ANSI Z-10 Audit

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| 3.0 Management Leadership and Employee Participation |
|  | Documents | Records | Interviews | Obs | Score |
| **3.1 Management Leadership.** |  |  |  |  |  |
|  |  |  |  |  |
|  | 3.1.1 Occupational Health and Safety Management System. |  |  |  |  |  |
|  | Has top management directed the organization to establish, implement and maintain an OHSMS in conformance with the requirements of this standard that is appropriate to the nature and scale of the organization and its occupational health and safety risks? |  |  |  |  |  |
|  | 3.1.2 OHS Policy. |  |  |  |  |  |
|  | Has top management established a documented occupational health and safety policy as the foundation for the OHSMS? Does this policy include a commitment to:  |  |  |  |  |  |
|  | * Protection and continual improvement of employee health and safety?
 |  |  |  |  |  |
|  | * Effective employee participation?
 |  |  |  |  |  |
|  | * Conformance with the organization’s health and safety requirements?
 |  |  |  |  |  |
|  | * Compliance with applicable laws and regulations?
 |  |  |  |  |  |
|  | Is the policy made available and communicated to employees, dated and signed, or otherwise officially authorized and endorsed by top management?  |  |  |  |  |  |
|  | 3.1.3 Responsibility and Authority. |  |  |  |  |  |
|  | Does top management provide leadership and assume overall responsibility for:  |  |  |  |  |  |
|  | * Implementing, maintaining, and monitoring performance of the OHSMS?
 |  |  |  |  |  |

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|  | Documents | Records | Interviews | Obs | Score |
|  | * Providing appropriate financial, human, and organizational resources to plan, implement, operate, check, correct, and review the OHSMS?
 |  |  |  |  |  |
|  | * Defining roles, assigning responsibilities, establishing accountability, and delegating authority to implement an effective OHSMS for continual improvement?
 |  |  |  |  |  |
|  | * Integrating the OHSMS into the organization’s other business systems and processes?
 |  |  |  |  |  |
|  | Have employees assumed responsibility for aspects of health and safety over which they have control, including adherence to the organization’s health and safety rules and requirements? |  |  |  |  |  |
| **3.2 Employee Participation.** |  |  |  |  |  |
|  |  |  |  |  |
|  | Has the organization established and implemented processes to ensure effective participation in the OHSMS by its employees at all levels of the organization, including those working closest to the hazard by: |  |  |  |  |  |
|  | * Providing employees and employee representatives with the mechanisms, time, and resources necessary to participate in, at a minimum, the processes of:
 |  |  |  |  |  |
|  | * + Planning (4.0)?
 |  |  |  |  |  |
|  | * + Implementation (5.0)?
 |  |  |  |  |  |
|  | * + Evaluation, corrective, and preventive action (6.0)?
 |  |  |  |  |  |
|  | * Providing employees, and employee representatives, with timely access to information relevant to the OHSMS?
 |  |  |  |  |  |
|  | * Identifying and removing obstacles or barriers to participation?
 |  |  |  |  |  |
|  |  |  |  |  |  |  |
| Total: Management Leadership and Employee Participation |  |  |  |  |  |

