International Association of Oil & Gas Producers

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Contractor HSE capability assessment and scoring system

Supplement to Report 423

Acknowledgements

IOGP Safety Committee.

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Revision history

VERSION	DATE	AMENDMENTS
1.0	April 2017	Some of this guidance was included in version 2 of Report 423 as an Appendix, but now is provided as a standalone document.

Contents

Scope

This report is a supplement report to IOGP Report 423, *HSE management – guidelines for working together in a contract environment*. It contains additional guidance to Report 423 around a contractor HSE capability assessment questionnaire and scoring system, along with an audit checklist.

Table 1 is a questionnaire for contractor HSE capability assessment. It also has the suggested scoring system for each major category interlaced with the questionnaire.

This questionnaire is suggested for use during *Phase Two: Sourcing/capability assessment* when clients screen potential contractors and their HSE Management Systems. The questionnaire is intended to be provided by the client and completed by the contractor.

In many cases, the completed questionnaire may be validated via an audit, by a suitably trained independent person (either from a third party or within the client organization). These exercises should take place sequentially so that the independent person can challenge the individual within the contractor organization, who completed the assessment form.

Table 2 provides an auditor guidance checklist.

HSE capability assessment: overview and scoring system

The Contractor's capability assessment questionnaire may be evaluated by attaching a score to the selected response for each category. A suggested scoring system would be as follows:

D	C	B	A
Unacceptable	Poor	Acceptable	Excellent
0	3	6	10

The HSE capability assessment scoring approach should reflect the layout of the client's HSE-MS to show how the contractor's capability aligns with the clients HSE-MS (recognizing at this stage Clients are not asking the potential contractors to meet any requirements). In reviewing HSE capability, the assessment should focus on all relevant areas within the HSE-MS but should not drift into adjacent areas which might not be relevant.

The Client should consider emphasizing or de-emphasizing portions of the questionnaire by assigning weighting factors in consideration of the specific industry risks. e.g. by assigning lower weighting to security capabilities when security is not viewed as a particular risk, or where matters related to security are not specifically addressed in the industry. This assessment questionnaire is for the HSE-MS of the contractor, and is contract independent.

Scores of 0 should normally indicate that a Contractor should not be considered as suitable for inclusion on the tender list. Any sections rated 0 should be highlighted as specific issues to be addressed during the tendering process if the Contractor is still to be considered.

The questionnaire and scoring system offered in Table 1 use IOGP Report 510, *Operating Management Systems Framework* as a basis. The descriptors for the scoring categories reflect the purpose and expectations for the relevant OMS element. The questions are designed to help contractors demonstrate that their HSE-MS meets the HSE expectations set in IOGP 510.

Table 1 – Questionnaire for contractor HSE capability assessment

General guidelines for completion of questionnaire:

- This questionnaire covers the information required to assess the extent to which HSE and its management are organized by the contractor.
- When completing the questionnaire, the contractor should include all associated contractor activities and relevant support functions not only for a specific contract.
- Emphasis should be placed on the need for complete answers substantiated by supporting documentation as indicated in the questionnaire. Responses and any supporting documentation should relate specifically to the contractor's local organization (that is where the contract work will be conducted).
- The questionnaire should be validated by a responsible contractor line manager prior to submission.
- Where a question has been developed from the details within IOGP Reports 510 and 511, these are identified by "(E)" for an Expectation, "(P)" for a Process and/or Practice and "(M)" for a Measure, with the accompanying reference number also. For example "(E1.3)" indicates that a question was derived from OMS Expectation E1.3.

Client guidelines for the use of the questionnaire:

- The submissions may be assessed by a scoring mechanism in the evaluation process, such as that provided in HSE capability assessment: overview and scoring system.
- A follow-up discussion with the contractor's management may be needed.
- Contractors should receive feedback on the results of the client's evaluation.

Element 1: Commitment and accountability			
Questionnaire items			
1.1 Commitment and accountability to HSE aspects	a) 1) How are managers personally involved in HSE aspects? (E1.2) a) 2) What is the responsibility of managers in this respect? (P1) b) How do managers ensure commitment from the workforce to perform activities in accordance with company policies, standards and objectives, and in compliance with external requirements? (E1.3) c) How does the contractor ensure learning from internal and external sources and promote continuous risk reduction and performance improvement? (E1.8) d) Provide evidence of accountability and commitment at all levels of the organization. (E1.5) e) Is there a code of conduct in place to establish behavioural, ethical and compliance obligations for employees? If yes, please provide a copy. (E1.4) f) 1) What communication and engagement mechanisms are established? (E1.6) f) 2) How is responsibility assigned for prompt, appropriate and engaging communication to those involved in delivering HSE performance? (P1) g) 1) Provide evidence to show that the HSE-MS is in place across the organization, with priorities established, authorities and accountabilities assigned, and resources allocated. (E1.1) g) 2) Who in your organization is accountable for the oversight and co-ordination of activities within the scope of their part of the HSE-MS? Are they also accountable for monitoring effectiveness? (P1) Provide evidence of processes in place to manage documentation ensuring the latest versions are approved, identifiable and available, with defined retention, back-up and archival systems for management of information and related records. (E1.7)		
Unacceptable	**Poor**	**Acceptable**	**Excellent**
No evidence of personal commitment on the part of all the organization's managers and workers. None of the personnel who direct and control activities understand their accountability for HSE-MS policies, systems, decisions, and outcomes.	Some evidence of personal commitment on the part of all the organization's managers and workers. Some of the personnel who direct and control activities understand their accountability for HSE-MS policies, systems, decisions, and outcomes.	Evidence of personal commitment on the part of all the organization's managers and workers. Accountability based on well-defined authority levels, acceptance of decision making and a clear understanding of job responsibilities.	Evidence of mindfulness and a strong, proactive HSE culture in senior management and at all levels throughout the organization.

Element 2: HSE Policies, standards and objectives			
Questionnaire items			
2.1 HSE Policies and standards	a) Who is the most senior person in the organization responsible for authorization of PSOs appropriate to each activity? Provide name and title. (E2.2) b) 1) Does your company have HSE policies and standards in place which establish risk-based requirements, including the commitment to comply with applicable regulatory or other requirements? (E2.3) If the answer is yes, please attach copies. b) 2) How do you communicate your policies and standards to all of your employees? (E2.3) b) 3) What are your arrangements for advising employees of changes in the policies or standards? (E2.3) c) 1) How do you identify new industry standards or regulatory requirements that may be applicable to your activities? (E2.3) c) 2) Describe the process used for producing, updating and disseminating standards. (E2.3) c) 3) Are your company standards aligned with IOGP/industry guidelines or recommended practices? If yes, state which. (E2.3) c) 4) Describe process for review of applicable regulations and standards at the local, national, regional and international levels to ensure Policies and Standards are aligned and remain up-to-date. (P2) c) 5) Where do you define the company standards you require your contractors to meet? (P2) c) 6) How do you ensure these standards are met and verified? (P2)		
2.2 HSE Objectives	a) Does your company have HSE objectives which include measurable success criteria based on continuous improvement; maintaining standards; or compliance with policy, regulatory or other requirements? (E2.4) If the answer is yes, please attach a copy. b) Describe how you communicate your HSE objectives to all your employees. (E2.4) c) What initiatives or campaigns have been developed at an appropriate level of the company to meet short and long-term strategic objectives? (P2)		
2.3 Policies, Standards and Objectives (PSO)	a) How do you ensure that the PSOs defined address applicable aspects of your business activities throughout their life cycle? (E2.1) b) Are there different entities operating on the same facilities (including joint venture partnerships) and have PSO been harmonized to ensure a consistent message and application? If yes, please provide an outline of harmonization. (E2.5) c) Describe the process used to review PSOs, including how these are documented and approved by a competent authority. Please provide an example. (E2.6) d) How does your organization gather and consolidate feedback on PSO applicability and effectiveness and use this to identify shortfalls against expectations? (P2) e) Describe the process used to risk-assess and approve an exemption or deviation from an HSE MS requirement and how you ensure the approval is by an appropriate level of management. (P2)		
Unacceptable	**Poor**	**Acceptable**	**Excellent**
No written HSE policies, HSE performance standards or objectives endorsed by senior management.	Policy statements and basic HSE performance standards exist on paper but have not been well communicated to the organization, no HSE objectives defined.	Appropriate PSO are in place to define the expected outcomes of HSE-MS implementation. PSO providing commitments and boundaries and assisting the company to meet regulatory requirements and other voluntary commitments.	Appropriate PSO are in place to define the expected outcomes of HSE-MS implementation. PSO providing commitments and boundaries, assisting the company to meet or exceed regulatory requirements and other voluntary commitments and setting responsible expectations where regulatory requirements do not exist.

