

*How to write...*

---

# ***Effective Safety Plans***



# Welcome!

## **Introduction**

Welcome to the class. Today we're going to discuss the components of effective safety plans and how they may benefit the employer when integrated into the company's comprehensive safety and health program. As with any class, the more you participate, the more you'll get out of it. This class is only two hours in length, so feel free to get involved early on.

## **Workshop Goals**

**Given the information and exercises in this workshop, you will:**



1. Gain a better understanding of the components and format for written plans.
2. Learn about the various required written plans.
3. Learn about other programs that will benefit from written plans.

© 2000-2006 OSTN, All rights reserved.

This material, or any other material used to inform employers of compliance requirements of OSHA standards through simplification of the regulations should not be considered a substitute for any provisions of the Occupational Safety and Health Act of 1970 or for any standards issued by OSHA. The information in workbook is intended for training purposes only.



# Where does the safety plan fit?

## Organization's Management System

**Structure** - Manager, committees, staff

**Inputs** – Information, Materials, Energy, People

**Transformation** – people, technology

**Outputs** – products, services, ideas



## The Organization's Strategic Plan

**Formulation** – vision, mission, objectives, strategies, policies

**Implementation** – programs, budgets, procedures

**Evaluation & Control** - performance

## The Safety Plan

**Commitment** – leadership, management, vision, mission, objectives, strategies, policies, budgets

**Accountability** – standards, responsibilities, resources, measurement, consequences

**Involvement** – management, employee

**Education & Training** – management, employees, safety committee,

**Assessment & Analysis** – inspections, JHA, incidents, accidents

**Evaluation** – programs, system

**Improvement** – engineering, practices, system, benchmarking

## A written plan serves two important functions:

1. Defines and states *formal* expectations in management and employee safety and health performance; and
2. Demonstrates management commitment to safety and health.

### ***What are the benefits of a written plan?***

---

---

---

---

## Getting Started

Prior to producing a formal written safety and health plan, the company should lay the ground work for an effective safety and health system. This includes writing a corporate mission statement that includes the concept of safety, written safety and health objectives, and strategies and tactics to achieve those objectives. Gather as much information as possible about the current conditions at your workplace. Also assess your existing safety measures to determine what may be working well and what may need improvement.

## Plans may also be written for one or more of the following safety and health programs:

Accident Investigation	Asbestos/hazardous substances	Bloodborne Pathogens
Cable Fault Locating	Confined Space	Contractor Responsibilities
CPR/First Aid	Derrick Truck Operations	Dive team operations
Electrical Safety	Emergency Rescue	Emergency Response
Equipment/platforms	Ergonomics	Fire Protection
Forging Machines	Fork Lift Safety	Grain handling facilities
Hazard Communication	Hazard Identification	Hazardous Waste Operations
Heat Stress	Hearing Conservation	Job Safety Analysis
Ladders/Scaffolds	Lead Abatement	Lockout/Tagout Procedures
Machine Guarding	Mobile Crane/Hoists	New Employee Orientation
Personal Protective Equipment	Power Presses	Process Safety Management
Radiation	Respiratory Protection	Vehicle Safety
Ventilation	Welding/Compressed Gas	



## ELEMENT 1 - COMMITMENT

### Investing time, money - walking the talk

Values  
Discipline  
Opportunity

Leadership  
Service  
Trust

Integrity  
Resources  
Respect

Character  
Selfless  
Pride

### Identify ways top management demonstrates commitment

- Describe vision and mission – who we are and what we do: role and purpose.
- Describe objectives and strategies – how we will achieve the mission
- Determine responsibilities, authority – who does what?
- Determine resource requirements – what will the commitment look like?

### Mission Statement

*It's important for every company, no matter what its size, to first write a mission statement that clearly informs everyone why the company exists. The mission statement is the natural place to introduce safety as a value. A key concept in shaping a healthy safety climate is to carefully use language to shape perceptions. Perceptions, in turn, will ultimately influence the safety climate for the better. A sample mission statement is given below:*

It is the mission of XYZ, Inc., to **safely** produce the highest quality widgets for our valued local, national, and international customers, by incorporating cutting-edge technologies, management leadership, employee ownership, and progressive strategies to enhance profits for our shareholders.

*I am A. Goodceo*

---



---



---



---



---



---

## Safety Goals/Objectives

*Once the mission statement is written, goals and objectives are written to support the vision expressed in the mission statement. It's important to remember that goals are nothing more than statements expressing a wish. Objectives, however, should include outcomes that are measurable and obtained within a stated period of time. Examples of goals and objectives are given below:*

In support of our mission statement to “safely produce” the highest quality widgets, XYZ, Inc., has the following corporate safety goals and objectives:

1. *(Goal)* Create a “world-class” safety and health climate in our company.
2. *(Objective)* Educate all supervisors and managers on their responsibility and accountability for safety training, supervision, and enforcement.
3. *(Objective)* Reduce our Lost Work Day Case Incident Rate to .75 by the end of the 1996 fiscal year.

## Safety Strategies

*Once you have set objectives, plans must be made to make sure you achieve those goals. Strategies are simply tell “how” you’re going to do that. You may even break down strategies further by developing very specific how-to “tactics” that support each strategy. Below are examples of strategies that support the above objectives:*

To achieve the above goals and objectives, we will implement the following strategies:

1. Establish a corporate task force to develop and implement a survey on current employee perceptions regarding the corporate safety and health program.
2. Conduct management level training in line organization responsibilities and accountability systems as they relate to corporate safety and health.
3. Establish formal safety inspection and job safety analysis procedures to identify and control workplace hazards before they cause accidents.



