



The Safety Association for Canada's
Upstream Oil and Gas Industry

Enform COR Audit Protocol 2013 Information Session

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Enform Building Information

- Washrooms
- Lunch
- In the event of an alarm

Agenda

- Complete sign-in sheet
- Part 1
 - The triggers for change
 - Principles of the audit streamlining effort
 - The outcome of the effort
 - A fresh focus for the COR Program
- Part 2
 - A more detailed look at changes introduced in the Enform COR Audit Protocol 2013

The Triggers for Change

- **Feedback since introduction of 2010 Audit**
 - 3000+ company audits reviewed
 - 12 auditor courses taught with new protocol
 - 16 live auditor workshops
 - 30 one-on-one auditor meetings
 - Numerous additional interactions with COR-holding companies in the industry

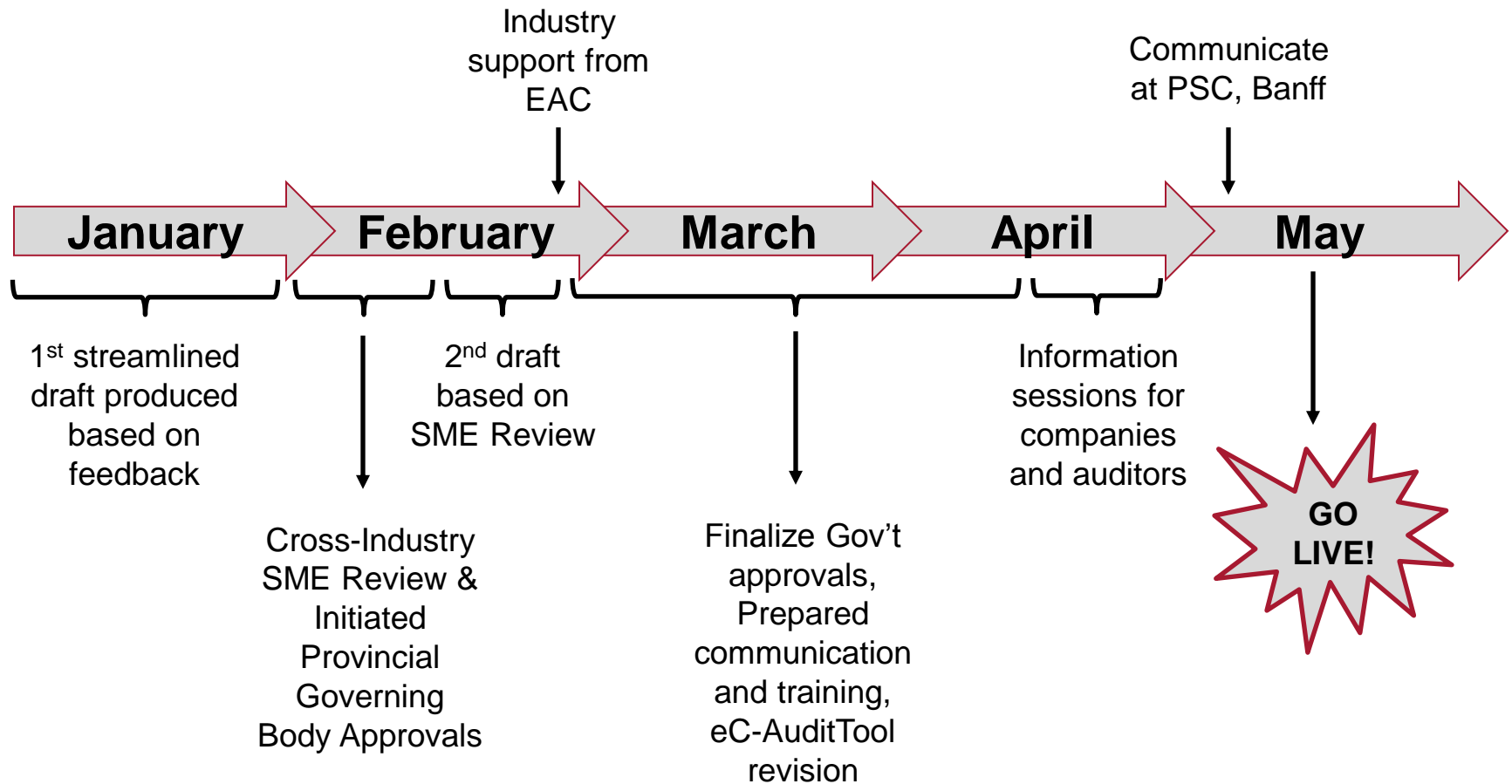
The Triggers for Change

- **Key Issue Became Clear**
 - The required auditing effort was too high
 - Both data collection and reporting
- **Other Related Issues**
 - Interview efforts in particular were high and not efficiently targeted
 - Some questions framed in such a way that objective, evidence-based measurement would be challenging

Principles of Streamlining Effort

- **Efficiencies**
 - Reduce the effort in measuring and reporting
- **Maintain WHAT you measure and score**
 - Minimize change management for Enform COR holders
- **Move Rapidly**
 - In time for bulk of 2013 Audit season

Moving Rapidly



Objective Achieved

- **Moving Rapidly**
 - On target for May 13 Go Live date
 - All license key activations after 12 am on May 13th will contain the 2013 version of the protocol
 - (Any license key activated before May 13 will retain the 2012 version of the protocol to protect the integrity of the existing audit work)

Finding Efficiencies

- Each question in each topic was reviewed and/or rewritten from the perspective of:
 - ✓ Does this question add value?
 - Deleted questions duplicating evidence found in other questions or known as always getting 100%
 - Consolidated strings of low scoring, all-or-nothing questions into one ranged system question