Element 3: Organization, resources and capability			
Questionnaire items			
3.1 Organizational Structure for HSE Management	a) How is your organization structured to effectively implement the HSE-MS and ensure compliance with legal and other requirements? Please provide an organization chart. (E3.1) b) When organizational change is necessary, what process is in place to assess, mitigate and review actual and potential risks, as well as impacts on operating activities and the HSE-MS itself? (P3) c) How do you ensure people in roles identified as HSE critical can be replaced e.g. due to retirement, transfer or leaving the role for other reasons? (P3) d) What mechanisms and programmes for joint participation and management consultation within the workforce do you have? (E3.5 & P3)		
Unacceptable	**Poor**	**Acceptable**	**Excellent**
The organization has no defined HSE responsibilities, accountabilities and authorities. There is no evidence of equipment, processes and skilled people in place.	Limited organization with defined HSE responsibilities, accountabilities and authorities. They have some equipment, processes and people in place, but limited specialist HSE resources.	The organization with defined HSE responsibilities, accountabilities and authorities is structured to deliver its planned objectives effectively and efficiently. They have the right equipment, processes and people in place, with the right skills at the right time.	"Acceptable" together with a process to ensure extension of HSE-MS consistency towards contractors, who are a key resource when deployed to increase the organization's capability.
3.2 Resources and capability	a) What recruitment, deployment, career development, retention and succession plans are in place? (E3.2) b) What HSE training programmes do you have in place for the following: (E3.2) b) 1) Managers and supervisors at all levels who will plan, monitor, oversee and carry out the work? b) 2) HSE specialist personnel within your organization? Please specify the resources available. (E3.2) b) 3) Other HSE personnel? b) 4) Employees to ensure they have adequate knowledge of basic industrial HSE? (E3.2) b) 5) Employees to ensure they have been instructed and have received information on any specific risk factors and risks arising out of the nature of their activities e.g. job and site orientations? (E3.2) c) Describe the process used to periodically review and update HSE training e.g. to meet HSE objectives and applicable legal or other HSE requirements. (E3.2) d) Where HSE training is given in-house, please describe the content and duration of courses. e) What tools to do you use to identify and access HSE specific resources, skills and knowledge? (P3)		
Unacceptable	**Poor**	**Acceptable**	**Excellent**
No formal HSE training programme. No specialized HSE training for managers, supervisors or specialists/ personnel.	Verbal instructions on company procedures only. Documents provided for new employees but no on-the-job orientation by supervisor. Some specialized HSE training for managers, supervisors or specialists/personnel.	Capability of managers and workforce is supported by appropriate levels of competence, skills, experience and behaviour to work effectively and meet HSE-MS Expectations.	"Acceptable" together with follow-up observation of employee's performance. Additional HSE training provided to address any gaps identified and changes in job responsibilities/ function.

Element 3: Organization, resources and capability			
Questionnaire items			
3.3 Competence assurance	a) Does your organization have a competence assurance process in place? If yes, please describe the scope and content of your competence assurance process. (E3.3) b) What clearly defined HSE competencies are required for the individual roles and jobs within teams? Please provide an example of training matrix. (P3) c) What measures are in place to review individual's or team's capability and address temporary any gaps? (P3)		
Unacceptable	**Poor**	**Acceptable**	**Excellent**
No evidence of competence assurance in place.	Some general competence profiles available, but not specifying the training needed or HSE qualifications for specific job requirements. Records exist but are not kept up to date.	A competence assurance process exists to screen, select, train and conduct ongoing assessment of the HSE qualifications, fitness-for-task, enabling behaviours, and supervisory needs and abilities of the workforce to meet specified job requirements. Records are retained and kept up-to-date to assure that training has been completed and competencies have been assessed as adequate.	"Acceptable" Column together with Critical roles in terms of operating risk may also be identified, documented, tracked and regularly reviewed. This ensures appropriate priority is given to assessment, training requirements, fitness-for-task, development plans, mentoring and performance review.
3.4 Allocation of internal and external resources	a) What system is in place to allocate appropriate and sufficient internal and external resources to meet HSE objectives? (E3.4) b) Does your company have a contractor management process or system? If yes, provide an outline of the process. (E3.4) c) 1) How do you asses the HSE capability and capacity internally, and if external resources are needed, of your suppliers and contractors? (E3.4) c) 2) What programmes have you put in place to enhance opportunities for local sourcing of people, goods and services? (P3) d) How do you ensure that plans are established amongst suppliers and contractors, for personnel identification in HSE critical roles and how they can be replaced if they retire, transfer or leave their role for other reasons? (P3) e) Do you provide HSE specific training, tools and initiatives to improve the risk awareness and performance of suppliers and contractors who provide goods and services? If yes, please provide an outline. (P3) f) What HSE training do you provide to managers and workers responsible for contracting activities and oversight of contractors? (P3) g) 1) How do you agree upon the interfaces and other bridging mechanisms for activities involving multiple parties using different management systems? (P3) 2) How do you identify alignment and relevant gaps (including roles, responsibilities and actions) in the different management systems of the participants? (P3)		
Unacceptable	**Poor**	**Acceptable**	**Excellent**
No written process for allocation of appropriate and sufficient internal and external resources.	Basic system in place for allocation of appropriate and sufficient internal and external resources. For management of suppliers and contractors, selection process limited in HSE criteria.	System in place for allocation of appropriate and sufficient internal and external resources. Contractors are selected with consideration of HSE abilities. Relationships are established and verification controls to maintain sufficient and effective supply of goods and services are in place.	"Acceptable" together with follow-up conducted on the HSE performance of their contractor. Contractor and their contractors working together for achievement of HSE objectives.

<table>
<tr><th colspan="4">Element 4: Stakeholders and customers</th></tr>
<tr><th colspan="4">Questionnaire items</th></tr>
<tr><td>4.1 Stakeholders and customers</td><td colspan="3">a1) How do you identify Stakeholders, including local communities? (E4.1)
a2) How are relationships established throughout the activities life cycle? (E4.1)
a3) Which significant stakeholder groups does your company have? (P4)
a4) What is your company's local community engagement plan and strategy? (P4)
b1) What processes does your company have to assess, manage and engage with customers and other stakeholders regarding life cycle risks and opportunities associated with the company's products, assets and activities? (E4.2)
b2) Describe how compliance with regulatory requirements is part of these processes. (E4.2)
c) What mechanisms are in place to document, evaluate and address stakeholder and customer expectations and feedback, including concerns and grievances? (E4.3)
d1) What kind of relationships has your company established with stakeholders and customers? (E4.4)
d2) Describe how communication and engagement is performed? (E4.4)</td></tr>
<tr><th>Unacceptable</th><th>Poor</th><th>Acceptable</th><th>Excellent</th></tr>
<tr><td>Open and sustainable relationships not established. Contractor not able to manage the risks and opportunities that have potential to affect its stakeholders and customers.</td><td>Open and sustainable relationships established. Contractor has identified relevant risks but these are not fully understood, addressed and managed.</td><td>Effective relationships with stakeholders and customers established. Relevant risks are identified and clearly communicated, addressed and managed. Contractor's products and services meet the expectations of its customers in terms of HSE performance and technical support.</td><td>"Acceptable" together with Contractor gaining short or long-term economic, social or environmental benefits from their relationship with stakeholders and costumers.</td></tr>
</table>

Element 5: Risk assessment and control			
Questionnaire items			
5.1 Risk assessment and control	a) 1) What processes and methods does your company have in place to manage risks to an acceptable level for the scope of your activities? (E5.1) a) 2) How does your company ensure no operation is performed without a specific risk assessment? (E5.1) a) 3) How does your company monitor that all control and mitigation measures are in place before performing any operation? (E5.1) b) 1) How are conflicting interests dealt with, within your risk management process? (P5) b) 2) Is there commitment to review and improve risk management and associated processes periodically, and in response to an event or change in circumstances? (P5) c) Provide evidence of documentation and communication of the risk management processes for significant risks, including risk acceptance approval at appropriate levels of the organization, scheduled reviews and updating of risk registers. (E5.2) d) How do you manage changes and assess associated risks, e.g. temporary/permanent changes that affect the organization, activities, assets, operations, products, plans or procedures? (E5.3) e) How are vulnerabilities and non-conformances recognized, including deviations from operating procedures or weak signals that provide indications of potentially increasing risk? (E5.4) f) How is learning from incidents, events, non-conformities and good practices from internal and external sources incorporated into risk assessments and their review? (M5) g) Has your company established risk control and regulatory compliance plans to manage 'normal' conditions, allowing the organization to manage HSE risks locally while maintaining full compliance with relevant requirements and legislation? If yes, please specify which areas of risk, context or requirements. (P7)		
Unacceptable	**Poor**	**Acceptable**	**Excellent**
Company HSE-MS does not include identification, assessment and treatment of HSE risk considering all potentially affected parties, including external stakeholders. A culture of risk awareness that supports decision-making at each level of the organization does not exist.	Company HSE-MS makes reference to the need to conduct HSE risk assessment but has no techniques to perform identification, assessment and treatment of risk considering all potentially affected parties, including external stakeholders. A culture of risk awareness that supports decision-making at each level of the organization is not established.	Company HSE-MS includes techniques for the assessment of task based and specific HSE subject risk identification, assessment and treatment of HSE risk considering all potentially affected parties, including external stakeholders. A culture of risk awareness that supports decision-making at each level of the organization is established.	"Acceptable" together with recognition of positive impacts and the optimization of benefits that the business activity may provide. These could include the development of people, local capacity building, environmental conservation opportunities and infrastructure.

