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HealthForceOntario

**Sponsored by:**  
South East Toronto  
Family Health Team



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## Health, Safety & Risk Management Survey Tool

Modeled on the National Self Insurer OHS Audit Tool 2007

Developed through the *“Creating a Healthy Workplace Culture  
to Support Organizational Wellness for Interprofessional  
Family Health Team (FHT) Members”* Project

**March 2010**

## HEALTH, SAFETY AND RISK MANAGEMENT MANAGEMENT - QUESTIONNAIRE

PERSON	OCCUPATION / POSITION	LOCATION	DATE
1			
2			
3			
4			
5			

All answers received to the relevant questions you ask, need to be clarified. This means it is not just simply a 'Yes' or 'No' answer. To tick (✓) 'Yes' they must have a fairly good understanding of the relevant process. (Example Question: Has an overall Management Plan or system been established for HEALTH AND SAFETY? If the answer is 'Yes' ask 'What does this contain?') P = Partial and N/A not applicable

QUESTIONS					COMMENTS
	Y	N	P	N/A	
Do you have a Health and Safety Policy Statement?					
Do you know when the Health and Safety Policy Statement was last reviewed, and what triggered that review?					
Do you know your health and safety legislative obligations?					
Is there a senior manager designated with the overall responsibility for health and safety?					
How does this designated person report to the board?					
Is there an annual Health and Safety Plan?					
If yes, how frequently is the Health and Safety Plan reviewed?					
Is health and safety performance (trends) discussed or reported?					
Who was involved in the setting of health and safety objectives and targets? Can you briefly explain any health and safety objectives and targets for the organization?					
How are health and safety objectives and targets measured?					
Are Key Performance Indicators (KPIs) discussed at management meetings?					
Are suitable performance indicators included in performance appraisals?					
How are personnel held accountable for their allocated health and safety responsibilities?					
Has there been any assessment of health and safety performance of individuals in line with their allocated responsibilities?					
Have financial and physical resources been identified and allocated for health and safety?					
How did the organisation determine that they have access to sufficient qualified and competent people?					
Who has been delegated the responsibility to identify and monitor the content of all relevant health and safety legislation and other requirements?					
Who has been delegated the task to ensure that Health and Safety procedures meet relevant requirements?					
How does the organisation receive updated or amended Health and Safety information?					
When is the health and safety management system scheduled for review?					
Are reports from health and safety audits discussed with you and your employees?					
What actions have been planned or implemented, by the organization, as a result of the last management review of the H&S management system?					

QUESTIONS		Y	N	P	N/A	COMMENTS
	Has a Health and Safety Committee or representatives been established and is there adequate management representation?					
	How frequently does the Health and Safety Committee meet?					
	Has a Training Needs Analysis (TNA) been undertaken to identify mandatory and risk based training required by your staff?					
	Do all of your employees (including casuals, students and volunteers) undertake health and safety orientation training?					
	Have you undertaken health and safety orientation training?					
	Have you received health and safety training, when was this and what was covered by that training?					
	Are participants assessed or quizzed to ascertain their knowledge from health and safety training?					
	What tasks related to job descriptions/analysis have been identified as having specific requirements impacting on health and safety (e.g. colour blindness)?					
	Has a procedure been established for the engagement of sub-contractors used by the organisation (e.g. tenders, evaluation of contractor's performance, orientation training, etc.)?					
	How are contractors advised about the Health and Safety Policy Statement?					
	Are hazard/safety inspections being regularly conducted in the workplace?					
	Have you received training on how to conduct a hazard/safety inspection or risk assessment?					
	Do you actively encourage and assist with the assessment of risks?					
	Are you promptly informed of any workplace incidents?					
	Is there a Safety Problem/Issue Reporting Investigation form?					
	Do you ensure that incidents, accidents and injuries at your work areas are investigated?					
	Have you received training for the investigation of incidents?					
	Are there reporting requirements to Ministry of Labour?					
	Is there a system for employees to undertake health monitoring (e.g. ergonomic assessments, Hepatitis A & B, etc.)?					
	Have you attended emergency procedure training in the last 12 months?					
	Have you participated in an emergency evacuation drill in the last 12 months?					
	What would you do in the event of a bomb threat?					
	Is First Aid available in your organization?					
How would you rate your workplace in terms of a safe workplace?						
		(a) Excellent				
		(b) Very Good				
		(c) Good				
		(d) Fair				
		(e) Poor				

	Does your organization provide EAP services for its employees and families?					
	Is there a Workplace Wellness Program at your facility?					
	If yes, please describe:					



