

Greater Baton Rouge Industry Alliance (GBRIA) & Houston Business Roundtable (HBR) Safety & Health Audit

Basis: OSHA 1910.119 (h)(2)(v), "The employer shall periodically evaluate the performance of contract employers in fulfilling their obligations as specified in paragraph (h) (3) (contract employer responsibilities of this section." The audit questions are based on OSHA 1910.119 (h)(3), "Contract Employer Responsibilities," and GBRIA and HBR member company best practices and Recognized and Generally Accepted Good Engineering Practices (RAGAGEP).

This evaluation is a cooperative effort of the participating companies of GBRIA and HBR to drive safety improvement across the industry, minimize redundancy and gather accurate safety and training data for benchmarking purposes. Federal and state regulations and individual company policies mandate that employers verify contractors meet certain minimum standards. The audit is primarily applicable to construction contract services and may not cover all elements required of contractors who also operate a process. The intent and goal of this program is for each contract company to be audited every three years pursuant to OSHA 29 CFR 1910.119(h)(2)(i), "The employer, when selecting a contractor, shall obtain and evaluate information regarding the contract employer's safety performance and programs," or other safety, health and security standards required by industrial sites. Member plants share the audit results, thus minimizing the number of times a contractor is audited. The auditors use the criteria contained in this form during the safety and health performance audits. Contractors should use this form as a tool to prepare for the auditor's visit. The auditor will seek to verify performance against these criteria by obtaining objective evidence to support compliance. Unless stated otherwise, written documentation is needed as objective evidence to verify all items.



Disclaimer

GBRIA and HBR have agreed, as trade organizations, to facilitate the centralization of the audit process, serving only as a conduit between the member plants requesting the audits and the safety consultants performing the audits. GBRIA and HBR serve only as a repository for such information, along with the Houston Area Contractors Safety Council's XNET system, and have no role in the inspection or audit process and do not attempt to speak to the strength or validity of the audits. The findings and recommendations of the audits conducted for GBRIA and HBR are presented below, along with significant deficiencies found in contractors' systems. The scope of the audit consists of an evaluation of the contractor's compliance with OSHA safety regulations as specifically identified by the questionnaire and protocol provided to the auditor(s). Neither GBRIA, HBR, the auditors, the auditors' firm, their employees, nor any person acting on their behalf or otherwise in furtherance of their activities in performing this audit assumes or makes:

1. any warranty or representation, expressed or implied with respect to the accuracy, completeness, or usefulness of the information, method, or process contained herein,
2. any liability with respect to consequential damages related to or arising directly or indirectly out of the use of any information, apparatus, or process disclosed herein.

GBRIA, HBR and its auditor(s) have made every reasonable effort to perform the work herein in a manner consistent with high professional standards, however the work is dependent on the accuracy of information provided by audited firms. The responsibility for use and implementation of the findings and recommendations contained herein rests entirely with plants and/or contractors requesting audits.

If you have any questions regarding this audit, please direct them to the organization where the original audit request was generated.

GBRIA: 8555 United Plaza Blvd., Ste. 202, Baton Rouge, LA 70809
(225) 769-0596

HBR: 5213 Center St, Pasadena, TX 77505
(713) 645-0923

Contractor Information			
Contractor Company Name			
Address			
City, State			
Postal Code			
Phone #			
Primary Contact			
Primary Contact Title			
Primary Contact Email Address			
Primary Contact Phone #			
Start Time of Audit			
Location of Audit			
Corporate, Regional, or Site Audit			
If Site, which Site?			
Description of Services Performed			
Auditor Information			
Auditor Name			
Title			
Company Name			
Address			
City, State			
Postal Code			
Phone #			
Email Address			
Audit Attendees			
Name	Title	Email	Phone
Contractor Company Statistics			
	Last Year	Two Years Ago	Three Years Ago
Average Number of Employees			
Employee Exposure Hours			
Number of Fatalities			
Number of Lost Work Day Cases (Injuries & Illnesses)			
Number of Injury or Illness Lost Work Day Cases Involving Restricted Work			
Number of Injuries or Illnesses Involving Medical Treatment Only			
Total Number of OSHA Recordable Cases			
OSHA Incident Rate			
Insurance Experience Modifier (EMR), Loss Ratio, if Self Insured			

Scoring Summary

Audit Elements		Possible Points	Element Value	Individual Section Scores	Percent of Total Possible	Grade
1	Management and Employee Commitment	22	10%	0	0.00%	
2	Roles, Responsibilities and Involvement	9	5%	0	0.00%	
3	Compliance Assurance	23	12%	0	0.00%	
4	Risk Management	47	10%	0	0.00%	
5	Facility Design and Construction	16	8%	0	0.00%	
6	Operational Control and Maintenance	30	10%	0	0.00%	
7	Sub-Contractor Management	5	10%	0	0.00%	
8	Training and Competency	16	12%	0	0.00%	
9	Emergency Response	8	5%	0	0.00%	
10	Incident Reporting / Investigation	15	6%	0	0.00%	
11	Evaluation, Improvement & Feedback	30	12%	0	0.00%	
Score Totals		221	100%	0	0%	