## **ELEMENT 2 - ACCOUNTABILITY**

**Improve performance through measurement and consequences.**

Standards	Communications	Resources
Measurement	Consequences	Application

**Describe the components of an effective accountability system**

### **1. Established formal standards of behavior and performance**

- Programs, Policies, Plans, Processes, Procedures, Rules

### **2. Resources provided to meet those standards**

- Physical = tools, equipment, materials, workstations, facilities
- Psychosocial = education, training, scheduling, culture

### **3. An effective system of measurement**

- Immediate feedback to employees
- Performance appraisals

### **4. Appropriate application of effective consequences**

- Appropriate = justified, consistently applied
- Effective = decrease undesired/increase desired behaviors.  
Soon - certain - significant

### **5. Continual evaluation of the accountability system**

- Analysis/evaluation headed up by Safety committee, safety coordinator
- Improvements headed up by line management

---

---

---

---

---

---



## **ELEMENT 3 - INVOLVEMENT**

**Increase ownership, empowerment, opportunities for leadership**

Invitation	Suggestions	Reports	Consequences
Teams	Empowerment	Ownership	Everyone engaged
Committees	Communications		

### **Detail mandatory and discretionary involvement**

- Mandatory – Inspecting, reporting, etc.
- Discretionary – Suggesting, membership on safety committee/teams

### **Specify how the written safety plan will be communicated**

- Meetings
- Training
- Example
- Action

---

---

---

---

---

---

---

---

---

---

---



## **ELEMENT 4 – EDUCATION & TRAINING**

**Improve the skills, knowledge, attitudes of everyone**

Continual Impact	Skills Everyone	Knowledge Consequences	Attitude
---------------------	--------------------	---------------------------	----------

**Establish a training program policies**

**State the purpose of safety education and training**

**State who is responsible for managing the safety education and training program**

**State who is responsible for conducting education and training**

**List general and specific education and training topics that will be presented**

**State when will training be conducted**

- Initial orientation
- OJT
- Tail-gate sessions
- Refresher
- Whenever new hazard introduced

---

---

---

---

---

---

---

---

---

---



## **ELEMENT 5 – ASSESSMENT & ANALYSIS**

### **Determine what we have and what it looks like**

Observation	Measurement	Incidents	Accidents
Inspections	JHA	Maintenance	Causes
Surveys	Interviews	Records	Reports

### **Identify methods to assess, analyze and control hazards and unsafe work practices**

- Survey your workplace, employees.
- Interview employees
- Analyze the workplace hazards and unsafe work practices
- Determine corrective actions
- Detail specific inspection procedures
- Establish safety committee

**Safety Climate.** Conduct employee surveys to determine their perceptions of the company’s safety and health climate, or “the way things are around here.” The results of the survey will uncover weaknesses in the current safety and health system and should be discussed directly with the employer.

**Safety activities.** What are the safety activities you are currently conducting. Which activities are working and which appear to be ineffective. Safety activities include: safety training, safety meetings, safety recognition and incentive programs.

**Equipment.** Make a list of your major equipment, principal operations, and locations. Special attention should be given to inspection schedules, maintenance activities, and plant and office layouts.

**Employee Capabilities.** Make an alphabetical list of all employees, showing the date of hire, job description, and experience and training for the purpose of evaluating safety training needs and future safety committees. Special attention should be given to new employees and to employees who are physically and/or mentally challenged.

**Injury and Illness History.** Analyze your first-aid cases and OSHA 200 Log recordable injuries and illnesses. Give special attention to recurring accidents, types of injuries, etc. Review your workers compensation insurance experience modification rate, as this compares your company’s loss experience with that of other employers in similar industries.



## ELEMENT 6 – EVALUATION

**Make judgments about effectiveness:**

Programs	Plans	Processes	Procedures
Practices	People	Resources	Behaviors
Results	Benchmarks	No-Fault	

### Gap analysis

To make sure our safety program improvements result in the effect we intend...we must accurately determine the weakness and devise improvements that will effectively strengthen it. To do that we can use the “gap analysis” process.



**Know where you are now – analyze the current program.**

What does our safety recognition program look like now?  
Use surveys, interviews.



**Decide where you want to be – look for benchmarks.**

What do we want our safety program to look like?  
Review publications, network with others.



**See the gap – evaluate to determine how far you’ll have to jump.**

How does our program measure up to benchmark programs?  
Develop evaluation criteria for rating the program.



**Determine your ability to jump the gap - SWOT analysis.**

Determine program Strengths and Weaknesses.  
Determine Opportunities for, and Threats to improvement.



**Jump the gap – use the PDSA process to make improvements.**

Write the Plan, Do the plan, Study the plan, Adopt/Abandon the plan.

---



---



---



---



---



## ELEMENT 7 - IMPROVEMENT

Implement lasting positive change in all the above

Proactive	Prevention	Systems	Conditions
Behaviors	Resources	Engineering	Practices
Design	Purchasing	Teams	Communications
Consequences	Benchmarks		



### The Deming PDSA Improvement Cycle

#### Step 1: Plan – Design the change or test

- Purpose:** Take time to thoroughly plan the proposed change before it's implemented.
- Pinpoint specific conditions, behaviors, results you expect to see as a result of the change.
- Plan to ensure successful transition as well as change.

#### Step 2: Do - Carry out the change or test

- Purpose:** Implement the change or test it on a small scale.
- Educate, train, communicate the change...help everyone transition.
- Keep the change small to better measure variable.



#### Step 3: Study – Examine the effects or results of the change or test

- Purpose:** To determine what was learned: what went right or wrong.
- Statistical process analysis, surveys, questionnaires, interviews

#### Step 4: Act – Adopt, abandon, or repeat the cycle

- Purpose:** Incorporate what works into the system.
- Ask not only if we're doing the right things, but ask if we're doing things right.
- If the result was not as intended, abandon the change or begin the cycle again with the new knowledge gained.

