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**HSEQ evaluation of suppliers and  
HSEQ requirements in contract**

*HMSK-evaluering av leverandører og HMSK krav i  
kontrakt*

ICS: 75.180.20, 913.13

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## Foreword

NORSOK S-WA-006 N:2020 – edition 2 was adopted as a NORSOK workshop agreement on an open industry meeting on the internet on 2020-09-24 in accordance with the ISO guideline on WA documents.

NORSOK S-WA-006:2020 replaces NORSOK S-WA-006:2018.

NORSOK is an acronym for the competitive position of the Norwegian continental shelf and comprise petroleum industry standards in Norway. The collaboration initiative in 1993 between the authorities and the petroleum industry initiated the development of NORSOK standards.

Reducing the project execution time and developing and operating cost for petroleum installations on the Norwegian shelf was the target.

The intention for the Petroleum industry is to develop and use standards providing good technical and cost effective solutions to ensure that the petroleum resources are exploited and managed in the best possible way by the industry and the authorities. The industry will actively contribute to the development and use of international standards in the global market.

The NORSOK standards shall:

- bridge the gap based on experiences from the Norwegian continental shelf where the international standards are unsatisfactorily;
- replace oil company specifications where possible;
- be available as references for the authorities' regulations;
- be cost effective;
- contribute to development of health, environment and safety to establish an expectable safety level; and
- promote the Norwegian sector as an attractive area for investments and activities.

Developing new NORSOK standards and regular maintenance of existing standards shall contribute to maintain the competitiveness both nationally and internationally for the Norwegian petroleum industry.

The NORSOK standards are developed by experts from the Norwegian petroleum industry and approved according to the consensus principles as laid down by the guidelines given in NORSOK A-001N directive.

The NORSOK standards are owned by the Norwegian Oil and Gas Association, the Federation of Norwegian Industries and the Norwegian Shipowners' Association. They are managed and published by Standards Norway.

This NORSOK workshop agreement was developed in cooperation between the parties in the Norwegian oil and gas industry. In the following clauses, the work-shop agreement is described as a guideline.

Annex A, B, C, D and E are informative.

The 2020 edition has been extended with common contract requirements for HSEQ. Clause 7 is new and describes contractual obligations on human rights.

Informative Annex B, C, D and E were added. The annexes describe joint contract requirements for different contractual modes in the HSEQ field. These should be used by the entire value chain from

operator, contractor, supplier and subcontractor. Annex C, D and E are also available as word files for use in contracts ([www.standard.no](http://www.standard.no)).

Some editorial changes have also been made.

Document and content rights:

This document shall be downloaded at [www.standard.no](http://www.standard.no) to ensure that the last editions is used. Duplication of the document for distribution, sale and training requires a written agreement with Standard Online.

The content in Annex A originates from IOGP 423-01 with a Norwegian adaption. IOGP gave permission to translation and publication of IOGP 423-01\_Nor. Permission to reuse IOGP content and documents must be obtained by IOGP.

The intention of the annexes B to E in this document is to facilitate implementation and standardisation of HSEQ contracts, where content and formulations can be used without any limitations in a contractual context. Companies providing commercial service systems, electronic applications, industry services or supplier databases cannot use any of the content in their systems or products, unless they have a written agreement with Standards Norway.

## Introduction

The purpose of this guideline is to ensure a standardised process for the self-assessment and evaluation of contractors at all stages, in which all participants use the same tools and have a common understanding of the terms.

IOGP 423, all parts, was published in 2017. Operators on the Norwegian Continental Shelf agreed to introduce this method for their contractors. The implementation of the questions in the JQS solution resulted in a simplified process that the entire value chain can use.

This guideline has been developed on the basis of "Contractor HSE capability assessment and scoring system, IOGP report 423-01 April 2017". The content refers to key elements that should be included in the contractor's operating management system, see IOGP 510 "Operating Management System Framework for controlling risk and delivering high performance in the oil and gas industry". This guideline sets out the company's expectations to the contractor's operating management system including joint HSEQ contractual requirements.

This guideline applies to both operational and construction-related activities, including new facilities and modification and upgrading of existing facilities.

Joint contract requirements in the HSEQ field should be used by the entire value chain from operator, contractor, supplier and subcontractor. These requirements are based on IOGP 510.

The bibliography lists standards, norms, laws, regulations and other literature that may be relevant to the use of this document.

Normative text contains the requirements of the standard. Informative text is only guidance to the reader. All text in foreword, introduction and notes is informative text. Note to entries in section 3 and annexes to the document may be either normative or informative.



# HSEQ evaluation of suppliers and HSEQ requirements in contract

## 1. Scope

This guideline describes topics and methods for self-assessment and evaluation of suppliers' operating management systems (OMS).

This guideline describes how IOGP 423-01 can be used in an efficient way to qualify suppliers.

This guideline describes HSEQ requirements in contract in three different modes. Requirements in contract is applicable for the Contractor, Subcontractors and their contractors.

Contractors to the Norwegian oil and gas industry can by means of an electronic JQS system evaluate themselves.

The guidelines describe the practical use of IOGP 510 and IOGP 423-01.

The following information is given in annex:

- Annex A (informative) shows the adapted questionnaire as used in the electronic JQS solution. If the industry wishes to adjust the electronic JQS solution, Annex A to this document will be updated.
- Annex B (informative) provides a Guidance for selecting Contract Modes.
- Annex C (informative) describes HSEQ Requirements for Contract Mode 1.
- Annex D (informative) describes HSEQ Requirements for Contract Mode 2.
- Annex E (informative) describes HSEQ Requirements for Contract Mode 3.

## 2. Normative references

The following referenced documents contain text which fully or in part is part of the requirements in the document. For dated references, only the edition cited applies. For undated references, the latest edition of the cited document applies (including amendments).

NORSOK S-003, *Environmental Care*

NS-EN ISO 9000:2015, *Quality management systems - Fundamentals and vocabulary*

NS-EN ISO 9001:2015, *Quality management systems - Requirements*

NS-EN ISO 10005, *Kvalitetsledning - Retningslinjer for kvalitetsplaner*

NS-EN ISO 14001:2015, *Environmental management systems - Requirements with guidance for use*

NS-EN ISO 19011, *Guidelines for auditing management systems*

NS-ISO 31000, *Risk management — Guidelines*

NS-ISO 45001:2018, *Occupational health and safety management systems - Requirements with guidance for use*

NS-EN ISO 50001:2018, *Energy management systems - Requirements with guidance for use*

IOGP report 423, *HSE management guidelines for working together in a contract environment*

IOGP report 423-01, *Contractor HSE capability assessment and scoring system – Supplement to Report 423*

IOGP report 423-02, *Guide to preparing HSE plans and Bridging documents – Supplement to Report 423 – Addendum*

IOGP report 456, *Process safety – recommended practice on key performance indicators*

IOGP report 510, *Operating Management System Framework for controlling risk and delivering high performance in the oil and gas industry*

IOGP report *Safety data reporting user guide (annual report)*

IOGP report *Environmental performance indicators (annual report)*

SOLAS XI-2 ISPS Code, *International Ship & Port Facility Security Code*

091 – Norwegian Oil and Gas, *Recommended guidelines for securing supplies and materials in the oil and gas industry*

### **3. Terms and definitions**

In this document, the following terms and definitions apply.

#### **General definitions**

##### **3.1**

##### **JQS**

##### **Joint Qualification System**

the operators' joint system for registering, assessing and following up contractors with respect to procurement processes and qualification

Note 1 to entry: The scheme is also accessible and can be used by contractors.

Note 2 to entry: The qualification system's contractor capability assessment is managed by the operators in collaboration with the NORSOK owners.

Note 3 to entry: The content of the qualification scheme (capability assessments) shall at all times comply with these guidelines (Annex A).

##### **3.2**

##### **the JQS solution**

the solution made available to the different user groups

Note 1 to entry: In these guidelines, the JQS solution is taken to mean the part of the JQS that comprises the contractor capability assessment.

**3.3****scope of work**

work to be performed, materials to be supplied, and obligations to be fulfilled by the supplier (3.12) under the contract

**3.4****aspects**

identified parts of the organization's activities, products and services

**3.5****emergency response management**

capability to take actions that will effectively mitigate the consequences of an emergency situation

Note 1 to entry:

Includes the necessity for management, plans, drills and necessary competent resources to be available.

**3.6****company**

enterprise occurring in the solution as contractor (3.13)

**3.7****incident**

occurrence arising out of, or in the course of, work that could or does result in injury or ill health, acute spill and/or material damage

**3.8****principal enterprise**

company which, under the Working Environment Act, has an obligation to coordinate the individual enterprises' safety and environmental work

**3.9****main contractor**

contractor (3.13) which acts as a company (3.6) and approves its sub-contractors (3.18)

**3.10****customer**

1. company (3.6) named in the contract, and which has ordered the deliverable
2. principal enterprise (3.8) under the Working Environment Act
3. operator of an installation

**3.11****management review**

assessment of the operating management system in order to ensure that it remains suitable, adequate and effective for achieving the organization's established objectives

[SOURCE: NS-EN ISO 9001:2015, *Quality management systems - Requirements*, see 9.3]

**3.12****supplier**

organization that provides a product or a service

[SOURCE: NS-EN ISO 9000:2015, *Quality management systems - Fundamentals and vocabulary*, see 3.2.5]

**3.13****contractor**

company (3.6) named in the contract and which is to supply the deliverable in accordance with the conditions specified

Note 1 to entry: Includes sub-contractors (3.18) and main contractor (3.9)

### **3.14**

#### **OMS**

#### **operating management system**

management system covering health and working environment, safety, security, external environment, social responsibility including human rights, quality and ethics,

Note 1 to entry: Operating means the design, implementation and control of activities that convert resources into products and services to fulfil a company's business strategy.

Note 2 to entry: The word "operating" refers to the entire lifecycle of a company's activities and products.

Note 3 to entry: Management system means a structured and documented set of interdependent practices, processes and procedures used by the managers and the workforce at every level in a company to plan, direct and execute activities

Note 4 to entry: OMS is described in IOGP 510.

### **3.15**

#### **process**

set of interrelated or interacting activities which uses inputs to deliver an intended outcome

Note 1 to entry: Can be documented by flowcharts, procedures, checklists, plans, programs or software etc.

[SOURCE: NS-EN ISO 9000:2015, *Quality management systems - Fundamentals and vocabulary*]

### **3.16**

#### **audit**

systematic, independent and documented process (3.15) for obtaining objective evidence and evaluating it objectively to determine the extent to which the audit criteria are fulfilled.

[SOURCE: NS-EN ISO 9000:2015: *Quality management systems - Fundamentals and vocabulary*]

### **3.17**

#### **standard**

documented requirements (3.50), rules or instructions that support company policies

[SOURCE: IOGP 510, *Operating Management System Framework for controlling risk and delivering high performance in the oil and gas industry, simplified*]

### **3.18**

#### **sub-contractor**

company (3.6) that supplies to contractor (3.13)

### **3.19**

#### **shall (requirement)**

expression used to specify objectively verifiable criteria that must be strictly adhered to, without deviation, in order to assert conformity with the document

Note 1 to entry: Requirement is expressed using the verbal form specified in Table 3 in 7.2 in the ISO/IEC Directives, Part 2: 2016.

### **3.20**

#### **should (recommendation)**

expression used to specify that a choice or course of action is considered to be particularly appropriate, without necessarily mentioning or excluding others

Note 1 to entry: Recommendations are expressed using the verbal form specified in Table 4 in 7.3 in the ISO/IEC Directives, Part 2: 2016.

Note 2 to entry: In the negative form, the recommendation means that a possible choice or certain course of action is not preferable but is not excluded.

### 3.21

#### **may (permission)**

expression used to specify consent or freedom (or opportunity) to do something

Note 1 to entry: Permission is expressed using the verbal form specified in Table 5 in 7.4 in the ISO/IEC Directives, Part 2: 2016.

### 3.22

#### **can (possibility and capability)**

expression used to specify an expected or imaginable outcome, whether material, physical or incidental  
expression used to specify a suitability, a property or a quality that is necessary to achieve something

Note 1 to entry: Possibility and capability are expressed using the verbal form specified in Table 6 in clause 7.5 in the ISO/IEC Directives, Part 2: 2016.

### **Incident statistics (work-related)**

### 3.23

#### **incident statistics**

statistics that includes incidents (3.7) and near miss (3.31) on own or hired-in resources

Note 1 to entry: See Annex A, item 9.2.

### 3.24

#### **notifiable incident**

undesirable incident (3.7) or other circumstance that, under applicable regulations, must be notified to the public authorities

### 3.25

#### **injury and ill health**

adverse effect on the physical, mental or cognitive condition of a person.

Note 1 to entry: These adverse effects include occupational disease, illness and death.

Note 2 to entry: The term “injury and ill health” implies the presence of injury or ill health, either on their own or in combination.

[SOURCE: NS-ISO 45001:2018, *Occupational health and safety management systems — Requirements with guidance for use*]

### 3.26

#### **fatality**

work-related incident (3.7) that caused loss of life

Note 1 to entry: Fatalities that occur subsequent to the incident shall be included if they have a direct cause in the incident.

Note 2 to entry: For explanatory examples, see IOGP Report Safety data reporting user guide.

### 3.27

#### **lost-time injury**

personal injury that results in the worker being unable to resume or perform work in the next or a subsequent shift

Note 1 to entry: If the injured person is unable to join the next shift for logistical reasons, the injury is not counted as an LTI.

Note 2 to entry: This also includes cases where the injury has occurred on the last day of the work period, with reference to Section 31 of the Guidelines regarding the Management Regulations.

### **3.28**

#### **restricted work injury**

injury not causing death or absence that results in a person being unable to perform their normal work on any day after the injury

Note 1 to entry: This includes being employed on other, temporary tasks, being partially at work in their regular job, or being in their regular job but not performing all of the job's tasks.

Note 2 to entry: Restricted work is not a term used in Section 31 of the Management Regulations, and for contractors reporting under Section 31 of the Management Regulations, restricted work shall be included in lost-time injury.

### **3.29**

#### **medical treatment injury**

injury not reported as a fatality (3.26), lost-time injury (3.27) or restricted work injury (3.28), but which is more serious than just requiring simple first-aid treatment

Note 1 to entry: For explanatory examples, see IOGP Report Safety data reporting user guide.

### **3.30**

#### **first-aid injury**

injury that is not sufficiently severe to be reported as medical treatment or more serious, but nevertheless requires minor first-aid treatment

Note 1 to entry: For explanatory examples, see IOGP Report Safety data reporting user guide.

### **3.31**

#### **near-miss**

unplanned and uncontrolled incident (3.7) or chain of incidents that does not result in personal injury, damage to equipment or the environment, but which had the potential to do so under insignificantly different circumstances

### **3.32**

#### **fatality rate**

the number of fatalities per hundred million hours worked

### **3.33**

#### **lost-time injury rate**

the number of lost-time injuries per million hours worked

[SOURCE: IOGP 423-01 *Contractor HSE capability assessment and scoring system – Supplement to Report 423*]

### **3.34**

#### **total recordable injury frequency**

##### **TRIF**

number of fatalities, lost-time injuries, restricted work injuries and medical treatment injuries per million hours worked

**External environmental statistics****3.35****gaseous emissions**

atmospheric emissions

Note 1 to entry: Releases of gas stated in tonnes (or kg or m<sup>3</sup>) for each of the stated gases. Use units specified in the electronic JQS solution.

**3.36****energy consumption**

the amount of energy used

[SOURCE: NS-EN ISO 50001:2018, *Energy management systems - Requirements with guidance for use*]

Note 1 to entry: Stated in megawatt hours (MWh). Use units specified in the electronic JQS solution.

**3.37****flaring**

controlled combustion of gas and oil which cannot be utilized

Note 1 to entry: Stated in tonnes of CO<sub>2</sub> equivalent. Use units specified in the electronic JQS solution.

Note 2 to entry: Includes controlled combustion for safety reasons.

**3.38****aqueous discharges**

spills of process water and other liquid pollutants

Note 1 to entry: Aqueous discharges to the sea are stated in m<sup>3</sup>.

**3.39****spill (of oil and chemicals)**

unintended release of oil and chemicals (3.52)

Note 1 to entry: Reported as an amount (m<sup>3</sup> or weight).

**Major accident statistics (process safety incidents)****3.40****tier 1 incident**

process safety incident with a loss of primary containment (e.g. gas, liquid, steam, compressed air, etc.) with major consequences such as fatality (3.26), lost-time injury (3.27), etc.

