OSHA Documentation – Record and Training Requirements

WITC-Safety Day
April 12, 2016

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My Background

- Mary Bauer

  - 30 years w/ OSHA
    - 20 Compliance Officer
    - 10 Compliance Assistance Specialist

  - IH/ Safety
  - CIH: Certified Industrial Hygienist
  - CSP: Certified Safety Professional
  - 1000 + Inspections
Today’s Agenda

- What does “Documentation” Mean?
- What does “Certification” Mean?
- Required Documentation Standards
- Required Training Standards
- Maintenance/Retention of Records
- Exposure and Medical Records
- Tips on Record Maintenance
WIIFM? Why this is Relevant!

- What’s in it for me?
  - Run the whole “safety show”?
  - Manage the paperwork?
  - Supervise/Responsible for the outcome?
  - Safety Committee Member?
  - Manage portion of Safety Program?
  - Part of the OSHA Inspection if one occurs?
“Paperwork Reduction Act”

- 1942, 1980 & 1995
  - 1980 Created “Office of Info & Regulatory Affairs”
  - “Burdent Hours”: Time & Expense to Fill Out Forms

- The purposes of this chapter are to:
  - minimize the paperwork burden for individuals, small businesses, educational and nonprofit institutions, Federal contractors, State, local and tribal governments, and other persons resulting from the collection of information by or for the Federal Government;
“Older” vs. “Newer” Standards

- Older Standards
  - Require Inspections
  - Don’t Require Certification or Documentation
    - 1910.27(f): Ladder Inspection

- Newer Standards
  - Require Inspections
  - Require Certification of Requirements
    - 1910.147: Lockout / Tagout
      - Written Procedures
      - Periodic Inspection Certification
      - Training Certification
Why Maintain Documents?

IT’S REQUIRED!!!!!
Why Maintain Documents?

“If it isn’t written, it didn’t happen.”
- Example: Verbal Warnings
  - “Written Verbals”

- Tracking Means of:
  - What Was Done/Covered
  - When It Was Done
  - Who Was There
  - Who Was Coordinating/Training
Why Maintain Documents?

- Preventative Maintenance
  - Predictive Maintenance
- Trend Analysis
- Historical Background
- Organizes Training Material & Info
  - Easier to Pass on Responsibilities
- Liability / Worker Comp Claims
Documentation vs. Certification

Documentation or Documents:
- Information to Show Necessary Details:
  - Industrial Hygiene Reports, (Air, Noise, Bulk Sampling)
  - (M)SDS,
  - Inspection Records: Crane, Mechanical Power Presses, etc.
  - OSHA 300, 300A and 301 Logs, etc.

Certification
- Who, When, Where, What
- Minimal Information
- “Yes, It was Done”.
How Do I Know What Documents Are Required?

- OSHA Standards
  - 1910: General Industry
  - 1926: Construction
- Documents Required (Typical for Health Stds)
  - Written Programs & Procedures
  - Inspections & Program Reviews
  - Training
  - Medical Surveillance
  - Industrial Hygiene Monitoring / Exposure Records
  - Assessment / Hazard Evaluations
Construction vs. General Industry

- Construction Tends to Have LESS Paperwork Requirements

- Newer Construction Standards:
  - Requires Certification of Training
    - Fall Protection
  - Doesn’t Require Certification of Training
    - Steel Erection
    - Scaffolding
How do I get Standards?

- Access Standards
  - Purchase or Request Standards Book
    - Government Bookstore
    - Safety Sources

- Web Site: [www.osha.gov](http://www.osha.gov)
  - Standards Tab
  - Safety & Health Topics
  - Publications for Specific Topics
Reducing Workers' Exposures to Seasonal Flu Virus

4,679 workers died on the job in 2014

Know Your Rights!

File a complaint
Get a FREE OSHA poster
Get information on reporting severe work-related injuries, illnesses and fatalities to OSHA
Get information on recordkeeping & reporting requirements
What Documents Should I NOT Possess?

I am a de-classified government document.
What Documents Should I NOT Possess?

