

## Form Instructions

*This form is to be completed by Virginia BEST Partnership applicants.*

Included in this workbook are:

**Tab 1. Overview**

**Tab 2. BEST Self Audit Form**

**Tab 3. Documentation Check List**

**Tab 4. Participant Status Summary**

To access these worksheets, please click on the tabs at the bottom of this form.

1. Complete the Participant information required at the top of the SHMS Self Audit Form (Name, Report Period Date)
2. For each element on the Self Audit Form, assess which of the 3 desired outcomes has been completed in your organization. (Listed under 3 columns labeled "1", "2", or "3")
3. Based on your assessment choose the equivalent Evaluation Code from the drop down box for each element.
4. The Summary worksheet will automatically populate.

Participant Name				Date
<b>Management Leadership and Employee Involvement</b>				
Element	1	2	3	Evaluation Code
1. Management Commitment				
M1	Vision and Mission Statements	Develop, issue and communicate safety and health vision and mission statements.	Communicate vision and mission statements to all company and subcontractor employees; incorporate into new employee/subcontractor orientation.	Take proactive steps to ensure the company and subcontractor employees understand the safety and health vision and mission statements.
			Include the vision and mission statements in bid packages.	Ensure policies becomes an integral part of routine activities and decision making during all phases of construction
M2	Leadership	Establish a policy requiring company executives, managers, and supervisors to participate and demonstrate leadership in safety and health activities	Continue participation by top executives and managers.	Continue to ensure total involvement in safety and health of all company and key subcontractor senior management, supervisors and lead persons.
			Require key subcontractors to adopt and begin implementing leadership policies and increase frequency of management participation in safety and health activities.	
M3	Resources	Develop safety and health budget and commit and ensure utilization of adequate resources.	Provide additional resources for safety and health activities, including access to certified safety and health professionals, if necessary, and licensed health care professionals, and improve integration of safety and health into other planning activities.	Continue committing and ensuring the utilization of adequate resources by company and key subcontractors.
		Establish and implement a policy that integrates safety and health into the overall company management planning and budgeting process.		Ensure integration of safety and health in all company and key subcontractor planning and budget processes in the company.
M4	Targets and Objectives	Set and communicate annual safety and health targets and objectives based on findings from initial hazard and trend analyses, and safety and health perception survey results.	Review progress towards achievement of safety and health objectives; establish & communicate new objectives, as appropriate.	Company and subcontractors review, revise, and communicate safety and health targets and objectives
			Require subcontractors to develop targets and objectives consistent with BEST participation.	Ensure safety and health targets and objectives are routinely considered in company's and subcontractor's activities and programs.
M5	Communication	Establish clear lines of communication throughout all aspects of company operations.	Maintain clear lines of communication with company and subcontractor employees involving safety and health issues.	Continue open dialogue between company and subcontractor management staff and employees.
		Provide reasonable access to senior management on safety and health issues.		

M6	Roles, Responsibilities, Authorities, and Accountability	Develop a safety and health accountability plan for managers/supervisors and non-supervisory employees.	Communicate and implement accountability plan.	Fully implement accountability system for all company and key subcontractor workers, including incorporating safety and health responsibilities into job descriptions and performance plans.	
			Assign additional responsibilities to non-supervisory employees as appropriate.	Begin measuring performance of safety and health responsibilities in annual performance appraisal processes	
			Encourage subcontractors to adopt and begin implementing similar accountability plan or establish equivalent process.		
M7	Discipline	Establish a company disciplinary policy for all employees re: compliance with safety and health regulations, rules, procedures, etc.	Continue to implement disciplinary plan with an implementation schedule for managers and employees.	Ensure discipline is equally enforced for company and subcontractor employees.	
			Require key subcontractors, if applicable, to adopt company disciplinary policy or establish equivalent policies.		
M8	Annual Self-Evaluation	Develop and implement a written plan/procedure for conducting annual self evaluations.	Develop a written plan/procedure for conducting annual self evaluations and other evaluations, including a requirement for narrative reports.	Company and key subcontractors implement systems and written procedures to annually evaluate the safety and health management systems.	
			Encourage key subcontractors to adopt a similar policy or establish an equivalent process.	Company and key subcontractors complete at least one annual self-evaluation of the safety and health management system.	

