



INITIAL RISK MANAGEMENT SELF-ASSESSMENT

Company Name: _____
Address: _____
City: _____ State: _____ ZIP: _____
SIC Code: _____ # of Employees: _____
Name: _____
Title: _____
Date: _____

Describe your operations.

SAFETY DIRECTOR/RISK MANAGER

- 1.1. Has someone been designated safety director?
- 1.2. Have the duties been listed on the job description?
- 1.3. How is this person held accountable/measured?

A WORKPLACE ACCIDENT AND INJURY PROGRAM (AWAIR)

- 2.1. Does the SIC code appear on the AWAIR list?
 - 2.1.1. If so, is a written AWAIR program in place?
 - 2.1.1.1. Responsibilities & Duties
 - 2.1.1.2. Accident Investigation
 - 2.1.1.3. Hazard Prevention and Control
 - 2.1.1.4. Communication
 - 2.1.1.5. Enforcement
 - 2.1.1.6. Annual objectives
 - 2.1.2. Has AWAIR training been provided to employees?
 - 2.1.3. Is the written AWAIR program reviewed annually and documented?

SAFETY COMMITTEE

- 3.1. Does the facility need a safety committee as required by MN 182.676?
- 3.2. How often are meetings held?
- 3.3. Do other employees select employee representatives?
- 3.4. What committee management tools are used to make the committee more effective?
 - 3.4.1. Published schedule?
 - 3.4.2. Agenda?
 - 3.4.3. Minutes?
 - 3.4.4. Member orientation/training?
- 3.5. How are committee activities communicated to the general employee population?

RIGHT-TO-KNOW / HAZARD COMMUNICATION PROGRAM

- 4.1. Does the business have a written plan?



- 4.2. In Minnesota, does the plan address physical, and infectious agents?
- 4.3. Is there a labeling system for secondary containers?
- 4.4. Where are the MSDS located?
- 4.5. How are the MSDS organized?
- 4.6. Is the inventory complete?
- 4.7. Have all employees been trained (annually in Minnesota)?

CONFINED SPACE ENTRY

- 5.1. Does the facility contain confined spaces as defined by 1910.146 (b)?
- 5.2. Has a qualified individual assessed the facility for confined spaces?
- 5.3. Has a written Confined Space Entry program been put into place?
- 5.4. Will employees be expected to enter confined spaces? If yes-
 - 5.4.1. Are confined spaces labeled or otherwise communicated to employees?
 - 5.4.2. Has a Confined Space Entry training program been conducted?
 - 5.4.3. Are rescue employees provided with First Aid/CPR training?

FIRE PROTECTION

- 6.1. Are employees expected to use fire extinguishers in the event of a fire?
 - 6.1.1. If so, do employees receive training on the use of fire extinguishers?
- 6.2. Are overhead sprinkler systems checked on an annual basis by an outside fire professional?
- 6.3. Does the business have a written Fire Prevention Plan as required by 1910.38(b)?
 - 6.3.1. Does the plan list major workplace fire hazards and their control?
 - 6.3.2. Does the plan list those responsible for control of fuel source hazards?
- 6.4. Is there heat producing equipment with equipment or systems to prevent ignition?
 - 6.4.1. If so, are maintenance procedures documented and part of the written fire prevention plan?

EMERGENCY ACTION PLANS (EAP)

- 7.1. Does the facility have a written Emergency Action Plan that addresses reasonably anticipated emergencies (fire, toxic chemical release, tornado, blizzard, flood, etc)?
 - 7.1.1. Does the plan address emergency escape procedures, and emergency escape route assignments?
 - 7.1.2. Does the plan list procedures to follow by employees who remain to operate critical plant operations before they evacuate?
 - 7.1.3. Does the plan list procedures to account for all employees after emergency evacuation has been completed?
 - 7.1.4. Does the plan list procedures to account for all employees after emergency evacuation has been completed?
 - 7.1.5. Does the plan list rescue and medical duties for those employees that are to perform them?
 - 7.1.6. Does the plan list the preferred means of reporting fires and other emergencies?



- 7.1.7. Does the plan list the names or regular job titles of persons or departments who can be contacted for additional information on the plan?
- 7.2. How is an emergency communicated to company personnel?
- 7.3. Have sufficient employees been trained to assist in the orderly evacuation?
- 7.4. Has training been provided:
 - 7.4.1. Initially when the plan was developed?
 - 7.4.2. When changes in the employee responsibilities?
 - 7.4.3. When plan changes are made?