 - ✓ Is it clear and measurable as written?
 - ✓ Is/Are the validation method(s) appropriate?
 - ✓ Is the guideline well written and does it provide meaningful guidance on collecting and/or assessing evidence?

Objective Achieved

- Significant Efficiencies Found**

	2012 Audit Protocol	Streamlined Audit	% Less
Total # of Audit Questions	182	118	35%
Documentation Validations	179	85	53%
Interview Validations	122	50	59%
Observation Validations	28	17	39%

Objective Achieved

- Significant Efficiencies Found**

Interview Questions Directed At:	2012 Audit Protocol	Streamlined Protocol	% Less
Senior Managers	115	36 (max) – 18 (min)*	69%-84%
Middle Managers	114	35 (max) – 17 (min)	69%-85%
Supervisors	108	46 (max) – 24 (min)	57%-78%
Workers	103	45 (max) – 22 (min)	56%-79%
Contractor	6	3	50%
Visitor	1	1	0%

**Minimum represents questions directed at all interviewees, maximum represents various subsets (e.g., participant in H&S Committee, assigned investigations, etc.)*

Projected Outcomes

- Based on real auditing experience with previous protocol, we estimate the following outcomes:
 - Average per interview time: 1 hour to 20-40 min
 - 30-50% reduction in on-site time
 - 30-40% reduction in report writing time
 - 30-40% reduction in Enform QA Review cycle time
 - May be higher if redeveloped protocol also improves audit quality

Minimizing Change Management

- Ensured scoring equivalency with 2010/2012 audit protocol:
 - ✓ Ensured scoring totals within elements and topics remained nearly identical
 - ✓ Ensured all three government audit standards continued to be met
 - ✓ Did not introduce any new components in the audit
 - Where questions, validation methods, or guidelines changed, the goal was to offer the auditor more clear and sometimes additional, multiple avenues to answer the question objectively (i.e., new, better places to look for evidence of systems and implementation, not looking for new components)

Objective Achieved

- **Minimize Company Change Management**
- No change to:
 - **What** is measured
 - **Weighting** of H&SMS components