Element 5: Risk assessment and control			
Questionnaire items			
5.2 Health risk factors and impact	a) What are the preferred methods for undertaking risk assessments to effectively identify, assess and treat risks related to ill health to an acceptable level? b) What is the organization's rationale for managing health risk and determining risk acceptability? c) Do you have specific objectives, policies and programmes on specific health risks? d) 1) Who is accountable and responsible for managing health risk? d) 2) Briefly describe the resources available to support those accountable and responsible for managing health issues? e) 1) What systems are in place to control health risk and monitor the effectiveness of these controls/barriers? e) 2) Is regular workplace exposure monitoring for individual workers part of these systems? e) 3) How does the contractor ensure that required restitution time is provided and that extensive use of overtime does not become a working environment burden for its employees? e) 4) How does the contractor evaluate the health risks presented by use, transport and disposal of chemicals?		
Unacceptable	**Poor**	**Acceptable**	**Excellent**
No specific health policies, objectives and risk and control programmes in place.	Basic Health risk and control programmes are in place but not for significant health risks, eg. occupational related illness,etc. No evidence of comprehensive health programmes	Comprehensive Health policies, objectives and programmes cover occupational and community health risks to personnel associated with the company's activities.	"Acceptable" together with recognition of positive impacts and the optimization of benefits that the business activity may provide. These could include infrastructure (e.g. water wells and clinics) and community health.
5.3 Safety risk factors and impact	a) What are the preferred methods for undertaking risk assessments to effectively identify, assess and treat risks related to personal and process safety incidents and damage to assets and/or company value to an acceptable level? (P5) b) What is the organization's rationale for managing safety risk and determining risk acceptability? (P5) c) Do you have specific objectives, policies and programmes on specific safety risks and ensuring compliance with applicable regulations? (P5) d) 1) Who is accountable and responsible for managing safety risk? (P5) d) 2) Briefly describe the resources available to support those accountable and responsible for managing personal and process safety issues (P5) e) 1) What systems are in place to control personal and process safety risks and monitor the effectiveness of these controls/barriers? (P5) 2) What systems does your organization have in place for the provision and upkeep of PPE, both standard issue and items required for specialized activities? (P5)		
Unacceptable	**Poor**	**Acceptable**	**Excellent**
No specific safety hazard management programmes in place.	Basic HSE programmes are in place, but not for significant risks, e.g. personnel injury, explosive atmospheres, etc. No evidence of comprehensive safety programmes.	Comprehensive HSE programmes cover safety risks related to injury, process safety incidents and damage to assets and/or company value.	"Acceptable" together with recognition of positive impacts and the optimization of benefits that the business activity may provide. These could include infrastructure (e.g. roads) and road safety.

Element 5: Risk assessment and control			
Questionnaire items			
5.4 Environmental risk factors and impact	a) What are the preferred methods for undertaking risk assessments to effectively identify, assess and treat risks related to local and global environmental impact to an acceptable level? (P5) b) What is the organization's rationale for managing environmental risk and determining risk acceptability? (P5) c) Do you have specific objectives, policies and programmes on specific environmental risks and ensuring compliance with applicable regulations? (P5) d) 1) Who is accountable and responsible for managing environmental risk? (P5) d) 2) Briefly describe the resources available to support those accountable and responsible for managing environmental issues? (P5) e) 1) What systems are in place to control environmental risk and monitor the effectiveness of these controls/barriers? (P5) e) 2) How do document and report the usage of chemicals, including new chemicals? (P5) e) 3) What process covers performance of chemical risk (and substitution) assessments, to implement necessary mitigating measures and to confirm relevant permit/license from public authorities? (P5) e) 4) What systems are established for identifying, classifying, managing and reducing waste?		
Unacceptable	**Poor**	**Acceptable**	**Excellent**
No specific environmental hazard management programmes in place.	Basic environmental programmes are in place but not for significant risks e.g. spills, air emissions, pollution prevention, chemical and/or waste management, etc. No evidence of comprehensive environmental programmes	Comprehensive environmental programmes cover environmental risks associated with the company's activities.	"Acceptable" together with recognition of positive impacts and the optimization of benefits that the business activity may provide. These could include the development of environmental conservation opportunities.
5.5 Security risk factors and impact	a) What are the preferred methods for undertaking risk assessments to effectively identify, assess and treat risks and threats related to security of people, assets, information and reputation to an acceptable level? b) What is the organization's rationale for managing security risk and determining risk acceptability? c) Do you have specific objectives, policies and programmes on specific security threats and ensuring compliance with applicable regulations and voluntary codes of practice? d) 1) Who is accountable and responsible for managing security risk? d) 2) Briefly describe the resources available to support those accountable and responsible for managing security issues? e) What systems are in place to control security risk and monitor the effectiveness of these controls/barriers?		
Unacceptable	**Poor**	**Acceptable**	**Excellent**
No specific security threat management programmes in place.	Basic security programmes are in place but not for significant security risks, e.g. hostage taking, terrorism, mass evacuation, etc. No evidence of comprehensive security programmes	Comprehensive security programmes cover security risks to personnel associated with the company's activities.	"Acceptable" together with recognition of positive impacts and the optimization of benefits that the business activity may provide. These could include the development of people, local capacity building. Commitment to the Voluntary Principles on Security and Human Rights, when applicable, conducting security activities

<table>
<tr><th colspan="4">Element 5: Risk assessment and control</th></tr>
<tr><th colspan="4">Questionnaire items</th></tr>
<tr><td>5.6 Social responsibility risk factors and impact</td><td colspan="3">a) What are the preferred methods for undertaking risk assessments to effectively identify, assess and treat risks related to social impact (social responsibility to employees, the local community and other stakeholders) to an acceptable level? (P5)
b) What is the organization's rationale for managing social risk and determining risk acceptability? (P5)
c) Do you have specific objectives, policies and programmes on specific social risks such as community relations; cultural heritage aspects and inter-cultural sensitivities; and the prevention of human rights violations? (P5)
d) Does your organization have workforce strategies and procedures in place to comply with internationally recognized labour standards covering any of the following areas: Minimum wages, Working hours, Disciplinary practices, Employment Practices, Working Conditions, Terms of employment for migrant workers, including Human trafficking? (P5)
e) 1) Who is accountable and responsible for managing social risk? (P5)
e) 2) Are there appropriate resources to support those accountable and responsible for managing social risk? (P5)
f) What systems are in place to control social responsibility risk and monitor the effectiveness of these controls/barriers? (P5)</td></tr>
<tr><th>Unacceptable</th><th>Poor</th><th>Acceptable</th><th>Excellent</th></tr>
<tr><td>No specific Social Responsibility management programme in place.</td><td>Basic social Responsibility programmes are in place but not for significant Social Responsibility Risk factors, e.g. social disturbances, labour action, community impact, etc. No evidence of comprehensive social responsibility programmes</td><td>Comprehensive Social Responsibility programmes cover Social Responsibility Risk factors associated with the company's activities.</td><td>"Acceptable" together with recognition of positive impacts and the optimization of benefits that the business activity may provide. These could include local capacity building, education and the development of local people and communities. Have additional initiatives to co-operate across the industry on development of Social responsibility programmes.
Note: Where applicable laws or requirements prohibit contractor from upholding Human Rights policy, Contractor seek ways to ensure respect for human rights to the greatest extent possible.</td></tr>
</table>

