



Periodic Health and Safety Audit Benefits

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Introduction

- Establishing a voluntary audit program
- Objectives and benefits of health and safety audits
- Best practices for planning and implementing audits
- Common health and safety audit findings and potential corrective actions
- Play “You Are The Auditor”
- OSHA Policy on Voluntary Employer Safety & Health Self-Audits



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Establishing A Voluntary Audit Program

- Develop and implement an audit procedure
- Determine:
 - Objective(s) of the audit program – Why audit?
 - Scope of the audit program
 - Makeup of the audit team
 - Frequency and duration of the audits
- Develop audit protocols



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Why Audit?

- Assess the overall (or partial) compliance with applicable regulatory requirements, company policies, and best management practices
- Avoid repeat/prolonged noncompliance
- Reduce potential for governmental enforcement actions, and reduce or avoid penalties
- Reduce potential for third-party lawsuits
- Demonstrate satisfactory or improved safety performance to senior management, board of directors, and major customers



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Why Audit? (continued)

- Satisfy requirements of ISO 14001, Evaluation of Compliance
- Perform as part of a compliance settlement
- Educate and train staff on applicable health and safety requirements
- Identify opportunities for eliminating hazards from workplace and reducing injuries
- Communicate a particular site's best practices throughout the company
- Process Safety Management (1910.119(o))
 - Requires a compliance audit at least every three years



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Enhance Safety Culture

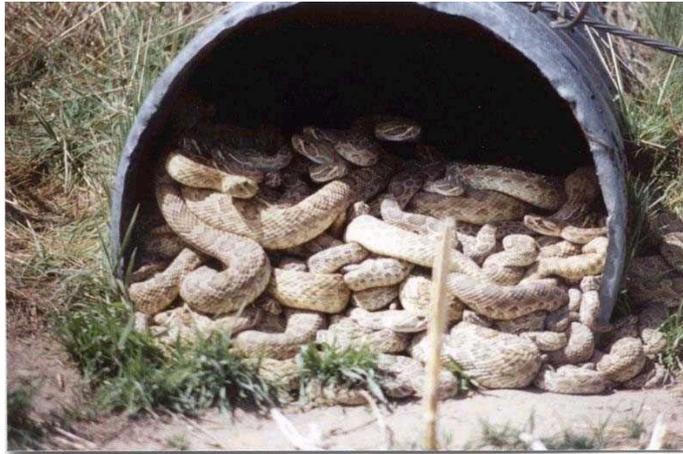
- Assess compliance
- Evaluate communication strategies
- Discuss with staff – follow through?
- Gauge implementation



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No Surprises!



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Scope Of An Audit Program

- Determine scope of regulations and company procedures to be audited
- Determine types of facilities, operations, and equipment to be audited:
 - Facilities owned and operated
 - Facilities operated on leased land
 - Contractor-managed areas within a facility
 - Warehouses and distribution centers
- If resources are limited, consider focusing on the operations or equipment posing the greatest risks



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Top 10 Most Frequently Cited OSHA Standards For FY 2018

1. Fall Protection, Construction (1926.501)
2. Hazard Communication, General Industry (1910.1200)
3. Scaffolding, Construction (1926.451)
4. Respiratory Protection, General Industry (1910.134)
5. Lockout/Tagout (1910.147)
6. Ladders, Construction (1926.1053)
7. Powered Industrial Trucks, General Industry (1910.178)
8. Fall Protection – Training Requirements (1926.503)
9. Machine Guarding – General Requirements (1910.212)
10. Personal Protective and Lifesaving Equipment – Eye and Face Protection, Construction (1926.102)



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OSHA's Multi-Employer Citation Policy

- Creating employer: employer that caused a hazardous condition that violates an OSHA standard
- Exposing employer: employer whose own employees are exposed to the hazard
- Correcting employer: employer who is engaged in a common undertaking, on the same worksite, as the exposing employer and is responsible for correcting a hazard
- Controlling employer: employer who has general supervisory authority over worksite, including the power to correct safety and health violations itself or require others to correct them



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Audit Team Members

- An audit team might include:
 - Senior management
 - Audit program manager
 - Legal department and/or outside counsel
 - Facility manager
 - Facility HES manager(s)
 - Operations and maintenance manager(s)
 - Engineers
 - Auditors
- Audit procedure should define roles/responsibilities



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Frequency And Duration Of Audits

- Audit frequency and duration varies
- When establishing frequency and duration, consider:
 - Types of materials handled by the facility
 - Age of the facility
 - Complexity of the operations
 - Company's compliance history
 - Location of the facility
 - Past audit results



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Develop Audit Protocols

- A “protocol” is essentially a checklist used by the auditors as guidance for conducting the audit
- Focus on purpose of audit
- Comprehensive or focused?
- Can be time consuming to develop
- May consider purchase of protocols
- State focused, Federal OSHA, International Requirements



