PROCESS AUDITING:
An Occupational Environmental Health and Safety Outlook
OBJECTIVES

At the conclusion of the presentation, the audience will understand:

- The regulations impacting the EHS field.
- Internal and external auditing strategies conducted to ensure compliance.
- Challenges with auditing EHS practices.
- Impact on current and future strategies.
<table>
<thead>
<tr>
<th>INTERNAL</th>
<th>EXTERNAL</th>
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<td>Value in improving the bottom line of the business.</td>
<td>Conformance to applicable regulations and standards.</td>
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<td>Based on the effectiveness of processes in the safety management system.</td>
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<td>Identify gaps and creates opportunities for improvement.</td>
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<td>Cost avoidance.</td>
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The primary purpose of a safety internal audit is to verify that an organization has a safety management system in place that meets the stated requirements.

- Comparing documentation.
- Reviewing records.
- Evaluating safety activities (state and federal requirements).
- Verification of conformance.
OBJECTIVES OF THE SAFETY AUDIT

- Verify conformance to applicable regulations and standards.
- Verify conformance to documented procedures.
- Verify effectiveness of safety processes in the system.
- Identify opportunities to improve the safety system.
SAFETY STANDARDS

- OSHA/TAC
- EPA/TCEQ
- DOT/IATA
- NIH
- NFPA/City/AHJ
- CDC/APHIS (USDA)
- NEC
- FDA
- DOE
SAFETY AUDIT PREPARATION

- **Step 1:** Define and understand the scope of the audit
- **Step 2:** Review applicable standards and regulations
- **Step 3:** Prepare process models
- **Step 4:** Review applicable documentation
- **Step 5:** Review previous audits
- **Step 6:** Create an effective checklist
- **Step 7:** Perform a pre-audit meeting
Step 1: Define and understand the scope of the audit by requesting

- Copies of procedures or other documentation to be audited.
- Copies of processes to be audited.
- Results from previous audits.
Step 2: Review applicable standards and regulations

- Clearly define the sections of the standards apply.
- If requirements are unclear, seek clarification with the auditee.
- Tool to understand process methodology.
Step 3: Prepare process models

- Understand the inputs and outputs of the process.
Step 3: Prepare process models (cont.)

- What METRICS are maintained to determine the effectiveness of the process?
- Who participates in the process?
- What information is needed to perform the process effectively? (procedures, work instructions, manuals, etc.)
- What PPE, training, engineering controls, equipment calibrations are required for the process?
Step 4: Review applicable documentation

- Safety manual
- Procedures
- Work instructions
Step 5: Review previous audits

- Both internal and external audits.
- Evaluate the effectiveness of action taken for previous findings.
- Repetitive audit findings in a given area may be an indicator of a broken process.
SAFETY AUDIT PREPARATION

Step 6: Create an effective checklist/tool

- Can be designed to fully evaluate conformance to specific regulations standards and documents.
- Evaluate effectiveness of safety process.
- Must be used as a guidance tool for the audit and not a script.
SAFETY AUDIT PREPARATION

- Step 7: Perform a pre-audit meeting
  - Purpose of the audit.
  - The audit plan.
  - The time and location of the closing meeting.
  - Questions or feedback from the auditee.
TACTICS WHILE PERFORMING THE SAFETY AUDIT

- Always invite questions from the auditee.
- Invite the auditee to read the notes taken during the audit and correct any errors.
- Invite the auditee to raise any safety concerns or questions that may need attention.
- Remember the auditee is the customer.
CHALLENGES WITH AUDITING SAFETY PRACTICES

- Broad scope – “Safety is everyone’s responsibility.”

- Very technical field with several subspecialty areas.

- Multiple tiers of regulations and standards.
IMPACT ON CURRENT AND FUTURE STRATEGIES

- Safety management systems are audited.
- Parts of safety process are typically audited.
- Conformance with specified regulations and standards.
IMPACT ON CURRENT AND FUTURE STRATEGIES

Safety Management System

Safety Process

Regulatory Compliance
IMPACT ON CURRENT AND FUTURE STRATEGIES

- Safety Management System
- Regulatory Compliance
- Safety Process
1) Do you have a documented procedure?
2) How do you know it is the latest revision?
3) Who has the responsibility and authority for this process?
4) What are the training requirements?
5) Show me the training records.
6) Walk me through the process
7) What are your objectives for this process?
8) Show/explain to me how you monitor & measures this process.
9) What do you do with the data you’ve collected?
10) Is there any opportunity for corrective or preventive actions or continual improvement?
Thank you!
Any Questions?