

THE  
ULTIMATE  
SAFETY  
MANAGEMENT  
SYSTEM  
AUDIT

**A Comprehensive  
Audit to help your  
Organization meet  
Consensus standards in  
ANSI/AIHA Z10-2005  
Criteria for  
Occupational  
Health and Safety  
Management Systems**



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## **1. Introduction**

This audit evaluates five categories of criteria to arrive at a numerical rating for each of the five elements of the Occupational Health and Safety Management System (OHSMS) as detailed within the American National Standards Institute's ANSI/AIHA Z10-2005, Occupational Health and Safety Management Systems. Copies of the standard may be purchased through various sources. For more information on the standard refer to [www.ansi.org](http://www.ansi.org) or [www.aiha.org](http://www.aiha.org).

## **2. Purpose**

The purpose of this audit is to measure the degree to which the employer is utilizing accepted practices for occupational health and safety management.

### 3. Instructions

Familiarize yourself with the five criteria for analysis below. Read and evaluate each audit question against the criteria. The criteria is indicated along the left side of each audit question by a letter (K,B,C,S,R). Use the 0-5 point rating system described on the next page to rate each of the criteria, and to arrive at an average score for the question. High or low ratings should include justification in the comments area.

#### Analysis

Analyze each of the following five categories to develop a justification for the rating.

1. **Knowledge.** The most direct leading indicators of an effective OHSMS are what employees are thinking. Analyze what employees are thinking by conducting surveys and interviews. Do employees have full knowledge, positive attitudes? High trust and low fear indicate effectiveness. When you know what employees are thinking, you'll have a better understanding of the behaviors observed in the workplace.
2. **Behaviors.** The next most direct leading indicators are employee behaviors. Behaviors are driven directly by what employees think. Observe both employee and manager behaviors and activities. Are they consistent and appropriate? Do they reflect effective safety education and training?
3. **Conditions.** Behaviors cause conditions, the next most direct leading indicator of OHSMS effectiveness. Inspect the workplace for hazards that might indicate the effectiveness of training. The absence of hazards indicates effectiveness.
4. **Standards.** The quality of standards reflect the condition of OHSMS planning and design. Analyze policies, plans, programs, budgets, processes, procedures, appraisals, job descriptions, rules. Are they informative and directive? Are they clearly and concisely communicated?
5. **Results.** Outcomes are the final trailing indicators of an effective OHSMS. Analyze training records that validate knowledge, skills and abilities (KSAs) are effectively applied in the workplace. Continually improving results indicate effectiveness. Caution: Focus most of your analysis on leading indicators and the results, as dependent variables, will follow.

## Evaluate

**Use the following five numeric ratings to evaluate each of the five criteria above.**

Enter a numeric (0, 1, 3, 5) score next to the letter (K, B, C, S, R) to the left of each audit question. Circle one of the five category ratings to the left arrive at a comprehensive score for the audit question. (0, 1, 3, 5). Use the following guidelines for your ratings.

**0 = Not Present:** Analysis indicates the condition, behavior, or action described in this statement does not exist or occur.

**1 = Partially Met:** Analysis indicates the condition, behavior, or action is partially met. Application is most likely too inadequate to be effective. Workplace conditions, if applicable, indicate improvement is needed in this area. Employees lack adequate knowledge, express generally negative attitudes. Mistrust may exist between management and labor. Employees and managers fail to adequately comply or fulfill their accountabilities. Safety policies and standards may not be clear, concise, fair, informative and directive. Results in this area are inconsistent, negative, and does not reflect continual improvement.

**3 = Mostly Met:** Analysis indicates the condition, behavior, or action described is adequate, but there is still room for improvement. Workplace conditions, if applicable, indicate compliance in this area. Employees have adequate knowledge, express generally positive attitudes. Some degree of trust between management and labor exists. Employees and managers comply with standards. Leadership is adequate in this area. Safety policies and standards are in place and are generally clear, concise, fair, informative and directive. Results in this area are consistently positive, but may not reflect continual improvement.

**5 = Fully Met:** Analysis indicates the condition, behavior, or action described is fully met and effectively applied. There is room for continuous improvement, but workplace conditions and behaviors, indicate effective application. (Employees have full knowledge and express positive attitudes. Employees and managers not only comply, but exceed expectations. Effective leadership is emphasized and exercised. Safety policies and standards are clear, concise, fair, informative and directive, communicate commitment to everyone. Results in this area reflect continual improvement is occurring. This area is fully integrated into line management. Supervisors and managers demonstrate safety leadership by example. Working safely is considered a non-negotiable production/service value.

