

# Assessing Safety and Health Management Programs



# **ASSESSING SAFETY & HEALTH MANAGEMENT PROGRAMS Individual Assessment Guide**

## **ACKNOWLEDGMENTS**

The Illinois Onsite Consultation Program developed and produced this Assessment Guide. This document along with safety and health consultation services are provided at no cost to owners, proprietors and managers of small businesses by the Onsite Safety and Health Consultation Service, under a program funded largely by the Occupational Safety and Health Administration (OSHA), an agency of the U.S. Department of Labor. The service is provided without penalty or citations to any employer who requests consultation.

This document has been developed by Rita Mosley, CHCM, CSP and edited by Nancy Quick, CIH, CSP and Mica Torricelli. It is intended to assist employers, workers and others as they strive to improve health and safety. This information can be used as a tool for addressing effective safety programs.

The Consultation Program offers a variety of safety and health services to employers, such as no-cost, confidential on-site safety and health, and ergonomic assistance to Illinois employers for help in recognizing and correcting safety and health problems in their workplaces. Our consultants can also introduce you to the Safety & Health Achievement Recognition Program (SHARP).

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## INTRODUCTION

The Occupational Safety and Health Act of 1970 (OSHAct) obligates each employer to provide and maintain a safe and healthful workplace for all employees. To meet this obligation, employers need to effectively manage safety and health in the workplace. This manual describes those essential elements and actions necessary for designing an effective and functioning workplace program. Essential elements and actions are:

### 1. Management Leadership and Employee Involvement (pages 5 through 22)

<ul style="list-style-type: none"><li>• Having a Safety and Health Policy</li></ul>	<ul style="list-style-type: none"><li>• Maintaining Visible Leadership</li></ul>	<ul style="list-style-type: none"><li>• Ensuring Accountability</li></ul>
<ul style="list-style-type: none"><li>• Setting a Goal &amp; Developing Objectives</li></ul>	<ul style="list-style-type: none"><li>• Ensuring Employee Involvement</li></ul>	<ul style="list-style-type: none"><li>• Conducting Program Evaluations</li></ul>
<ul style="list-style-type: none"><li>• Assigning Responsibilities</li></ul>	<ul style="list-style-type: none"><li>• Providing Adequate Authority &amp; Resources</li></ul>	

### 2. Worksite Analysis (pages 23 through 34)

<ul style="list-style-type: none"><li>• Comprehensive Hazard Identification</li></ul>	<ul style="list-style-type: none"><li>• Employee Reports of Hazards</li></ul>	<ul style="list-style-type: none"><li>• Injury &amp; Illness Trend Analysis</li></ul>
<ul style="list-style-type: none"><li>• Regular Site Safety &amp; Health Inspections</li></ul>	<ul style="list-style-type: none"><li>• Accident &amp; Incident Investigations</li></ul>	

### 3. Hazard Prevention and Control (pages 35 through 46)

<ul style="list-style-type: none"><li>• Appropriate Controls</li></ul>	<ul style="list-style-type: none"><li>• Emergency Preparation</li></ul>
<ul style="list-style-type: none"><li>• Preventive Maintenance</li></ul>	<ul style="list-style-type: none"><li>• Medical Program</li></ul>

### 4. Safety and Health Training (pages 47 through 51)

<ul style="list-style-type: none"><li>• Employees</li></ul>	<ul style="list-style-type: none"><li>• Supervisors</li></ul>	<ul style="list-style-type: none"><li>• Managers</li></ul>
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Many employers believe they have an effective safety program but have never assessed their program to find out if this is true. This manual will help in evaluating the effectiveness of your safety and health program. You can compare your program elements with those elements OSHA uses to describe an effective and functioning workplace program. In addition this manual provides a systematic means of determining how your program actually measures up.

One section of the manual contains a worksheet to help in identifying problems and focuses on strategies that when carried out can cause program improvement. The manual and worksheets are applicable to all types of industry -- manufacturing, construction, service industry and nonprofit. We think it provides the user with a tool to assess the effectiveness of a program already in place and to identify areas that need improvement. It is especially useful for the small employer who must make provisions for a safe and healthful workplace. It is a primary tool to aid in evaluating a workplace safe program and in simplifying the diagnostic process.

Each program element is presented in two parts. The first part contains a brief explanation of the key elements that must be in place in order to have an effective program. The second part contains questions to objectively qualify and quantify each element on a performance basis.

We devised a scoring system to help quantify the effectiveness of the program; the scoring system is not an absolute that can be applied in all situations. A numerical value is assigned for each "Yes" answer and receives a numeric value of one (1) point. You may wish to modify the numeric value to fit particular circumstances that vary from employer to employer. As an example, one question asked "Is management's safety attitude communicated to employees orally and in writing". However, if one of the two actions is not done, assign one-half point.

It is not necessary to be able to answer "Yes" to each question asked. No safety and health program is perfect, and it's unlikely that any program will receive a perfect score. If however, your safety and health program does not measure up to 80% (see Final Assessment Worksheet), you may want to incorporate the activity suggested into your existing program.



## Problem Solving

If you have an existing system in place, but have some problems, you can use this problem solving chart to assist in trouble-shooting the situations

SITUATION	POTENTIAL CAUSES	COUNTERMEASURE
Poor safety performance resulting in high insurance premiums, production delays and poor company image	Lack of leadership	A1, Policy  A4, Leadership
	Lack of supervision	A3, Responsibility  A4, Leadership  A7, Accountability  D1, Supervisor Training
	Need for more safety control	B1, Hazard Inventory  B5, Trend Analysis  C1, Appropriate Controls
	Lack of skill	D1, Employee Training
	Attitude	A5, Involvement  A4, Positive Reinforcement  A6, Authority/Resources
Number of preventable accidents attributed to one individual	Program elements not in place or not effective	A8, Program Evaluation
	Lack of direction	A2, Goal & Objective
	Health problems	C4, Medical Program
	Personal problems	A4, Leadership  C4, Medical
High turnover, high absenteeism	Low morale	A1, Policy  A5, Employee Involvement