BLOODBORNE PATHOGENS

- 8.1. Is there an occupational exposure for your employees to be exposed to blood-borne pathogens?
- 8.2. Is there a written blood-borne pathogens program in place?
- 8.3. Is there a first aid team in place?
- 8.4. How do you handle cleanup of a surface containing blood or other bodily fluid?

PERSONAL PROTECTIVE EQUIPMENT

- 9.1. Is there a written Personal Protective Equipment (PPE) program in place?
- 9.2. Has the workplace been surveyed (Hazard Assessments) to determine the potential hazards?
- 9.3. Have the PPE selection criteria been documented?
- 9.4. Have employees received proper training in the use of the PPE?

POWERED INDUSTRIAL TRUCKS/FORKLIFTS

- 10.1. Is there Powered Industrial Trucks/Forklift program in place?
- 10.2. Have all effected employees received training? (Both classroom and “hands on training”)
- 10.3. Is the training documented?

RESPIRATORY PROTECTION PLAN

- 11.1. Is a written standard operating procedure in place for the use of respirators in this work place?
- 11.2. Is there written evidence of training?
- 11.3. Have employees received “fit-testing?”
- 11.4. Have affected employees received medical monitoring?

LOCK-OUT/TAG-OUT

- 12.1. Have employees received training in the control of potentially hazardous energy when engaged in activities covered by this regulation?
- 12.2. Are documented procedures in place for each piece of equipment?
- 12.3. Are locks and tags available to effected employees?
- 12.4. Has the employer conducted a periodic inspection of the energy control procedures at least annually to ensure that the procedure and requirements of the standard are being followed?

HEARING CONSERVATION

- 13.1. Has a noise survey been completed and documented?



- 13.2. Is there a written hearing conservation program in place?
- 13.3. Are any employees exposed to noise above 85 dBa?
- 13.4. Are any employees exposed to noise above 90 dBa?
- 13.5. Have appropriate hearing protection devices been selected?
- 13.6. Have employees received training and is this training documented?

CONTROL OF IONIZING RADIATION

- 14.1. Is there any potential for exposure to ionizing radiation in the work place? (Industrial x-rays etc.)
- 14.2. If so, is there a radiation control program in place?

INDUSTRIAL HYGIENE/MEDICAL MONITORING PROGRAM

- 15.1. Is there a potential for exposure to toxic materials?
- 15.2. Has any sampling or exposure testing been completed and documented?
- 15.3. Is there a written medical monitoring program in place?
- 15.4. Is there any potential for heat stress and if so, is there a written program or policy in place?

LIGHT DUTY / RETURN-TO-WORK PROGRAM

- 16.1. Does the company have an assigned clinic, or panel of physicians?
- 16.2. Is there a written policy with job list?
- 16.3. What procedures are in place to follow-up with injured employees?
- 16.4. Is a Return-To-Work authorization form used?

EMPLOYEE TRAINING

- 17.1. What kind of formal training is provided to new employees?
- 17.2. How is all training documented?
- 17.3. How often is safety training provided?
 - 17.3.1. By whom?
 - 17.3.2. What topics?

FLEET

- 18.1. Does the company have trucks over 10,000?
 - 18.1.1. Do they have driver qualification files?
- 18.2. Does the company have trucks over 26,000 pounds?
 - 18.2.1. DOT Drug Testing Program?
- 18.3. Is there a driving policy in place?
- 18.4. What type of MVR Standards does the company have?
 - 18.4.1. Who reviews MVRs?
 - 18.4.2. How often?
- 18.5. What type of driver training is provided (initially and refresher)?
- 18.6. How often is maintenance performed?
 - 18.6.1. How is it tracked or documented?



ERGONOMICS

- 19.1. Have any ergonomic tasks assessments been complete?
- 19.2. Has ergonomics awareness training been provided to employees?
- 19.3. How are ergonomics considerations incorporated into purchases and new processes?
- 19.4. Is there an ergonomics team?
 - 19.4.1. Does the safety committee address ergonomics?

TOOLS AND EQUIPMENT

- 20.1. Describe the equipment maintenance program.
- 20.2. Who is responsible for ensuring maintenance is completed?
- 20.3. Is surge protection provided for computer operated equipment?
- 20.4. Describe the inventory control procedures for tools.
- 20.5. Has machine guarding been evaluated?
 - 20.5.1. By Whom
 - 20.5.2. When?