Element 6: Asset design and integrity			
Questionnaire items			
6.1 Asset design and integrity	a) How is base line information and the results of risk assessments used as input to asset design, selection and integrity decisions (E6.1) b) Which criteria, specifications and standards are defined to address risks and verify conformity throughout the life cycle of facilities, equipment and materials? (E6.2) c1) Which procedures does your company have to ensure facilities and/or equipment are operated within defined design and operating limits at all times? (E6.3) c2) How are these procedures communicated to personnel that operate, maintain, inspect and manage the facilities and/or equipment? (E6.3) d) Which processes are in place to identify and manage HSE critical risk controls/ barriers to prevent a major incident? (E6.4) e1) Briefly describe the processes in place to maintain, replace, test, inspect, calibrate, certify and verify performance of facilities and equipment? (E6.5) e2) How are frequencies for these type of activities determined? (E6.5) e3) How does your company manage deviations from specified criteria? (E6.5) f) Has your company established an accessible register of HSE critical facilities or equipment and their minimum performance criteria? If yes, please provide a sample. (P6)		
Unacceptable	**Poor**	**Acceptable**	**Excellent**
Asset design and integrity (including process safety) does not address significant risks of technical failure and/or the operation of facilities and equipment within defined design and operating limits. No elimination or risk control measures in place.	Asset design and integrity (including process safety) does not address all of the significant risks of technical failure and/or the operation of facilities and equipment within defined design and operating limits. Some elimination or risk control measures in place.	Facilities and equipment are designed and constructed (or selected) to be suitable for their purpose/task. They are operated, inspected and maintained to achieve and sustain robust standards of integrity and performance throughout their life cycle.	"Acceptable" together with facilities and equipment exceeding applicable standards and/ or that a robust process is established to ensure facilities, equipment, materials and operational procedures are kept up to date with current standards/ requirements.

Element 7: Plans and procedures			
Questionnaire items			
7.1 HSE plans and procedures	a) Which plans and procedures are established, documented and maintained in accordance with identified HSE legal and other requirements in line with the HSE risk level defined by the organization and the required risk controls? Please provide a list/copy. (E7.1) b) What process is established to revise and approve plans and procedures at an appropriate level of authority? (E7.2) c) What guidance and training does your company provide to enable effective implementation of plans and procedures as appropriate? (E7.3) How does your company ensure that the latest version of an approved plan or procedure is available at point of use? (E7.4)		
Unacceptable	**Poor**	**Acceptable**	**Excellent**
No written HSE plans and procedures as necessary to manage HSE risks.	Basic HSE procedures exist. No details of how things are to be done to ensure accuracy and consistency of approach when applying HSE risk controls. They include some operating/maintenance procedures, action plans, work instructions or other job aids.	Contractor has written HSE plans and procedures as necessary to manage HSE risks. Plans and procedures comprise clearly defined requirements and integrate the results of the risk assessments to prepare for executing work and implementing risk controls/barriers.	"Acceptable" together with plans and procedures as necessary to ensure opportunities. Plans are also developed to optimize HSE performance and drive continuous improvement.
7.2 Contingency, emergency, crisis and continuity management	a) 1) What arrangements does your company have for: • Contingency • emergency • crisis • continuity management planning? (E7.5) a) 2) Provide some examples of situations which are included for each of the above? (E7.5) b) How does your company ensure that required resources are in place with regular tests and drills, including incorporation of lessons learned? (E7.5)		
Unacceptable	**Poor**	**Acceptable**	**Excellent**
No evidence of attention paid to contingency, emergency, crisis and continuity management.	Basic emergencies covered by plans, e.g. fire, medical, spill, evacuation. No or irregular drills conducted. Limited attention to contingency, crisis and continuity management	Company has a comprehensive contingency, emergency, crisis and continuity planning processes covering all reasonably foreseeable situations. Required resources available and regular tests and drills are conducted.	"Acceptable" together with systematic incorporation of lessons learned.

Element 8: Execution of activities			
Questionnaire items			
8.1 Execution and control of activities	a) 1) What processes does your company use to prepare for activities and ensure operational readiness and integrity of systems before commencing work? (E8.1) a) 2) How does your company confirm that interfaces/handovers are established? (E8.1) b) How does your company assure consistent application of processes to ensure activities and tasks are executed in accordance with plans? (E8.1) c) What kind of supervision activities exist to confirm each activity and/or task is executed in compliance with the plans and procedures and delivers the expected outcome? (E8.3) d) Describe your company culture related to "Stop and Intervene? (E8.4) e) How does your company manage inadequate performance or unacceptable behaviour? (E8.4)		
Unacceptable	**Poor**	**Acceptable**	**Excellent**
No consistent implementation of the plans and procedures, and no intervention when a risk control/barrier proves ineffective or stated requirements are not being met. Inadequate resources allocated or not appropriately prepared for the task. No culture of discipline.	Some plans and procedures implemented. Limited intervention when a risk control/barrier proves ineffective or stated requirements are not being met. Some resources allocated and/or necessary resources not appropriately prepared for the task. Culture of discipline exits.	Company ensures that activities and associated risk controls are consistently executed with discipline by authorized and competent persons, as defined in the plans and procedures. Each step of the execution of activities leads to the desired result and intervention happens in a timely manner when required.	"Acceptable" together with consistently achieves and/or exceeds specified requirements. Contractor actively seeks and share experience and knowledge across the industry.

Element 9: Monitoring, reporting and learning			
Questionnaire items			
9.1 Monitoring and learning	a) What arrangements does your organization have to ensure the implementation of and compliance with the HSE-MS (E9.1) b) What arrangements does your organization have to ensure the achievement of its HSE objectives? (E9.1) c) Please describe which processes your company has for (E9.3): c) 1) learning from incidents, events and non-conformities from both internal and external sources c) 2) benefitting from learning opportunities and good practices within the organization, your industry, and from other public sources c) 3) implementation of appropriate remedial actions (with application of Management of Change processes as appropriate) to address event/incident causes, strengthen risk controls/barriers and prevent recurrence c) 4) verification of closure of actions or plans d) How does your company communicate the learning from monitoring and reporting processes? (P9)		
Unacceptable	**Poor**	**Acceptable**	**Excellent**
No system for formally monitoring HSE performance, risk controls/ barriers function and that operations are delivering planned performance. No system established for information for sharing and learning.	Performance monitoring limited to incident statistics, i.e. reactive only. Monitoring of risk controls/barriers function and that operations are delivering planned performance not in place. Limited availability of information for sharing and learning.	Company has a system for monitoring effectiveness of the HSE-MS and act on reliable and accurate data. They actively seek positive learning from activities, feedback, innovation and experience. They ensure immediate learnings and corrective actions are applied and communicated.	"Acceptable" together with monitoring of performance in all specified subjects with formal review, follow up and communication for continuous improvement.

Element 9: Monitoring, reporting and learning			
Questionnaire items			
9.2 Incidents, events and non-conformities	a) How does your company report, record, classify and investigate Incidents, events and non-conformities (with actual and/or potential consequences) to determine direct and underlying causes? (E9.2) b) Does your company have established some sort of voluntary public reporting? If yes, please specify. (P9) c) Please provide the following Company work-related activities statistics for each year for the last five years, including work performed by Contractor personnel: a. Number of fatalities b. Number of lost time injuries c. Number of Lost Workday Cases d. Number of Medical Treatment Cases e. Number of First Aid Cases f. Number of Near Miss Incidents g. Fatal Accident Rate (per 100 million hours worked) h. Lost Time Injury Frequency (per million hours worked) i. Total Recordable Incident Rate (per million hours worked). d) Please provide company work-related Environmental performance statistics (as relevant to your operations) for each year of the last five years for: a. Gaseous emissions b. Energy Consumption c. Flaring d. Aqueous discharges e. Non-aqueous drilling fluids retained on cuttings discharged to sea f. Spills of oil and chemicals. e) Please provide Tier 1 and Tier 2 Process Safety Event statistics (as relevant to your operations) for each year of the last five year. *NOTE 1: If not using the IOGP definitions (refer to the most recent IOGP safety data reporting user guide), please include your company definitions.* *NOTE 2: In case of Tier 1 PSEs, fatalities and high potential near miss, please provide a brief description of incidents and follow-up of these.*		
Unacceptable	**Poor**	**Acceptable**	**Excellent**
No system for reporting, recording and classification of HSE Incidents, events and non-conformities. Company supplied insufficient information to establish trends.	Limited reporting, recording and classification of HSE Incidents, events and non-conformities. Data set is not complete. Trends show performance is not improving.	System in place for reporting, recording and classification of HSE incidents, events and non-conformities. Events/ incident trends steadily improving and evidence of mature reporting culture.	"Acceptable" together with Voluntary public reporting. Company transparently engages stakeholders on its operating management approach, progress and performance. Complete information to analyse performance is delivered

