

HSE evaluation of contractors

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Foreword

The NORSOK standards are developed by the Norwegian petroleum industry to ensure adequate safety, value adding and cost effectiveness for petroleum industry developments and operations. Furthermore, NORSOK standards are as far as possible intended to replace oil company specifications and serve as references in the authorities regulations.

The NORSOK standards are normally based on recognised international standards, adding the provisions deemed necessary to fill the broad needs of the Norwegian petroleum industry. Where relevant NORSOK standards will be used to provide the Norwegian industry input to the international standardisation process. Subject to development and publication of international standards, the relevant NORSOK standard will be withdrawn.

The NORSOK standards are developed according to the consensus principle generally applicable to standards work and according to established procedures defined in NORSOK A-001.

The NORSOK standards are prepared and published with support from OLF (The Norwegian Oil Industry Association) and TBL (Federation of Norwegian Manufacturing Industries). NORSOK standards are administered and published by Standards Norway.

Annexes A, B, C and D are informative.

Introduction

This NORSOK standard has been developed on the basis of E&P Forum Report no 6.36/210 of July 1994, *Guidelines for the Development and Application of Health, Safety and Environmental Management Systems*. The standard covers key elements which should form part of the contractor's overall system for HSE management. The document provides information on the company's criteria for qualifying and evaluating contractors, and specifies the company's requirements for HSE management by the contractor in as far as Annex A is incorporated in the contract.

This NORSOK standard is published without marking of changes, compared to Rev. 1, as the modifications are considerable.

1 Scope

This standard describes items and methodology for evaluating and following up the HSE management systems used by contractors. Annex A presents contractual requirements based on the items and methodology in the standard.

The standard applies to both operational- and construction related operations, including new facilities and modifications to/conversion of existing plants. This NORSOK standard does not apply to management or reporting activities which are solely intended to achieve a specified HSE level in the actual contract object.

2 Normative and informative references

The following standards include provisions and guidelines which, through reference in this text, constitute provisions and guidelines of this NORSOK standard. Latest issue of the references shall be used unless otherwise agreed. Other recognized standards may be used provided it can be shown that they meet or exceed the requirements and guidelines of the standards referenced below.

ISO 14001:1996, *Environmental management systems – Specification with guidance for use*.

3 Terms, definitions and abbreviations

3.1 Definitions

3.1.1

accident

event, which has caused injury, illness and/or damage to/loss of assets, or harm to the environment or to a third party

3.1.2

company

company named in the contract which has ordered the delivery

3.1.3

contractor

company or person named in the contract and who is to be responsible for the delivery in accordance with the specified terms

3.1.4

employee contribution

employees' statutory right and duty to contribute in all matters of importance to safety and the working environment

Note For activities in Norway that are governed by the Petroleum regulations, reference is made to the Framework regulation §§ 5, 6 and 13.

3.1.5

loss potential

classification of the most likely losses associated with an undesirable event

3.1.6

may

verbal form used to indicate a course of action permissible within the limits of the standard

3.1.7

near miss

An event which, under slightly different circumstances, could have caused injury, illness and/or damage to/loss of assets, or harm to the environment or to a third party

3.1.8**notifiable event**

undesirable event or other conditions which shall be notified under prevailing statutory regulations to the authorities

3.1.9**personnel injury**

all work related injuries and illnesses with consequences more serious than first aid injury

3.1.10**principal enterprise**

company with statutory responsibility under Norway's Working Environment Act for coordinating work on safety and working environment in the individual companies

3.1.11**shall**

verbal form used to indicate requirements strictly to be followed in order to conform to the standard and from which no deviation is permitted, unless accepted by all involved parties

3.1.12**should**

verbal form used to indicate that among several possibilities one is recommended as particularly suitable, without mentioning or excluding others, or that a certain course of action is preferred but not necessarily required

3.1.13**supervision**

generic term for supervisory activities under the main headings of follow-up, review, verification and audit

3.1.14**undesirable event**

event, which have caused or could have caused injury, illness and/or damage to/loss of assets, or harm to the environment or to a third party

3.1.15**work**

all work to be done, all materials to be delivered and all commitments to be fulfilled by the contractor under the contract

3.1.16**work related illness**

illness caused wholly or partly by conditions in the workplace

3.2 Abbreviations

CHEMS	database containing chemicals information in HOCNF
EMAS	Forskrift om frivillig deltaking for organisasjoner i en fellesskapsordning for miljøstyring og miljørevisjon
EMS	environmental management system
EOSCA	European Oilfield Speciality Chemicals Association
HOCNF	harmonised offshore chemical notification format
HSE	health, safety and environment
MSDS	material safety data sheets
NPD	Norwegian Petroleum Directorate
OLF	The Norwegian Oil Industry Association
OSPAR	Oslo and Paris convention
PPE	personal protective equipment
SFT	Norwegian Pollution Control Authority

4 Methodology for HSE qualification, evaluation and follow-up

4.1 Elements in the HSE management system

Activities are grouped in seven principal categories, which fit naturally into any recognised system for HSE and quality management. The system is thereby compatible with such management systems as those from the International Association of Oil and Gas Producers (OGP), the International Maritime Organisation (IMO) and the American Petroleum Institute (API). These seven categories are briefly described in Table 1.

