

# OKLAHOMA DEPARTMENT OF CORRECTIONS ANNUAL HEALTH AND SAFETY EVALUATION FORM

FACILITY:

DATE OF EVALUATION:

EVALUATORS NAME AND TITLE:

## INSTRUCTIONS

Evaluators are to evaluate the facility's current Health and Safety Program using the below sections. Scoring the evaluation: Objectively score the facility on each of the individual factors and elements after obtaining the necessary information to do so. These will be given a score of 1, 2, 3, 4, or 5. Each element provides verbal descriptors of workplace characteristics for each factor for each of the five levels. You will refer to these elements as appropriate to ensure that the score you assign to a factor corresponds to the descriptor that best fits the worksite. NOTE: The descriptors are intended as brief illustrations of a workplace at a particular level. In exercising your professional judgment, you should proceed with the understanding that the descriptor that "best fits" will not necessarily match the workplace exactly or in literal detail. In addition, provide justification for your score in the comments section.

| MANAGEMENT LEADERSHIP and EMPLOYEE PARTICIPATION   |  |
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| <b>Management Leadership</b>   |  |
| <b>Visible management leadership</b> provides the motivating force for an effective safety and health program. |  |
| <b>1</b>   | Management demonstrates policy, goals, objectives, or interest in safety and health issues at this facility.   |
| <b>2</b>   | Management sets and communicates safety and health policy and goals, but remains detached from all other safety and health efforts.  |
| <b>3</b>   | Management follows all safety and health rules, and gives visible support to the safety and health efforts of others.  |
| <b>4</b>   | Management participates in significant aspects of the site's safety and health program, such as site inspections, incident reviews, and program reviews.   |
| <b>5</b>   | Site safety and health issues are regularly included on agendas of management operations meetings. Management clearly demonstrates--by involvement, support, and example--the primary importance of safety and health for everyone on the worksite. Performance is consistent and sustained or has improved over time. |
|  | Comments:  |
| <b>Section Ranking</b> _____<br>5-Outstanding<br>4-Exceeds<br>3-Met<br>2-Partially Met<br>1-Not Present        |  |

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| MANAGEMENT LEADERSHIP and EMPLOYEE PARTICIPATION  |   |
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| <b>Employee Participation</b>   |   |
| <b>Employee participation</b> provides the means, through which workers identify hazards, recommend and monitor abatement, and otherwise participate in their own protection. |   |
| <b>1</b>  | Employee participation in workplace safety and health concerns are encouraged.  |
| <b>2</b>  | Employees can participate freely in safety and health activities at the worksite without fear of reprisal. Procedures are in place for communication between facility management and employees on safety and health matters.  |
| <b>3</b>  | Employees are involved in the safety and health program, involved in inspection of work area, and are permitted to observe monitoring and receive results. Workers' right of access to information is understood by workers and recognized by management. A documented procedure is in place for raising complaints of hazards or discrimination and receiving timely employer responses.   |
| <b>4</b>  | Employees participate in workplace analysis, inspections and investigations, and development of control strategies throughout facility, and have necessary training and education to participate in such activities. Workers have access to all pertinent health and safety information, including safety reports and audits.   |
| <b>5</b>  | Employees participate fully in development of the safety and health program and participate in health and safety training. Employees participate in audits; program reviews conducted by management or third parties, collection of samples for monitoring purposes, and have necessary training and education to participate in such activities. Facility encourages and authorizes employees to stop activities that present potentially serious safety and health hazards. |
| Comments:   |   |
| <b>Section Ranking</b> _____<br>5-Outstanding<br>4-Exceeds<br>3-Met<br>2-Partially Met<br>1-Not Present   |   |

| MANAGEMENT LEADERSHIP and EMPLOYEE PARTICIPATION  |  |
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| <b>Implementation</b>   |  |
| <b>Implementation</b> means tools, provided by management, that include:  |  |
| -- budget<br>-- information<br>-- personnel<br>-- assigned responsibility<br>-- adequate expertise and authority<br>-- means to hold responsible persons accountable (line accountability)<br>-- program review procedures. |  |