Sample  
**XYZ Inc., Safety and Health Plan**  
*“Safe production is our standard”*

*It’s critical that your company establish clear, easy to understand policies in safety and health. Success for safety must be seen as a “line” responsibility; not that of staff (safety director or safety committee) who merely develop, monitor, and provide feedback about safety programs. Below is a policy statement that clearly details management and employee responsibilities. Accountability (the backbone of every safety and health system) is also addressed:*

**A. Management Commitment**

At XYZ, Inc., our employees are our most important resource. The safety and health of our employees is vitally *important* to the success and survival of the. Therefore, every level of management, from the top on down, and all employees must be *committed* to safety as a core professional *value* integrated into the fabric of our corporate culture.

---

---

---

**B. Accountability**

**Management.** Each manager and supervisor at XYZ is personally *responsible* and is held *accountable* to make sure that the workplace they control is safe and healthful for their employees. Production targets will be based on safe work practices, and will not, in any case, jeopardize the safety of our employees. **“Safe Production”** is the only acceptable standard. Managers will fulfill their responsibility by:

1. Ensuring employees receive effective safety and health training;
2. Properly supervising employees to ensure standards in safety and health performance are maintained; and
3. Enforcing safety and health rules, when appropriate, for noncompliance.

Managers will demonstrate safety *leadership* by setting proper examples, taking responsive corrective action, and recognizing employees for safety performance.

---

---

---

Middle and top-level manager success in safety and health performance will be indexed at 20 percent of the total rating in their annual performance review. Performance measures will include statistical data such as: Total Case Incidence Rate (TCIR), Lost Workday Case Incidence Rate (LWDCIR), and Experience Modification Rate (MOD), and Expense per Worker Hour for their respective departments.

Supervisor success in safety and health performance will also be indexed at 20% of their total rating in the annual performance review. Performance measures will include activity data such as: Number of safety meetings conducted, number of safety inspections and job safety analyses accomplished, and safety training conducted, etc.

**Employees.** Employees, as key players in our safety management system are responsible for, and held accountable to:

1. *Comply with all XYZ Inc., safety rules;*
2. *Report all workplace safety and health hazards to both their supervisor and safety committee representative, and*
3. *Report all workplace injuries and illnesses immediately, no matter how minor, to their supervisor.”*

**Recognition/Rewards.** Supervisors will monitor employee performance in the above three responsibilities. Supervisors will recognize employees for above standard performance and are authorized to immediately provide a monetary (or other) reward if the behavior or activity meets established criteria.

**Progressive Discipline.** Employees at all levels will be subject to progressive discipline for non-compliance with their respective responsibilities. Progress discipline will include: (1) informal verbal warning, (2) formal written warning, (3) suspension from work without pay, and (4) termination. Safety infractions that could result in serious physical harm or death may result in immediate termination. (See Appendix 1 for examples)

It is important that employees be disciplined only under appropriate circumstances. Progressive discipline is appropriate only after immediate supervisors/managers have determined through analysis of documentation that (1) the employee has been properly educated and trained in the specific safety task(s), (2) adequate oversight of the employee has been provided, (3) the employee understands discipline will for failure to comply with safety policies and rules, and (4) the employee has received adequate resources to achieve compliance.

---

---

---

---

---

---

---



## D. Education and Training

Employees will be trained any time he or she may be exposed to a new hazard: For example, when employees are newly hired; when equipment is newly purchased or redesigned, procedures change, or anytime a supervisor deems appropriate; and, when the work environment, materials or substances change. Refresher training will be conducted according to the following schedule.

*Not all of the training in the sample schedule may apply to your business operations. To best determine training requirements for your company, order OSHA Publication 2254(Revised) by calling the U.S. Government Printing Office in Portland at 221-6217.*

### XYZ Inc., Safety and Health Training Schedule

TRAINING	FREQUENCY	ALL EMPLOYEES	AFFECTED EMPLOYEE	SUPERVISOR MANAGER
Accident Investigation	Annual		x	x
Asbestos/hazardous substances	As needed		x	x
Bloodborne Pathogens	Annual	x		
Confined Space	Annual		x	
Contractor Responsibilities	Annual		x	x
CPR/First Aid	Annual		x	
Electrical Safety	2 Years	x	x	x
Emergency Response	Annual	x	x	x
Equipment/platforms	Annual		x	
Ergonomics	Annual		x	x
Fire Protection	As needed	x		
Fork Lift	2 Years		x	
Hazard Communication	Annual	x		
Hazard Identification	Annual		x	x
Hazardous Waste Operations	Annual		x	
Hearing Conservation	Annual		x	
Job Safety Analysis	As needed	x	x	x
Lead	As needed		x	
Lockout/Tagout	Annual	x	x	x
Machine Guarding	As needed		x	
Mobile Crane/Hoists	3 Years		x	
New Employee Safety Orientation	As needed	x	x	x
Personal Protective Equipment	As needed	x		
Power Presses	As needed		x	
Process Safety Management	3 years		x	x
Radiation	As needed		x	
Respiratory Protection	As needed		x	x
Safety Committee	As needed		x	
Safety leadership/management	As needed		x	x
Supervisor responsibilities	As needed		x	x
Vehicle Safety	Annual		x	x
Welding/Compressed Gas	2 Years		x	x

## E. Assessment and Analysis

**Line management.** The primary responsibility for assessing and analyzing the workplace for hazards rests with line managers and supervisors. The safety coordinator and safety committee will provide assistance as required.