Note 1 to entry: For a more detailed definition and examples of Tier 1, see IOGP 456.

**3.41****tier 2 incident**

process safety incident with a loss of primary containment (e.g. gas, liquid, steam, compressed air, etc.) with lesser consequences such as medical treatment injury (3.29) etc.

Note 1 to entry: For a more detailed definition and examples of Tier 2, see IOGP 456.

## **Definitions related to contract mode**

### **3.42**

#### **concession**

permission to use or release a product or service that does not conform to specified requirements.

Note 1 to entry: A concession is generally limited to the delivery of products and services that have nonconforming (3.6.9: ISO 9000) characteristics (3.10.1: ISO 9000) within specified limits and is generally given for a limited quantity of products and services or period of time, and for a specific use

[SOURCE: NS-EN ISO 9000:2015: Quality management systems - Fundamentals and vocabulary]

### **3.43**

#### **deviation permits**

permission to depart from the originally specified requirements of a product or service prior to its realization.

Note 1 to entry: A deviation permit is generally given for a limited quantity of products and services or period of time, and for a specific use.

[SOURCE: NS-EN ISO 9000:2015: Quality management systems - Fundamentals and vocabulary]

### **3.44**

#### **human rights**

all internationally recognised human rights

Note 1 to entry: This includes those set out in the Universal Declaration of Human Rights (1948) [7], the International Covenant on Civil and Political Rights (1966) [8] and the International Covenant on Economic, Social and Cultural Rights (1966) [9] (collectively the International Bill of Human Rights), the International Labour Organisation (ILO) [10] Declaration on Fundamental Principles and Rights at Work, applicable standards of international humanitarian law, and the Voluntary Principles on Security and Human Rights.

### **3.45**

#### **key personnel**

contractor's personnel identified in the Contract

### **3.46**

#### **modern slavery**

all forms of slavery, human trafficking, servitude or forced labour

Note 1 to entry: Defined in article 4 of the European Convention for the Protection of Human Rights and Fundamental Freedoms (1950) [6].

### **3.47**

#### **nonconformity**

non-fulfilment of a requirement

Note 1 to entry: This constitutes one of the common terms and core definitions for ISO management system standards given in Annex SL of the Consolidated ISO Supplement to the ISO/IEC Directives, Part 1

[SOURCE: NS-EN ISO 9000:2015: Quality management systems - Fundamentals and vocabulary]

### **3.48**

#### **quality deviation**

type of nonconformity (3.47) related to undesirable events or defects that require rework, repair, scrap and similar corrections with direct or indirect impact on cost and/or schedule.

### 3.49 records

documents stating results achieved or providing evidence of activities performed

Note 1 to entry: Records can be used, for example, to formalize and to provide evidence of verification, preventive action and corrective action.

Note 2 to entry: Generally, records need not be under revision control.

[SOURCE: NS-EN ISO 9000:2015: Quality management systems - Fundamentals and vocabulary]

### 3.50 requirement

need or expectation that is stated, generally implied or obligatory

Note 1 to entry: "Generally implied" means that it is custom or common practice for the organization and interested parties that the need or expectation under consideration is implied.

Note 2 to entry: A specified requirement is one that is stated, for example in documented information.

Note 3 to entry: A qualifier can be used to denote a specific type of requirement, e.g. product requirement, quality management requirement, customer requirement, quality requirement.

Note 4 to entry: Requirements can be generated by different interested parties or by the organization itself.

Note 5 to entry: It can be necessary for achieving high customer satisfaction to fulfil an expectation of a customer even if it is neither stated nor generally implied or obligatory.

Note 6 to entry: This constitutes one of the common terms and core definitions for ISO management system standards given in Annex SL of the Consolidated ISO Supplement to the ISO/IEC Directives, Part 1. The original definition has been modified by adding Notes 3 to 5 to entry.

[SOURCE: NS-EN ISO 9000:2015: Quality management systems - Fundamentals and vocabulary]

### 3.51 verification

confirmation, through the provision of objective evidence that specified requirements (3.50) have been fulfilled

Note 1 to entry: The objective evidence needed for a verification can be the result of an inspection or of other forms of determination such as performing alternative calculations or reviewing documents.

Note 2 to entry: The activities carried out for verification are sometimes called a qualification process.

Note 3 to entry: The word "verified" is used to designate the corresponding status

[SOURCE: NS-EN ISO 9000:2015: Quality management systems - Fundamentals and vocabulary]

### 3.52 chemicals

manufactured substances as well as substances occurring in the work environment due to work processes, including dust, gases, fluids, and fibrous asbestos dust

## 4. Abbreviations

For this document, the following symbols and abbreviations apply.

API	American Petroleum Institute
HOCNF	Harmonised Offshore Chemical Notification Format (OSPAR Recommendation)
HSE	Health, Safety and Environment <sup>2</sup>
IEC	International Electrotechnical Commission
IOGP	International Association of Oil & Gas Producers
ISO	International Organization for Standardization
ITP	Inspections and Test Plans
JQS	Joint Qualification System
KPI	Key Performance Indicator
OMS	Operating Management System
OSPAR	Oslo Paris Commission
PPE	Personal Protection Equipment
PSO	Policies, Standards and Objectives
RCA	Root Cause Analysis
UN GHS	United Nations Globally Harmonized System of Classification and Labelling of Chemicals
WA	Workshop Agreement
WEA	Working Environment Act
WEC	Working Environment Committee

## 5. The operating management system – OMS

The OMS shall be founded on requirements in NS-EN ISO 9001, NS-EN ISO 14001, NS-ISO 45001, UN Guiding Principles on Business and Human Rights, and the expectations defined in IOGP 510 OMS Framework.

The OMS shall be based on the "Norwegian model", regulated by the Norwegian Working Environment Act and Norwegian legislation, characterised by:

- employee involvement (WEC, safety delegates, discussions with representatives);
- employment, pay and working conditions.

## 6. Methodology for self-assessment and evaluation

### 6.1 Elements in the operating management system (OMS) and the "Norwegian model"

The activities are grouped divided into ten main areas in accordance with IOGP 423-01 and IOGP 510 as specified in Table 1, with a brief explanation.

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<sup>2</sup> For the purpose of this document, HSE covers the occupational health and working environment, safety, security, the external environment, social responsibility including human rights, ethics and quality.

**Table 1 – Main elements in the operating management system**

<b>Elements in the operating management system address:</b>	
1. Commitment and accountability	Clear commitments from top management and down through the organization, and a corporate culture required for the system to function satisfactorily.
2. Policies, standards and objectives	The company's intentions, policies and ambitions in respect of health, safety and the environment.
3. Organization, resources and capability	Organization of people, resources and documentation in order to achieve good HSE results.
4. Stakeholders and customers	Established processes to meet different stakeholders' expectations and interests.
5. Risk assessment and control	Identification and assessment of risk in connection with activities, products and services, and preparation of risk-reducing measures.
6. Asset design and integrity	How assets, buildings and equipment are managed based on, safety reliability and integrity requirements
7. Plans and procedures	Planning of how work tasks are to be performed, including during change processes and in emergency situations.
8. Execution of activities	Execution and follow-up of activities and how corrective measures should be implemented when required.
9. Monitoring, reporting and learning	Measurement of the OMS's effectiveness, improvement of outcomes and learning from undesirable incidents.
10. Assurance, review and improvement	Regular assessment of the system's functionality, effectiveness and basic fitness-for-purpose.

## 6.2 Topics and criteria

### 6.2.1 General considerations for all suppliers

The individual supplier to the Norwegian oil and gas industry must register in the JQS solution in order to be evaluated as a supplier to operators and main contractors in the industry. Self-assessment is based on IOGP 423-01/IOGP 510.

General information can be obtained manually or using the solution's search function (crawler) from public registers and the individual enterprise's website.

The questionnaire is reproduced in Annex A and shall be completed in the JQS solution. All questions must be answered in accordance with the instructions in the solution based on the company's own OMS.

The questions relevant for the OMS include various elements within the occupational health and working environment, safety, security, the external environment, social responsibility, ethics and quality.

To meet the need for simplification and standardisation, not all the questions from IOGP 423-01 are included in the JQS solution. Questions have been merged, simplified and reformulated with predefined response options in order to contribute to a more consistent and digitalised assessment of the contractors' OMS.

Individual questions in the questionnaire are answered with **Yes**, or **No**. Alternatively the answer **Partial** may be given, but in that case a description must be provided as to explain suppliers' partial compliance in respect of each specific question.

The contractor shall submit documentation of system certificates available within the occupational health and working environment, safety, security, the external environment, social responsibility, ethics and quality, issued by an accredited certification body, or equivalent third party.

It is a prerequisite of the qualification that contractors subject to Norwegian legislation comply with the Norwegian Working Environment Act and appurtenant regulations, as well as the regulations of the Petroleum Safety Authority Norway (PSA) where applicable. This is relevant and apply for the following questions:

- 3.1d) Responding "Yes" to this question is a confirmation that employee participation in the company includes organization of safety delegates, WEC and conducting discussions with elected representatives.
- 5.6d) Responding "Yes" to this question is confirmation that the Norwegian Working Environment Act and appurtenant regulations are complied with.

NOTE For small companies, parts of these requirements are not relevant.

The matrix in Annex A shows which elements relating to the OMS and reporting shall be taken into consideration for assessment and follow-up. The elements are divided into bullet points in accordance with IOGP 423-01.

## 6.2.2 Criteria for assessment and score system

The operator or contractor who has signed a "customer" agreement via JQS has access to the different contractors' responses.

A registration in the system does not give an automatic approval by an operator or main contractor.

The suppliers JQS response is used when evaluating bidders for the contract.

The individual operator or main contractor has its own acceptance criteria for qualification of suppliers

The questions for each of the elements also provide a general description of what is required of the contractor within each area. The following terms and point system are used to describe the actual level, (see Table 2):

**Table 2 – Points and scoring**

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

The maximum score for the 10 elements, as shown in Table A.1, is 260 points. The individual operator or main contractor may apply different risk-based weightings to the elements, which may alter the total score.

There may be contractors which are contractually transferred (invoked/nominated) from the operator to the main contractor. In such cases, the contractor shall always be registered in the JQS and assessed by the operator for the scope of work to be performed.

## 6.2.3 Main elements in the assessment

The system for qualification defines an extended HSE term (OMS) within the occupational health and working environment, safety, security, the external environment, social responsibility, ethics and quality in accordance with IOGP 423-01.

The company's OMS shall cover these 10 defined elements and their sub-elements.

- Element 1: Commitment and accountability
- Element 2: Policies, standards and objectives
- Element 3: Organization, resources and capability
  - 3.1 Organizational structure for HSE management
  - 3.2. Resources and capability
  - 3.3 Competence assurance
  - 3.4 Allocation of internal and external resources
- Element 4: Stakeholders and customers
- Element 5: Risk assessment and control
  - 5.1 Risk assessment and control
  - 5.2 Health – risk factors and impact
  - 5.3 Safety – risk factors and impact
  - 5.4 Environment – risk factors and impact
  - 5.5 Security – risk factors and impact
  - 5.6 Social responsibility – risk factors and impact
- Element 6: Asset design and integrity
- Element 7: Plans and procedures
  - 7.1 HSE plans and procedures
  - 7.2 Contingency, emergency, crisis and continuity management
- Element 8: Execution of activities
- Element 9: Monitoring, reporting and learning
  - 9.1 Monitoring and learning
  - 9.2 Incidents, events and non-conformities
  - 9.3 HSE performance
  - 9.4 HSE events and incidents investigation and follow-up
  - 9.5 Statutory notifiable incidents or non-compliance notices
- Element 10: Assurance, review and improvement
  - 10.1 Assurance process, including audits
  - 10.2 Management review and follow-up

Each element and sub-element have different questions as shown in Annex A.

### **6.3 Updating of the JQS Questionnaire**

The supplier shall ensure that its own self-assessment is kept up-to-date. The JQS database can be updated at any time. This applies to incorrect entries, status changes in the questionnaire, new company information or new contact persons.

### **6.4 Auditing of suppliers OMS**

Operators and main contractors may perform audits of the suppliers' self-assessment scoring. An audit protocol based on requirements in NS-EN ISO 9001, NS-EN ISO 14001, NS-ISO 45001 and UN Guiding Principles on Business and Human Rights, and the expectations defined in IOGP 510 OMS Framework shall be used during the audit. In advance of the audit, supplementary information may be requested from the suppliers' OMS.

## **7. HSEQ requirements in contract**

### **7.1 Contractual requirements**

This clause is relevant for tender and award phase.

To meet the need for simplification and standardization in the industry, common sets of administrative HSEQ requirements have been developed based on IOGP 510.

Annex C, Annex D and Annex E describes contractual requirements for different contract modes and are also available as separate word files through [www.standard.no](http://www.standard.no).

## **7.2 Description of the contract modes**

The contract mode determines whose OMS (Company, contractor or a combination) will be used to manage the risks associated with performing the work. A description of the different contract modes and guidance for selecting contract modes is given in Annex B. This will indicate whether the HSEQ requirements in Annex C, Annex D or Annex E are applicable.

## **7.3 Coordination and responsibilities**

The operator/main contractor and supplier should exchange strategic HSE plans and relevant documentation for their respective OMS, in order to detect any discrepancies. Lack of alignment of requirements can be clarified and resolved before signing of the contract.

Effective coordination of the different OMS will make it possible to develop common objectives and programmes.

IOGP has developed a guideline to assist in this process, IOGP 423-02. Recommendations in 7.4 can also be the basis for this work.

If a principal enterprise is defined for the work, this company's OMS will normally be considered as the main system. The detailed coordination of the different OMS shall be established during planning; see WEA, Section §2-2 [14].

## **7.4 HSE programme**

When relevant, the contractor shall establish a HSE programme addressing the elements in the OMS. The programme shall be an integral part of the operator's/main contractor's HSE programme for the asset, project or activity in question. It shall address specific activities with a description of the deliverable. The HSE programme shall reflect applicable risks, be preventive and must be kept up-to-date throughout the work.

The HSE programme shall cover relevant aspects of the requirements within the occupational health and working environment, safety, security and the external environment. Separate objectives should be defined for each of these main areas. The HSE programme shall make arrangements for employee participation.

The HSE programme should:

- identify statutory HSE requirements and other specific HSE requirements applicable to the scope of work;
- describe the parties' responsibilities, tasks and authorities;
- define activities that must be implemented in order to meet applicable requirements;
- define applicable risk acceptance criteria;
- define hazards that need addressing, how they are to be controlled, and which methods/barriers are to be used to regain control when necessary;
- identify procedures to be prepared in accordance with the contract;
- define the operators'/main contractor's areas of responsibility and interaction, and the contractor's strategy for following up its sub-contractors;
- identify and plan the contractor's training requirements.

Once the HSE programme has been established, it shall be submitted to the operator/main contractor for review in accordance with agreed milestones. The operator/main contractor shall be notified of any changes to this programme.

## Annex A (informative)

### Questionnaire for suppliers' self-assessment

#### A.1 Introduction

This annex describes the questions listed in JQS with adaptation of the method the entire value chain can use. The numbering of the questions refers to IOGP 423-01.

In Table A.1 the following codes are referenced in brackets. Examples are (E1.1), (P1) and (M1) where

- E means Expectation, see OGP 510,
  - P means Process or Practices, see OGP 511, and
  - M means Measures, see OGP 511.
- In Table A.1, light grey backgrounds are applied to the questions that are merged and not required to answer in the JQS solution.