Below 70

70-79

80-100

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1. Management & Employee Commitment - Management and Employees demonstrate visible commitment and active leadership by promoting HSE as a core value

Element Number & Element Focus		Max. Point Value	Points Awarded	Measurement Guidance / Examples	Deficiencies, Positive Observations, General Comments
1.1	Does your company have a written HSE Policy Statement?	3.0		Evidence that a HSE policy statement exists and displayed conspicuously throughout the organization/facility. The vision is simple, concise and well known across the company.	
				Policy statement signed by Senior Management and currently dated (3 years).	
				Employees have a personal copy or have access to a copy of the HSE policy.	
1.2	How does management promote a positive culture towards HSE?	4.0		Evidence of commitment throughout the organization	
				HSE meetings are held on a regular basis at the Senior Management to review the company's HSE process. (Provide Evidence)	
				Managers attend work crew safety meetings (i.e. JSA meetings, Tool Box)	
1.3	Do managers and supervisors schedule time specifically to tour worksites, observe work practices and discuss safety issues with workers?	2.0		Managers are either present or leading company HSE functions. (i.e., manager lead activity, town hall sign in)	
				HSE work site tour policy established with frequency expectations for managers and supervisors.	
1.4	Does company have documentation to demonstrate that Senior Managers support and are actively engaged in safety meetings?	3.0		Documentation indicates management and supervisors are conducting tours quarterly or more frequent for front line leadership. Frequency is tracked.	
				Focus topics presented by senior management.	
1.5	Does your company have HSE objectives?	2.0		Expectations exist for attendance and active participation.	
				Surveys are conducted to obtain feedback on how to improve. Themes of the meeting are focused and outcomes are communicated. Discussion and subject matter is relevant to the asset/site. Action tracking systems for follow up.	
1.6	Are annual Goals and Targets established and how are Senior Managers involved in determining and monitoring the annual company HSE performance goals and targets?	2.0		Documented HSE objectives are current, revised annually, and include objectives set in conjunction with clients.	
				Itemize the methods by which you have communicated your HSE objectives to all your employees.	
1.7	How have the annual Corporate HSE Goals and Targets been effectively integrated throughout the entire organization including Regional and Branch Offices?	2.0		Managers involved in setting the direction of the company in regards to HSE. Information and discussion demonstrates involvement of senior management to establish goals.	
				Consider information from HSE data and trends, audits, and KPI's.	
1.8	Have adequate resources been made available in terms of professional HSE staff personnel, available funds for training and HSE programs and initiatives in order to manage HSE effectively?	4.0		Goals and targets are integrated throughout the organization. Regional and branch offices are aligned with the corporate direction.	
				Outline how managers, supervisors and employees are made aware of the goals and targets. How are all employees being informed of the mechanisms in place and requirements to achieve these goals.	
				Is there a designated a person(s) within the organization that has the overall responsibility for the HSE program?	
				Is the person(s) responsible for the overall HSE Program formally trained and/or hold a college degree?	
Section 1. Point Value		22.0	0.0	Does the person(s) responsible for the overall HSE Program hold an industry recognized certification (i.e. CSP, ASP or equivalent)?	
				HSE Resources are appropriately staffed to meet needs of the company.	

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2. Roles, Responsibilities and Involvement - Define roles and responsibilities to ensure accountability at all levels

Element Number & Element Focus	Max. Point Value	Points Awarded	Measurement Guidance / Examples	Comments
2.1 Is the company organized in such a manner as to ensure that HSE focal point(s) have direct access to Sr. level management? Is there a well defined organization chart? Have Sr. leaders taken the necessary steps to ensure that key personnel (for HSE support) are in place across the organization?	3.0		Organization Chart present.	
			Reporting structure illustrates HSE Staff has open access to Senior Level Management.	
			HSE Staff is not impeded by organizational boundaries in order to meet HSE targets.	
2.2 Are HSE roles and responsibilities for managers starting at Senior levels and cascading throughout line management clearly defined and documented?	2.0		HSE Roles and Responsibilities are defined comprehensive and clear.	
			Individuals understand them and are able to describe.	
2.3 How are senior and line managers held accountable for meeting their HSE responsibilities?	1.0		Written process for reviewing accountabilities and performance.	
2.4 Are HSE Annual Goals and Targets made part of individual manager and employee annual appraisal process?	2.0		How does Sr. Management establish HSE performance objectives for managers and employees and hold them accountable.	
			Is a review of safety performance is included as part of the annual appraisal.	
2.5 Describe the nature and extent of your company's participation in HSE forums or organizations?	1.0		If company is an active participant at ABC, ASSE, AGC, or equivalent award 5 points.	
Section 2. Point Value	9.0	0.0		

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3. Compliance Assurance - Comply with applicable legal, regulatory and other requirements

