

LECTURE 14

Lecture Title: Monitoring and Auditing Risk Controls

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Undergraduate Diploma in
Occupational Health and Safety

Monitoring and Auditing Risk Controls

AIM of Lecture

- Insights on inspection, evaluation and continuous improvement
- Understanding the importance of safety audits, KPI tracking, corrective actions, compliance verification



Why Monitoring Risk Controls Is Essential

- Risk assessments alone are **not enough**
- Controls may:
 - Fail
 - Be ignored
 - Become outdated
- Monitoring ensures:
 - Controls are implemented
 - Controls remain effective



Monitoring vs Auditing (Simple Comparison)

Monitoring	Auditing
Ongoing	Periodic
Day-to-Day Checks	Formal Review
Supervisors & Workers	Trained Auditors
Focus on performance	Focus on compliance



Types of Monitoring

Active Monitoring

- Inspections
- Observations
- Safety tours
- KPI tracking

Reactive Monitoring

- Accident investigation
- Near-miss reporting
- Ill-health data



Workplace Inspections

- Planned checks of:
 - Equipment
 - Work areas
 - Safe systems of work
- Can be:
 - Daily
 - Weekly
 - Monthly

Workplace Safety Inspection Checklist

Workplace Name: _____

Date of Inspection: _____ Inspector Name: _____

AIM AND SCOPE:
This Checklist is designed to ensure a comprehensive safety inspection of the workplace covering general workplace conditions with safety hazards. It is not intended to replace a detailed and comprehensive inspection of specific equipment or other safety systems. It is a general checklist and should be used in conjunction with any specific safety requirements.

I. GENERAL SAFETY

Emergency escape routes are clearly marked and accessible	☐ Yes	☐ No	☐ N/A
Emergency exits are clearly marked, accessible and unobstructed	☐ Yes	☐ No	☐ N/A
Safety signage: Are the present documents or safety signs and warnings	☐ Yes	☐ No	☐ N/A
Are all equipment safety instructions for use clearly visible and legible	☐ Yes	☐ No	☐ N/A

Observations / Notes: _____

II. ELECTRICAL SAFETY

Electrical wiring: Is it installed in accordance with the regulations	☐ Yes	☐ No	☐ N/A
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Inspections Checklists

- Based on:
 - Risk assessments
 - Legal requirements
 - Company procedures
- Advantages:
 - Simple
 - Consistent
- Limitation:
 - May miss unsafe behaviour



Safety Observations (Behaviour-Based Monitoring)

- Focus on **how work is done**
- Identify:
 - Unsafe acts
 - Safe behaviors
- Encourages:
 - Worker involvement
 - Positive safety culture

Strong link to Vision Zero Culture



Introduction to Safety Audits

- Focus on **how work is done**
- ### Safety Audit:
- A systematic examination of:
 - Policies
 - Procedures
 - Risk controls
 - Legal compliance



Audit Process (Simple Steps)

- Plan the audit
- Collect evidence
- Compare with standards
- Identify gaps
- Report findings



Action Tracking

- Actions must be:
 - Assigned
 - Prioritised
 - Closed within deadlines

Date	Safety Resource Activity	Corrective/Preventive Action	Responsible	Progress Update	Deadline	Deadline Status	Due Date	Action ID
2 Jan 18	Workplace Inspection	Repair Street	Maintenance Manager	Nothing to report	2 May 18	Deadline Met		Close
3 Feb 18	Health and Hygiene Inspection	Report fault to wiring	Maintenance Manager	Nothing to report	8 Feb 18	Deadline	2008	Open
9 Feb 18	Workplace Audit	Implement Observation and actions for employees to use	HR Manager	Nothing to report	23 Feb 18	Deadline Met		Close
4 Feb 18	Equipment Inspection	Report on condition	Maintenance Manager	Nothing to report	12 Apr 18	Deadline	81	Open
9 Feb 18	Housekeeping Inspection	Supervisor must ensure work areas properly stored pallets which are not in use	Workshop Supervisor	Nothing to report	23 Feb 18	Deadline Met		Close
2 Mar 18	Workplace Inspection	Provide portable drinking water for workers	General Manager	Nothing to report	13 Mar 18	Deadline Met		Close