<b>Section 3.0 Management Leadership &amp; Employee Participation</b>	
0   1   3   5 K _____ B _____ C _____ S _____ R _____	3.0.1 Does top management direct the organization to establish, implement and maintain an OHSMS that is appropriate to the nature and scale of the organization?  Comments: _____ _____ _____
0   1   3   5 K _____ B _____ C _____ S _____ R _____	3.0.2 Does top management direct the organization to establish, implement and maintain an OHSMS that is appropriate to its occupational health and safety risks?  Comments: _____ _____ _____
0   1   3   5 K _____ B _____ C _____ S _____ R _____	3.0.3 Has top management established a documented OHSMS policy?  Comments: _____ _____ _____
0   1   3   5 K _____ B _____ C _____ S _____ R _____	3.0.4 Does OHSMS policy include a commitment to protect and continually improve employee health and safety?  Comments: _____ _____ _____
0   1   3   5 K _____ B _____ C _____ S _____ R _____	3.0.5 Does OHSMS policy include a commitment to effective employee participation?  Comments: _____ _____ _____

0 1 3 5 K ____ B ____ C ____ S ____ R ____	3.0.6 Does OHSMS policy include a commitment to conform to the organization's health and safety requirements?  Comments: _____ _____ _____
0 1 3 5 K ____ B ____ C ____ S ____ R ____	3.0.7 Does OHSMS policy include a commitment to comply with applicable laws and regulations?  Comments: _____ _____ _____
0 1 3 5 K ____ B ____ C ____ S ____ R ____	3.0.8 Is OHSMS policy readily available and communicated to employees, dated, and signed or otherwise officially issued by top management?  Comments: _____ _____ _____
0 1 3 5 K ____ B ____ C ____ S ____ R ____	3.0.9 Is OHSMS policy dated, and signed or otherwise officially issued by top management?  Comments: _____ _____ _____
<b>3.1 Responsibility and Authority</b>	
0 1 3 5 K ____ B ____ C ____ S ____ R ____	3.1.1 Does top management provide leadership and assume overall responsibility for implementing, maintaining, and performing the OHSMS?  Comments: _____ _____ _____
0 1 3 5 K ____ B ____ C ____ S ____ R ____	3.1.2 Does top management provide leadership and assume overall responsibility for providing financial, human, and other resources to plan, implement, operate, check, correct, and review the OHSMS?  Comments: _____ _____ _____

0 1 3 5 K ____ B ____ C ____ S ____ R ____	3.1.3 Does top management provide leadership and assume overall responsibility for defining roles, assigning responsibilities within the OHSMS?  Comments: _____ _____ _____
0 1 3 5 K ____ B ____ C ____ S ____ R ____	3.1.4 Does top management provide leadership and assume overall responsibility for establishing accountability for implementation and continual improvement of the OHSMS?  Comments: _____ _____ _____
0 1 3 5 K ____ B ____ C ____ S ____ R ____	3.1.5 Does top management provide leadership and assume overall responsibility for delegating authority to implement an effective OHSMS for continual improvement?  Comments: _____ _____
0 1 3 5 K ____ B ____ C ____ S ____ R ____	3.1.6 Does top management provide leadership and assume overall responsibility for integrating the OHSMS into other business systems and processes?  Comments: _____ _____
	<p style="text-align: center;"><b>3.2 Employee Participation</b></p>
0 1 3 5 K ____ B ____ C ____ S ____ R ____	3.2.1 Are processes established and implemented for effective OHSMS participation by all employees at all levels of the organization, including those working closest to the hazard by?  Comments: _____ _____
0 1 3 5 K ____ B ____ C ____ S ____ R ____	3.2.2 Does management provide employees and employee representatives with the mechanisms, time and resources necessary to participate in of planning, implementing, evaluating, correcting and preventive actions?  Comments: _____ _____

0    1    3    5 K ____ B ____ C ____ S ____ R ____	3.2.3 Does management Provide employees, and employee representatives, with timely access to information relevant to the OHSMS?  Comments: _____ _____ _____
0    1    3    5 K ____ B ____ C ____ S ____ R ____	3.2.4 Does management encourage employee participation by identifying and removing obstacles or barriers to participation?  Comments: _____ _____ _____

	<b>4.0 Planning</b>
0   1   3   5 K ____ B ____ C ____ S ____ R ____	4.0.1 Does the OHSMS planning process require the establishment and implementation of processes to review relevant information to identify issues related to occupational health and safety performance?  Comments: _____ _____
0   1   3   5 K ____ B ____ C ____ S ____ R ____	4.0.2 Does the OHSMS planning process require the establishment and implementation of processes to prioritize issues identified during the review?  Comments: _____ _____
0   1   3   5 K ____ B ____ C ____ S ____ R ____	4.0.3 Does the OHSMS planning process require the establishment and implementation of processes to develop objectives for the system and for risk control, based on the prioritized issues?  Comments: _____ _____
0   1   3   5 K ____ B ____ C ____ S ____ R ____	4.0.4 Does the OHSMS planning process require the establishment and implementation of processes to develop plans to accomplish prioritized objectives?  Comments: _____ _____
	<b>4.1 Initial and Ongoing Reviews</b>
0   1   3   5 K ____ B ____ C ____ S ____ R ____	4.1.1 If an OHSMS does not exist, has an initial review or baseline survey been conducted to establish an OHSMS?  Comments: _____ _____

0   1   3   5 K ____ B ____ C ____ S ____ R ____	4.1.2 Does an initial review or baseline survey gather and review information necessary to identify OHSMS issues to establish or improve the system?  Comments: _____ _____ _____
0   1   3   5 K ____ B ____ C ____ S ____ R ____	4.1.3 Has an ongoing review process been established and implemented?  Comments: _____ _____ _____
0   1   3   5 K ____ B ____ C ____ S ____ R ____	4.1.4 Does an ongoing review consider and incorporate information from OHSMS planning, implementation, evaluation and corrective actions, and management review activities?  Comments: _____ _____
<b>4.2 Assessment and Prioritization</b>	
0   1   3   5 K ____ B ____ C ____ S ____ R ____	4.2.1 Has a process been established and implemented to assess and prioritize OHSMS issues?  Comments: _____ _____ _____
0   1   3   5 K ____ B ____ C ____ S ____ R ____	4.2.2 Does the process assess the impact of OHSMS issues on safety and health in the workplace?  Comments: _____ _____ _____
0   1   3   5 K ____ B ____ C ____ S ____ R ____	4.2.3 Does the process assess the level of risk, potential for system improvements, standards and regulations, feasibility, and potential consequences?  Comments: _____ _____