Element Number & Element Focus		Max. Point Value	Points Awarded	Measurement Guidance / Examples	Points Awarded & Comments
3.1	Do all employees have direct access to required HSE policies, practices and company requirements in the field? Is there a process to ensure employees only have access to information that is current?	3.0		Employees receive an employee handbook or have access to the HSE MS and safe work procedures electronically.	
				Employees receive instruction regarding how to access and reference this information.	
				Easy access to this information can be demonstrated/explained.	
3.2	What arrangements does your organization have for monitoring the implementation of your HSE-MS?	5.0		Mechanisms in place to determine how HSE MS is implemented in the field by employees and/or subcontractors.	
				Identifies training/knowledge deficiencies.	
				Reporting deficiencies to appropriate personnel occurs.	
				Assurance process for compliance with procedures within worksite operations: (i.e. operating procedures, standards and regulatory requirements, hazard identification system, equipment inspections, emergency preparedness, HSE participation)	
				Participation and quality is monitored for employees and subcontractors.	
3.3	Is the company required to have any Federal, State or local licenses or permits to perform service(s)?	1.0		For example: NORM, asbestos, explosives, caustic Company is able to list types of licenses/permits and jurisdiction of issue.	
3.4	Standards applicable to services provided are accessible and understood.	4.0		List examples of those reviewed by the Subject Matter Expert: i.e.) Lifting, Pressure Vessels (ASME) Environmental Management (TECQ, SPCC) Welding Requirements (Certifications) Electrical Wells (API) OH&S / OSHA	
				How are new industry or regulatory standards identified and disseminated? i.e. Global Harmonized System for Hazard Communications - Safety Data Sheet (SDS)	
				Are these standards available to all personnel that require access to them?	
				Is there a structure to update procedures and practices?	
3.5	Has your company incurred fines or regulatory orders in the last 3 years related to safety or environment incidents?	10.0		If the answer is NO, award all 10 points. If the answer is YES and company can provide details regarding summary of incident and follow up measures to prevent re-occurrence, award 5 points. If the answer is YES but company can not provide details regarding summary of incident and follow up measures to prevent re-occurrence, award 0 points.	
Section 3. Point Value		23.0	0.0		

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4. Risk Management - Manage HSE Risks through assessments, mitigation measures and appropriate controls

Element Number & Element Focus		Max. Point Value	Points Awarded	Measurement Guidance / Examples	Comments
4.1	Does your company have a written hazard identification and risk assessment program for your employees and subcontractors?	7.0		A formal system for managing hazards that addresses the identification, assessment, control and mitigation associated with their work scope and activities.	
				Work flow is described: Safe work planning, Permit to Work, Safety Meetings, Field Level Hazard Assessments.	
				All potential hazards are categorized by severity and likelihood of occurring and plotted on a Risk Assessment Matrix.	
				Implementation of the Risk Assessment Matrix	
				HAZIDs and HAZOPS are conducted and documentation is available, if applicable.	
				Safe Work Plans are written for all specific jobs.	
4.2	Employees knowledgeable of the key HSE risks that face their business?	1.0		Senior Management to workers indicate awareness of key risks and describe control measures.	
4.3	Does your company have a written Stop Work Authority Policy?	4.0		Stop Work Authority policy exists and documentation indicates the policy has been broadly communicated.	
				Written examples of implementation.	
				Employees know they have the responsibility, authority and obligation to use SWA.	
				Employees are active in performing Stop Work Authority without any fear of reprisal and are recognized.	
4.4	Does your company have a Short Service Employee policy that identifies new employees, experienced employees new to your company or employees new in their position?	4.0		SSE or New Worker Policy in place which outlines the identification, training, competency and supervision/mentorship.	
				Policy includes a SSE definition as workers who have 6 months or less within the Company or role.	
				Are Short Service Employees readily identified by (i.e. colored hard hat, sticker) other effective means.	
				Evaluation process exists to evaluate competency and training effectiveness. (Determination if individual is no longer a Short Service Employee).	
4.5	Does your company perform Job Safety Analysis (JSA)/Job Hazard Analysis (JHA) or equivalent?	5.0		The company has documentation prepared by the HSE Staff and/or Project Engineer/Manager that addresses the potential work hazards associated with planned project.	
				The potential hazards are applicable to the worker and provide detailed control and recovery measures.	
				This information is available to field superintendents and work crews and can be used as a reference to assist with the development of site specific mitigation tools (i.e. Job Safety Analysis, Field Level Hazard Assessment).	
				Affected workers/subcontractors involved with hazard identification, risk assessment and control or elimination of the hazards	
				Field documentation demonstrates acceptable description of the hazard, steps taken to avoid, risk ranking and those responsible for each mitigation (does not rely on checklists).	
4.6	Does the company require worksite HSE meetings prior to commencing work?	5.0		Requirement to hold onsite safety meetings prior to work commencing exists	
				Attendance is mandatory	
				Written agenda and minutes cover work scope and related hazards	
				Action items are assigned and a system in place to close out items in a timely manner exists	
				Procedures to record attendance and review minutes are in place	

