	4
Accounts with multiple sites	6
Examples of possible evidence by topic.....	6
LEVEL 1: Foundations	6
Leadership and commitment	6
Health and safety responsibilities	6
Health and safety communication.....	7
Health and safety participation	7
Recognition of hazards.....	8
Risk assessment	8
Control of hazards	9
Injury, illness, and incident reporting.....	9
Incident investigation and analysis	10
First aid	10
LEVEL 2: Intermediate	11
Competency	11
Health and safety training.....	11
Legal and other requirements.....	11
Health and safety accountabilities	12
Emergency prevention and preparedness	12
Emergency response.....	13
Return-to-work program requirements, forms and tools.....	13
Return-to-work roles and responsibilities	14
Accommodation and return-to-work plans	14
Pre-use inspections	14
Preventive maintenance	15
Control of documents	15
Control of records.....	16
Contractor management program.....	16
Workplace health promotion	17
Health and safety objectives.....	17
Corrective action	18
LEVEL 3: Advanced	19
Change management and procurement	19
Monitoring, measurement and analysis	19
Review health and safety trends.....	19
Internal audit.....	20
Management review	20
Health and safety continual improvement planning.....	21
External audit	21
Networking and peer learning.....	21

Corporate social responsibility	22
APPENDIX.....	23
Evidence guidelines	23
Guiding principles	23
Types of evidence	23
Sample evidence of documented interview.....	24

Purpose

After you complete the implementation of health and safety topic(s) within the Health and Safety Excellence program, it's time for validation. All members will receive a desk validation by a WSIB validator on the evidence they submit. You can submit evidence of topic completion to the WSIB **90** calendar days after your action plan is finalized and up to **365** calendar days (including the review of evidence by the provider prior to submission to the WSIB) for validation.

The validation guide was developed to support you as you collect and prepare evidence to demonstrate implementation of the health and safety topics on your action plan.

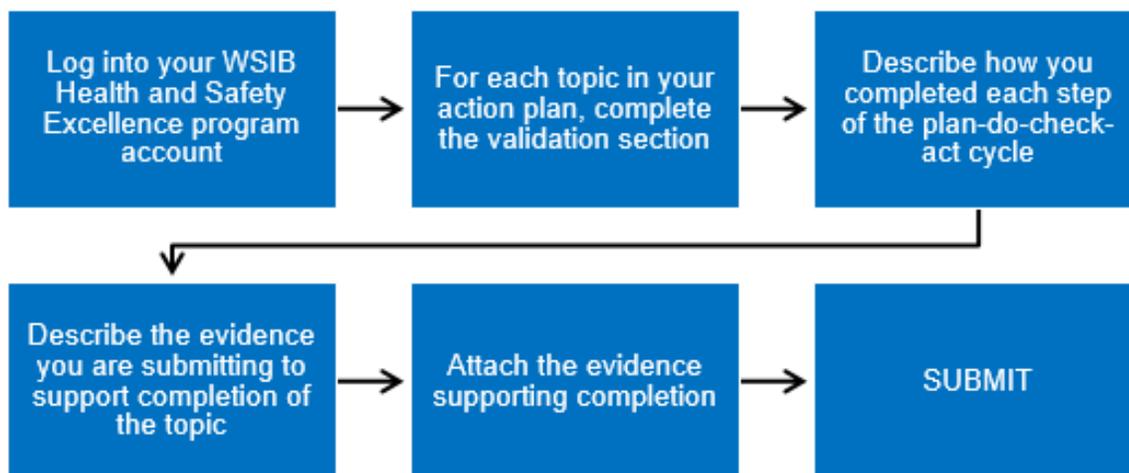
Use this guide to help you determine what type of evidence would best represent these topics “living and breathing” at your workplace. We have provided examples for guidance only. You have the flexibility to demonstrate implementation in a variety of ways including photos, videos, documents, interviews, and records.