0    1    3    5 K ____ B ____ C ____ S ____ R ____	4.2.4 Does the process establish priorities based on factors assessed?  Comments: _____ _____ _____
0    1    3    5 K ____ B ____ C ____ S ____ R ____	4.2.5 Does the process identify underlying root causes and other contributing factors related to system deficiencies that lead to deficiencies?  Comments: _____ _____ _____
	<p style="text-align: center;"><b>4.3 Objectives</b></p>
0    1    3    5 K ____ B ____ C ____ S ____ R ____	4.3.1 Has a process been established and implemented to develop documented objectives?  Comments: _____ _____ _____
0    1    3    5 K ____ B ____ C ____ S ____ R ____	4.3.2 Are objectives quantified where practicable and based on issues that offer the greatest opportunity for OHSMS improvement and risk reduction?  Comments: _____ _____ _____
0    1    3    5 K ____ B ____ C ____ S ____ R ____	4.3.2 Are objectives Based upon the priorities developed in the assessment and prioritization process?  Comments: _____ _____ _____
0    1    3    5 K ____ B ____ C ____ S ____ R ____	4.3.3 Do objectives focus on system improvements to eliminate or control underlying causes and contributing factors associated with risk?  Comments: _____ _____ _____

0 1 3 5 K ___ B ___ C ___ S ___ R ___	4.3.4 Are objectives consistent with OHSMS policy?  Comments: _____ _____ _____
0 1 3 5 K ___ B ___ C ___ S ___ R ___	4.3.6 Are objectives review and modified at appropriate intervals to reflect efforts to achieve continual improvement?  Comments: _____ _____ _____
0 1 3 5 K ___ B ___ C ___ S ___ R ___	4.3.7 Are objectives modified as changes in information and conditions that impact schedules or attainment require?  Comments: _____ _____ _____
<b>4.4 Implementation Plans and Resource Allocation</b>	
0 1 3 5 K ___ B ___ C ___ S ___ R ___	4.4.1 Has a documented implementation plan to achieve objectives been established and implemented? Comments: _____ _____ _____
0 1 3 5 K ___ B ___ C ___ S ___ R ___	4.4.2 Does the implementation plan define resources, responsibilities, timeframes, intermediate steps, and appropriate measurements of progress?  Comments: _____ _____ _____
0 1 3 5 K ___ B ___ C ___ S ___ R ___	4.4.3 Doe the implementation plan assign resources to meet objectives?  Comments: _____ _____ _____

	<b>5. 0 Implementation of the OHSMS</b>
0    1    3    5 K ____ B ____ C ____ S ____ R ____	5.0.1 Do top managers, supervisor, safety staff and all affected employees understand the critical elements of the OHSMS as the "backbone" of an effective system?  Comments: _____ _____
0    1    3    5 K ____ B ____ C ____ S ____ R ____	5.0.2 Do top managers, supervisor, safety staff and all affected employees understand and have a commitment to a "continuous improvement" approach to the elements of the OHSMS?  Comments: _____ _____
	<b>5. 1 OHSMS Operational Elements</b>
0    1    3    5 K ____ B ____ C ____ S ____ R ____	5.1.1 Are operational elements used to establish and implement an effective OHSMS?  Comments: _____ _____
0    1    3    5 K ____ B ____ C ____ S ____ R ____	5.1.2 Are OHSMS operational elements used to achieve the improvement objectives arising from the planning process?  Comments: _____ _____
0    1    3    5 K ____ B ____ C ____ S ____ R ____	5.1.3 Are OHSMS operational elements integrated into the operational elements into the organization's management system?  Comments: _____ _____

<b>5.1.1 Hierarchy of Controls</b>	
0 1 3 5 K ____ B ____ C ____ S ____ R ____	5.1.1.1 Are feasible risk-reduction strategies implemented and maintained using a preferred hierarchy of controls (elimination, substitution, engineering, warning, administrative, personal protective equipment)?  Comments: _____ _____
0 1 3 5 K ____ B ____ C ____ S ____ R ____	5.1.1.2 Do control strategies consider the nature and extent of the risks being controlled?  Comments: _____ _____
0 1 3 5 K ____ B ____ C ____ S ____ R ____	5.1.1.3 Do control strategies consider the degree of risk reduction desired?  Comments: _____ _____
0 1 3 5 K ____ B ____ C ____ S ____ R ____	5.1.1.4 Do control strategies consider the requirements of applicable federal and state standards?  Comments: _____ _____
0 1 3 5 K ____ B ____ C ____ S ____ R ____	5.1.1.5 Do control strategies consider recognized best practices in industry?  Comments: _____ _____
0 1 3 5 K ____ B ____ C ____ S ____ R ____	5.1.1.6 Do control strategies consider available technology?  Comments: _____ _____

