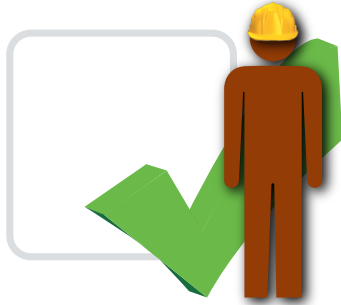


## Assurance



**Similar to the statutory and regulatory assurance process of Module 16, a system should be in place to provide stakeholders assurance that the safety and health management system is effective and adequate for the operation.** The plan should be reviewed periodically taking into account changes in operations, personnel, hazards and risks, and the environment. Any non-conformities should be

addressed in a timely manner.

### Assurance is the process of:

- Implementing a process to assure internal and external stakeholders of the adequate structure, fitness and effectiveness of the safety and health management system.
- Ensuring management is using assurance information to determine how to improve the safety and health management system.
- Providing for corrective action and continual improvement based on senior management direction.

### How it works

It is necessary to periodically assess implementation of and conformance with the expectations of the safety and health management system (SHMS) to assure an adequate structure exists to analyze the fitness and effectiveness of the SHMS. This process should be managed by senior management and may involve both internal and external audits and assessments. Where nonconformance is identified, corrective action should be taken to ensure continual improvement in both SHMS effectiveness and the resulting safety and health performance.



MODULE



## Flow of the Process

- Develop a process to measure system and S&H management performance through the use of lagging and leading indicators.
- Ensure senior management participates in the performance assurance process to optimize transparency and ensure there are adequate resources to facilitate system improvement.
- Non-conformance against the SHMS should be addressed with appropriate actions to correct the non-conformance.
- Internal audits should be scheduled in advance and conducted by personnel with adequate experience and knowledge of SHMS audit methods and processes.
- Routine audits (and periodic external audits) should be conducted by a competent third party at an interval sufficient to ensure continuous improvement.

MODULE



## Workbook Materials For Module 17

### Health & Safety Management Plan - Auditing & Evaluation

It is critical to periodically measure performance against the SHMS goals and objectives. Evaluations can be completed through both internal and third party audits. An audit can include one section of the plan or a review of the entire system. It is also critical that the results of the audits are reviewed by management and where there are non-conformities, action plans are developed to better address any deficiencies.

#### Auditing and Evaluation Process:

Audit Type:

Internal: \_\_\_\_\_

External: (Third Party) \_\_\_\_\_

Organization: \_\_\_\_\_

Contact: \_\_\_\_\_

Responsibilities:

Department: \_\_\_\_\_

Senior Manager: \_\_\_\_\_ Title: \_\_\_\_\_

Audit Team	Person	Department	Position
Planning - Lead	_____	_____	_____
	_____	_____	_____
Audit - Lead	_____	_____	_____
	_____	_____	_____
Reporting - Lead	_____	_____	_____
	_____	_____	_____
Action Plan - Lead	_____	_____	_____
	_____	_____	_____

Schedule: \_\_\_\_\_

HSMP Section or Overall Review: \_\_\_\_\_

**Audit Measurements against Standards and Goals:**

Performance measurements should include but not be limited to the following categories

Plan Objectives: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

Data and Statistics: \_\_\_\_\_  
 (Quantitative) \_\_\_\_\_

Compliance & Behavior: \_\_\_\_\_  
 (Qualitative) \_\_\_\_\_

Effectiveness of Controls: \_\_\_\_\_  
 \_\_\_\_\_

Proactive Measures of Conformance: \_\_\_\_\_  
 \_\_\_\_\_

Reactive Measures of Monitoring Incidents: \_\_\_\_\_  
 \_\_\_\_\_

Reporting of Non-Conformance & Action Taken: \_\_\_\_\_  
 \_\_\_\_\_

**Audit Reporting and Document Maintenance:**

Review and Sign Off: \_\_\_\_\_ Title: \_\_\_\_\_  
 \_\_\_\_\_ Title: \_\_\_\_\_  
 \_\_\_\_\_ Title: \_\_\_\_\_

Distribution:  
 Management: \_\_\_\_\_ Title: \_\_\_\_\_  
 \_\_\_\_\_ Title: \_\_\_\_\_  
 \_\_\_\_\_ Title: \_\_\_\_\_

Departments: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_



MODULE



Document Administrator: \_\_\_\_\_

Title: \_\_\_\_\_

Department: \_\_\_\_\_

Storage Location: \_\_\_\_\_

Hard Copy: \_\_\_\_\_

Electronic: \_\_\_\_\_

**Follow Up Actions: (Plan-Do-Check-Act, Module 16)**

Audit Non Conformities:

Finding: \_\_\_\_\_

Department: \_\_\_\_\_

Responsible Person: \_\_\_\_\_

Action Plan Responsibility:

Department: \_\_\_\_\_

Responsible Person: \_\_\_\_\_

Tracking Tool: \_\_\_\_\_

Schedule: \_\_\_\_\_

Continuous Improvement Items:

Department: \_\_\_\_\_

Responsible Person: \_\_\_\_\_

Tracking Tool: \_\_\_\_\_

Schedule: \_\_\_\_\_