Element 9: Monitoring, reporting and learning			
Questionnaire items			
9.3 HSE performance	a) 1) Which processes does your company use to define and establish leading and lagging key HSE performance indicators (KPIs) using measures designed to improve performance and behaviours? (E9.4) a) 2) How often does your company review HSE KPIs to ensure they provide meaningful information? b) How does your company ensure quality in terms of consistency, accuracy and completeness of monitored and reported data (KPIs)? (E9.5)		
Unacceptable	**Poor**	**Acceptable**	**Excellent**
No system for HSE performance monitoring and/or analysis of the data reported to produce useful indicators is established.	Limited HSE performance monitoring is carried out. Limited analysis of the data reported to produce useful indicators.	System in place to report data and information (e.g. leading and lagging indicators) that provide a clear understanding of HSE performance to meet both company and stakeholder needs.	"Acceptable" together with cultural reporting and surveys to ensure understanding of organizational HSE culture. Leading indicators are fostered in the company.
9.4 HSE events and incidents investigation and follow-up	a) Briefly describe types of HSE events and incidents which are investigated? (P9) b) Briefly describe the processes used for the investigation of HSE events and incidents? (P9) c) Briefly describe the processes used for the follow up of HSE events and incident investigations, including the communication of lessons learned and required actions? d) Briefly describe the processes used for the analysis of HSE events and incident investigation findings?		
Unacceptable	**Poor**	**Acceptable**	**Excellent**
No system for formally investigating HSE events/ incidents and/or analysis of data and information.	System in place for investigation of some HSE incidents. Limited event (near miss) investigation. Limited analysis of data and information to identify causes and suitable actions to address weaknesses and opportunities for improvement.	System in place to investigate events/incidents and analyse data and information to identify causes and suitable actions to address weaknesses and opportunities for improvement.	"Acceptable" together with follow up of remedial actions and communication of incident learning for effective prevention. Near miss incidents investigated in the same manner as other incidents.
9.5 Statutory notifiable incidents or non-compliance notices	a) 1) How does your company ensure compliance with any statutory requirements for reporting and investigation in the jurisdictions you operate within.? (P9) 2) Has your company suffered any statutory notifiable events/incidents in the last five years (safety, security, occupational health, environmental or social performance)? Answers with details including dates, country and location, summary of event/incident and follow-up of remedial actions taken. (P9)		
Unacceptable	**Poor**	**Acceptable**	**Excellent**
No system in place for compliance with statutory requirements for reporting and investigation.	Limited compliance with statutory requirements for reporting and investigation.	System in place for compliance with statutory requirements for reporting and investigation.	"Acceptable" together with active experience transfer within industry.

<table>
<tr><th colspan="4">Element 10: Assurance, review and improvement</th></tr>
<tr><th colspan="4">Questionnaire items</th></tr>
<tr><td>10.1 Assurance process, including audits</td><td colspan="3">a) 1) Briefly describe your company’s assurance process to evaluate conformity with expectations; organizational capability; effectiveness of the HSE-MS in meeting objectives, stakeholder and business needs; and also identify areas for improvement? (E10.1)
a) 2) Do you have a written procedure for HSE auditing? If yes, please attach a copy. (E10.1)
b) Who is involved in conducting HSE audits? How is the audit team selected to provide specific expertise and independence from the activities being audited? What qualifications are required for auditors?
c) How are HSE audits scheduled and what scope of auditing is covered? e.g. internal, regulatory compliance, supplier/contractor, HSE management system implementation. (P10)
d) 1. How does your company monitor trends? (M10)
2. What does trend monitoring include? (M10)
e) How does your company track that audits are executed as per plan, with timely implementation of action items? (M10)</td></tr>
<tr><th>Unacceptable</th><th>Poor</th><th>Acceptable</th><th>Excellent</th></tr>
<tr><td>No systematic assessment of the HSE-MS to ensure effectiveness, suitability and fitness-for-purpose is sustained and improvement plans are developed at each level of the organization.</td><td>Some assurance mechanisms established to assess that the HSE-MS expectations and related processes are properly understood, implemented and executed.</td><td>Company systematically assess the HSE-MS to ensure effectiveness, suitability and fitness-for-purpose is sustained and improvement plans are developed at each level of the organization.</td><td>“Acceptable” together with a learning culture from assurance processes and performed audits.</td></tr>
<tr><td>10.2 Management review and follow-up</td><td colspan="3">a) Briefly describe your HSE MS management review process. (E10.2)
b) What is assessed in management review meetings to ensure understanding of risk control/barrier weaknesses and identify opportunities for improvement? (E10.3)
c) How are improvements planned, communicated and embedded within the HSE-MS to drive continuous improvement? (E10.4)
d) Provide evidence of managers formally reviewing the effectiveness and fitness-for-purpose of the HSE-MS. (E10.5)
e) Please provide a copy of minutes from management review meeting. (M10)</td></tr>
<tr><th>Unacceptable</th><th>Poor</th><th>Acceptable</th><th>Excellent</th></tr>
<tr><td>No systematic review of the HSE-MS to ensure effectiveness, suitability and fitness-for-purpose is sustained and improvement plans are developed at each level of the organization.</td><td>Limited review of the effectiveness and adequacy of the HSE-MS in controlling significant risks associated with current and future activities. Limited improvement in the HSE-MS from assurance findings, reviews, investigations of events/incidents and weak signals from any level of the organization.</td><td>Those with accountability for the HSE-MS seek assurance on its implementation to deliver desired performance. They assess the strengths and weaknesses of the system via regular review to determine actions for continuous improvement.</td><td>“Acceptable” together with a process in place to follow-up on action items to ensure effective completion.</td></tr>
</table>

<table>
<tr><th colspan="4">Section A: HSE management - additional features</th></tr>
<tr><th colspan="4">Questionnaire items</th></tr>
<tr><td>(i) Certification of HSE-MS</td><td colspan="3">Please provide information on third party verification or any certification which you have received from certification bodies.</td></tr>
<tr><th>Unacceptable</th><th>Poor</th><th>Acceptable</th><th>Excellent</th></tr>
<tr><td>No evidence of Management system developed to a level comparable to international standards</td><td>Some evidence of working towards compliance with recognized international standards, e.g. ISO 9001, ISO 14001, OHSAS 18001 (or ISO 45001), ISO 29001, API Q1</td><td>Management system developed to a level comparable to international standards but not certified.</td><td>Externally certified to one or more recognized international standards e.g. ISO 9001, ISO 14001, OHSAS 18001 (or ISO 45001), ISO 29001, API Q1</td></tr>
<tr><td>(ii) Memberships of Associations</td><td colspan="3">Describe the nature and extent of your company's participation in relevant HSE industry, trade, and governmental organizations.</td></tr>
<tr><td>(iii) Additional Features of HSE-MS</td><td colspan="3">Does your organization (globally, regionally or locally) have any HSE features or arrangements not described elsewhere in your response to the questionnaire?</td></tr>
<tr><th>Unacceptable</th><th>Poor</th><th>Acceptable</th><th>Excellent</th></tr>
<tr><td>No involvement with HSE through industry or trade associations. No additional features to HSE-MS.</td><td>Company has membership of industry bodies/ association little involvement with HSE initiatives. Some additional HSE-MS features with value.</td><td>Company is an active member of industry bodies/ associations related to HSE. Several HSE-MS features which add value.</td><td>"Acceptable" together with industry or client recognition/awards for HSE initiatives and/or performance.</td></tr>
</table>

Table 2 – Auditor guidance checklist

The checklist is provided to give auditors some guidance on desired outcomes, or objective evidence that should be seen from audits on various topics. It is by no means complete and is provided as guidance for use by an auditor if desired. The text used is based on IOGP 510, *Operating Management System Framework* and therefore refers to, for example, "OMS". However, this guidance focuses on HSE.

Element 1: Commitment and accountability				
1.1 Commitment and accountability to HSE aspects				
Measure, Process or Expectation	**Examples of objective evidence**	**Auditor's questions based on contractor self-assessment**	**Contractor audit clarifications**	**Auditor's evaluation comments**
M1	• Management participation in OMS plans and assessments of OMS effectiveness to meet performance objectives • Active management participation in the OMS processes, including worksite visits, participation in audits, incident investigations and management reviews • Actions to address gaps in organizational leadership or accountability identified through audit findings and incident investigation • Assessment of managers regarding their effectiveness in leading and supporting the OMS, and in empowering others to lead OMS efforts • Undertaking and responding to surveys that assess employee attitudes and organizational culture.			
E1.2	Examples of good practices include: • sharing strategies and clear objectives that drive the organization to achieve high levels of performance • reinforcing the importance of a strong culture, recognizing teamwork and valuing individual behaviours • embracing all outcomes—good or bad—as opportunities to learn and improve • developing 'constant vigilance' to be acutely aware of things that could go wrong and facing up to these risks • clearly communicating that procedural short cuts or rule-bending are not tolerated.			