SITUATION	POTENTIAL CAUSES	COUNTERMEASURE
Increased severity of injury	Lack of pre-planning	C3, Emergency Preparation
Accidents due to equipment failures	No preventative maintenance program; inadequate maintenance	C2, Preventive Maintenance
	Inadequate inspections	B1, Comprehensive Survey  B2, General Survey  B3, Employee Hazard Reports  D1, Training
Damaged equipment leading to production losses	Need for investigations	B4, Investigations
Increase in number of observed unsafe acts	Lack of leadership	A4, Leadership  A7, Accountability  D1, Training
OSHA violations or other unsafe conditions	Lack of leadership	A1, Policy
	Lack of direction	A2, Goal & Objectives



## Management Leadership and Employee Involvement

Leadership shapes corporate culture. Management 's function is to provide leadership that encourages workers within an organization to participate in the safety and health program. Essential elements of Management Leadership and Employee Involvement can be broken into the following components:

- ✓ The written safety policy is communicated to all employees.
- ✓ A goal and objectives are developed and tracked.
- ✓ Responsibilities are assigned.
- ✓ Top management provides visible leadership.
- ✓ Employees are involved and actively participate in the program.
- ✓ Employees have the authority and resources to do the task.
- ✓ Employees are held accountable for results.
- ✓ The program results are evaluated and action is taken to ensure continuous improvement.



A clear worksite safety and health policy helps employees understand the importance of safety and health protection in relation to other organizational values, such as quality and efficiency. Safety and health need to be corporate objectives, similar to sales and profits. Reducing compensation costs has an immediate and extensive effect on the bottom line.

Policy statements signed by top management demonstrates management's interest in the safety and health program. Top management leadership makes it easier for supervisors to carry out and enforce company policy, for the company to promote safe and healthful work practices, and for employees to understand the purpose of the company's safety and health program.

DO:

- Develop a formal written policy statement in which the company declares its intent to provide a safe and healthful place of employment, signed by the business owner or Chief Executive Officer (CEO).
- Hold a meeting with all employees to communicate your safety and health policy and discuss your objectives for safety and health.
- Post your policy for employees time to read.
- Ensure new hires understand that safety is an important part of their job.



## Safety & Health Policy

Key Questions	Maximum Points	Assigned Points
Has the owner (manager, president, etc.) expressed a positive attitude and commitment (policy) regarding safety and health?	1	
Is management's safety attitude (policy) communicated to employees in writing, orally and/or by actions?	1	
Do employees understand the company 's policy regarding a safe and healthful work environment and it's relationship to other organizational values such as production and quality?	1	
Does the policy actively promote management commitment and involvement and employee participation?	1	
<b>Total Points</b>	<b>4</b>	

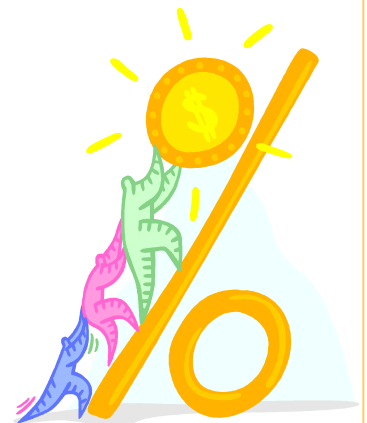


Once a policy is developed, management should set a goal for safety and health, then build objectives to help employees reach the goal. The goal should be a realistic one, so as not to discourage employees from striving for the goal.

Once the goal is established, you can set objectives and assign responsibilities. Set objectives based on performance measures. Get others involved in establishing the objectives. Each employee should be able to see his or her work activities moving toward the goal, thus helping them to meet the objectives.

DO:

- Establish a numeric or descriptive goal that reflects your safety and health policy statement.
- Identify at least three objectives that are most important to your program goal to help you create an effective program.
- Set objectives based on indicators, so you can measure whether you did or did not perform as expected.
- Assign a person to carry out the activities indicated in the objective.
- Discuss the goal and objectives with all employees through meetings, letters or postings.



## Setting a Goal and Developing Objectives

Key Questions	Maximum Points	Assigned Points
Is a goal established (i.e. what you want to accomplish by establishing a safety and health program in the first place) and communicated to all employees?	1	
Will the goal help you achieve a safe and healthful workplace?	1	
Is progress toward the goal tracked and monitored?	1	
Are measurable objectives established which will produce the desired results for the safety and health program?	1	
Did employees participate in setting the objectives?	1	
Do managers and supervisors have a clear understanding of their objectives for worker safety and health?	1	
Do the employees understand the goal and objectives and how this fits into the company's safety and health program?	1	
<b>Total Points</b>	<b>8</b>	



Everyone is responsible for safety and health in the workplace. However, specific duties, such as conducting inspections, completing near miss reports and ensuring training has been done, will need to be assigned to individuals. Employees need to understand what their responsibilities are in the workplace, and the consequences for failing to carry out these responsibilities. Giving people responsibility and holding them accountable for their actions instills a sense of pride and accomplishment.

DO:

- Assign responsibility for every element of the program you develop. Make certain that everyone understands their duties.
- Conduct periodic audits to ensure that safety responsibilities are known and are being carried out.
- Include safety responsibilities in periodic employee performance reviews.
- Hold all employees accountable for completing their assignments.
- Develop a positive way to reward good safety performance that does not discourage reporting hazards and/or injuries.



## Assigning Responsibilities

Key Questions	Maximum Points	Assigned Points
Are all safety responsibilities assigned, in writing, for all duties, either specified or implied, in the safety program?	1	
Is every employee trained so that they are capable of operating safely and are held accountable for following safety rules?	1	
Does the performance appraisal address whether or not assigned safety and health activities were accomplished?	1	
Is someone responsible for safety in each department and on each shift?	1	
<b>Total Points</b>	4	



If it is perceived by employees that management fully supports and complies with the safety and health program, they are more likely to follow safety rules. Employees follow management's lead.

DO:

- Ensure that management takes an active part in the safety and health program.
- Review all inspection and accident reports to ensure action items are completed.
- Ensure that all managers and supervisors follow all safety rules employees must follow, even if they are only in the area briefly.
- Stop infractions of safety rules or work procedures you might notice; personally stop hazardous conditions or activities.
- Hold managers, supervisors and employees accountable for their actions.
- Take charge and let it be known that safety and health are high priorities in your company.
- Reward good performance.
- Listen to employee concerns and correct deficiencies.
- Manage safety by “walking around,” i.e. periodically walk through the facility. Tell employees when you see them “doing it right.”



