

TYPE THE NAME OF YOUR AGENCY HERE

CY 2018 Occupational Safety and Health Annual Report

GENERAL INFORMATION

Date of Report:

Agency

DASHO, name and title

DASHO phone number

DASHO email

OSH Manager, name and title

OSH Manager phone number

Total number of employees:

Number of federal employees working overseas:

Fatalities and accidents

Total number of fatalities in CY 2018

Total number of events in CY 2018 that include:

- ♦ accident involving in-patient hospitalization
- ♦ accident involving full or partial amputation
- ♦ accident involving the loss of an eye

Report Certification

Signature of DASHO

Date

GUIDE TO EVALUATING SAFETY AND HEALTH MANAGEMENT SYSTEM ATTRIBUTES

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Please use these assessment aids to rate each attribute in the SHMS self-evaluation.

1. Effective safety and health self-inspections are performed regularly.

Purpose: To determine if personnel in your agency are performing effective safety and health inspections on a regular basis.

- An inspection is a systematic comparison of observed status to expected or desired status and may be formal or informal.
- Formal inspections usually involve the use of checklists, and often result in the issuance of inspection reports. Informal procedures may be effective for routine and limited inspections in which the inspection coverage can be systematically addressed by rote.
- The term “regularly” means recurrence within understood limits (daily, weekly, monthly, quarterly, etc.), and does not necessarily mean a set pattern or firm schedule.
- Inspections are conducted at least quarterly so that the entire site is inspected annually.
- Self-inspection requires the organization to exercise an internal capacity to conduct effective safety and health inspections, ideally diffused throughout the organization.
- No inspection is effective unless each identified hazard is immediately corrected, or appropriately scheduled for correction in the organization’s action plan for safety and health.
- A sample of inspection and/or monitoring reports over a period of time does not show patterns of recurring hazards or noncompliance.

2. Effective safety and health rules, and work practices are in place.

Purpose: To determine if your agency has established general workplace rules and specific work practices that prescribe safe and healthful behaviors and task performance methods.

Assessment Tips :

- Workplace **rules** apply to general areas of conduct (for example, “No horseplay,” and “Designated smoking area.”).
- Safe **work practices** apply to specific operations or tasks (for example, “Hearing protection required while operating this equipment.”).
- To be “effective,” a workplace rule or work practice (1) must exist; (2) must be correct and sufficient; (3) must be communicated; and (4) must be followed by all personnel, both management and labor.
- Rules or work practices may be formally or informally communicated to workers. Formal communications are usually written, and include employee manuals, operating manuals, posters, postings on bulletin boards, and work aids. Informal communications are usually verbal, and include training, supervisory instructions, and peer influence.

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- The presence of safety and rules and work practices alone does not substantiate a higher rating on this attribute. *How they are implemented, communicated and upheld will be the determinant of a higher rating.*
- Documentation of disciplinary actions, where taken, provides evidence of fair and consistent use for all levels of employees.

3. Hazard incidence data are effectively analyzed.

Purpose: To determine if your agency uses hazard incidence data to set safety and health priorities.

Assessment Tips:

- Hazard incidence data should be analyzed to enumerate hazard types, to detect time trends and spatial patterns, and to determine proportional distributions among operations and personnel. Results of the analyses are useful in setting hazard prevention strategies.
- Formal analysis of data involving less than 10 recorded hazards is not necessary. Interpretation of such small data sets should be readily apparent without manipulation. However, responsible persons in your agency should have reviewed the data, and be able to describe their conclusions if interviewed. Also, note that combining data for multiple years can increase the size of the data set, thereby possibly justifying formal analysis.
- A score of "Attribute is highly effective" on this attribute indicates that the agency collects and analyzes its hazard incidence data or that it recorded fewer than 10 hazards over the past three years, and responsible persons in the organization interpreted the data.

4. A review of the overall safety and health management system is conducted at least annually.

Purpose: To determine if your agency periodically audits the management aspects of its overall safety and health system, determining progress achieved toward its safety and health objectives, and identifying needed changes or improvements.