HIRING PRACTICES

- 21.1. How do you advertise for employees?
- 21.2. Who does the interviewing?
- 21.3. What type of background checking is performed?
 - 21.3.1. MVRs
 - 21.3.2. Pre-Employment Physical
 - 21.3.3. Pre-Employment Drug Test
 - 21.3.4. Criminal Background Check
 - 21.3.5. Aptitude Test/Personality Test
- 21.4. If pre-employment testing, is a conditional offer of employment used?
- 21.5. Is the interview patterned (standard interview questions)?
- 21.6. What references are checked?
 - 21.6.1. Who does it and how is it documented?

HARASSMENT/DISCRIMINATION

- 22.1. Is there an employee handbook?
 - 22.1.1. When was it last updated?
 - 22.1.2. Did an attorney review it?
- 22.2. Does the firm have a harassment/discrimination policy?
 - 22.2.1. How is it communicated?
 - 22.2.2. Is there formal training to review the policy?
 - 22.2.2.1. How often?
 - 22.2.3. Do employees sign an acknowledgment?
- 22.3. Are performance reviews performed?
 - 22.3.1. Who does them?



- 22.3.2. How often?
- 22.4. Has there been any past wrongful termination allegations?
- 22.5. Are there job descriptions listing essential job duties?

SECURITY – CRIME PREVENTION

- 23.1. Is there a safe on premises?
 - 23.1.1. Drop safe or time release?
- 23.2. Are there cameras with videotape?
- 23.3. Are dead bolts provided at each exit?
- 23.4. Are there latch plate covers over spring locks on outward opening doors?
- 23.5. Is the amount of cash on premises limited?
- 23.6. Are checks stamped “For Deposit Only”
 - 23.6.1. When?
- 23.7. Are daily bank deposits made?
 - 23.7.1. By Whom?
 - 23.7.2. What time of day?

WELDING AND CUTTING

- 24.1. What type is performed?
- 24.2. Proper storage of cylinders?
- 24.3. Portable partitions or other partitions provided?
- 24.4. What type of PPE is required/provided/used?
- 24.5. Local ventilation provided?
- 24.6. Any welding of toxic materials (chromium, nickel, beryllium/ copper, etc.)?
- 24.7. Adequate clearance to combustibles?
- 24.8. Adequate fire extinguishers?
- 24.9. What types of training or experience do employees have/receive?
 - 24.9.1. Any special certifications?

RECORD KEEPING/POSTINGS

- 25.1. Are five years of OSHA 200/300 logs on file?
- 25.2. Is the OSHA Poster posted?
- 25.3. Are emergency numbers and hospital locations posted?
- 25.4. Are capacities of mezzanine storage areas posted?
- 25.5. Are exits identified?
- 25.6. How are training meetings documented?

TRENCHING/EXCAVATION

- 26.1. Describe trenching operations?
- 26.2. Who is the competent person(s)?
- 26.3. What tests are performed to classify soil types?
- 26.4. What types of shoring or trench boxes are used?



26.5. What type of training is provided to all employees?

SCAFFOLD

27.1. What type of scaffolding is used?

27.2. What type of planking is used?

27.3. Who is the competent person(s)?

27.4. How is the daily inspection documented?

27.5. What type of training has been provided?

27.5.1. For the competent person?

27.5.2. For the users?

27.6. How high are scaffold constructed?

27.6.1. If over 4:1 how are they restrained from tipping?

AERIAL LIFTS

28.1. What types are used?

28.2. For boom lifts, are harnesses provided and used?

28.3. Is the operator's manual kept with the lift?

28.4. Is a daily inspection performed?

28.5. What training has been provided for the users?

FALL PROTECTION

29.1. Is any worked performed requiring the use of fall protection systems?

29.2. What types of fall protection systems are used?

29.3. What training has been provided for employees?

29.4. Is there a written fall protection plan in place?

LADDERS

30.1. Are ladders provided to employees?

30.2. What type (metal, fiberglass, wood) and what ratings (IA, I, II or III)?

30.3. Has training on ladders been provided to employees?

ELECTRICAL

31.1. Is GFCI provided on construction sites and for wet areas?

31.2. How often are cords inspected?

31.3. What training has been provided to employees?

31.4. Safe electrical work practices for energized circuits?

For more information or assistance, contact RJF Agencies at 763-746-8000 or 800-444-3033.

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