

Terms of Reference for GBRIA / HBR Safety & Health Audit

Objective

Thank you for allowing GBRIA / HBR to conduct a Safety and Health Audit on behalf of a requesting owner. The objective of this audit is to assess your company's capability to manage the HSE Risk associated with the service or services you provide to the requesting owner.

During the audit, auditors will be reviewing the HSE policies and procedures of your organization and determining if they are being effectively implemented. During the audit evidence of training completions, certifications, HSE (Safety) meeting topics / presenters / attendance documents, self-inspection / audits of equipment and / or process, Management participation, SOP etc., will be requested.

The overall goal of the audit is to add mutual value to both your company as well as the requesting owner by identifying any gaps in the control and recovery measures within your HSE Management System. This audit will provide our stakeholders the assurance that the HSE risks associated with the service(s) you perform are managed within the scope of this protocol.

In order for both of us to gain the greatest value for the investment of time and energy, it is important that both parties are adequately prepared. This document will assist you with preparing, but it is not intended to be all inclusive.

Meeting Setup

Please have an adequate meeting room available with enough seating for all participants. If you plan on reviewing your HSE policies and procedures via computer screen please be sure your computer, IT, internet connections, drives, servers and associated video systems are setup and working prior to the meeting.

If hard-copies of the documentation will be utilized, please have them readily available and tabbed for ease of reference.

Participants

Please have the appropriate personnel either in the meeting or available as needed during the assessment. In general, dependent upon how your company is organized, the following people are usually expected at some point during the assessment.

Recommended Participants		Participation Time
1.	HSE Director or HSE Superintendent	Entire meeting
2.	VP Operations	at least the first 90 minutes
3.	General Manager or Operations Manager	Entire meeting
4.	Service Manager or Quality Assurance Manager	as needed
5.	Training Coordinator	as needed
6.	Human Resources Manager	as needed

Documentation Review

The following 11 Elements comprise the GBRIA / HBR Safety & Health Audit in order and under each is an explanation of what the auditor will be focusing on. **Have copies of completed reports or forms to review as opposed to blank documents. Provide documentation to show participation and implementation of HSE Management System components.**

1. Management & Employee Commitment

Objective: Management and employees demonstrate visible commitment and active leadership by promoting HSE as a core value

- a. Corporate HSE Policy and Commitment statement and its communication to the organization
- b. Annual Corporate Goals and Targets
- c. Strategic HSE Objectives Document
- d. "Active" HSE Leadership
- e. "Visible" HSE Leadership
- f. Documentation to support Management & Employee attendance at Safety Meetings
- g. Documentation of Management field and site visits
- h. Resources to support HSE MS i.e., Staffing, Budget, etc.

2. Roles, Responsibilities & Involvement

Objective: Define roles and responsibilities to ensure accountability at all levels

- a. Organizational Structure for HSE Management
- b. Management Accountability. Roles and responsibilities for managers at all levels
- c. Documentation of Companies Vision regarding Safety
- d. HSE performance component included in annual appraisals
- e. Documentation to support Management engagement with clients in Safety Forums

3. Compliance Assurance

Objective: Comply with applicable legal, regulatory and other requirements

- a. Employee access to required HSE policies, practices and company requirements
- b. HSE Standards (legislative, industry) defined, implemented with assigned Company Subject Matter Expert(s)
- c. Efforts to ensure implementation of the HSE MS (active monitoring, reporting deficiencies, actions taken to prevent)
- d. Governing agency licenses or permits to perform services
- e. Disclosure of fines, penalties or regulatory orders - last 3 years

4. Risk Management

Objective: Manage HSE risks through assessments, mitigation measures and appropriate controls

- a. Hazards and Effects Management Policy – (How hazards are identified, assessed, managed and implementation of controls/ recovery and exposures monitored)
- b. Management & Employee understanding of the Key Risks associated with services provided to owner sites
- c. Inventory of hazards
- d. Requirement to hold worksite HSE meetings
- e. Stop Work Intervention Policy
- f. Short Service Employee Policy
- g. Job Safety Analysis, Job Hazard Analysis or equivalent
- h. Industrial Hygiene or Occupational Health program
- i. Fitness to Work Policy (Physical Demands Analysis, Modified/Return to Work, Fatigue Management, Medical)
- j. Drug and Alcohol Policy
- k. Environmental Policy
- l. Consequence Management Policy

5. Facility Design & Construction

Objective: Design and construct facilities to assure integrity throughout the lifecycle

- a. Safety procedures specific to services provided
- b. Maintenance of HSE Critical Equipment
- c. Maintenance of mechanical equipment and tools
- d. Yard or field site logistic hazards and mitigation

6. Operational Control & Maintenance

Objective: Conduct operations and maintenance activities in accordance with appropriate programs, plans, and procedures and work practices

- a. Permit to Work Process
- b. Hazardous Energy Isolation Policy and Procedure
- c. Confined Space Entry Policy
- d. Fall Protection/Prevention Policy
- f. Management of Change process
- g. Road Transportation Program
- f. Process for periodic reviews of HSE Policies and Procedures

7. Contractor Management

Objective: Manage contractor performance through all phases of selection, execution and evaluation

- a. Subcontractor Management Program

8. Training & Compliance

Objective: Manage the competence of personnel through selection, training and assessment processes

- a. Competency Assurance process
- b. HSE training programs for managers and supervisors.
- c. Orientation and training of new employees
- d. Process for documenting and tracking training of all employees

9. Emergency Response & Crisis Management

Objective: Develop emergency preparedness and response planning for the protection and security of personnel, stakeholders and assets

- a. Emergency Planning and Response
- b. Case Management process

10. Incident Reporting, Investigation & Analysis

Objective: Report, investigate and analyze incidents and near hits in order to improve performance and prevent recurrence

- Incident Reporting, Investigation and Review (have Incident Investigation to
- a. review with Root Cause Failure Analysis available). Please protect privacy as required.
 - b. Near Miss Reporting
 - c. Investigation Team Training and Competencies

11. Evaluation, Improvement & Feedback

Objective: Monitor and evaluate HSE performance and GBRIA / HBR Safety & Health Audit implementation to drive continual improvement

- a. HSE Performance Monitoring (Key Performance Indicators). Tracking and trending
- b. HSE Effectiveness Review
- c. HSE Audit Policy & review of past audits
- d. Behavioral Based Safety programs
- e. HSE Improvement Plans
- f. Action logs
- g. Participation in Industry Associations
- h. Industry Safety Awards
- i. Documentation of Employee feedback on Company Safety Leadership
- j. Feedback to company / owner sites

Assessment Results

The HSE policies, programs, training, procedures, etc. of your company will be evaluated by utilizing the 11 standard elements of a Management System. Points will be awarded in every element and the total assessment score will be the sum of all the elements combined. Your company's letter grading will consist of one of the following four classifications: "A", "B", "C" or "F" based upon your assessment score.

Once the assessment is completed, a Closeout Report defining your company's Letter Grade ("A", "B", "C" or "F") will be emailed to your appropriate focal point by GBRIA / HBR. The Closeout Report will also document the Assessment Findings discussed during the assessment debrief. After receiving the results of your audit and deficiency report, you will be required to complete and submit the corrective action plan listed on the deficiency report page of the audit.