Getting prepared for validation

For each topic on your action plan that you have implemented, you are required to:

1. Briefly describe how you completed each step of the WSIB's “five steps to managing health and safety” or another provider approved model that follows the plan-do-check-act cycle for each topic.
2. Submit evidence **that best demonstrates** how the topic is “living and breathing” at your workplace; how the work you are doing is making your business safer. Describe how the evidence you are submitting supports completion of the topic. This is not a requirement to submit evidence to **prove** each step in the cycle has been completed.

Once a topic has been implemented and you are ready to submit evidence for validation, follow the process outlined below.



Below is an example describing how each step was completed and a description of the evidence submitted by the owner of a small landscape business for the topic **leadership and commitment**.

Implementation step	Implementation example (to be completed by the business)	Evidence example (to be completed by the business)
<p>Plan – write standard</p> <p>Tell us whether you created a policy or procedure for the topic and the criteria you included.</p>	<p>I sat down with the worker representative and we wrote health and safety responsibilities for me as the owner. We also created a health and safety policy.</p>	<ul style="list-style-type: none"> - Copy of owner's health and safety responsibilities - Copy of current health and safety policy
<p>Do – communicate, train</p> <p>Tell us how you communicated this plan, trained employees, and implemented the topic into your workplace.</p>	<p>After finishing the responsibilities and the policy, I communicated both to all of my employees at a staff meeting. I posted a copy of the policy on the health and safety board.</p>	<p>Photo of the health and safety policy on the health and safety board</p>
<p>Check – evaluate</p> <p>Tell us how you monitored and measured your activities related to the topic. Are you actually living up to the plan and doing what you set out to do when you developed this topic?</p>	<p>A few months later I met with my employees and asked them if they thought I was living up to my responsibilities and the health and safety policy. Based on their feedback, I realized that I forgot to communicate my responsibilities and the policy to the drivers that are on the road all the time.</p>	
<p>Act – make improvements</p> <p>Tell us how you implemented changes based on your evaluation? What actions did you take to continually improve this health and safety topic?</p>	<p>I brought the drivers into the office and talked about my commitment to health and safety and the responsibilities that I had set for myself. I also communicated the policy to them. I photocopied the policy and put a copy in each driver's folder in their truck.</p>	<ul style="list-style-type: none"> - Email I sent to the drivers asking them to come into the office to discuss my health and safety responsibilities and the health and safety policy - Video showing the health and safety policy in the folder on a truck after the discussion

NOTE – should you be selected for an onsite validation, the WSIB validator will use the information provided above as part of the onsite process.

Accounts with multiple sites

If your WSIB account number registered in the Health and Safety Excellence program covers multiple sites, validation evidence must be representative of the overall operations. The validation evidence must be representative of your business main office/shop, as well as a sampling of the other locations. A sampling chart is provided below to assist you with the validation requirements. Multi-site businesses must indicate which locations have been selected, and provide the supporting evidence.

For example, in addition to the main office/shop, a business has three other locations (i.e. warehouse facility, vehicle maintenance shop, and a construction site) and has chosen the topic first aid. Evidence of implementation of the first aid program must be submitted for the main office/shop, and two of the three locations as per the chart below. In addition to the evidence for the main office/shop, the business chooses to submit evidence for the vehicle maintenance shop, and the construction site. Although the first aid program must be fully implemented at all locations, including the warehouse, evidence for the warehouse does not need to be included in the evidence submission. However, if the business is selected for an onsite validation, access to all locations must be provided and the WSIB may visit more than one location as part of its onsite validation. The WSIB will work with the business in advance of an on-site validation to coordinate a validation plan.