Assessment Tips:

- An annual audit of the organizational SHMS should be conducted on a formal basis and provide a 'big picture' assessment of the overall impact that numerous small improvements are having on organizational performance. Ideally, the audit will correlate action successes and failures of the past year with outcome results, such as injuries and illnesses.
- There are numerous ways to perform an annual safety and health audit. It may be conducted internally or externally. Regardless of the method, it is essential that the audit process be data driven with top management endorsement. Although the annual audit is concerned with accountability for safety and health performance at all levels of the organization, it is primarily a scorecard for top management leadership. For this reason, top managers should be directly involved in the audit process or, at least, keenly aware of the audit results.
- The annual safety and health audit does not necessarily involve an inspection activity. Your agency may depend on previous inspection reports to conduct its analysis.

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- Audits may be very brief in time and documentation if your agency successfully completed its planned safety and health actions, accomplished its objectives, and achieved the desired outcome results.
- An annual audit does not conflict with a “continuous improvement” approach to OSH management. The audit provides a "big picture" assessment of the overall impact that numerous small improvements are having on organizational performance.
- An annual audit or review is formal and written. At a minimum, it should highlight the accomplishments and identify the failures – and reasons for the failures – so that these issues can be addressed. Ideally, the audit will correlate action successes and failures with outcome results such as injuries and illnesses to determine if these actions should be extended, changed, or dropped, and whether new actions and/or objectives should be initiated.
- The audit should also track leading (worker participation in program activities, number and frequency of management walkthroughs, etc) and lagging (number and severity of injuries/illnesses, OWCP data, etc.) indicators of progress toward accomplishing OSH goals. The most effective audits involve input from all levels of the organization: managers, supervisors, and workers. Top managers should be directly involved in the audit process or, at least, keenly aware of the audit results.
- Where applicable, agencies’ annual audits should also evaluate the effectiveness of OSH coverage for onsite contractors.

5. Individuals with assigned safety and health responsibilities have the necessary knowledge, skills, and timely information to perform their duties.

Purpose: To determine if your agency’s personnel have the understanding, skill and current information needed to effectively perform their safety and health responsibilities.

Assessment Tips:

- The intent of this attribute is to determine if the responsible person knows how and when to perform the assigned task.
- This attribute considers three types of learning that are necessary for effective task performance.
 - o *Knowledge* refers to understanding gained from study or experience. Knowledge relates to the ‘why,’ and ‘what if’ issues associated with a task.
 - o *Skill* refers to ability. It refers to the ‘how,’ and ‘just do it’ aspects of a task. Skill is usually obtained by practice to proficiency.
 - o *Timely information* refers to advance data, instructions, alerts, warnings, or other communications that either trigger performance of a task, or alter the way it should be performed. It relates primarily to the ‘when’ aspects of task performance, and is particularly important under hazardous or emergency conditions.
- When rating this attribute, consider the depth and breadth of ongoing training provided to agency leadership, as well as occupational safety and health managers, and other representatives

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6. Managers allocate the resources needed to properly support the organization's safety and health program.

Purpose: To determine if your agency's managers demonstrate safety and health leadership, promote a culture of safety and health in the organization, and support effective operation of the safety and health management system by allocating needed resources.

Assessment Tip:

- In larger agencies, a safety and health budget or identifiable safety and health components in the general budget may exist as a source of information on the resources allocated to safety and health.
- A confirming cue is established when managers report current allocations for safety and health purposes and /or plans for future allocations to achieve safety and health improvements.
- An agency cannot score a "Attribute is highly effective" unless interviews and budget/purchase/spending reviews support a philosophy and practice regarding provision of adequate resources to accomplish the required OSH duties and agency goals.

7. There is an effective process to involve employees in safety and health issues.

Purpose: To determine if there is an established agency process that is known, trusted, and used by employees to provide input regarding safety and health issues.

Assessment Tips:

- Has a process been established for employee input on safety and health issues? An effective process for employee involvement should provide for (1) the solicitation of input, (2) the receipt of input, and (3) the acknowledgment of input. The established process may provide a single way or multiple avenues for soliciting, receiving, and acknowledging employee inputs.
- A highly effective way of both soliciting and receiving employee input is to ensure that employees are represented in small group meetings where safety and health issues are discussed.
- Much depends on the culture of the organization, and the management styles of its managers.
- In evaluating the process that provides acknowledgment, it is important to remember that any acknowledgment message should not only confirm that the employee input was received, but it should also provide feedback to the employee concerning how the information or suggestion was used.
- Some methods for soliciting input (including from volunteers and contractors, where applicable) are postings, e-mail, chain-of-command distributions, group OSH meetings, labor/management OSH meetings, and agency-wide meetings. Common methods of receiving workers input on OSH issues are chain-of-command reporting, managerial open-door policies, stop work authority, suggestion boxes, e-mail, and direct reporting to the safety director or OSH committee. The best system is the one that works for the organization.