**The Safety Committee.** To most effectively ensure workplace hazards are identified and controlled, each company safety committee will assume the role of internal consultant group to the CEO. Because safety committees can exert a direct, positive impact on the profitability, competitiveness, and productivity of XYZ, each primary workplace will establish and support its own safety committee composed of manager and employee representatives according to occupational safety and health rules.

As the CEO's safety eyes and ears, the safety committee will *monitor* (1) the workplace to identify hazardous conditions and unsafe work practices, and (2) the effectiveness of line management in implementing the various safety and health programs. The safety committee will also *communicate* their observations, findings and recommendations directly to the CEO and to employees.

The safety committee duties, responsibilities and operations will meet the requirements of OAR 437, Division 1. Safety committee members may be allotted additional time during normal work hours to complete their member responsibilities as necessary and feasible. Membership on the safety committee will be noted on employee performance appraisals under professional development as evidence of potential for increased responsibilities and promotion.

---

---

---

---

---

---

---

---

---

---

The CEO, through respective department managers, will respond to safety committee recommendations according to the following schedule:

If probable result of the hazard/unsafe practice is:	Response will be within:
Fatality	Immediately
Serious physical harm	Within 1 week
Minor physical harm	Within 30 days

Employees are encouraged to communicate directly with their supervisor and/or safety committee representatives about any safety matter they wish, including hazardous conditions, unsafe work practices, and safety suggestions.

---

---

---

The safety committee will develop procedures for analyzing all workplace incidents and accidents. Supervisors will have primary responsibility for conducting incident/accident analysis that occur within the areas under their control. All employees who are responsible for conducting accident analysis will be trained in effective techniques and procedures.

### **F. Safety Program Evaluation**

This plan will be evaluated for effectiveness by the safety committee annually. Results of the evaluation will be communicated directly to the CEO.

### **G. Improvement**

The safety coordinator/safety committee will submit written recommendations for improvement of safety management programs, policies, plans, processes and procedures. Management will respond to recommendations for improvement within 30 days.

### **H. Review**

Reviewed by: \_\_\_\_\_ Date: \_\_\_\_\_

### **I. Approval/Certification**

Approved by: \_\_\_\_\_ Date: \_\_\_\_\_



# Tips and Tools

## **SAFETY AND HEALTH MANAGEMENT PROGRAM EVALUATION FORM**

(Choose one) 5=Fully Met   3=Mostly Met   1=Partially Met   0=Not Present

### **Element 1: Management Commitment**

- \_\_\_ 1. A written policy that sets a high priority for safety and health exists.
- \_\_\_ 2. A written safety and health goal and supporting objectives exist.
- \_\_\_ 3. The workplace safety and health policy is supported by management.
- \_\_\_ 4. Safety and health goals and objectives are supported by management.
- \_\_\_ 5. Management supports safety and health rules.
- \_\_\_ 6. Managers personally follow safety and health rules.
- \_\_\_ 7. Managers personally intervene in the safety behavior of others.
- \_\_\_ 8. Managers set a visible example of safety and health leadership.
- \_\_\_ 9. Managers participate in the safety and health training of employees.

### **Element 2: Labor and Management Accountability**

- \_\_\_ 10. Management enforces safety and health rules.
- \_\_\_ 11. Safety and health program tasks are each specifically assigned to a person or position for performance or coordination.
- \_\_\_ 12. Each assignment of safety and health responsibility is clearly communicated.
- \_\_\_ 13. Individuals with assigned safety and health responsibilities have the necessary knowledge, skills, and timely information to perform their duties.
- \_\_\_ 14. Individuals with assigned safety and health responsibilities have the authority to perform their duties.
- \_\_\_ 15. Individuals with assigned safety and health responsibilities have the resources to perform their duties.
- \_\_\_ 16. An accountability mechanism is included with each assignment of safety and health responsibility.
- \_\_\_ 17. Individuals are recognized and rewarded for meeting safety and health responsibilities.
- \_\_\_ 18. Individuals are disciplined for not meeting safety and health responsibilities.
- \_\_\_ 19. Supervisors know whether employees are meeting their safety and health responsibilities.

## **Element 2: Employee Involvement**

- \_\_\_ 20. There is a process designed to involve employees in safety and health issues.
- \_\_\_ 21. Employees are aware of the safety and health involvement process at the workplace.
- \_\_\_ 22. Employees believe the process that involves them in safety and health issues is effective.
- \_\_\_ 23. The workplace safety and health policy is effectively communicated to employees.
- \_\_\_ 24. The workplace safety and health policy is supported by employees.
- \_\_\_ 25. Safety and health goals and supporting objectives are effectively communicated to employees.
- \_\_\_ 26. Safety and health goals and objectives are supported by employees.
- \_\_\_ 27. Employees use the hazard reporting system.
- \_\_\_ 28. Injury/Illness data analyses are reported to employees.
- \_\_\_ 29. Hazard control procedures are communicated to potentially affected employees.
- \_\_\_ 30. Employees are aware of how to obtain competent emergency medical care.

## **Element 4: Hazard Identification and Control**

- \_\_\_ 31. A comprehensive baseline hazard survey has been conducted within the past five years.
- \_\_\_ 32. Effective job hazard analysis (JHA) is performed, as needed.
- \_\_\_ 33. Effective safety and health inspections are performed regularly.
- \_\_\_ 34. Effective surveillance of established hazard controls is conducted.
- \_\_\_ 35. An effective hazard reporting system exists.
- \_\_\_ 36. Change analysis is performed whenever a change in facilities, equipment, materials, or processes occurs.
- \_\_\_ 37. Expert hazard analysis is performed, as needed.
- \_\_\_ 38. Hazards are eliminated or controlled promptly.
- \_\_\_ 39. Hazard control procedures demonstrate a preference for engineering methods.
- \_\_\_ 40. Effective engineering controls are in place, as needed.
- \_\_\_ 41. Effective administrative controls are in place, as needed.
- \_\_\_ 42. Safety and health rules are written.
- \_\_\_ 43. Safe work practices are written.