**Table A.1 – Self-assessment questionnaire with comments**

Element 1: Commitment and accountability	Comments:
<b>1.1 Commitment and accountability to HSE aspects</b>	
a) 1. Does your Operating Management System (OMS) cover all aspects of the business (E1.1)	Comment: Aspect is an identified part of an organizations' activities, products or services.
a) 2. Are top management and managers accountable, committed and personally involved in the OMS? (E1.2)	Response options: Yes, No or Partial
b) Does your company ensure commitment from the workforce to perform activities in accordance with company policies, standards and objectives, and in compliance with external requirements? (E1.3, E1.5, E1.1, E8.4)	Response options: Yes, No or Partial
c) Does your company ensure learning from internal and external sources and promote continuous risk reduction and performance improvement? (E1.8, E9.3)	Response options: Yes, No or Partial
d) Provide evidence of accountability and commitment at all levels of the organization. (E1.5)	Response not necessary Covered in 1.1.a.2) and 1.1 b)
e) Does your company have a code of conduct that defines behavioural, ethical and compliance obligations for employees? (E1.4, E8.4)	Response options: Yes, No or Partial
f) 1) What communication and engagement mechanisms are established? (E1.6)	Response not necessary Covered in 2.1.b) 2)
f) 2) How is responsibility assigned for prompt, appropriate and engaging communication to those involved in delivering HSE performance? (P1)	Response not necessary Covered in 2.1.b) 2)
g) 1) Provide evidence to show that the OMS is in place across the organization, with priorities established, authorities and accountabilities assigned, and resources allocated. (E1.1)	Response not necessary Covered in 1.1.b, 1.1.a.1

<p>g) 2) Who in your organization is accountable for the oversight and co-ordination of activities within the scope of their part of the OMS? Are they also accountable for monitoring effectiveness? (P1)</p> <p>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)</p>			<p>Response not necessary Covered in 1.1.b, 1.1.a.1, 1.1.b.1 and 2.3.c), (E1.7) the reference is only relevant for question 2.3.c.</p>	
<b>D- Unacceptable</b>	<b>C- Poor</b>	<b>B- Acceptable</b>	<b>A- Excellent</b>	<b>POINTS</b>
<i>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 OMS policies, systems, decisions, and outcomes.</i>	<i>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.</i>	<i>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.</i>	<i>Evidence of mindfulness and a strong, proactive HSE culture in senior management and at all levels throughout the organization.</i>	
<b>Element 2: HSE Policies, standards and objectives</b>			<b>Comments</b>	
<b>2.1 HSE Policies and standards</b>				
a) Who is the most senior person in the organization responsible for authorization of policies, standards and objectives (PSO) appropriate to each activity? Provide name and title. (E2.2).			Enter response in text field	
b) 1) Does your company have policies and standards in place which establish risk- based requirements, including the commitment to comply with applicable regulatory or other requirements? (E2.3)			Response options: Yes, No or Partial	
b) 2) Does your company communicate the PSO's to all employees? (E2.3, E1.6, E2.4)			Response options: Yes, No or Partial	
b) 3) Does your company have arrangements for advising employees of changes in OMS? (E2.3)			Response options: Yes, No or Partial	
c) 1) Does your company identify new industry standards or regulatory requirements that may be applicable to your activities? (E2.3) (E4.2)			Response options: Yes, No or Partial	
c) 2) Describe the process used for producing, updating and disseminating standards. (E2.3)			Response not necessary Covered in 2.1.c)	
c) 3) Are your company standards aligned with IOGP/industry guidelines or recommended practices? If yes, state which. (E2.3)			Response not necessary Covered in 2.1.c)	
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)			Response not necessary Covered in 2.1.c)	
c) 5) Does your company define the company standards you require your contractors to meet? (P2)			Response options: Yes, No or Partial	
c) 6) Does your company ensure these standards are met and verified? (P2)			Response options: Yes, No or Partial	
<b>2.2 HSE Objectives</b>				
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)			Response options: Yes, No or Partial	
b) Describe how you communicate your HSE objectives to all your employees. (E2.4)			Response not necessary Covered in 2.1.b.2)	

c) What initiatives or campaigns have been developed at an appropriate level of the company to meet short and long-term strategic objectives? (P2)		Response not necessary		
<b>2.3 Policies, Standards and Objectives (PSO)</b>				
a) Does your company have a process to ensure that the PSOs address your business aspects throughout their life cycle? (E2.1) Ref. 1.1.a.1		Response options: Yes, No or Partial		
b.1) Are there different entities (including suppliers, sub-suppliers or joint ventures) operating on the same facilities ?		Response options: Yes, No or Partial		
b.2) Are all interphases identified and controlled through bridging processes in your OMS? (E2.5)		Response options: Yes, No or Partial		
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)		Response not necessary Covered in 1.1.g)		
d) How does your organization gather and consolidate feedback on PSO applicability and effectiveness and use this to identify shortfalls against expectations? (P2)		Response not necessary Covered in 1.1.g)		
e) Does your company have a process to risk-assess and approve an exemption or deviation from the OMS and to ensure the approval is by an appropriate level of management? (P2, E6.5)		Response options: Yes, No or Partial		
<b>D- Unacceptable</b>	<b>C- Poor</b>	<b>B- Acceptable</b>	<b>A- Excellent</b>	<b>POINTS</b>
<i>No written HSE policies, HSE performance standards or objectives endorsed by senior management.</i>	<i>Policy statements and basic HSE performance standards exist on paper but have not been well communicated to the organization, no HSE objectives defined.</i>	<i>Appropriate PSO are in place to define the expected outcomes of OMS implementation. PSO providing commitments and boundaries and assisting the company to meet regulatory requirements and other voluntary commitments.</i>	<i>Appropriate PSO are in place to define the expected outcomes of OMS 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.</i>	
<b>Element 3: Organization, resources and capability</b>			<b>Comments</b>	
<b>3.1 Organizational structure for HSE management</b>				
a) Is your organization structured to effectively implement the OMS and ensure compliance with legal and other requirements? (E3.1)		Response options: Yes, No or Partial		
b) When organizational change is necessary, does your Company have a process to assess, mitigate and review actual and potential risks, as well as impacts on operating activities and the OMS itself? (P3)		Response options: Yes, No or Partial		
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)		Response not necessary. Covered by 3.1.b)		
d) Does your Company have mechanisms for active involvement and management consultation with the workforce? (E3.5, P3)		Response options: Yes, No or Partial		
<b>D- Unacceptable</b>	<b>C- Poor</b>	<b>B- Acceptable</b>	<b>A- Excellent</b>	<b>POINTS</b>
<i>The organization has no defined HSE responsibilities, accountabilities and authorities. There is no evidence of equipment,</i>	<i>Limited organization with defined HSE responsibilities, accountabilities and authorities. They have some equipment, processes and people in</i>	<i>The organization with defined HSE responsibilities, accountabilities and authorities is structured to deliver its planned objectives effectively and</i>	<i>"Acceptable" together with a process to ensure extension of OMS consistency towards contractors, who are a key resource when</i>	

<i>processes and skilled people in place.</i>	<i>place, but limited specialist HSE resources.</i>	<i>efficiently. They have the right equipment, processes and people in place, with the right skills at the right time.</i>	<i>deployed to increase the organization's capability.</i>	
<b>3.2 Resources and capability</b>				
a) Are recruitment, deployment, career development, retention and succession plans in place? (E3.2)			Response options: Yes, No or Partial	
b) Does your company have specific HSE training programmes in place for: (E3.2)			Response options: Yes, No or Partial	
b) 1) Managers and supervisors? (E7.3)			Response not necessary	
b) 2) HSE personnel, and basic industrial HSE training for all employees, which are reviewed periodically? (E3.2, E7.3)			Response not necessary	
b) 3) Other HSE personnel?			Response not necessary	
b) 4) Employees, to ensure adequate knowledge of basic HSE (E3.2, E7.3)			Response not necessary	
b) 5) Have employees been instructed and 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)			Response options: Yes, No	
c) Does your company have a process to periodically review and update HSE training? (E3.2)			Response options: Yes, No or Partial	
d) Where HSE training is given in-house, please describe the content and duration of courses.			Response not necessary	
e) What tools do you use to identify and access HSE specific resources, skills and knowledge? (P3)			Response not necessary	
<b>D- Unacceptable</b>	<b>C- Poor</b>	<b>B- Acceptable</b>	<b>A- Excellent</b>	<b>POINTS</b>
<i>No formal HSE training programme. No specialized HSE training for managers, supervisors or specialists/ personnel.</i>	<i>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.</i>	<i>Capability of managers and workforce is supported by appropriate levels of competence, skills, experience and behaviour to work effectively and meet OMS Expectations.</i>	<i>"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.</i>	
<b>3.3 Competence assurance</b>				
a) Does your organization have a competence assurance process? (E3.3)			Response options: Yes, No or Partial	
b) Does your company define competencies required for the individual roles and jobs within teams? (P3)			Response options: Yes, No or Partial	
c) What measures are in place to review individual's or team's capability and address temporary any gaps? (P3)			Response not necessary	
<b>D- Unacceptable</b>	<b>C- Poor</b>	<b>B- Acceptable</b>	<b>A- Excellent</b>	<b>POINTS</b>
<i>No evidence of competence assurance in place.</i>	<i>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.</i>	<i>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</i>	<i>"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-</i>	

		<i>are retained and kept up-to- date to assure that training has been completed and competencies have been assessed as adequate.</i>	<i>task, development plans, mentoring and performance review.</i>	
<b>3.4 Allocation of internal and external resources</b>				
a) Is there a system in place to allocate appropriate and sufficient internal and external resources to meet your objectives? (E3.4)			Response options: Yes, No or Partial	
b) Does your company have a contractor management process? (E3.4)			Response options: Yes, No or Partial	
c) 1) How do you assess the HSE capability and capacity internally, and if external resources are needed, of your suppliers and contractors? (E3.4)			Response not necessary Covered in 3.4.C)2)	
c) 2) Is a process in place to enhance opportunities for local sourcing of people, goods and services? (P3)			Response options: Yes, No or Partial	
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)			Response not necessary Covered in 3.1.b)	
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)			Response not necessary Covered in 3.2	
f) What HSE training do you provide to managers and workers responsible for contracting activities and oversight of contractors? (P3)			Response not necessary Covered in 3.2	
g) 1) How do you agree upon the interfaces and other bridging mechanisms for activities involving multiple parties using different management systems? (P3)			Response not necessary Covered in 2.3.b)	
g) 2) How do you identify alignment and relevant gaps (including roles, responsibilities and actions) in the different management systems of the participants? (P3)			Response not necessary Covered in 2.3.b)	
<b>D- Unacceptable</b>	<b>C- Poor</b>	<b>B- Acceptable</b>	<b>A- Excellent</b>	<b>POINTS</b>
<i>No written process for allocation of appropriate and sufficient internal and external resources.</i>	<i>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.</i>	<i>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.</i>	<i>"Acceptable" together with follow-up conducted on the HSE performance of their contractor. Contractor and their contractors working together for achievement of HSE objectives.</i>	
<b>Element 4: Stakeholders and customers</b>			<b>Comments:</b>	
<b>4.1 Stakeholders and customers</b>				
a) 1) How do you identify Stakeholders, including local communities? (E4.1)			Response not necessary Covered in 4.1.b.1	
a) 2) How are relationships established throughout the activities' life cycle? (E4.1)			Response not necessary Covered in 4.1.b.1	
a) 3) Which significant stakeholder groups does your company have? (P4)			Response not necessary Covered in 4.1.b.1	

a) 4) What is your company’s local community engagement plan and strategy? (P4)		Response not necessary Covered in 4.1.b.1		
b) 1) Does your company have a process to assess, manage and engage with your stakeholders including local communities, regarding life cycle risks and opportunities associated with the company’s products, assets and activities? (E4.2, E4.1, E4.4)		Response options: Yes, No or Partial		
b) 2) Describe how compliance with regulatory requirements is part of these processes. (E4.2)		Response not necessary Covered in 2.1.c		
c) Does your company have mechanisms in place to document, evaluate and address stakeholder and customer expectations and feedback, including concerns and grievances? (E4.3)		Response options: Yes, No or Partial		
d) 1) What kind of relationships has your company established with stakeholders and customers? (E4.4)		Response not necessary Covered in 4.1.b.1		
d) 2) Describe how communication and engagement is performed? (E4.4)		Response not necessary Covered in 4.1.b.1		
<b>D- Unacceptable</b>	<b>C- Poor</b>	<b>B- Acceptable</b>	<b>A- Excellent</b>	<b>POINTS</b>
<i>Open and sustainable relationships not established. Contractor not able to manage the risks and opportunities that have potential to affect its stakeholders and customers.</i>	<i>Open and sustainable relationships established. Contractor has identified relevant risks, but these are not fully understood, addressed and managed.</i>	<i>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.</i>	<i>“Acceptable” together with Contractor gaining short or long-term economic, social or environmental benefits from their relationship with stakeholders and costumers.</i>	
<b>Element 5: Risk assessment and control</b>			<b>Comments</b>	
<b>5.1 Risk assessment and control</b>				
a) 1) Does your company have a process to manage risks to an acceptable level for the scope of your activities? (E5.1)		Response options: Yes, No or Partial		
a) 2) How does your company ensure no operation is performed without a specific risk assessment? (E5.1)		Response not necessary Covered in 5a.1		
a) 3) Does your company monitor that all control and mitigation measures are in place before performing any operation? (E5.1)		Response options: Yes, No or Partial		
b) 1) How are conflicting interests dealt with, within your risk management process? (P5)		Response not necessary		
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)		Response not necessary Covered in 7.1.b)		
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)		Response not necessary Covered in 5.1.b.2 -> 7.1.b)		
d) Does your company manage changes and assess associated risks, e.g. temporary/permanent changes, non-conformities and deviations that affect the organization, activities, assets, operations, products, plans or procedures? (E5.3, E5.4)		Response options: Yes, No or Partial		
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)		Response not necessary Covered in 5.1.d)		

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)		Response not necessary Covered in 1.1.c)		
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)		Response not necessary Covered in 2.1.c.1		
a) 1) Does your company have a process to manage risks to an acceptable level for the scope of your activities? (E5.1)		Response options: Yes, No or Partial		
<b>D- Unacceptable</b>	<b>C- Poor</b>	<b>B- Acceptable</b>	<b>A- Excellent</b>	<b>POINTS</b>
<i>Company OMS 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.</i>	<i>Company OMS 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.</i>	<i>Company OMS 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.</i>	<i>"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.</i>	
<b>5.2: Health risk factors and impact</b>				
a) Does your company have a process to identify, assess and treat risks related to occupational health to an acceptable level?		Response options: Yes, No or Partial		
b) What is the organization's rationale for managing health risk and determining risk acceptability?		Response not necessary Covered in 5.2.d.2)		
c) Does your company have policies, objectives and programmes that cover all relevant health risks?		Response options: Yes, No or Partial		
d) 1) Who is accountable and responsible for managing health risk?		Response not necessary Covered in 5.2.d.2)		
d) 2) Does your company have sufficient resources and systems for health risk management?		Response options: Yes, No or Partial		
e) 1) What systems are in place to control health risk and monitor the effectiveness of these controls/barriers?		Response not necessary Covered in 5.2.d.2)		
e) 2) Does your company perform regular workplace exposure monitoring for individual workers?		Response options: Yes, No or Partial		
e) 3) Does your company ensure that required restitution time is provided and that extensive use of overtime does not become a working environment burden for its employees and is in compliance with regulations?		Response options: Yes, No or Partial		
e) 4) Does your company evaluate the health risks presented by use, transport and disposal of chemicals?		Response options: Yes, No or Partial		
<b>D- Unacceptable</b>	<b>C- Poor</b>	<b>B- Acceptable</b>	<b>A- Excellent</b>	<b>POINTS</b>
<i>No specific health policies, objectives and risk and control programmes in place.</i>	<i>Basic Health risk and control programmes are in place but not for significant health risks, e.g. occupational related illness, etc. No evidence</i>	<i>Comprehensive Health policies, objectives and programmes cover occupational and community health risks to personnel associated</i>	<i>"Acceptable" together with recognition of positive impacts and the optimization of benefits that the business activity may provide. These could include infrastructure</i>	