Scoring by Element		
Audit Element	2012 Protocol	Streamlined Protocol
A.	182	182
B.	376	376
C.	222	224
D.	173	173
E.	161	162
F.	203	200
G.	101	101
H.	100	100
Total	1518	1518
Scoring by Validation Method		
Method	2012 Protocol	Streamlined Protocol
Document	49%	49%
Interview	37%	38%
Observation	14%	13%

Objective Achieved

- **Minimize Company Change Management**

Scoring by Element		
Audit	2012 Protocol	Streamlined

A company can reasonably expect a **nearly identical score in this audit protocol as they would receive on the 2012 audit protocol if both were conducted by a competent auditor.**

Total	1518	1518
Scoring by Validation Method		
Method	2012 Protocol	Streamlined Protocol
Document	49%	49%
Interview	37%	38%
Observation	14%	13%

Part of a Larger Project

- The rapid delivery of a more streamlined audit protocol is part of a larger strategic project with the Enform COR program

COR: A Fresh Focus

- Moving beyond policy and policing to **helping industry succeed at safety**
- A multi-pronged strategy to **enable** and **not just measure** Health & Safety Management Systems



COR: A Fresh Focus

- New task-based auditor course
- Revised SPD for companies
- Auditor Workshops
- Onsite Company Consultations



- H&SMS Tools and Templates
- Online How-To Videos for Auditors and Companies
- Are set to deliver this on May 13!

Improving Your COR Experience

We are working hard to see you succeed at building and auditing a health and safety management system

Here's some advice to help you succeed with your next audit...

Personal
Support

Streamline
Protocol

Tips for a Successful Audit

- Have a faster, hassle-free audit cycle by doing the following:
 - Plan the audit carefully
 - Auditor and company need to work together in advance of the audit to plan it correctly
 - # of employees?
 - # of sites overall? Head office? Field sites? Trucks as worksites? Across multiple provinces?
 - Multiple industry codes?
 - Enform can (and in some cases should or must) help in planning your audit

Tips for a Successful Audit

- Have a faster, hassle-free audit cycle by doing the following:
 - Prepare for the audit in advance
 - Auditors—let the company know what you'll need:
 - Documents,
 - Total number and types of employees to interview, and
 - Required number and types of sites for observation.
 - Company—review the audit and auditor requests and when the auditor arrives, the following is already done:
 - Policy documents and records set out,
 - List of employees (with position held), and
 - Site access arranged.

Tips for a Successful Audit

- Have a faster, hassle-free audit cycle by doing the following:
 - Prepare for the audit in advance
 - Company and Auditors—negotiate/contract schedule and timelines in advance
 - First day on site
 - Last day on site
 - Report submission to Enform

Tips for a Successful Audit

- Have a faster, hassle-free audit cycle by doing the following:
 - Company—make life easy on your auditor
 - Have a company point person for the auditor
 - Offer place to work near necessary documents
 - Have employees ready and available for interviews
 - Have sites ready and available for observation tours
 - Auditor—communicate your needs at the pre-audit meeting and throughout

Tips for a Successful Audit

- Have a faster, hassle-free audit cycle by doing the following:
 - Company—get a timeframe commitment on report submission to Enform (contract it!)
 - Auditor—get the report done ASAP after last day on site (45 days is maximum, not a suggested length)
 - If any revisions or corrections are required, work with Enform QA reviewers to minimize turn-around times
 - Ask if you're not clear on what needs fixing!

End of Part 1

- The streamlined Enform COR Audit Protocol 2013 should improve your auditing experience
- Our ultimate goal is for companies to succeed in building H&S management systems that actually work
- Question?

