Safety Audits – Why Bother?

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Oh no…..

I've never done this before!
I need some help...but where can I get it?????

Does it really matter?

How much is this going to cost?
I don't know where to start

Don't bother us we are too busy

I don't want to be a cop
I hate metrics!

The Safety Audit

We don't have time

Same old thing all over again.

Safety Audits in the News............
Bus Companies in Crashes Cited for Safety Violations

Two tour bus companies involved in fatal crashes this month have not received full government safety audits in more than two years, even though roadside inspections found problems that were serious enough to place them on “alert” status.

Are NY’s amusement park rides safe? More can be done, audit says

More than 250 amusement parks, the New York State Fair and many county and regional fairs were properly deemed safe by the state Department of Labor, but more work is needed to improve safety, particularly at small, temporary carnivals, a state audit today found.

Audits, audits, audits……

• What is an audit?
• Why do we do them?
• Audit process and theory
• Building a tool / checklist
• Walking through the steps
• Metrics
• Involving others
• Lessons learned
• Resources

What is an Audit??????
Audit definition

• Auditing in its most common sense, is a methodical examination that involves analyses, tests, and confirmations of a facility's procedures and practices to verify whether they comply with legal requirements and internal policies and evaluate whether they conform with good safety, health, and environmental practices.


Accident definition

• An unplanned, undesired event, not necessarily resulting in injury, but damaging to property and/or interrupting the activity in process.


Safety Audit

• Generally, a safety audit is a structured process whereby information is collected relating to the efficiency, effectiveness, and reliability of the total health and safety management system of a company.

  Reference: safepedia
Why Perform Safety Audits?

Who Looks at Us?

<table>
<thead>
<tr>
<th>Clinical Laboratory Improvement Amendments (CLIA)</th>
<th>International Organization for Standardization (ISO)</th>
<th>United States Environmental Protection Agency (EPA)</th>
<th>American Association of Blood Banks (AABB)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Commission on Office Laboratory Accreditation (COLA)</td>
<td>Department of Health &amp; Human Services</td>
<td>College of American Pathologists (CAP)</td>
<td>Occupational Safety and Health Administration (OSHA)</td>
</tr>
<tr>
<td>The Joint Commission (TJC)</td>
<td>United States Nuclear Regulatory Commission (NRC)</td>
<td>U.S. Food and Drug Administration (FDA)</td>
<td>Centers for Disease Control and Prevention (CDC)</td>
</tr>
</tbody>
</table>

Who

Clinical Laboratory Improvement Amendments (CLIA)
Commission on Office Laboratory Accreditation (COLA)
The Joint Commission (TJC)

Your Organization
Benefits of safety audits

- Promote safe behavior
- Reduce costs
- Establish standards
- Identify gaps
- Accumulate data
- Prevent injuries
- Assess compliance with standards

- Education and awareness
- Ownership
- Identify best practices
- Promote quality
- Promote readiness
- Improve communications

Safety Audit Process and Theory

When should an audit be performed?

- As defined by the organization
- Per agency requirements
- Part of continuous improvement
Audit Methods

• Comprehensive
• Focused
• Document/Record Review
• Self Assessments

Audit Scope

• Routine/scheduled
• For cause
• Follow-up

Program Audits: Check the administration of specific safety and health programs

• Accident Prevention
• Fire Prevention
• Material Handling
• Flammable Material Storage
• Lockout-Tagout
• Hazard Communication
• Personal Protective Equipment
• Confined Space Entry
• Emergency Preparedness
• Asbestos Controls
• Boiler Safety
• Bloodborne Pathogens
• Contractor Safety
• Electrical Safety
• Tool Safety
• Hot Work
• Respiratory Protection
• Powered Industrial Vehicles
Components of an audit

- Identify requirements
- Identify sponsor and oversight
- Define objectives, scope, and frequency
- Create a checklist (assessment tool)
- Develop procedure
- Identify audit leader and team members
- Provide training

Components of an audit - continued

- Conduct audit
- Share summary of findings
- Metrics
- Final report to Leadership
- Perform follow-up as needed
- Assess the process and adjust as necessary

Set up the process and expectations

Consider establishing a work group:
- Audit tool
- Volunteers
- Review of process
- Communication
- Scheduling
- Resource for others
Ensure that audit process is:

- Reasonable
- Practical
- Appropriate

Building a Safety Audit Tool / Checklist

Audit tool / checklist

- Identify what is being assessed
- Electronic vs paper
- Clear and understandable
- Available to auditors and those being inspected
- Include references and resources
- Make it useable
Safety Audit web page example

Example of Safety Audit Tool Checklist
Walking Through the Steps of an Audit

Conducting the audit

- Objective findings
- Fair and consistent
- Document
- Be on time/prompt
- Have necessary supplies
- Follow lab’s policies and requirements
- Cordial and courteous
- Listen carefully
- Observant
Measuring compliance

• Review of documents / procedures / training
• Direct observation
• Employee interviews

What happens after the audit?

• How often was the problem found?
• How serious was the problem?
• Determine possible corrective actions
  • Fix root cause of problem—not just a Band-Aid®
  • Provide resources to implement changes
• Re-audit
  • Determine if actions “fixed” problem
  • If not, go back to the root cause
  • Has a new problem been identified?