Active locations outside of main office	Minimum number of locations to include in validation evidence
1	1
2	2
3-4	At least 2
5-8	At least 3
9-30	At least one third of the locations
31+	Contact your provider/WSIB for assistance

Examples of possible evidence by topic

LEVEL 1: Foundation

Leadership and commitment (see above)

Health and safety responsibilities

Evidence examples:

Media type	Illustrative example
Document	<ul style="list-style-type: none"> ▪ Health and safety responsibilities for all workplace parties ▪ Orientation training showing workplace party responsibilities

Media type	Illustrative example
	
Video 	<ul style="list-style-type: none"> The owner explaining their health and safety responsibilities

Health and safety communication

Evidence examples:

Media type	Illustrative example
Photo 	<ul style="list-style-type: none"> Health and safety board, showing the progress on some of the safety initiatives they are working on
Document 	<ul style="list-style-type: none"> Minutes from a team meeting showing discussion on safety topics
Video 	<ul style="list-style-type: none"> A worker talking about their recommendation submitted in a “safety suggestion box” and how management responded to it

Health and safety participation

Evidence examples:

Media type	Illustrative example
Document 	<ul style="list-style-type: none"> A workplace inspection form that identifies hazards, and shows the participation of workers (i.e. the inspection form is signed off by a committee, indicating specific members are workers)

Media type	Illustrative example
Video 	<ul style="list-style-type: none"> An interview of a worker, who describes the process of conducting workplace inspections, and how they go about identifying hazards

Recognition of hazards

Evidence examples:

Media type	Illustrative example
Document 	<ul style="list-style-type: none"> A list of hazards developed by the committee Completed hazard reports
Video 	<ul style="list-style-type: none"> An interview of a worker, who describes the process of conducting workplace inspections, and how they go about identifying hazards A supervisor talking about the hazard reporting process

Risk assessment

Evidence examples:

Media type	Illustrative example
Photo 	<ul style="list-style-type: none"> Risk registry posted on a safety board at work, with the committee member names on it
Document 	<ul style="list-style-type: none"> The procedure showing how hazards are ranked on the risk registry as low, medium, or high risk
Video 	<ul style="list-style-type: none"> An interview of a worker, who describes the process of conducting a risk assessment

Control of hazards

Evidence examples:

Media type	Illustrative example
Document 	<ul style="list-style-type: none"> A safe operating procedure developed by the committee after new controls have been implemented
Video 	<ul style="list-style-type: none"> Observation of a worker following the safe operating procedure after new controls have been implemented

Injury, illness and incident reporting

Evidence examples:

Media type	Illustrative example
Photo 	<ul style="list-style-type: none"> Health and safety board, showing: <ul style="list-style-type: none"> Progress on reaching their goal of reporting 10 incidents this year WSIB <i>In Case of Injury</i> poster (Form 82) and the Ministry of Labour <i>Health & Safety at Work Prevention Starts Here</i> poster
Document 	<ul style="list-style-type: none"> A blank injury/illness/incident form
Video 	<ul style="list-style-type: none"> A supervisor talking about how their workers report incidents to them, and their specific responsibilities in the process

Incident investigation and analysis

Evidence examples:

Media type	Illustrative example
Photo 	<ul style="list-style-type: none"> Images of an awkward workstation
Document 	<ul style="list-style-type: none"> An investigation into the office workstation, revealing that the workstation as well as other work stations were set up awkwardly
Video 	<ul style="list-style-type: none"> A worker showing an adjustable workstation to allow them to alternate between sitting and standing; video also shows various other workstations with the same set-up as a result of the investigation

First aid

Evidence examples:

Media type	Illustrative example
Photo 	<ul style="list-style-type: none"> Health and safety board showing first aider name and work location is posted First aid kit location with signage showing location
Video 	<ul style="list-style-type: none"> The designated first aider talking about their program, how it is communicated to everyone during orientation training, and taking the incident log out of the kit to show how they document the use of first aid equipment

LEVEL 2: Intermediate

Competency

Evidence examples:

Media type	Illustrative example
Document 	<ul style="list-style-type: none"> ▪ Written procedure ▪ Training needs matrix ▪ Job description that shows competency requirements
Video 	<ul style="list-style-type: none"> ▪ Interview with worker rep explaining their involvement in the process of determining competencies for workers

