



## **Compliance Assurance and EHS Auditing at Syncrude**

**Presentation Materials for  
CEAA Annual Conference,  
Calgary Alberta**

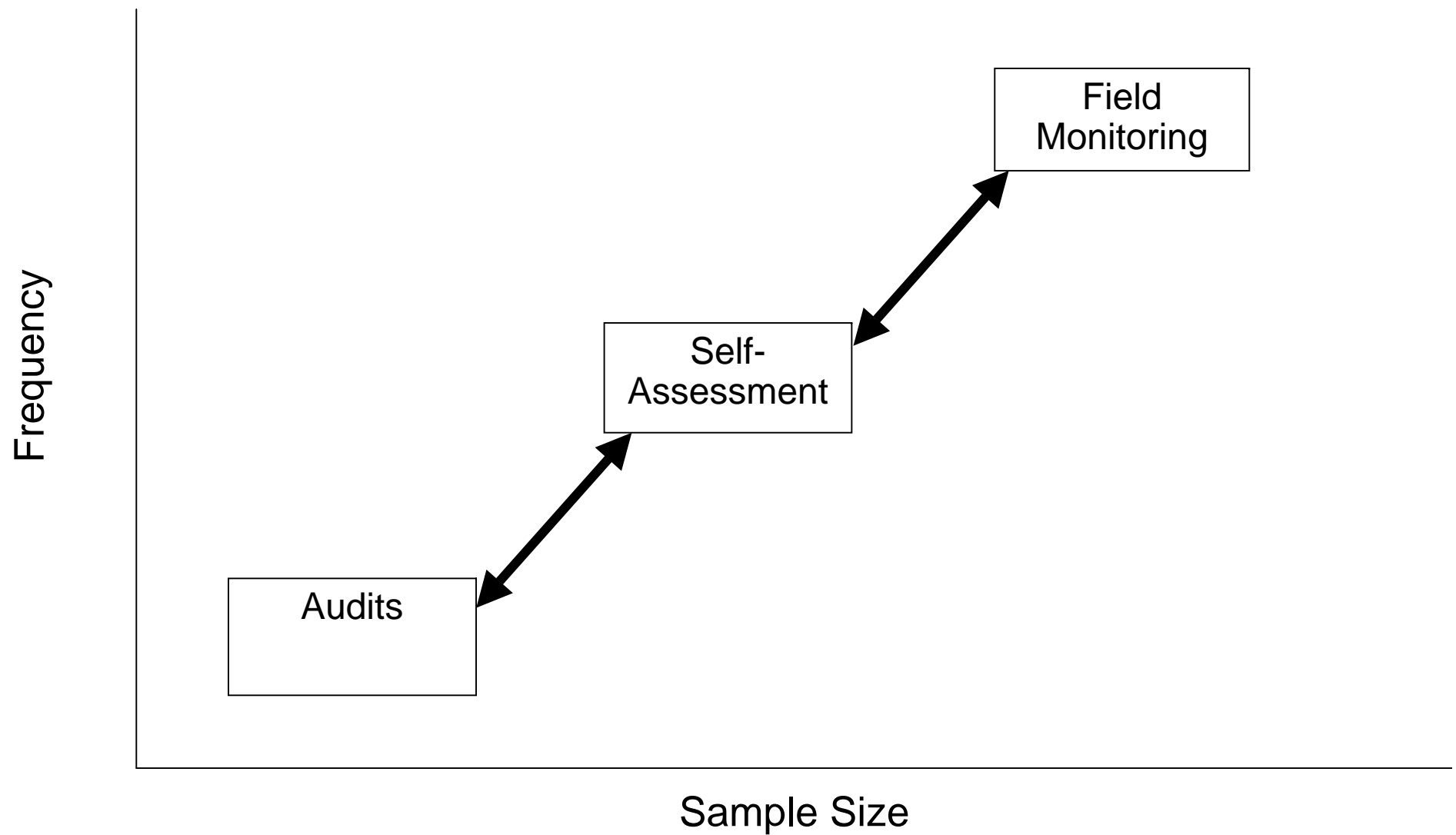
**October 2006**

## Overview

### “How Syncrude Manages EH&S Compliance”

1. Syncrude's Compliance Assurance Approach
2. The Role of Field Monitoring
3. The Role of Self-Assessments
4. The Role of EH&S Audits
5. The Role of Detailed Compliance Assessments
6. What Comes Next?