<b>Visible Leadership</b>		
Key Questions	Maximum Points	Assigned Points
Does management actively take part in safety activities such as safety committees, accident investigations, in-plant hazard surveys?	1	
Does management set a good example by wearing safety equipment where required?	1	
Does management correct hazards observed while in the shop?	1	
Does management insist that outside contractors working on the premises abide by established plant safety rules?	1	
Does management take corrective action on all rule infractions?	1	
Does management promote safe work habits through positive reinforcement?	1	
Can employees discuss safety concerns without fear of reprisal?	1	
Are all managers and supervisors held accountable for corrective action and safe operation within their specific area?	1	
Does management respond quickly to correct hazards regardless of how identified?	1	
<b>Total Points</b>	9	



Get employees involved. Decide what employee involvement means to you (i.e. asking for input *before* management decisions are made; or sharing the decision-making responsibility; or allowing employees to make decisions) and communicate this to employees.

The best worker safety and health protection occurs where everyone at the worksite shares responsibility for protection. This does not take the responsibility of the safety and health of the worker from the employer.

Management should encourage employees to have real input into the total safety program for a variety of reasons: employees often know best; it promotes high morale; and it indicates that the management cares. Involving employees in developing their workplace safety and health program is a good way to obtain buy-in for the program.

DO:

- Decide ways employees can be involved in the safety and health program.
- Tell your employees what you expect of them.
- Promote employee involvement through safety committees and/or other advisory groups.
- Give employees adequate training and resources for the job.
- Require employee involvement when developing safety work procedures for new tasks and processes.
- Implement a procedure for employees to report hazards.
- Ensure that employees are given a response to their safety concerns.
- Make sure coworkers hear about it when other employees' ideas are successful.



# Employee Involvement

Key Questions	Maximum Points	Assigned Points
Have you decided what employee involvement means and communicated that decision to the employees?	1	
Are employees involved in the safety program, i.e., do employees participate in safety committees or other advisory groups (developing job hazard analysis, developing safety rules, training other employees, conducting site inspections or investigating accidents)?	1	
Are management and labor evenly represented on committees?	1	
Do committees/advisory groups meet on a regular basis and are the results documented?	1	
Do committees/advisory groups have written objectives and responsibilities?	1	
Have employees received special training so they can effectively complete the activities they are assigned?	1	
Do employees feel that management is interested and involved in safety and health?	1	
	7	



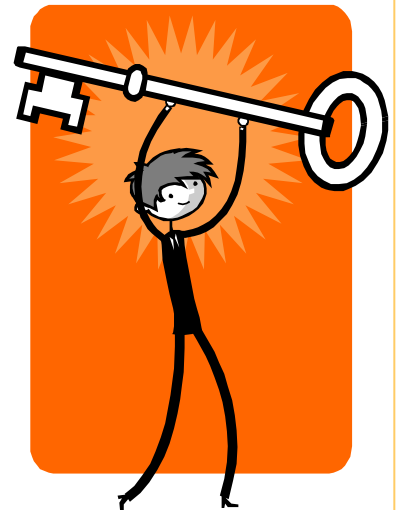
**Total Points**  
**Employer**  
**Employee**



When an employee is given the responsibility to do something, the resources and authority to complete the task should be accompany that responsibility. As employees within the organization grow, they will take on more responsibility if they feel management is backing them. The employer should provide all the tools necessary for the employee to be successful at his or her task. As an example, safety equipment, meetings and related expenses should be budgeted because safety and health programs must be reflected as a legitimate function of the company. Providing employees adequate authority and resources makes them problem solvers, not problem givers.

DO:

- Develop an annual safety budget.
- Prioritize safety expenditures.
- Develop alternate safety measures to protect workers while engineering controls are being implemented.
- Give those with responsibility adequate resources and support (people, training, money), and authority to get the job done.



## Providing Adequate Authority and Resources

Key Questions	Maximum Points	Assigned Points
Is adequate staff, time, money, training, authority provided so that supervisors and employees can carry out their assigned responsibilities?	1	
Is safety (time, training, equipment) a budgeted item?	1	
Are key safety employees allowed to attend safety seminars and conferences to keep current?	1	
Do employees have input in the decisions that affect the activity they are involved with; do they know the limits of their authority?	1	
Can responsible employees order parts or maintenance to correct safety hazards?	1	
<b>Total Points</b>	5	



Once you have assigned responsibility and provided the appropriate authority and resources, hold people accountable for achieving what they have been asked to do. Accountability for one's actions must accompany the responsibility given and the authority and resources provided. Holding employees accountable help them see how important they are to the total process within the company.

DO:

- Enforce your program fairly and consistently.
- Build positive reinforcement into the safety program. This positive reinforcement can be in the form of:
  - letter of appreciation signed by an officer of the company;
  - certificate of service that can be framed and displayed in the worker's home;
  - expression of appreciation at a group meeting.
- Reflect compliance with your safety program in employee performance evaluations.
- Reward effective safety performance through recognition programs. Doing so will strengthen future behavior patterns.
- Develop a disciplinary action program so that employees are held accountable once they have been trained.



## Giving and Receiving Accountability

Key Questions	Maximum Points	Assigned Points
Is there a formal system in place in which employees, including line managers and supervisory personnel, are held accountable for safety and health activities (not for number of accidents) through performance evaluations?	1	
Is safety performance that is based on the activity and responsibilities assigned, tied into salary increases, promotions or disciplinary action?	1	
Is discipline fairly and consistently enforced?	1	
Do employees know what happens when rules are broken?	1	
Is documentation of enforcement for safety rules and procedures complete?	1	
<b>Total Points</b>	5	



Once the safety and health program is in place and all components are functioning, management needs to check on it from time to time to ensure its effectiveness. Some key indices of safety and health performance are property damage; frequency rates; lost time injuries; high turnover or absenteeism; employee's perception of management's interest and involvement; and insurance claims. If the program is not working, the employer should decide why and try to resolve it. Some areas of the program may need more work; and some procedures may need to be changed or added where current activities are not producing the desired results. A successful safety and health program will provide a sense of pride among employees, making them feel like they are accomplishing something.