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4. Risk Management - Manage HSE Risks through assessments, mitigation measures and appropriate controls

Element Number & Element Focus		Max. Point Value	Points Awarded	Measurement Guidance / Examples	Comments
4.7	Does your company have an Industrial Hygiene (IH) and/or Occupational Health program in place?	5.0		The company has identified and evaluated the health exposures their employees face while performing their respective job duties.	
				The standard addresses chemical, physical, biological and ergonomic exposures relevant to the work scope of the company as appropriate.	
				Employees and/or subcontractors are educated in measures taken to mitigate risks associated with exposure.	
				Employee monitoring exists (i.e. audiometric, pulmonary).	
				Implementation of the Plan is monitored by periodic assessments.	
4.8	Does the company have and implement a Fitness to Work Policy?	4.0		Company has implemented a "Fitness to Work Policy" addressing the following for employees and/or subcontractors: -Pre-placement and periodic medical assessments	
				Substance use assessment and treatment programs are in place	
				Fatigue Management (i.e. hours of work, environmental factors influencing fatigue, fatigue associated with tasks) is being assessed.	
				Return to Work Requirements (modified work program, return to normal duties) is being assessed.	
4.9	Does your company have a formal Drug and Alcohol Policy?	5.0		Written Substance Abuse (Drug and Alcohol) Policy is in place and includes work rules that prohibit alcohol, drugs and medications in the work place.	
				Procedures in place to deal with impairment	
				Employees subject to Pre-Employment Drug Screening	
				Post incident and reasonable cause testing exists.	
				The company takes immediate and decisive disciplinary action including termination to protect the employee and others from harm as appropriate.	
4.10	Does your company have an environmental manual equivalent with a clearly written environmental policy endorsed by upper management?	5.0		Company outlines waste generated and environmental hazards related to work scope	
				Company has an Environmental Policy and Program that addresses hazard control, waste handling/segregation, waste minimization and spill reporting criteria.	
				Company commitment to tracking and trending.	
				Employees and/or subcontractors trained in spill reporting procedures.	
				The company measures the effectiveness of the Environmental Program.	
4.11	Does your Company have a Consequence Management Policy is in place.	2.0		A written consequence management (disciplinary action) policy is in place.	
				Workers are trained on the policy and knowledgeable of the consequences associated with violations.	
Section 4 - Point Value		47.0	0.0		

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5. Facility Design & Construction - Design and construct facilities to assure integrity throughout the lifecycle					
Element Number & Element Focus		Max. Point Value	Points Awarded	Measurement Guidance / Examples	Comments
5.1	Does your company have operating procedures specific to the services provided?	4.0		HSE risks and required mitigation are addressed in the operating procedures.	
				Inventory of procedures (i.e. table of contents) is available.	
				Procedures and safe work practices are relevant to the company work scope.	
				A quality document control process is in place to ensure employees have access to only current procedures.	
5.2	Does your company properly maintain HSE Critical Equipment?	6.0		Documentation identifies HSE Critical Equipment or HSE components installed on equipment.	
				Maintenance and inspections are tracked and easily accessed	
				PM program in place to properly maintain the HSE critical equipment.	
				A quality control process is in effect. Company has a QA/QC Manager and has a formal Quality Management System.	
				Maintenance program addresses inspection frequency, those responsible, how defective equipment is identified and taken out of service, how records are stored.	
5.3	Company properly maintains mechanical equipment and tools.	6.0		Inspection records verify that the equipment is being properly maintained.	
				Preventive maintenance program in place for tools and equipment	
				Preventive maintenance and equipment inspection records documented and filed. Maintenance and inspections are tracked and easily accessed.	
				Equipment and tools are inspected prior to being transported to client locations.	
				A quality control process is in effect.	
				Hand tools and Gang boxes are also part of the inspection and quality assurance process.	
Section 5. Point Value		16.0	0.0		

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6. Operational Control & Maintenance - Conduct operations and maintenance activities in accordance with appropriate programs, plans, procedures and work practices

Element Number & Element Focus	Max. Point Value	Points Awarded	Measurement Guidance / Examples	Comments
6.1	3.0		Formal Permit to Work Process for managing work safely at its locations. All work is approved and authorized by the appropriate company representative. Employees are trained in the Permit to Work Process and documentation is available to verify that the PTW process is operational and effective.	
6.2	3.0		The company has a documented LOTO Policy that is consistent with regulatory requirements. Documentation exists that addresses employee training and retraining criteria. Program addresses periodic inspections to be conducted & documented at least annually to ensure procedures & requirements are being followed.	
6.3	3.0		Written Confined Space Entry Policy per regulatory requirements and employees are trained and certified (as needed) at appropriate levels. The program addresses designated persons will be "authorized entrants", "attendants" and "entry supervisors." Rescue operations are addressed including who will be performing rescue services as well as preventing unauthorized personnel from attempting a rescue.	
6.4	7.0		Company has a documented Fall Protection and Prevention Policy meeting regulatory requirements. Training for all at risk employees to addresses hazard recognition, controls, equipment inspection (pre-use is conducted and documented). Employer shall provide re-training when the following are noted: 1) Deficiencies in training. 2) Work place changes. 3) Fall protection systems or equipment changes that render previous training obsolete. The program addresses when fall protection must be provided for employees at all heights of six feet (1.8 meters) or greater. The program addresses the prompt rescue of employee in the event of a fall (rescue plans). Periodic fall rescue drills are performed. If some employees are not required to work at heights an awareness program exists to prevent exposure. Company expectations clearly indicate employees are not permitted to work at heights in this circumstance.	