- Specific findings or diagnoses unrelated to occupational exposure - Do NOT Possess:
  - Pass/Fail or Satisfactory/Unsatisfactory on Medical Tests
  - Medications, Blood Pressure, History, etc.
  - Completed Appendix C: Respirator Medical Evaluation

- Instead - Possess “Written Opinions” from:
  - Respirator Medical Evaluations
  - Emergency Response Medical Evaluations
  - Bloodborne Pathogen Test Results, etc.

  - Provisions for Confidentiality if Medical Records are Kept.
  - Plant Nurse or Health Department
Written Opinion vs. Medical Test Results

- Written Opinion: No Specific Results
  - Can Perform Duties
  - Can Not Perform Duties
  - Can Perform Duties w/ Following Limitations

- Medical Tests: ER Needs to Know Results
  - Audiograms to Determine STS
  - Worker Comp and OSHA Log Info - Diagnosis
  - Biological Indicators for Chemicals
    - Blood Lead Test Results and other Metal Test Results
More Common Standards

List is NOT Complete:

- 1903: Abatement Verification
- 1904: Injury & Illness Log
- 1910.95: Hearing Conservation / Noise
- 1910.119: Process Safety Management (PSM)
- 1910.120: Emergency Response - HAZWOPPER
- 1910.132: Personal Protective Equipment - PPE
- 1910.134: Respiratory Protection Program
- 1910.146: Permit-Required Confined Spaces
Most Common Standards

- 1910.147: Lockout - Tagout
- 1910.157: Portable Fire Extinguishers
- 1910.178: Powered Industrial Trucks
- 1910.179: Overhead and Gantry Cranes
- 1910.180: Crawler Locomotive & Truck Cranes
- 1910.184: Slings
- 1910.217: Mechanical Power Presses
- 1910.266: Logging
- 1910.268: Telecommunications
- 1910.269: Power Gen, Trans, & Distribution
- 1910.401: Commercial Diving
Most Common Standards

- **1910.1001-1910.1052**
  - Expanded Health Standards
- **1910.1020**: Formerly 1910.20
  - Access to Exposure and Medical Records
- **1910.1030**: Bloodborne Pathogens
- **1910.1200**: Hazard Communication
- **1910.1450**: Chemical Hygiene Plan - Labs
Required Documentation

- **29 CFR 1903.19: ABATEMENT VERIFICATION**
  - If Cited; Must Provided Documentation or Certification of Abatement to OSHA office.

- **29 CFR 1904.1 - 1904.42: LOG AND SUMMARY OF OCCUPATIONAL INJURIES AND ILLNESSES**
  - OSHA- 300: Log and Summary
  - OSHA- 300A: Annual Summary
  - OSHA -301: Supplementary Record OR WKC-12
  - Retain and Maintain for 5 Previous Complete Years
OSHA Injury and Illness Recordkeeping and Reporting Requirements

Under the OSHA Recordkeeping regulation (29 CFR 1904), covered employers are required to prepare and maintain records of serious occupational injuries and illnesses, using the OSHA 300 Log. This information is important for employers, workers, and OSHA in evaluating the safety of a workplace, understanding industry hazards, and implementing worker protections to reduce and eliminate hazards.

ANNOUNCEMENT On September 11, 2014, OSHA announced changes to the list of industries that are exempt from the requirement to routinely keep OSHA injury and illness records, and to the list of severe work-related injuries and illnesses that all covered employers must report to OSHA. These new requirements will go into effect on January 1, 2015 for workplaces under Federal OSHA jurisdiction. The guidance materials found on this page have been updated to reflect the new requirements.

For complete information on these changes, please visit:

OSHA’s Recordkeeping Rule

The OSHA law prohibits employers from retaliating or discriminating against a worker for reporting an injury or illness.

In Focus

4 ways to get an answer to your recordkeeping scenario:

- Use the Search OSHA function to look for scenarios similar to your own.
- Use the Recordkeeping Advisor to step through the logic process of the recordkeeping rule.
- Read the Frequently Asked Questions using the Additional Guidance links for the various sections of the rule.
- Send your scenario to OSHA using our correspondence form.