	<i>of comprehensive health programmes.</i>	<i>with the company's activities.</i>	<i>(e.g. water wells and clinics) and community health.</i>	
<b>5.3 Safety risk factors and impact</b>				
a) Does your company have a process 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)			Response options: Yes, No or Partial	
b) What is the organization's rationale for managing safety risk and determining risk acceptability? (P5)			Response not necessary	
c) Does your company have specific policies, objectives and programmes on specific safety risks and ensuring compliance with applicable regulations? (P5)			Response options: Yes, No or Partial	
d) 1) Who is accountable and responsible for managing safety risk? (P5)			Response not necessary	
d) 2) Does your company have sufficient resources available for safety risk management? (P5)			Response options: Yes, No or Partial	
e) 1) What systems are in place to control personal and process safety risks and monitor the effectiveness of these controls/barriers? (P5)			Response not necessary Covered in 5.3.a)	
e) 2) Does your company have a process to ensure provision and upkeep of PPE (personal protection equipment), both standard issue and items required for specialised activities? (P5)			Response options: Yes, No or Partial	
<b>D- Unacceptable</b>	<b>C- Poor</b>	<b>B- Acceptable</b>	<b>A- Excellent</b>	<b>POINTS</b>
<i>No specific safety hazard management programmes in place</i>	<i>Basic HSE programmes are in place, but not for significant risks, e.g. personnel injury, explosive atmospheres, etc. No evidence of comprehensive safety programmes.</i>	<i>Comprehensive HSE programmes cover safety risks related to injury, process safety incidents and damage to assets and/or company value</i>	<i>"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</i>	
<b>5.4 Environmental risk factors and impact</b>				
a) Does your company have a process to effectively identify, assess and treat risks related to local and global environmental impact to an acceptable level? (P5)			Response options: Yes, No or Partial	
b) What is the organization's rationale for managing environmental risk and determining risk acceptability? (P5)			Response not necessary	
c) Does your company have policies, objectives and programmes on specific environmental risks and ensuring compliance with applicable regulations? (P5)			Response options: Yes, No or Partial	
d) 1) Who is accountable and responsible for managing environmental risk? (P5)			Response not necessary	
d) 2) Does your company have sufficient resources available for managing environmental issues? (P5)			Response options: Yes, No or Partial	
e) 1) What systems are in place to control environmental risk and monitor the effectiveness of these controls/barriers? (P5)			Response not necessary Covered in 5.4.a)	
e) 2) Does your company document and report the usage of chemicals, including new chemicals? (P5)			Response options: Yes, No or Partial	
e) 3) Does your company have a process to ensure chemical risk (and substitution) assessments, implement necessary mitigating measures and confirm relevant permit/license from public authorities? (P5)			Response options: Yes, No or Partial	
e) 4) Does your company have a process for identifying, classifying, managing and reducing waste?			Response options: Yes, No or Partial	

<b>D- Unacceptable</b>	<b>C- Poor</b>	<b>B- Acceptable</b>	<b>A- Excellent</b>	<b>POINTS</b>
<i>No specific environmental hazard management programmes in place.</i>	<i>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.</i>	<i>Comprehensive environmental programmes cover environmental risks associated with the company's activities</i>	<i>"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.</i>	
<b>5.5 Security risk factors and impact</b>				
a) Does your company have a process to effectively identify, assess and treat risks and threats related to security of people, assets, information and reputation to an acceptable level?			Response options: Yes, No or Partial	
b) What is the organization's rationale for managing security risk and determining risk acceptability?			Response not necessary.	
c) Does your company have policies, objectives and programmes on specific security threats and ensuring compliance with applicable regulations and voluntary codes of practice?			Response options: Yes, No or Partial	
d) 1) Who is accountable and responsible for managing security risk?			Response not necessary. Covered in 5.5.a)	
d) 2) Does your company have sufficient resources available for managing security issues? (P5)			Response options: Yes, No or Partial	
e) Does your company have a process to control security risk and monitor the effectiveness of these controls/barriers?			Response options: Yes, No or Partial	
<b>D- Unacceptable</b>	<b>C- Poor</b>	<b>B- Acceptable</b>	<b>A- Excellent</b>	<b>POINTS</b>
<i>No specific security threat management programmes in place</i>	<i>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</i>	<i>Comprehensive security programmes cover security risks to personnel associated with the company's activities.</i>	<i>"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.</i>	
<b>5.6 Social responsibility risk factors and impact</b>				
a) Does your company have a process 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)			Response options: Yes, No or Partial	
b) What is the organization's rationale for managing social risk and determining risk acceptability? (P5)			Response not necessary	
c) Does your company have policies, objectives 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)			Response options: Yes, No or Partial	
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,			Response options: Yes, No or Partial	

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)		Response not necessary. Covered in 5.6.a)		
e) 2) Does your company have sufficient resources available to support those accountable and responsible for managing social risk? (P5)		Response options: Yes, No or Partial		
f) Does your company have a process to control social responsibility risk and monitor the effectiveness of these controls/barriers? (P5)		Response options: Yes, No or Partial		
<b>D- Unacceptable</b>	<b>C- Poor</b>	<b>B- Acceptable</b>	<b>A- Excellent</b>	<b>POINTS</b>
<i>No specific Social Responsibility management programme in place.</i>	<i>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.</i>	<i>Comprehensive Social Responsibility programmes cover Social Responsibility Risk factors associated with the company's activities.</i>	<i>"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.</i>	
<i>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.</i>				
<b>Element 6: Asset design and integrity</b>		<b>Comments:</b>		
<b>6.1 Asset design and integrity</b>				
a) Does your company use base line information and the results of risk assessments as input to asset design, selection and integrity decisions (E6.1)		Response options: Yes, No or Partial		
b) Does your company have all relevant criteria, specifications and standards to address risks and verify conformity throughout the life cycle of facilities, equipment and materials? (E6.2, E6.5)		Response options: Yes, No or Partial		
c) 1) Does your company have a process to ensure that facilities and/or equipment are operated within defined design and operating limits at all times? (E6.3)		Response options: Yes, No or Partial		
c) 2) Has the process been communicated to personnel that operate, maintain, inspect and manage the facilities and/or equipment? (E6.3)		Response options: Yes, No or Partial		
d) Does your company have a process to identify and manage critical risk controls/ barriers to prevent a major incident? (E6.4)		Response options: Yes, No or Partial		
e) 1) Does your company have processes to maintain, replace, test, inspect, calibrate, certify and verify performance of facilities and equipment? (E6.5)		Response options: Yes, No or Partial		
e) 2) How are frequencies for these types of activities determined? (E6.5)		Response not necessary Covered in 6.1 e1 and 6.1 b)		
e) 3) How does your company manage deviations from specified criteria? (E6.5)		Response not necessary Covered in 6.1. e1) and 2.3.e)		
f) Does your company have an accessible register of HSE critical facilities or equipment and their minimum performance criteria? (P6)		Response options: Yes, No or Partial		

<b>D- Unacceptable</b>	<b>C- Poor</b>	<b>B- Acceptable</b>	<b>A- Excellent</b>	<b>POINTS</b>
<i>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.</i>	<i>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.</i>	<i>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.</i>	<i>“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.</i>	
<b>Element 7: Plans and procedures</b>			<b>Comments:</b>	
<b>7.1 HSE plans and procedures</b>				
a) Does your company have a process to ensure that procedures are established, documented and maintained in accordance with identified regulations and other requirements? (E7.1, E7.3)			Response options: Yes, No or Partial	
b) Does your company have a process to revise and approve plans and procedures at an appropriate level of authority? (E7.2)			Response options: Yes, No or Partial	
c) What guidance and training does your company provide to enable effective implementation of plans and procedures as appropriate? (E7.3)			Response not necessary. Covered in 7.1.a), 3.2.b.1, 3.2.b.2, 3.2.b.4	
d) Does your company ensure that the latest version of an approved plan or procedure is available at point of use? (E7.4)			Response options: Yes, No or Partial	
<b>D- Unacceptable</b>	<b>C- Poor</b>	<b>B- Acceptable</b>	<b>A- Excellent</b>	<b>POINTS</b>
<i>No written HSE plans and procedures as necessary to manage HSE risks.</i>	<i>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.</i>	<i>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.</i>	<i>“Acceptable” together with plans and procedures as necessary to ensure opportunities. Plans are also developed to optimize HSE performance and drive continuous improvement.</i>	
<b>7.2 Contingency, emergency, crisis and continuity management</b>				
a) 1) Does your company have procedures for emergency response management and business continuity? (E7.5)			Response options: Yes, No or Partial	
a) 2) Provide some examples of situations which are included for each of the above? (E7.5)			Response not necessary. Covered in 7.2.a.1)	
b) Does your company have processes to ensure that required competent resources are in place, and participate in the required emergency exercises including incorporation of lessons learned? (E7.5)			Response options: Yes, No or Partial	
<b>D- Unacceptable</b>	<b>C- Poor</b>	<b>B- Acceptable</b>	<b>A- Excellent</b>	<b>POINTS</b>
<i>No evidence of attention paid to contingency, emergency, crisis and continuity management.</i>	<i>Basic emergencies covered by plans, e.g. fire, medical, spill, evacuation. No or irregular drills conducted. Limited attention to contingency, crisis and continuity management.</i>	<i>Company has a comprehensive contingency, emergency, crisis and continuity planning processes covering all reasonably foreseeable situations. Required resources available and regular</i>	<i>“Acceptable” together with systematic incorporation of lessons learned.</i>	

		<i>tests and drills are conducted.</i>		
<b>Element 8: Execution of activities</b>			<b>Comments:</b>	
<b>8.1 Execution and control of activities</b>				
a) 1) Does your company have processes to ensure operational readiness and the integrity of systems prior to commencing work? (E8.1)			Response options: Yes, No or Partial	
a) 2) How does your company confirm that interfaces/handovers are established? (E8.1)			Response not necessary. Covered in 8.1 a) 1)	
b) How does your company assure consistent application of processes to ensure activities and tasks are executed in accordance with plans? (E8.2)			Response not necessary. Covered in 8.1 a) 1)	
c) Does your company perform supervisory actions to confirm that critical activities are executed in compliance with plans and procedures, and deliver the expected outcome? (E8.3)			Response options: Yes, No or Partial	
d) Describe your company culture related to “Stop and Intervene”? (E8.4)			Response not necessary. Covered in 1.1 b)	
e) How does your company manage inadequate performance or unacceptable behaviour? (E8.4)			Response not necessary. Covered in 1.1 e)	
<b>D- Unacceptable</b>	<b>C- Poor</b>	<b>B- Acceptable</b>	<b>A- Excellent</b>	<b>POINTS</b>
<i>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.</i>	<i>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.</i>	<i>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.</i>	<i>“Acceptable” together with consistently achieves and/or exceeds specified requirements. Contractor actively seeks and share experience and knowledge across the industry.</i>	
<b>Element 9: Monitoring, reporting and learning</b>			<b>Comments:</b>	
<b>9.1 Monitoring and learning</b>				
a) Does your company have arrangements to ensure the implementation of, and compliance with the OMS? (E9.1)			Response options: Yes, No or Partial	
b) Does your organization have arrangements to ensure the achievement of the HSE objectives? (E9.1)			Response options: Yes, No or Partial	
c) Please describe which processes your company has for (E9.3):			Response not necessary.	
c) 1) learning from incidents, events and non-conformities from both internal and external sources			Response not necessary. Covered in 1.1.c)	
c) 2) benefitting from learning opportunities and good practices within the organization, your industry, and from other public sources			Response not necessary. Covered in 1.1.c)	
c) 3) Does your company have a process for implementing appropriate remedial actions to correct identified rootcauses, strengthen risk controls/barriers and prevent recurrence?			Response options: Yes, No or Partial	
c) 4) Does your company have a process to verify the closure of actions or plans?			Response options: Yes, No or Partial	
d) How does your company communicate the learning from monitoring and reporting processes? (P9)			Response not necessary. Covered in 1.1.c), 10.1.d.1., 9.4.b)	

<b>D- Unacceptable</b>	<b>C- Poor</b>	<b>B- Acceptable</b>	<b>A- Excellent</b>	<b>POINTS</b>
<i>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.</i>	<i>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.</i>	<i>Company has a system for monitoring effectiveness of the OMS 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.</i>	<i>“Acceptable” together with monitoring of performance in all specified subjects with formal review, follow up and communication for continuous improvement.</i>	
<b>9.2 Incidents, events and non-conformities</b>				
a) Does your company report, record, classify and investigate Incidents, events and non-conformities to determine direct and root causes? (E9.2)			Response options: Yes, No or Partial	
b) Does your company have established some sort of voluntary public reporting? (P9)			Response options: Yes, No or Partial	
c) Please provide the following incident statistics for the previous five years, specifying which standard for reporting have been used.			Text field	
a. Number of fatalities			A table with one column per year is configured so that it always contains figures for the last five years.	
b. Number of Lost Time Injuries				
c. Number of Lost Workday Cases Days (No. of Lost Work Days due to Lost Time Injuries)				
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 the following environmental statistics for the previous five years, specifying which standard for reporting have been used.			Text field	
a. Gaseous emissions			<p>N.B. Emissions shall be reported per gas.</p> <p><b>Direct gases</b></p> <ul style="list-style-type: none"> <li>• Carbon dioxide (CO<sub>2</sub>)</li> <li>• Methane (CH<sub>4</sub>)</li> <li>• Nitrous oxide (N<sub>2</sub>O)</li> <li>• Hydrofluorocarbons (HFCs)</li> <li>• Perfluorocarbons (PFCs)</li> <li>• Sulphur hexafluoride (SF<sub>6</sub>)</li> <li>• Nitrogen trifluoride (NF<sub>3</sub>)</li> </ul> <p><b>Indirect gases:</b></p> <ul style="list-style-type: none"> <li>• Nitrogen oxides (NO<sub>x</sub>)</li> <li>• Carbon monoxide (CO)</li> <li>• Non-methane volatile organic compounds (NMVOC)</li> <li>• Sulphur dioxide (SO<sub>2</sub>)</li> </ul> <p>A table with one column per year is configured so that it always contains figures for the last five years.</p>	

				ENTER "0" (zero) if not relevant.
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				A table with one column per year is configured so that it always contains figures for the last five years. - Flaring - Spills to the sea of non-aqueous drilling fluids in drill cuttings ENTER "0" (zero) if not relevant
e) Has your company experienced any major incident according to Tier 1 and Tier 2, ref. IOGP Report 456?				Response options: Yes or No
<i>NOTE 1: If not using the IOGP definitions (refer to the most recent IOGP safety data reporting user guide), please include your company definitions.</i> <i>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.</i>				
<b>D- Unacceptable</b>	<b>C- Poor</b>	<b>B- Acceptable</b>	<b>A- Excellent</b>	<b>POINTS</b>
<i>No system for reporting, recording and classification of HSE Incidents, events and non-conformities. Company supplied insufficient information to establish trends.</i>	<i>Limited reporting, recording and classification of HSE Incidents, events and non-conformities. Data set is not complete. Trends show performance is not improving.</i>	<i>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.</i>	<i>"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.</i>	
<b>9.3 HSE performance</b>				
a) 1) Does your company have a process to define and establish key HSE performance indicators (KPIs) to improve performance? (E9.4, E9.5)				Response options: Yes, No or Partial
a) 2) Does your company regularly review the HSE KPIs?				Response options: Yes, No or Partial
b) How does your company ensure quality in terms of consistency, accuracy and completeness of monitored and reported data (KPIs)? (E9.5)				Response not necessary. Covered in 9.3 a) 1)
<b>D- Unacceptable</b>	<b>C- Poor</b>	<b>B- Acceptable</b>	<b>A- Excellent</b>	<b>POINTS</b>
<i>No system for HSE performance monitoring and/or analysis of the data reported to produce useful indicators is established.</i>	<i>Limited HSE performance monitoring is carried out. Limited analysis of the data reported to produce useful indicators.</i>	<i>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.</i>	<i>"Acceptable" together with cultural reporting and surveys to ensure understanding of organizational HSE culture. Leading indicators are fostered in the company.</i>	
<b>9.4 HSE events and incidents investigation and follow-up</b>				
a) Briefly describe types of HSE events and incidents which are investigated? (P9)				Response not necessary. Covered in 9.2.a) and 9.4.b)
b) Does your company have a process for investigation of incidents including implementation of lesson learned? (P9)				Response options: Yes, No or Partial
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?				Response not necessary. Covered in 9.2.a) and 9.1.c.3
d) Briefly describe the processes used for the analysis of HSE events and incident investigation findings?				Response not necessary. Covered in 9.4.b)
<b>D- Unacceptable</b>	<b>C- Poor</b>	<b>B- Acceptable</b>	<b>A- Excellent</b>	<b>POINTS</b>
<i>No system for formally investigating HSE events/ incidents and/or</i>	<i>System in place for investigation of some HSE incidents. Limited</i>	<i>System in place to investigate events/incidents and</i>	<i>"Acceptable" together with follow up of remedial actions and</i>	