- \_\_\_ 44. Personal protective equipment is effectively used as needed.
- \_\_\_ 45. Effective preventive and corrective maintenance is performed.
- \_\_\_ 46. Emergency equipment is well maintained.
- \_\_\_ 47. Engineered hazard controls are well maintained.
- \_\_\_ 48. Housekeeping is properly maintained.
- \_\_\_ 49. The organization is prepared for emergency situations.
- \_\_\_ 50. The organization has an effective plan for providing competent emergency medical care to employees and others present on the site.
- \_\_\_ 51. An early-return-to-work program is in place at the facility.

### **Element 5: Incident and Accident Investigation**

- \_\_\_ 52. Incidents/Accidents are investigated for root causes.
- \_\_\_ 53. Investigations are conducted to improve systems.
- \_\_\_ 54. Investigators are trained in procedures.
- \_\_\_ 55. Serious accidents/fatality investigations are conducted by teams.
- \_\_\_ 56. Analysis involves all interested parties.
- \_\_\_ 57. Disciplinary actions are not automatic tied to incidents/accidents.

### **Element 6: Education and Training**

- \_\_\_ 58. An organized safety and health training program exists.
- \_\_\_ 59. Employees receive safety and health training.
- \_\_\_ 60. Employee training covers hazards of the workplace.
- \_\_\_ 61. Employee safety and health training covers all OSHA-required subjects.
- \_\_\_ 62. Employee training covers the facility safety system.
- \_\_\_ 63. Appropriate safety and health training is provided to every employee.
- \_\_\_ 64. New employee orientation includes applicable safety and health information.
- \_\_\_ 65. Workplace safety and health policy is understood by employees.
- \_\_\_ 66. Safety and health goals and objectives are understood by employees.

- \_\_\_ 67. Employees periodically practice implementation of emergency plans.
- \_\_\_ 68. Employees are trained in the use of emergency equipment.
- \_\_\_ 69. Supervisors receive safety and health training.
- \_\_\_ 70. Supervisors receive all training required by OSHA standards.
- \_\_\_ 71. Supervisors are effectively trained on all applicable hazards.
- \_\_\_ 72. Supervisors are trained on all site-specific preventive measures and controls relevant to their needs and supervisory responsibilities.
- \_\_\_ 73. Supervisor training covers the supervisory aspects of their safety and health responsibilities.
- \_\_\_ 74. Safety and health training is provided to managers, as appropriate.
- \_\_\_ 75. Managers are aware of all relevant safety and health training mandated by OSHA.
- \_\_\_ 76. Managers understand the organization's safety and health system.
- \_\_\_ 77. Relevant safety and health aspects are integrated into all management training.
- \_\_\_ 78. Relevant safety and health aspects are integrated into all management training.

### **Element 7: Periodic Evaluation**

- \_\_\_ 79. Workplace injury/illness data are effectively analyzed.
- \_\_\_ 80. Safety and health training is regularly evaluated.
- \_\_\_ 81. Post-training knowledge and skills for safety and health are tested or evaluated.
- \_\_\_ 82. Hazard incidence data are effectively analyzed.
- \_\_\_ 83. Hazard controls are monitored to assure continued effectiveness.
- \_\_\_ 84. A review of in-place OSHA-mandated programs is conducted at least annually.
- \_\_\_ 85. A review of the overall safety and health management system is conducted at least annually.

# 25 Attributes of Excellence of a Safety and Health Management Program

## 1. Written Safety and Health Policy

- a. There is a policy that promotes safety and health.
- b. The policy is available in writing.
- c. The policy is straight forward and absolutely clear.
- d. Senior management supports the policy.
- e. The policy can be easily explained or paraphrased by others within the workforce.
- f. The safety and health policy is expressed in the context of other organizational values.
- g. The policy statement goes beyond compliance to address the safety behavior of all members of the organization.
- h. The safety and health policy guides all employees in making a decision in favor of safety and health when apparent conflicts arise with other values and priorities.

## 2. Clear Safety and Health Goals and Objectives Set and communicated

- a. A set of safety and health goal exists in writing.
- b. The goals relate directly to the safety and health policy or vision.
- c. The goals incorporate the essence of "a positive and supportive safety system integrated into the workplace culture" into its language.
- d. The goals are supported by senior management and can be easily explained or paraphrased by others within the workplace.
- e. Objectives exist which are designed to achieve the goals.
- f. The objectives relate to deficiencies identified on the Form 33 or on a comparable assessment tool.
- g. The objectives are clearly assigned to responsible individual(s).
- h. A measurement system exists which reliably indicates progress on objectives toward the goal.
- i. The measurement system is consistently used to manage work on objectives.
- j. Others can easily explain the objectives within the workplace.
- k. The workforce knows measures used to track objective progress.
- l. Members of the workforce are active participants in the objectives process.

## 3. Management Leadership

- a. The positive influence of management is evident in all elements of the safety and health program.
- b. Members of the workforce perceive management to be exercising positive leadership.
- c. Members of the workforce can give examples of management's positive leadership.

## 4. Authority and Resources for Safety and Health

### Authority

- a. Authority to meet assigned responsibilities exists for all personnel.
- b. Authority is granted in writing.
- c. Authority is exclusively within the control of the individual holding the responsibility.
- d. Personnel believe they *actually have* the authority granted to them.
- e. Personnel understand *how to exercise* the authority granted to them.
- f. Personnel have the will *to exercise* the authority granted to them.
- g. Responsibilities are being met appropriately and on time.

