

Appendix I

Checklist for On-site Review

Operational Review of the Consultation Project	✓ ✗	Comments
Progress in meeting annual training plans		
On-the-job evaluations		
Lapse time from request to delivery of service		
Management reports (i.e., written reports pending, pending hazard corrections, number of requests, and visits pending)		
Hiring and vacancies		
Project expenditures and budgetary issues		
Monitoring of consultants' performance		
Promotion of the Project's recognition and exemption program (SHARP)		
Marketing initiatives		
Project's internal quality assurance program		
Consistent use of the Safety and Health Program Worksheet (Revised OSHA Form 33) by all consultants		
Pertinent changes in the organization		
Performance issues carried over from previous review		
Items requiring action to correct deficiencies		
Criteria applying to all case files		
Requirement	✓ ✗	Comments
Are all field notes, observations, analyses, and other written documentation (such as hazard documentation, OSHA 300 logs, standard-required programs, safety and health management systems, site layouts) gathered prior to and during the hazard survey included in the case file?		
Does the file contain an evaluation of the employer's safety and health management system (Safety and Health Program Assessment Worksheet Revised OSHA Form 33)?		
Does the Safety and Health Program Assessment Worksheet (Revised OSHA Form 33) contain evidence adequate to support the conclusions and recommendations made for each indicator?		
If the purpose of the visit was to do formal training, was there: evidence in the file that either a hazard survey was performed or that a federal or state compliance officer, or private sector safety or health consultant had visited the site, within the 12 months preceding the date of request for the training?		

<p>If the employer was granted an extension of the original assigned Correction-Due Date (CDD):</p> <ul style="list-style-type: none"> - Was the request by the employer in writing? - Did the request include reasons why the correction was not completed in the established time frame? - Did the request include evidence that the employer is safeguarding employees against the hazard with interim protection during the correction period? 		
<p>Does the Written Report to the Employer contain:</p> <ul style="list-style-type: none"> - Summary of employer's request? - Scope of services provided? - Name of consultant? - Items of importance covered in the opening conference? - Description of the workplace and working conditions? - Comparison of the site's TRC and DART rates to the national industry average? - Consistent and proper classification of identified hazards, particularly serious hazards, including the corresponding applicable standards and codes and a statement that interim protection was recommended at the closing conference, if appropriate? - Appropriate recommendations for hazard correction and control, including technical advice as appropriate? - Standard Element Paragraphs (STEPS) modified to meet the employer's specific conditions? - Discussion of the relation of hazards found to deficiencies in the employer's safety and health management system, with appropriate site-specific recommendations? - Discussion of the employer's safety and health management system? - Appropriate summary of any training provided during the hazard survey? - Items of importance covered in the closing conference? 		
<p>Were there any delays documented from the request to the on-site visit, until the visit occurred?</p>		
<p>Were there any delays documented from the closing conference to the issuance of the final report?</p>		

Did the OSHA OIS Visit Activity include the number of employees interviewed?		
Were all serious hazards abated and documentation of abatement procedures included in the file?		
Additional Criteria Applying Only to Health Files:		
H1. Does the case file reflect appropriate sampling techniques?		
H2. Were the appropriate number of samples taken relative to the nature of the suspected hazard and the number of employees involved?		
H3. Were the appropriate sampling instruments used for the job?		
H4. Was there evidence of proper sampling instrument calibration either on the CDS forms or a separate calibration log?		
H5. Were the appropriate sampling techniques and practices followed?		
H6. Were the necessary sampling data recorded on sampling sheets and field notes?		
Additional Criteria Applying Only to SHARP Files (pertaining only to cases in which recognition has been granted)		
S1. Was a full service survey, addressing both safety and health hazards, completed?		
S2. Is there verification (written or observed on-site) that ALL hazards identified during the hazard survey were corrected?		
S3. Is there adequate documentation that the elements listed on the Safety and Health Program Assessment Worksheet (Revised OSHA Form 33) were implemented at the "2" level or above?		
S4. Are the employer's TRC and DART rates below the industry average?		
S5. Is there evidence of operating history of at least one year?		
Additional Criteria Applying Only to Case Files Containing On-the-Job Evaluations		
J1. Are all on-the-job evaluations conducted according to the project's internal quality assurance program?		

Appendix J

Safety and Health Program Assessment Worksheet (OSHA Form 33)

Request Number		Visit Number		Visit Date	
Employer					
Site Location					
Legend: 0 = No; 1 = No, Needs major improvement; 2 = Yes, Needs minor improvement; 3 = Yes; NA = Not Applicable; NE = Not Evaluated * = Stretch Items Attribute of Excellence					

Synthesis Item Score						
	0	1	2	3		
With the total knowledge you now have of this organization (whether or not such knowledge has been captured by attribute ratings), use your professional judgment to assign an overall score for the organization's safety and health system.						
Hazard Anticipation and Detection						
	0	1	2	3	NA	NE
1. A comprehensive, baseline hazard survey has been conducted within the past five (5) years.						
Comments:						
2. Effective safety and health self-inspections are performed regularly.						
Comments:						
3. Effective surveillance of established hazard controls is conducted.						
Comments:						
4. An effective hazard reporting system exists.						
Comments:						
5. Change analysis is performed whenever a change in facilities, equipment, materials, or processes occurs.						
Comments:						
6. Accidents are investigated for root causes.						
Comments:						
7. Material Safety Data Sheets are used to reveal potential hazards associated with chemical products in the workplace.						
Comments:						
8. Effective job hazard analysis is performed.						