0 1 3 5 K ____ B ____ C ____ S ____ R ____	5.1.1.7 Do control strategies consider internal organization standards?  Comments: _____ _____ _____
0 1 3 5 K ____ B ____ C ____ S ____ R ____	5.1.1.8 Do control strategies consider cost-effectiveness?  Comments: _____ _____ _____
<b>5.1.2 Design Review and Management of Change</b>	
0 1 3 5 K ____ B ____ C ____ S ____ R ____	5.1.2.1 Is a process established and implemented to identify, and take appropriate steps to prevent and control potential risks?  Comments: _____ _____ _____
0 1 3 5 K ____ B ____ C ____ S ____ R ____	5.1.2.2 Does the process take appropriate steps to identify, prevent and control potential risks associated with new processes or operations at the design stage?  Comments: _____ _____ _____
0 1 3 5 K ____ B ____ C ____ S ____ R ____	5.1.2.3 Does the process take appropriate steps to identify, prevent and control potential risks associated with changes to its existing operations, products, services or suppliers?  Comments: _____ _____
0 1 3 5 K ____ B ____ C ____ S ____ R ____	5.1.2.4 Does the process include identification of tasks and related health and safety hazards?  Comments: _____ _____ _____

0 1 3 5 K ____ B ____ C ____ S ____ R ____	5.1.2.5 Does the process include consideration of hazards associated with human factors?  Comments: _____ _____ _____
0 1 3 5 K ____ B ____ C ____ S ____ R ____	5.1.2.6 Does the process include consideration of control measures?  Comments: _____ _____ _____
0 1 3 5 K ____ B ____ C ____ S ____ R ____	5.1.2.7 Des the process include a review of applicable regulations, codes and standards?  Comments: _____ _____ _____
0 1 3 5 K ____ B ____ C ____ S ____ R ____	5.1.2.8 Does the process determine the appropriate scope and degree of the design review and management of change?  Comments: _____ _____ _____
	<p style="text-align: center;"><b>5.1.3 Procurement</b></p>
0 1 3 5 K ____ B ____ C ____ S ____ R ____	5.1.3.1 Has an OHSMS procurement process been established and implemented?  Comments: _____ _____ _____
0 1 3 5 K ____ B ____ C ____ S ____ R ____	5.1.3.2 Does the procurement process identify and evaluate the potential health and safety risks associated with purchased products and services before introduction into the work environment?  Comments: _____ _____

0    1    3    5 K ____ B ____ C ____ S ____ R ____	5.1.3.3 Does the procurement process establish requirements for supplies, equipment, materials, and other goods and related services purchased by the organization to control potential health and safety risks?  Comments: _____ _____
0    1    3    5 K ____ B ____ C ____ S ____ R ____	5.1.3.4 Does the procurement process require purchased products and services conform to the organization’s health and safety requirements?  Comments: _____ _____
	<p style="text-align: center;"><b>5.1.4 Contractors</b></p>
0    1    3    5 K ____ B ____ C ____ S ____ R ____	5.1.4.1 Has a process been established and implemented to address safety and health risks of contractor work activities?  Comments: _____ _____
0    1    3    5 K ____ B ____ C ____ S ____ R ____	5.1.4.2 Does the process identify, evaluate and control the potential health and safety risks from contractor activities, operations and materials on the premises and worksites?  Comments: _____ _____
0    1    3    5 K ____ B ____ C ____ S ____ R ____	5.1.4.3 Does the process identify, evaluate and control potential health and safety risks to the contractor employees from the organization’s activities and operations?  Comments: _____ _____
0    1    3    5 K ____ B ____ C ____ S ____ R ____	5.1.4.4 Does the process include appropriate contractor health and safety performance criteria?  Comments: _____ _____

0 1 3 5 K ____ B ____ C ____ S ____ R ____	5.1.4.5 Does the process implement a process for coordinating the OHSMS with that of all relevant organizations on a multi-employer worksite?  Comments: _____ _____ _____
	<b>5.1.5 Emergency Preparedness</b>
0 1 3 5 K ____ B ____ C ____ S ____ R ____	5.1.5.1 Has an emergency preparedness plan been established and implemented to prevent, prepare for, and/or respond to emergencies in the workplace or worksite?  Comments: _____ _____
0 1 3 5 K ____ B ____ C ____ S ____ R ____	5.1.5.2 Does the plan include plans to prevent and minimize risks from potential emergencies?  Comments: _____ _____ _____
0 1 3 5 K ____ B ____ C ____ S ____ R ____	5.1.5.3 Does the plan include periodic testing of the emergency plans through drills and similar activities?  Comments: _____ _____ _____
0 1 3 5 K ____ B ____ C ____ S ____ R ____	5.1.5.4 Does the plan include policies and procedures for updating the system as necessary?  Comments: _____ _____ _____
0 1 3 5 K ____ B ____ C ____ S ____ R ____	5.1.5.5 Does the plan identify foreseeable natural and human-made emergencies applicable to their operations?  Comments: _____ _____ _____