DO:

- Review the program at least annually using tools such as incidence rates; experience modification factors; worker's compensation costs; program goals and objectives. Use statistical, objective and subjective measurements to make sure that the goal is being met.
  - Statistical methods require the measurement and comparison of safety statistics and include measuring accident statistics such as occurrence, frequency and severity. Sources include accident reports, OSHA 300 Logs and workers' compensation claims.
  - Objective methods establish whether specific activities have taken place by the dates assigned. These include evaluation through the use of safety inspections and compliance checks to see that inspections are done on a regular basis.
  - Subjective methods involve the use of opinions and feedback from employees, supervisors and managers. These include surveys and interviews.
- Make changes as needed
- Communicate results to everyone in the organization. Everyone needs to know how he or she is doing as compared to the overall safety goal of the organization as well as other departments.



## Providing Program Evaluations

Key Questions	Maximum Points	Assigned Points
Has at least one person been designated to measure and monitor the effectiveness of the safety and health program?	1	
Has an annual review of the safety and health program been conducted to ascertain if the goal and objectives have been met and safety activities completed?	1	
Is employee feedback positive?	1	
Does the review include checking documentation (accident reports, 300 Logs); interviews with employees at all levels; review of site conditions; review of program activities to verify they get results?	1	
Are outside personnel asked to participate in the annual review?	1	
Are results and comparisons against goals communicated to everyone in the organization?	1	
Are changes made in the program when deficiencies are noted?	1	
<b>Total Points</b>	<b>7</b>	



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## Worksite Analysis

Worksite analysis is a combination of systematic actions that provide the employer with the information necessary to recognize and understand the existing and potential hazards in the workplace. While these actions may appear complicated, they are really basic activities that are performed in most workplaces. It includes these actions:

- ✓ An established comprehensive hazard identification program and a completed hazard inventory.
- ✓ Regular site safety and health inspections completed on a regular basis (i.e. monthly or more often).
- ✓ A established system is in place for employees to report hazards without fear of reprisal.
- ✓ An established procedure for accident/incident investigation.
- ✓ A procedure for analyzing injury/illness trends at least annually.



In order to design a program of prevention and control, an employer must complete a comprehensive hazard survey, and design a change analysis, and a routine hazard analysis system.

The comprehensive hazard survey is the most basic tool used to establish a prevention and control program. This survey should be performed by experts, preferably someone not involved with the workplace, who has a broad knowledge base of safety engineering, industrial hygiene and, if applicable, occupational medicine. This survey identifies current and potential hazards at the worksite. This survey should be performed on a periodic basis.

The second component used to build a prevention and control program is change analysis. This analysis is conducted prior to a change in facilities, equipment, processes, or materials in the workplace. This way, potential hazards can be identified before the change goes into effect. It will also provide a source of savings for the employer in that possible faulty designed process and equipment can be located and changed before placed into service.

The last component of the comprehensive hazard identification is routine hazard analysis. The most basic form of routine hazard analysis is the Job Safety Analysis (JSA). This analysis divides a job into tasks and steps, then it allows for an analysis of potential hazards. A method of prevention and control can then be developed from the analysis to eliminate the potential hazards.

DO:

- Require periodic inspections, surveys or consultations be conducted by outside sources such as your insurance carrier or the Onsite Consultation Program in your state. Require periodic industrial hygiene surveys.
- Develop procedures conducted by in-house personnel to support the recommendations made in those surveys, such as insuring that ventilation systems are maintained, personal protective equipment is used, etc.
- Require that capital expenditures for new facilities or new equipment be reviewed from a safety aspect during their planning stages.
- Secure from equipment manufacturers the operating and servicing instructions for all equipment .
- Ensure that your operating procedures are consistent with safety rules furnished by the manufacturer and that they are adequate to protect your workforce.



- Develop specific safe work procedures using Job Safety Analysis techniques for tasks where the procedures are insufficient or lacking.
- Perform routine job hazard analyses on all new tasks, tasks involving new machinery or processes, and tasks identified as being involved in accidents.

## Comprehensive Hazard Identification

Key Questions	Maximum Points	Assigned Points
Are applicable OSHA-mandated programs in place?	1	
Is the safety and health impact of new equipment, materials or processes evaluated before purchase and implementation (change analysis)?	1	
Do employees demonstrate knowledge and understand limitations of personal protective equipment and safety devices?	1	
Are engineering/and or administrative controls routinely evaluated to ensure effectiveness?	1	
Does management understand principles (hierarchy) of control (i.e. engineering controls, work rules and safe work practices, personal protective equipment, administrative controls)?	1	
Does the company perform Job Safety Analysis (JSA)?	1	
Do outside experts perform a periodic comprehensive safety survey and provide a list of hazards identified?	1	
Are procedures in place for in-house personnel to support the recommendations made in the comprehensive survey (i.e. maintenance of ventilation system, guards)?	1	
<b>Total Points</b>	<b>8</b>	



Each worksite should perform regular safety and health inspections. Employees at the worksite can be trained to perform these inspections. The goal of performing inspections is to identify hazards and to ensure engineering controls, such as machine guarding, are still effective.

DO:

- Develop an inspection program and assign responsibility.
- Train in-house safety inspectors and supervisors in hazard identification.
- Require written reports of inspections.
- Follow up to ensure correction of items identified by in-house inspectors.
- Develop interim protections as a temporary hazard correction.



## Regular Site Safety and Health Inspections

Key Questions	Maximum Points	Assigned Points
Are in-house safety/health inspections conducted on a regular, scheduled basis?	1	
Is an inspection checklist specific to your operation used during inspections?	1	
Are inspection results listed in a report and follow-up procedures in use?	1	
Are inspectors given training in hazard identification?	1	
Are inspectors given responsibility and authority to correct deficiencies?	1	
<b>Total Points</b>	<b>5</b>	



The goal of any safety and health program is to identify and correct hazards before employees are harmed. The employer should use all employees as hazard look-outs. The name of the game is accident and illness prevention, and it should start with each person who enters the job site. To be effective, employees need to know whom to notify and how, without fear of reprisal.

Employees will also need to see their concerns are responded to in a timely manner. These responses are visible evidence of management's commitment to worker safety and health and your desire for meaningful employee involvement.