Failure to close actions = system failure



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VISION ZERO

Vision Zero is a global approach to workplace health and safety that aims for **zero harm**, meaning:

- **Zero fatalities**
- **Zero serious injuries**
- **Zero occupational illnesses**

It is built on the belief that **all incidents are preventable** with the right commitment, systems, and behaviors. Vision Zero focuses on creating a strong prevention culture rather than just complying with regulations.



VISION ZERO

7 Golden Rules for Vision Zero

1. Take leadership – demonstrate commitment
2. Identify hazards – control risks
3. Define targets – develop programmes
4. Ensure a safe and healthy system –
be well-organized
5. Ensure safety and health in machines,
equipment and workplaces
6. Improve qualifications – develop competence
7. Invest in people – motivate by participation



1. Take Leadership & Demonstrate Commitment (1 of 2)

Demonstrate health & Safety, set Standards and serve as role model for employees and Managers:

- Health & Safety must take precedence in respect of production.
- Health & Safety must always be in the agenda in meetings.
- Training for leaders.

The Importance of Health & Safety is know to everyone in the organisation:

- Discussion of Health and safety matter with employees.
- Feed back from employees to determine function of role model.



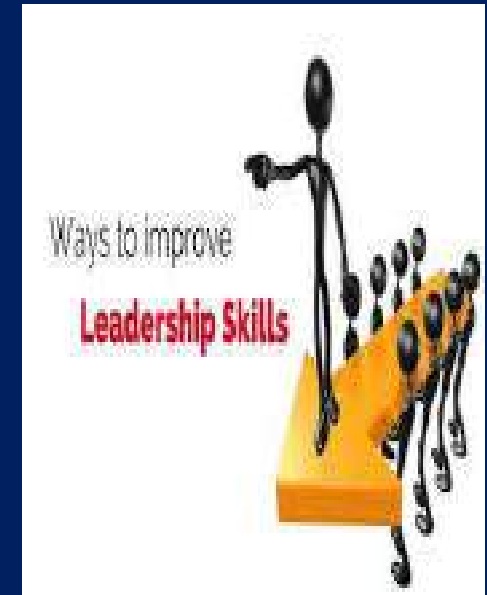
1. Take Leadership & Demonstrate Commitment (2 of 2)

Consistency and demonstration of the importance of Health and safety at work:

- Emphasise health and safety to external contractors, companies working with, suppliers and customers.

Invest in Health & Safety in the Organisation:

- Sufficient time for employees to do their work carefully and safely.
- Allocation of further means and adequate financial budget.



2. Identify Hazards- Control the Risk

Make sure that A Risk Assessment is prepared , documented and reviewed at regular intervals:

- More involvement of employees, for the preparation and review of the Risk assessment.
- Risk assessment should also cover stress and mental health issues. Psychological aspects are not present.
- Establishment of intervals for RA updates.

Occupational accidents and near misses reporting and evaluation:

- Estimation of cost from work related accidents.
- Incorporation of these results in the Risk Assessment.

Information from Risk Assessment & Accidents Analysis :

- Better use of information established by Risk Assessment and accident analysis and to be clearly communicated to employees.



3. Define Targets & Develop Programmes

Establishment of Health & Safety Goals:

- Goals should be established with management and workers.
- Organisation objectives and targets should be informed to manager, employees, contractors and partners.

Plan of Concrete Activities to reach Targets:

- Organisation of health and safety programmes and activities (such as HS awards and incentives for good practices)

Establish Performance figures to verify effectiveness Initiative Measures:

- Further adjustment of HS Programs if results are not satisfactory.
- Comparing key performances with other similar organisations in the same industry (benchmarking).
- Communication of target achievement in HS with employees.