## Resources

- a. Adequate resources (personnel, methods, equipment, and funds) to meet responsibilities are available to all personnel.
- b. Necessary resources are exclusively within the control of the individual holding the responsibility.
- c. All personnel are effectively applying resources in order to meet responsibilities.

## 5. Accountability

- a. All personnel are held accountable for meeting their safety and health responsibilities.
- b. Methods exist for monitoring performance of responsibilities.
- c. Failure to meet assigned responsibilities is addressed and results in appropriate coaching and/or negative consequences.
- d. Personnel meeting or exceeding responsibilities are appropriately reinforced for their behavior with positive consequences.
- e. Data related to key elements of safety and health performance are accumulated and displayed within the workplace to inform all personnel of progress being made.
- f. Accountability data is used by individuals and teams to revise goals and objectives so as to facilitate continuous improvement in safety and health.

## 6. Management Example

- a. All managers know and understand the safety and health rules of the organization and the safe behaviors they expect from others.
- b. Managers throughout the organization consistently follow the rules and behavioral expectations set for others in the workforce as a matter of personal practice.
- c. Members of the workforce perceive management to be consistently setting positive examples and can illustrate why they hold these positive perceptions.
- d. Members of management at all levels consistently address the safety behavior of others by coaching and correcting poor behavior and positively reinforcing good behavior.
- e. Members of the workforce credit management with establishing and maintaining positive safety values in the organization through their personal example and attention to the behavior of others.

## 7. Company- Specific Work Rules

- a. The rules are clearly written.
- b. The rules relate to the safety and health policy.
- c. The rules address potential hazards.
- d. Safe work rules are understood and followed as a result of training and accountability.
- e. Top management supports work rules as a condition of employment.
- f. Methods exist for monitoring performance.
- g. All personnel, including managers, are held accountable to follow the rules.
- h. Employees have significant input to the rules.
- i. Workers have authority to refuse unsafe work.
- j. Workers are allowed access to information needed to make informed decisions.
- k. Documented observations demonstrate that employees at all levels are adhering to safe work rules.

## **8. Employee Involvement**

- a. Employees accept personal responsibility for ensuring a safe and healthy workplace.
- b. The employer provides opportunities and mechanism(s) for employees to influence safety and health program design and operation.
- c. There is evidence of management support of employee safety and health interventions.
- d. Employees have a substantial impact on the design and operation of the safety and health program.
- e. There are multiple avenues for employee participation.
- f. The avenues are well known, understood, and utilized by employees.
- g. The avenues and mechanisms for involvement are effective in reducing accidents and enhancing safe behaviors.

## **9. Structured Safety and Health Forum That Encourages Employee Involvement**

- a. A written Charter or SOP outlines the safety committee structure and other forums.
- b. There is a structured safety and health forum in the goals.
- c. Meetings are planned, using an agenda, and remain focused on safety and health.
- d. They hold regularly scheduled safety committee and/or crew meetings.
- e. Employees throughout the company are aware of the forums.
- f. Employees on the committee are actively participating and contributing to discussion (also at crew meetings).
- g. Minutes are kept and made available to all employees.
- h. Upper management actively participates in committee and crew meetings.
- i. A method exists for systematic tracking of recommendations, progress reports, resolutions, and outcomes.
- j. Employees are involved in selecting topics.
- k. Participation in the committee is respected and valued in the organization.
- l. The safety committee is supplemented with other forums like crew and toolbox meetings as needed.
- m. Clear roles and responsibility are established for the committee and officers.
- n. There are open lines of communication between workers and forum meetings.
- o. The Safety Committee analyzes safety and health hazards to identify deficiencies in the Injury and Illness Prevention Program.
- p. The safety committee makes an annual review of the Injury and Illness Prevention Program.
- q. Reviewed results are used to make positive changes in policy, procedures and plans.
- r. The review includes all facets of the facility.

## **10. Hazard Reporting System**

- a. A system for employee hazard reporting is in place and is known to all employees.
- b. The system allows for the reporting of physical and behavioral hazards.
- c. Supervisors and managers actively encourage use of the system and employees feel comfortable using the system in all situations.
- d. The system provides for self-correction through empowerment.
- e. The system involves employees in correction planning, as appropriate.
- f. The system provides for rapid and regular feedback to employees on the status of evaluation and correction.
- g. Employees are consistently reinforced for using the system.
- h. Appropriate corrective action is taken promptly on all confirmed hazards.
- i. Interim corrective action is taken immediately on all confirmed hazards where delay in final correction will put employees or others at risk.
- j. The system provides for data collection and display as a means to measure the success of the system in resolving identified hazards.

## **11. Hazard Identification (Expert Survey)**

- a. The surveys are completed at appropriate intervals, with consideration to more frequent surveys in more hazardous, complex, and highly changing environments.
- b. The surveys are performed by individuals competent in hazard identification and control, especially with hazards that are present at the worksite.
- c. The survey drives immediate corrective action on items found.
- d. The survey results in optimum controls for hazards found.
- e. The survey results in updated hazard inventories.

## **12. Hazard Controls**

- a. Hazard controls are in place at the facility.
- b. Hazard controls are selected in appropriate priority order, giving preference to engineering controls, safe work procedures, administrative controls, and personal protective equipment (in that order).
- c. Once identified, hazards are promptly eliminated or controlled.
- d. Employees participate in developing and implementing methods for the elimination or control of hazards in their work areas.
- e. Employees are fully trained in the use of controls and ways to protect themselves in their work area, and utilize those controls.

