

# TOOL ONE

## Audit protocol for continuous improvement

### Guidance:

Review your current auditing process for effectiveness. Ensure the following key components exist:

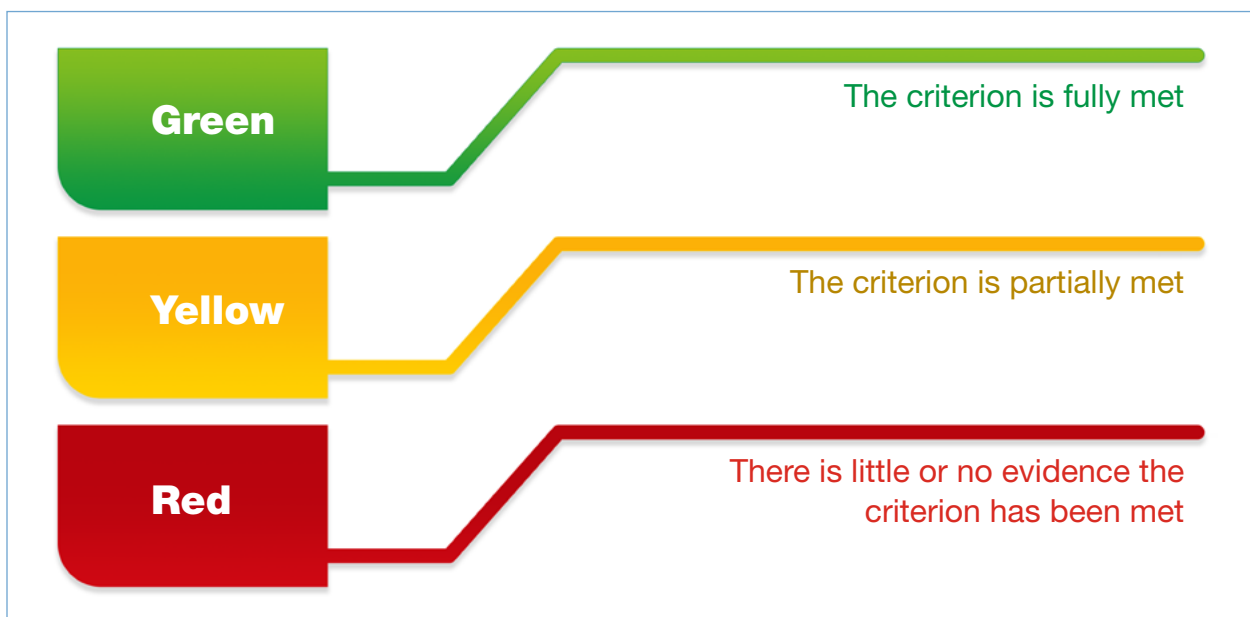
- Review of existing policies and written work procedures related to serious incident and fatality prevention.
- Review of training associated with serious incident and fatality-related work tasks.
- Job observations conducted and employee feedback collected.
- Guidance around frequency and schedule of review, including key personnel to participate.
- Process for tracking preventative and corrective actions to completion.

Use the audit findings to reinforce identified strengths and prioritize common gaps for corrective or preventative action. Track these actions to completion.

## Audit protocol categories:

- safety and health operating environment
- leadership commitment
- worker engagement
- hazard identification and prioritization
- hazard abatement and control
- implementation and operation
- continuous improvement

Each category includes multiple criteria essential for proper serious incident and fatality risk identification and management. Use these criteria to assess the status of the site or organization with that element. Each criterion under each element is straightforward and you characterize them as:



Audit results help identify strengths and gaps in a safety management system and assist in setting priorities for establishing improvement actions and allocating resources. The model does not generate a total or average score for the site or organization. Its value lies in focusing on individual program components and highlighting specific issues that need attention.

Evaluate items marked red and yellow to identify their risk level. Address criterion with serious incident or fatality potential immediately. Identify and prioritize corrective actions for remaining red and yellow criteria, tracking all actions to completion.

# 1. Safety and health operating environment

## Organizational culture

1.1

A culture exists that recognizes and promotes worker protection and the safety and health mission.



REMARKS:

1.2

Leadership at all levels of the organization contributes to a positive safety and health culture.



REMARKS:

1.3

Safety and health remain a core value even during labour shortages, production challenges and business pressures.



REMARKS:

## 2. Leadership commitment

2.1

Leaders at all levels of the organization continually demonstrate that safety and health is a core value and integrate it into all aspects of the business.



REMARKS:

2.2

There are visible metrics for safety and health at the corporate level, business unit and individual site levels.



REMARKS:

## Resource allocation for safety and health

2.3

The organization adequately staffs and funds the site and corporate safety and health groups.



REMARKS:

2.4

The organization manages assets such as people, money and time in a manner that supports its safety and health programs appropriate for the organization's risk profile.



REMARKS:

2.5

Safety and health programs and issues have adequate funding and resources.



REMARKS:

## Accountability

2.6

The organization defines roles and responsibilities for safety and health for all levels of the organization.