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| <b>1</b> | Tools are available to implement a safety and health program.  |
| <b>2</b> | Some tools to implement a safety and health program are adequate and effectively used; Management assigns responsibility for implementing a site safety and health program to identified person(s). Management's designated representative has authority to direct abatement of hazards that can be corrected without major capital expenditure.   |
| <b>3</b> | Tools to implement a safety and health program are adequate. Management representative has some expertise in hazard recognition and applicable OSHA requirements. Management keeps or has access to applicable OSHA standards at the facility, and seeks appropriate guidance information for interpretation of OSHA standards. Management representative has authority to order/purchase safety and health equipment. |
| <b>4</b> | All tools to implement a safety and health program are more than adequate and effectively used. Written safety procedures, policies, and interpretations are updated based on reviews of the safety and health program. Safety and health expenditures, including training costs and personnel, are identified in the facility budget. Hazard abatement is an element in management performance evaluation.            |
| <b>5</b> | All tools necessary to implement a good safety and health program are more than adequate and effectively used. Management safety and health representative has expertise appropriate to facility size and process, and has access to professional advice when needed. Safety and health budgets and funding procedures are reviewed periodically for adequacy.   |
|          | Comments:  |
|          | <p><b>Section Ranking</b> _____</p> <p>5-Outstanding<br/> 4-Exceeds<br/> 3-Met<br/> 2-Partially Met<br/> 1-Not Present</p>   |

| MANAGEMENT LEADERSHIP and EMPLOYEE PARTICIPATION   |   |
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| Contractor Safety  |   |
| <b>Contractor safety:</b> An effective safety and health program protects all personnel on the worksite, including the employees of contractors and subcontractors. It is the responsibility of management to address contractor safety. |   |
| <b>1</b>   | Management makes provisions to include contractors within the scope of the worksite's safety and health program.  |
| <b>2</b>   | Management policy requires contractor to conform to OSHA regulations and other legal requirements.  |
| <b>3</b>   | Management designates a representative to monitor contractor safety and health practices, and that individual has authority to stop contractor practices that expose host or contractor employees to hazards. Management informs contractor and employees of hazards present at the facility. |

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| 4   | Management investigates a contractor's safety and health record as one of the bidding criteria.  |
| 5   | The site's safety and health program ensures protection of everyone employed at the worksite, i.e., regular full-time employees, contractors, temporary and part-time employees. |
|   | Comments:  |
| <b>Section Ranking</b> _____<br>5-Outstanding<br>4-Exceeds<br>3-Met<br>2-Partially Met<br>1-Not Present |  |

| WORKPLACE ANALYSIS   |  |
|--|--|
| Survey and Hazard Analysis   |  |
| <b>Survey and hazard analysis:</b> An effective, proactive safety and health program will seek to identify and analyze all hazards. In large or complex workplaces, components of such analysis are the <b>comprehensive survey</b> and <b>analyses of job hazards and changes in conditions</b> . |  |
| 1  | Requirements exist for hazard review of planned/changed/new operations. The facility has a comprehensive survey for safety or health hazards or for routine job hazard analysis.   |
| 2  | Surveys for violations of standards are conducted by knowledgeable person(s) in response to accidents or complaints. The employer has identified principal OSHA standards which apply to the worksite.   |
| 3  | Process, task, and environmental surveys are conducted by knowledgeable person(s) and updated as needed and as required by applicable standards. Current hazard analyses are written (where appropriate) for all high-hazard jobs and processes; analyses are communicated to and understood by affected employees. Hazard analyses are conducted for jobs/ tasks/workstations where injury or illnesses have been recorded. |
| 4  | Methodical surveys are conducted periodically and drive appropriate corrective action. Initial surveys are conducted by a qualified professional. Current hazard analyses are documented for all work areas and are communicated and available to the entire workforce; knowledgeable persons review all planned/changed/new facilities, processes, materials, or equipment.   |
| 5  | Regular surveys including documented comprehensive workplace hazard evaluations are conducted by safety and health professional or professional engineer, etc. Corrective action is documented and hazard inventories are updated. Hazard analysis is integrated into the design, development, implementation, and changing of all processes and work practices.   |
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| WORKPLACE ANALYSIS   |  |
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| <b>Inspection</b>  |  |
| <p><b>Inspection:</b> To identify new or previously missed hazards and failures in hazard controls, an effective safety and health program will include regular <b>site inspections</b>.</p> |  |
| <b>1</b>   | Routine physical inspections of the workplace and equipment are conducted.   |
| <b>2</b>   | Supervisors dedicate time to observing work practices and other safety and health conditions in work areas where they have responsibility.   |
| <b>3</b>   | Competent personnel conduct inspections with appropriate involvement of employees. Items in need of correction are documented. Inspections include compliance with relevant OSHA standards. Time periods for correction are set.   |
| <b>4</b>   | Inspections are conducted by specifically trained employees, and all items are corrected promptly and appropriately. Workplace inspections are planned, with key observations or check points defined and results documented. Persons conducting inspections have specific training in hazard identification applicable to the facility. Corrections are documented through follow-up inspections. Results are available to workers. |
| <b>5</b>   | Inspections are planned and overseen by safety or health professionals. Statistically valid random audits of compliance with all elements of the safety and health program are conducted. Observations are analyzed to evaluate progress.  |
| Comments:  |  |
| <p><b>Section Ranking</b> _____</p> <p>5-Outstanding<br/>4-Exceeds<br/>3-Met<br/>2-Partially Met<br/>1-Not Present</p>   |  |