<i>analysis of data and information.</i>	<i>event (near miss) investigation. Limited analysis of data and information to identify causes and suitable actions to address weaknesses and opportunities for improvement.</i>	<i>analyse data and information to identify causes and suitable actions to address weaknesses and opportunities for improvement.</i>	<i>communication of incident learning for effective prevention. Near miss incidents investigated in the same manner as other incidents.</i>	
<b>9.5 Statutory notifiable incidents or non-compliance notices</b>				
a) 1) How does your company ensure compliance with any statutory requirements for reporting and investigation in the jurisdictions you operate within? (P9)			Response not necessary. Covered in 2.1.c	
a) 2) Has your company had any statutory notifiable incidents in the previous five years? (P9)			Response options: Yes, No or Partial	
<b>D- Unacceptable</b>	<b>C- Poor</b>	<b>B- Acceptable</b>	<b>A- Excellent</b>	<b>POINTS</b>
<i>No system in place for compliance with statutory requirements for reporting and investigation.</i>	<i>Limited compliance with statutory requirements for reporting and investigation.</i>	<i>System in place for compliance with statutory requirements for reporting and investigation.</i>	<i>"Acceptable" together with active experience transfer within industry.</i>	
<b>Element 10: Assurance, review and improvement</b>			<b>Comments:</b>	
<b>10.1 Assurance process, including audits</b>				
a) 1 Briefly describe your company's assurance process to evaluate conformity with — expectations; — organizational capability; — effectiveness of the OMS in meeting objectives, stakeholder and business needs; — and also identify areas for improvement?			Response not necessary. Covered in 10.1 a) 2)	
a) 2) Does your company have a process covering internal audits and supplier audits? (E10.1)			Response options: Yes, No or Partial	
b) Has your company defined competence requirements for auditors?			Response options: Yes, No or Partial	
c) How are HSE audits scheduled and what scope of auditing is covered? e.g. internal, regulatory compliance, supplier/contractor, HSE management system implementation. (E10)			Response not necessary. Covered in 10.1 a) 2)	
d) 1). Does your company monitor trends? (M10)			Response options: Yes, No or Partial	
d) 2) What does trend monitoring include? (M10)			Response not necessary. Covered in 10.1 d) 1.	
e) Does your company track that audits are executed as per plan, including a timely implementation of action items? (M10)			Response options: Yes, No or Partial	
<b>D- Unacceptable</b>	<b>C- Poor</b>	<b>B- Acceptable</b>	<b>A- Excellent</b>	<b>POINTS</b>
<i>No systematic assessment of the OMS to ensure effectiveness, suitability and fitness-for-purpose is sustained and improvement plans are developed at each level of the organization.</i>	<i>Some assurance mechanisms established to assess that the OMS expectations and related processes are properly understood, implemented and executed.</i>	<i>Company systematically assess the OMS to ensure effectiveness, suitability and fitness-for-purpose is sustained and improvement plans are developed at each level of the organization.</i>	<i>"Acceptable" together with a learning culture from assurance processes and performed audits.</i>	
<b>10.2 Management review and follow-up</b>				
a) Does your company have a process for regular management review? (E10.2, E10.3, E10.5)			Response options: Yes, No or Partial	

b) What is assessed in management review meetings to ensure understanding of risk control/barrier weaknesses and identify opportunities for improvement? (E10.3)			Response not necessary. Covered in 10.2a)	
c) Does your OMS contribute to continuous improvement? (E10.4)			Response options: Yes, No or Partial	
d) Provide evidence of managers formally reviewing the effectiveness and fitness-for- purpose of the OMS. (ISO 9001:2015) (E10.5)			Response not necessary. Covered in 10.2a)	
e) Please provide a copy of minutes from management review meeting. (M10)			Response not necessary. Assessed as critical and sensitive information for the contractor	
<b>D- Unacceptable</b>	<b>C- Poor</b>	<b>B- Acceptable</b>	<b>A- Excellent</b>	<b>POINTS</b>
<i>No systematic assessment of the OMS to ensure effectiveness, suitability and fitness-for-purpose is sustained and improvement plans are developed at each level of the organization.</i>	<i>Some assurance mechanisms established to assess that the OMS expectations and related processes are properly understood, implemented and executed.</i>	<i>Company systematically assess the OMS to ensure effectiveness, suitability and fitness-for- purpose is sustained and improvement plans are developed at each level of the organization.</i>	<i>"Acceptable" together with a learning culture from assurance processes and performed audits.</i>	
<b>Section A: HSE management - additional features</b>			<b>Comments:</b>	
<b>(i) Certification of OMS</b>				
Does your company have an OMS in accordance with accepted international standards?			Response options: Yes or No Certificate(s) to be uploaded on supplier page in the JQS solution	
<b>D- Unacceptable</b>	<b>C- Poor</b>	<b>B- Acceptable</b>	<b>A- Excellent</b>	<b>POINTS</b>
<i>No evidence of Management system developed to a level comparable to international standards.</i>	<i>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.</i>	<i>Management system developed to a level comparable to international standards but not certified.</i>	<i>Externally certified to one or more recognized international standards e.g. ISO 9001, ISO 14001, OHSAS 18001 (or ISO 45001), ISO 29001, API Q1</i>	
<b>(ii) Memberships of Associations</b>				
Does your company participate in relevant HSE industry, trade, and governmental organizations?			Response options: Yes or No	
<b>(iii) Additional Features of OMS</b>				
Does your organization (globally, regionally or locally) have any HSE features or arrangements not described elsewhere in your response to the questionnaire?			Response not necessary.	
<b>D- Unacceptable</b>	<b>C- Poor</b>	<b>B- Acceptable</b>	<b>A- Excellent</b>	<b>POINTS</b>
<i>No involvement with HSE through industry or trade associations. No additional features to OMS.</i>	<i>Company has membership of industry bodies/ association little involvement with HSE initiatives. Some additional OMS features with value.</i>	<i>Company is an active member of industry bodies/ associations related to HSE. Several OMS features which add value.</i>	<i>"Acceptable" together with industry or client recognition/awards for HSE initiatives and/or performance.</i>	
<b>Comments or relevant supplementary information:</b>			<b>Text field</b>	

## Annex B (informative)

### Contract Modes - Classification (Based on IOGP Report No. 423)

#### B.1 General

This annex describes the different contract modes, contract mode coverage and what to be included as HSEQ requirements in the different contract modes, see Table B.1, Table B.2, Table B.3 and Table B.4 for guidance.

**Table B.1 Guidance for selecting Contract Modes - Classification (Based on IOGP Report No. 423)**

Contact Mode 1	Contract Mode 2	Contract Mode 3
<ul style="list-style-type: none"> <li>— Company's Management system applies</li> <li>— Company leads and directs the work</li> <li>— Work at Company site</li> <li>— Interface management</li> <li>— High/Medium risk and/or complexity</li> </ul> <p><i>Examples:</i> Modifications &amp; maintenance &amp; turnaround work at Company site, Wells intervention, ISO service and Catering. Study and Verification activities involving risks</p>	<ul style="list-style-type: none"> <li>— Contractor's Management system applies</li> <li>— Contractor leads and directs the work</li> <li>— Work at Contractor and/or Company site</li> <li>— Interface management between Company, Contractor and sub-suppliers related to scope of work</li> <li>— High/Medium risk and/or complexity</li> </ul> <p><i>Examples:</i> Hiring of Drilling rigs, Helicopter transport, Platform Supply Vessels (PSV), M&amp;M projects, EPC projects, Sub-sea projects (tie-back), D&amp;W Services, Equipment manufactured in accordance with Frame agreement and specifications. Study and Verification activities involving risks</p>	<ul style="list-style-type: none"> <li>— Contractor's Management system applies</li> <li>— Contractor leads and directs the work</li> <li>— Work at Contractor site</li> <li>— Limited HSE critical work/services, including at Company office/site or under Company management system</li> <li>— Low risk and complexity</li> </ul> <p><i>Examples:</i> Simple administrative or office service assignments, Desk top studies, Procurement of standard products and noncritical components. Study and verification activities not exposing Company from other clients or risks</p>
<p>* Note: IOGP terminology using Client is replaced with Company</p>		

**Table B.2 Contract mode coverage**

Contract Mode coverage **	Mode 1	Mode 2	Mode 3
Contractor has an OMS to manage its business activities (Context)	Yes	Yes	Yes
Interface management between Company & Contractor including Subcontractors and their contractors, if relevant.	Yes	Yes	No
Risk and/or complexity of business activities (Context)	High / Medium	High / Medium	Limited

Work commenced on Company site – Onshore or offshore Work under Company OMS (Operation Management System) Contractor provides people, processes and/or equipment for the execution of the contract.	Yes	No (Yes, if including work at Company site)	No
Work commenced on Contractor site under Contractor’s OMS	No	Yes (Company, if work at Company site)	Yes
Responsibility for assurance and verification activities	Company	Contractor (Company, if work at Company site)	Contractor (Company, if work at Company site)
<i>** Based on company criteria and evaluation of supplier / contract</i>			

**Table B.3 Typical documentation specified in SoW**

Typical documentation specified in scope of work***		Mode 1	Mode 2	Mode 3
10.2	Contract specific Quality plan relevant for scope of work	If relevant	Yes	No
9.1.2	Contract specific HSE plan relevant for scope of work (to be identified as SoW delivery)	If relevant	Yes	No
5.4	Bridging document – Interface management	If relevant	Yes	No
	KPI – HSEQ Performance Data	If relevant	Yes	If relevant
*** Recommended documentation & extent of reporting to be defined I contract related to Scope of Work and criticality				

**Table B.4 Table of content – for administrative HSEQ requirements in contracts**

Table of Contents in HSEQ contracts		Mode 1	Mode 2	Mode 3
<b>1</b>	<b>Instruction for use (general)</b>	X	X	X
<b>2</b>	<b>Normative references</b>	X	X	X
<b>3</b>	<b>Definitions</b>	X	X	X
<b>4</b>	<b>Abbreviations</b>	X	X	X
<b>5</b>	<b>Operating Management System (OMS)</b>	X	X	X
5.1	Introduction	X	X	X
5.2	Policies, standards and objectives	X	X	X
5.3	Processes and systems	X	X	X
5.4	Interface between Contractor and Company	X	X	
5.5	Conditions affecting the qualification status	X	X	
5.6	Contractor’s qualification and follow up processes for Subcontractors and their contractors	X	X	
<b>6</b>	<b>Contractors audit and verification programme</b>	X	X	
<b>7</b>	<b>Company’s audit and verification rights</b>	X	X	
<b>8</b>	<b>Contractor’s organisation</b>	X	X	
8.1	Organisation	X	X	

<b>Table of Contents in HSEQ contracts</b>		<b>Mode 1</b>	<b>Mode 2</b>	<b>Mode 3</b>
8.2	Employee involvement	X	X	
8.3	Competence and training	X	X	
<b>9</b>	<b>Health and working environment, Safety, Security, Social responsibility including human rights and the environment (HSE)</b>	X	X	X
9.1	General	X	X	X
9.1.1	<i>Introduction</i>	X	X	X
9.1.2	<i>Contract specific HSE plan</i>		X	
9.1.3	<i>Emergency response management</i>		X	X
9.1.4	<i>Security</i>	X	X	X
9.1.5	<i>Incident management system</i>		X	X
9.1.6	<i>Notification and reporting of HSE incidents</i>		X	
9.1.7	<i>Incident investigation</i>		X	
9.2	<i>Health and working environment, Safety</i>	X	X	
9.2.1	<i>Health service</i>	X	X	
9.2.2	<i>Alcohol and drugs</i>	X	X	
9.2.3	<i>Preventing Substance Abuse</i>	X	X	
9.2.4	<i>Working hours</i>		X	
9.2.5	<i>Work Environment Surveys</i>	X	X	
9.2.6	<i>Chemicals</i>		X	
9.2.7	<i>Hazardous exposure in working environment</i>	X	X	
9.2.8	<i>Radioactive Sources</i>	X	X	
9.2.9	<i>Explosives</i>	X	X	
9.2.10	<i>Prevention of falling objects</i>	X	X	
9.2.11	<i>Safe use of lifting equipment</i>	X	X	
9.2.12	<i>Personal Protective Equipment (PPE)</i>	X	X	
9.2.13	<i>Employee Safety Representative</i>		X	
9.3	External environment	X	X	
9.3.1	<i>Introduction</i>	X	X	
9.3.2	<i>Waste management</i>		X	
9.3.3	<i>Reporting of emissions</i>		X	
9.4	Human rights	X	X	X
9.5	Breach of security, safety and/or working regulations	X	X	
9.5.1	<i>General</i>	X	X	
9.5.2	<i>Orders, prohibitions notices and demands for improvement</i>	X	X	X
9.6	Work at company site	X		
9.6.1	<i>General</i>	X		
9.6.2	<i>Company's requirement emergency response management</i>	X		
9.6.3	<i>Work Permits and identification</i>	X		
9.6.4	<i>Notification and reporting of HSE incidents</i>	X		

Table of Contents in HSEQ contracts		Mode 1	Mode 2	Mode 3
9.6.5	<i>Investigations of HSE incidents</i>	X		
9.6.6	<i>Chemicals</i>	X		
9.6.7	<i>Working hours</i>	X		
9.6.8	<i>Employee safety representative</i>	X		
<b>10</b>	<b>Quality management</b>	X*	X	X
10.1	General	X*	X	X
10.2	Quality plan		X	
10.3	Inspection and test plan (ITP)		X	
10.4	Quality deviations	X	X	X
10.5	Deviation permit and concession		X	
10.6	Quality records	X	X	X
<b>11</b>	<b>Risk management</b>	X	X	X
<b>12</b>	<b>Security requirements for offshore delivery of material</b>	X	X	X
12.1	Material in sealable containers	X	X	X
12.2	Norwegian Oil and Gas Association security agreement	X	X	X
* If relevant				

## B.2 General guidance notes

The following applies to HSEQ for Mode 1 (Annex C), Mode 2 (Annex D) and Mode 3 (Annex E):

- This document and the requirements contained herein shall be used for all contract subjects. The minimum requirements have been prepared and approved by the relevant function areas and discipline owners and SHALL NOT be changed without approval by them. Other requirements can be tailored to fit the specific procurement at hand (guidance given in framed boxes in Annex C, Annex D and Annex E).
- The document is targeting projects in Norway and contains references to Norwegian laws and standards. For use internationally; ensure the proper tailoring.
- The document assumes that Company is the principle enterprise at a Company offshore Site. Under special circumstances the principal enterprise will be the contractor e.g. for cessation projects, and the document shall be tailored accordingly (especially by defining “Site” and removing “Company’s installations”).
- In Conditions of Contract the term subcontractor see 3.18. The definition does not cover sub-subcontractors and those further down the subcontracting chain! Therefore, wherever we state requirements that need to apply to all the subcontracting chain, we shall use the term ‘Subcontractors and their contractors’.

## **Annex C** (informative)

### **Mode 1 - HSEQ requirements**

#### **C.1 Instructions for use**

See Annex B.2 for general guidance.

Contractor shall manage the Work and deliver the Deliverables in accordance with the Administration Requirements set forth in this annex and in compliance with all other parts of the Contract.

Requirements in this contract is applicable for the Contractor, Subcontractors and their contractors.

#### **C.2 Normative references**

Normative references are listed in clause 2.

#### **C.3 Definitions**

Terms and definitions are listed in clause 3.

Definitions should be tailored for each procurement and contract!  
Definitions given in NORSOK S-WA-006 shall not be altered for Mode 1 contracts.

#### **C.4 Abbreviations**

Abbreviations are listed in clause 4.

Abbreviations should be tailored for each procurement and contract!

#### **C.5 Operating Management System (OMS)**

##### **C.5.1 Introduction**

Contractor shall have relevant Operating Management System (OMS) in place in accordance with requirements in NS-EN ISO 9001, NS-EN ISO 14001, NS-ISO 45001, UN Guiding Principles on Business and Human Rights, expectations defined in IOGP 510 OMS Framework and national legislation. If use of equivalent standards this will be subject to Company approval. The OMS shall be appropriate to the context and complexity of Contractors activities to manage different aspects and risks. The following sections expand on Company's expectations and requirements to Contractor in conducting its operating management activities.

##### **C.5.2 Policies, standards and objectives**

Contractor shall conduct its business activities to support Company's vision and ambition to comply with applicable laws, act in an ethical, sustainable and socially responsible manner, practice good corporate governance and respect international recognised human rights principles.

### C.5.3 Processes and systems

In the implementation and administration of the Contract, Contractor shall use its own internal processes and systems. However, Contractor and subcontractors shall adapt its processes and systems to comply with Company's requirements in this Contract.

Contractor shall seek for digital solutions where possible. Company shall at all time have access to Contractor's data produced under this Contract. The exchange of data between Company and Contractor shall seek to be as effective and digital as

poshttps://standardnorge1.sharepoint.com/sites/SN-PET/Delte dokumenter/Forms/AllItems.aspx?sortField=Modified&isAscending=false&viewid=7403d057%2D8df3%2D4c9e%2Db558%2D626776a4f6b8&id=%2Fsites%2F%2FSN%2DPET%2FDelte%20dokumenter%2F2a%2E%20NORSOK%2FS%20%2D%20Safety%2FS%2DWA%2D006%2F2020%2F30 - view=3sible.

