**Instructions for Validating Due Diligence:**

The criteria for establishing due diligence apply to any employer involved in a project. Project Managers and Contract Managers may be assigned to ensure that due diligence is validated through verifying specific health and safety policies, procedures, checklists, and processes are developed and provided from contractors.

A due diligence checklist may be completed and repeated at different intervals in the project:

* When reviewing contractor proposals.
* Once a contractor is hired to confirm their health and safety plan elements are comprehensive of OHS obligations and project needs.
* When reviewing the written agreement, there may be specific elements that must be met to reduce risk, (tying back to the acceptable risk tolerance).

When a Prime Contractor is identified, then additional due diligence checklists for Transferring Prime or Retaining Prime are developed to assist Project Managers and Contract Managers ensure additional documents and processes specific to Prime Contractor role is validated as part of the due diligence check.

The due diligence checklists above are not exhaustive and are meant to help determine if there is sufficient documentation to show how due diligence has been met for the hiring employer.

Work through each section of the Contracting Employer’s Health and Safety Plan and supporting documents to validate the specific processes are in place. Confirming processes are in place helps to verify the Contracting Employer’s capability to fulfill their OHS obligations. Additional reviews of the monitoring the health and safety plan implementation may require reviewing the negotiated responsibilities and ensuring the documented activities are being completed as per the policies and procedures.

|  |  |
| --- | --- |
| Contracting Employer Monitoring Due Diligence Checklist | |
| * Policies written for Health & Safety Policy, Hazard Assessments, Workplace Harassment & Violence Prevention, Disciplinary Actions, Investigations, Training and Orientation policy, and any additional policies and procedures developed for project specific requirements. | * Specific roles and responsibilities written for management, supervisory, workers, contractors, prime contractors, visitors and volunteers, health and safety committee/representatives/contacts. |
| * OH&S related budget items and purchase orders and responsibilities for ensuring services or supplies contracting party are pre-qualified. | * Meeting schedules and responsibilities of Prime, Contracting Employer, Owner, Employer, Workers. |
| * Communication plan for internal and external reporting needs. | * Subcontractor pre-qualification documents * Prime Contractor to transfer / retain process and due diligence checklists are completed. |
| * General orientations for contracting employers, prime contractors completed. | * Worker formal training requirements, (i.e., Confined Space training, H2S, Fall Protection, first aid trained personnel, etc.). |
| * Emergency response plan and record of drills and any resulting improvements. | * Leading and lagging indicators to measure performance evaluations. E.g., Statistics on the frequency and severity of incidents, statistics on corrective actions implemented, repeated corrective actions implemented, etc. |

|  |  |
| --- | --- |
| Monitor Project Site Safety Due Diligence Checklist | |
| * Records of meetings and crew talks where safety issues were discussed, (i.e., Toolbox meetings, general health, and safety meetings). | * Records of project kick-off meeting with owner and contracting employer, as well as on-going communication. |
| * Joint H&S Committee meeting reports showing steps taken to address health and safety issues, (if present on job site). | * Prime Contractor assigned Person to coordinate health and safety written reports, attending meetings, completing assigned follow up actions, (if Prime designated for project). |
| * Records showing use of progressive discipline to enforce safety rules and written safe work procedures. | * On-going orientation records completed for new/transferred workers, sub-trades hired for project site work activities, sign in/out processes followed. |
| * On-going of records of worker/supervisor training showing the date, names of attendees and topics covered (e.g., Lockout, WHMIS, Hazard Assessments, Inspections, etc.) | * Hazard control processes and specific safe work procedures and codes of practices developed. |
| * Hazard identification, risk assessed, and controls identified and implemented, formal and field level hazard assessments documented, and workers trained on processes. | * Sampling and monitoring records of exposures to harmful substances to determine on-going hazard control assessments. |
| * Forms and checklists showing the employer requires workers to follow safe work procedures, (e.g., confined space entry permits). | * Completed hazard monitoring, (may be a separate report or included in formal inspections). Supervisor logs/notebooks follow up actions completed. |
| * Inspection reports, formal and pre-use inspection records and checklists, and records of corrective actions taken to solve problems. | * Any stop/start/resume or change orders completed. Completed as per policy and procedures, communicated, re-inspected, and signed off approvals done. |
| * Preventative maintenance policy and procedures, maintenance schedules developed and records of completed preventative maintenance. | * Equipment logbooks and maintenance records, pre-use and when required 3rd party safety inspections, (fire extinguishers, engineering inspections, etc.) |
| * First aid records, identified first aid personnel meeting legislation requirements, first aid training certificates, hearing tests, pulmonary tests (SCBA) and respiratory fit testing. | * Emergency plans and contact lists updates communicated. * Emergency response drill or table topic reviews documentation. |
| * Incident investigation reports and records of corrective actions taken to solve problems. | * Reporting to OHS, regulatory authorities, utility owners, responding to public inquiries and complaints completed as outlined in reporting responsibilities. |