0    1    3    5 K ____ B ____ C ____ S ____ R ____	5.1.5.6 Does the plan assess identified emergencies based on health and safety risk and focus given to prevention and response actions?  Comments: _____ _____ _____
0    1    3    5 K ____ B ____ C ____ S ____ R ____	5.1.5.7 Is the plan appropriate for the size, nature and needs of the organization?  Comments: _____ _____ _____
0    1    3    5 K ____ B ____ C ____ S ____ R ____	5.1.5.8 Does the plan include policies and procedures to ensure the availability of emergency response resources (e.g., medical rescue, crisis response, law enforcement, fire departments, etc.)?  Comments: _____ _____
0    1    3    5 K ____ B ____ C ____ S ____ R ____	5.1.5.9 Does the plan include policies and procedures to ensure necessary information, internal communication and coordination to protect everyone in the workplace on the worksite (workers, contractors, visitors) in an emergency?  Comments: _____ _____
0    1    3    5 K ____ B ____ C ____ S ____ R ____	5.1.5.10 Does the plan include policies and procedures to inform and communicate with all employees, contractors, and visitors, relevant authorities, community, and emergency response and medical services?  Comments: _____ _____
0    1    3    5 K ____ B ____ C ____ S ____ R ____	5.1.5.11 Does the plan include policies and procedures that address evacuation routes and procedures?  Comments: _____ _____ _____
0    1    3    5 K ____ B ____ C ____ S ____ R ____	5.1.5.12 Does the plan include policies and procedures that ensure effective training of members at all levels of the organization.  Comments: _____ _____ _____

0 1 3 5 K ____ B ____ C ____ S ____ R ____	5.1.5.13 Does the plan evaluate the effectiveness of the plan, correct any deficiencies and identify opportunities for improvement after every emergency or drill?  Comments: _____ _____ _____
0 1 3 5 K ____ B ____ C ____ S ____ R ____	5.1.5.14 Do evacuation procedures address individuals with special needs?  Comments: _____ _____ _____
0 1 3 5 K ____ B ____ C ____ S ____ R ____	5.1.5.15 Is the plan adequately documented (training, drills, evaluation, etc)  Comments: _____ _____ _____
<b>5.2 Education, Training and Awareness</b>	
0 1 3 5 K ____ B ____ C ____ S ____ R ____	5.2.1 Is an education, training and awareness plan developed in accordance with the guidelines detailed in ANSI/ASSE Z490.1-2001?  Comments: _____ _____ _____
0 1 3 5 K ____ B ____ C ____ S ____ R ____	5.2.2 Is a plan established and implemented to assess and define the OHSMS qualifications and competence needed for employees and contractors?  Comments: _____ _____ _____
0 1 3 5 K ____ B ____ C ____ S ____ R ____	5.2.3 Does the plan ensure employees and contractors are aware of applicable organizations to coordinate its OHSMS with any similar activities (confined space entry, lockout/tagout, and process safety management, etc.)?  Comments: _____ _____

0    1    3    5 K ____ B ____ C ____ S ____ R ____	5.2.4 Does the plan include policies that ensure effective access to OHSMS education and training?  Comments: _____ _____ _____
0    1    3    5 K ____ B ____ C ____ S ____ R ____	5.2.5 Does the plan address disability issues, training on uncompensated time, scheduling, training environment, and literacy and language issues to remove barriers to training?  Comments: _____ _____
0    1    3    5 K ____ B ____ C ____ S ____ R ____	5.2.6 Does the plan ensure education and training is provided in a language trainees understand?  Comments: _____ _____ _____
0    1    3    5 K ____ B ____ C ____ S ____ R ____	5.2.7 Does the plan ensure trainers are competent to train employees?  Comments: _____ _____ _____ _____
0    1    3    5 K ____ B ____ C ____ S ____ R ____	5.2.8 Is competence assessed using education, training, mentoring, experience, certification, licensing, and performance criteria?  Comments: _____ _____ _____
0    1    3    5 K ____ B ____ C ____ S ____ R ____	5.2.9 Is the plan periodically evaluated to determine the effectiveness of training and education?  Comments: _____ _____ _____
0    1    3    5 K ____ B ____ C ____ S ____ R ____	5.2.10 Does the plan ensure training in all aspects of the OHSMS (safety design, conducting inspections, audits, and investigations, procurement, root cause analysis, controlling hazards, etc.)?  Comments: _____ _____

0   1   3   5 K ____ B ____ C ____ S ____ R ____	5.2.11 Does the plan include hazard-related training (hazard identification, good safety practices, and use of personal protective equipment, etc.)?  Comments: _____ _____ _____
0   1   3   5 K ____ B ____ C ____ S ____ R ____	5.2.12 Does the plan include hazard-related training (hazard identification, good safety practices, and use of personal protective equipment, etc.)?  Comments: _____ _____ _____
0   1   3   5 K ____ B ____ C ____ S ____ R ____	5.2.13 Does the plan include hazard-related training (hazard identification, good safety practices, and use of personal protective equipment, etc.)?  Comments: _____ _____ _____
<b>5.3 Communication</b>	
0   1   3   5 K ____ B ____ C ____ S ____ R ____	5.3.1 Has an OHSMS communication plan been established and implemented?  Comments: _____ _____ _____
0   1   3   5 K ____ B ____ C ____ S ____ R ____	5.3.2 Does the plan communicate information about the OHSMS and progress with all affected levels of the organization?  Comments: _____ _____ _____
0   1   3   5 K ____ B ____ C ____ S ____ R ____	5.3.3 Does the plan encourage employees to make recommendations regarding possible hazard control and reporting procedures?  Comments: _____ _____ _____