### C.5.4 Interface between Contractor and Company

When Contractor performs Work on Company's sites, facilities or vessels; Company's methods, systems, routines and procedures shall be adhered to. Contractor shall identify and manage all critical interfaces i.e. communication, responsibilities and authority, relevant procedures, equipment, reporting lines etc between Contractor and Company including other interfacing parties such as Subcontractors and their Contractors.

Identified interfaces and mitigating actions shall be managed, documented and approved by all parties. The Contractor is responsible for co-ordination, approval and communication of interface documents.

### C.5.5 Conditions affecting the qualification status

Conditions which may have effect on Contractor's current qualification status shall immediately be reported to Company. Such conditions are, but not limited to:

- changes in OMS;
- changes in Key Personnel or ownership of the enterprise/business;
- changes in level of competence; or
- the availability of resources which may affect Company.

### C.5.6 Contractor's qualification and follow-up processes for Subcontractors and their contractors

Contractor has the responsibility for establishing documented processes for qualification and follow up subcontractors and their contractors to ensure that requirements in this contract are communicated prior to start-up of work and that they are complied with.

## C.6 Contractor's audit and verification programme

Contractor shall establish, implement and maintain an Audit and Verification programme(s) to manage the risk of own and Subcontractors and their contractor's activities for the Work in accordance with the principles and guidelines in NS-EN ISO 19011 "Guidelines for auditing management systems".

Personnel responsible for managing Audit programme(s) and conducting management system Audits on behalf of Contractor shall be able to document their competence in accordance with NS-EN ISO 19011.

Company shall have the right to participate in the planning of, and participate as an observer in, any Audit or Verification activity related to the Work. Company shall be given minimum ten (10) days' notice prior to any Audit or Verification activity by Contractor.

The complete overview of all Audit and Verification activities, including design verifications, shall be updated on a regular basis. This overview shall include corrective actions from these activities in a searchable format. Activities and actions related to working environment or safety shall be marked separately.

## **C.7 Company's audit and verification rights**

Company shall have the right to perform Audit and Verification activities towards Contractor and Subcontractors and their contractors throughout the duration of Contract.

Audits and Verifications carried out by Company shall not relieve Contractor of its responsibility for the Work.

Company shall give minimum ten working days' notification to Contractor prior to any Audit and Verification activity.

Contractor shall provide the facilities, resources and assistance required for the execution of Audit and Verification by Company. Contractor shall on request provide documentation to document compliance with requirements and contract.

Contractor shall provide corrective action(s) and planned completion date(s) for any Audit or Verification findings within ten working days after final report issued by Company.

Closing of findings shall be documented.

Contractor, Subcontractor and their contractors shall bear their own costs related to Audits and Verifications carried out by Company.

In co-operation with Company, Contractor's senior management shall conduct regular visits to relevant sites.

## **C.8 Contractor's organisation**

### **C.8.1 Organisation**

Contractor shall establish and support a dedicated organisation including all necessary resources to supervise and execute the Work.

Contractor shall establish clearly defined responsibilities and job descriptions for all personnel performing parts of the Work. All personnel shall be briefed to fully understand their functions, roles and responsibility.

Contractor shall at any time be able to document that "up to date" files complete with organisation charts, job descriptions and resumes of all Key Personnel are maintained.

Contractor's organisation chart is included in annex <del>x</del> hereto.
---------------------------------------------------------------------------

Contractor shall update and maintain the organisation chart throughout the Contract duration. Contractor shall notify Company if changes of Key Personnel.

The organisation chart shall include:

- names and positions and areas of responsibility;
- identification of Key Personnel, including HSE and Quality;
- links to, and organisation chart of Subcontractors and their contractors.

If the Contract contains requirements for personnel with specific qualifications, Contractor shall describe how Contractor will ensure that such personnel are available.

Contractor's Key Personnel are defined in annex ~~X~~ hereto.

### **C.8.2 Employee involvement**

Employees shall be involved in accordance with NS-ISO 45001 and national legislations.

### **C.8.3 Competence and training**

Contractor's personnel shall meet all competence requirements necessary to perform the Work.

Contractor is responsible for planning and documentation of all training and courses required by the Contract and Scope of Work. Training activities may include Company specific courses relevant for the Work.

## **C.9 Health and working environment, safety, security, social responsibility including human rights and the environment (HSE)**

### **C.9.1 General**

#### **C.9.1.1 Introduction**

Contractor shall actively train and encourage personnel to intervene on unsafe behaviours and conditions and report on deviations from procedures, plans and expectations.

NOTE Personnel include subcontractor and their contractors.

#### **C.9.1.2 Contract specific HSE plan**

#### **C.9.1.3 Emergency response management**

#### **C.9.1.4 Security**

Contractor shall establish and maintain a system for the identification, assessment and mitigation of security risks. Contractor's security management system shall as a minimum cover:

- personnel security (identification and verification of personnel, travel security etc.);
- physical security (Access and admission control, physical security measures, fences, detection surveillance etc.);
- information security (protection of company information and IT systems);
- security incident response and reporting; and
- other actions or omissions by Contractor's personnel or Third Parties which are performed with intent to harm Company's personnel, facilities, activities or reputation.

Security measures which protect Company against intended harm at a normal threat level shall be supplemented by Contractor with appropriate additional security measures if the threat level or occurrences of security incidents of potential relevance to the Work indicate that the possibility of harm has increased.

Contractor shall establish and maintain a system for handling sensitive information corresponding to Company's need to protect such information.

Contractor shall ensure that the identity of personnel performing any part of the Work has been properly verified (by manual or automated control), that relevant qualifications have been confirmed.

Contractors and Subcontractors shall have a dedicated point of contact for security issues.

Contractor shall comply with the International Ship & Port Facility Security Code (ISPS Code), if required.

#### **C.9.1.5 Incident management systems**

#### **C.9.1.6 Notification and reporting of HSE incidents**

#### **C.9.1.7 Incident investigation**

### **C.9.2 Health and working environment, safety**

#### **C.9.2.1 Health service**

Contractor and its Subcontractors and their contractor's personnel shall have access to a health service according to national legislation. First aid equipment shall be easily available for all personnel.

#### **C.9.2.2 Alcohol and drugs**

Company has zero tolerance for influence and use of alcohol and/or drugs during performance of Work. Any use of alcohol or drugs shall be strictly forbidden while carrying out Work in accordance to Contract.

Pharmacological use of medical drugs shall only take place in accordance with written and signed instructions given by a medical practitioner and not affecting work performance. Personnel found to be under influence of alcohol, medication and/or drugs shall be denied access to Site.

#### **C.9.2.3 Preventing substance abuse**

Contractor shall work systematically to prevent and expose substance abuse by its own employees and the employees of Subcontractors and their contractors. Contractor shall have formal policies and procedures for dealing with substance abuse by its own personnel and ensure that Subcontractors and their contractors have corresponding procedures.

#### **C.9.2.4 Working hours**

#### **C.9.2.5 Work environment surveys**

Contractor shall establish systems for conducting regular Working Environment Surveys, monitor and implement mitigating actions to reduce unintended exposure and prevent damage in accordance with national legislations.

#### **C.9.2.6 Chemicals**

#### **C.9.2.7 Hazardous exposure in working environment**

Contractor shall have a systematic process to prevent and reduce exposure to dangerous materials, noise and mechanical vibrations in accordance with national requirements

**C.9.2.8 Radioactive sources**

Transportation, storage and use of radioactive sources shall comply with relevant national legislation. Contractor shall also be responsible for obtaining the necessary permissions for transportation, storage and use of radioactive sources.

**C.9.2.9 Explosives**

Contractor shall have procedures and approvals for running and handling of explosives.

Contractor shall document necessary training of employees who handle such products and services, as well as appointing a person in charge to ensure the control of quality, quantity and location of explosives.

**C.9.2.10 Prevention of falling objects**

The preventive falling object management system shall include compliance with procedures, measures for prevention of falling objects, routines for follow up of falling objects and measurement of results.

A systematic approach and process to avoid incidents with falling objects shall be established.

**C.9.2.11 Safe use of lifting equipment**

Contractor shall implement and comply with national legislations and equivalent industry standards for safe management of lifting equipment and operations.

**C.9.2.12 Personal protective equipment (PPE)**

Contractor shall provide correct PPE and ensure that all its personnel performing the Work are equipped with and make use of correct PPE during the Work. PPE shall be maintained in good condition or replaced by Contractor.

Required PPE shall as a minimum consist of helmet, safety glasses, protective shoes, gloves, coveralls, hearing protection (single and/or double) and/or breathing masks, where assessed necessary in accordance with own risk evaluation and international recognized standards.

**C.9.2.13 Employee safety representative****C.9.3 External environment****C.9.3.1 Introduction**

Contractor's environmental management system shall be in accordance with national legislations and NS-EN ISO 14001 or equivalent and NORSOK S-003 Environmental care.

**C.9.3.2 Waste management****C.9.3.3 Reporting of emissions**

#### **C.9.4 Human rights**

Contractor shall take effective measures to ensure that its performance of the Contract respect Human Rights consistent with the United Nations Guiding Principles on Business and Human Rights (2011) [6]. To this effect, Contractor, in connection with performance of the Contract, shall:

- take all reasonable steps to avoid, or otherwise appropriately address or remedy, including through the establishment of appropriate grievance mechanisms, adverse impacts on Human Rights which it or any of its affiliates (the parent company of Contractor or any subsidiary of Contractor or subsidiary of the parent company of Contractor), or any officer, director, agent, representative or employee of Contractor or such affiliates may cause or contribute to;
- take reasonable steps to seek to prevent or mitigate adverse human rights impacts to which Contractor's or any of its affiliates' operations, products or services are directly linked through a business relationship; and
- take all reasonable measures in order to ensure that no officer, director, agent, representative or employee of Contractor or affiliates take part in or support, whether through acts or omissions, Modern Slavery pursuant to the UK Modern Slavery Act 2015 [8] or any other applicable bodies of law.

In the event Contractor fails to comply with the obligations in this section, Contractor shall on its own initiative or upon Company's request, promptly identify and implement the actions necessary to cure such breach.

If a breach of section above is not cured by Contractor within reasonable time or repeated breaches of these obligations occur, this shall be regarded as a substantial breach of the Contract.

For the purpose of this section, the following definitions shall apply: human rights" as described in 3.44 and "modern slavery" as described in 3.46.

#### **C.9.5 Breach of security, safety and/or working regulations**

##### **C.9.5.1 Introduction**

Any breach of security, safety and/or working regulations in this Contract, entitles Company the right to demand removal and replacement of Contractor's worker (including Subcontractors and their contractors).

##### **C.9.5.2 Orders, prohibition notices and demands for improvement**

Any orders, prohibition notices / notifications, or requirements for improvement imposed on Contractor issued by authorities shall be reported to Company without delay.

Should a complaint be filed under legislation against Contractor while performing the Work, this shall be reported to Company without undue delay

#### **C.9.6 Work at Company's site**

This section contains specific HSE requirements that are applicable if the Scope of Work includes work on Company's Sites (Mode 1), if not remove.

##### **C.9.6.1 General**

Contractor shall execute the Work under Company's OMS and requirements when performing Work at Company's Site.

Contractor shall ensure that Subcontractors and their contractors comply with Company's policies and requirements.

#### **C.9.6.2 Emergency response management**

If an incident or an emergency situation should arise Company will notify Contractor's contact point, who shall be available 24-hours. Contractor is responsible to notify next of kin of Contractor's employees and ensure that notification is brought to next of kin of Subcontractor's and their contractor's employees.

In the case of an emergency situation Contractor's personnel will normally be demobilized by Company to the same location as they have been mobilized from.

#### **C.9.6.3 Work permits and identification**

Contractor shall ensure that all personnel who are involved in the performance of the Work at Company's Site are in possession of valid work permits, competent and are always able to present valid person identification.

#### **C.9.6.4 Notification and reporting of HSE incidents**

Contractor shall at Company's Site comply with Company's HSE requirements and system for notification and reporting of HSE incidents.

#### **C.9.6.5 Investigation of HSE incidents**

Company is responsible for the investigation. When required by Company, Contractor shall participate or lead the investigation.

#### **C.9.6.6 Chemicals**

When chemicals are brought to Company's Site by Contractor, whether for own purpose or on behalf of Company, Contractor shall be responsible for initiating the imposed work processes given in Company's chemical management. Contractor shall ensure that use of a chemical at any location is under license/permit from the public authorities. Contractor shall carry out assessments of risk, and/or provide substitution. Chemicals used on Company's site shall be approved by Company.

Company may reject chemicals which do not meet Company's or public authorities' requirements for documentation, or where the handling and use entails unacceptable risks. Company can evaluate the risk of individual substances to be more severe than those provided by the authority lists.

#### **C.9.6.7 Working hours**

Work performed at Company's Site shall be executed during Company's working hours or as agreed by Company and in compliance with national legislation.

For personnel on shift work, Contractor shall forward shift plans and working hour arrangements to Company for approval no later than two weeks prior to commencement of the Work. Contractor has the responsibility and a duty to make sure that statutory working hours and overtime requirements are adhered to. Any breach of the above requirements shall be reported to Company immediately.

#### **C.9.6.8 Employee safety representative**

Contractor's employees shall be included in Company's safety representative regime on the relevant Company's Site in compliance with National legislations. The scope for the safety representative shall be agreed.

### **C.10 Quality management**

#### **C.10.1 Quality management system**

Contractor shall establish, implement and maintain a quality management system in accordance with NS-EN ISO 9001 or equivalent standard. The operating management system (OMS) shall cover all activities and management systems in connection with the Scope of Work.

Contractor shall ensure that all relevant Contractual requirements are identified, understood and implemented in its organisation as well as by Subcontractors and their contractors.

Critical components, equipment, operations and processes shall be identified using a risk-based approach and subject to systematic Audits and Verification in accordance with their criticality.

On Company's request, Contractor shall give access to Contractor's quality management system and Quality Records.

A set of quality performance indicators for the Work shall be proposed and implemented in agreement with Company.

Contractor shall involve Company in planning and execution of quality assurance activities for the Work to ensure a risk based and value adding Company engagement in quality assurance.

#### **C.10.2 Quality plan**

#### **C.10.3 Inspection and test plan (ITP)**

#### **C.10.4 Quality deviations**

Contractor shall establish, implement and maintain a system to systematically manage, track, control and trend Quality Deviations, in Contractor and Subcontractor products and processes throughout the Work.

Information on Quality Deviations shall be made available for registration in Company system(s).

Contractor shall without undue delay take actions at own cost to eliminate any detected Quality Deviation and remove the cause(s) in order to prevent reoccurrence.

If deemed necessary by Company a root cause analysis (RCA) shall be initiated by Contractor. Company retains the right to participate in the planning and execution of the RCA. As part of the RCA, Contractor shall make personnel, equipment, documentation and recorded data available.

#### **C.10.5 Deviation permit and concession**

#### **C.10.6 Quality records**

Contractor shall identify, analyse and maintain Quality Records to document traceability and to provide evidence of verification/validation, correction, corrective action and preventive action. Quality Records shall be made available to Company upon request.

## C.11 Risk management

Contractor shall establish, implement and maintain a risk management system in accordance with national legislations and the principles and guidelines provided in NS-EN ISO 10005 and NS-ISO 31000.

## C.12 Security requirements for offshore delivery of material

### C.12.1 Material in sealable containers

Remove this sub-section if only delivery of Materials to the Norwegian Continental Shelf (NCS) (otherwise use C.12.2).

All sealable containers shall be secured with a security seal, stored securely once sealed and accompanied by a consignment specific security declaration when transported, unless covered by a formal security agreement with Company.

Security seals shall be stored securely prior to use, shall only be procured and utilized by authorized personnel, and where possible, by personnel having an official security vetting.

### C.12.2 Norwegian Oil and Gas Association security agreement

This requirement is applicable if suppliers shall deliver goods in sealed carriers and will transport significant volumes of goods for use on the continental shelf.

If Contractor shall deliver materials in sealed carriers, and will transport significant volumes of materials for use on the Norwegian continental shelf, Contractor shall adhere to the requirements in the Norwegian Oil and Gas Association security agreement in accordance with Norwegian Oil and Gas Association Guidelines 091.