## **13. Hazard Identification (Change Analysis)**

- a. Operational changes in space, processes, materials, or equipment at the facility are planned.
- b. Planned operational changes are known to responsible management and affected workers during the planning process.
- c. A comprehensive hazard review process exists and is used for all operational changes.
- d. The comprehensive hazard review process involves competent, qualified specialists appropriate to the hazards anticipated and the operational changes being planned.
- e. Members of the affected workforce actively participate in the comprehensive hazard review process.
- f. The comprehensive hazard review process results in recommendation for enhancement or improvement in safety and health elements of the planned operational change which are accepted and implemented prior to operational start-up.

## **14. Hazard Identification (Job Hazard Analysis)**

- a. Members of management and of the workforce are aware that hazards can develop within existing jobs, processes and/or phases of activity.
- b. One or more hazard analysis systems designed to address routine job, process, or phase hazards is in place at the facility.
- c. All jobs, processes, or phases of activity are analyzed using the appropriate hazards analysis system.
- d. All jobs, processes, or phases of activity are analyzed whenever there is a change, when a loss incident occurs, or on a schedule of no more than three years.
- e. All hazard analyses identify corrective or preventive action to be taken to reduce or eliminate the risk of injury or loss, where applicable.
- f. All corrective or preventive actions identified by the hazard analysis process have been implemented.
- g. Upon implementation of the corrective or preventive actions identified by the hazard analysis process, the written hazard analysis is revised to reflect those actions.
- h. All members of the workforce have been trained on the use of appropriate hazard analysis systems.
- i. A representative sample of employees is involved in the analysis of the job, process, or phase of activity which applies to their assigned work.
- j. All members of the workforce have ready access to, and can explain the key elements of, the hazard analysis, which applies to their work.

## **15. Hazard Identification (Routine Inspection)**

- a. Inspections of the workplace are conducted in all work areas to identify new, reoccurring, or previously missed safety or health hazards and/or failures in hazard control systems.
- b. Inspections are conducted routinely at an interval determined necessary based on previous findings or industry experience (at least quarterly at fixed worksites, weekly at rapidly changing sites such as construction, as frequently as daily or at each use where necessary).
- c. Personnel at all levels of the organization are routinely involved in safety and health inspections.
- d. All personnel involved in inspections have been trained in the inspection process and in hazard identification.
- e. Standards exist which outline minimum acceptable levels of safety and health and which are consistent with federal OSHA or state safety and health requirements, where they exist.
- f. Standards cover all work and workplaces at the facility and are readily available to all members of the workforce.
- g. All personnel involved in inspections have been trained on the workplace safety and health standards and demonstrate competence in the standards and their application to the worksite.
- h. All inspections result in a written report of hazard findings, where applicable.
- i. All written reports of inspections are retained for a period required by law or sufficient to show a clear pattern of inspections.
- j. All hazard findings are corrected as soon as practically possible and are not repeated on subsequent inspections.
- k. Statistical summaries of all routine inspections are prepared, charted, and distributed to management and the workforce so as to show status and progress at hazard elimination.

## **16. Emergency Preparation**

- a. All potential emergency situations that may impact the facility are identified.
- b. A facility plan to deal with all potential emergencies has been prepared in writing.
- c. The plan incorporates all elements required by law, regulation, and local code (including the requirements of 1910.38, 1910.119, 1910.120, and RCRA, where applicable).
- d. The plan is written to complement and support the emergency response plans of the community and adjacent facilities.
- e. The plan is current.
- f. All personnel at the facility can explain their role under the plan and can respond correctly under exercise or drill situations.
- g. Community emergency response commanders know the plan.
- h. The plan is tested regularly with drills and exercises.
- i. Community emergency responders are involved, where appropriate, in the facility drills and exercises.
- j. The plan is implemented immediately when an emergency at or impacting the facility is known.
- k. The plan is effective at limiting the impact of the emergency on the facility and the workforce.

### **Emergency Communication**

- a. Emergency communications systems are installed at the facility.
- b. The communication systems are redundant (such as alarm boxes, emergency telephones, PA systems, portable radios).
- c. The communication systems are operational.
- d. The communication systems are tested at regular intervals (at least monthly).

- e. All personnel at the facility are trained in the use of the communication systems and can demonstrate their proper use.
- f. Exit signs, evacuation maps, and other emergency directions are installed at the facility.
- g. Emergency directions are available, correct and accurate in all spaces, corridors, and points of potential confusion.
- h. Personnel are aware of the emergency directions and can accurately describe the action they are to take in an emergency based on the directions available to them in their work area.
- i. Emergency equipment appropriate to the facility (including sprinkler systems, fire extinguishers, first aid kits, fire blankets, safety showers and eye washes, emergency respirators, protective clothing, spill control and clean-up material, chemical release computer modeling, etc.) is installed or available. )
- j. Emergency equipment is distributed in sufficient quantity to cover anticipated hazards and risks, is operational, and is tested at regular intervals (at least monthly).
- k. All personnel at the facility are trained in the use of emergency equipment available to them and can demonstrate the proper use of the equipment.

## **17. Emergency Medical Assistance**

- a. The facility has a plan for providing emergency medical care to employees and others present on the site.
- b. The plan provides for competent emergency medical care, which is available on all shifts of work.
- c. Competent emergency medical care, when needed, is actually provided in accordance with the plan.
- d. All emergency medical delivery is done in accordance with standardized protocols.
- e. Competent emergency medical care, if provided on- site, is certified to at least the basic first aid and CPR levels.
- f. Off-site providers of emergency medical care, if utilized, are medical doctors, registered nurses, paramedics, emergency medical technicians or certified first responders.
- g. All members of the workforce are aware of how to obtain competent emergency medical care.