DO:

- Develop a safety observation and reporting system to provide a way for employees to notify you of conditions or practices they think are hazardous.
- Ensure that all new employees are aware of how to report unsafe conditions and what actions should be taken while the hazard is being corrected.
- Develop a tracking procedure that requires final disposition of recommendations or hazards reported.
- Develop a system to ensure that employees are informed of decisions. This will increase employee confidence that you are serious about safety and health.



## Employee Reports of Hazards

Key Questions	Maximum Points	Assigned Points
Is there an in-house procedure for handling safety and health complaints and providing feedback to employees?	1	
Are new employees told who to contact and what to do if they see something they think is hazardous?	1	
Are in-house safety violations promptly corrected?	1	
Are employees given a response to their safety suggestions?	1	
Do employees feel that they can report safety hazards without being disciplined or harassed?	1	
<b>Total Points</b>	<b>5</b>	



Accidents must be investigated and analyzed in a timely manner while the facts are still fresh. Prompt investigation also demonstrates management concern for safety and health in the workplace.

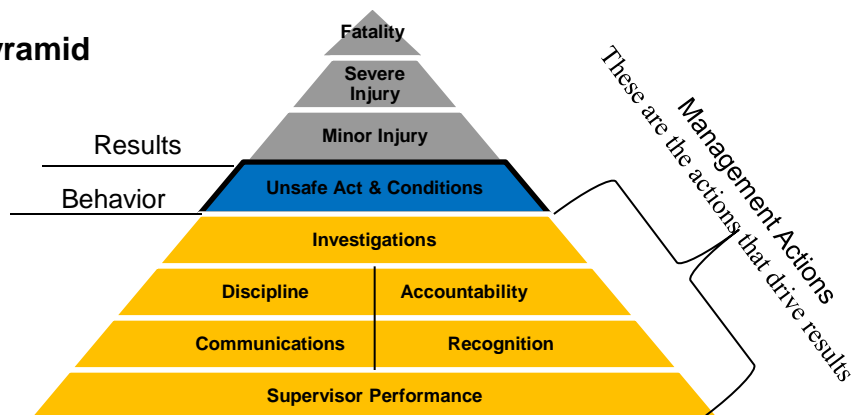
Use accidents as learning tools by determining the causes (direct, indirect and root) and then developing ways to avoid similar situations in the future. Every accident has a cause. Once you determine what caused the accident, you can take steps to keep it from happening again and minimize time lost. The emphasis for accident investigation should be on fact finding, not fault finding.

Because the immediate supervisor is usually first on the scene, the supervisor should be trained in accident investigation. The investigation should determine: exactly what happened and where; under what circumstances the accident occurred; and what should be done to prevent the circumstances that caused the accident

DO:

- Develop an accident investigation procedure.
- Train supervisors in accident investigation techniques.
- Require that all accidents be investigated, the cause determined and corrective action taken within 24 hours of the accident.
- Insist upon fact finding, not fault finding.
- Take constructive steps to eliminate or control the hazard that caused the accident.
- Ensure that employees understand that hazardous conditions and unsafe acts will not be tolerated.

**Accident Pyramid**



## Accident/Incident Investigation

Key Questions	Maximum Points	Assigned Points
Has an accident investigation procedure been established?	1	
Are all required reports maintained as applicable?	1	
Do supervisors investigate accidents and write up a report?	1	
Are accident investigation techniques designed to find the cause, not the fault?	1	
Do written reports show what preventative/corrective action is to be taken to prevent similar accidents?	1	
Are investigators trained?	1	
Is an investigation required for all injury/illnesses even if only a first aid case?	1	
Is an investigation required for all incidents (accident resulting in no injury and property damage)?	1	
Is the recordkeeping responsibility assigned and recordkeeping implemented?	1	
Are accidents investigated for root cause, not just to fill out the 301 Form?	1	
Are incidents are investigated for root cause?	1	
Is the procedure for assuring remedial actions and follow-up of these actions as recommended in the investigative reports carried out?	1	
<b>Total Points</b>	<b>12</b>	

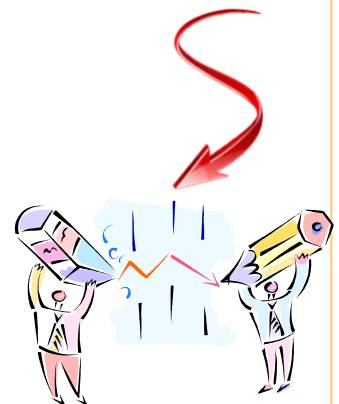


A good recordkeeping system can help management by providing them with the means to objectively evaluate the magnitude of the accident problems.

Tracking injuries and illnesses over periods of time can be useful in devising a prevention plan. This can help you discover trends such as, an increase in the number and severity of accidents, or an increase in a certain kind of accident, or an increase of accidents in a certain department. Tracking may also point out problem areas that are missed by simple inspections.

DO:

- Develop a system for reporting incidents involving near-miss accidents and first aid cases.
- Assign responsibility for maintaining records (300 Logs and other accident/incident forms) to one individual.
- Analyze accident records (300 logs, first aid cases, no injury reports) on an annual basis to identify trends for common underlying or primary cause factors.



## Injury and Illness Trend Analysis

Key Questions	Maximum Points	Assigned Points
Are medical records completed and reviewed (300 Logs, first aid reports, incident reports)?	1	
Are “accident-repeater” jobs identified and analyzed to develop safer methods (i.e. organization as a whole; by department; by occupation; by injury type; by body part)?	1	
Is corrective action taken to reverse the trends identified?	1	
<b>Total Points</b>	<b>3</b>	



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## Hazard Prevention and Control

Once a list of hazards and potential hazards for the workplace has been completed, the prevention and control program can be designed. The program should consist of the following:

- ✓ All controls are in place, i.e., elimination, engineering (safeguarding); work rules and safe work practices; personal protective equipment; administrative.
- ✓ A preventative maintenance program established and working.
- ✓ An emergency action plan implemented and all employees know how to respond.
- ✓ A program in place to render emergency treatment.



