

Program Level 2 Compliance Audit Checklist

Date: _____

Team members and title:

Safety Information	Yes/No n/a	Responsible Individual
OAC 3745-104-17(A)		
(1) Are Material Safety Data Sheets (MSDS) current and meet the requirements of 29 CFR 1920.1200(g)? <ul style="list-style-type: none"> - physical & chemical characteristics - physical hazards - health hazards - routes of entry - exposure limits - precautions for safe handling - generally applicable control measures - emergency and first aid measures 		
(2) Is the maximum intended inventory defined?		
(3) Have the safe upper and lower temperatures, pressures, flows and compositions been defined for the subject process(es)?		
(4) Are equipment specifications complete and up-to-date?		
(5) Are codes and standards used to design, build, and operate the process defined?		
OAC 3745-104-17(B)		
Is the process designed in compliance with recognized and generally accepted good engineering practices?		
OAC 3745-104-17(C)		
Has a major change occurred? If there has been a major change, has the safety information been updated?		

Date: _____

Team members and title:

Hazard Review	Yes/No n/a	Responsible Individual
OAC 3745-104-18(A)		
(1) Has a hazard review been conducted to review the hazards associated with the process and regulated substances?		
(2) Does the hazard review address opportunities for equipment malfunctions or human errors that could cause an accidental release?		
(3) Have the safeguards used or needed to control the hazards or prevent equipment malfunction or human error been identified in the hazard review?		
(4) Have any steps used or needed to detect or monitor releases been documented in the hazard review?		
OAC 3745-104-18(B)		
Has all the equipment been inspected to determine that the process(es) are designed, fabricated, and operated in accordance with applicable standards or rules, if designed to meet industry standards or Federal or state design rules?		
OAC 3745-104-18(C)		
Have the results of the review been documented? Have problems identified been resolved?		
OAC 3745-104-18(D)		
(1) Has the hazard review been updated at least every five years?		
(2) Has there been a major change in the process? If yes, were issues identified in the review resolved before startup of the changed process?		

Date: _____

Team members and title:

Operating Procedures	Yes/No n/a	Responsible Individual
OAC 3745-104-19(A)		
(1) Do written operating procedures provide clear instructions or steps for safely conducting activities associated with the process?		
(2) Are operating procedures consistent with the safety information?		
(3) Are industry specific standards procedures used? If yes, do these standard procedures apply directly to the process in place? Have the procedures been modified to address the process differences in place at this facility?		
OAC 3745-104-19(B)		
(1) Has initial startup been addressed in the operating procedures?		
(2) Are normal operations addressed in the operating procedures?		
(3) Are temporary operations addressed in the operating procedures?		
(4) Are emergency shutdown and operations addressed in the procedures?		
(5) Have normal operations been addressed?		
(6) Has the startup following a normal or emergency shutdown been addressed in the operating procedures? If a major change has occurred that required a hazard review, was this change addressed in the operating procedures?		
(7) Were consequences of deviations and steps required to correct or avoid deviations addressed in the operating procedures?		
(8) Are there operating procedures for equipment inspections?		
OAC 3745-104-19(C)		
Has a major change occurred to the subject process?		
If yes, were operating procedures updated prior to startup of the changed process?		

Date: _____

Team members and title:

Training	Yes/No n/a	Responsible Individual
OAC 3745-104-20(A)		
(1) For employees working on June 21, 1999, is there documentation to certify that the employee has the required knowledge, skill, and abilities to safely carry out their duties and responsibilities as provided in the operating procedures?		
(2) For newly hired or assigned employees, is there documentation to indicate that the employee has been trained in the required knowledge, skills, and abilities to safely carry out their duties and responsibilities as provided in the operating procedures?		
(3) Do the training records show method of training and method of determining competency?		
OAC 3745-104-20(B)		
(1) Do procedures exist to ensure that refresher training in safety and operational procedures are provided at least every three (3) years?		
(2) Have employees been consulted with to determine if more frequent refresher training is necessary?		
OAC 3745-104-20(C)		
If training is conducted under Federal or state regulations, industry-specific standards or codes, or training conducted by vendors, is that training adequate and applicable?		
OAC 3745-104-20(D)		
Do procedures exist to ensure that employees are trained in any updated or new procedures prior to startup after a major change?		

Date: _____

Team members and title:

Maintenance	Yes/No n/a	Responsible Individual
OAC 3745-104-21(A)		
(1) Do maintenance procedures exist for all equipment on the Safety Information equipment list?		
(2) Are industry specific maintenance procedures used?		
(3) Do these industry specific maintenance procedures apply directly to the process in place?		
(4) Have these industry specific maintenance procedures been modified to address the process differences in place at this facility?		
OAC 3745-104-21(B)		
Are the employees trained in the safe and proper inspection and maintenance procedures for all equipment on the Safety Information equipment list?		
OAC 3745-104-21(C)		
Are procedures in place to ensure that all employees of a maintenance contractor are trained in the safe and proper inspection and maintenance for all equipment on the Safety Information equipment list?		
OAC 3745-104-21(D)		
(1) Do inspection and testing procedures exist for all equipment on the Safety Information equipment list?		
(2) Are the frequency of inspections and tests of process equipment consistent with applicable manufacturers' recommendations, industry standards or codes, good engineering practices and prior operating experience?		

Date: _____

Team members and title:

Incident Investigation	Yes/No n/a	Responsible Individual
OAC 3745-104-23(A)		
Have all incidents which have or could have resulted in a significant release been investigated and documented?		
OAC 3745-104-23(B)		
Have incident investigations been initiated no later than forty-eight hours following the incident?		
OAC 3745-104-23(C)		
Has a summary been prepared at the conclusion of each investigation which includes: date of incident; date investigation began; a description of the incident; the factors that contributed to the incident; and any recommendations resulting from the investigation?		
OAC 3745-104-23(D)		
(1) Have investigation findings and recommendations been promptly resolved?		
(2) Have resolutions and corrective actions been documented?		
OAC 3745-104-24(E)		
Were the findings reviewed with all affected personnel whose job tasks are affected by the findings?		
OAC 3745-104-24(F)		
Have investigation summaries been retained for a minimum of five years?		

Date: _____

Authorized signature/title: _____

Deficiencies identified	Corrective action	Completion date

* This table should not be used in place of the compliance audit report as required by OAC 3745-104-22.

** Retain the two most compliance audit reports for Program Level 2 processes. However, a compliance audit report does not have to be retained for more than five years.