## **18. Facility/Equipment Maintenance**

- a. A preventive maintenance program is in place at the facility.
- b. Manufacturers or builders routine maintenance recommendations have been obtained and are utilized for all applicable facilities, equipment, machinery, tools, and/or materials.
- c. The preventive maintenance system ensures that maintenance for all operations in all areas is actually conducted according to schedule.
- d. Operators are trained to recognize maintenance needs and perform or order maintenance on schedule.

## **19. Accident/Incident Investigation and Control**

- a. Workplace policy requires the reporting of all actual and "near miss" accidents.
- b. All members of the workforce are familiar with the policy on accident/incident reporting.
- c. All accidents and incidents are reported as required by policy.
- d. Workplace policy requires a thorough investigation of all accidents and incidents.
- e. All accidents and incidents are investigated as required by policy.
- f. All investigations are conducted by personnel trained in accident/incident investigation techniques.
- g. All investigations include input from impacted parties and witnesses, where possible.
- h. All investigations determine "root causes".
- i. Recommendations designed to adequately address root causes are made as a result of all investigations and result in prompt corrective action.
- j. Completed investigative reports are routed to appropriate levels of management and knowledgeable staff for review and are provided promptly to government officials, as required, in accordance with law and applicable standards.

## **20. Injury/Illness Analysis**

- a. A system exists which tracks trends in safety and health at the facility.
- b. The system addresses trailing indicators, including accidents, occupational injuries and illnesses, hazards identified, and complaints from employees and others.
- c. The system addresses leading indicators of safety and health effectiveness, including employee attitudes and employee behaviors.
- d. All personnel at the facility are aware of the need to provide incident and activity information to the system, and do so systematically, accurately, and consistently.
- e. An individual, or group, is assigned responsibility for compiling and analyzing records for safety and health trends.
- f. Trend data is consistently provided to all facility personnel.
- g. All personnel are fully aware of safety and health trends, causes, and means of prevention.
- h. Trend data is utilized to drive improvement and prevention activities.
- i. Employees are active participants in the determination of collection methods, collection, analysis, and intervention selection.

## **21. Employees Learn Hazards, How to Protect Themselves and Others**

- a. An employee safety and health training program exists at the facility.
- b. The training is provided to all employees, unless proficiency in the knowledge and skills being taught have been effectively demonstrated.
- c. The training covers all legally-required subjects.
- d. The training covers hazards (awareness, location, identification, and protection or elimination).
- e. The training covers the facility safety system (policy, goals and objectives, operations, tools and techniques, responsibilities, and system measurement).
- f. Training is regularly evaluated for effectiveness and revised accordingly.
- g. Post-training knowledge and skills are tested or evaluated to ensure employee proficiency in the subject matter.
- h. The training system ensures that knowledge and skills taught are consistently and correctly applied by employees.

## **22. Understanding Assigned Safety and Health Responsibilities**

- a. All elements of the company's safety and health program are specifically assigned to a job or position for coordination.
- b. Assignments are in writing.
- c. Each assignment covers broad performance expectations.
- d. All personnel with program assignments are familiar with their responsibilities.

## **23. Supervisors Know Safety and Health Responsibilities and Underlying Reasons**

- a. A supervisory safety and health training program exists at the facility.
- b. The training is provided to all supervisors, unless proficiency in the knowledge and skills being taught has been effectively demonstrated.
- c. The training covers all subject matter delivered to employees to the extent necessary for supervisors to evaluate employee knowledge and skills and to reinforce or coach desired employee safety and health behaviors.
- d. The training covers the facility safety system (policy, goals and objectives, operations, tools and techniques, responsibilities, and system measurement).
- e. The training covers supervisory safety and health responsibilities.
- f. Training is regularly evaluated for effectiveness and revised accordingly.
- g. Post-training knowledge and skills are tested or evaluated to ensure supervisory proficiency in the subject matter.
- h. The training system ensures that knowledge and skills taught are consistently and correctly applied by supervisors.

## **24. Managers/Supervisors Learn Safety and Health Program Management**

- a. A management safety and health training program exists at the facility.
- b. The training is provided to all managers, unless proficiency in the knowledge and skills being taught have been effectively demonstrated.
- c. The training covers all subject matter delivered to employees and supervisors to the extent necessary for managers to evaluate employee and supervisory knowledge and skills and to reinforce or coach desired safety and health behaviors.
- d. The training covers the facility safety system (management concepts and philosophies, policy, goals and objectives, operations, tools and techniques, and system measurement).
- e. The training covers management safety and health responsibilities.
- f. Training is regularly evaluated for effectiveness and revised accordingly.
- g. Post-training knowledge and skills are tested or evaluated to ensure management proficiency in the subject matter.
- h. The training system ensures that knowledge and skills taught are consistently and correctly applied by managers.

## **25. Safety and Health Program Review**

- a. The Safety and Health Program is reviewed at least annually.
- b. The criteria for the review is against the OSHA Safety and Health Program Guidelines or other recognized consensus criteria in addition to the facility goal and objectives and any other facility-specific criteria.
- c. The review samples evidence over the entire facility or organization.
- d. The review examines written materials, the status of goals and objectives, records of incidents, records of training and inspections, employee and management opinion, observable behavior and physical conditions.
- e. Review is conducted by an individual (or team) determined competent in all applicable areas by virtue of education, experience, and/or examination.
- f. The results of the review are documented and drive appropriate changes or adjustments in the program.
- g. Identified deficiencies do not appear on subsequent reviews as deficiencies.
- h. A process exists which allows deficiencies in the program to become immediately apparent and corrected in addition to a periodic comprehensive review.
- i. Evidence exists which demonstrates that program components actually result in the reduction or elimination of accidents.