Once you have identified hazards in the workplace, implement safe work practices and methods to eliminate or control the hazards. When designing the prevention and control program, apply controls following this ranking: engineering controls; work practices; personal protective equipment; and administrative controls. A further explanation follows:

1. Eliminate the hazard by substitution or by removing the hazard from the method, material, structure or process. It's the most effective way of ensuring employees' health and safety. In most situations, OSHA requires that an employer implement feasible engineering controls for both safety and health concerns before relying on controls such as safeguarding, safe work practices, personal protective equipment or administrative controls.
2. Control the hazard by enclosing or guarding at the source. All machines and equipment should be guarded for pinch points, catch points, shear points, squeeze points, flying objects or sparks, sharp and pointed objects, and hot or cold objects.
3. Use work rules and work practices to train personnel to be aware of the hazard and to follow safe job procedures. Employees must be trained to understand why these rules and work practices are necessary and how they can be used to protect themselves and others.
4. Provide and require the use of personal protective equipment to shield against the hazard. Employees must be trained and be knowledgeable on the selection, use, limitation and care of all personal protective equipment. Before an employer can rely on the use of personal protective equipment, engineering controls must be used where feasible to reduce exposure to the lowest extent possible.
5. Use administrative controls to limit the time/duration of the exposure. Administrative controls are only effective in certain cases and the control must not expose additional employees to undesirable environments of toxic and injurious materials.

Of course the ideal situation would be to eliminate hazards or exposures that employees could encounter. Since this is not always possible, employers should use the best available methods for protecting employees. Engineering controls combined with good work practices can, for the most part, provide maximum protection for employees. The employer is responsible for providing whatever training is necessary to ensure that their employees know how to use the systems in place for protection.



## DO:

- Be familiar with OSHA requirements.
- Apply controls using the ranking method, i.e., elimination of the hazard, engineering (safeguarding); work rules and safe work practices; personal protective equipment; administrative.
- Develop general safety and health work rules and communicate them clearly and frequently to your employees.
- Solicit your employees input when developing plant safety rules and regulations.
- Post work rules and regulations in the workplace.
- Review rules periodically to ensure that they are current with existing practices.
- Develop procedures for enforcing safety and health rules and safe work practices to ensure that employees follow them.



## Appropriate Controls

Key Questions	Maximum Points	Assigned Points
Have you prioritized the hazards, concentrating your efforts on those most likely to occur or have the worst effects?	1	
Are feasible engineering controls in place?	1	
Do you have written general safety and health rules which all employees understand?	1	
Are the general rules posted in places to reinforce their message and purpose?	1	
Have jobs been analyzed to identify and evaluate the potential injury and illness hazards?	1	
Have controls been established for all identified potential hazards?	1	
Is there a current inventory of all potentially hazardous chemicals and other substances?	1	
Have one or more methods of machine guarding been provided to protect employees from hazards such as those created by point of operation, ingoing nip points, rotating parts, flying chips and sparks?	1	
Is management knowledgeable in the inherent limitations, selection, use, care and maintenance of PPE?	1	
Are employees properly instructed in the correct use and care of PPE?	1	
Is PPE used only as a "last resort"?	1	
Is PPE made available to employees and in good working order?	1	
<b>Total Points</b>	12	



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A good equipment maintenance program will keep the engineering controls operating as efficiently as possible. Check items such as ventilation systems to make sure the correct air flow is maintained. Check electronic or electrical controls to see that they work. Check guards and guarding devices to see that they are in place, are being used and are effective. When equipment is not maintained properly, it can become hazardous. Maintain good housekeeping as it eliminates clutter which can cause trips, slips and falls or contribute to fires. Good housekeeping promotes efficient use of space; reduces operating energy requirements; and promotes good morale.

## DO:

- Establish an equipment maintenance program so engineering controls function properly and hazardous breakdowns can be prevented.
- Survey and list all processes, machines and portable power tools available.
- Audit maintenance records for the machines you have. Determine if manufacturers' manuals exist, if they are adequate and whether they are being followed.
- Develop a tracking procedure for your preventative maintenance program that lists the status of each tool, machine, or process, its location and relevant maintenance data.
- Clearly define preventative maintenance criteria, appropriate schedules for maintenance and inspections.
- Clearly define organizational responsibility for preventative maintenance.



## Preventative Maintenance

Key Questions	Maximum Points	Assigned Points
Are machines well maintained?	1	
Are engineering control measures routinely inspected, maintained and upgraded?	1	
Is there a written preventative maintenance program that clearly defines organizational responsibility?	1	
Is preventative maintenance documented and kept on file for all equipment?	1	
Are portable powered tools included as part of the preventative maintenance program?	1	
Is good housekeeping evident?	1	
Do manufacturers' manuals exist for your equipment, are they adequate and are they being followed?	1	
Do maintenance records exist for the machines you have?	1	
Is there clearly defined inspection criteria?	1	
Is there a tracking system for preventative maintenance?	1	
Are maintenance personnel well trained?	1	
<b>Total Points</b>	<b>11</b>	

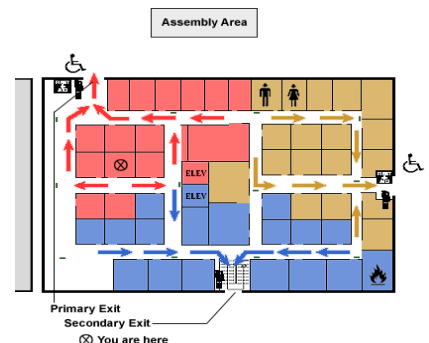


No safety and health program is complete without a plan for emergencies. Survey for possible emergency situations (fire, natural disasters, chemical spills, bomb threat, and human error). Just because something has never happened, does not mean it won't.

Make sure everyone knows their duties and responsibilities should an emergency occur. Train and educate each employee so that the responses needed during a crisis can become practically automatic. The greater the possibility of an emergency, the more preparation should be done. For those who have special responsibilities during emergencies, provide additional training that will allow them to safely perform their duties. Conducting training drills will better prepare everyone should an emergency arise. All should know immediately how to respond, through planning, training and drills.

DO:

- Identify all possible emergency situations such as those created by work processes, natural disasters, fires, and human error.
- Develop a plan for responding to each type of emergency identified.
- Train employees and conduct a drill on emergency actions to ensure that all know immediately what to do when an emergency arises.
- Post emergency telephone numbers and emergency exit routes.
- Insure that new employees are aware of your emergency response procedures.
- Periodically review emergency planning during meetings.