**Pick up your copy of the 2013 Protocol before
Part 2 or before you leave!**

Still to Come in Part 2

- A more detailed look at the changes you will find in the Enform COR Audit Protocol 2013

Part 2: A Closer Look

- A more detailed look at the more significant changes you will find in the Enform COR Audit Protocol 2013
 - Consolidated system questions
 - Shift to more measurable and realistic standards
 - Adjustment to Element B: Formal Hazard Assessment
 - Expanded question and scoring guidance
 - Integrated interview guidance

Consolidated System Questions

- Typical structure in 2012 Protocol:
 1. Does the system have x? (Doc 0,2)
 2. Does the system have y? (Doc 0,2)
 3. Does the system have z? (Doc 0,2; Int 0,3)
- Restructured in 2013 Protocol as:
 1. Does the system have x, y, and z? (Doc 0-9)

(note what you measure and the total value remain the same)

Consolidated System Questions

- Restructured in 2013 Protocol as:
 1. Does the system have x, y, and z? (Doc 0-9)
- *Auditor would enter score only once instead of three individual scores:*
 - 33%, 67%, or 100% based on whether 1, 2, or all 3 criteria were present
- *Auditor would only write a single note instead of three*
 - *If 100%, a note that declares all present and offers some company specific reference on at least one item would suffice*
 - *If less than 100%, missing criteria would be identified in the notes (this fulfills “company specific” and “justifying scoring” criteria)*

Consolidated System Questions

Question (2012)	Scoring
A.1.a. Does the company have a written health and safety policy?	Doc 0,2
A.1.b.1. Does the policy contain the signature of the current most senior manager for the business units being audited?	Doc 0,1
A.1.b.2. Does the policy contain the date the policy was signed?	Doc 0,1
A.1.b.3. Does the policy contain a requirement to comply with the government legislation?	Doc 0,1
A.1.b.4. Does the policy contain reference to management responsibility?	Doc 0,1
A.1.b.5. Does the policy contain reference to supervisor's responsibilities?	Doc 0,1
A.1.b.6. Does the policy contain reference to workers' responsibilities?	Doc 0,1
A.1.b.7. Does the policy also contain a reference to the company's goals, aims, responsibilities and/or commitment for health and safety?	Doc 0,1

Consolidated System Questions

Question (2013)	Scoring Guidelines	Scoring
<p>Does the company have a written health and safety policy that contains the following:</p> <ul style="list-style-type: none"> -the signature of the current most senior manager for the business units being audited, -the date the policy was signed, -the requirement to comply with government legislation, -a reference to management responsibilities, -a reference to supervisor responsibilities, -a reference to worker responsibilities, and -a reference to the company's goals, aims, responsibilities for and/or commitment to health and safety? 	<p>Review the company's written health and safety policy for the specified criteria (signature, date, compliance to legislation, etc.).</p> <p>Enter the percentage of the seven criteria that appear in the policy. For example, if all criteria except signature are met (i.e., 6 of 7 criteria appear), enter 86% (6/7), and the final score would be 12/14.</p>	<p>Doc 0-14</p>

Additionally on System Questions

- The 2013 protocol has more strictly applied the following structure within topics:

First: Question on **presence of system** with set criteria

- Typically one question now instead of multiple questions
- Typically a documentation validation only

Second: Questions on **evidence of implementation**

- Often scored and measured against company's own declared standard
- Validation method based on best place to find measurable evidence

More Measurable and Realistic

- Adjustments made to questions and/or scoring guidelines to ensure what was being asked was:
 - Measurable
 - Objective, evidence-based scoring made possible (including suggestions on how to do so)
 - Realistic
 - Expectations on the company would be realistic and reasonable rather than framed as absolute and rigid

More Measurable and Realistic

- Example: Preventative Maintenance
 - How do you realistically and objectively measure whether a company is carrying out preventative maintenance?
 - How would you **observe** it?