Health and safety training

Evidence examples:

Media type	Illustrative example
Document 	<ul style="list-style-type: none"> ▪ Training matrix that shows all employees and the training they have completed ▪ Training certificates ▪ Attendance sheet from training ▪ Training records
Video 	<ul style="list-style-type: none"> ▪ Interview with worker explaining what they do, their job tasks and what training they have completed

Legal and other requirements

Evidence examples:

Media type	Illustrative example
Document 	<ul style="list-style-type: none"> ▪ Written procedure ▪ Consultant report ▪ Staff memo regarding new or revised policy/procedure (driven by legislative change) ▪ Safety talk training record regarding new or revised policy/procedure (driven by legislative change) ▪ Orientation checklist that includes legislative and regulatory revisions, including a new employee sign off

Media type	Illustrative example
Video 	<ul style="list-style-type: none"> Showing a manager providing orientation training to a summer student; legal requirements are communicated

Health and safety accountabilities

Evidence examples:

Media type	Illustrative example
Photo 	<ul style="list-style-type: none"> Showing safety rules posted in various locations
Document 	<ul style="list-style-type: none"> Written performance appraisal procedure Written safety rules Written progressive discipline process Completed performance review Copies of supervisor's notes/log books documenting workers being coached about the importance of following safety rules
Video 	<ul style="list-style-type: none"> Interview with a supervisor explaining how she holds the employees that work for her accountable Interview with a worker explaining how the worker holds the owner accountable for health and safety

Emergency prevention and preparedness

Evidence examples:

Media type	Illustrative example
Photo 	<ul style="list-style-type: none"> Showing emergency signage
Document 	<ul style="list-style-type: none"> Written emergency plans Copy of risk assessment with emergencies prioritized Training records/training matrix

Media type	Illustrative example
Video 	<ul style="list-style-type: none"> Interview with worker explaining their role in emergency prevention

Emergency response

Evidence examples:

Media type	Illustrative example
Photo 	<ul style="list-style-type: none"> Showing posted response plans
Document 	<ul style="list-style-type: none"> Written emergency response plans Fire drill report Calendar showing schedule of drills
Video 	<ul style="list-style-type: none"> Interview with worker explaining their understanding of emergency procedures Showing fire drill in progress

Return-to-work program requirements, forms and tools

Evidence examples:

Media type	Illustrative example
Document 	<ul style="list-style-type: none"> Written procedure for return-to-work Copies of return-to-work forms (i.e. return to work evaluation report) Copy of completed Physical Demands Analysis
Video 	<ul style="list-style-type: none"> Interview with return-to-work coordinator explaining the tools and forms Interview with return-to-work coordinator doing a walk-through of a sample case, explaining the process, forms and tools Interview with worker to confirm understanding of the return-to-work process

Return-to-work roles and responsibilities

Evidence examples:

Media type	Illustrative example
Document 	<ul style="list-style-type: none"> Records of training that show that all workplace parties are trained on their responsibilities Written roles and responsibilities, and training requirements for all workplace parties Orientation package showing that return-to-work roles and responsibilities are reviewed
Video 	<ul style="list-style-type: none"> Interview with worker explaining their understanding of the return-to-work process and their role within it

Accommodation and return-to-work plans

Evidence examples:

Media type	Illustrative example
Document 	<ul style="list-style-type: none"> Written procedure Completed return-to-work plan that includes a progress report
Video 	<ul style="list-style-type: none"> Interview with return-to-work coordinator explaining the accommodation process and showing how return-to-work plans are developed Interview with worker explaining how they were accommodated and how they were involved in their return-to-work plan

Pre-use inspections

Evidence examples:

Media type	Illustrative example
Photo 	<ul style="list-style-type: none"> Showing standard operating procedure at machine that indicates an inspection must be done at each shift
Document	<ul style="list-style-type: none"> Written pre-use inspection schedule Samples of completed inspection reports