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| 4.0 Planning |
|  | Documents | Records | Interviews | Obs | Score |
| **4.1 Initial and Ongoing Reviews.** |  |  |  |  |  |
|  |  |  |  |  |
|  | Has the organization gathered and reviewed information necessary to identify OHSMS issues in order to establish or improve its management system and to achieve conformance with this standard? |  |  |  |  |  |
|  | 4.1.1 Initial Review. |  |  |  |  |  |
|  | Has the organization’s OHSMS, if one is in place, been reviewed to assess conformance with the requirements in this standard. Does the review include information regarding: |  |  |  |  |  |
|  | * Relevant business management systems?
 |  |  |  |  |  |
|  | * Hazards, risks, and controls?
 |  |  |  |  |  |
|  | * Resources?
 |  |  |  |  |  |
|  | * Applicable regulations, standards, and other health and safety requirements?
 |  |  |  |  |  |
|  | * Assessments?
 |  |  |  |  |  |
|  | * Other relevant activities?
 |  |  |  |  |  |
|  | 4.1.2 Ongoing Review. |  |  |  |  |  |
|  | Has the organization established and implemented an ongoing review process that incorporates information arising from relevant system activities, including Planning (Section 4), Implementation of the OHSMS (Section 5), Evaluation and Corrective Action (Section 6), and Management Review (Section 7)?  |  |  |  |  |  |
| 4.2 Assessment and Prioritization. |  |  |  |  |  |
|  |  |  |  |  |
|  | Has the organization established and implemented a process to assess and prioritize the OHSMS issues identified in 4.1? Does that process: |  |  |  |  |  |
|  | * Assess the impact on health and safety of OHSMS issues and assess the level of risk for identified hazards?
 |  |  |  |  |  |
|  | * Establish priorities based on factors such as the level of risk, potential for system improvements, standards, regulations, feasibility, and potential business consequences?
 |  |  |  |  |  |
|  | * Identify underlying causes and other contributing factors related to system deficiencies that lead to hazards and risks?
 |  |  |  |  |  |
|  | Documents | Records | Interviews | Obs | Score |
| 4.3 Objectives. |  |  |  |  |  |
|  |  |  |  |  |
|  | The organization shall establish and implement a process to set documented objectives, quantified where practicable, based on issues that offer the greatest opportunity for OHSMS improvement and risk reduction. Are the number and content of objectives: |  |  |  |  |  |
|  | * Based upon the priorities developed in 4.2?
 |  |  |  |  |  |
|  | * Focused on system improvements to eliminate or control in a sustained manner the underlying causes and contributing factors associated with risk?
 |  |  |  |  |  |
|  | * Consistent with the organization’s occupational health and safety policy?
 |  |  |  |  |  |
|  | * Set, reviewed, and modified at appropriate intervals to reflect efforts to achieve continual improvement?
 |  |  |  |  |  |
|  | * Modified according to changing information and conditions that impact schedule or attainment?
 |  |  |  |  |  |
| 4.4 Implementation Plans and Allocation of Resources. |  |  |  |  |  |
|  |  |  |  |  |
|  | Has the organization: |  |  |  |  |  |
|  | * Established and implemented a documented implementation plan for achieving the objectives? Does the plan define resources, responsibilities, timeframes, intermediate steps, and appropriate measurements of progress?
 |  |  |  |  |  |
|  | * Assign resources to achieve the established objectives of the implementation plans. elements into the management system?
 |  |  |  |  |  |
|  |  |  |  |  |  |  |
| Total: Planning |  |  |  |  |  |

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| 5.0 Implementation and Operation |
|  | Documents | Records | Interviews | Obs | Score |
| **5.1** |  |
|  | 5.1.1 Hierarchy of Controls. |  |  |  |  |  |
|  | Has the organization implemented and maintained a process for achieving feasible risk reduction based upon the following preferred order of controls: |  |  |  |  |  |
|  | * Elimination?
 |  |  |  |  |  |
|  | * Substitution of less hazardous materials, processes, operations, or equipment?
 |  |  |  |  |  |
|  | * Engineering controls?
 |  |  |  |  |  |
|  | * Warnings?
 |  |  |  |  |  |
|  | * Administrative controls?
 |  |  |  |  |  |
|  | * Personal protective equipment?
 |  |  |  |  |  |
|  | Does feasible application of this hierarchy of controls take into account: |  |  |  |  |  |
|  | * + The nature and extent of the risks being controlled?
 |  |  |  |  |  |
|  | * + The degree of risk reduction desired?
 |  |  |  |  |  |
|  | * + The requirements of applicable local, federal, and state statutes, standards, and regulations?
 |  |  |  |  |  |
|  | * + Recognized best practices in industry?
 |  |  |  |  |  |
|  | * + Available technology?
 |  |  |  |  |  |
|  | * + Cost-effectiveness?
 |  |  |  |  |  |
|  | * + Internal organization standards. processes or operations at the design stage?
 |  |  |  |  |  |
|  | 5.1.2 Design Review and Management of Change. |  |  |  |  |  |
|  | Has the organization established and implemented processes to identify, and take appropriate steps to prevent or otherwise control hazards and reduce potential risks associated with: |  |  |  |  |  |
|  | * New processes or operations at the design stage?
 |  |  |  |  |  |
|  | * Changes to its existing operations, products, services, or suppliers? Does the process for design reviews and management of change include:
 |  |  |  |  |  |
|  | * + Identification of tasks and related health and safety hazards?
 |  |  |  |  |  |
|  | * + Consideration of hazards associated with human factors?
 |  |  |  |  |  |