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Pre-Audit Process

- Establish scope of audit
- Establish audit team
- Define timeline of audit
- Conduct conference calls with audit team
- Review company's procedures
- Search records and review compliance history
- Review reports and corrective action plans from any prior audits
- Conduct pre-audit walkthrough(s)



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Site Visit

- Conduct opening conference
- Provide current site map (e.g., Google satellite image) identifying buildings and operations
- Perform site tour
- Review site's programs and records on site
- Develop preliminary findings and discuss with facility management and staff
- Conduct final closing conference



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Example Types Of Safety Records



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Audit Report

- Document audit process and findings in a written report (optional: includes BMPs)
- Be specific with respect to the locations and equipment at issue
- Written after verifying findings
- Discuss the audit findings with corporate and site personnel before finalizing the report
- Provide management and legal counsel an opportunity to review and comment



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Common Health And Safety Findings

- Fire extinguishers missing, without proper signage or not routinely inspected
- Chemical labeling missing or inadequate
- Condition of walking-working surfaces creating a potential for trip and fall



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Common Health And Safety Findings

- Fall protection missing or inadequate
- Eye wash/shower stations missing, in poor condition or not routinely inspected
- Exit signs missing or not sufficiently illuminated



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Common Health And Safety Findings

- Compressed gases not secured while being stored, or stored improperly
- Missing, inadequate or damaged guarding on machines or tools
- Electrical panels with missing or inadequate labels, or material blocking access



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Common Health And Safety Findings

- Potential permit-required confined spaces not on inventory or lacking proper signage
- Permits missing, incomplete, or not signed off (e.g., confined space entry permits, safe work permits, LO/TO permits)



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Common Health And Safety Findings

- Medical testing not completed for all employees required to be tested
- Safety training not completed for all employees required to be trained, or inadequate



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Common Health And Safety Findings

- Housekeeping Issues creating trip hazards
- Flex cords in poor condition or used as permanent
- Powered Industrial Vehicles in poor condition or lacking pre-use inspections
- Lifting equipment in poor condition or lacking inspections



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Systemic Findings

- This is the real value in auditing
- Helps a facility understand where blind spots exist
- Think programmatically
- Plant floor – signage – plan completion – training – implementation



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You Are The Auditor



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You Are The Auditor



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After Audit: Corrective Action Plans

- Findings should be promptly corrected; more quickly for high priority findings
- Assign priorities based on level of risk and number of similar findings
- Establish short- and long-term corrective actions
- A good tracking system is key
- Establish procedure for extending due dates



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OSHA Policy On Voluntary Employer Safety & Health Self-Audits

- 65 Fed. Reg. 46498
- Proposed policy statement published in 1999
- Final Policy (**not formal rule**) published in 2000
- Policy's purpose:
 - Recognize the value of voluntary self-audits
 - Encourage "appropriate, positive treatment"



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Four Components Of Policy

- (a) OSHA will refrain from **routinely requesting reports** of voluntary self-audits at initiation of an enforcement inspection
- (b) OSHA will **refrain from issuing a citation** for a violative condition an employer has discovered through a voluntary self-audit and has corrected prior to the initiation of an OSHA inspection (or a related accident, illness, or injury that triggers the inspection) **if employer also has taken appropriate steps to prevent recurrence of the condition**



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Four Components Of Policy (continued)

- (c) It contains a **safe-harbor provision** under which, if employer is responding in **good faith** to violative condition identified in a voluntary self-audit report, and OSHA discovers violation during enforcement inspection, **OSHA will not treat that portion of the report as evidence of willfulness**
- (d) It describes how an **employer's response to a voluntary self-audit may be considered evidence of good faith**, qualifying employer for a substantial civil penalty reduction, when OSHA determines a proposed penalty



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Disclosure Of Self-Audit Results

- Policy aims to clarify the positive treatment of voluntary self-audits, not to impose additional requirements on employers
- Attorney-Client Privilege provides some limited protection for audit documents



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Audit Program Evaluation

- Evaluate the audit program periodically
 - Identify high priority and repeat findings
 - Identify potential corporate-wide issues
 - Identify best practices to share with other sites
 - Evaluate timeliness of corrective action plans
 - Evaluate potential improvements to audit program
 - Update the audit program materials



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Summary

- Develop a voluntary audit program that achieves your company's objectives
- Establish procedures and controls to maximize protection from disclosure
- Maintain communication with audit team throughout the audit process
- Ensure audit findings are documented in a written (dull) report; avoid speculations and unnecessary conclusions
- Develop and implement corrective action plans in good faith; take action promptly and fully to minimize potential recurrence



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Thank You! Questions?



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