Element 1: Commitment and accountability				
P1	For example, managers should: • be very clear about delegation, accountability and authority, so decisions are made responsibly and with ownership • ensure the workforce are competent, with the ability, knowledge and experience to act promptly and correctly when needed • ensure potential sources of risk are identified and eliminated or avoided where possible, or otherwise mitigated to reduce risk to acceptable levels • communicate the most significant risks and how these are addressed through OMS controls • welcome, encourage and respond positively to feedback from their teams, other members of the workforce and external stakeholders • invest in the capabilities of their workforce and provide resources to improve risk management • personally monitor and review performance, and transparently communicate status and progress • visibly demonstrate commitment through personal engagement within the workforce and recognition of positive behaviours • ensure the availability of appropriate and sufficient technical expertise and resources.			
E1.5	Leaders demonstrate ownership through direct involvement in, and application of, system processes, and by constantly mandating the workforce's adherence to the OMS			
P1	All parts of the system (whether at corporate, business, asset or project level) have appointed owners to ensure their part of the system is reviewed and continuously improved, including updates to reflect learning from incidents and audits			

Element 2: HSE Policies, standards and objectives				
2.1 HSE Policies and standards				
Measure, Process or Expectation	**Examples of objective evidence**	**Auditor's questions**	**Contractor self-evaluation comments**	**Auditor's evaluation comments**
M2	• PSO are appropriate, up-to-date and easily accessible to users • They are communicated and understood throughout the organization • Confirmation that PSO have been reviewed on schedule by a competent authority, subject to management of change (MoC), with changes documented and approved • Documentation to clearly demonstrate that approved deviations and exemptions from PSO are regularly risk-assessed and reviewed • Documentation and regular review of a compliance register (or equivalent) of applicable regulatory and other requirements.			
2.3 PSO				
E2.1 E2.5 E2.6	The corporate OMS and supporting processes and practices are documented and up-to-date, openly communicated and accessible			

Element 3: Organization, resources and capability				
3.1 Organizational Structure for HSE Management				
Measure, Process or Expectation	**Examples of objective evidence**	**Auditor's questions**	**Contractor self-evaluation comments**	**Auditor's evaluation comments**
M3	• Organizational effectiveness survey results are reviewed and acted on • Confirm roles and responsibilities are defined and performance management is in place			
P3	They can cover a range of topics, such as: • representation on development of policies, standards and objectives • understanding and responding to change (proposed or confirmed) • aligning and embedding OMS Fundamentals • reviewing company, business, asset or project performance, including unplanned events or incidents and continuous improvement • identifying new impacts, threats, effects or hazards, followed by risk assessment and control • contributing to initiatives that support and provide benefit to others —inside the company or externally—such as local communities • involving and supporting contractors who are part of the workforce, as well as suppliers of goods and/or services, again both inside the company or external.			
3.2 Resources and capability				
M3	Monitoring of personnel retention/turnover, time-to-fill tracking and succession management			
3.3 Competence assurance				
M3	• Completion of planned competency evaluation and review for individuals • Competency and training of the workforce is up-to-date and gaps identified and actioned • Training programmes are completed and evaluated for effectiveness			
3.4 Allocation of internal and external resources				
M3	• Organizational capability is regularly assessed and reviewed, and gaps addressed • Evaluate supplier and contractor performance as input to continuous improvement • Track outcomes of monitoring processes for products or services from suppliers to the company.			

Element 4: Stakeholders and customers

4.1 Stakeholders and customers

Measure, Process or Expectation	Examples of objective evidence	Auditor's questions	Contractor self-evaluation comments	Auditor's evaluation comments
P4	An engagement plan should typically include early establishment of communication forums and other mechanisms that can support: • inclusion of diverse and vulnerable groups and sub-groups in the community • early communication and response to assessment and mitigation of potential risks, impacts or threats related to safety, environmental, health, social or security issues • confirmation of compliance with stakeholder requirements where appropriate • documentation of commitments and agreed actions, including partnerships, local content and other sustainable development and community relations initiatives • awareness of emergency and preparedness planning so if there is an incident, all necessary actions protect company people and assets, the community and the environment • monitoring and follow-up throughout the life cycle of business activities • accessible mechanisms to register complaints and resolve conflicts or grievances.			
M4	• Assess results of satisfaction surveys and related processes that actively seek and respond to feedback from customers, communities and other stakeholders • Monitor number of stakeholder grievances received and closure of actions to address concerns (e.g. concerns of local communities).			

Element 5: Risk assessment and control				
5.1 Risk assessment and control				
Measure, Process or Expectation	**Examples of objective evidence**	**Auditor's questions**	**Contractor self-evaluation comments**	**Auditor's evaluation comments**
E5.1	Processes and methods to manage risks to an acceptable level are in place to: • establish operational, environmental and societal context; develop baseline information; and engage stakeholders before, and as input to, risk assessments • identify and document hazards, effects, impacts, threats and other vulnerabilities, and to assess the associated risks to determine significant risks • implement effective controls/barriers to eliminate or reduce risks • establish effective controls/barriers to prevent escalation, mitigate consequences and facilitate recovery.			
P5	The risk management process will typically address: • the organization's rationale for managing risk and determining risk acceptability • its preferred methods for undertaking risk assessments • links between the organization's objectives and policies, and the risk management process • accountabilities and responsibilities for managing risk • the way conflicting interests are dealt with • committing appropriate resources to support those accountable and responsible for managing risk • the way risk management performance will be measured and reported • the commitment to review and improve risk management • associated processes periodically, and in response to an event or change in circumstances.			

Element 5: Risk assessment and control				
P7	Regulatory compliance plans might need to be developed, for instance, to respond to specific areas of risk, specific contexts or specific requirements such as local regulations. These plans might typically include responses to issues including health, safety and environment (HSE), community engagement, environmental discharge, biodiversity and waste management. These plans should be fit for purpose for the business need, the organizational complexity/autonomy, and the specific context and regulatory framework in which the operations are located. For example, a community engagement plan in a mature and politically stable country will be very different to one in a remote, less developed and politically unstable location. Having a suite of plans in the OMS allows the organization to manage risks locally while maintaining full compliance with relevant requirements and legislation.			
5.2 Health risk factors and impact				
	Documentation of performed risk assessment covering this area and any findings registered in risk register accordingly, including control measures/actions with responsibilities and deadlines defined			
5.3 Safety risk factors and impact				
	Documentation of performed risk assessment covering this area and any findings registered in risk register accordingly, including control measures/actions with responsibilities and deadlines defined			
5.4 Environmental risk factors and impact				
	Documentation of performed risk assessment covering this area and any findings registered in risk register accordingly, including control measures/actions with responsibilities and deadlines defined			
5.5 Security risk factors and impact				
	Documentation of performed risk assessment covering this area and any findings registered in risk register accordingly, including control measures/actions with responsibilities and deadlines defined			

Element 5: Risk assessment and control				
5.6 Social responsibility risk factors and impact				
P5	• Freedom from discrimination in employment the recruitment and development of personnel based on merit and equal opportunity regardless of race, colour, religion, gender, age, national origin, sexual orientation, marital status or disability • Grievance mechanism for workers and a disciplinary process • the prevention of the use of all forms of forced or compulsory labour • the prevention of the use of all forms of child labour • the maintenance of freedom of association and the right to collective bargaining • working conditions • the prevention of human rights violation by security forces (e.g. attacking, harassing, shooting) towards local population if applicable.			

Element 6: Asset design and integrity				
6.1 Asset design and integrity				
Measure, Process or Expectation	**Examples of objective evidence**	**Auditor's questions**	**Contractor self-evaluation comments**	**Auditor's evaluation comments**
M6	• Check designs are well-documented and validated with HSE critical operating limits clearly identified, and that technical review actions are closed with deviations documented • Verify inspection and maintenance work has been executed according to plans and schedules • Ensure certifications and calibrations are kept up-to-date • Monitor, record and analyse overdue inspection and maintenance, and unscheduled downtime • Monitor, record and analyse excursions from operating envelopes • Monitor status of critical risk controls/ barriers that prevent major incidents • Ensure recalls, service bulletins and modifications are addressed.			