0 1 3 5 K ____ B ____ C ____ S ____ R ____	5.3.4 Does the plan identify and remove barriers to reporting hazards, injuries, suggestions, and other communications?  Comments: _____ _____ _____
0 1 3 5 K ____ B ____ C ____ S ____ R ____	5.3.5 Do strategies to remove barriers include addressing illiteracy, language differences, reprisals, or other forms of discrimination?  Comments: _____ _____ _____
0 1 3 5 K ____ B ____ C ____ S ____ R ____	5.3.6 Are incentive, drug testing, and disciplinary programs designed and implemented to ensure employees do not fear or are otherwise not discouraged from reporting job-related injuries, illnesses, hazards and risks?  Comments: _____ _____
0 1 3 5 K ____ B ____ C ____ S ____ R ____	5.3.7 Is the extent and nature of the communication tailored to the audience in terms of desired detail and scope?  Comments: _____ _____ _____
<b>5.4 Document and Record Control Process</b>	
0 1 3 5 K ____ B ____ C ____ S ____ R ____	5.4.1 Is a plan developed and implemented to create and maintain OHSMS documents and records?  Comments: _____ _____ _____
0 1 3 5 K ____ B ____ C ____ S ____ R ____	5.4.2 Does the plan identify documents that need to be reviewed and updated as necessary?  Comments: _____ _____ _____

0 1 3 5 K ____ B ____ C ____ S ____ R ____	5.4.3 Do documents that need to be updated have clear dates of revision?  Comments: _____ _____ _____
0 1 3 5 K ____ B ____ C ____ S ____ R ____	5.4.4 Are documents that need to be updated protected against damage, deterioration or loss, and retained for a specified period?  Comments: _____ _____ _____
0 1 3 5 K ____ B ____ C ____ S ____ R ____	5.4.5 Are documents necessary to effectively manage an OHSMS commensurate with the size, complexity and risks of the organization?  Comments: _____ _____ _____
0 1 3 5 K ____ B ____ C ____ S ____ R ____	5.4.6 Does documentation include OHSMS policy, objectives, implementation plan, audits, inspection, investigations, training, and management reviews  Comments: _____ _____ _____
0 1 3 5 K ____ B ____ C ____ S ____ R ____	5.4.7 Does the plan include document retention policies and procedures?  Comments: _____ _____ _____
0 1 3 5 K ____ B ____ C ____ S ____ R ____	5.4.8 Does the plan ensure outdated documents are removed from use by the organization?  Comments: _____ _____ _____

<b>6.0 Evaluation and Corrective Action</b>	
0   1   3   5 K ____ B ____ C ____ S ____ R ____	6.0.1 Is the performance of the OHSMS evaluated through monitoring and measurement, inspections, investigation, and audits?  Comments: _____ _____ _____
0   1   3   5 K ____ B ____ C ____ S ____ R ____	6.0.2 Are corrective actions taken when non-conformance is found in the OHSMS?  Comments: _____ _____ _____
0   1   3   5 K ____ B ____ C ____ S ____ R ____	6.0.3 Are results of evaluations sent back to the planning process and input to the management review process?  Comments: _____ _____ _____
0   1   3   5 K ____ B ____ C ____ S ____ R ____	6.0.4 Are the results of measurement and monitoring activities used to determine whether the system is designed and performing according to ANSI/AIHA Z10.200, OSHA requirements, and best practices?  Comments: _____ _____
0   1   3   5 K ____ B ____ C ____ S ____ R ____	6.0.4 Are the results of measurement and monitoring activities used to determine whether the system is designed and performing according to ANSI/AIHA Z10-2005, OSHA requirements, and best practices?  Comments: _____ _____

<b>6.1 Monitoring and Measurement</b>	
0   1   3   5 K _____ B _____ C _____ S _____ R _____	6.1.1 Has a proactive (predictive) monitoring and measurement plan been developed and implemented to measure OHSMS effectiveness in controlling and reducing risk?  Comments: _____ _____
0   1   3   5 K _____ B _____ C _____ S _____ R _____	6.1.2 Does the plan include leading indicators such as the reduction of average exposure levels, timeliness of corrective actions and maintenance, and the completion of training?  Comments: _____ _____
0   1   3   5 K _____ B _____ C _____ S _____ R _____	6.1.3 Does the plan include policies and procedures to conduct physical inspections and testing?  Comments: _____ _____
0   1   3   5 K _____ B _____ C _____ S _____ R _____	6.1.4 Does the plan include policies and procedures to assess worker exposure to hazards (dangerous heights, energized equipment, radiation, etc.)?  Comments: _____ _____
0   1   3   5 K _____ B _____ C _____ S _____ R _____	6.1.5 Does the plan include policies and procedures to track injuries and illnesses?  Comments: _____ _____
0   1   3   5 K _____ B _____ C _____ S _____ R _____	6.1.6 Does the plan include policies and procedures to receive input from employees?  Comments: _____ _____