Risk Management

		Y	N	P	N/A	COMMENTS
	Is there a Risk Management program that serves as a mechanism for effecting corrective action to reduce or eliminate identified potential losses?					
	Is there documented Board approval for the program?					
	Are there risk management related committees?					
	Is there integration among Risk, Quality and Patient Safety and Employee Safety?					
	If yes, are there regular reports to:					
	- health & safety					
	- employee incidents					
	- infection control					
	- medication management					
	- quality assurance					
	- other					
	Are there credentialing processes in place?					
	Is there are formal mechanism for reporting risk management activities to the Board on a regular basis?					
	Is the person responsible for risk management advised immediately of any potential medical/legal incident?					
	Is one person designated as the individual to accept service of any Statement of Claim?					
	Are Quality reviews held?					
	<b>Incident Reporting:</b>					
	Is there a policy for the reporting of all incidents?					
	If yes, does the policy require:					
	- Copy of report sent to person responsible for risk management immediately?					
	- Assessment of all incidents and follow up?					
	- Securing/safe-keeping of information and equipment following an incident?					
	- Review of incidents to ensure corrective action taken?					
	- Results reported to Board where appropriate?					
	- Monitoring for possible trends?					
	<b>Medication management:</b>					
	Are the results of medication incidents reviewed and corrective action taken?					
	Is there a policy re the reporting of all adverse drug reactions?					
	Is there a system in place for medication reconciliation?					
	Is there a policy/protocol regarding Dangerous abbreviations?					
	<b>Contracts:</b>					
	Has the responsibility for contract (and affiliation agreement) review and analysis					

	Y	N	P	N/A	COMMENTS
been delegated?					
Is there a standardized procedure for contract review and analysis?					
Does the procedure address:					
- Proof of adequate liability insurance coverage?					
- Proof of WSIB coverage (i.e. clearance certificate)					
- A hold harmless or mutual hold harmless indemnity clause/agreement?					
- Access to legal advice where appropriate?					
- Quality assurance/risk management requirements for any purchased services?					
- Qualifications/credentials of purchased services staff?					
Are "professional" contracts reviewed by a knowledgeable person?					
Are copies of all contracts kept on file?					
<b>Maintenance and Equipment:</b>					
Is there a policy re the early identification and reporting of maintenance requirements (e.g. broken/damaged equipment)?					
Are there monthly workplace safety inspections?					
Is there a preventative maintenance program in place?					
Is there a policy for the acquisition of both capital and non-capital equipment?					
If yes, does the policy require that all such equipment be inspected for CSA and if necessary tested?					
Is there a policy re the lending and borrowing of equipment?					
<b>Policies, Procedures, Guidelines and Protocols:</b>					
Is there a policy/process regarding disclosure of adverse events?					
If yes, has staff received training on the process?					
Are Universal Precautions/Body Substance Precautions/Standard Precautions in place?					
Are the infection control policies and procedures that meet international, federal and/or provincial infection control guidelines?					
Is there a policy regarding the taking of photographs if photographs are taken?					
Are new and revised policies/procedures circulated to all staff?					
When a policy is revised/replaced, is a copy of the old policy retained?					
Is staff compliance with policies monitored?					
If there is a mental health program, is there a suicide prevention program?					
<b>Patient Safety:</b>					
Is there a Corporate Safety Plan?					
Is staff aware of their role in patient safety?					

	Y	N	P	N/A	COMMENTS
Is it part of the performance appraisal system?					
Is it in job descriptions?					
Are treatment plans developed for each patient when required?					
<b>Privacy/Confidentiality:</b>					
Is the "Ten Principles of Privacy" Poster Displayed?					
Are Privacy and Lock Box policies in place and are there brochures available?					
Are there policies that address issues such as:					
- locking of filing cabinets					
- computers locked when unattended					
- confidential shredding bins					
- staff completed privacy training					
- fax, printers, mail security					
<b>Complaints/Compliments:</b>					
Is staff encouraged to report complaints/compliments in accordance with the facilities policies?					
Is the person responsible for risk management advised of complaints?					
Is data provided to the Board including follow up?					
<b>Safety/Security:</b>					
Are there policies that address the personal security of patients, staff, visitors?					
Has a Violence in the Workplace assessment been completed?					
Are policies in place that address "violence in the workplace" including "domestic violence"?					
Are there policies that address the security and confidentiality of health information?					
Are there training programs for staff in personal safety?					
Are they trained to avoid/manage potentially violent situations?					
<b>Accreditation Canada – Required Organizational Practices – respond to those applicable to your organization</b>					
<b>Note: for those considering Accreditation</b>					
<i>Has the organization included patient safety as a written, strategic priority or goal?</i>					
<i>Is at least one (1) FMEA (Failure Mode Effects Analysis) carried out annually?</i>					
<i>Are there quarterly reports to the board on patient safety including changes/improvements following incident investigation and follow up?</i>					
<i>Is there information and education for patients and families about their role in</i>					