Element 7: Plans and procedures				
7.1 HSE plans and procedures				
Measure, Process or Expectation	**Examples of objective evidence**	**Auditor's questions**	**Contractor self-evaluation comments**	**Auditor's evaluation comments**
E7.1	An OMS manual or handbook is in place and up-to-date with version control, and that it is readily accessible at point of use, with supporting processes and practices, and local plans and procedures			
P7	An HSE plan should demonstrates how: • the project or activity has effective management for the complexity of specific work and each phase of execution • risks have been identified, assessed and controlled, and that, where required, recovery measures are in place • responsibilities for undertaking and maintaining all control and recovery measures are assigned to specific people throughout the work.			
M7	• Confirm completion of quality reviews and timely delivery for plans that address significant risks • Regularly benchmark procedures against industry good practices for potential improvement.			
7.2 Contingency, emergency, crisis and continuity management				
P7	Emergency preparedness and response plans (ERP) should incorporate procedures for: • personnel refuge, evacuation, rescue and medical treatment • prevention, mitigation and monitoring of environmental effects of emergency response • communication with authorities, relatives and other relevant parties • mobilization of company equipment, facilities and personnel, as well as third party resources • including oil spill response and evacuation from country/region			

Element 7: Plans and procedures				
P7	Business continuity plan (BCP): The plan should describe how physical and human resources will be deployed during and following a threat such as a security incident, information technology failure or disease epidemic. It should aim to provide effective prevention, necessary redundancy, and recovery for the organization, while maintaining system integrity and value chain commercial activities.			
P7	Corporate crisis management plan (CMP): A crisis is any incident that can focus negative attention on a company and which can have an adverse effect on its employees, the company's overall financial condition, or its reputation and relationship with its stakeholders. A corporate crisis management plan is a systematic, organized response.			
M7	Monitor activities (exercises, drills, response times) related to emergency response, crisis planning and business continuity			

Element 8: Execution of activities

8.1 Execution and control of activities

Measure, Process or Expectation	Examples of objective evidence	Auditor's questions	Contractor self-evaluation comments	Auditor's evaluation comments
P8	Observational tools: These techniques can vary considerably based on the culture of the organization. While observations are primarily focused on identifying areas for improvement, the tools may also reinforce positive actions and consolidate information for analysis and organization-wide learning.			
P8	Pre-start up reviews: Reviews should confirm: • that changed construction, equipment and instrumentation are installed and commissioned in accordance with specification • that safety, operating, maintenance and emergency procedures are in place and adequate • performance of process hazard analysis for new facilities; recommendations have been resolved or implemented before start-up; and modified facilities meet MoC requirements • training of all affected personnel in the new or modified operation.			
P8	Operational readiness review: When developing, evaluating or improving any system addressing readiness, consider: • maintaining a dependable practice. This could mean a written programme documenting intentions, roles and responsibilities; where and when readiness activities should be carried out; technical issues that should be addressed; and the necessary technical expertise of personnel • conducting appropriate readiness reviews as needed. Ensure a review is thorough and is flexible enough to be appropriate for simple and complex restart situations. Consider the use of appropriate tools. Document the review results • making start-up decisions based on readiness results. The results should drive action—either that the start-up can go ahead or that conditions have to be met beforehand. And communicate the results to affected personnel • following through on decisions, actions and the use of readiness results. Where conditions have to be met before start-up, track their completion and modify records as appropriate.			

Element 8: Execution of activities				
P8	Permit to Work: Permits are issued, analysed, checked and closed out when completed by a competent manager or worker not involved in undertaking the work. They are usually required when a contractor's work interfaces with normal operating activities, when the work must be isolated from hazards, or when work takes place in a potentially hazardous location, such as in a confined space or at height. The process also needs to take account of 'simultaneous operations', i.e. other permitted or normal operating activities taking place in proximity to the work. An asset will normally have a single permit to work system applicable to all its activities.			
P8	Fitness to Work: Fitness to work also associated with Element 3, is a systematic, structured process for identifying, assessing and managing risks associated with tasks that place specific physical or psychological demands on employees. It offers processes and tools that help to reduce the risk of injury or harm to employees, the company and third parties.			
P8	Fatigue management: Fatigue management should take into account the influence of circumstances outside of work on the overall risk and successful measures depend on individual behaviour. Data and information relating to fatigue management (both 'leading' and 'lagging' indicators) can include work hours or incident investigation outcomes involving human factors. Actions to address fatigue can include job design, shift rotation and ergonomics.			
M8	• Undertake pre-job briefing or tool-box talks to verify job controls are defined (i.e. the right procedures and method statements) • Test task understanding through observations and other techniques in the workplace			
M8	Monitor conformance with work controls (e.g. job planning, permit to work, work authorization)			

Element 8: Execution of activities				
P8	Stop Work Authority (SWA): Under stop work authority, every worker is empowered to watch for potentially unsafe situations or processes and is empowered to stop a job until the problem is corrected. Establish a process whereby it is clearly everyone's duty to stop work in the event of an unsafe condition or act that could affect personnel and/or the environment. Discuss the use of the SWA in pre-job planning and job safety analyses. Include specific steps to take if unsafe conditions or acts are observed, including who is notified, a corrective action process, review or revision of job safety analysis (JSA) as necessary, and communication of corrective measures and required approvals before restarting work. A successful SWA programme means training and retraining personnel on the process, and driving home the message that the company will support those who stop the job. SWA only works if people know they have a responsibility and mandate to ensure safety			
M8	• Monitor frequency and results of regular observations of work tasks • Monitor timely closure of follow-up actions identified through work control monitoring or task observations • Record enforcement actions from authorities			

Element 9: Monitoring, reporting and learning				
9.1 Monitoring and learning				
Measure, Process or Expectation	**Examples of objective evidence**	**Auditor's questions**	**Contractor self-evaluation comments**	**Auditor's evaluation comments**
E9.1	OMS processes are effectively implemented, consistently complied with and controlling assessed risks			
M9	Monitor the timeliness of corrective and preventative action implementation			
P9	Commonly used communication and sharing mechanisms include: • Alerts or bulletins – briefly summarizing lessons from events or assessments that can be widely disseminated through the workforce • 'Tool-box talks' – onsite workgroup discussions to apply learnings in preparation for an upcoming task • Communication packs – prepared presentations and supporting information to equip a manager, supervisor, or team leader to reinforce applicable lessons more thoroughly than they could in a standalone bulletin • OMS feedback – communicating learnings to applicable OMS owners and administrators so they can be incorporated in the system as part of continuous improvement • Training – updating course content and competency profiles to reflect learnings.			
9.2 Incidents, events and non-conformities				
P9	Company-wide reporting system: Reporting system data should be collected and classified against clear definitions, using accepted industry guidelines where possible to facilitate benchmarking and public reporting. Annually, companies should critically assess the reporting system – its practicality, indicators, definitions, severity levels, accuracy, frequency, analysis, results and risk basis. All stakeholders should be fully involved in decisions to change the system because there can be multiple uses of established data and learnings.			

Element 9: Monitoring, reporting and learning				
P9	Reporting boundaries: Boundaries should ensure completeness when aggregating indicator data related to activities and risks managed within the scope of the OMS. They separately identify data outside the boundary. Depending on the focus of each indicator, boundaries can vary, e.g. safety of the workforce versus social responsibility for local communities. Consistency of boundaries between organizations can help support comparison, e.g. for industry benchmarks or external reporting.			
P9	Voluntary public reporting: Public reporting can be integrated with processes such as stakeholder mapping (see Element 4) to target.			
9.3 HSE performance				
P9	Company-wide reporting system: It is also important to ensure that low-risk events that occur more frequently do not dominate reporting at the expense of a focus on high-risk events. The former can be given prominence via indicators related to such events, especially leading indicators.			
P9	Culture surveys: Plans can be developed based on survey results to address weaknesses in, for example, leadership, commitment, communication, recognition, competency and compliance with procedures.			
P9	Action tracking: Verifying that actions have been completed is an indicator of the health of the reporting and feedback process. Typically, a company's reporting system includes functionality to track and log the progress of implementing identified actions to prevent recurrence of events or to correct conditions. A good practice is to establish a KPI to ensure actions are completed in a timely manner.			
M9	• Lagging indicators to record events, consequences and other outcomes to assess retrospective performance • Sufficient leading input-based indicators to monitor the application of OMS processes and risk controls • Indicators are reviewed to ensure alignment and fitness-for-purpose in relation to risk controls and barriers to prevent major incidents • Indicators that support a state of 'mindfulness' and continuous awareness of performance			

Element 9: Monitoring, reporting and learning				
P9	Data recording tools: Data should be recorded for consistency and comparability using accessible input tools and be organized for ease of retrieval, reporting, analysis or audit. The tools should provide clarity on data ownership and support the accountable manager in confirming data completeness and consistency.			
P9	Data analysis: Primary causes – such as procedural defects or errors – can be better understood and addressed when there is also a deeper understanding of enabling factors such as culture, leadership and capability. Performance should be understood relative to peers through the use of benchmarking and good practice sharing. Sources for external benchmarks can include peer company sustainability or corporate citizenship reports.			
M9	• Confirmation that managers and leaders are actively analysing and using performance data • Trends and statistical analysis of reported indicators to identify early warning signs and weak signals that can be acted on			
9.4 HSE events and incidents investigation and follow-up				
P9	Immediate follow-up after events and incidents: The investigation process should comprise the following basic steps: • initial documentation and preliminary event or incident assessment in the reporting system • notification to an appropriate level of management (depending on the actual or potential severity) • decision on the need for further investigation and appointment of investigation team • actual investigation if required, comprising review of the event or incident circumstances; evidence and witness statements; and analysis of operating conditions • determination and documentation of root causes and OMS risk control/barrier failures • preparation of investigation report, including agreed, immediate remedial actions • completion of actions as planned • incorporation of findings in scheduled assurance, review and learning processes (Element 10) • mechanism to review serious events that occurred elsewhere.			