0    1    3    5 K ____ B ____ C ____ S ____ R ____	6.1.7 Does the plan include policies and procedures to conduct occupational health assessments?  Comments: _____ _____ _____
0    1    3    5 K ____ B ____ C ____ S ____ R ____	6.1.8 Does the plan include other monitoring and measurement methods as required by the OHSMS?  Comments: _____ _____ _____
0    1    3    5 K ____ B ____ C ____ S ____ R ____	6.1.9 Does the plan ensure opportunities for improvement are identified and fed back to the planning process?  Comments: _____ _____ _____
0    1    3    5 K ____ B ____ C ____ S ____ R ____	6.1.10 Are monitoring and measurement processes conducted according to recognized industry standards, practices or manufacturer's specifications?  Comments: _____ _____ _____
0    1    3    5 K ____ B ____ C ____ S ____ R ____	6.1.11 Are the results of the monitoring, measuring and recordkeeping processes effectively communicated to relevant parties (healthcare providers, supervisors, employees and employee representatives, etc.)?  Comments: _____ _____
0    1    3    5 K ____ B ____ C ____ S ____ R ____	6.1.12 Are the results of the monitoring, measuring and recordkeeping processes communicated as required by applicable laws and regulations on medical confidentiality?  Comments: _____ _____

<b>6.2 Incident Investigation</b>	
0   1   3   5 K _____ B _____ C _____ S _____ R _____	6.2.1 Has an incident investigation plan been developed and implemented?  Comments: _____ _____ _____
0   1   3   5 K _____ B _____ C _____ S _____ R _____	6.2.2 Does the process define which events require investigations?  Comments: _____ _____ _____
0   1   3   5 K _____ B _____ C _____ S _____ R _____	6.2.3 Does the process define how recommendations to prevent recurrence will be generated and communicated?  Comments: _____ _____ _____
0   1   3   5 K _____ B _____ C _____ S _____ R _____	6.2.4 Does the process define who will participate in conducting investigations?  Comments: _____ _____ _____
0   1   3   5 K _____ B _____ C _____ S _____ R _____	6.2.5 Does the plan investigate and analyze reported work-related incidents in order to determine underlying OHSMS deficiencies (root causes) and other contributing factors?  Comments: _____ _____
0   1   3   5 K _____ B _____ C _____ S _____ R _____	6.2.6 Does the plan assign responsibility for conducting investigations to supervisors or others qualified individuals?  Comments: _____ _____ _____

0    1    3    5 K ____ B ____ C ____ S ____ R ____	6.2.7 Does the plan ensure only qualified persons conduct OHSMS root cause analysis (safety professional, safety committee, etc.)?  Comments: _____ _____ _____
0    1    3    5 K ____ B ____ C ____ S ____ R ____	6.2.8 Are all incidents (near miss, injury accidents) analyzed to determine root causes?  Comments: _____ _____ _____
0    1    3    5 K ____ B ____ C ____ S ____ R ____	6.2.9 Does the plan effectively exclude any procedure used to establish fault or blame?  Comments: _____ _____ _____
0    1    3    5 K ____ B ____ C ____ S ____ R ____	6.2.10 Is the plan designed such that barriers to reporting incidents are removed?  Comments: _____ _____ _____
	<p style="text-align: center;"><b>6.3 Audits</b></p>
0    1    3    5 K ____ B ____ C ____ S ____ R ____	6.3.1 Are audits developed and implemented periodically to determine the effectiveness of OHSMS elements?  Comments: _____ _____ _____
0    1    3    5 K ____ B ____ C ____ S ____ R ____	6.3.2 Do audits emphasize a "system" approach rather than merely a "compliance" oriented approach?  Comments: _____ _____ _____

0   1   3   5 K ____ B ____ C ____ S ____ R ____	6.3.3 Are audit checklists and other forms used to conduct for assessments?  Comments: _____ _____ _____
0   1   3   5 K ____ B ____ C ____ S ____ R ____	6.3.4 Are the results of audits reported to those responsible for taking corrective actions, supervisors, employees and employee representatives?  Comments: _____ _____ _____
0   1   3   5 K ____ B ____ C ____ S ____ R ____	6.3.5 Are "immediate danger" situations identified in audits, promptly corrected?  Comments: _____ _____ _____
0   1   3   5 K ____ B ____ C ____ S ____ R ____	6.3.6 Are audits conducted by persons independent of the activities and programs being examined?  Comments: _____ _____ _____
<b>6.4 Corrective and Preventive Actions</b>	
0   1   3   5 K ____ B ____ C ____ S ____ R ____	6.4.1 Has a corrective and preventive action plan been developed and implemented?  Comments: _____ _____ _____
0   1   3   5 K ____ B ____ C ____ S ____ R ____	6.4.2 Does the plan address OHSMS deficiencies and inadequately controlled hazards?  Comments: _____ _____ _____

0   1   3   5 K ____ B ____ C ____ S ____ R ____	6.4.3 Does the plan identify any newly created hazards resulting from corrective and preventive actions?  Comments: _____ _____ _____
0   1   3   5 K ____ B ____ C ____ S ____ R ____	6.4.4 Does the plan evaluate the overall effectiveness of risk reduction?  Comments: _____ _____ _____
0   1   3   5 K ____ B ____ C ____ S ____ R ____	6.4.5 Does the plan track actions taken to ensure their effective implementation?  Comments: _____ _____ _____
0   1   3   5 K ____ B ____ C ____ S ____ R ____	6.4.6 Does the plan expedite action on inadequately controlled hazards that could cause serious injury and illness?  Comments: _____ _____ _____
0   1   3   5 K ____ B ____ C ____ S ____ R ____	6.4.7 Are "immediate danger" situations promptly corrected?  Comments: _____ _____ _____
	<p style="text-align: center;"><b>6.5 Feedback to the Planning Process</b></p>
0   1   3   5 K ____ B ____ C ____ S ____ R ____	6.5.1 Is a plan developed and implemented to make sure the results of monitoring and measurement, audits, investigations, and corrective/preventive actions are provided to management for review on an ongoing basis?  Comments: _____ _____