	Y	N	P	N/A	COMMENTS
<i>promoting safety, using both written and verbal communication?</i>					
<i>Are there verification processes and other checking systems for high risk activities?</i>					
<i>Are there processes/protocols in place for the transfer of information effectively among providers at transition points?</i>					
<i>Are there at least two (2) patient identifiers prior to doing high risk procedures?</i>					
<i>Is there a falls prevention strategy where appropriate? (including DI and Lab)</i>					
<i>Are infection rates tracked, and analyzed to identify trends?</i>					
<i>Is the information shared with the organization?</i>					
<i>Are there policies and procedures to address the administration of influenza vaccine to:</i>  <ul style="list-style-type: none"> <li>• patients</li> <li>• staff</li> </ul>					
<i>Are there policies and protocols related to the administration of the pneumococcal vaccine?</i>					
<i>Is there education/training for staff, providers and volunteers on hand washing and hand hygiene?</i>					
<i>Are hand hygiene audits conducted?</i>					
<b>Other:</b>					
<i>Is an informed consent process in place and used?</i>					
<i>Documentation – are there processes, protocols in place and used so that documentation standards are met?</i>					
<b>Governance:</b>					
<i>Is the Board aware of its' roles, responsibilities and accountabilities with respect to Workplace Health &amp; Safety and Risk Management?</i>					
<i>Does the Board have Conflict of Interest policies and, if so, is compliance measured? If so, please state how.</i>					
<i>Does the Board regularly conduct a self assessment of its activities?</i>					
<i>Does the Board have an annual workplan?</i>					
<i>Is there a strategic plan?</i>					

Comments:

## DOCUMENTS TO BE CONFIRMED/REVIEWED

**Location:** \_\_\_\_\_ **Date of Audit:** \_\_\_\_/\_\_\_\_/\_\_\_\_

This chart is to be used to make notes of any information that may be displayed (on noticeboards or around the Workplace) that you need to view.

Please Tick



Information	Comments			
Health and Safety Policy Statement				
Health & Safety Policies (Note those approved by Steering Committee Members)				
Disability/Illness Policy				
Infection Control Policies (Note those approved by Steering Committee Members)				
Health and Safety Committee minutes				
Emergency contacts				
Emergency Plan				
Health and Safety Issue Resolution Process				
Health & Safety Programs e.g. WHMIS				
Health & Safety Training				
Infection Control Training				
Name of Person responsible for Safety				





## HEALTH, SAFETY AND RISK MANAGEMENT

### EMPLOYEE HEALTH & SAFETY – QUESTIONNAIRE

NAME	OCCUPATION / POSITION	LOCATION	DATE

**All answers received in reply to the relevant questions you ask, need to be clarified. This means it is not just simply a 'Yes' or 'No' answer. To tick (✓) 'Yes' they must have a fairly good understanding of the relevant process.** (Example Question: Has an overall Management Plan or system been established for WH&S? If the answer is 'Yes' ask 'What does this contain?') P = Partial; N/A = not applicable

	Y	N	P	N/A	COMMENTS
Have you seen the Health and Safety Policy Statement?					
Do you know the intent of the Health and Safety Policy Statement?					
Do you know your health and safety legislative obligations?					
Are you aware if there is an annual Health and Safety Plan?					
Is Workplace Health & Safety performance (trends) regularly discussed with you?					
Is there a person responsible for health and safety?					
Does the person responsible for health and safety have the time to adequately handle individual employee health and safety concerns raised with them?					
Are you consulted on any changes to the workplace that may affect health and safety?					
How do you receive health and safety information?					
Where would you locate relevant health and safety documents?					
Were the health and safety procedures /instructions developed in consultation with yourself?					
Are reports from health and safety audits/inspections/assessments discussed with you?					
If there is a Health & Safety Committee, do you have access to the minutes or are they discussed with you?					
Has a Training Needs Analysis (TNA) been undertaken to identify mandatory and risk based training you require?					
Have you undertaken health and safety orientation training?					
Do you attend team or toolbox talks?					
Are you assessed or quizzed to ascertain your knowledge from health and safety training?					
Is adequate refresher training provided?					
Are you aware of hazard/safety inspections being regularly conducted in the workplace?					
Have you received training on how to conduct a hazard/safety inspection or risk assessment?					
Do you or have you participated in the hazard/safety inspection and/or risk assessment process?					
What steps would you take if you saw a Health and Safety Issue? Is there an H & S Resolution Process?					
Do you promptly inform your supervisor of any workplace incidents?					
Is there a Safety Problem Reporting Investigations form?					
Have you been informed on the use, storage, and disposal of hazardous substances and dangerous goods?					
Are Material Safety Data Sheets (MSDS) available to you?					

		Y	N	P	N/A	COMMENTS
	Have you received training on Material Safety Data Sheets (MSDS)?					
	Are you aware of how chemicals must be stored?					
	If you were going to decant a substance into a smaller container or spray container, what requirements would you consider?					
	Are you aware of how to dispose of waste including contaminated waste/medical waste?					
	Do you sign for your PPE when it is issued to you or replaced?					
	Do you know how to use, store, maintain and replace the PPE issued to you?					
	Is there a system of placing "Out of Service" tag on faulty tools, equipment, plant and machinery?					
	Have you attended emergency procedure training in the last 12 months?					
	Have you participated in an emergency evacuation drill in the last 12 months?					
	What would you do in the event of a bomb threat?					
	Is first aid available to you?					
	Do you have access to first aid kits or first aid supplies?					
	Have you received training on how to handle sharps/needles?					
How would you rate your workplace in terms of a safe workplace?						
	(a) Excellent					
	(b) Very Good					
	(c) Good					
	(d) Fair					
	(e) Poor					

Comments:

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