

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 or 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.

Section 3.0 Management Leadership & Employee Participation	
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: _____ _____ _____
3.1 Responsibility and Authority	
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: _____ _____ _____