## Emergency Preparation

Key Questions	Maximum Points	Assigned Points
Have the types of emergencies that could occur in your workplace been identified (medical, fire, severe weather, chemical spills)?	1	
Is there a written emergency action plan (EAP)?	1	
Are diagrams posted showing exits, fire extinguisher locations, egress routes, and telephone numbers?	1	
Are employees aware of the Emergency Action Plan?	1	
Are drills and/or training provided on a regular basis?	1	
Is the EAP updated on a regular basis?	1	
Is there a procedure for accounting for evacuated personnel?	1	
Are there provisions for handling chemical spills?	1	
<b>Total Points</b>	<b>8</b>	



A medical program consists of prevention and early recognition and treatment. To limit the severity of injuries and illnesses, you need to provide basic health care services onsite. It does not mean establishing a large department of doctors and nurses. Instead, most facilities have employees within their site that can provide basic first aid should an emergency situation arise. Employers should look for occupational health providers when putting together the health and safety program. For small companies, the employer can arrange for health care through local clinics. The key to the medical program is to minimize the time an injured person will have to wait before receiving medical treatment. Training employees onsite in first aid and CPR provides companies with a source of help during times of trouble.

## DO:

- Contract with occupational health professionals to provide for emergency medical treatment for employees.
- Arrange for industrial hygiene surveys or ergonomic studies if conditions indicate they are necessary.
- Train employees in first aid/CPR (at least 2 persons per shift).
- Establish procedures for handling emergency medical situations to reduce the likelihood of panic and result in faster and more efficient emergency care.



## Medical Program

Key Questions	Maximum Points	Assigned Points
Are written emergency procedures developed and communicated to personnel?	1	
Is there an alarm or other communication system?	1	
Are there at least two people trained and certified in first aid and CPR on each shift?	1	
Is first aid responder training completely documented and is retraining conducted prior to certification expiration?	1	
Is adequate first aid and medical equipment available onsite that is appropriate to the specific hazards and located near work stations?	1	
Are the medical emergency phone numbers prominently posted?	1	
Has environmental monitoring (noise, dust, mist, fume) been completed?	1	
Do you have access to a medical treatment facility within close proximity (i.e., 5 minutes or less)?	1	
Are procedures established for handling injured/ill personnel?	1	
Is a list of medical emergency response individuals posted?	1	
Are cases that cannot be handled onsite promptly dispatched to the appropriate medical facility?	1	
Are eyewash/showers provided in work areas for immediately emergency use where corrosives are present?	1	
<b>Total Points</b>	12	



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## Safety and Health Training

For an effective safety and health program, it is crucial that everyone at the workplace understand his/her role in the program, actively work to prevent and/or control hazards and potential hazards at the worksite, and know the ways they should protect themselves from hazards. A good safety and health program is achievable if everyone understands their roles and Responsibilities.

- ✓ Employees are trained to understand the hazards of their jobs and how to protect themselves.
- ✓ Supervisors understand their safety responsibilities; understand how to reinforce and enforce employee training.
- ✓ Managers understand their responsibilities regarding training.



A good safety and health program is achievable if everyone understands their roles and responsibilities.

## *Employees*

Each employee should understand how important they are to the overall safety and health program, not only for their well-being, but for every worker involved. Training is especially important for new employees. However, periodic retraining of all employees is also essential. The employees need to know the general safety and health rules, specific site hazards and the safe work practices that are used to control exposure, and the role they play in an emergency situation.

## *Supervisors*

Supervisors should be given training both in safety and health and leadership principles. The supervisor needs to be aware of potential hazards. Supervisors need specialized training in the preventative maintenance program, as well as how to involve their employees in hazard control.

## *Managers*

Managers need good communication skills. The manager must also understand his or her role in the safety and health program, and set the leadership example for others to follow.

## DO:

- Identify training needs and objectives specific to your company. Train only when there is an absence of skill, knowledge or motivation.
- Involve employees in identifying training needs and when possible use them as trainers.
- Create a safety bulletin board to aid training and have an employee maintaining the board.
- Establish a training budget.



## DO:

- Provide training for supervisory and managerial personnel (i.e. leadership, hazard identification, accident investigation, training methods).
- Establish an orientation program for new hires. At a minimum, employees must know the general safety and health rules, specific site hazards and the safe work practices needed to help control exposure, and the individual's role in all types of emergency situations.
- Evaluate training on a regular basis.
- Establish and maintain training records.



## General Training-Employee, Supervisor, Managerial

Key Questions	Maximum Points	Assigned Points
Has an inventory been made of all jobs to determine the areas, such as confined spaces, that require special training?	1	
Are training needs assessed routinely and provided for in the budget?	1	
Are employees involved in training (identifying needs as well as actual trainers)?	1	
Are training responsibilities assigned?	1	
Does the training provide understanding and knowledge of the hazards of the task(s) to be performed?	1	
Does the training program provide training for new hires and retraining of present employees?	1	
Are trainers knowledgeable on the subject matter and in training methods?	1	
Are training records maintained?	1	
<b>Total Points</b>	<b>8</b>	

## Employee Training

Key Questions	Maximum Points	Assigned Points
Does the orientation program for new hires include safety and health information?	1	
Are employees instructed in how and when to report injuries, including instructions as to the location of first aid facilities?	1	
Are employees instructed in how to report unsafe conditions and practices?	1	
Are employees instructed in the need for, use and care of required personal protective equipment?	1	
Are employees instructed in the proper actions to take in the event of emergencies, including exit routes?	1	



## Employee Training

Key Questions	Maximum Points	Assigned Points
Are employees instructed in hazardous gases, chemicals or materials involved with the job, along with instructions on the safe use and action to be taken following accidental exposure?	1	
Are employees given on-the job training on how to perform the job in a safe manner?	1	
<b>Total Points</b>	<b>7</b>	

## Supervisory and Managerial Training

Key Questions	Maximum Points	Assigned Points
Is there an orientation program for new management members regarding your safety and health program?	1	
Are supervisory and managerial personnel provided training in their leadership roles?	1	
Are supervisory and managerial personnel provided instruction in training methods?	1	
Is a portion of each safety meeting devoted to safety instructions?	1	
Is safety and health integrated into the job function?	1	
<b>Total Points</b>	<b>5</b>	



# Evaluation of Safety and Health Management Program

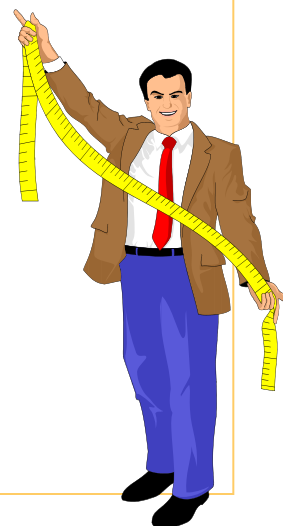
Total the scores for each sub element and list them in the space provided. This score represents your opportunity for improvement. Carry your totals to the Final Assessment Worksheet on page 55 and evaluate your program.