The OSHA Recordkeeping Handbook
OSHA Recordkeeping Handbook

FAQ available also.
Noise: 1910.95(m)

- Exposure Measurements
  - Sound Level or Dosimeter Readings
    - Retain for 2 Years
    - * HOWEVER, Need to Show Monitoring Results *

- Audiograms:
  - Employee Info
  - Testing Equipment Information
  - Duration of Affected Employee’s Employment
  - Includes Specific Information
Personal Protective Equipment Assessment: 1910.132(d)

- Verify that the required workplace hazard assessment has been performed:
  - Written Certification
    - Identifies the workplace evaluated;
    - Person certifying evaluation has been performed;
    - Date(s) of the hazard assessment; and,
    - Which identifies the document as a certification of hazard assessment
Personal Protective Equipment Training: 1910.132(f)(4)

- Verify that each affected employee has received and understood the required training:
  - Written Certification
    - Name of each employee trained,
    - Date(s) of training, and
    - Identifies the subject of the certification.
Respiratory Protection

1910.134

- Written Copy of Respiratory Program
  - 1910.134(c)(1)(i)-(ix)

- Written PLHCP Opinion

- Fit Testing

- Certification / Inspection Emergency Use
Permit-Required Confined Spaces: 1910.146

- Written Confined Space Program: (c)(4)
- Written Permit System:
  - Cancelled Entry Permits
    - Retained for One Year
- Alternative Entry Procedures
  - Certify Safe Entry under (c)(5) or (c)(7)
  - Duration of the Entry
- Trainings: Certification
- First Aid/ CPR: Certification
LOCKOUT / TAGOUT

1910.147

- Specific Written Procedures:
  - Machine Specific: Step-by-Step

- Certification of Periodic Inspection
  - Machine or Group of Machines
  - Date of the Inspection
  - Employee Utilizing the Procedure
  - Authorized Person Performing Inspection

- Certification of Training
  - Employee Name
  - Date of Training
Fire Extinguisher Inspections

- Need monthly visual inspection
  - CAN BE documented on backside of tag

- MUST have annual inspection documented
  - Holes Punched
Access To Exposure & Medical Records: 1910.1020

- Exposure Record
  - (M)SDS
  - Industrial Hygiene Monitoring
- Medical Records
  - Medical Surveillance Results
  - Written Medical Opinions
Access To Exposure & Medical Records: 1910.1020

- Retention Time:
  - Unless specified in a “vertical” standard
  - "Employee medical records." The medical record for each employee shall be preserved and maintained for at least the duration of employment plus thirty (30) years, except that the following types of records need not be retained for any specified period:
    - The medical records of employees who have worked for less than (1) year for the employer need not be retained beyond the term of employment if they are provided to the employee upon the termination of employment.
    - "Employee exposure records." Each employee exposure record shall be preserved and maintained for at least thirty (30) years, except that:
**1910.1020(d)(1)(ii)(B)** Material safety data sheets and paragraph (c)(5)(iv) records concerning the identity of a substance or agent need not be retained for any specified period as long as some record of the identity (chemical name if known) of the substance or agent, where it was used, and when it was used is retained for at least thirty (30) years.

- Footnote(1) Material safety data sheets must be kept for those chemicals currently in use that are effected by the Hazard Communication Standard in accordance with 29 CFR 1910.1200(g).

**1910.1020(d)(2)** Nothing in this section is intended to mandate the form, manner, or process by which an employer preserves a record so long as the information contained in the record is preserved and retrievable, except that chest X-ray films shall be preserved in their original state.
BLOODBORNE PATHOGENS
1910.1030

- Written Exposure Control Plan
  - Reviewed at least annually
    - with input from non-management employees

- Training
  - Date(s)
  - Content or Summary
  - Names and Qualifications of Trainer
  - Names and Titles of Attendees
  - Retained for 3 Years

- Training Materials
- Sharps Log—Can be incorporated into 300 Log
Hazard Communication
1910.1200

- Written Program
  - Program
  - (M)SDS
  - Labeling
  - Training

- (M)SDS: (Material) Safety Data Sheets
  - 30 years after you stop using it OR
Maintain in What Form?