More Measurable and Realistic

Question (2012)	Scoring Guidelines	Scoring
<p>C.5.a. Is there an effective preventative maintenance program in place for equipment that satisfies legislative requirements and manufacturer's specifications?</p>	<p>Review legislated standards where applicable and manufacturer's specifications for equipment the company uses at worksites visited, such as fall protection, commercial vehicles, vessels, cranes, etc. Review equipment inspections, preventative maintenance schedules and records. Compare the preventative maintenance program against the required expectations.</p> <p>Documentation points based on at least 80% positive indicators.</p>	<p>Doc 0,2</p>

Not entirely clear if this is a system or implementation measurement

Not entirely clear what 80% would be based on as a result

More Measurable and Realistic

Question (2012)	Scoring Guidelines	Scoring
<p>C.5.b. Is the preventative maintenance program being implemented as outlined?</p>	<p>Review the maintenance program schedule and compare it against existing records or other tools (i.e., computer files) used to track the preventative maintenance of equipment. Documentation based on 80% positive indicators.</p> <p>Interview maintenance staff to verify that they follow both the legislated standards where applicable, and the manufacturer's specifications. Interview points based on % positive responses.</p> <p>Review manufacturers' guidelines and compare to the general condition of equipment. Verify by observation that maintenance requirements meet manufacturer's specifications. Observation points based on % positive indicators.</p>	<p>Doc 0,3 Int 0-2 Obs 0-8</p>

Is an interview going to reveal something the records will not? Value add?

Is it realistic an auditor is qualified to make a subjective judgement such as this?

More Measurable and Realistic

Question (2013)	Scoring Guidelines	Scoring
<p>C.5.a. Is there a preventative maintenance program in place that:</p> <ul style="list-style-type: none"> -includes an inventory or record of assets requiring preventative maintenance, -is in compliance with legislated preventative maintenance requirements, and -is in compliance with the manufacturer's preventative maintenance specifications? 	<p>Review the company's preventative maintenance program(s). Enter 100% if the existing system or program is designed to meet all three criteria.</p>	<p>Doc 0,2</p>

Now a system question only— with yes/no clarity (and in this case all must be “yes” to score points for the system)

More Measurable and Realistic

Question (2013)	Scoring Guidelines	Scoring
<p>C.5.b. Is the preventative maintenance program being implemented as outlined?</p>	<p>Review a sample of maintenance records of active equipment to determine compliance with the maintenance program schedule and requirements. Enter the percentage of positive indicators.</p>	<p>Doc 0-3</p>

Measure company against their own declared system

**Reminds auditor that implementation scoring may be based on a sample.
% of positive indicators will be based on # of compliant records within sample as a whole—measurable!**

More Measurable and Realistic

Question (2013)	Scoring Guidelines
<p>C.5.c. Has all equipment requiring preventative maintenance been included within the preventative maintenance program?</p>	<p>Draw a sample of equipment from the preventative maintenance program that may be observed at visited worksites. Observe equipment in the workplace to determine consistency with the inventory. Documented equipment would be a positive indicator while any non-documented equipment requiring preventative maintenance would be regarded as a negative indicator. If a formal inventory has not been created, preventative maintenance records may be used to confirm the inclusion of equipment in the preventative maintenance program.</p> <p>Enter the percentage of observed equipment documented within the preventative maintenance program.</p>

Observations based on a sample drawn from system docs or records already reviewed to score previous question

Objective basis for observation is carefully explained—measurable and realistic for auditor to execute

Alternative basis for scoring offered to prevent unnecessary lost point

Other examples of “Realistic”

- 2012 Protocol:
 - F.3.a. Are all investigations started immediately?
- 2013 Protocol:
 - F.3.a. Are all investigations started within a prompt, reasonably practicable timeline appropriate to the nature of the investigation?
 - Scoring Guideline: Review a sample of completed investigation records. Verify investigations were started promptly. The test of "reasonably practicable" should be applied to scenarios. For example, if evidence could be lost or a significant risk to workers allowed to continue, investigation should start immediately. In other scenarios, logistics or circumstances may delay investigation from beginning immediately.