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|  | Documents | Records | Interviews | Obs | Score |
|  | * + Consideration of control measures? (hierarchy of controls-5.1.1)
 |  |  |  |  |  |
|  | * + Review of applicable regulations, codes, and standards?
 |  |  |  |  |  |
|  | * + A determination of the appropriate scope and degree of the design review and management of change?
 |  |  |  |  |  |
|  | 5.1.3 Procurement. |  |  |  |  |  |
|  | Has the organization established and implemented processes to:  |  |  |  |  |  |
|  | * Identify and evaluate the potential health and safety risks associated with purchased products, raw materials, and other goods and related services before introduction into the work environment?
 |  |  |  |  |  |
|  | * Establish requirements for supplies, equipment, raw materials, and other goods and related services purchased by the organization to control potential health and safety risks?
 |  |  |  |  |  |
|  | * Ensure that purchased products, raw materials, and other goods and related services conform to the organization’s health and safety requirements?
 |  |  |  |  |  |
|  | 5.1.4 Contractors. |  |  |  |  |  |
|  | Has the organization established and implemented processes to identify, evaluate and control potential health and safety risks:  |  |  |  |  |  |
|  | * To the organization’s employees from contractors’ planned and unplanned activities, operations, and materials on the organization’s premises?
 |  |  |  |  |  |
|  | * To the contractors’ employees from the organization’s activities and operations? Does this process include appropriate contractor health and safety performance criteria? On multi-employer worksites, has the organization implemented a process for coordinating the relevant portions of its OHSMS with that of other applicable organizations?
 |  |  |  |  |  |
|  | 5.1.5 Emergency Preparedness. |  |  |  |  |  |
|  | Has the organization established and implemented a process to prevent, prepare for, and/or respond to emergencies, including:  |  |  |  |  |  |
|  | * Development of plans to prevent and minimize risks from potential emergencies?
 |  |  |  |  |  |
|  | * Periodic testing of the emergency plans through drills and similar activities?
 |  |  |  |  |  |
|  | * Evaluating and updating the plans and procedures as necessary?
 |  |  |  |  |  |
| 5.2 Education, Training, Awareness, and Competence. |  |  |  |  |  |
|  |  |  |  |  |
|  | Has the organization established processes to: |  |  |  |  |  |

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|  | Documents | Records | Interviews | Obs | Score |
|  | * Define and assess the OHSMS competence needed for employees and contractors?
 |  |  |  |  |  |
|  | * Ensure through appropriate education, training, or other methods that employees and contractors are aware of applicable OHSMS requirements and are competent to carry out their responsibilities as defined in the OHSMS?
 |  |  |  |  |  |
|  | * Ensure effective access to, and remove barriers to participation in education and training as defined in the organization’s OHSMS?
 |  |  |  |  |  |
|  | * Ensure that training is provided in a language trainees understand?
 |  |  |  |  |  |
|  | * Ensure that trainers are competent to train employees?
 |  |  |  |  |  |
| 5.3 Communication. |  |  |  |  |  |
|  |  |  |  |  |
|  | Has the organization established and implemented processes to: |  |  |  |  |  |
|  | * Communicate information about the OHSMS and the implementation plan progress with affected levels of the organization?
 |  |  |  |  |  |
|  | * Achieve prompt employee reporting of work-related injuries, illnesses, incidents, and hazards and risks?
 |  |  |  |  |  |
|  | * Encourage employees to make recommendations regarding possible hazard control and reporting procedures?
 |  |  |  |  |  |
|  | * Identify and remove barriers to all the above?
 |  |  |  |  |  |
| 5.4 Document and Record Control Process. |  |  |  |  |  |
|  |  |  |  |  |
|  | Has the organization established and implemented a process to create and maintain documents and records specified by its OHSMS in order to:  |  |  |  |  |  |
|  | 1. Implement an effective OHSMS?
 |  |  |  |  |  |
|  | 1. Demonstrate or assess conformance with the requirements of this standard?
 |  |  |  |  |  |
|  | Does the process require that: |  |  |  |  |  |
|  | * The OHSMS identifies documents that need to be controlled. These documents shall be reviewed and updated as necessary, with dates of revision?
 |  |  |  |  |  |
|  | * Documents, including records, are legible, readily identifiable, accessible, protected against damage, deterioration, or loss, and retained for a specified period?
 |  |  |  |  |  |
|  |  |  |  |  |  |  |
| Total: Implementation and Operation |  |  |  |  |  |