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6.5	Company has a Management of Change (MOC) Process?	3.0		<p>The policy addresses temporary or permanent changes to the organization, personnel, processes, procedures, equipment, materials or statutes that affect the HSE MS.</p> <p>Changes are effectively communicated to affected employees.</p> <p>Training and competency assurance is addressed.</p>	
6.6	Company has a comprehensive Road Transportation Safety Program including Journey Management.	6.0		<p>Road Transportation Safety Program to address as appropriate: No alcohol or drugs while driving, mandatory seat belts, speed limit adherence. Also defines max. working/driving hours fatigue management.</p> <p>Journey Management addresses route of travel and check in requirements as appropriate.</p> <p>Company vehicles are properly maintained in safe working order.</p> <p>Employees receive Smith Commentary Driving Training or an equivalent.</p> <p>Vehicles are equipped with an IVMS (In Vehicle Monitoring System) or other means to monitor driving behaviors and improve driving performance as appropriate.</p> <p>Company policy limiting use of mobile phones to hands free when operating a motor vehicle. To include texting/answering emails.</p>	
6.7	Does the company periodically review and update their procedures?	1.0		<p>Procedures are periodically reviewed for accuracy and updated at a minimum annually. Industry or regulatory standards are identified, procedures are aligned with these requirements.</p>	
6.8	How do you report and correct deficiencies identified in implementation?	3.0		<p>Process identifies how deficiencies are reported including individual that need to be notified.</p> <p>Reporting and actions taken to correct is timely and effective</p> <p>Information reviewed by senior management</p>	
6.9	How do you communicate the results of active implementation performance monitoring to relevant personnel?	1.0		<p>Feedback is included in discussion at HSE meetings, HSE notice boards or communications and by manager presentations.</p>	
Section 6 - Point Value		30.0	0.0		

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7. Contractor Management - Manage contractor performance through all phases of selection, execution and evaluation

Element Number & Element Focus	Max. Point Value	Points Awarded	Measurement Guidance / Examples	Comments	
7.1	Company has a formal Subcontractor Management Program verifying whether or not the subcontractor is capable of pre-qualifying and managing subcontractors to ensure HSE risks are managed.	5.0		Evaluation of subcontractor past and current HSE performance. -HSE performance statistics (Medical Aid, Modified Duty, Lost Work Cases, Fatalities, TRF). -Proof of Workers Compensation coverage and rate comparison with industry. -Post job performance reviews conducted. -Subcontractor HSE performance is re-evaluated and documented on a scheduled basis.	
				Procedures and work instructions relevant to the work scope are in place. -Subcontractor employees are knowledgeable of procedures (those of the primary vendor and/or subcontractor). -Tools and equipment are regularly inspected; deemed suitable and safe. Documents retained. -Roles and responsibilities of subcontractor are defined. JSA, safety meetings, journey management, incident and near miss reporting, drug and alcohol, BBS are in place for subcontractors. Compliance monitored and documented. -Process to prevent subcontractor hiring another subcontractor	
				Competency Assurance -Employees of the subcontractor evaluated for relevant tasks or role by subcontractor or primary vendor -Short Service Employee program; review program of subcontractor and relevant employees provided. Primary vendor manages within context of own policy.	
				Training -Training records of subcontract employees are reviewed and deemed acceptable for work performed. -Subcontractor orientation performed by primary vendor communicates expectations and relevant HSE MS policies	
				Fitness to Work program of the subcontractor is reviewed and acceptable or program of primary vendor is used.	
Section 7 - Point Value		5.0	0.0		

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8. Training & Competency - Manage the competence of personnel through selection, training and assessment processes