Other examples of “Realistic”

- 2012 Protocol questions related to “Investigations” (F.3.a – F.3.f)
 - Scoring guidelines on all read: “Award no points if no investigations were completed.”
- 2013 Protocol questions related to “Investigations” (F.3.a – F.3.e)
 - “In ***exclusively low risk administrative worksites only***, the auditor may apply an n/a if there were no incidents that justified an investigation. The auditor must show some diligence in confirming there were no incidents and justify the worksite as exclusively low risk and administrative in its operations.”

Adjustments to Element B

- Realization we are still in a phase where some companies are still “en route” to proper task-based formal hazard assessment systems
 - Clearer questions and more extensive instructions
 - Offer an option to allow auditors to offer partial scores for companies that have arrived at some task-based hazard assessment without accompanying “first steps”

Adjustments to Element B

2012 Protocol	2013 Protocol
B.1.a. Is there an inventory of all positions/disciplines?	B.1.a. Have all company positions or disciplines been inventoried for formal hazard assessment purposes?
B.1.b. Is there a complete Task Inventory for each position/discipline?	B.1.b. Do all positions/disciplines captured in the formal hazard assessment system have their tasks identified?
B.1.c.1. Have both health and safety hazards for each task been identified?	B.1.c.1. Have both health and safety hazards for each task been identified, including (as appropriate) hazards presented by: <ul style="list-style-type: none"> -operations, -equipment, -vehicles, and -working conditions/environment?
B.1.c.2. Have both health and safety hazards for each task been assessed using any combination of severity, frequency, probability or similar measurements to determine risk?	B.1.c.2. Have both health and safety hazards for each task been assessed using any combination of severity, frequency, probability or similar measurement to determine risk?
B.1.c.3. Have both health and safety hazards for each task been prioritized according to risk in order to determine order of importance to implement controls?	B.1.c.3. Have both health and safety hazards for each task been prioritized according to risk in order to determine the order of importance to implement controls?
B.1.d. Have hazards been identified, assessed and prioritized for equipment and conditions within the formal hazard assessments?	<i>Deleted (moved back into B.1.c.1)</i>

Adjustments to Element B

2012 Protocol	2013 Protocol
B.1.a. Is there an inventory of all positions/disciplines?	B.1.a. Have all company positions or disciplines been inventoried for formal hazard assessment purposes?
B.1.b. Is there a complete Task Inventory for each	B.1.b. Do all positions/disciplines captured in the formal hazard
<p>Clearer question and additional options for creating the basis for scoring (i.e., not just “org chart”):</p> <p>Scoring Guidelines Review available HR records (e.g., organizational charts, job description inventories, HR lists, etc.) to identify positions and disciplines within the company. Compare this list of company positions with the positions addressed in the formal hazard assessment system.</p> <p>Enter the percentage of company positions (as found in HR lists, etc.) that are found in the formal hazard assessment system or captured for hazard assessment purposes.</p>	system have their tasks identified?
	both health and safety hazards for each task and, including (as appropriate) hazards presented
	both health and safety hazards for each task and using any combination of severity, frequency, similar measurement to determine risk?
	both health and safety hazards for each task and according to risk in order to determine the order to implement controls?
	ed back into B.1.c.1)

Adjustments to Element B

2012 Protocol	2013 Protocol
B.1.a. Is there an inventory of all positions/disciplines?	B.1.a. Have all company positions or disciplines been inventoried for formal hazard assessment purposes?
B.1.b. Is there a complete Task Inventory for each position/discipline?	B.1.b. Do all positions/disciplines captured in the formal hazard assessment system have their tasks identified?

Additional options for creating the basis for scoring (B.1.c.1-3 depend on this score!)

Scoring Guidelines

Of the positions or disciplines identified in the company's formal hazard assessment system, determine the percentage that have a task inventory.

Multiply this percentage by the percentage awarded in B1a (not the audit score) to score this question.

Ideally, the company will have a task inventory for each position or discipline. However, the auditor may refer to other documentation such as those reviewed for B1a to establish the percentage of positions that have their tasks captured in the system.

