



CERTIFIED HEALTH & SAFETY AUDITOR COURSE NEXT STEPS: INFORMATION SHEET

Dear Student,

Now that you have successfully completed the 5-day Certified Health and Safety Auditor Course, here are your next steps:

1. Register your audit by logging into your account at energysafetycanada.com
2. Review course material and eCompliance audit tool prior to starting your audit
3. Conduct your audit
 - a. Ensure all sampling requirements are met for interviews and field sites, not sure what your sampling should be? Gives us a call for help. The sampling standard can be found on our [website](#) under COR Forms. There are additional tools available under the COR Audit Protocol and COR Resources Tabs.
 - b. Ensure the audit is submitted within 6 months from the last day of your course, and that you follow the 45 days for onsite work and 21 days for report writing. Failure to meet the audit timelines will result in the audit being invalid. No extensions will be allowed.

Please review the attached resources, criteria for auditor notes, company profile, executive summary recommendations and strengths, and additional requirements such as the organizational chart, documentation summary and pre-audit letter.

At anytime prior to or during the audit process you need support please contact Energy Safety Canada at CORInfo@EnergySafetyCanada.com or call 1.800.667.5557 ext 3.

Good luck on your student audit!

Regards,

Safety Audits and Certifications
Energy Safety Canada
1.800.667.5557
CORInfo@EnergySafetyCanada.com

RESOURCES

Energy Safety Canada has some complimentary resources available to set you up for success in your first audit. Please visit and subscribe to the Safety Audits and Certifications [YouTube Channel](#) where the following tutorial videos are available:

- **Auditing and Report Writing Information Session** - This Tutorial is for Student Auditors. It covers the auditors role, audit registration, the audit tool, how to submit your final report, the QA process and additional resources.
- **Formal Hazard Assessment Recorded Session** - A tutorial video to help auditors understand the difference between formal and site-specific hazard assessments, how to conduct formal hazards assessments, and program implementation.

Additional Resources are found on our website under [COR- COR Material and Resources](#).

- **Tips for Improving Safety Programs** tab - offers tips to help employers and auditors with difficult COR Audit questions.
- **COR Resources** tab - provides [Audit Time Frames](#) and the [Audit Worksite and Interview Sampling Requirements](#).

The following slides are from the Auditing and Report Writing Information Session that can be used as an additional resource:



THE "EQUATION"

- For documentation and observation validation every question include:
 - What and how many were reviewed/observed
 - Scoring
 - Company specific example
- For interview validation every question include:
 - Who was interviewed (generally)
 - Scoring
 - Company specific example

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EXAMPLE NOTES: DOCUMENTATION

- F3a: Four (4) investigation reports were sampled. It was found that 3 of 4 investigations were started in a timely manner appropriate to the nature of the investigation. One property damage investigation which occurred on September 21, 2012 was not investigated until 4 days later. 75% awarded for having started 3/4 sampled investigations in a timely manner.
- F3b: Root causes were found to be identified on 4 of 4 investigation reports sampled. Some examples of root causes identified included worker knowledge/skills training and leadership training. 100% awarded based on investigation reports having root causes identified.

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EXAMPLE NOTES: DOCUMENTATION

- F3c: Of the 4 investigation reports sampled only 2 of them were verified to have been signed off by the President Del Wheeler. The other 2 investigation reports sampled contained no signatures to verify review was completed. 50% awarded based on half of the investigation reports verifying senior management review.
- F3d: 4 investigation reports were reviewed. Of the 4 sampled it was verified that corrective actions had been assigned. For example investigation January 15/2012 had 2 different corrective actions noted. One was assigned to the Shop supervisor, and the other to the Operations Manager. 100% awarded based on corrective actions being assigned.

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EXAMPLE NOTES: OBSERVATIONS

- **A.2g:** 2 of the 3 observation points awarded because three observations of the office and shop locations confirmed that the company has 75% of the current copies of provincial legislation. The company has current copies of the Alberta OH&S Regulations which are available for all employees but they do not have a current copy of the Saskatchewan OH&S Regulations.
- **C.1d:** 8 of 10 observation points awarded because observations at three locations confirmed that the company and the employees are using the appropriate hazard controls, such as engineering (safety beam on the robotic arm), administrative (appropriate signs located on the cleaning tanks) and PPE (hearing protection). There were no opportunities for enforcement. 2 of 10 observation points withheld because one location had a missing panel on a lathe and no management enforcement was observed.

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EXAMPLE NOTES: OBSERVATIONS

- **C4d1:** 100% of the observation points awarded because all of the 10 PPE observations conducted (drawn from a sample listed in the hazard assessments) confirmed that appropriate PPE is being worn where required. All employees are also wearing other required PPE, such as hearing protection, safety glasses, and work boots.
- **F3d2:** Two (2) opportunities were identified during the review of investigation reports to verify through observation. During the observation tour it was verified that in both cases the corrective actions had been implemented. An employee was observed using pull stick used for swarfing, and a safety latch was observed as replaced on a CNC jib crane. The hook also contained the proper safety latch. 100% awarded based on 2 of 2 observations verifying corrective actions have been implemented.