Element Number & Element Focus		Max. Point Value	Points Awarded	Measurement Guidance / Examples	Comments
8.1	What arrangements does your company have to ensure new employees also have knowledge of worksite hazards, HSE policies, practices and company requirements? Is there a comprehensive Training/Orientation process?	2.0		Orientation provided for employees and/or subcontractors to address key policies, safe work practices	
				Knowledge of worksite hazards and hazard awareness related to activities.	
8.2	The company ensures that employees and/or subcontractors that will be performing work receive the required orientation to ensure they understand all specific requirements.	1.0		Employees and/or subcontractors undergo the required orientation prior to arriving on site including documentation verifying completion of training requirement	
8.3	Company has a suitable methodology of documenting and tracking the required HSE training of all of employees. A training matrix exists according to position.	4.0		Company has an organized methodology such as a training data base to adequately monitor the required HSE training needs of their employees and/or subcontractors.	
				The training is current and easily accessed. Gaps, expirations or lapses of required training are identified.	
				Training matrix relevant to job position exists. The training and competency requirements are aligned with employee's job roles and responsibilities.	
				Completion of required HSE training is made part of employee's annual appraisal process.	
8.4	Does the company mandate their employees to periodically review the company's key HSE Policies and has a system or process been developed to ensure employees have reviewed and understand the mandated material?	3.0		Employees receive recurring training on Key HSE policies.	
				Testing is completed to evaluate training effectiveness and level of retention.	
				Recurring training may include LOTO, Confined Space Entry, Fall Protection, Near Miss Reporting, Stop Work Authority, incident management, etc.	
8.5	Does Company provide HSE, Technical, and/or supervisory training to supervisors and managers?	2.0		Site Supervisors receive HSE training such as Permit to Work, Incident Reporting and Investigation, Fall Protection, Confined Space, LOTO or as appropriate to perform their jobs.	
				Additional HSE training such as effective Leadership Communications, Conflict Resolution, Team Building, Recognizing Harassment in the Workplace, Recognizing signs of Substance Abuse.	
8.6	How does your company provide HSE specialized training for HSE staff? Is there evidence of specialized HSE training for all individuals managing critical HSE functions?	2.0		Specialized training for those in HSE Roles conducting HSE Activities is identified and provided.	
				This is tracked/identified within the training matrix.	
8.7	Does your company have a written competency assurance process for individuals managing HSE hazards and risks?	2.0		Competency Assurance process is documented and outlines competency skill levels for all employees by position or job title including Short Service Employees. HSE critical tasks have been addressed.	
				Level of competency is evaluated and documented. This may be indicated as awareness, knowledge, skill or mastery and compared with the required level needed to fulfill job responsibilities.	
8. Management Review		16.0	0.0		

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9. Emergency Response & Crisis Management - Develop emergency preparedness and response planning for the protection and security of personnel, stakeholders and assets

Element Number & Element Focus		Max. Point Value	Points Awarded	Measurement Guidance / Examples	Comments
9.1	Emergency Planning and Response	5.0		Emergency response procedures in place for identified emergency situations related to work scope (i.e. medical emergency, spills, fire, weather, failure to check in)	
				All personnel are aware of emergency procedures and their roles and responsibilities	
				Field personnel have access to a local emergency response plan specific to logistics of the field site (name of location, directions to location, muster station, key contacts, emergency phone numbers).	
				Program includes the requirement to perform drills that are critiqued. These are verified.	
				Recovery procedures in place to be activated after the emergency	
9.2	Does the company have a case management policy in place which requires rigorous case management including diligent administration during every incident?	3.0		Mechanism in place for gathering and providing feedback in a line-up notification method (internal and external resources).	
				Meetings with potential medical service providers in attempt to build a business rapport prior to requiring services.	
				Procedure for providing quality and appropriate care to employees requiring medical attention.	
Section 9 - Point Value		8.0	0.0		

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10. Incident Reporting, Investigation & Analysis - Report, investigate and analyze incidents and near hits in order to improve performance and prevent recurrence

Element Number & Element Focus		Max. Point Value	Points Awarded	Measurement Guidance / Examples	Comments
10.1	Incident reporting and investigation	6.0		Incident investigation process well defined with regards to actual and potential severity.	
				Documentation showing that incidents are properly investigated and Root Cause Failure Analysis performed as needed on accidents, Near Misses and High Potential Incidents, and Stop Work Authority.	
				Incident reporting hierarchy within the company defined	
				Evidence that line management is actively engaged during the investigation (does not just involve the HSE staff)	
				Policy includes the responsibilities and competencies required to facilitate or participate in an investigation.	
10.2	Near Miss Reporting	2.0		Proper injury classification definitions exist	
				The policy has been communicated throughout the organization. Documentation is available to confirm the program is implemented.	
10.3	How are Senior Leaders personally involved with incident investigations?	1.0		Senior leaders review certain incident investigations and determine if root cause analysis is adequate.	
10.4	Investigation teams lead by a competent HSE investigator.	1.0		The person(s) that lead incident investigations have received formal training in root cause analysis training such as TapRoot® , Apollo, Tripod Beta or an equivalent.	
10.5	Does company document, follow-up and closeout all action items resulting from incident findings in an appropriate time frame?	4.0		Findings of an incident investigation are followed up to ensure effective prevention of recurrence	
				Required actions are documented and responsibilities are assigned	
				Actions are monitored for completion	
10.6	Does company report findings following an investigation and communicate key lessons learned in order to prevent recurrence?	1.0		Open action items are closed within an appropriate timeframe.	
				Findings and key lessons identified from incidents, near misses, HiPo's and recordable injuries are communicated throughout the organization (i.e. newsletters, safety alerts, focus sessions, safety meetings, management presentations)	
Section 10 - Point Value		15.0	0.0		