Media type	Illustrative example
	
Video 	<ul style="list-style-type: none"> ▪ Interview with worker rep explaining how he checks inspection forms each month to ensure they are completed and what he does if he finds that they have not been completed ▪ Interview with worker demonstrating a pre-use inspection on a machine

Preventive maintenance

Evidence examples:

Media type	Illustrative example
Photo 	<ul style="list-style-type: none"> ▪ Screen shot of spreadsheet showing maintenance tracking
Document 	<ul style="list-style-type: none"> ▪ Samples of written maintenance requirements ▪ List of equipment ▪ Calendar showing maintenance schedule ▪ Work order for maintenance worker ▪ Record of annual review of maintenance program
Video 	<ul style="list-style-type: none"> ▪ Interview with maintenance supervisor explaining the preventive maintenance system ▪ Showing maintenance worker completing and documenting regular maintenance

Control of documents

Evidence examples:

Media type	Illustrative example
Document 	<ul style="list-style-type: none"> ▪ Flowchart outlining control of document including creation, edit requests, review ▪ Responsibility chart by organization position/health and safety responsibilities for each health and safety document ▪ Document template
Video	<ul style="list-style-type: none"> ▪ Interview with administrator explaining how documents are created, revised and controlled

Media type	Illustrative example
	

Control of records

Evidence examples:

Media type	Illustrative example
Document 	<ul style="list-style-type: none"> ▪ Samples of records to show consistent identification method ▪ List of records with retention timeframes
Video 	<ul style="list-style-type: none"> ▪ Interview with administrator explaining document retention process and security of confidential records

Contractor management program

Evidence examples:

Media type	Illustrative example
Document 	<ul style="list-style-type: none"> ▪ Copy of prequalification letter to contractors, subcontractors and vendors stating health and safety expectations during scope of project/work and requesting basic information such as WSIB coverage, WSIB injury statistics, MOL offences, business references, professional and health and safety affiliations such as Health and Safety Associations, copies of up-to-date permits for individuals operating equipment and scope of work permits such as working at heights, and confined space ▪ Completed contractor checklist of health and safety program ▪ Samples of evidence including professional references and affiliations
Video 	<ul style="list-style-type: none"> ▪ Interview with maintenance manager explaining the contractor management program ▪ Interview with contractor explaining how the contractor management program works from the contractor's perspective

Workplace health promotion

Evidence examples:

Media type	Illustrative example
Photo 	<ul style="list-style-type: none"> Showing initiatives on the health and safety board
Document 	<ul style="list-style-type: none"> Health promotion articles Calendar showing monthly wellness topics and presentation schedule Training certificates (Mental Health First Aid) Lunch and learn presentations Employee Assistance Program report summary showing usage trends
Video 	<ul style="list-style-type: none"> Lunch and learn presentations

Health and safety objectives

Evidence examples:

Media type	Illustrative example
Photo 	<ul style="list-style-type: none"> Objectives posted on the health and safety board
Document 	<ul style="list-style-type: none"> Written procedure and copy of the objectives Schedule for review, and verification that the reviews happened
Video 	<ul style="list-style-type: none"> Interview with owner explaining how objectives were set and how they are reviewed and updated

Corrective action

Evidence examples:

Media type	Illustrative example
<p data-bbox="267 235 344 268">Photo</p> 	<ul data-bbox="479 235 1247 268" style="list-style-type: none">▪ Showing corrective action sheet posted on safety board
<p data-bbox="240 466 370 499">Document</p> 	<ul data-bbox="479 457 1031 556" style="list-style-type: none">▪ Written procedure▪ Corrective action form▪ Corrective action tracking spreadsheet
<p data-bbox="267 688 344 722">Video</p> 	<ul data-bbox="479 682 1377 808" style="list-style-type: none">▪ Interview with worker explaining how things get fixed when a problem has been identified▪ Interview with a supervisor explaining how an actual problem was corrected