| WORKPLACE ANALYSIS  |  |
|---|--|
| <b>Hazard Reporting</b>   |  |
| <p>A reliable <b>hazard reporting system</b> enables employees, without fear of reprisal, to notify management of conditions that appear hazardous and to receive timely and appropriate responses.</p> |  |
| <b>1</b>  | A formal hazard reporting system exists, or employees are reluctant to report hazards. |
| <b>2</b>  | Employees are instructed to report hazards to management. Supervisors are              |

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|   | instructed and are aware of a procedure for evaluating and responding to such reports. Employees use the system with no risk of reprisals.   |
| <b>3</b>  | A formal system for hazard reporting exists. Employee reports of hazards are documented, corrective action is scheduled, and records maintained.   |
| <b>4</b>  | Employees are periodically instructed in hazard identification and reporting procedures. Management conducts surveys of employee observations of hazards to ensure that the system is working. Results are documented. |
| <b>5</b>  | Management responds to reports of hazards in writing within specified time frames. The workforce readily identifies and self-corrects hazards; they are supported by management when they do so.                       |
|   | Comments:  |
| <b>Section Ranking</b> _____<br>5-Outstanding<br>4-Exceeds<br>3-Met<br>2-Partially Met<br>1-Not Present |  |

| ACCIDENT and RECORD ANALYSIS   |  |
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| Accident Investigation   |  |
| <b>Accident investigation:</b> An effective program will provide for <b>investigation of accidents and "near miss" incidents</b> , so that their causes, and the means for their prevention, are identified. |  |
| <b>1</b>   | Investigations of accidents, injuries, near misses, or other incidents are conducted.  |
| <b>2</b>   | Some investigation of incidents takes place, but root cause may not be identified, and correction may be inconsistent. Supervisors prepare injury reports for lost time cases.   |
| <b>3</b>   | OSHA-300 Logs are completed for all recordable incidents. Reports are prepared with because identification and corrective measures prescribed.   |
| <b>4</b>   | OSHA-recordable incidents are investigated, and effective prevention is implemented. Reports and recommendations are available to employees. Quality and completeness of investigations are systematically reviewed by trained safety personnel. |
| <b>5</b>   | All loss-producing accidents and "near-misses" are investigated for root causes by teams or individuals that include trained safety personnel and employees.   |
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| ACCIDENT and RECORD ANALYSIS  |  |
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| <b>Data Analysis</b>  |  |
| <p><b>Data analysis:</b> An effective program will <b>analyze injury and illness records</b> for indications of sources and locations of hazards, and jobs that experience higher numbers of injuries. By analyzing injury and illness trends over time, patterns with common causes can be identified and prevented.</p> |  |
| <b>1</b>  | Analysis of injury/illness records; records (OSHA 300/1\301, exposure monitoring) are kept and conducted.  |
| <b>2</b>  | Data is collected and analyzed for prevention of workplace incidents. OSHA – 300/301 is completed for all recordable cases. Exposure records and analyses are organized and are available to safety personnel.   |
| <b>3</b>  | Injury/illness logs and exposure records are kept correctly, are audited by facility personnel, and are essentially accurate and complete. Rates are calculated so as to identify high risk areas and jobs. Workers compensation claim records are analyzed and the results used in the program. Significant analytical findings are used for prevention.                |
| <b>4</b>  | Employer can identify the frequent and most severe problem areas, the high risk areas and job classifications, and any exposures responsible for OSHA recordable cases. Data are fully analyzed and effectively communicated to employees. Illness/injury data are audited and certified by a responsible person.  |
| <b>5</b>  | All levels of management and the workforce are aware of results of data analyses and resulting preventive activity. External audits of accuracy of injury and illness data, including review of all available data sources are conducted. Scientific analysis of health information, including non-occupational data bases is included where appropriate in the program. |
| Comments:   |  |
| <p><b>Section Ranking</b> _____</p> <p>5-Outstanding<br/>4-Exceeds<br/>3-Met<br/>2-Partially Met<br/>1-Not Present</p>  |  |

| HAZARD PREVENTION and CONTROL   |   |
|---|---|
| <b>Hazard Control</b>   |   |
| <p><b>Hazard Control:</b> Workforce exposure to all current and potential hazards should be prevented or controlled by using <b>engineering controls</b> wherever feasible and appropriate, <b>work practices</b> and <b>administrative controls</b>, and <b>personal protective equipment (PPE)</b>.</p> |   |
| <b>1</b>  | Hazard control is implemented at the facility.  |
| <b>2</b>  | Hazard controls are generally in place at the facility. Serious hazards may still exist. Employer has achieved general compliance with applicable OSHA standards regarding hazards with a significant probability of causing serious physical harm. |