## Synocrude's EH&S Compliance Assurance Approach



## **The Role of Field Monitoring**

- Conducted by all SCL employees
  - Observe their own work and the work of others and contractors
  - Check for compliance with relevant EH&S requirements
  - Take immediate action to address non-compliance
- Generate data for EH&S performance assessment
  - VOICE cards track issues and near-misses
  - LCR reports track incidents and non-compliances
- Maintain a high level of leadership visibility and a demonstration of commitment to the EH&S requirements
- The best form of EH&S compliance assessment

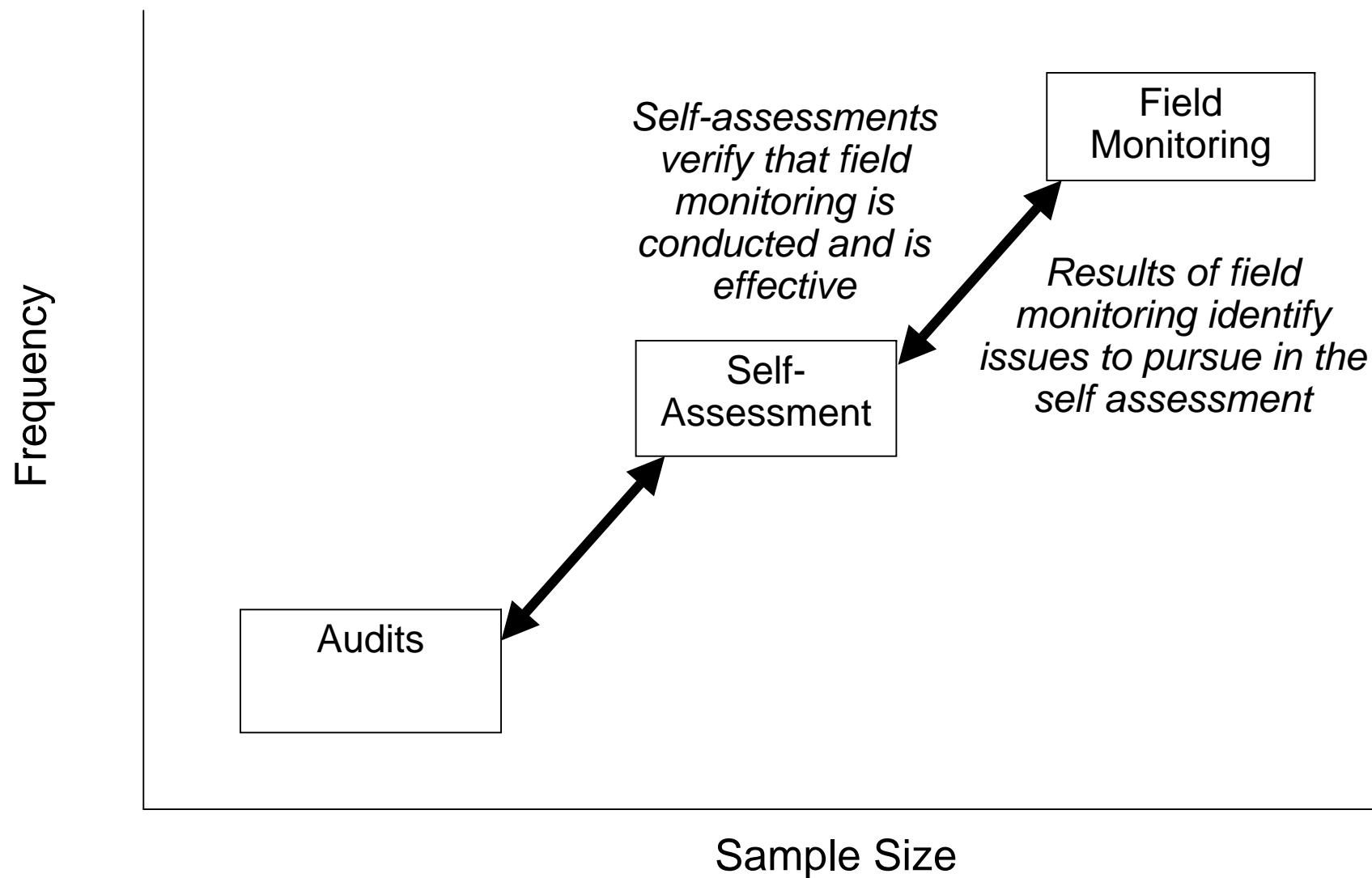
## **The Role of Self-Assessments**

- Department heads commission EH&S assessments in the form of formal self-assessments. Self-assessments provide a way for department heads to:
  - Exercise ownership of their EH&S controls
  - Ensure EH&S control processes are working
  - Ensure the EH&S management system is implemented and performing
  - Ensure both regulatory and corporate standards are being complied with
- Provides an opportunity to train assessors, to promote EH&S awareness, and to make visible display of departmental leadership / commitment to EH&S
- Self-assessments are conducted annually