LEVEL 3: Advanced

Change management and procurement

Evidence examples:

Media type	Illustrative example
Document 	<ul style="list-style-type: none"> A hazard assessment conducted by the JHSC with the workers affected by the new equipment The new safe operating procedure
Video 	<ul style="list-style-type: none"> The worker using the new piece of equipment, following the safe operating procedure

Monitoring, measurement and analysis

Evidence examples:

Media type	Illustrative example
Document 	<ul style="list-style-type: none"> Copies of supervisor's notes/log books from direct observations of workers List of what is being tracked for the businesses Occupational Health and Safety Management System The final report, showing the results of the analysis, specific to the return-to-work program

Review health and safety trends

Evidence examples:

Media type	Illustrative example
Photo 	<ul style="list-style-type: none"> Safety board showing the results of leading and lagging indicators throughout the year
Document 	<ul style="list-style-type: none"> Procedure showing how information is collected, discussed, and presented to all workers in the business

Media type	Illustrative example
Video 	<ul style="list-style-type: none"> Business owner meeting with managers and discussing the results

Internal audit

Evidence examples:

Media type	Illustrative example
Photo 	<ul style="list-style-type: none"> Safety board showing the results of the internal audit
Document 	<ul style="list-style-type: none"> The internal audit procedure OR the audit report
Video 	<ul style="list-style-type: none"> Senior management presenting the results at the annual staff barbeque

Management review

Evidence examples:

Media type	Illustrative example
Document 	<ul style="list-style-type: none"> List of the inputs into the management review Procedure to ensure the systematic and periodic review of the Occupational Health and Safety Management System The management review minutes (documented proof of the discussion, decisions and actions taken by senior management at the management review meeting)
Video 	<ul style="list-style-type: none"> Interview with senior manager explaining the management review process

Health and safety continual improvement planning

Evidence examples:

Media type	Illustrative example
Document 	<ul style="list-style-type: none"> Continuous Improvement Plan
Video 	<ul style="list-style-type: none"> Celebration/acknowledgement that the trends/set goals were achieved

External audit

Evidence examples:

Media type	Illustrative example
Photo 	<ul style="list-style-type: none"> Intranet communication to all staff on the audit results Audit results posted on a safety board
Document 	<ul style="list-style-type: none"> Certificate of recognition (i.e. 45001 certification) Audit results, or action plan if failed
Video 	<ul style="list-style-type: none"> Senior management presentation to all staff at company celebration

Networking and peer learning

Evidence examples:

Media type	Illustrative example
Document	<ul style="list-style-type: none"> The networking and peer learning procedure, OR, a list of the committees & conferences that are attended annually, OR meeting minutes to review information resulting from the procedure

Media type	Illustrative example
	
<p data-bbox="267 315 341 346">Video</p> 	<ul style="list-style-type: none"> <li data-bbox="479 304 1323 388">▪ Senior management presenting the results at the annual staff barbeque

Corporate social responsibility

Evidence examples:

Media type	Illustrative example
<p data-bbox="267 745 341 777">Photo</p> 	<ul style="list-style-type: none"> <li data-bbox="479 745 1307 777">▪ Staff department photo with newly acquired electric vehicles
<p data-bbox="235 976 373 1008">Document</p> 	<ul style="list-style-type: none"> <li data-bbox="479 976 1299 1039">▪ A list of community programs, local partnerships, and goals associated with the objectives of each
<p data-bbox="267 1197 341 1228">Video</p> 	<ul style="list-style-type: none"> <li data-bbox="479 1197 1307 1228">▪ Staff participating in planting trees over the summer months

APPENDIX

Evidence guidelines

Guiding principles

1. Ensure the evidence that you are submitting demonstrates how this topic is **making your workplace safer**.
2. Your goal is to demonstrate **implementation**, that the topic is “living and breathing” at your workplace. It is not necessary to provide evidence of every step of the plan, do, check, act cycle.
3. **Provide flexibility** – there are many acceptable forms of evidence including documents, records, forms, videos, photos, audio recordings, posters, and emails, provided they demonstrate implementation of the topic.
4. **Completeness** – Ensure that the evidence supports the “who, what, where, when, how and why” of the topic. A video may be a great way of showing how a topic has been implemented, but if after watching the video, the viewer isn’t confident that the topic has been implemented, more evidence is required.