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| 6.0 Evaluation and Corrective Action |
|  | Documents | Records | Interviews | Obs | Score |
| **6.1 Monitoring, Measurement, and Assessment.** |  |  |  |  |  |
|  |  |  |  |  |
|  | Has the organization established and implemented processes to monitor and evaluate hazards, risks, and controls to assess OHSMS performance?Do these processes include all or some of the following methods, depending on the nature and extent of identified hazards and risks: |  |  |  |  |  |
|  | * Workplace inspections and testing?
 |  |  |  |  |  |
|  | * Exposure assessment?
 |  |  |  |  |  |
|  | * Injury, illness, and incident tracking?
 |  |  |  |  |  |
|  | * Employee input?
 |  |  |  |  |  |
|  | * Occupational health assessment?
 |  |  |  |  |  |
|  | * Other methods as required by the organization’s OHSMS?
 |  |  |  |  |  |
|  | Are the results of these processes communicated to relevant parties, with attention to applicable laws and regulations on medical confidentiality? |  |  |  |  |  |
| 6.2 Incident Investigation. |  |  |  |  |  |
|  |  |  |  |  |
|  | Has the organization established and implemented processes to investigate and analyze reported work-related incidents in order to determine underlying OHSMS deficiencies and other factors that may be causing or contributing to the occurrence of incidents? Have the investigations been performed in a timely manner? |  |  |  |  |  |
| 6.3 Audits. |  |  |  |  |  |
|  |  |  |  |  |
|  | Has the organization established and implemented processes to:  |  |  |  |  |  |
|  | * Conduct periodic audits to determine whether the organization has appropriately applied and effectively implemented OHSMS elements, including identifying hazards and controlling risks?
 |  |  |  |  |  |
|  | * Have audit results been documented and communicated to:
 |  |  |  |  |  |
|  | 1. Those responsible for corrective and preventive action?
 |  |  |  |  |  |
|  | 1. Area supervision?
 |  |  |  |  |  |
|  | 1. Other affected individuals, including employees and employee representatives?
 |  |  |  |  |  |

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|  | Documents | Records | Interviews | Obs | Score |
|  | * Immediately communicate situations identified in audits that could be expected to cause a fatality, serious injury, or illness in the immediate future, so that prompt corrective action under section 6.4 is taken?
 |  |  |  |  |  |
| 6.4 Corrective and Preventive Actions. |  |  |  |  |  |
|  |  |  |  |  |
|  | Has the organization established and implemented corrective and preventive action processes to:  |  |  |  |  |  |
|  | * Address OHSMS deficiencies and inadequately controlled hazards?
 |  |  |  |  |  |
|  | * Identify any newly created hazards resulting from corrective and preventive actions and evaluate the overall risk reduction?
 |  |  |  |  |  |
|  | * Expedite action on inadequately controlled hazards that could cause serious injury and illness?
 |  |  |  |  |  |
|  | * Track actions taken to ensure their effective implementation?
 |  |  |  |  |  |
| 6.5 Feedback to the Planning Process. |  |  |  |  |  |
|  |  |  |  |  |
|  | Has the organization established and maintained processes to ensure that the results of monitoring and measurement, audits, incident investigation, and corrective and preventive actions are included in: |  |  |  |  |  |
|  | * The ongoing planning process (Section 4.1.2)?
 |  |  |  |  |  |
|  | * The management review (Section 7)?
 |  |  |  |  |  |
|  |  |  |  |  |  |  |
| Total: Evaluation and Corrective Action |  |  |  |  |  |

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| 7.0 Management Review |
|  | Documents | Records | Interviews | Obs | Score |
| **7.1 Management Review Process.** |  |  |  |  |  |
|  |  |  |  |  |
|  | Has the organization established and implemented a process for top management to review the OHSMS at least annually, and to recommend improvements to ensure its continued suitability, adequacy, and effectiveness? Inputs to the management review process shall include, among other information: |  |  |  |  |  |
|  | * Progress in the reduction of risk.
 |  |  |  |  |  |
|  | * Effectiveness of processes to identify, assess, and prioritize risk and system deficiencies.
 |  |  |  |  |  |
|  | * Effectiveness in addressing underlying causes of risks and system deficiencies.
 |  |  |  |  |  |
|  | * Input from employees and employee representatives.
 |  |  |  |  |  |
|  | * Status of corrective and preventive actions and changing circumstances.
 |  |  |  |  |  |
|  | * Follow-up actions from OHSMS audits and previous management reviews.
 |  |  |  |  |  |
|  | * The extent to which objectives have been met.
 |  |  |  |  |  |
|  | * The performance of the OHSMS relative to expectations, taking into consideration changing circumstances, resource needs, alignment of the business plan, and consistency with the Occupational Health and Safety policy.
 |  |  |  |  |  |
| 7.2 Management Review Outcomes and Follow-Up. |  |  |  |  |  |
|  |  |  |  |  |
|  | At the conclusion of the review, does top management determine the:  |  |  |  |  |  |
|  | * Future direction of the OHSMS based on business strategies and conditions?
 |  |  |  |  |  |
|  | * Need for changes to the organization’s policy, priorities, objectives, resources, or other OHSMS elements? Are action items developed from the findings of the management review? Are results and action items from the management reviews documented, communicated to affected individuals, and tracked to completion (Section 6.4)?
 |  |  |  |  |  |
| Total: Management Review |  |  |  |  |  |