2. Employee Involvement					Evaluation Code
Element		1	2	3	
M9	Safety and Health Perception Survey	Conduct a safety and health perception survey for employees and key subcontractor employees, if applicable.	Review and respond to survey findings and conclusions.	Conduct follow-up safety and health perception survey to identify further needed improvements.	
M10	Safety and Health Perception Survey Change Plan	Develop an action plan to address findings from the safety and health perception survey.	Implement steps defined in the company's action plan to improve safety and health culture.	Continue implementing action plan	
			Require key subcontractors to develop action plan to address findings related to them.		
M11	Employee Notification	Notify all employees and subcontractor employees of their safety and health rights under the OSH Act and inform them of the company's participation in BEST.  Encourage the reporting of hazardous conditions	Notify new employees of their safety and health rights and the company's participation in BEST.	Inform all employees annually of worker rights and include elements in company/project site orientation for new employees and subcontractors	
			Incorporate into new employee/subcontractor orientation.		
			Require the reporting of hazards.	Reinforce as appropriate.	
M12	Employee Involvement	Develop a plan and implementation schedule for involving employees in developing a company safety and health program (e.g. S&H teams) and begin involving employees in safety and health activities (e.g. safety audits)	Increase participation on teams, and/or form additional teams.	All teams are functioning and meaningfully contributing to safety and health.	
			Involve employees in safety and health activities (e.g., incident/near-hit incident investigations).	Ensure teams are routinely conducting audits, incident investigations, self- inspections, and job hazard analyses.	
			Require key subcontractors to adopt and begin implementing company policy, participate in company activities, or equivalent processes.	Utilize team input to improve and continue the company's hazard reporting system.	
				Encourage more active and open key subcontractor participation.	

3. Contract Worker Coverage					Evaluation Code
Element	1	2	3		
M13	Equal Safety and Health Protection	Develop and begin implementing a plan for how subcontractors will provide their employees with equal safety and health protection	Work with subcontractors to improve and continue implementing subcontractor program.	Work with subcontractor to improve and continue implementing subcontractor program	
M14	Adherence to Rules	Require subcontractors and their employees to comply with VOSH and company safety and health rules. Inform all subcontractor employees of this requirement before work begins.	Develop a system to handle safety and health violations of subcontractor employees working on-site.	Improve and continue to enforce company policy for safety and health violations.	
M15	Subcontractor Hazard Correction	Establish a requirement that subcontractors promptly correct hazards involving their work activities.	Formalize and begin implementing methods to ensure that hazards are identified, corrected, & tracked in key subcontractors' work areas including assignment of responsibility.	Ensure key subcontractors effectively implement systems to identify and correct hazards in their work areas and include responsibility for hazard correction in writing.	
M16	Subcontractor Selection	Require in bid documents to include subcontractor injury and illness records for past three years (if available), and copies of their written safety and health program.	Implement policy and process for addressing safety and health performance of potential bidders.	Continue to encourage and reinforce the importance for key subcontractors to develop and implement good effective safety and health management systems.	
		Consider the above information in when selecting subcontractors for work.			
M17	Removal Policy	No action required.	Establish and communicate a formal policy on subcontractor safety and health violations, including removal and possible financial penalties.	Hold subcontractors responsible for correcting hazards created by their work and ensure any penalty policies are understood by all subcontractors and tier contractors described in their contracts.	
			Include policy in the company contract requirements.		