If Contractor has entered into the Norwegian Oil and Gas Association Security Agreement with another operating company, Contractor is obliged to comply with the Norwegian Oil and Gas Association Security Agreement also in connection with performing the Work for Company. If such security agreement is terminated, Contractor shall inform Company immediately.

## **Annex D** (informative)

### **Mode 2 - HSEQ requirements**

#### **D.1 Instructions for use**

See Annex B.2 for general guidance.

Contractor shall manage the Work and deliver the Deliverables in accordance with the Administration Requirements set forth in this annex and in compliance with all other parts of the Contract.

Requirements in this contract is applicable for the Contractor, Subcontractors and their contractors.

#### **D.2 Normative references**

Normative references are listed in Clause 2.

#### **D.3 Definitions**

Definitions are listed in Clause 3.

Definitions should be tailored for each procurement and contract!  
Definitions given in NORSOK S-WA-006 shall not be altered for Mode 2 contracts.

#### **D.4 Abbreviations**

Abbreviations are listed in Clause 4.

Abbreviations should be tailored for each procurement and contract!

#### **D.5 Operating Management System (OMS)**

##### **D.5.1 Introduction**

Contractor shall have relevant Operating Management System (OMS) in place in accordance with requirements in NS-EN ISO 9001, NS-EN ISO 14001, NS-ISO 45001, UN Guiding Principles on Business and Human Rights, expectations defined in IOGP 510 OMS Framework and national legislation. The OMS shall be appropriate to the context and complexity of Contractors activities to manage different aspects and risks. The following sections expand on Company's expectations and requirements to Contractor in conducting its operating management activities.

##### **D.5.2 Policies, standards and objectives**

Contractor shall conduct its business activities to support Company's vision and ambition to comply with applicable laws, act in an ethical, sustainable and socially responsible manner, practice good corporate governance and respect international recognised human rights principles.

### **D.5.3 Processes and systems**

In the implementation and administration of the Contract, Contractor shall use its own internal processes and systems. However, Contractor and subcontractors shall adapt its processes and systems to comply with Company's requirements in this Contract.

Contractor shall seek for digital solutions where possible. Company shall at all time have access to Contractor's data produced under this Contract. The exchange of data between Company and Contractor shall seek to be as effective and digital as possible.

### **D.5.4 Interface between Contractor and Company**

When Contractor performs Work on Company's sites, facilities or vessels; Company's methods, systems, routines and procedures shall be adhered to. Contractor shall identify and manage all critical interfaces i.e. communication, responsibilities and authority, relevant procedures, equipment, reporting lines etc between Contractor and Company including other interfacing parties such as Subcontractors and their Contractors.

Identified interfaces and mitigating actions shall be managed, documented and approved by all parties. The Contractor is responsible for co-ordination, approval and communication of interface documents.

### **D.5.5 Conditions affecting the qualification status**

Conditions which may have effect on Contractor's current qualification status shall immediately be reported to Company. Such conditions are, but not limited to:

- changes in OMS;
- changes in Key Personnel or ownership of the enterprise/business;
- changes in level of competence; or
- the availability of resources which may affect Company.

### **D.5.6 Contractor's qualification and follow-up processes for Subcontractors and their contractors**

Contractor has the responsibility for establishing documented processes for qualification and follow up subcontractors and their contractors to ensure that requirements in this contract are communicated prior to start-up of work and that they are complied with.

## **D.6 Contractor's audit and verification programme**

Contractor shall establish, implement and maintain an Audit and Verification programme(s) to manage the risk of own and Subcontractors and their contractor's activities for the Work in accordance with the principles and guidelines in NS-EN ISO 19011 "Guidelines for auditing management systems".

Personnel responsible for managing Audit programme(s) and conducting management system Audits on behalf of Contractor shall be able to document their competence in accordance with NS-EN ISO 19011.

Company shall have the right to participate in the planning of, and participate as an observer in, any Audit or Verification activity related to the Work. Company shall be given minimum ten (10) days' notice prior to any Audit or Verification activity by Contractor.

The complete overview of all Audit and Verification activities, including design verifications, shall be updated on a regular basis. This overview shall include corrective actions from these activities in a searchable format. Activities and actions related to working environment or safety shall be marked separately.

## **D.7 Company's audit and verification rights**

Company shall have the right to perform Audit and Verification activities towards Contractor and Subcontractors and their contractors throughout the duration of Contract.

Audits and Verifications carried out by Company shall not relieve Contractor of its responsibility for the Work.

Company shall give minimum ten working days' notification to Contractor prior to any Audit and Verification activity.

Contractor shall provide the facilities, resources and assistance required for the execution of Audit and Verification by Company. Contractor shall on request provide documentation to document compliance with requirements and contract.

Contractor shall provide corrective action(s) and planned completion date(s) for any Audit or Verification findings within ten working days after final report issued by Company.

Closing of findings shall be documented.

Contractor, Subcontractor and their contractors shall bear their own costs related to Audits and Verifications carried out by Company.

In co-operation with Company, Contractor's senior management shall conduct regular visits to relevant sites.

## **D.8 Contractor's organisation**

### **D.8.1 Organisation**

Contractor shall establish and support a dedicated organisation including all necessary resources to supervise and execute the Work.

Contractor shall establish clearly defined responsibilities and job descriptions for all personnel performing parts of the Work. All personnel shall be briefed to fully understand their functions, roles and responsibility.

Contractor shall at any time be able to document that "up to date" files complete with organisation charts, job descriptions and resumes of all Key Personnel are maintained.

Contractor's organisation chart is included in annex ~~X~~ hereto.

Contractor shall update and maintain the organisation chart throughout the Contract duration. Contractor shall notify Company if changes of Key Personnel.

The organisation chart shall include:

- names and positions and areas of responsibility;
- identification of Key Personnel, including HSE and Quality;
- links to, and organisation chart of Subcontractors and their contractors.

If the Contract contains requirements for personnel with specific qualifications, Contractor shall describe how Contractor will ensure that such personnel are available.

Contractor's Key Personnel are defined in annex ~~X~~ hereto.

## D.8.2 Employee involvement

Employees shall be involved in accordance with NS-ISO 45001 and national legislations.

## D.8.3 Competence and training

Contractor's personnel shall meet all competence requirements necessary to perform the Work.

Contractor is responsible for planning and documentation of all training and courses required by the Contract and Scope of Work. Training activities may include Company specific courses relevant for the Work.

## D.9 Health and working environment, safety, security, social responsibility including human rights and the environment (HSE)

### D.9.1 General

#### D.9.1.1 Introduction

Contractor shall actively train and encourage personnel to intervene on unsafe behaviours and conditions and report on deviations from procedures, plans and expectations.

NOTE Personnel include subcontractor and their contractors.

#### D.9.1.2 Contract specific HSE plan

The Contract specific HSE-plan developed by Contractor shall be included in Scope of Work as a deliverable, with reference to this section in this annex, if relevant.

Contractor shall develop a specific HSE plan for this Contract and shall describe the following minimum requirements:

- the Contract HSE objectives and how Company and Contractor's HSE objectives shall be met, as well as activities and measures in order to manage and mitigate all HSE risks associated with the Work, including Subcontractors and their contractors;
  - mitigating measures as decided in the risk assessments to manage significant health and working environment (including human factors)-, safety-, external environment-, emergency response-, security- and social responsibility risks and impacts;

NOTE The Contract specific risk assessments and registers with mitigating measures shall be included in the contract specific HSE-plan.

- actions and mitigating measures plan with responsibilities and deadlines.

#### D.9.1.3 Emergency response management

The Emergency response plan shall be included in Scope of Work as a deliverable, with reference to this section in this annex.

Contractor shall have established an emergency response process and organisation in compliance with requirements in this Contract.

Contractor is responsible to notify next of kin of Contractor's employees and to ensure that notification is brought to next of kin of Subcontractor's and their contractor's employees.

Contractor shall operate a 24-hour telephone number for reporting emergency situations. Contractor shall provide Company with information specifying Contractor's company name, address and a 24-hour duty-telephone number.

Contractor shall not notify or give any information to the media or other units or people without Company's prior consent.

#### **D.9.1.4 Security**

Contractor shall establish and maintain a system for the identification, assessment and mitigation of security risks. Contractor's security management system shall as a minimum cover:

- personnel security (identification and verification of personnel, travel security etc.);
- physical security (Access and admission control, physical security measures, fences, detection surveillance etc.);
- information security (protection of company information and IT systems);
- security incident response and reporting; and
- other actions or omissions by Contractor's personnel or Third Parties which are performed with intent to harm Company's personnel, facilities, activities or reputation.

Security measures which protect Company against intended harm at a normal threat level shall be supplemented by Contractor with appropriate additional security measures if the threat level or occurrences of security incidents of potential relevance to the Work indicate that the possibility of harm has increased.

Contractor shall establish and maintain a system for handling sensitive information corresponding to Company's need to protect such information.

Contractor shall ensure that the identity of personnel performing any part of the Work has been properly verified (by manual or automated control), that relevant qualifications have been confirmed.

Contractors and Subcontractors shall have a dedicated point of contact for security issues.

Contractor shall comply with the International Ship & Port Facility Security Code (ISPS Code), if required.

#### **D.9.1.5 Incident management systems**

Contractor shall have in place processes and systems for management of incidents.

#### **D.9.1.6 Notification and reporting of HSE incidents**

Contractor shall notify and report incidents to authorities, if relevant, and to Company in accordance with national legislations and requirements.

Incident notification and reporting procedure including the clarification of reportable and recordable incident shall be prepared and agreed with Company as a basis for the HSE incident reporting. Interfaces and potential gap towards Company's classification and categorisation of incidents shall be clarified and routines for ensuring compliance shall be established.

Contractor shall notify and report actual and potential incidents related to health- and working environment, safety, security, human rights and the environment to Company. In cases of doubt Company shall be contacted. Unless otherwise agreed:

- HSE incidents with serious consequence shall be notified to Company without delay (day and night) and followed up with a written report within reasonable time after the incident;

- HSE incidents including near miss and unsafe condition with potential serious consequence shall be notified to Company as soon as possible (within working hours) and followed up with a written report as soon as reasonable possible;
- Contractor shall have in place and use recognized system for classification of incidents.

Incidents involving sensitive information should be treated with appropriate confidentiality and anonymise as necessary.

The level of impact shall be assessed based on the potential consequence under slightly changed circumstances and this shall determine the level of seriousness of the HSE incident. This shall be decisive for Contractor's notification and reporting to Company and further follow-up.

Contractor shall perform regularly trend analysis of reported HSE incidents. The analyses shall be submitted to Company upon request.

Company will assess whether Contractor's Subcontractors and their contractors shall be included in the HSE statistics and reporting to Company.

#### **D.9.1.7 Incident investigation**

Contractor shall conduct investigations of HSE incidents at Contractor's own facilities or in its own organisation.

- Contractor has the responsibility for the investigation.
- Company has the right to participate in investigations and will assess whether to take part.
- Contractor shall provide competent investigation leaders and investigation systems.

Contractor shall give Company access to all parts of the investigation report, supporting material and documentation.

### **D.9.2 Health and working environment, safety**

#### **D.9.2.1 Health service**

Contractor and its Subcontractors and their contractor's personnel shall have access to a health service according to national legislation. First aid equipment shall be easily available for all personnel.

#### **D.9.2.2 Alcohol and drugs**

Company has zero tolerance for influence and use of alcohol and/or drugs during performance of Work. Any use of alcohol or drugs shall be strictly forbidden while carrying out Work in accordance to Contract.

Pharmacological use of medical drugs shall only take place in accordance with written and signed instructions given by a medical practitioner and not affecting work performance. Personnel found to be under influence of alcohol, medication and/or drugs shall be denied access to Site.

#### **D.9.2.3 Preventing substance abuse**

Contractor shall work systematically to prevent and expose substance abuse by its own employees and the employees of Subcontractors and their contractors. Contractor shall have formal policies and procedures for dealing with substance abuse by its own personnel and ensure that Subcontractors and their contractors have corresponding procedures.

#### **D.9.2.4 Working hours**

Contractor shall establish and maintain a system for the monitoring and control of shift plans and working hours of all personnel according to national legislation and requirements in this Contract.

Upon Company's request Contractor shall be able to verify compliance with the regulations concerning working hours, overtime, leisure and necessary time off as compensation for overtime.

#### **D.9.2.5 Work environment surveys**

Contractor shall establish systems for conducting regular Working Environment Surveys, monitor and implement mitigating actions to reduce unintended exposure and prevent damage in accordance with national legislations.

#### **D.9.2.6 Chemicals**

Contractor shall have a system in place to manage HSE hazards and risks associated with the use of chemicals. The chemical management system should as a minimum include the following requirements:

- comply with relevant license(s)/ permit(s); and
- document and report chemicals, including new chemicals or new usage; and
- evaluate and classify chemicals; and
- perform risk- and substitution assessments; and
- implement effective mitigating measures.

Upon Company's request Contractor shall be able to verify and document its compliance with the regulations concerning use of chemicals.

Contractor shall make available to Company, on request:

- chemical hazard documentation to a minimum according to the UN GHS standard;
- ecotoxicology information equivalent to the World Bank EHS guidelines;
- ecotoxicological hazard documentation for chemicals discharged to the marine environment according to the OSPAR Harmonised Offshore Chemical Notification Format (HOCNF) or similar internationally recognized system.

#### **D.9.2.7 Hazardous exposure in working environment**

Contractor shall have a systematic process to prevent and reduce exposure to dangerous materials, noise and mechanical vibrations in accordance with national requirements

#### **D.9.2.8 Radioactive sources**

Transportation, storage and use of radioactive sources shall comply with relevant national legislation. Contractor shall also be responsible for obtaining the necessary permissions for transportation, storage and use of radioactive sources.

#### **D.9.2.9 Explosives**

Contractor shall have procedures and approvals for running and handling of explosives.

Contractor shall document necessary training of employees who handle such products and services, as well as appointing a person in charge to ensure the control of quality, quantity and location of explosives.

#### **D.9.2.10 Prevention of falling objects**

The preventive falling object management system shall include compliance with procedures, measures for prevention of falling objects, routines for follow up of falling objects and measurement of results.

A systematic approach and process to avoid incidents with falling objects shall be established.

#### **D.9.2.11 Safe use of lifting equipment**

Contractor shall implement and comply with national legislations and equivalent industry standards for safe management of lifting equipment and operations.

#### **D.9.2.12 Personal protective equipment (PPE)**

Contractor shall provide correct PPE and ensure that all its personnel performing the Work are equipped with and make use of correct PPE during the Work. PPE shall be maintained in good condition or replaced by Contractor.

Required PPE shall as a minimum consist of helmet, safety glasses, protective shoes, gloves, coveralls, hearing protection (single and/or double) and/or breathing masks, where assessed necessary in accordance with own risk evaluation and international recognized standards.

#### **D.9.2.13 Employee safety representative**

Contractor shall establish an employee safety representative regime in accordance with national legislations, this Contract and Contractor's own requirements.

### **D.9.3 External environment**

#### **D.9.3.1 Introduction**

Contractor's environmental management system shall be in accordance with national legislations and NS-EN ISO 14001 or equivalent and NORSOK S-003 Environmental care.

#### **D.9.3.2 Waste management**

Contractor shall have implemented a system for identifying, classifying and handling waste in compliance with National legislation. Hazardous waste shall be handled in accordance with applicable requirements. Consumer and product waste shall be sorted.

#### **D.9.3.3 Reporting of emissions**

Contractor shall report emissions to authorities in accordance with national legislations and authority permissions.

### **D.9.4 Human rights**

Contractor shall take effective measures to ensure that its performance of the Contract respect Human Rights consistent with the United Nations Guiding Principles on Business and Human Rights (2011) [6]. To this effect, Contractor, in connection with performance of the Contract, shall:

- take all reasonable steps to avoid, or otherwise appropriately address or remedy, including through the establishment of appropriate grievance mechanisms, adverse impacts on Human Rights which it or any of its affiliates (the parent company of Contractor or any subsidiary of Contractor or

- subsidiary of the parent company of Contractor), or any officer, director, agent, representative or employee of Contractor or such affiliates may cause or contribute to;
- take reasonable steps to seek to prevent or mitigate adverse human rights impacts to which Contractor's or any of its affiliates' operations, products or services are directly linked through a business relationship; and
  - take all reasonable measures in order to ensure that no officer, director, agent, representative or employee of Contractor or affiliates take part in or support, whether through acts or omissions, Modern Slavery pursuant to the UK Modern Slavery Act 2015 [8] or any other applicable bodies of law.