Did You See That?!?!
Let's take a look in the office ……
How about in the lab.....
Compile Metrics / Findings / Results

Document audit findings / closure
- Determine items that need to be addressed
- Clearly state the findings (observations)
- May recommend how to fix/address
- Establish date for completion of fixes
- Ensure each item is addressed
What to measure and report

• Purpose and scope
• Identify those involved
• History: previous audits
• Items of concern and repeat findings
• New processes
• Positive observations/outcomes
• Summarize
• Identify action plans

Safety audit demographics

Example of five years of safety audit data

<table>
<thead>
<tr>
<th>Demographics:</th>
<th>2011</th>
<th>2012</th>
<th>2013</th>
<th>2014</th>
<th>2015</th>
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</thead>
<tbody>
<tr>
<td># of Audits</td>
<td>201</td>
<td>273</td>
<td>300</td>
<td>291</td>
<td>300</td>
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<tr>
<td># of Staff Interviewed</td>
<td>263</td>
<td>248</td>
<td>255</td>
<td>272</td>
<td>284</td>
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<tr>
<td># of Training Records Reviewed</td>
<td>263</td>
<td>273</td>
<td>300</td>
<td>291</td>
<td>300</td>
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<tr>
<td>Checklist Sections:</td>
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<tr>
<td>Self-Assessment</td>
<td>205</td>
<td>110</td>
<td>107</td>
<td>201</td>
<td>217</td>
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<tr>
<td>Inspection</td>
<td>205</td>
<td>300</td>
<td>305</td>
<td>313</td>
<td>384</td>
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<tr>
<td>Training</td>
<td>70</td>
<td>60</td>
<td>139</td>
<td>60</td>
<td>130</td>
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<tr>
<td>Interview</td>
<td>45</td>
<td>250</td>
<td>192</td>
<td>116</td>
<td>166</td>
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<tr>
<td>Additional Findings</td>
<td>54</td>
<td>50</td>
<td>54</td>
<td>50</td>
<td>127</td>
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<tr>
<td>Total Findings</td>
<td>612</td>
<td>301</td>
<td>450</td>
<td>700</td>
<td>1,913</td>
</tr>
</tbody>
</table>

Safety Audit Checklist by Section
Self-Assessment Section (Checklist Items 1 - 27)

Inspection Section (Checklist Items 35 – 60)

Employee Safety Training
Final results: summarize and communicate

- Safety Audit Teams / Work Group / Committee
- Supervisors
- Leadership
- Quality
- Other Groups (such as):
  - Facilities
  - Infection Prevention and Control
  - Employee Health

Lessons Learned

Lessons learned

- Won’t happen over night
- Identify needs
- Know your buddies
- It can take a village
- Be consistent
- Communicate
- Objective and non-punitive
- Use a tool / process that works
Lessons learned - continued
• Train audit teams
• Providing resources/information is critical
• Assess regulatory requirements and local procedures/policies
• Learning opportunity
• Close gaps/deficiencies
• Stick to defined scope and plan
• Measure the right things

Lessons learned - continued
• Volunteers have fresh eyes
• Help them be successful
• Findings lead to improvements
• Close gaps/deficiencies
• Re-evaluate and adjust
• If it's broken – fix it
• It doesn’t need to beautiful, but it does need to work

Involving others
Audit resources to consider using

- **Internal:**
  - Safety Committee
  - Laboratory staff
  - Quality staff
  - Facilities

- **External:**
  - Professional colleagues
  - Other hospitals, laboratories
  - Local universities – safety programs
  - CAP inspections

**How to get involvement**

- Find good things
- Learning opportunity
- Ask for feedback
- Delegate/share tasks
- A new set of eyes on the process

**How to get involvement**

- Make them a part of the process
- Share ideas and lessons learned
- Be open to suggestions and improvements
- Adjust process as necessary
- Say Thank You
In Summary……..

Important considerations
• Set up process, scope, and expectations
• Communication
• Tool
• Closure
• Non-punitive culture
• Identify gaps and develop corrective actions
• Identify trends and determine root causes

Consistent process
• Develop a checklist
• Train the safety audit team
• Provide resources for the laboratory supervisors and staff
• Publish, promote and communicate the safety audit
• No punishment
• Work toward improving process, safety environment and awareness
After the audit is done: debrief and assess

• Did it work?
• What worked well?
• What didn’t work well?
• What were the biggest issues and how to address them?
• Plan for the next round!

Why bother?

Resources
Resources

- Clinical and Laboratory Standards Institute (CLSI) QMS15-A Assessments: Laboratory Internal Audit Program; Approved Guideline
- Clinical and Laboratory Standards Institute (CLSI) GP17-A3 Clinical Laboratory Safety; Approved Guideline – third edition
- College of American Pathologists (CAP): Laboratory General Checklist, All Common Checklist, and specialty checklists

Resources

- The Joint Commission
- Occupational Safety and Health Administration (OSHA):
  - Safety and Health Topics – Laboratories
  - Safety and Health Program Audit Tool
- Centers for Disease Control and Prevention (CDC): Infection Control Assessment Tools

Resources

- International Organization for Standardization (ISO):
  - ISO 45001 Occupational Health and Safety Management Standard (will be replacing OHSAS 18001)
  - ISO 31000 family of documents on Risk Management
- American National Standards Institute (ANSI)/American Society of Safety Engineers (ASSE):
  - ANSI Z590.3 Prevention Through Design
  - ANSI A10.38 Basic Elements of an Employer’s Program to Provide Safe and Healthful Work Environment
Contact Information

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Questions?