Worksite Analysis				Evaluation Code
Element	1	2	3	
W1	Initial Safety and Health Hazard Analysis	Conduct a safety and health initial analysis including a review of previous incidents, injuries, and illnesses; complaints; previous studies; etc.	Require key subcontractors to perform initial analysis as necessary in accordance with VOSH and company requirements and share pertinent information with the general contractor, or other subcontractors.	Repeat initial surveys, if warranted, by significant changes in tasks, equipment, or processes.
W2	Hazard Analysis of Routine Jobs, Tasks, and Processes	Review routine tasks to ensure compliance with local, state, and federal safety and health regulations	Conduct hazard analysis for work and recommend controls for routine jobs, tasks, & processes that have potential to cause an injuries/illnesses or significant incidents; are perceived as high-hazard; or are required by a regulation or standard.	Conduct hazard analysis and recommend controls for routine jobs, tasks, and processes that have written procedures, have been recommended for more in-depth analysis, or are determined by the BEST participant to warrant hazard analysis
		Begin to formalize system to ensure employees are properly trained on routine jobs, tasks, and processes	Update the company hazard analysis, as appropriate. Require key subcontractors to perform initial analysis as necessary in accordance with VOSH and company requirements and share pertinent information with the general contractor, or other subcontractors.	Ensure key subcontractors continue implementing similar processes.
W3	Hazard Analysis of Significant Changes	Establish and begin implementing systems for identification and documentation of safety and health hazards of significant changes, new processes, and changes in design/engineering plans.	Continue conducting hazard analysis for significant changes (e.g., non-routine tasks or new processes, materials, equipment and facilities/project site) and recommend controls prior to the activity or use per company requirements and VOSH regulations.	Continue conducting and documenting hazard analysis for significant changes (e.g., non-routine tasks or new processes, materials, equipment and facilities/project sites) and recommend controls prior to the activity or use.
		Require key subcontractors, if applicable, to adopt and begin implement similar systems.	Subcontractors implement a policy and begin identify and document hazards of significant changes.	
W4	Pre-use Analysis	Establish and begin implementing a pre-use analysis of new equipment, chemicals, facilities/project sites, or significantly different operations or procedures and recommend controls prior to the activity or use.	Continue conducting pre-use analysis of new equipment, chemicals, facilities/project sites, or significantly different operations or procedures and recommend controls prior to the activity or use.	Continue pre-task hazard analysis of new equipment, chemicals, facilities/project sites, or significantly different operations or procedures and recommend controls prior to the activity or use.
		Require key subcontractors to develop and implement similar systems.	Key subcontractors begin performing pre-task analysis of work they are contracted to perform.	

W5	Health Studies	No action required.	Establish, document, & implement future sampling schedule, strategy and rationale.	Continue implementing health studies as needed and take proactive steps to improve control of health hazards to prevent occupational disease.	
			Follow-up on results of necessary health studies		
			Conduct more in-depth analysis if warranted to determine actual employee exposures.		
			Require subcontractors to participate in the company health studies when required.		
			Follow-up on results of subcontractor initial health study, if applicable, and conduct more in-depth analysis, if warranted.		
W6	Routine Self-inspections	Establish a routine self-inspection program that ensures safety and health inspections are performed as often as necessary	Develop a system for scheduling routine self-inspections of the workplace; conduct inspections with safety and health staff. The entire site must be self-inspected as often as necessary, but never less than weekly.	Conduct routine self-inspections covering entire worksite as often as necessary, but at least weekly.	
		Train company employees in the recognition and avoidance of hazards in their work area	Require key subcontractors to adopt similar policies.	Ensure key subcontractor processes implement similar self-inspection processes.	
W7	Hazard Reporting System for Employees	Use data collected from incident reports and other sources to determine areas to concentrate on	Develop and begin implementing hazard-reporting system for employees, requiring timely responses back to employees reporting anonymous when possible.	Continue implementing hazard reporting systems and encouraging more active reporting by both company and key subcontractor employees; ensure timely investigations of the hazard reported, ensure regular feedback, using different media, to all employees on status of hazards reported.	
		Obtain supervisor and employee input for suggested plan of action in developing a hazard reporting system	Require key subcontractors to participate in the company process or establish equivalent processes.		
W8	Investigation of Incidents and Near Hit Incidents	Develop and implement requirements to report and investigate incidents.	Company and key subcontractors expand investigation activities to include near-hit incidents and make findings available to employees.	Continue reporting and investigating incidents and near-hit incidents.	
		Investigate incidents and prepare and maintain written reports of investigations.			
		Involve employees in the investigations.			
		Require key subcontractors, if applicable, to adopt and begin implementing similar systems.			
W9	Trend Analysis	Conduct initial trend analysis of 3 previous years' injury & illness rates and begin developing a plan for conducting analysis of other safety and health related information.	Conduct trend analysis of other safety and health information not yet studied; conduct one of injury and illness history if a year has gone by since initial analysis.	At least annually conduct a trend analysis of company and key subcontractors safety and health information and use results in setting future targets to address trends.	
			Require key subcontractors to develop and implement similar systems.		

