

Compliance Audits (1910.119(o))

Common Issues Found During Three Year Compliance Audits



The main purpose of the Compliance Audit program element is to ensure facilities are evaluating and verifying that their PSM and RMP procedures and practices are in compliance with the provisions of the PSM and RMP regulations. Both regulations require:

- Employers (owner / operator) certify that they have evaluated compliance with the provisions at least every three years to verify that the procedures and practices developed under the standard are adequate and are being followed.
- The audit must be conducted by a team with at least one person knowledgeable in the regulated process.
- A written report must be developed to document the findings and ensure deficiencies are promptly addressed with appropriate response.
- Retain the most two recent Compliance Audit reports on-site.

The following is a list of items that are commonly not implemented, are lacking, or not documented:

Lack of written report, or report lacks basis for performing the audit.

A written Compliance Audit report needs to be developed, and the report should include at a minimum the following:

- Names and titles of audit team members.
- Description of audit methodology used.
- List of deficiencies found, assignment of responsible parties, and timeframe for completion of recommendations.
- Audit certification by the employer (owner/operator).

Audit did not include a review of ALL PSM and RMP elements.

The audit should include a verification of ALL required elements within both regulations. The use of forms/checklists that outline the regulatory requirements can assist facilities in ensuring that all elements are reviewed and audited.

Employer (owner/operator) failed to certify the written Compliance Audit report.

As mentioned previously, employers (owner / operator) must certify that they have evaluated compliance with the provisions of the PSM and RMP regulations at least every three years to verify that the procedures and practices developed under the standards are adequate and are being followed. This requires the employer to certify the audit. This certification must be maintained with the audit report.

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Recommendations are not addressed in a timely manner.

Although not required, it is recommended that a tracking sheet for the list of findings be generated which assists in developing a plan/timeline for the completion of recommendations. The tracking sheet could contain the following information:

- Description of the finding,
- Name / title of individual assigned to ensure that finding gets resolved,
- Due date,
- Date of completion, and
- Resolution describing how the recommendation was completed, including references with proof of documentation or comments for closing out the finding.

The facility should also set up regular scheduled meetings to review and follow up on the status of the findings.

Failure to document the resolutions of the audit findings.

The resolution of each recommendation must be documented, including the actions taken to complete the recommendation. In addition, include or reference documentation that shows completion of the finding, such as photographs, completed forms, sign in sheets, revision dates to programs or procedures, etc.

Failure to complete and document the compliance audit at least every three years.

The compliance audit is required to be completed/certified at least every 3 years. A couple ideas to keep track of the due date are:

- Set up a reminder on your computer, cellphone, and/or a posted calendar.
- Conduct regular scheduled meetings to review your documents and findings and due dates.

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