4. Ensure a Health & Safety System & Be well Organised

Structures, responsibilities, competencies, procedures & processes, Organisation in OHS :

- Better establishment of reporting systems, who must report to whom.
- Communication of RA changes, employees should be instructed regularly.
- Sufficient and well distribution of first aiders, fire fighters and WHSR in shifts and sections.
- OHS in the organisation meets the minimum Legal Requirements.
- Establishment of an OHS Committee with the inclusion of management and employees to discuss OHS goals and keep health and safety standards organised within the organisation.



5. Ensure Health & Safety in Machines, Equipment and Workplaces

- Standards in procurement of new production facilities, machinery and equipment and in the workplace design.
- Involve health safety representatives and experienced workers in procurement processes.
- Daily operations of production facility, machinery and equipment usage.
- Information of Operating Manuals to be communicated and instructed to machinery and equipment used and to be made readily available to workers when required.
- Better maintenance procedures. (to abide with RA instructions)
- Better establishment of traffic routes in and outside the premisses.
- Facilities, machinery & Equipment do not pose Health & Safety Hazards
- Better attention to ergonomic designs of workplaces and procedures, such as sitting positions, adequate lightning and repetitive movements.



6. Improve Qualifications & Develop competence

Knowing what qualifications and competencies required for a health and safety operations.

- Ensure a better hand over, overlapping training and guidance to successors.
- **Invest and support in training and continuing development of employees and management.**

The company is in line with Vision Zero requirements and to keep existing measures

Use of new competencies of employees, assign new suitable and new responsibilities.

- Participation and contribution of newly qualified employees in HS decision making , taking into consideration their insights and ideas to archive better HS Standards.



7. Invest in People & Motivate by Participation

Demonstration of personal appreciation to the employees, from the employer & Management.

- More involvement and participation of employees in HS decisions, Employees should be more praised and recognised for good HS practices.
- Employees ideas related to health & safety must be taken more seriously.

Development of a positive Health & Safety Culture.

- The organisation is in line with Vision Zero strategy.

Establish Structures for participation and motivation.

- Better communication for effective participation
- The establishment of safe work performances of employees and sections with financial or intangible incentives.



Challenges to Implement Vision Zero

- Financial Budget Constrain:

The organization must allocate an independent budget in respect of health and safety.



- Limited human resources

Another factor challenging the implantation of vision zero is that the organization is limited with respect to human resources to carry out the duties and responsibilities required by the vision zero strategies.



- Turnover in the workforce

Workers nowadays, change work more frequently, and the organization must train new employees to carry out their duties, requiring further repetitive costs and time.

Challenges to Implement Vision Zero

High Cost of Health and Safety Provisions & Certifications

- The implementation of the vision zero health and safety management system is also associated with the financial budget is the high costs in health and safety provisions and certifications
- The costs of certifications, such as plant, machinery, and equipment certifications.

Periodical training is required.

- May also be a challenge, as it disrupts workers from their day-to-day duties and it also comes at a price.
- The company's Strength and Establishment are low.



Challenges to Implement Vision Zero

Change in Health and Safety Culture :

(Resistance of employees to adhere to new HSM Systems)

- Another issue concerning the implementation of vision zero in this organization is the change in health and safety culture:
- Older workers in the organization may resist new policies in respect of health and safety : giving the fact that they had carried certain duties in a certain manner all their life.

Psychological Wellbeing

- Leaders and workers are not even aware it is an existing hazard/s.



Vision Zero – Conclusion

Adhering to the Vision zero strategy will:

- Improve Occupational Health and Safety culture within the organisation
- Comply with local legislations and health and safety required standards
- Reduce accidents

But first, the organization (top management) must not be sceptical and be:

- Committed and have the willingness to the objective/
- believe that will be beneficial in many aspects in the long run.





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