- Readily Accessible
  - On or Off Site
  - 24/7/365
  - How to access

- Withstand Changing Technology
  - Electronic Forms Constantly Changing
  - Need 30 Plus Years
  - Software Changes
Posting Requirements

- OSHA Job Safety & Health Poster
- OSHA – 301: Feb. 1 – April 30
- Noise Standard
- Access to Information (Can be Posted)
- “Employer shall make readily available…”
  - How to Access Exposure & Medical Records
  - Standards and Appendices: Expanded Health
Training Reference

https://www.osha.gov/Publications/osha2254.pdf
1910.157 Portable fire extinguishers
(g) Training and education
(1) Where the employer has provided portable fire extinguishers for employee use in the workplace, the employer shall also provide an educational program to familiarize employees with the general principles of fire extinguisher use and the hazards involved with incipient stage firefighting.
(2) The employer shall provide the education required in paragraph (g)(1) of this section upon initial employment and at least annually thereafter.
(3) The employer shall provide employees who have been designated to use fire fighting equipment as part of an emergency action plan with training in the use of the appropriate equipment.
(4) The employer shall provide the training required in paragraph (g)(3) of this section upon initial assignment to the designated group of employees and at least annually thereafter.
Needs Assessment

- Identifies need for training interventions:
  - Who needs the training
  - What specific training is needed
  - When is the training to be conducted
  - Where will the training be conducted
  - Why is the training necessary
  - Desired goals, objectives, and outcomes
Training “Needs” Indicators

- New personnel added
- Change in procedures
- Increased absenteeism
- Frequent accidents
- Poor written and/or oral communications
TEMPORARY AND VULNERABLE WORKERS

Seriously? “Place Order” for a person?
Training - What & How

- Specific to the type, size and source of the hazard and or task
- PPE training must be thorough (when, wear, care, limitations, replacement)
- Some training may require classroom and practical (PIT, Haz Comm, Cranes, etc.)
- Based on job hazard assessment (JSA)
- Must be in a manner that is understood!
  - LANGUAGE AND VOCABULARY
  - “no Inglés”
MENTORING BENEFIT: TEACH OTHERS

The Learning Pyramid
Average retention of material presented in different ways

- Lecture: 5%
- Reading Text: 10%
- Audio-visual representation: 20%
- Demonstration: 30%
- Discussion group: 50%
- Learning by doing: 75%
- Teaching others: 90%
Good Job Description includes:

- Example tasks
- PPE requirements
- Safety requirements (e.g. attend safety orientation)
- Exclusions (e.g. no operation of press brake)
- Additional hazards (e.g. confined spaces)
- JOB HAZARD/SAFETY ANALYSIS (JHA) or JSA
Frequency for Training

- Some Fixed Requirements Such As Bloodborne Pathogens:
  - Upon Hire or Assignment or new Hazard and Annually Thereafter

- 1910.1030(g)(2)(ii) Training shall be provided as follows:
  - At the time of initial assignment to tasks where occupational exposure may take place;
  - At least annually thereafter.
  - Annual training for all employees shall be provided within one year of their previous training.
  - Employers shall provide additional training when changes such as modification of tasks or procedures or institution of new tasks or procedures affect the employee's occupational exposure. The additional training may be limited to addressing the new exposures created.
Some Flexible Such as Personal Protective Equipment:

Each affected employee shall demonstrate an understanding of the training specified in paragraph (f)(1) of this section, and the ability to use PPE properly, before being allowed to perform work requiring the use of PPE.

When the employer has reason to believe that any affected employee who has already been trained does not have the understanding and skill required by paragraph (f)(2) of this section, the employer shall retrain each such employee. Circumstances where retraining is required include, but are not limited to, situations where:

- Changes in the workplace render previous training obsolete; or
- Changes in the types of PPE to be used render previous training obsolete; or
- Inadequacies in an affected employee's knowledge or use of assigned PPE indicate that the employee has not retained the requisite understanding or skill.
Sample Training Document

- Training Conducted on this date: __________
- Training Conducted by: __________
- Qualifications of Trainer: __________
- Training Materials Used: __________
  - Title of video(s), handouts, PPT – attach, Name of Company program or policy, etc.)
- Summary of Info Covered
  - As Required by Particular Standard
- Printed Name and Signature by Attendees
- Time Spent in Training
"Access to information and training materials."