Hazard Prevention & Control					Evaluation Code	
Element		1	2	3		
H1	Certified Professional Resources	Ensure outside sources are available if needed to conduct initial hazard analysis.	Ensure adequate resources (e.g., access to certified S&H professionals, licensed health care professionals)	Continue to provide necessary resources (e.g., Certified Safety Professionals, Certified Industrial Hygienists).		
			Key subcontractors ensure adequate resources			
H2	Hazard Elimination & Control Methods	Establish systems to prioritize and implement controls for identified hazards, through the initial safety and health study, trend analysis of OSHA logs, and incident investigations.	Develop an action plan to prioritize and implement controls for hazards identified through self-inspections, employee reports of hazards, and near-hit incident investigations.	Complete long term abatement projects from Stage II.		
		Identify options and selection most appropriate option or combination for hazard elimination and control	Selects most appropriate control methods.			
		Require key subcontractors to adopt company hazard elimination and control system or implement equivalent	Implement hazard controls (or interim protection) for top priority hazards before moving onto Stage III.			Continue to identify, prioritize, and implement control for hazards identified through all means (hazard analysis, trend analysis, incident and near-incident investigations, self-inspections, employee reports of hazards, pre-use analysis, etc.) so that there is a continuous loop of hazard identification and control.
			Key subcontractors implement equivalent systems for hazard elimination and control methods.			
H3	Hazard Control Programs	Inventory existing hazard control programs required by VOSH regulations. Develop missing programs or modify if necessary.	Continue to implement hazard control programs developed or modified in Stage I and train all workers on these programs.	Continue to maintain hazard control programs required by VOSH regulations, and other rules and regulations.		
		Develop appropriate company safety and health rules, standards, manuals, etc.	Subcontractors implement effective hazard control programs, standards, rules, etc.			
		Require subcontractors, if applicable, to develop and implement similar effective programs.				
H4	Tracking of Hazard Correction	Develop and begin implementing a hazard tracking system for hazards identified through the initial hazard analysis, trend analysis of OSHA logs, and incident investigations.	Continue implementing and improving tracking system	Company and subcontractor tracking systems are fully functioning and include hazards identified through all methods.		
		Require subcontractors to adopt and implement company tracking system or establish equivalent.	Subcontractors implement effective systems to track hazard identified in initial hazard analysis, trend analysis, and self-inspections.	Communicate with workers throughout the process on the status of hazards until they are abated.		
H5	Preventive Maintenance of Equipment	Conduct an inventory of equipment and machinery requiring preventive maintenance (PM).	Review equipment inventory. Establish and implement a preventive maintenance schedule.	Continue to perform preventive maintenance as scheduled.		
		Require subcontractors, if applicable, to develop a similar PM program.	Subcontractors implement preventive maintenance program to ensure the safe upkeep of equipment operating the project site.	Schedule is routinely observed and preventive maintenance is regularly conducted. Subcontractors have preventive maintenance inventory and schedule and it is being conducted.		



H6	Occupational Health Care Program	Conduct thorough review of injury/illness records.	Continue to provide access to licensed health care providers, health services, physician care, and emergency medical care as needed. Arrange for services based on the outcomes of the initial S&H analysis.	Continue providing services listed in Stage I and II.
		Compare with insurance claims loss runs to ensure records are in order.	Subcontractors determine how licensed health care providers, health services, physician care, and emergency medical care will be provided for their employees working on-site and communicate this information to their employees.	Consider seeking health care providers to visit the site/project, and assist in identifying causes and symptoms of injury/illness.
		Utilize licensed health care professionals if needed.		Care provided is within the scope of contracts, licensure, and standard operating procedures.
		Require subcontractors to provide access to health care services based on initial safety and health analysis, including physician and emergency medical care.		
H7	Emergency Preparedness and Response	Establish and communicate to company and subcontractor employees written procedures for addressing responses responding to all types of emergencies.	Continue communicating emergency procedures and providing emergency medical services.	Continue to improve written emergency procedures for responding to emergencies on all shifts.
		Conduct at least one evacuation drill or one critique of emergency response procedures to assess their effectiveness annually.	Establish emergency response procedures to include first aid and CPR trained employees and subcontractors.	Continue to review established emergency procedures annually
		Make emergency services available on all shifts such as emergency transportation, EMT's, emergency clinics, or hospital emergency rooms.	Conduct at least one drill with company and subcontractor employees and assess its effectiveness and follow-up on recommendations to improve emergency evacuation drills.	Establish one operational emergency response team for each shift.
		Ensure at least one employee is trained in first aid & CPR for each shift.		Ensure full implementation of site's emergency preparedness and response plan.
		Require subcontractors to adopt the company emergency procedures or equivalent.		