Element 10: Assurance, review and improvement				
10.1 Assurance process, including audits				
Measure, Process or Expectation	**Examples of objective evidence**	**Auditor's questions**	**Contractor self-evaluation comments**	**Auditor's evaluation comments**
P10	Audit planning: The frequency and focus of audits should then be determined by: • the assessed risk of the activity to be audited • the status of the OMS processes to be covered • the OMS maturity of the assets to be audited • findings of previous audits.			
P10	Audits/assessments: For all levels of the organization, audit outcomes should be one of the primary inputs to management review. Their conclusions can confirm system requirements are being met. They can also provide observations related to general approach, individual behaviours and accepted practices that contribute to underlying performance and culture. An essential part of an audit process is that outcomes are addressed through agreed improvement actions, owned and tracked to completion. Auditors should have appropriate levels of confirmed competency and be independent of the activity or location being audited. Based on their competency and experience, auditors should make improvement recommendations that are considered and incorporated by the audited organization via the agreed actions. The OMS should be implemented at each level of the organization (corporate, business or asset) at the appropriate level of detail. A number of audits should designed and applied to form a hierarchy of scope and applicability (often called 'tiers'). In larger organizations, this design aims to ensure OMS requirements have been cascaded to create company-wide, consistent implementation. This is supported by protocols (hierarchical checks and questions) to ensure verifications are complete and accurate in terms of the OMS requirements. The planning of the hierarchy of audits with associated protocols should confirm and demonstrate consistency—vertically and horizontally—and allow comparative assessment of different parts of the organization. In addition to OMS requirements, the scope of audits may be aligned with particular objectives, such as compliance with regulations.			

Element 10: Assurance, review and improvement				
M10	Monitor trends, including repeat findings and significant new findings			
M10	Track that audits are executed as per plan, with timely implementation of action items			
P10	Documentation audit/review: An additional aspect of auditing and review is to ensure that OMS documentation, including processes and practices, remains effective and fit for purpose. A history of review dates and the deadline for the next review should be stated on the document for verification during audits. Review should confirm that the documentation is being applied correctly, and that it is understood and integral to the activity/work. The documentation should be monitored for its ongoing suitability for addressing assessed risks. It particularly needs to account for new or changed hazards, effects, and impacts or threats that could increase the level of operating risk. This should include non-routine or abnormal situations, simultaneous activities, or adverse environmental or societal conditions.			
10.2 Management review and follow-up				
P10	OMS management review: On a risk basis, the review can address the outputs from monitoring, reporting and learning (Element 9) as well as assurance and audit findings, and account for owner feedback on the other Elements. The successes and failures of other companies, as well as external benchmarking, can provide additional review input.			
M10	• Review and analyse significant events to detect commonalities and trends, and to confirm appropriate learning is incorporated in the OMS • Confirm formal management reviews are completed to schedule, with full participation of managers • Confirm outcomes of management reviews have been fed into the annual planning cycle and objectives			

Section A: HSE management - additional features				
Measure, Process or Expectation	**Examples of objective evidence**	**Auditor's questions**	**Contractor self-evaluation comments**	**Auditor's evaluation comments**
	• Membership in National organizations (e.g. NOGEPA, NOROG, OPITO, NSOC-D, USOGA) or Industry organizations (e.g. IOGP, IPIECA, IMCA, IADC)			

Registered Office
City Tower
40 Basinghall Street
14th Floor
London EC2V 5DE
United Kingdom

T +44 (0)20 3763 9700
F +44 (0)20 3763 9701
reception@iogp.org

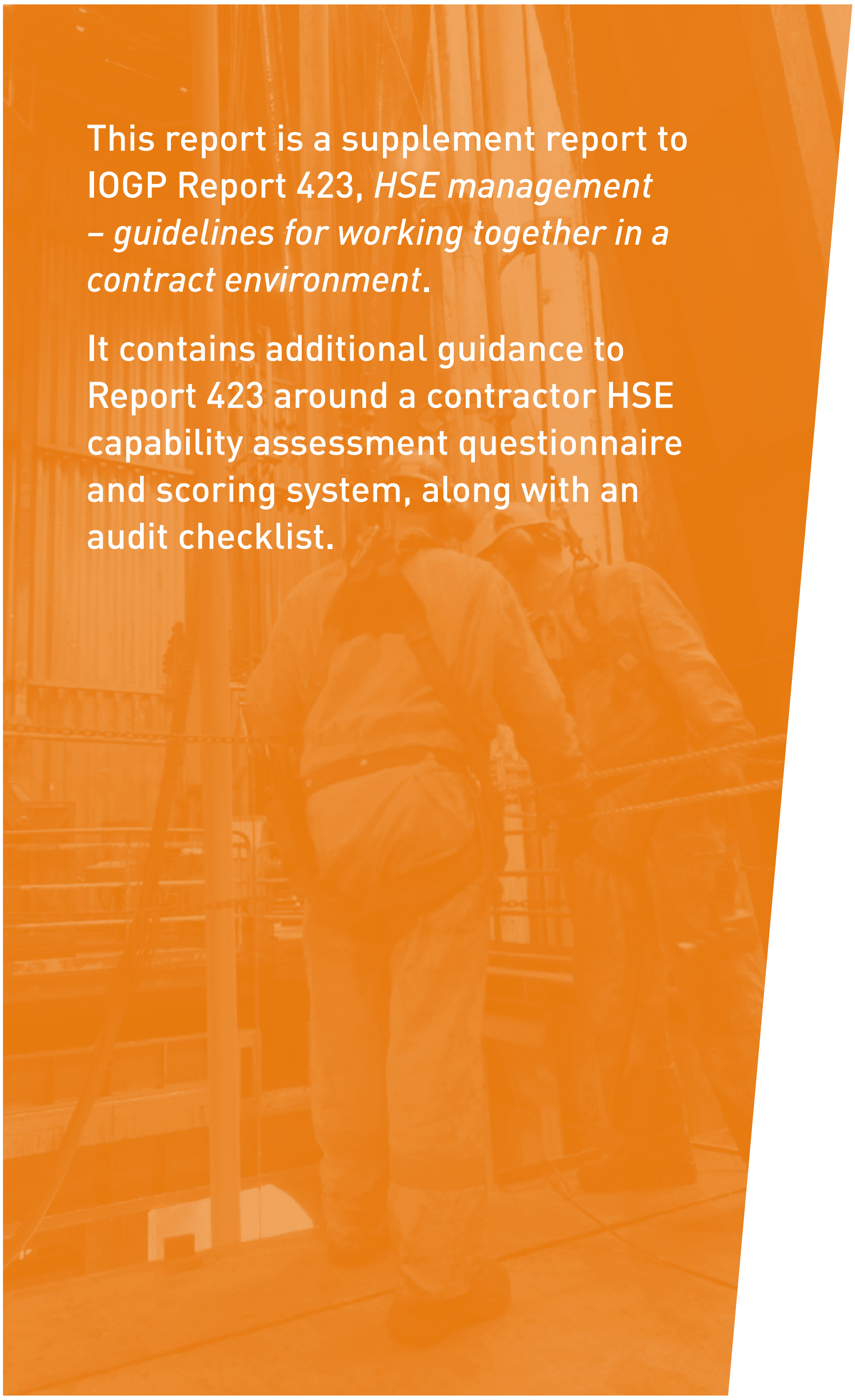
Brussels Office
Bd du Souverain,165
4th Floor
B-1160 Brussels
Belgium

T +32 (0)2 566 9150
F +32 (0)2 566 9159
reception@iogp.org

Houston Office
16225 Park Ten Place
Suite 500
Houston, Texas 77084
United States

T +1 (713) 338 3494
reception@iogp.org

www.iogp.org



This report is a supplement report to IOGP Report 423, *HSE management – guidelines for working together in a contract environment*.

It contains additional guidance to Report 423 around a contractor HSE capability assessment questionnaire and scoring system, along with an audit checklist.