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EXAMPLE NOTES: INTERVIEWS

- **F3a:** Of the staff interviewed who have been on a site where an incident had occurred 2 of 2 verified investigations were started in a prompt manner.
- **F3c:** Management who were assigned to review incident investigation reports were able to confirm they indeed review the reports. 100% awarded based on all positive responses.
- **F3d3:** Of those staff interviewed who have been on a site where an incident occurred only 2 of 4 were able to verify corrective actions were completed in a timely manner. A positive example included development of lock down procedures and workplace violence drills. 50% awarded based on 2/4 positive responses.

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EXAMPLE NOTES: INTERVIEWS

- **F3e: Interviews with staff who had been on a work site where an incident occurred verified in 4/5 instances that investigation findings had been communicated.** Some examples provided were communications through safety meetings and emails. One employee was not aware of any communication of incident investigation findings.

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EXAMPLE NOTES: DOCUMENTATION

- **F3a: Four (4) investigation reports were sampled. It was found that 3 of 4 investigations were started in a timely manner appropriate to the nature of the investigation.** One property damage investigation which occurred on September 21, 2012 was not investigated until 4 days later. 75% awarded for having started 3/4 sampled investigations in a timely manner.
- **F3b: Root causes were found to be identified on 4 of 4 investigation reports sampled.** Some examples of root causes identified included worker knowledge/skills training and leadership training. 100% awarded based on investigation reports having root causes identified.

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Criteria for Auditor Notes (Government Standard):

- Auditor notes must reflect that the question guidelines have been followed
- Auditor notes must be consistent with the notes and score awarded for other related questions
- Auditor notes must clearly explain the rationale for awarding or not awarding points
- Auditors must indicate the validation method(s) used to score the question
- If more than one validation technique is required to score a question, the notes must indicate the results for each technique
- Auditor notes should indicate what documentation was reviewed and what observations were completed and include reference to the specifics of what was found
- The percentage of positive indicators must be specified
- Auditor notes must be original and specific to the audited employer's health and safety systems during the period of the current audit

Criteria for the Company Profile:

The company profile must provide a context for the audit by outlining the nature of the employer's work, demographics, geography, facilities, vehicle fleet and offices.

Criteria for the Executive Summary:

The executive summary provides the reader with a brief, concise overview of each section of the report. It should give senior management enough detail to obtain a clear understanding of the key strengths and recommendations and it should encourage them to continue reading the entire report. The maximum length of the executive summary should be three pages. Parallel bulleted lists and headings can help improve the clarity of the executive summary.

The executive summary should include:

- an attention-getting statement, including the audit score
- the purpose of the audit
- the scope of the audit
- the employer's name, locations audited and the audit time frame
- key strengths which are company specific and applicable to the audit content
- key high-priority areas for improvement which are clear, actionable (include the deficiency, corrective action, and benefit of implementing the suggested actions)
- reference to audit activities
- name/signoff of the auditor



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Criteria for Recommendations (Government Standard):

A recommendation (a.k.a. Suggestion for Improvement) is required for each validation per question that does not score full points (Not related to % awarded, look at the Score only). These are required to be written at the end of each Element Topic. As well as a few key recommendations should be included in the Executive Summary.

A recommendation should meet the following criteria:

- Be clear and actionable
- Be appropriate to the notes
- Provide a brief description of the deficiency that was found
- Provide a brief description of what needs to be done
- Consider including the benefit to the employer in making the noted improvement

Examples:

E.3 Responsibilities & Training

E3c: It was identified in question E3c that not all employees with specific responsibilities within the ERP have been provided with training. It is recommended that all employees with listed responsibilities within the ERP receive training that is appropriate to their assigned tasks. This can be completed with an in-house training session. This will ensure all employees are better equipped to handle an emergency.

F.3 Conducting Incident Investigations

It was identified in question F3d that not all corrective actions are implemented as required and corrected in a timely manner. It is recommended that all corrective actions be implemented as required; this should be done in as timely a manner as practicable. Ensuring corrective actions are implemented and corrected as required and efficiently will ensure that hazards are mitigated while also allowing for follow up to ensure the controls are working as intended.

Criteria for Strengths (Government Standard):

Strengths are only required in the Executive Summary. A strength should meet the following criteria:

- Strengths given are relevant to the element
- Strengths given are clear and based on notes/scoring and appropriate to the element
- Strengths provide a company specific detail



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Examples:

G.1 Safety Communication

The company has developed and implemented health and safety communication standards, contained in the Quality, Safety, Health & Environmental Manual, that ensure appropriate two-way communication is occurring between management, supervisors and employees that address health and safety issues and concerns in the workplace.

D.1 Health & Safety Orientation

The company has developed and implemented a very comprehensive new hire orientation program that covers a wide variety of topics directed at not only experienced workers but new and young workers in line with the British Columbia

Occupational Health & Safety Regulations for New and Young Employees.

Additional Audit Requirements:

Organization Chart - The eCompliance tool does not allow for the organizational chart to be pasted in. Please make sure to upload it as a separate attachment when submitting your final report.

Documentation Summary - Provide a bulleted list of all the documentation reviewed during the audit.

Pre-Audit Letter - Provide a letter or email to the employer being audited outlining audit activities. This can be pasted directly into the audit tool.