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- An agency cannot score an “Attribute is highly effective” for this criterion unless it provides multiple opportunities for workers to participate in OSH issues; the workers know, understand, and use the opportunities; the opportunities and involvement mechanisms effectively reduce OSH incidents and increase safe behaviors – and workers are aware of this effect; open lines of communication exist between workers and management regarding OSH issues; and management uses multiple methods to solicit, receive, and provide feedback on worker input regarding OSH issues.

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SAFETY AND HEALTH MANAGEMENT SYSTEM EVALUATION

Please rate your agency's OSH performance using the 7 attributes below. For each attribute, select one of the following responses from the dropdown menu provided.

- The attribute does not exist.
- The attribute needs major improvements.
- The attribute needs minor improvements.
- The attribute is highly effective.
- The attribute is not applicable.

Additional information on how to rate each attribute is included in "Evaluation Guide" tab.

Attribute 1. Effective safety and health self-inspections are performed regularly.

How often are self-inspections conducted? Select all that apply.

- Daily Monthly Yearly
 Weekly Quarterly Other

Were all workplaces inspected in CY 2018?

Who conducts these inspections? Select all that apply.

- Supervisors and employees trained to recognize hazards
 Safety and health staff
 Other

Other - please describe:

Are checklists used when conducting these inspections?

Was each identified hazard corrected immediately, or scheduled for correction in your agency's action plan for safety and health?

How many inspections were announced?

How many inspections were unannounced?

Are these inspections analyzed over time to see if patterns of recurring hazards or noncompliance exist?

Please provide examples in the narrative section of the report, under Injury and Illness Prevention Initiatives.

Attribute 2. Effective safety and health rules and safe work practices are in place.

How does your agency communicate these rules and practices. Please select all that apply.

- Written manuals or memorandums Agency websites and/or posters
 Verbal instruction or direction Other

Other - please describe:

How can employees report hazards? Please select all that apply.

- Electronic reporting system Inform safety personnel verbally or by email
 Inform manager verbally or by email Other

Other - please describe:

Is anonymous reporting allowed?

If yes, approximately what percentage of your reports were anonymous?

Attribute 3. Hazard incidence data are effectively analyzed.

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Please identify the information included in your agency's incidence data. Select all that apply.

- | | |
|---|--|
| <input type="checkbox"/> Number and type of near misses | <input type="checkbox"/> Number of OSHA non-compliances |
| <input type="checkbox"/> Incidents that did not cause personal injury | <input type="checkbox"/> Number of workers without required training |
| <input type="checkbox"/> Failure to use specified PPE | <input type="checkbox"/> Other |
| <input type="checkbox"/> Number and types of uncontrolled hazards identified (e.g. missing machine guards, chemical releases, etc.) | |

Other - please describe:

Does your agency's analysis include the following? Select all that apply.

- | | | |
|---|--|---|
| <input type="checkbox"/> Identifying injury and illness types | <input type="checkbox"/> Determining distributions | <input type="checkbox"/> Setting priorities for hazard correction |
| <input type="checkbox"/> Detecting trends and patterns | <input type="checkbox"/> Assisting in hazard detection | <input type="checkbox"/> Other |

Other - please describe:

Do all employees have access to the data analysis results?

Attribute 4. A review of the overall safety and health management system is conducted at least annually.

Please indicate what is included in your agency's review/audit. Select all that apply.