Management Leadership & Employee Involvement	
Policy	
Goal & Objectives	
Responsibility	
Visible Leadership	
Employee Involvement	
Authority & Resources	
Accountability	
Program Evaluation	
<b>Totals</b>	

Worksite Analysis	
Comprehensive Hazard Identification	
Site Safety & Health Inspections	
Employee Hazard Reports	
Accident & Incident Investigations	
Trend Analysis	
<b>Totals</b>	

Hazard Prevention & Control	
Appropriate Controls	
Preventive Maintenance	
Emergency Preparation	
Medical Program	
<b>Totals</b>	

Training	
General Training	
Employee Training	
Supervisory & Management Training	
<b>Totals</b>	



# FINAL ASSESSMENT WORKSHEET

## EVALUATION OF SAFETY AND HEALTH MANAGEMENT PROGRAM

Organization \_\_\_\_\_

BY \_\_\_\_\_

DATE \_\_\_\_\_

Total the scores for each major element and list them below. The maximum possible score for each major element is listed in parenthesis.

<b>Safety &amp; Health Management Program Assessment</b>	
Management Leadership & Employee Involvement (49)	
Worksite Analysis (33)	
Hazard Prevention & Control (43)	
Safety & Health Training (20)	
Totals (145)	

**80% OR BETTER:**

You may be ready to participate in one of OSHA's safety and health achievement recognition programs. If you have more than 500 employees, contact the OSHA Regional Office and ask about the Voluntary Protection Program (VPP). If you have less than 500 employees, contact your local Onsite Consultation Program and ask about the Safety and Health Achievement Recognition Program (SHARP).

**LESS THAN 80%:**

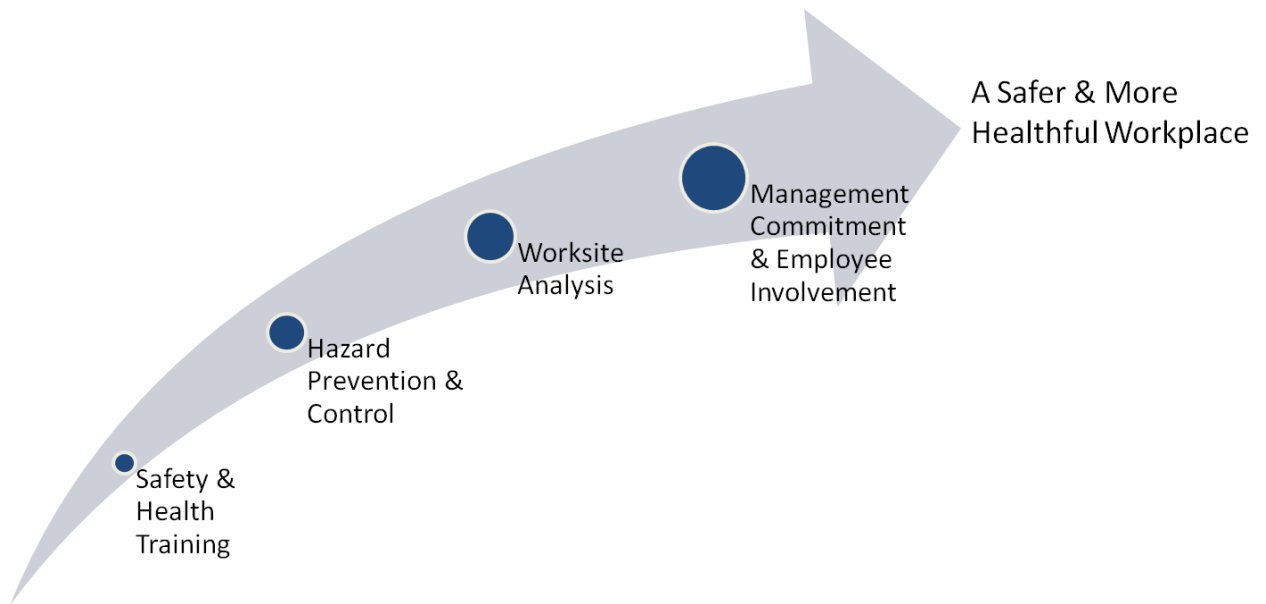
Consider implementing a safety and health management program to reverse accident trends. Concentrate your efforts on developing and implementing the missing program elements. Use the Action Plan Worksheet, which follows, as an aid in identifying and tracking objectives. If you need assistance, contact your local Onsite Consultation Program.



# ACTION PLAN WORKSHEET

Use the Action Plan Worksheet to identify specific activities which will assist you in reaching your goal of a safe and healthful workplace. Use the worksheet to set up an action plan and track progress. Copy the worksheet as needed.

1. Identify program areas where elements are missing or defective.
2. Determine where you want to be.
3. Identify objectives which will help you reach your goal.
4. Divide objectives into specific activities.
5. Assign responsibility to one individual who will be held accountable for the activity.
6. Assign target dates to each activity for evaluation purposes.



# ACTION PLAN WORKSHEET

GOAL: \_\_\_\_\_

OBJECTIVE: \_\_\_\_\_

#	Activity	Person Responsible	Due Date
1	_____ _____ _____		
2	_____ _____ _____		
3	_____ _____ _____		
4	_____ _____ _____		
5	_____ _____ _____		
	_____ _____ _____		
	_____ _____ _____		