Types of evidence

DOCUMENTS AND RECORDS

- Format: document
- Who created the document?
- When was it created?
- Topic addressed by the document

OBSERVATION

- Format: document, photo, video
- Who made the observation?
- When was the observation made?
- What is being observed?
- How does this observation support implementation of the topic?

INTERVIEW

- Format: documented, video, audio
- Who is doing the interview?
- Who is being interviewed?
- Where and when did the interview take place?
- What topic is being covered in the interview?
- Interviewee should be able to describe what actions have been taken to implement the topic

Sample evidence of documented interview

Date: July 1, 2019

Time: 3:00 p.m.

Location: Wonka Industries, office of Sally Leader

Interviewee: Sally Leader, CEO, Wonka Industries

Interviewer: Joe Smith, Health and Safety Manager, Wonka Industries

Interview transcript

JS: Hello, Ms. Leader. Today I would like to talk to you about your role as CEO of Wonka Industries and how you make health and safety a priority.

SL: Thanks Joe. I have been the CEO at Wonka Industries for about 6 years now and since I started here I have been committed to making health and safety a priority for this company.

JS: Tell me about what you do as CEO to make health and safety a priority.

SL: Okay. As CEO, I feel that it is my job to show strong leadership and commitment to health and safety. I think every person who works for Wonka has a part to play and I want to make sure that health and safety is built into everything that we do. I am not an expert in health and safety, but I needed to feel confident that we were doing everything that we should, so I hired a qualified health and safety manager, to ensure that our health and safety system was fully developed and implemented. That is you Joe.

You recommended that all managers, including myself, should get some basic health and safety knowledge so we arranged for a trainer to come in and provide basic health and safety training to the whole management team.

When I came here, we had a basic health and safety policy posted in the lobby. We have updated it each year and we make sure that clearly states our commitment to making our workplace safer.

I feel that communication and worker input is essential to the success of all parts of our business, so I want to not only keep people informed about what is going on, but also to give them the opportunity to provide input. Each quarter we hold a management meeting, where we discuss and plan health and safety. After those meetings each department manager has a meeting with their staff to share what was discussed at the management meeting. All workers are encouraged to ask questions and provide feedback to their manager. That feedback makes its way back to me and if it is a significant issue, I make a point of going out and talking to the worker that raised the issue to see what I can do.

JS: How do you know that everyone is doing their part to improve health and safety?

SL: Each quarter when the management team meets, we review KPIs and each manager has a KPI linked to health and safety. We also review audit results, inspections results and any incident investigations that have taken place. We also talk about any injuries that have occurred and any return to work cases that are ongoing. I also try to sit in on one safety committee meeting each quarter, which gives the committee members a chance to let me know what is going on.

I also review the corrective action log each month and do follow up with the department managers for any items that have been open for more than 30 days.

JS: Anything else you would like to add?

SL: As CEO, I don't claim to be an expert in health and safety, but I feel that if I have qualified and competent people working to identify any issues or problems that might come

Date: July 1, 2019

Time: 3:00 p.m.

Location: Wonka Industries, office of Sally Leader

Interviewee: Sally Leader, CEO, Wonka Industries

Interviewer: Joe Smith, Health and Safety Manager, Wonka Industries

Interview transcript

up and if we have a system to correct those problems so that they don't happen again, we are doing what we need to do to make this company safer.

JS: Thanks

SLeader

Sally Leader

July 1, 2019

JSmith

Joe Smith

July 1, 2019