

XIV. AUDITS

- A. Laboratory supervisors should perform routine safety inspections to ensure the continuing day-to-day effectiveness of safety practices and procedures.
- B. The EHSO will perform periodic laboratory safety surveys utilizing applicable checklists found in this section with the goal of identifying safety hazards and concerns as well as regulatory compliance.
- C. When a violation occurs, every effort will be taken as appropriate to correct the condition immediately, such as providing appropriate signage or labels.
- D. Where immediate correction cannot or will not be performed, the following steps will be taken in accordance with the *Procedures for Notification of Violation of Laboratory Safety Rules*.
 - 1. Notification to Employee and Immediate Supervisor - Upon verification of an infraction, the Environmental Health and Safety Officer will notify the employee and supervisor of the nature of the violation with an explanation of the significance of the violation.
 - a. The P.I. or designated representative will be verbally notified at the time of the survey.
 - b. Copies of the completed checklists and a summary letter of findings will be forwarded to the P.I. Note: compliance within the laboratory is the responsibility of the P.I., therefore, when violations are found on laboratory surveys, the P.I.'s supervisor, i.e. Department Chair, will be copied on the summary letter.
 - 2. Conference with Employee and Supervisor - If the employee continues to violate the rules, a meeting will be called with the employee, supervisor, and the EHSO. Procedures will be developed to resolve the violation. If the issue cannot be resolved, the EHSO may temporarily suspend the activity and will initiate the action as defined in paragraph 3.
 - a. Copies of previous laboratory survey results will be reviewed to determine if previously identified violations have been corrected.
 - b. Where no apparent attempt to correct the previously identified violation(s) is indicated, this notification step will be initiated.

3. Notification of the Department Chair and/or Dean - If the situation causing the violation cannot be resolved, the Department Chair and/or Dean will be notified. If an agreement resolving the situation cannot be reached, the EHSO will initiate the action as identified in paragraph 4.
4. Notification of the Provost - When the issue cannot be resolved through the previous steps, or when the employee has committed a major offense, the EHSO will notify the Provost or his designee. The Provost shall take appropriate action which may include consulting with the appropriate safety committee.
5. At any point in this process, disciplinary procedures should follow the Positive Discipline protocol established by Personnel Services and/or the Ethics in Research procedures published in the *OUHSC Faculty Handbook*.