0    1    3    5 K ____ B ____ C ____ S ____ R ____	6.5.2 Does the plan provide feedback that helps determine the underlying causes and other factors contributing to system or risk control failures?  Comments: _____ _____ _____
0    1    3    5 K ____ B ____ C ____ S ____ R ____	6.5.2 Does the plan provide feedback that helps establish revised objectives and implementation plans?  Comments: _____ _____ _____

	<b>7.0 Management Review</b>
0    1    3    5 K ____ B ____ C ____ S ____ R ____	7.0.1 Do top managers, OHSMS leaders, and process owners conduct a strategic and critical evaluation of the performance of the OHSMS, and to recommend improvements?  Comments: _____ _____
0    1    3    5 K ____ B ____ C ____ S ____ R ____	7.0.2 Do top managers, OHSMS leaders, and process owners develop and implement improvements the OHSMS based on the evaluation?  Comments: _____ _____
	<b>7.1 Management Review Process</b>
0    1    3    5 K ____ B ____ C ____ S ____ R ____	7.1.1 Has a top management review process been developed and implemented?  Comments: _____ _____
0    1    3    5 K ____ B ____ C ____ S ____ R ____	7.1.2 Does the top management review process address the adequacy of, and recommend improvements to the OHSMS?  Comments: _____ _____
0    1    3    5 K ____ B ____ C ____ S ____ R ____	7.1.3 Do inputs to the management review process include progress in the reduction of risk?  Comments: _____ _____

0   1   3   5 K ____ B ____ C ____ S ____ R ____	7.1.4 Do inputs to the management review process include the effectiveness of processes to identify, assess and prioritize risk?  Comments: _____ _____ _____
0   1   3   5 K ____ B ____ C ____ S ____ R ____	7.1.5 Do inputs to the management review process include the effectiveness in addressing underlying causes of risks and non conformances?  Comments: _____ _____ _____
0   1   3   5 K ____ B ____ C ____ S ____ R ____	7.1.6 Do inputs to the management review process include input from employees and employee representatives?  Comments: _____ _____ _____
0   1   3   5 K ____ B ____ C ____ S ____ R ____	7.1.7 Do inputs to the management review process include the status of corrective and preventive actions and changing circumstances?  Comments: _____ _____ _____
0   1   3   5 K ____ B ____ C ____ S ____ R ____	7.1.8 Do inputs to the management review process include follow-up actions from OHSMS audits and previous management reviews?  Comments: _____ _____ _____
0   1   3   5 K ____ B ____ C ____ S ____ R ____	7.1.9 Do inputs to the management review process include the extent to which objectives and targets have been met?  Comments: _____ _____ _____

0 1 3 5 K ____ B ____ C ____ S ____ R ____	7.1.10 Do inputs to the process include the performance of the OHSMS relative to expectations (changes in circumstances, resource needs, business plan alignment and health and safety policies, etc.)?  Comments: _____ _____ _____
0 1 3 5 K ____ B ____ C ____ S ____ R ____	7.1.10 Does top management review the OHSMS at least annually, using all available inputs to ensure its continued suitability, adequacy, and effectiveness?  Comments: _____ _____ _____
0 1 3 5 K ____ B ____ C ____ S ____ R ____	7.1.11 Does top management make decisions, give direction and commit resources to implement decisions as a result of OHSMS reviews?  Comments: _____ _____ _____
<b>7.2 Management Review Outcomes and Follow-Up</b>	
0 1 3 5 K ____ B ____ C ____ S ____ R ____	7.2.1 Does top management determine the future direction of the OHSMS based on the review?  Comments: _____ _____ _____
0 1 3 5 K ____ B ____ C ____ S ____ R ____	7.2.2 Does top management determine the need for changes to the organization's policy, priorities, objectives, resources or other OHSMS elements?  Comments: _____ _____
0 1 3 5 K ____ B ____ C ____ S ____ R ____	7.2.3 Are OHSMS review results summarized, specifying top management commitments and directives, as well as action items?  Comments: _____ _____ _____

0    1    3    5 K ____ B ____ C ____ S ____ R ____	7.2.4 Do action items specify responsible individuals and target completion dates?  Comments: _____ _____ _____
0    1    3    5 K ____ B ____ C ____ S ____ R ____	7.2.5 Are the results and action items from management reviews documented, communicated to affected individuals, and tracked to completion?  Comments: _____ _____ _____
0    1    3    5 K ____ B ____ C ____ S ____ R ____	7.2.6 Is the status of OHSMS management review action items periodically reported to top management until they are completed?  Comments: _____ _____ _____
0    1    3    5 K ____ B ____ C ____ S ____ R ____	7.2.6 Is the status of OHSMS management review action items periodically reported to top management until they are completed?  Comments: _____ _____ _____

Use the information gathered in this audit to develop an evaluation summary for each of the five categories. Include an overall rating for each category with justification of your findings.

Finally, offer recommendations for improvement. Include draft improvements to policies, programs, plans, processes, procedures, practices, forms, reports, records, and other documents.