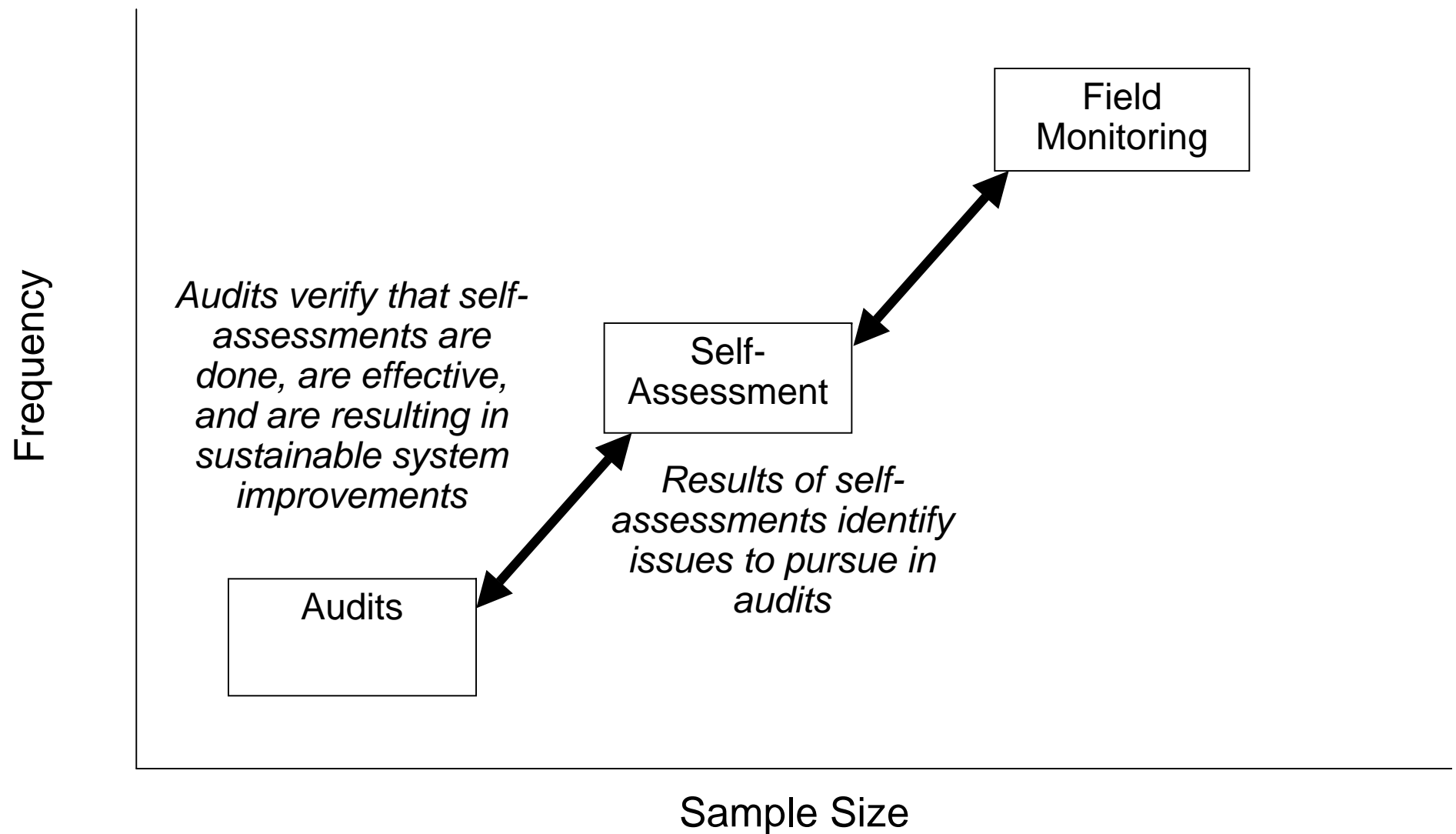
## **The Role of EH&S Audits**

- Corporate EH&S audit is charged by senior management to provide an independent assessment of:
  - Controls, and
  - Degree of compliance with regulatory and corporate requirements.
- Conducted by external resources, therefore “external audit”
- Completed in each department every one to five years based on performance/risk, with an initial target of every three years.