Comments:						
9. Expert hazard analysis is performed.						
Comments:						
10. * Incidents are investigated for root causes.						
Comments:						
Hazard Prevention and Control						
	0	1	2	3	NA	NE
11. Feasible engineering controls are in place.						
Comments:						
12. Effective safety and health rules and work practices are in place.						
Comments:						
13. Applicable OSHA-mandated programs are effectively in place.						
Comments:						
14. Personal protective equipment is effectively used.						
Comments:						
15. Housekeeping is properly maintained.						
Comments:						
16. The organization is properly prepared for emergency situations.						
Comments:						
17. The organization has an effective plan for providing competent emergency medical care to employees and others present at the site.						
Comments:						
18. *Effective preventive maintenance is performed.						
Comments:						
19. An effective procedure for tracking hazard correction is in place.						
Comments:						
Planning and Evaluation						
	0	1	2	3	NA	NE
20. Workplace injury/illness data are effectively analyzed.						
Comments:						
21. Hazard incidence data are effectively analyzed.						
Comments:						
22. A safety and health goal and supporting objectives exist.						
Comments:						
23. An action plan designed to accomplish the organizations safety and health objectives is in place.						

Comments:						
24. A review of in-place OSHA-mandated programs is conducted at least annually.						
Comments:						
25. * A review of the overall safety and health management system is conducted at least annually.						
Comments:						
Administration and Supervision						
	0	1	2	3	NA	NE
26. Safety and health program tasks are each specifically assigned to a person or position for performance or coordination.						
Comments:						
27. Each assignment of safety and health responsibility is clearly communicated.						
Comments:						
28. * An accountability mechanism is included with each assignment of safety and health responsibility.						
Comments:						
29. Individuals with assigned safety and health responsibilities have the necessary knowledge, skills, and timely information to perform their duties.						
Comments:						
30. Individuals with assigned safety and health responsibilities have the authority to perform their duties.						
Comments:						
31. Individuals with assigned safety and health responsibilities have the resources to perform their duties.						
Comments:						
32. Organizational policies promote the performance of safety and health responsibilities.						
Comments:						
33. Organizational policies result in correction of non-performance of safety and health responsibilities.						
Comments:						
Safety and Health Training						
	0	1	2	3	NA	NE
34. Employees receive appropriate safety and health training.						
Comments:						

35. New employee orientation includes applicable safety and health information.						
Comments:						
36. Supervisors receive appropriate safety and health training.						
Comments:						
37. *Supervisors receive training that covers the supervisory aspects of their safety and health responsibilities.						
Comments:						
38. Safety and health training is provided to managers.						
Comments:						
39. *Relevant safety and health aspects are integrated into management training.						
Comments:						
Management Leadership						
	0	1	2	3	NA	NE
40. Top management policy establishes clear priority for safety and health.						
Comments:						
41. Top management considers safety and health to be a line rather than a staff function.						
Comments:						
42. *Top management provides competent safety and health staff support to line managers and supervisors.						
Comments:						
43. Managers personally follow safety and health rules.						
Comments:						
44. Managers delegate the authority necessary for personnel to carry out their assigned safety and health responsibilities effectively.						
Comments:						
45. Managers allocate the resources needed to properly support the organizations safety and health system.						
Comments:						
46. Managers assure that appropriate safety and health training is provided.						
Comments:						
47. Managers support fair and effective policies that promote safety and health performance.						
Comments:						
48. Top management is involved in the planning and evaluation of safety and health performance.						

Comments:

49. Top management values employee involvement and participation in safety and health issues.						
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Comments:

Employee Participation

	0	1	2	3	NA	NE
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50. There is an effective process to involve employees in safety and health issues.						
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Comments:

51. Employees are involved in organizational decision making in regard to safety and health policy.						
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Comments:

52. Employees are involved in organizational decision making regarding the allocation of safety and health resources.						
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Comments:

53. Employees are involved in organizational decision making regarding safety and health training.						
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Comments:

54. Employees participate in hazard detection activities.						
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Comments:

55. Employees participate in hazard prevention and control activities.						
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Comments:

56. *Employees participate in the safety and health training of co-workers.						
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Comments:

57. Employees participate in safety and health planning activities.						
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Comments:

58. Employees participate in the evaluation of safety and health performance.						
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Comments:

This copy of the Revised Form 33 is intended for example purposes only and not for program use. To view the current Revised Form 33 and OMB Number/Expiration Date, please go to www.osha.gov or the OSHA Information System (OIS).