Safety and Health Training					Evaluation Code
Element		1	2	3	
S1	General Guidelines	Observe BEST guidelines in providing training for required programs.	Continue observing BEST guidelines in providing training.	Continue observing BEST guidelines in providing training	
S2	Training for All Workers	Provide training to all workers on their safety and health rights, BEST principles, hazards in the workplace, PPE, emergency evacuation procedures, and individual emergency responsibilities.	Continue providing training to all workers, including new workers, on their safety and health rights, BEST fundamental principles, hazards in the workplace, PPE, emergency evacuation procedures, and individual emergency responsibilities	Continuously improve safety and health training to workers.	
		Ensure training is recorded.			
		Maintain a record of training conducted.	Ensure subcontractors are fulfilling their obligations to train their employees to recognize hazards in the workplace.		
S3	Training for Specific Groups of Workers	Provide specific training to managers and supervisors, to designated safety and health staff and others with safety and health responsibilities, and provide them with knowledge & skills needed to perform their safety and health responsibilities. (i.e., hazard recognition, incident investigation and root cause analysis, hazard controls, VOSH regulations, and BEST requirements).	Expand specific training to all selected employees, managers and supervisors, and designated safety and health staff.	Take proactive steps to provide specific training to their employees and share the knowledge & skills and lessons learned.	
			Subcontractors provide specialized training to their employees on how to perform their assigned and contracted work and control/eliminate its hazards.		

Documentation					Evaluation Code
Element	1	2	3		
D1	Minimum Required Documentation	Vision and Mission Statements			
D2		Annual Safety and Health Targets and Objectives			
D3		Accountability Plan			
D4		Budget documents showing allocated resources for Safety and Health			
D5		Disciplinary Plan			
D6		Contract Selection Requirements			
D7		Accurate and up to date records of injury and illness for the previous 3 calendar years (OSHA 300 Logs)			
D8		Insurance Claim Forms			
D9		Incident Reports			
D10			Any follow up on the written Health Study Program's necessary testing results.	Documentation of the continued testing and sampling as required by the jobsite.	
D11		Written Hazard Control Programs			
D12		Incident investigation forms and reports			
D13		Written subcontractor policies	Subcontractor Program Documentation- Safety and Health Program, Inspection Reports, Correction Tracking Reports, Incident Reports		

D14		Safety and Health Perception Survey form		Follow up Safety and Health Perception Survey and results	
D15		Results of Safety and Health Perception Survey and plan for addressing changes			
D16		Trend Analysis results	Trend Analysis Procedures and Reports		
D17		Incident Investigation Procedure			
D18		Hazard Correction Action Plan			
D19		Hazard Correction Tracking System			
D20		Preventative Maintenance Inventory	Written PM schedule and System		
D21		Written Emergency Procedures	Emergency Procedures- additional updates		
D22		Training Records	Training Matrix and Records		
D23			Job Hazard Analysis forms and records		
D24			Routing Self- Inspection forms and records		
D25			Employee hazard reporting forms		
D26			Minutes, Charters, Mission Statements of Safety and Health teams		
D27			Documentation showing implementation of hazard controls and their effectiveness (i.e. ventilation studies, PPE purchases, machine guarding purchases)		

D28			Annual Self Evaluation Procedure	Annual Self Evaluation of the company's Safety and Health Management System	
D29			Policy on Subcontractor removal		
D30				Hazard Analysis showing analysis of non-routine tasks or significant changes	
D31				Pre-use analysis forms and results	



**Participant Name**

SHMS Elements	Total Score	% of Maximum
Management Leadership and Employee Involvement	0	0%
Worksite Analysis	0	0%
Hazard Prevention and Control	0	0%
Safety and Health Training	0	0%
Documentation		

Virginia BEST Levels are determined by the % of Maximum Score.

Level 1 completion requires a score of at least 33% on all 4 SHMS Elements plus all of the Column 1 Documentation.

Level 2 completion requires a score of at least 67% on all 4 SHMS Elements plus all of the Column 1 and Column 2 Documentation.

Level 3 completion requires a score of 100% on all 4 SHMS Elements plus all of the Column 1, 2, and 3 Documentation.