REMARKS:

2.7

The organization establishes safety and health roles in writing for all levels of its management, workers and contractors. This includes establishing the organization and/or site representative responsible for overall safety and health in the organization.



REMARKS:

## 3. Worker engagement

3.1

The organization has a process for worker engagement to ensure labour and management collaboration on safety and health issues.



REMARKS:

3.2

The organization seeks out input from workers and front-line supervisors and encourages them to offer feedback for improving health and safety.



REMARKS:

3.3

The organization prepares new, inexperienced and transferred workers to address the safety and health aspects of their job.



REMARKS:

3.4

The organization uses a formal safety and health orientation program. It includes all workers, contractors and temporary workers and the organization provides it prior to starting a new job assignment as well as after changes in procedures or processes.



REMARKS:

## 4. Hazard identification and prioritization

4.1

The organization identifies safety and health hazards.



REMARKS:

4.2

The organization conducts documented risk assessments to identify safety hazards in both routine and non-routine work.



REMARKS:

4.3

The organization trains and expects all levels of management, from front-line supervisors to top leadership, along with workers and contractors to identify safety hazards.



REMARKS:

4.4

The organization assesses safety hazards prior to the start of work and throughout work to take into consideration current conditions and operational changes.



REMARKS:

4.5

The organization collects and addresses input from front-line workers on how work is actually performed for jobs and work activities with increased serious incident and fatality risk.



REMARKS:

## 5. Hazard abatement and control

### Control of safety and health hazards

5.1

The organization has a process to control or eliminate safety and health hazards.



REMARKS:

5.2

The organization puts safety and health controls in place and follows the hierarchy of controls in the following priority: elimination, substitution, engineering controls, administrative and personal protective equipment.



REMARKS:

5.3

The organization implements safety and health controls and related corrective or preventative actions in a timely manner.



REMARKS:

5.4

The organization verifies that safety and health controls are effective, working as intended and have not created any unintended consequences.



REMARKS:

5.5

The organization formally documents critical controls for high-severity hazards or work processes and integrates them into work instructions.



REMARKS:

5.6

The organization routinely monitors and assesses safety and health control measures for effectiveness and degradation.



REMARKS:

5.7

The organization implements controls for serious incident and fatality hazards as a top priority. If it cannot implement permanent controls immediately, the organization installs interim controls and then installs the permanent controls as soon as possible.



REMARKS:

5.8

The organization considers multiple layers of defences and human error-proofing strategies for all work tasks with serious incident or fatality potential.



REMARKS:

## 6. Implementation and control

### Document control

6.1

The organization undertakes a periodic review of written safety and health programs and procedures to verify that they are effective and functioning.



REMARKS:

### Systemic safety and health training

6.2

A safety and health training plan exists to identify all training needs related to serious incident and fatality prevention, including regulatory and policy requirements.



REMARKS:

## Communication systems

6.3

Workers, management and contractors receive timely feedback on safety and health concerns, recommendations and other feedback.



REMARKS:

## Work execution management

6.4

The organization has a process for developing safe work procedures and supporting tools, such as job safety analysis or job hazard analysis, field-level risk assessments and so on.



REMARKS:

6.5

The organization has a process to identify high-risk routine and non-routine work based on the presence of hazards that could result in serious or fatal outcomes.



REMARKS:

## Inspection and maintenance

6.6

The organization inspects and maintains equipment, consistent with consensus standards and the manufacturer's recommendations.



REMARKS:

## Management of change

6.7

The organization has a systematic process to determine when they need to conduct a formal management or change review. Examples may include: new equipment or technology, changes to processes, significant changes to organizational structure, new chemicals or changes to the volume of chemicals and so on.



REMARKS:

## Third-party management

6.8

The organization evaluates work exposures of all third party workers, including temporary, seasonal or part-time workers, contractors, visitors and suppliers to determine required training oversight, personal protective equipment and other controls.



REMARKS:

## Emergency response planning

6.9

Based on a hazard assessment associated with identified emergency scenarios, the organization has an emergency response plan that addresses the most likely emergency scenarios such as chemical, fire or other hazards associated with the nature of the work.



REMARKS:

## 7. Continuous improvement

### Reporting, metrics and analysis

7.1

The organization encourages reporting and has established systems for workers to report near misses, work-related injuries or illnesses and other work-related hazards.



REMARKS:

### Incident learning

7.2

The organization performs corrective and preventative actions to address issues identified during the incident review process.



REMARKS:

### Organizational learning

7.3

The organization improves policies, procedures and work practices based on safety and health lessons learned and communicates them throughout the organization.



REMARKS:

### Audit policy and execution

7.4

The organization conducts audits (self, corporate or third party) as part of the continuous improvement process. They go beyond compliance with a focus on effective practices.



## Priority and closure of findings

7.5

The organization prioritizes and addresses findings from audit reports, incident reviews, safety and health observations and suggestions, along with other sources, using formal action planning and tracking of corrective and preventative actions.



REMARKS:

7.6

The organization closes safety and health corrective and preventive actions in a timely manner and documents them.



REMARKS:

