



ABU DHABI WATER AND ELECTRICITY AUTHORITY  
(ADWEA)  
ADWEA & GROUP COMPANIES

Effective Date: 18.06.2009

Volume	Chapter	Version
19	5	1
Page 1 of 16		

**HEALTH, SAFETY AND ENVIRONMENT AUDIT PROCEDURE**

Approved By:  
Planning & Development Director



**ADWEA HSE PROCEDURE MANUAL**

**HEALTH, SAFETY AND ENVIRONMENT  
AUDIT PROCEDURE**

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PLANNING &  
DEVELOPMENT DIRECTOR



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Page 2 of 16		

**HEALTH, SAFETY AND ENVIRONMENT AUDIT PROCEDURE**

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<b>CONTENTS:</b>	<b>PAGE</b>
Introduction	3
Scope and Objectives	3
Types of HSE Audits	4
HSE Audits Approach & Auditors Requirements	4
Procedures	5
Typical HSE Audit Terms of Reference	8
HSE Audit Check List	9
HSE Audit Report Summary Form (Appendix-1)	11
HSE Audit Report Form (Appendix-2)	12
HSE Immediate Corrective Action Request Form (Appendix-3)	13
HSE Auditor Notes Form (Appendix-4)	14





**HEALTH, SAFETY AND ENVIRONMENT AUDIT PROCEDURE**

Approved By:  
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## **1. INTRODUCTION**

*Audit : is asystematic ,independent and documented process for obtaining " Audit Evidence" and evaluating it objectinely to determine the extent to which "Audit criteria" are fulfilled.*

The main benefits derived by HSE Audits are:

- a. To provide a tool for measuring the degree of compliance to the Company's HSE Policy, HSEMS, Procedures, Practices, adopted Standards and identify areas for improvement.
- b. To encourage planning for development of comprehensive HSE Programs.
- c. To provide basis to periodically measure the HSE performance of the company relative to the established HSE targets.
- d. To reveal deficiencies and ensure that corrective measures will be pertinent and timely to HSE problems.
- e. To provide basis for recognition of HSE performance or achievement.
- f. To provide feedback on the attitudes of employees toward their HSE responsibilities.
- g. To generate HSE awareness within the workforce.

## **2. SCOPE AND OBJECTIVES**

The purpose of this procedure is to define the ADWEA and its Group Companies HSE Audit practices, guidelines and responsibilities in *corporation of annual external audit and the reporting requirements under the ABU DHABI Emirate-EHSMS requirements.*

The objectives of this procedure are to:

- a. Ensure conformance with HSE policy, systems and procedures.
- b. Assess the effectiveness of HSE activities.
- c. Evaluate the effectiveness of the HSEMS implementation.
- d. Promote understanding among the employees.



**HEALTH, SAFETY AND ENVIRONMENT AUDIT PROCEDURE**

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- e. Establish a standard approach and methodology for HSE Audits.
- f. Communicate information to Management.

### **3. TYPES OF HSE AUDITS**

Generally, there are three types of HSE Audits:

- a. **Internal HSE Audits / Self assessment (Level 1 Audits):** These are normally conducted by the concerned company's personnel and the audit programs shall be developed by the HSE Department of that company.
- b. **Joint HSE Audits (Level 2 Audits):** These are normally conducted by ADWEA HSE Specialist. Members from other Group Companies, other than the company subject to the audit, could be utilized. Outside Specialist Support can be utilized as required.
- c. **External HSE Audits (Level 3 Audits):** These are administered by ADWEA HSE Specialist utilizing External Consultants and the audit programs shall be developed by ADWEA HSE as and when necessary.

### **4. HSE AUDITS APPROACH AND AUDIT REQUIREMENTS**

Best HSE practices, utilize HSE programs for all HSE key issues related to the plant/facilities operations. Each HSE program addresses the issues specifically related to its subject, e.g.:

- HSE guidelines
- Reference documents, Legislation, Codes, Standards, etc.
- Records, Personnel Certificates, Test Certificates, Inspection Records, etc. that are required to be maintained.
- Responsibilities.
- Specific pre-defined Hazards.
- Existing Hazards controls and safeguards.
- Specific HSE Inspection checklists.
- Possible causes for incidents and protection requirements.
- Required Personnel Protection Equipment for the specific tasks.
- Specific skills and training requirements.

Any HSE Audit should answer four basic questions. All HSE Audits comments, recommendations, and corrective actions should focus on these four questions:

1. Do HSE programs cover all regulatory and best industry practice requirements?
2. Are HSE programs' requirements being met?
3. Is there documented proof of compliance?



**HEALTH, SAFETY AND ENVIRONMENT AUDIT PROCEDURE**

Approved By:  
Planning & Development Director

**4. Is employee training effective?**

In order to achieve maximum improvement, the HSE Audit must be planned, establish facts, be based on objective evidence, be executed competently, and be reported constructively.

The persons or team designated to conduct the HSE Audits, should take a fact-finding approach to gather data. These auditors should be familiar with both the company HSE programs and the various Local and International HSE requirements.

The following guidelines are to be considered in the selection of HSE auditors:

- **Training:** The auditor must be familiar with HSE Audit practices. The auditor is required to have attended some form of auditing training.
- **Attributes:** The auditor should possess certain attributes and qualifications. Previous experience in HSE audits, good knowledge of the operations and facilities, considerable experience in HSE Legislations, Regulations and requirements in the field to be audited, would also ensure the competency of the auditor.
- The auditor should possess good knowledge of the company's HSEMS, HSE procedures and any other used resources to run the system.
- The auditor should be proficient in both written and verbal communication skills.

**5. PROCEDURES**

5.1 The Company HSE Department shall prepare an annual HSE Audit program/plan. The program will be based on the importance of the HSE activities and the results of previous audits.

Those activities that have higher importance or more impacts on the Health, Safety and Environment, and those activities that have had non-conformance problems in previous HSE audits will be priorities in the scheduling of the program.

Each major issue within the HSE will be audited at least once a year. Areas to be audited include, but not limited to:

- HSE procedures;
- HSE programs and practices

These two types of audits may be completed in conjunction or separately. For example, an audit might be conducted to test the HSE programs and practices



**HEALTH, SAFETY AND ENVIRONMENT AUDIT PROCEDURE**

Approved By:  
Planning & Development Director

against the established company procedures for Emergency Preparedness and Response. At that same time, procedures for Emergency Preparedness and Response can also be audited for compliance with the Legislative requirements. However, these two audits can be conducted separately as well.

5.2 The company HSE Specialist/Head of HSE will select a trained and qualified auditor(s) to conduct the audit.

5.3 The designated HSE audit Team Leader will define the Scope and Objectives or terms of reference for the intended audit. The Scope may include:

- The Subject of the HSE audit, which should focus on a specific HSE program e.g.:  
HSEMS implementation, HSE procedures, HSE training, Emergency/Evacuation, Permit To Work, Hazard Identification program, Fire fighting systems, Material handling, Lockout-Tagout, Waste Management, Noise, Emissions, Blood-borne Pathogens, etc.
- What Company, area or facility is to be audited.
- Any procedures, standards and documents to be considered.
- Any follow-up on problems or non-conformances from previous audits.
- Any follow-up or corrective actions as a result of previous audits.
- Any verification to be done on previous audits.

The purpose of the Scope is to tell the auditee, in broad terms, what the auditor(s) will be looking at.

5.4 The HSE Audit Team Leader chosen to perform a particular audit shall be responsible for notifying the auditee. This notification, where possible, should include tentative agenda, time frame, visit plan, required interviews, documentation to be examined, etc.

5.5 HSE Audit Preparation:

- **Step One:** One week prior to the audit, inform all affected Managers/Heads of Departments. They should be directed to have all records, documents, and procedures available when the audit starts.
- **Step Two:** Review any relevant past HSE audits and their recommendations.



**HEALTH, SAFETY AND ENVIRONMENT AUDIT PROCEDURE**

Approved By:  
Planning & Development Director

- **Step Three:** Review all relevant Company, Local, National and International HSE requirements for the specific audit subject. Become familiar with the document, inspection, and training requirements.

5.6 While conducting the audit, the auditor should utilize the suggested HSE audit report form Appendix – 2 (or an equivalent documented report) to record the outcome of the audit. In addition, the suggested HSE auditor notes form Appendix – 4 may be used to record any notes or other information during the audit, and as a checklist for standard audit practices.

For anomalies that require immediate action due to their nature and criticality, form “Immediate Corrective Action Request” Appendix – 3 to be used. This form to be issued by the auditor who found the anomaly, to be agreed by the Chairman (if available) and copied to HSE Specialist/Head of HSE within the Company. Upon completing the action and Management approval, copy of the Form to be sent to HSE department.

5.7 Fact finding: A fact finding event is used to gather all applicable information. HSE auditors should make an effort not to form an opinion or make evaluative comments during this phase.

5.8 Team approach: If an audit team is used, the audit Team Leader shall make assignments to each auditor that defines his area of inspection. He should ensure that they have the proper background information and documents.

5.9 After all documents, procedures, work place and equipment have been inspected, the audit Team Leader must formulate a concise report that details all areas of the subject audit. Focus on the four basic audit questions. Defficiencies should be addressed including comments of a positive nature for each element.

5.10 The audit Team Leader shall develop recommended actions for each deficient condition under the audit subject. Careful forethought should be applied to ensure that: This is not a process that simply makes more rules, additional record keeping requirement or makes production tasks more difficult.

5.11 The HSE auditors should examine the manner and means in which the current deficient elements are managed, to determine if there is a simpler procedure, which can be employed.

5.12 Upon completion of the audit, The audit Team Leader determines any non-conformances and recommended corrective/preventive actions.

5.13 The audit Team Leader shall complete the audit report using the HSE audit report forms Appendices 1, 2 & 3 or equivalent documentation format, and submit this report to the Management and concerned departments.



**HEALTH, SAFETY AND ENVIRONMENT AUDIT PROCEDURE**

Approved By:  
Planning & Development Director

5.14 Upon receiving the audit report, the related department(s)' Head/Manager will ensure the development of the required action plan for implementing the audit recommendations. Copy of the report to be sent to HSE Department for follow-up.

5.15 HSE Department to follow-up and check on the progress and actions taken in relation to the corrective actions raised/recommended by the Audit Team in the report.

**6. TYPICAL HSE AUDIT TERMS OF REFERENCE**

HSE Audit Terms of Reference will vary depending on the subject to be audited.

The following shows typical contents of HSE Audits Terms of Reference, which can be used as a guideline for preparation of specific HSE Audit Terms of Reference:

**Introduction:**

Give a brief background on the subject to be audited, and the requirements for carrying out an audit on this specific subject.

**Objectives:**

Detail the objectives aimed at by carrying out the subject audit.

**Audit Team Formation:**

List the assigned Audit Team Leader and Members.

**Audit Plan and Schedule:**

Detail the tentative audit schedule i.e. dates and timings for kick off meeting with auditee, audit preparation duration, field work, closeout meeting with auditee, and audit report preparation and submission.

**Audit Methodology:**

Provide the audit reference checklist, required documentation to be examined, personnel to be interviewed, facilities to be visited, etc.

**7. HSE AUDIT CHECKLIST**

HSE Audit checklists are much dependant on the specific subject to be audited. There is no standard checklist that could be applicable to all HSE audit subjects, however, certain HSE audit areas have common approach for the items to be looked at.



## HEALTH, SAFETY AND ENVIRONMENT AUDIT PROCEDURE

Approved By:  
Planning & Development Director

### HSE Audit Areas With Common Approach

Most HSE audits can be broken down into the following areas:

#### Employee HSE Knowledge/Taining

An effective HSE training ensures that employees have the knowledge required to operate in a safe manner on a daily basis. The level of knowledge required depends on the specific activities in which the employee is involved and his specific duties and responsibilities.

#### HSE Program Administration

This review checks the implementation and management of specific HSE program requirements. This section asks these and other similar questions:

- Is there a person assigned and trained to manage the HSE programs?
- Are specific HSE duties and responsibilities assigned?
- Are sufficient assets provided?
- Is there an effective and on-going employee HSE training program?

#### Record and Document Review

Missing or incomplete documents or records, is a good indication that a HSE program that is not working as designed. Records are the company's only means of proving that specific regulatory requirements have been met. Record review also includes a look at the results, recommendations, and corrective actions from the previous HSE audits.

#### Equipment and Material

This area of a HSE audit inspects the material condition and applicability of the equipment for hazard control. Examples of HSE audit questions for this area are:

- Is the equipment in a safe condition?
- Is there adequate equipment to conduct tasks safely?
- Are personnel protective equipment used and stored properly?
- Are equipments, such as exit lights, emergency lights, fire extinguishers, chemical storage and handling, fixed/mobile protection and detection systems, designed and sufficient to control hazards effectively?



**HEALTH, SAFETY AND ENVIRONMENT AUDIT PROCEDURE**

Approved By:  
Planning & Development Director

**General Walk Through**

A general walk-through of work areas can provide additional insight into the effectiveness of HSE programs. HSE auditors should take written notes of unsafe acts and conditions observed during the walk-through.



**HEALTH, SAFETY AND ENVIRONMENT AUDIT PROCEDURE**

Approved By:  
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Appendix - 1

**HSE AUDIT REPORT SUMMARY**

**Audit Ref. Number:**

**Title of Audit:**

**Date(s) Audit Conducted:**

**Audit Team Members:**

**Auditee:**

**Scope/Objective of Audit:**

**Reference Documents Reviewed:**

**Audit Summary:**

**Conclusions:**

**Author of Audit Report:**

**Name:.....**

**Signature:..... Date:.....**

**Audit Team Leader:**

**Name:.....**

**Signature:..... Date:.....**



**HEALTH, SAFETY AND ENVIRONMENT AUDIT PROCEDURE**

Approved By:  
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Appendix -2

**HSE AUDIT REPORT FORM**

**HSE AUDIT REPORT**

**Audit Ref. Number** : .....

**Title of Audit** : .....

**Date(s) Audit conducted** : .....

Item No.	Description	Findings / Anomalies	Recommendations	Action By	Target Date	Status	Remarks

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**HEALTH, SAFETY AND ENVIRONMENT AUDIT PROCEDURE**

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**IMMEDIATE CORRECTIVE ACTION REQUEST**

<b><u>AUDITOR/ISSUER</u></b> Name : ..... Signature: ..... Date : .....		<b><u>AUDITEE/RECEIVER</u></b> Name : ..... Signature: ..... Date : .....	
Audit Title : ..... Anomaly No.: .....		Company : ..... Division/Department: .....	
<b><u>Reported Anomaly Description</u></b> ..... ..... ..... ..... .....			
<b><u>Corrective / Preventive Action</u></b> ..... ..... ..... .....			
Deadline: .....			
Staff Member Incharge of Implementation: Name: ..... Sig.: .....			
<b><u>IMPLEMENTATION EVIDENCE</u></b> ..... ..... ..... ..... .....		Completed on: .....	
Implementer: Company: ..... Designation: .....		Name: ..... Sig.: ..... Date: .....	
<b><u>Company Management/ Div. or Dept. Manager Approval/Comments</u></b> ..... ..... .....			
Designation: ..... Name: ..... Sig.: ..... Date: .....			



**HEALTH, SAFETY AND ENVIRONMENT AUDIT PROCEDURE**

Approved By:  
Planning & Development Director

Appendix - 4

**HSE AUDITOR NOTES FORM**

**Audit Ref. Number:**  
**Title of Audit:**  
**Date(s) Audit conducted:**  
**Scope/objective of Audit:**  
**Auditor(s):**

**Audit Preparation**

Preliminary document review:

Audit plan:

Audit-team assignment:

Working documents:

Comments:

**Kick off Meeting**                      Date/Time:                      Location:

Attendees:

General outline for an audit kick off meeting:

- Introduce the members of the Audit Team to the Auditee's Management.
- Review the scope, objectives and audit plan and agree on the audit timetable.
- Provide a short summary of the methods and procedures to be used to conduct the audit.
- Establish the official communication links between the Audit Team and the Auditee.
- Confirm that the resources and facilities needed by the Audit Team are available.
- Promote the active participation of the Auditee.

Comments:



**HEALTH, SAFETY AND ENVIRONMENT AUDIT PROCEDURE**

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Planning & Development Director

**Collecting Audit Evidence**

Audit evidence, supporting information and reference material:

**Audit Findings**

Documentation of findings of nonconformity:

Review with the responsible Auditee Manager:

Comments:

**Closing Meeting**

Presentation of audit findings to the Auditee:

Areas of disagreement:

Comments:

**Summary Comments**

Based on the information presented here and other compiled information, the Auditor will prepare and submit the Audit Report.