Adjustments to Element B

- See *Guide to Scoring Math in Element B.1.*
 - Cascading math remains...but simplified
 - B.1.a and B.1.b have more options
 - Ensures unnecessary marks are not lost in B.1.c.1-3
 - B.1.c.1-3 all use the same sample set and are all based on B.1.b score
 - In many formal hazard assessment systems you should be able to do B.1.c.1-3 in a single step

Expanded Scoring Guidelines

- A result of Cross-Industry SME Reviewers
 - Wanted more explanation and examples, not less
- Examples:
 - Defining terms or scope in the question:
 - B.1.a Guideline
 - For the purposes of this protocol, a formal hazard assessment system at its core identifies the health and safety hazards involved in conducting tasks. It then provides an assessment of the risk posed by those hazards and ranks these to guide and prioritize implementation of controls. Auditors may encounter a variety of systems with various titles that identify and assess task-based hazards. Ideally, all positions in the company will have their associated tasks inventoried, with all task hazards identified, risk assessed, and controlled.

Expanded Scoring Guidelines

- Defining terms or scope in the question:
 - B.3.a Guideline
 - Consider the nature of the company's operations. Identify if the company has a site-specific hazard identification system appropriate to the operations. Site specific hazard identifications are applicable in dynamic operations when work location, processes, conditions, or equipment change and hazards arise that cannot be anticipated in the formal hazard assessment system. Employers with static, predictable operations in fixed locations or shops and/or those with comprehensive formal hazard assessment systems may have a minimal system. .

Expanded Scoring Guidelines

- Defining terms or scope in the question:
 - A.3.d Guideline
 - Frontline supervisors are supervisors that oversee workers involved in field or shop operations or oversee dispatched workers (e.g., truck driver, service technician, etc.) from a fixed location.

Expanded Scoring Guidelines

- Provide examples of items to look for or multiple places to find information:
 - A.2.h. Guideline
 - Interview managers and supervisors to determine if they are familiar with legislation that addresses the activities or operations that they are responsible for. Examples of legislation here could include provincial OHS Acts, codes/regulations or federal legislation (Canada Labour Code, Part II) or transport safety codes (e.g., TDG, National Safety Code), WHMIS, or industry-specific government standards (e.g., ERCB, BC Oil and Gas Commission, etc.).

Expanded Scoring Guidelines

- Provide examples of items to look for or multiple places to find information:
 - A.3.b. Guideline
 - For documentation scoring, review any records that provide validation of senior management visiting worksites (or a sample of worksites) under their responsibility (e.g., journal entries, log books, tour sheets, inspection records, etc.). There should be indicators that the worksite visit included an observation of work practices and some type of discussion regarding health and safety issues with workers.

Expanded Scoring Guidelines

- Provide specific instructions and examples for scoring:
 - A.1.a. Guideline
 - Enter the percentage of the seven criteria that appear in the policy. For example, if all criteria except signature are met (i.e., 6 of 7 criteria appear), enter 86% (6/7), and the final score would be 12/14.

Expanded Scoring Guidelines

- Provide specific instructions and examples for scoring:
 - A.3.b. Guideline (Senior Management site visits)
 - The documentation validation should be entered as follows:
 - 20% if there is evidence of an average of a single annual worksite visit.
 - 50% if there is evidence of an average of at least two visits within the previous year.
 - 100% if there is evidence of an average of at least four visits within the previous year.

For example, if there are three senior managers sampled, with evidence of 0, 2, and 4 visits each. The average would be 2 visits per manager $((0+2+4)/3)$. The auditor would enter 50%.

Integrated Interview Guidance

- Sample interview questions

- Used to be provided as an “Audit Tool”
- Now appear inside eC-AuditTool next to Audit Question when recording interview data

- E.g., B.1.g.

Indicates employee “level” that may be asked

Indicates if only a subset should be asked

(sm, mm, sup, wk; only ask those involved in the development of formal hazard assessments)

When you did a hazard assessment on a task, who was involved?

Provides sample question you can use or use to improvise one of your own

Questions?



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- Thank you.