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11. Evaluation, Improvement & Feedback - Monitor and evaluate HSE performance and HSE-MS implementation to drive continual improvement

Element Number & Element Focus		Max. Point Value	Points Awarded	Measurement Guidance / Examples	Comments
11.1	How are HSE performance indicators monitored and reported?	6.0		HSE statistics available over a 3 year timeframe and reflect improvement	
				Tracking and trending of lagging indicators (fatalities, number lost time injuries, number lost workday cases, number restricted work day cases, number medical aid cases, first aid)	
				Vehicle Incidents are tracked, trended as appropriate.	
				Leading indicators (hazard identification, safety meetings, safe work observations)	
				Near miss incidents tracked and trended	
	Accidental releases (i.e. spills/material losses) are tracked and trended (fab shop)				
11.2	The contractor has put into place a means of measuring the effectiveness of their HSE Management System Process.	2.0		Management undertake a documented review of the HSE MS at a prescribed frequency and take into account: HSE statistical performance and trending, incidents, audit findings, HSE goal completion/incompletion, changes to service line and work scope.	
				Improvement opportunities are identified and incorporated into an improvement plan. Annual Goals and Targets are established.	
11.3	Annual HSE Improvement Plans in place.	2.0		Annual Improvement Plans are maintained. These are documented and progression is monitored at least annually.	
				Improvements identified are relevant to the company.	
11.4	There is an auditing policy identifying responsibilities, frequency, method and follow up for audits.	4.0		This can include but should not be limited to, internal, peer to peer, regulatory audits, third party, or client HSE audits.	
				Individuals involved in the audits have the expertise and are independent from the activities being audited.	
				Qualifications of the auditors is defined	
	Audits are lead by a competent auditor				
11.5	How does the company schedule HSE audits and what scope of auditing is covered?	2.0		A schedule of audits is in place to cover: HSE MS, procedural compliance, personnel, occupational health, regulatory compliance, subcontractors, environmental aspects, training effectiveness, equipment or any other relevant area regarding the work scope and HSE risks.	
				Audits are planned and management kept informed.	

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11.6	How does management follow up on audit findings and ensure effective close out of action items?	5.0		Findings and corrective actions of external and internal audits are tracked.	
				Final reports are documented and reviewed by company Senior Managers and actions are put into place and closed out in a timely manner.	
				Form a part of the continuous improvement regime	
				Accountability of the audit is identified	
				Findings are a component of HSE meetings, safety meetings, focus sessions, manager presentations, etc.	
11.7	How is the audit program assessed for effectiveness?	1.0		A review of the audit program provides evidence of effectiveness and opportunities for improvement.	
11.8	Does your company have a written Behavioral Based Safety program?	4.0		Company has an "active" Behavioral Based Safety Observation Process. Data is used to develop trends and identify areas to address regarding employee safe and unsafe working behavior.	
				The information is documented and shared across the organization to proactively improve safety performance and influence worker safety.	
				Employees are trained in the process; quality cards with constructive feedback.	
				Pro-active HSE efforts of the company address trending identified in the BBS program.	
11.9	Has company received any certifications or feedback on their company's HSE Program from a certification agency or governing body?	1.0		Company should seek outside feedback on their HSE Management Program to ensure any gaps have been identified and closed in a timely manner. If HSE Management Program has been certified by a certification agency and certification is older than 3 years, company should seek re-certification by a similar agency	
11.10	Does the company have a mechanism in place in order to measure feedback from employees regarding their leadership in HSE such as perception surveys?	3.0		Mechanism in place for gathering and measuring feedback (internal or external resources)	
				Results are communicated to the employees	
				Data is used to identify improvement opportunities. Proof that the company has acted on results.	
Section 11 - Point Value		30.0	0.0		

Medical Monitoring Addendum

a. Hearing Conservation (CFR 1910.95 & 1926.52)	Applicable	Compliant?
Within 6 months of initial exposure or prior to hire?		
Annual audiogram?		
Any history of standard threshold shifts?		
Records include name & job classification, date and name of medical examiner?		

b. Respiratory Program (CFR 1910.134 & 1926.103)	Applicable	Compliant?
All respirator users have:		
Medical approval		
Fit testing documents		
Periodic fit testing		
Changes noted which could affect fit		

c. Asbestos (CFR1910.001 & 1926.1101)	Applicable	Compliant?
Includes respirator fit test & medical approval?		
Fit testing redone every 6 months		
Pre-placement, annual , and termination (within 30 days) medical exams given		
Medical exam includes:		
Medical & work history		
Respiratory, cardiovascular & pulmonary questionnaire		
Other:		
Documentation includes:		
Written physician's opinion?		
Name & social security #?		
Employee complaints related to asbestos?		
Other:		
Documentation kept for duration of employment + 30 years?		
Are employees informed of increased risk to lung cancer?		
Other:		

