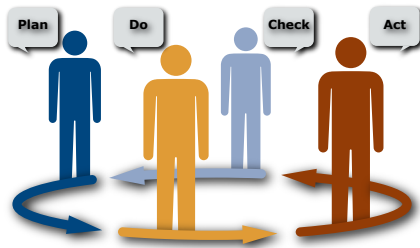


Safety and Health Management Assurance



Non-conformance with statutory and regulatory regulations can have a significant effect on an operation.

Regulatory agencies can enforce work stoppages and levy substantial monetary penalties. While significant efforts are devoted to maintaining compliance, the resources required to address a pattern of non-conformance can become even more substantial and at the same time, distract from the

positive and proactive efforts.

Safety and Health Management Assurance is the process of:

- Establishing a procedure to assess compliance with applicable legal requirements.
- Maintaining current information.
- Developing an improvement cycle that is integrated with the company's safety and health management system.

How it works

Operations should be in full compliance with statutory and regulatory requirements to ensure value-added regulations are leveraged. This can be best accomplished by integrating an improvement cycle within the company's safety and health management system and applying the Plan-Do-Check-Act process to each regulation. Each requirement should have someone responsible for ensuring the requirements have been met and are working as designed on an ongoing basis. This feedback is essential for consistent compliance.

Flow of the Process

- Establish a procedure to assess compliance with applicable legal and other S&H management requirements and keep this information current.
- Compliance with regulations should be managed through the Plan-Do-Check-Act improvement cycle and should be integrated with the company SHMS.

Workbook Materials For Module 16

Continued compliance toward meeting the 0:50:5 goals can be achieved by developing processes to measure performance against applicable legal requirements and by developing an improvement cycle that is integrated with the company's safety and health management system.

Compliance Assessment

Measurement Tools and Corrective Planning:

Violations/Citations:

Record and trend violation history identifying patterns of non-compliance

Period: _____

Standard: _____

Number Issued: _____

Compliant with Expectations: Yes _____ No _____

Inspections:

Identify hazards through regular examination of the workplace and equipment

Inspection Type:

Pre-task Workplace Exam: _____

Pre-Op Equipment Inspection: _____

General Inspection: _____

Person Inspecting: _____

Date: _____

Description of Condition: _____

Compliant with Regulation: Yes _____ No _____

Compliant with Policy: Yes _____ No _____

Evaluations and Audits

Establish an effective system to periodically evaluate compliance to applicable legal and company policy requirements.

Audit Type:

Internal: _____

Third Party: _____

Responsible Department: _____

Audit Leader: _____

Audit Team:	Person	Department
	_____	_____
	_____	_____
	_____	_____

Management Review: _____

Audit Objective: _____

Schedule/Frequency: _____

Audit Results: _____

Compliant with Regulation: Yes _____ No _____

Compliant with Policy: Yes _____ No _____

MODULE


If assessment results are non-compliant with expectations in any measurement category, improvement efforts should be initiated using the PLAN-DO-CHECK-ACT process

Improvement Management Process:

Responsibilities:

		Person	Department
PLAN	Corrective Action Plan:	_____	_____
DO	Plan Implementation:	_____	_____
CHECK	Evaluation:	_____	_____
ACT	Action Items:	_____	_____

Corrective Action Plan:

Findings of Non-Compliant Issues: _____

Targets to reduce non conformities: _____

Plan to Implement: _____

Schedule: _____

Crews/Employees: _____

Plan Implementation:

Assigned Responsibilities: _____

Schedule: _____

Equipment/Materials: _____

Crews/Employees: _____

Follow Up/Feedback: _____

MODULE


Evaluation:

Observation Findings: _____

Feedback Discussion: _____

Schedule: _____

Participants: _____

Performance Reassessment Results: _____

Compliant with Expectations: Yes _____ No _____

Action Items:

What Worked: _____

Actions to Improve: _____

Roll Out to Other Areas: _____

What Didn't Work: _____

Where They Needed: Yes _____ No _____

If Yes, Actions to Improve: _____

If No, Discontinue: _____

Other Action Required: _____