- Primarily a “Management System” audit, ie: assessment of ability of EH&S management system to manage compliance
- SCL commits at least 30% of audit effort to compliance auditing / field observations, to provide assurance and to obtain additional evidence of Management System performance.

## Syncrude's EH&S Compliance Assurance Approach



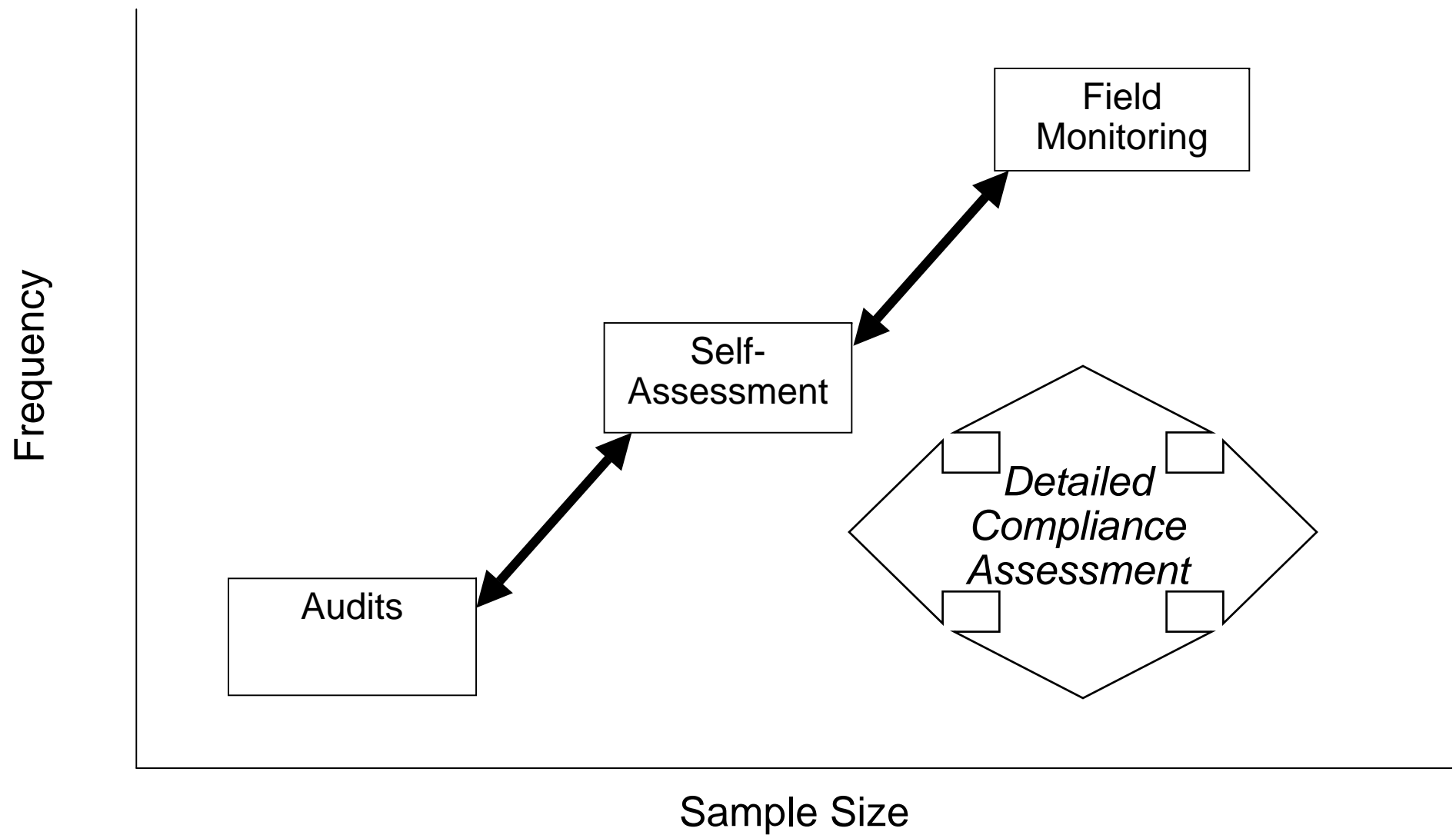
## Synocrude's EH&S Compliance Assurance Approach



