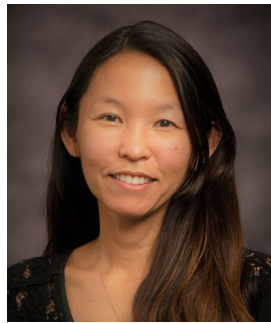




Lab Safety Internal Auditing: Protecting students,
researchers, and the community

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Objectives

1

Risks

Discuss the risks related to lab safety from an operational, compliance, financial, and reputational standpoint

2

Regulations

Identify current regulations and potential future regulation changes related to laboratory safety

3

Lab requirements

Assess a sample of requirements and responsibilities for stakeholders involved in laboratory activities

4

Internal Audit supporting lab safety

Explore strategies Internal Audit departments can deploy to audit lab safety and support their lab safety leaders



Polling question #1

Through which organization does your institution's lab safety program report to?:

- a. Research
- b. Campus Safety
- c. Operations
- d. Office of General Counsel
- e. Other
- f. I'm not sure



What is included in lab safety?

The scope of areas that are included in the bucket of 'lab safety' seems to be continually evolving

- Chemical hazards (cancer causing agents, toxins, irritants, corrosives, sensitizers, etc.)
- Biological hazards:
 - Biological agents
 - Bloodborne pathogens
 - Research animals
- Physical Hazards:
 - Ergonomic hazards
 - Radiation
 - Noise
- Safety hazards:
 - Autoclaves and sterilizers
 - Centrifuges
 - Compressed gasses
 - Cryogenics
 - Electrical
 - Fire
 - Lockout
 - Trips, slips, falls





Polling question #2

Has your institution's Internal Audit team performed an audit of lab safety previously?:

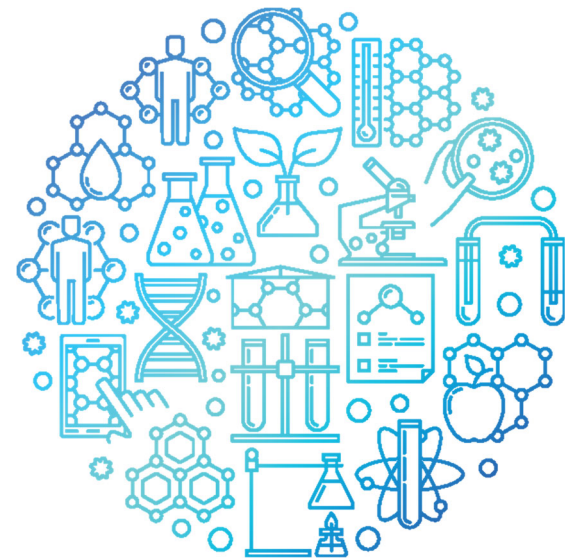
- a. Yes
- b. Yes, but the scope was limited
- c. No
- d. I'm not sure



Emerging risks

Lab safety risks continue to change and shift. It's important to be aware of the trends and design internal audit workplans to focus on the most significant risks. Some of the emerging risks include:

- Reduced oversight from researchers and principal investigators
- Deferred maintenance of labs and lab equipment
- Staffing shortages in Environment, Health and Safety / Lab Safety Oversight departments
- Training/certification requirements for lab safety personnel
- Culture of safety





Polling question #3

Which of the following are lab safety considerations [select all that apply]:

- a. Ergonomic hazards
- b. Research animals
- c. Fire
- d. Trips, slips, falls



Regulatory changes impacting labs

What's happening in the regulatory space related to lab safety?

- Advance manufacturing
- Pathogen research
- OSHA injury reporting
- Chemicals of interest – Department of Homeland Security (DHS)
- Undue foreign influence
 - Conflict of interest (COI)
 - Export controls





Polling question #4

Four of the Occupational Safety and Health Administration's (OSHA) pillars related to laboratories are:

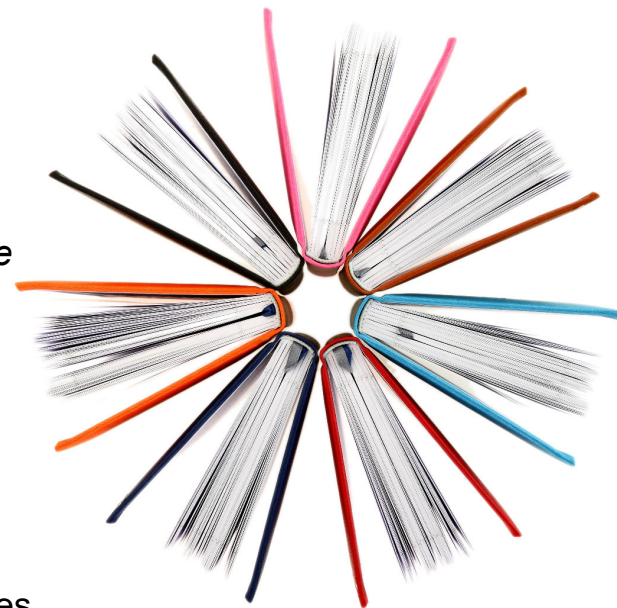
- a. Policies, Training, Enforcement, and Hazards
- b. Policies, Training, Enforcement, Hazard Recognition, and Solutions
- c. Standards, Culture of Safety, Enforcement, Hazard Recognition, and Solutions
- d. Standards, Culture of Safety, Training, Hazard Recognition, and Solutions



How Internal Audit can help

Internal Audit's support of lab safety owners can take many forms. Typically, an effective place to start is a conversation with your lab safety leadership team to understand their perceived risk landscape and their existing oversight programs

- Examples of potential internal audit programs/activities that can support lab safety leadership include:
 - Review policies, procedures, and processes and their alignment to OSHA policies
 - Review lab inspection and remediation processes
 - Advocating for lab safety to the university
 - Upskilling lab safety personnel on audit processes





What are the potential scope areas in a lab safety internal audit

As shown earlier in the presentation, lab safety includes a broad scope of activities and controls. As such, it's important to be intentional with the scope selection for a lab safety internal audit. Below are some examples of a few scope areas that can be considered:

- Laboratory inspection program, documentation, and controls
- Chemical hygiene plans and controls
- Radiation programs
- Incident response readiness and protocols
- Understand IT systems used to manage lab safety
- Understand types of materials (e.g., hazardous) found in labs and their relevant regulations
- Confirm if trainings are effective and completed



Common observations from lab safety internal audits

Below are some examples of a few observations found in lab safety internal audits at a variety of institutions:

- Insufficient oversight of students in the lab
- Noncompliance with training requirements (especially requirements for re-training or annual trainings)
- Noncompliance with chemical storage programs
- Lack of sufficient chemical disposal options
- Insufficient laboratory inspections



Questions & Answers



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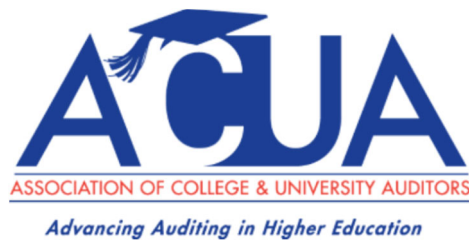
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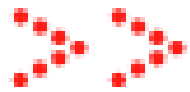


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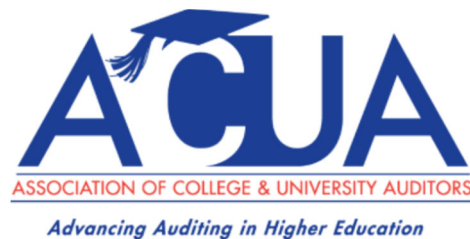




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