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|          | Hazards that have caused past injuries in the facility have been corrected.   |
| <b>3</b> | Appropriate controls (engineering, work practice, and administrative controls, and PPE) are in place for significant hazards. Some serious hazards may exist. Employer is generally in compliance with voluntary standards, industry practices, and manufacturers' and suppliers' safety recommendations. Documented reviews of needs for machine guarding, energy lockout, ergonomics, materials handling, bloodborne pathogens, confined space, hazard communication, and other generally applicable standards have been conducted. |
| <b>4</b> | Hazard controls are fully in place, and are known and supported by the workforce. Few serious hazards exist. The employer requires strict and complete compliance with all OSHA, consensus, industry standards, DOC policies and recommendations. All deviations are identified and causes determined.  |
| <b>5</b> | Hazard controls are fully in place and continually improved upon based on workplace experience and general knowledge. Documented reviews of needs are conducted by certified health and safety professionals or professional engineers, etc.  |
|          | Comments:   |
|          | <b>Section Ranking</b> _____<br>5-Outstanding<br>4-Exceeds<br>3-Met<br>2-Partially Met<br>1-Not Present   |

| HAZARD PREVENTION and CONTROL   |  |
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| Maintenance   |  |
| <b>Maintenance:</b> An effective safety and health program will provide for <b>facility and equipment maintenance</b> , so that hazardous breakdowns are prevented. |  |
| <b>1</b>  | The facility's preventive maintenance program is in place.   |
| <b>2</b>  | There is a preventive maintenance schedule. Safety devices on machinery and equipment are generally checked before each production shift.  |
| <b>3</b>  | A preventive maintenance schedule is implemented for areas where it is most needed; it is followed under normal circumstances. Manufacturers' and industry recommendations and consensus standards for maintenance frequency are complied with. Breakdown repairs for safety related items are expedited. Safety device checks are documented. Ventilation system function is observed periodically. |
| <b>4</b>  | The employer has effectively implemented a preventive maintenance schedule that applies to all equipment. Facility experience is used to improve safety-related preventative maintenance scheduling.   |
| <b>5</b>  | There is a comprehensive safety and preventive maintenance program that maximizes equipment reliability.   |
|   | Comments:  |

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| <p><b>Section Ranking</b> _____</p> <p>5-Outstanding<br/>         4-Exceeds<br/>         3-Met<br/>         2-Partially Met<br/>         1-Not Present</p> |
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| HAZARD PREVENTION and CONTROL  |   |
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| Medical Program  |   |
| <p>An effective safety and health program will include a suitable <b>medical program</b> where it is appropriate for the size and nature of the workplace and its hazards.</p> |   |
| <b>1</b>   | Employer is aware of, and responsive to medical needs. Required medical surveillance, monitoring, and reporting are present.  |
| <b>2</b>   | Required medical surveillance, monitoring, removal, and reporting responsibilities for applicable standards are assigned and carried out.   |
| <b>3</b>   | Medical surveillance, removal, monitoring, and reporting comply with applicable standards. Employees report early signs/symptoms of job-related injury or illness and receive appropriate treatment.  |
| <b>4</b>   | Health care providers provide follow-up on employee treatment protocols and are involved in hazard identification and control in the workplace. Medical surveillance addresses conditions not covered by specific standards. Employee concerns about medical treatment are documented and responded to. |
| <b>5</b>   | Health care providers are on-site for all shifts and are involved in hazard identification and training. Health care providers periodically observe the work areas and activities and are fully involved in hazard identification and training.   |
| Comments:  |   |
| <p><b>Section Ranking</b> _____</p> <p>5-Outstanding<br/>         4-Exceeds<br/>         3-Met<br/>         2-Partially Met<br/>         1-Not Present</p>                     |   |

| EMERGENCY RESPONSE  |  |
|---|--|
| Emergency Preparedness  |  |
| <p><b>Emergency preparedness:</b> There should be appropriate <b>planning, training/drills, and equipment</b> for response to emergencies. <u>Note:</u> In some facilities the employer plan is to evacuate and call the fire department. In such cases, only applicable items listed below should be considered.</p> |  |
| <b>1</b>  | The facility makes an effective effort to prepare for emergencies.   |
| <b>2</b>  | Emergency response plans for fire, chemical, and weather emergencies as required by are present. Training is conducted as required by the applicable |