The employer shall provide, upon request, all materials related to the employer's training and education program pertaining to this standard to the Assistant Secretary and the Director.

- 1910.95(l)(3): Noise
- 1910.1030: Bloodborne Pathogens
- Many Expanded Health Standards:
  - Methylene Chloride, Formaldehyde...
Tips for Documentation

- Any Means or System Works if Demonstrated “Effective”
  - Computerized / Spread Sheet
  - Personnel File
  - Kept with Specific Program

- Effective:
  - Is Required Info “Readily” Available?
  - If your coordinator was not present during an OSHA inspection, could the requested documents be found?
Tips for Documentation

- Look at the End of Each Standard
  - Training
  - Recordkeeping
  - Program Review
  - Inspections
- Address a Topic a Month to Review
- Means to Incorporate New Hires or Transfers
Retention of Training and other Records

- Typical Retention of Training Records are until the next one replaces it.
- Respirator Fit Testing – until the next one replaces it.

SUGGEST YOU KEEP EVERYTHING.
Tips for Documentation

KEEP EVERYTHING!!!
Tips for Documentation

- Accident Investigations
  - Photos
  - Measurements
  - Interviews

- Redesigning Workstations: ERGO
  - Before and After Photos, Sketches, Measurements
  - Follow Up
What about your Contractors?

- Do your outside contractors have the required documentation of their safety program?

- Do you ask?
- Do you receive copies?
- What programs would you ask for?
Reference Publications

http://www.osha.gov/pls/publications/pubindex.list

- OSHA 3165: Job Safety & Health Protection Poster (English)
- OSHA 3110: Access to Medical and Exposure Records
- OSHA 3186: Model Plans and Programs for the OSHA Bloodborne Pathogens and Hazard Communications Standards
- OSHA 3169: RECORDKEEPING - It's new, it's improved, and it's easier....
- OSHA 3245: Recordkeeping Handbook
- OSHA 2209: Small Business Handbook
- OSHA 2254: Training Requirements in OSHA Standards and Training Guidelines
Every individual needs to be trained on specific assigned tasks.

http://arlweb.msha.gov/interactivetraining/tasktraining/
Wisconsin Consultation
WisCon Consultation Program

UW - State Laboratory of Hygiene
Environmental Health Division
2601 Agriculture Drive
P.O. Box 7996
Madison, WI 53707-7996
(608) 226-5240
(608) 226-5249 FAX

Website: http://www.slh.wisc.edu/wiscon
OSHA QuickTakes

- **Free** OSHA e-newsletter delivered twice monthly to more than 110,000 subscribers
- **Latest news** about OSHA initiatives and products to help employers and workers find and prevent workplace hazards
- **Sign up at** [www.osha.gov](http://www.osha.gov)
Multi-language Worker Outreach
OSHA INITIATIVES

- Protecting Temporary Workers
- Preventing Falls
- Protecting Health Care Workers
- Emergency Preparedness
- Workplace Violence
- Heat Illness Prevention
- Chemical Hazards
For More Help

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  Milwaukee, WI 53203
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Summary

- Develop & Implement System to Document All Safety and Health Related Efforts.

- Various Avenues for Assistance
  - Website
  - Compliance Assistance Specialists
  - State Consultation Service
QUESTIONS
Disclaimer

- This information has been developed by an OSHA Compliance Assistance Specialist and is intended to assist employers, workers, and others as they strive to improve workplace health and safety. While we attempt to thoroughly address specific topics or hazards, it is not possible to include discussion of everything necessary to ensure a healthy and safe working environment in a presentation of this nature. Thus, this information must be understood as a tool for addressing workplace hazards, rather than an exhaustive statement of an employer’s legal obligations, which are defined by statute, regulations, and standards. Likewise, to the extent that this information references practices or procedures that may enhance health or safety, but which are not required by a statute, regulation, or standard, it cannot, and does not, create additional legal obligations. Finally, over time, OSHA may modify rules and interpretations in light of new technology, information, or circumstances; to keep apprised of such developments, or to review information on a wide range of occupational safety and health topics, you can visit OSHA’s website at www.osha.gov.