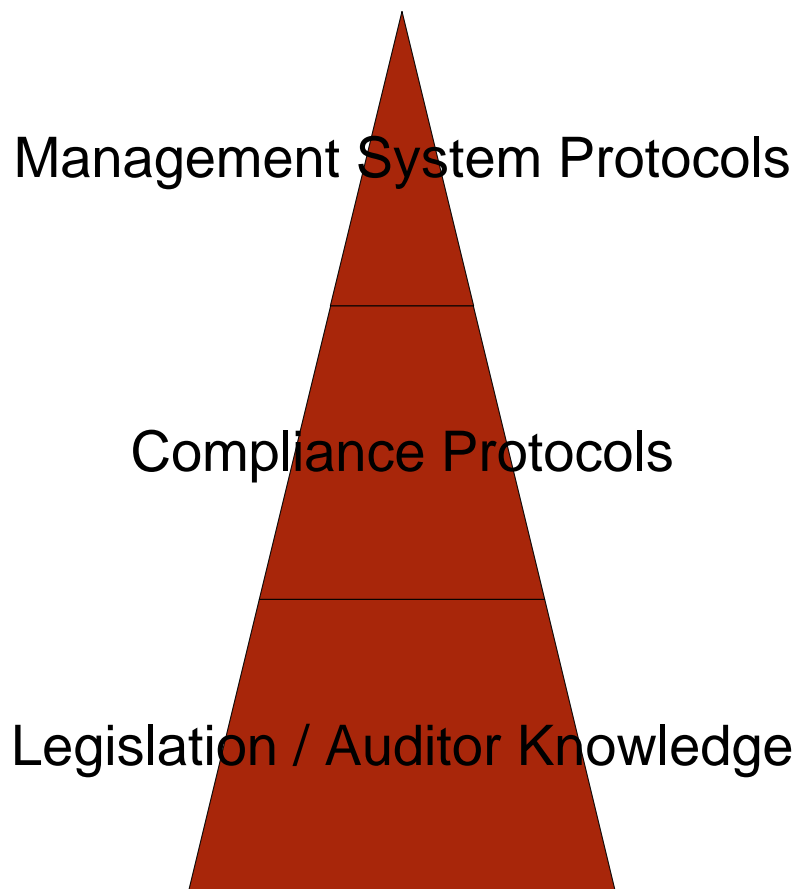
## **The Role of Detailed Compliance Assessments**

- When one or more of the other compliance processes identifies a systemic, pervasive or potentially serious compliance issue, a detailed compliance assessment may be done
- Are focused, issue specific, or activity specific audits of compliance requirements
- SCL has conducted compliance assessments of:
  - Cranes and hoisting procedures
  - Mobile and stationary welding units
  - Overhead doors
  - Permits
  - Isolations

## Syncrude's EH&S Compliance Assurance Approach



## Synocrude's Compliance Assessment Tools



- Management System Protocols provide the management systems verification element for Audits and Self-Assessments
- Compliance Protocols assess the specific compliance requirements in Audits, Self-Assessments, and some Detailed Compliance Assessments
- Legislation and auditor knowledge/experience guide all activities

## What Comes Next?

Mainly Continuous Improvement in the areas of:

- Management Performance Indicators that reflect results of field monitoring
  - Compliance status
  - Field time of leaders
  - Behaviors
  - Learning's from analysis of MPI's
- Quality of EHS Self Assessment's
  - Led by middle management
  - Well Planned
  - Well Resourced
- Increased EHS Management System Awareness and Training
  - Mainly directed to leadership
  - Able to “see” where requirements originate
  - Risk Based