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|   | standard. Some deficiencies may exist.   |
| <b>3</b>  | Emergency response plans have been prepared by persons with specific training. Appropriate alarm systems are present. Employees are trained in emergency procedures. The emergency response extends to spills and incidents in routine production. Adequate supply of spill control and PPE appropriate to hazards on site is available.         |
| <b>4</b>  | Evacuation drills are conducted no less than annually. The plan is reviewed by a qualified safety and health professional.   |
| <b>5</b>  | Designated emergency response team with adequate training is on-site. All potential emergencies have been identified. Plan is reviewed by the local fire department. Plan and performance are reevaluated at least annually and after each significant incident. Procedures for terminating an emergency response condition are clearly defined. |
|   | Comments:  |
| <b>Section Ranking</b> _____<br>5-Outstanding<br>4-Exceeds<br>3-Met<br>2-Partially Met<br>1-Not Present |  |

| <b>EMERGENCY RESPONSE</b>  |  |
|--|--|
| <b>First Aid</b>   |  |
| <b>First aid/emergency care</b> should be readily available to minimize harm if an injury or illness occurs. |  |
| <b>1</b>   | On-site or a nearby community aid (e.g., emergency room) can be ensured.   |
| <b>2</b>   | Either on-site or nearby community aid is available on every shift.  |
| <b>3</b>   | Personnel with appropriate first aid skills commensurate with likely hazards in the workplace are available. Management documents and evaluates response time on a continuing basis.   |
| <b>4</b>   | Personnel with <u>certified</u> first aid skills are always available on-site; their level of training is appropriate to the hazards of the work being done. Adequacy of first aid is formally reviewed after significant incidents. |
| <b>5</b>   | Personnel trained in advanced first aid and/or emergency medical care are always available on-site. In larger facilities a health care provider is on-site for each production shift.  |
|  | Comments:  |
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| <b>SAFETY and HEALTH TRAINING</b>  |   |
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| <p><b>Safety and health training</b> should cover the safety and health responsibilities of all personnel who work at the site or affect its operations. It is most effective when incorporated into other training about performance requirements and job practices. It should include all subjects and areas necessary to address the hazards at the site.</p> |   |
| <b>1</b>   | <p>Facility depends on experience and peer training to meet needs. Managers/supervisors demonstrate involvement in safety and health training responsibilities.</p>   |
| <b>2</b>   | <p>Some orientation training is given to new hires. Some safety training materials (e.g., pamphlets, posters, videotapes) are available or are used periodically at safety meetings, but there is little or no documentation of training or assessment of worker knowledge in this area. Managers generally demonstrate awareness of safety and health responsibilities.</p>  |
| <b>3</b>   | <p>Training includes OSHA rights and access to information. Training required by applicable standards is provided to all site employees. Supervisors and managers attend training in all subjects provided to employees under their direction. Employees can generally demonstrate the skills/knowledge necessary to perform their jobs safely. Records of training are kept and training is evaluated to ensure that it is effective.</p>  |
| <b>4</b>   | <p>Knowledgeable persons conduct safety and health training that is scheduled, assessed, and documented, and addresses all necessary technical topics. Employees are trained to recognize hazards, violations of OSHA standards, and facility practices. Employees are trained to report violations to management. All site employees--including supervisors and managers--can generally demonstrate preparedness for participation in the overall safety and health program. There are easily retrievable scheduling and record keeping systems.</p>   |
| <b>5</b>   | <p>Knowledgeable persons conduct safety and health training that is scheduled, assessed, and documented. Training covers all necessary topics and situations, and includes all persons working at the site (hourly employees, supervisors, managers, contractors, part-time and temporary employees). Employees participate in creating site-specific training methods and materials. Employees are trained to recognize inadequate responses to reported program violations. Retrievable record keeping system provides for appropriate retraining, makeup training, and modifications to training as the result of evaluations.</p> |
| <p>Comments:</p>   |   |
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Review Signature

Facility/Unit Head \_\_\_\_\_ Date \_\_\_\_\_  
Evaluator \_\_\_\_\_ Date \_\_\_\_\_

DOC 100401E  
(R 9/14)