- | | |
|---|--|
| <input type="checkbox"/> Leading Indicators (If checked, please select all that apply) | <input type="checkbox"/> Review of existing budget for OSH |
| <input type="checkbox"/> Review of OSH training records | <input type="checkbox"/> Other |
| <input type="checkbox"/> Tracking of management participation in walkthroughs/inspections | |

Other - please describe:

- | | |
|--|--|
| <input type="checkbox"/> Lagging Indicators (If checked, please select all that apply) | <input type="checkbox"/> Review of workers' compensation |
| <input type="checkbox"/> Review of OSHA recordable injuries/illnesses | <input type="checkbox"/> Other |
| <input type="checkbox"/> Review of injury frequency and severity | |

Other - please describe:

- Review is written
- Management is involved in review or aware of the audit results
- Review identifies accomplishments, failures and root cause(s) for failures
- Other

Other - please describe:

Attribute 5. Individuals with assigned safety and health responsibilities have the necessary knowledge, skills, and timely information to perform their duties.

Please indicate the training your agency provides to staff with assigned safety and health responsibilities (Safety Coordinators/ Safety Committee members/ Other safety & health personnel). Select all that apply.

- | | |
|---|--|
| <input type="checkbox"/> Agency provided classroom training | <input type="checkbox"/> OSHA Education Center training |
| <input type="checkbox"/> Agency provided online training | <input type="checkbox"/> OSHA Training Institute classroom courses |
| <input type="checkbox"/> OSHA FEDWEEK | <input type="checkbox"/> National Safety Council/ ASSE/AIHA/NFPA |
| <input type="checkbox"/> OSHA online collateral duty course | <input type="checkbox"/> Other |

Other - please describe:

Individuals with assigned safety and health responsibilities have the knowledge, skills, and authority to:

- Make and implement operational decisions relative to the assigned task, including work stoppage if necessary.
- Identify task-related resource needs and obtain/specify/requisition, those resources. (If checked, please select all that apply)

<input type="checkbox"/> Supplies, such as PPE	<input type="checkbox"/> Maintenance
<input type="checkbox"/> Equipment	<input type="checkbox"/> Housekeeping
<input type="checkbox"/> Training	<input type="checkbox"/> Other
<input type="checkbox"/> Repairs	

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Other - please describe:

- The responsible person is able to make and enforce task-related assignments to others.
 - Other
-

Other - please describe:

Attribute 6. Managers allocate the resources needed to properly support the organization's safety and health management system.

Please indicate whether the resources include the following. Select all that apply.

- Encouraging participation in Field Federal Safety and Health Councils
 - Encouraging staff participation in the safety committee(s)
 - Providing stipends for offsite safety and health training and meetings
 - Providing necessary PPE to employees
 - An OSH budget exists and is easily identified
 - Other
-

Other - please describe:

Please indicate whether any of these policies or programs exist at your agency. Select all that apply.

- Employee surveys that include questions about reporting hazards
 - An incentive program for reporting hazards
 - A clear non-retaliation policy (Select all that apply)
 - Policy is provided at new employee orientation
 - Policy is posted on agency internal website
 - Other
-

Other - please describe:

Attribute 7. There is an effective process to involve employees in safety and health issues.

Please indicate how your agency solicits OSH-related employee input. Select all that apply.

- Post notices
 - Email employees
 - OSH meetings with employee input
 - Joint Labor/Management OSH meetings
 - Stop-work authority is given to employees
 - Suggestion box
 - Other
-

Other - please describe:

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FATALITY, HOSPITALIZATION, AMPUTATION, LOSS OF AN EYE REPORT

Complete one form per incident involving fatality or hospitalization/ amputation/loss of an eye

Date of incident		
Time of incident		
		Provide Number Impacted
Nature of incident-	Fatality	
	Hospitalization	
	Amputation	
	Loss of Eye	
Was incident work-related?		
Describe work environment and operations:		
Describe incident:		
Was an accident investigation conducted?		
What were results of investigation (causes, contributing factors and conditions)		
Were corrective actions taken?		
If yes, please describe:		
Were programmatic changes made?		
If yes, please describe:		

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Safety and Health Training Offered by Your Agency

List the specific safety training your agency offered in CY 2018 and indicate the number of employees

Name of Training Course Provided	Training Platform Used	If other, explain	# Employees Trained	# Supervisors/Managers Trained	Quiz/Knowledge Check used? (Yes or No)
Sample - slip/trip/fall prevention training	Other	drill	25	5	No
Sample - Supervisor Safety Training	Classroom			10	Yes
Sample - Defensive Driving Training	Other	Practical	10		Yes
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