In the event Contractor fails to comply with the obligations in this section, Contractor shall on its own initiative or upon Company's request, promptly identify and implement the actions necessary to cure such breach.

If a breach of section above is not cured by Contractor within reasonable time or repeated breaches of these obligations occur, this shall be regarded as a substantial breach of the Contract.

For the purpose of this section, the following definitions shall apply: human rights" as described in 3.44 and "modern slavery" as described in 3.46.

## **D.9.5 Breach of security, safety and/or working regulations**

### **D.9.5.1 Introduction**

Any breach of security, safety and/or working regulations in this Contract, entitles Company the right to demand removal and replacement of Contractor's worker (including Subcontractors and their contractors).

### **D.9.5.2 Orders, prohibition notices and demands for improvement**

Any orders, prohibition notices / notifications, or requirements for improvement imposed on Contractor issued by authorities shall be reported to Company without delay.

Should a complaint be filed under legislation against Contractor while performing the Work, this shall be reported to Company without undue delay.

## **D.9.6 Work at Company site**

## **D.10 Quality management**

### **D.10.1 Quality management system**

Contractor shall establish, implement and maintain a quality management system in accordance with NS-EN ISO 9001 or equivalent standard. The operating management system (OMS) shall cover all activities and management systems in connection with the Scope of Work.

Contractor shall ensure that all relevant Contractual requirements are identified, understood and implemented in its organisation as well as by Subcontractors and their contractors.

Critical components, equipment, operations and processes shall be identified using a risk-based approach and subject to systematic Audits and Verification in accordance with their criticality.

On Company's request, Contractor shall give access to Contractor's quality management system and Quality Records.

A set of quality performance indicators for the Work shall be proposed and implemented in agreement with Company.

Contractor shall involve Company in planning and execution of quality assurance activities for the Work to ensure a risk based and value adding Company engagement in quality assurance.

### **D.10.2 Quality plan**

Contractor shall establish, implement and maintain a quality plan for the Work in accordance with the principles and guidelines in NS-EN ISO 10005 "Guidelines for quality plans", if relevant.

A complete quality plan shall be submitted to Company within 30 days after signing of contract.

### **D.10.3 Inspection and test plan (ITP)**

ITP-section is normally relevant for all contracts which includes provision of equipment and / or materials

Contractor shall establish and maintain Inspection and Test Plan(s) (ITP) for the Work at time of purchase of Materials and/or commencement of fabrication in accordance with the principles and guidelines in NS-EN ISO 10005.

ITP(s) shall cover inspection and test activities to be performed by Contractor, subcontractors and their contractors. Requirements and procedures for the inspection and test activities to be performed shall be referenced in ITP(s).

HSE shall be included as topic in all preproduction meetings and fabrication and test procedures.

Contractor shall establish a process for involvement of Company in Contractor's ITP activities. Company retains the right to participate in Contractors ITP activities as observer.

In this context the ITP shall identify the following points:

- "Witness Point" means that Company shall be invited to witness the activity.
- "Hold Point" means that Contractor shall not commence the activity without Company or nominated personnel being present, or receipt of confirmation that the hold point is waived by Company.
- "Monitoring Points" means that Company is being informed prior to ITP activities, but formal notification according to the Contract is not required.

Contractor shall notify Company of upcoming Witness- and Hold Points at least five days in advance.

The equivalent definitions shall be used for Contractor's own participation in ITP activities. If Contractor wish to waive own participation at Hold and Witness Points in Contractors ITP it shall be subject to formal acceptance by Company through the Company's tool for Deviation Permits.

Company shall have the right to include Company Witness- and Hold Points in ITP(s).

Pre-production meetings and final inspections shall be pre-defined as Witness Points in the ITP.

Any activities on a Site where Company is represented by a site representative shall be pre-defined as Monitoring points.

Contractor shall submit the ITP to Company for comments as part of the Audit and Verification plan, and implement Company's Hold, Witness and Monitoring points latest ten (10) days before the first pre-production meeting. If Contractor changes its Subcontractors or if Quality Deviations or delay occurs, Company reserves the right to intervene without additional cost and/or schedule impact.

#### **D.10.4 Quality deviations**

Contractor shall establish, implement and maintain a system to systematically manage, track, control and trend Quality Deviations, in Contractor and Subcontractor products and processes throughout the Work.

Information on Quality Deviations shall be made available for registration in Company system(s).

Contractor shall without undue delay take actions at own cost to eliminate any detected Quality Deviation and remove the cause(s) in order to prevent reoccurrence.

If deemed necessary by Company a root cause analysis (RCA) shall be initiated by Contractor. Company retains the right to participate in the planning and execution of the RCA. As part of the RCA, Contractor shall make personnel, equipment, documentation and recorded data available.

#### **D.10.5 Deviation permit and Concession**

Contractor shall seek a Deviation Permit or Concession from Company if a departure from a requirement is considered necessary. Such request shall be issued to Company and followed up in Company's tool for management of Deviation Permits.

#### **D.10.6 Quality records**

Contractor shall identify, analyse and maintain Quality Records to document traceability and to provide evidence of verification/validation, correction, corrective action and preventive action. Quality Records shall be made available to Company upon request.

### **D.11 Risk management**

Contractor shall establish, implement and maintain a risk management system in accordance with national legislations and the principles and guidelines provided in NS-EN ISO 10005 and NS-EN 31000.

### **D.12 Security requirements for offshore delivery of material**

#### **D.12.1 Material in sealable containers**

Remove this sub-section if only delivery of Materials to the Norwegian Continental Shelf (NCS) (otherwise use D.12.2).

All sealable containers shall be secured with a security seal, stored securely once sealed and accompanied by a consignment specific security declaration when transported, unless covered by a formal security agreement with Company.

Security seals shall be stored securely prior to use, shall only be procured and utilized by authorized personnel, and where possible, by personnel having an official security vetting.

#### **D.12.2 Norwegian Oil and Gas Association security agreement**

This requirement is applicable if suppliers shall deliver goods in sealed carriers and will transport significant volumes of goods for use on the continental shelf.

If Contractor shall deliver materials in sealed carriers, and will transport significant volumes of materials for use on the Norwegian continental shelf, Contractor shall adhere to the requirements in the

Norwegian Oil and Gas Association security agreement in accordance with Norwegian Oil and Gas Association Guidelines 091.

If Contractor has entered into the Norwegian Oil and Gas Association Security Agreement with another operating company, Contractor is obliged to comply with the Norwegian Oil and Gas Association Security Agreement also in connection with performing the Work for Company. If such security agreement is terminated, Contractor shall inform Company immediately.

## **Annex E** (informative)

### **Mode 3 - HSEQ requirements**

#### **E.1 Instructions for use**

See Annex B.2 for general guidance.

Contractor shall manage the Work and deliver the Deliverables in accordance with the Administration Requirements set forth in this annex and in compliance with all other parts of the Contract.

Requirements in this contract is applicable for the Contractor, Subcontractors and their contractors.

#### **E.2 Normative references**

Normative references are listed in clause 2.

#### **E.3 Definitions**

Definitions are listed in clause 3.

Definitions should be tailored for each procurement and contract!  
Definitions given in NORSOK S-WA-006 shall not be altered for Mode 3 contracts.

#### **E.4 Abbreviations**

Abbreviations are listed in clause 4.

Abbreviations should be tailored for each procurement and contract!

#### **E.5 Operating Management System (OMS)**

##### **E.5.1 Introduction**

Contractor shall have an Operating Management System (OMS) in place in accordance with internationally recognized standards and national legislation appropriate to the context and complexity of activities to manage different aspects and risks. The following sections expand on Company's expectations and requirements to Contractor in conducting its operating management activities.

NOTE For examples on recognised standards see normative references and bibliography

Contractor shall execute the Work under Company's OMS and requirements if performing Work at Company's Site. Contractor shall ensure that Subcontractors and their contractors comply with Company's policies and requirements.

##### **E.5.2 Policies, standards and objectives**

Contractor shall conduct its business activities to ensure compliance with contractual requirements, applicable legislation, act in an ethical, sustainable and socially responsible manner, practice good corporate governance and respect internationally recognized human rights principles.

**E.5.3 Processes and systems**

In the implementation and administration of the Contract, Contractor shall use its own internal processes and systems. However, Contractor and subcontractors shall adapt its processes and systems to comply with Company's requirements in this Contract.

Contractor shall seek for digital solutions where possible. Company shall at all time have access to Contractor's data produced under this Contract. The exchange of data between Company and Contractor shall seek to be as effective and digital as possible.

The following clauses and subclauses without content are not relevant as the work is done at contractors' premises. The text can be copied from the Mode 2 document if relevant.

**E.5.4 Interface between Contractor and Company****E.5.5 Conditions affecting the qualification status****E.5.6 Contractor's qualification and follow up processes for Subcontractors and their contractors****E.6 Contractor's qualification and follow up processes for Subcontractors and their contractors****E.7 Company's audit and verification programme****E.8 Contractor's organisation****E.8.1 Organisation****E.8.2 Employee involvement****E.8.3 Competence and training****E.9 Health and working environment, safety, security, social responsibility including human rights and the environment (HSE)****E.9.1 General****E.9.1.1 Introduction**

Contractor shall actively train and encourage personnel to intervene on unsafe behaviours and conditions and report on deviations from procedures, plans and expectations.

NOTE Personnel include Subcontractor and their contractors.

### **E.9.1.2 Contract specific HSE plan**

### **E.9.1.3 Emergency response management**

The Emergency response plan shall be included in Scope of Work as a deliverable, with reference to this section in this annex.

Contractor shall have established an emergency response process and organisation in compliance with requirements in this Contract.

Contractor is responsible to notify next of kin of Contractor's employees and to ensure that notification is brought to next of kin of Subcontractor's and their contractor's employees.

Contractor shall not notify or give any information to the media or other units or people without Company's prior consent.

### **E.9.1.4 Security**

Contractor shall establish and maintain a system for the identification, assessment and mitigation of security risks. Contractor's security management system shall as a minimum cover:

- personnel security (identification and verification of personnel, travel security etc.);
- physical security (access and admission control, physical security measures, fences, detection surveillance etc.);
- information security (protection of company information and IT systems);
- security incident response and reporting;
- other actions or omissions by Contractor's personnel or third parties which are performed with intent to harm Company's personnel, facilities, activities or reputation.

Security measures which protect Company against intended harm at a normal threat level shall be supplemented by Contractor with appropriate additional security measures if the threat level or occurrences of security incidents of potential relevance to the Work indicate that the possibility of harm has increased.

Contractor shall establish and maintain a system for handling sensitive information corresponding to Company's need to protect such information.

Contractor shall ensure that the identity of personnel performing any part of the Work has been properly verified (by manual or automated control), that relevant qualifications have been confirmed.

Contractor shall comply with the International Ship & Port Facility Security Code (ISPS Code), if required

### **E.9.1.5 Incident management system**

Contractor shall have in place processes and systems for management of incidents.

Contractor shall notify and report incidents to authorities in accordance with national legislations and requirements, if relevant to Company. Notification and reporting of HSE incidents

### **E.9.1.6 Notification and reporting of HSE incidents**

### **E.9.1.7 Incident investigation**

## **E.9.2 Health and working environment, Safety**

## **E.9.3 External environment**

## **E.9.4 Human rights**

Contractor shall take effective measures to ensure that its performance of the Contract respect Human Rights consistent with the United Nations Guiding Principles on Business and Human Rights (2011) [6]. To this effect, Contractor, in connection with performance of the Contract, shall:

- take all reasonable steps to avoid, or otherwise appropriately address or remedy, including through the establishment of appropriate grievance mechanisms, adverse impacts on Human Rights which it or any of its affiliates (the parent company of Contractor or any subsidiary of Contractor or subsidiary of the parent company of Contractor), or any officer, director, agent, representative or employee of Contractor or such affiliates may cause or contribute to;
- take reasonable steps to seek to prevent or mitigate adverse human rights impacts to which Contractor's or any of its affiliates' operations, products or services are directly linked through a business relationship; and
- take all reasonable measures in order to ensure that no officer, director, agent, representative or employee of Contractor or affiliates take part in or support, whether through acts or omissions, Modern Slavery pursuant to the UK Modern Slavery Act 2015 [8] or any other applicable bodies of law.

In the event Contractor fails to comply with the obligations set out in this section, Contractor shall on its own initiative or upon Company's request, promptly identify and implement the actions necessary to cure such breach.

If a breach of the section above is not cured by Contractor within reasonable time or repeated breaches of these obligations occur, this shall be regarded as a substantial breach of the Contract.

For the purpose of this section, the following definitions shall apply: human rights" as described in 3.44 and "modern slavery" as described in 3.46.

## **E.9.5 Breach of security, safety and/or working regulations**

### **E.9.5.1 General**

### **E.9.5.2 Orders, prohibition notices and demands for improvement**

Any orders, prohibition notices / notifications, or requirements for improvement imposed on Contractor issued by authorities shall be reported to Company without delay.

Should a complaint be filed under legislation against Contractor while performing the Work, this shall be reported to Company without undue delay.

## **E.9.6 Work at company site**

## **E.10 Quality management**

### **E.10.1 General**

Quality management - section is relevant for contracts which includes provision of equipment and / or materials.

Contractor shall ensure that all relevant Contractual requirements are identified, understood and implemented in its organisation as well as by Subcontractors and their contractors.

Critical components, equipment, operations and processes shall be identified using a risk-based approach and subject to systematic Audits and Verification in accordance with their criticality.

### **E.10.2 Quality plan**

### **E.10.3 Inspection and test plan (ITP)**

### **E.10.4 Quality deviations**

Quality Deviation - section is relevant for contracts which includes provision of equipment and / or materials

Contractor shall establish, implement and maintain a system to systematically manage, track, control and trend Quality Deviations, in Contractor and Subcontractor products and processes throughout the Work.

Contractor shall without undue delay take actions at own cost to eliminate any detected Quality Deviation and remove the cause(s) in order to prevent reoccurrence.

### **E.10.5 Deviation permit and concession**

### **E.10.6 Quality records**

Contractor shall identify, analyse and maintain Quality Records to document traceability and to provide evidence of verification/validation, correction, corrective action and preventive action. Quality Records shall be made available to Company upon request.

## **E.11 Risk management**

Contractor shall establish, implement and maintain a risk management system in accordance with national legislation.

## **E.12 Security requirements for offshore delivery of material**

### **E.12.1 Material in sealable containers**

Remove this sub-section if only delivery of Materials to the Norwegian Continental Shelf (NCS) (otherwise use E.12.2).

All sealable containers shall be secured with a security seal, stored securely once sealed and accompanied by a consignment specific security declaration when transported, unless covered by a formal security agreement with Company.

Security seals shall be stored securely prior to use, shall only be procured and utilized by authorized personnel, and where possible, by personnel having an official security vetting.

#### **E.12.2 Norwegian Oil and Gas Association security agreement**

This requirement is applicable if suppliers shall deliver goods in sealed carriers and will transport significant volumes of goods for use on the continental shelf.
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If Contractor shall deliver materials in sealed carriers, and will transport significant volumes of materials for use on the Norwegian continental shelf, Contractor shall adhere to the requirements in the Norwegian Oil and Gas Association security agreement in accordance with Norwegian Oil and Gas Association Guidelines 091.

If Contractor has entered into the Norwegian Oil and Gas Association security agreement with another operating company, Contractor is obliged to comply with the Norwegian Oil and Gas Association security agreement also in connection with performing the Work for Company. If such security agreement is terminated, Contractor shall inform Company immediately.

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This NORSOK standard is developed with broad petroleum industry participation by interested parties in the Norwegian petroleum industry and is owned by the Norwegian petroleum industry represented by the Norwegian Oil and Gas Association, the Federation of Norwegian Industries and the Norwegian Shipowners' Association.

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Standards Norway is responsible for the administration and publication of this NORSOK standard.

Standards Norway  
P.O. Box 242  
NO-1326 Lysaker  
Norway

Tel. +47 67 83 86 00

[petroleum@standard.no](mailto:petroleum@standard.no)

Standard Online AS  
P.O. Box 252  
NO-1326 Lysaker  
Norway

Tel. +47 67 83 87 00

[salg@standard.no](mailto:salg@standard.no)

Visiting address:

Mustads vei 1  
NO-0283 Oslo



[www.standard.no/petroleum](http://www.standard.no/petroleum)