d. Benzene (CFR 1910.1028 & 1926.1128)	Applicable	Compliant?
Includes respirator fit test & medical approval		
Fit testing redone annually		
Medical exams given pre-placement, annually, if signs/symptoms exhibited, and if		
Medical exam includes:		
Medical & work history		
Pulmonary & blood count		
Questionnaire		
Other:		
Documentation includes:		
Written physician's opinion		
Name & social security #		
Employee complaints related to benzene		
History of exposure		
Other:		
Documentation kept for duration of employment + 30 years		
Other:		

e. Lead (CFR 1910.1026 & 1926.62)	Applicable	Compliant?
Includes respirator fit test & medical approval?		
Protective clothing provided, laundering and disposal facilities, change rooms, etc.?		
Medical exams given at pre-placement, if signs or symptoms exhibited, and at appropriate		
Medical exam includes:		
Medical & work history		
Blood analysis, blood pressure, neurologic, hematologic, gastrointestinal, urinalysis,		
Other:		
Employees informed of availability of second physician's opinion (if first physician selected by employer)		
Documentation includes:		
Written physician's opinion?		
Name & social security #?		
Employee complaints related to lead?		
History of exposure?		
Other:		
Documentation kept for duration of employment + 30 years		
Other:		

f. Hexavalent Chromium (CFR 1910.1026)	Applicable	Compliant?
Other:		
Other:		

Industrial Hygiene Monitoring	Applicable	Compliant?
Records available for employee review		
Actual data provided to employees monitored		
Records kept for employment + 30 years		
Other:		
<i>The following are included:</i>		
a. Noise	Applicable	Compliant?
Other:		

b. Asbestos	Applicable	Compliant?
Done at 6 month intervals if above action level?		
Employees sent results within 15 working days?		
Results include corrective actions if samples exceed action levels?		
Documentation includes:		
Date?		
Work activity monitored?		
Sampling & analytic methods?		
Number, duration, results of samples?		
Types of PPE used?		
Name & social security # listed?		
Other:		
Other:		

c. Benzene	Applicable	Compliant?
Done annually if above action level but below PEL?		
Repeat every 6 months if above TWA?		
Performed for all emergency/breakdown exposure?		
Employees sent results within 15 working days?		
Results include corrective actions if above PEL?		
Documentation includes:		
Date?		
Work activity monitored?		
Sampling and analytical methods used?		
Number, duration, results of samples?		
Types of respiratory protection used?		
Name & Social Security #?		
Other:		
Other:		

d. Lead	Applicable	Compliant?
Six months if above action level but below PEL?		
Repeat quarterly if above PEL?		
Employees sent results within 5 working days after receiving results?		
Results include corrective action if above PEL?		
Documentation includes:		
Date & work activity monitored?		
Sampling and analytical methods used?		
Number, duration, results of samples?		
Types of respiratory protection used?		
Name & Social Security #?		
Other:		
If mechanical ventilation used to control exposure, measures of system effectiveness done		
Other:		

e. Hydrogen Sulfide	Applicable	Compliant?
Other:		
Other:		

f. Hexavalent Chromium	Applicable	Compliant?
Other:		
Other:		

g. Naturally Occurring Radioactive Material (NORM)	Applicable	Compliant?
Other:		
Other:		

Skilled Craft Competency Addendum

Skilled Craft	Skill is applicable to company's work	Type of Certification or Competency Record(s) Maintained by Contractor (i.e. NCCER, Union Equiv.)	Frequency of Retraining if applicable	How is knowledge verified? i.e. assessments, training or certification programs, i.e. NCCER, community college, in-house training, etc.
Access Control				
Advanced Rigging/Hoisting				
Backhoe Operator				
Blaster				
Boilermakers/ Tank Maintenance/ Tower Work				
Cement/ Concrete Finisher/ Brick Masons				
Craft Helpers				
Crane Operator (<i>Friction</i>)				
Crane Operator (<i>Hydraulic</i>)				
Crane Operator (<i>Mobile</i>)				
Electrician (<i>are high, medium, low voltages considered?</i>)				
Electronic Technician				
Fiber Optic Technician				
Forklift Operator				
Heating, Ventilation, and Air Conditioning (HVAC)				
Heavy Equipment Operator/Dozer Operator				
Industrial Carpenters				
Industrial Hydroblasters				
Industrial Insulator				
Industrial Ironworker & Sheet Metal Workers				
Industrial Millwright				
Industrial Painter (<i>are brush and spray painting considered?</i>)				
Industrial Pipe-fitter & Sprinkler-Fitter				
Inspectors/ Persons performing Non-Destructive Testing				
Instrument Fitters				
Instrument Technicians				
Lineman				
Machinist				
Maintenance Operator/Technician				
Plumbers				
Refractory Worker				
Rigging/ Hoisting Fundamentals				
Rod Buster				
Rough Terrain Forklift Operator				
Rubber Tire Equipment				
Scaffold builders				
Tank Fitter				
Welding/Cutting, Heli arc Welding				
Others, please add any skilled crafts				