Table 1 - Principal elements in the HSE management system

HSE management system elements	Addressing
1. Leadership and commitment	Top-down commitment and company culture, essential to the success of the system
2. Policy and strategic objectives	Corporate intentions, principles of action and HSE aspirations
3. Organisation, resources and documentation	Organisation of people, resources and documentation for sound HSE performance
4. Evaluation and risk management	Identification and evaluation of HSE risks relating to operations, products and services, and development of risk-reducing measures
5. Planning and procedures	Planning the conduct of work operations, including planning for change and emergency response
6. Implementation and monitoring	Execution and monitoring of operations, and how corrective action should be taken when necessary
7. Auditing and reviewing	Periodic assessment of system performance, effectiveness and fundamental suitability

4.2 Coordination of different HSE management systems

The company and the contractor should exchange their strategic HSE plans and relevant documentation for their respective HSE management systems in order to identify possible incompatibilities. Such incompatibilities shall be clarified and resolved before contract award. Effective coordination of the various HSE management systems will make it possible to develop common objectives and programmes. This could require a decision on which system should have the lead role and which should have a supporting role in different circumstances. If a principal enterprise has been defined for the work, its HSE management system will normally be assigned the lead role. However, care should be taken to ensure that parties involved meet the current regulatory requirements regarding establishment, follow-up and further development of HSE management systems. Detailed coordination of the various HSE management systems shall be determined at the pre-planning stage, in consultation with employee representatives from company and contractor.

4.3 Items and criteria

The matrix below shows which HSE items relating to management and reporting shall be taken into account for classification, evaluation and follow-up. Items are marked by bullet points, and grouped under [the management system's principal elements](#).

This matrix also provides a description of the requirements which shall be satisfied by the contractor under each item or category. The following terms are used to describe the actual level:

- A - Unacceptable
- B - Poor
- C - Acceptable
- D - Excellent

Associated level descriptions are shown in columns under each item. Descriptions are cumulative when relevant. The company can decide for itself how the specified expectations shall be used to qualify and evaluate the individual inquiry or delivery. See Annex D for examples. Annex B presents typical contract categories and HSE items that should be considered within each category. Annex C presents an example of a classification matrix for undesirable events.

Element 1: Leadership and commitment			
A — Unacceptable	B — Poor	C — Acceptable	D — Excellent
<ul style="list-style-type: none"> Item 1.1 - Commitment to HSE through leadership: a) Are senior managers personally involved in HSE management? b) Is there evidence of commitment at all levels of the organisation? c) Is there a positive culture on HSE issues? If the answer to one or more items is YES, please provide details. 			
No commitment from senior management, no evidence of a positive HSE culture.	HSE delegated to line managers — no direct involvement by senior management.	Evidence of a positive HSE culture in senior management and at all other levels. Management involved in HSE activities, setting objectives and following up.	The contractor is recognised as a serious and reputable player in the HSE area, both in relation to clients and within the society in which it operates.
Element 2: Policy and strategic objectives			
A — Unacceptable	B — Poor	C — Acceptable	D — Excellent
<ul style="list-style-type: none"> Item 2.1 - HSE policy, access and responsibility: a) Does the contractor have a corporate HSE policy document? Does the contractor have clearly stated HSE goals? If the answer is YES, please attach a copy. b) Who has overall and ultimate HSE responsibility in the organisation? c) Who is the most senior manager in the organisation with responsibility for ensuring that the contractor's HSE policy is observed in the workplace and at sites where the contractor's employees are working? Specify name, title and experience. d) Describe the methods used to inform all employees about the contractor's HSE policy. e) How are employees informed of changes to this policy? 			
No HSE policy document.	A policy statement exists, but not in a widely distributed document.	An HSE policy document describes responsibility and accountability. The policy is developed with active employee contribution, and distributed to all employees.	Contractor's HSE policy has the support of all employees. The message is fundamental in nature, and the policy remains unaltered over time.
<ul style="list-style-type: none"> Item 2.2 – Contractor's policy on accidents and losses: What is the contractor's formal policy on avoiding accidents and losses? 			
Employees and management express disbelief with respect to the possibility of completely avoiding accidents and losses.	Management has no consistent positive view on the possibility of completely avoiding accidents and losses.	Employees and management agree that the long-term target should be to completely avoid accidents and losses.	Contractor's HSE policy is consistently based on the belief that it is possible to completely avoid accidents and losses. Management routinely communicates this mind-set in-house as well as to clients and the media.
Element 3: Organisation, resources and documentation			
A — Unacceptable	B — Poor	C — Acceptable	D — Excellent
<ul style="list-style-type: none"> Item 3.1 – Employee contribution: How does the contractor provide for employee contribution when developing its HSE culture and HSE management system? 			
The employees have no actual influence on their own working situation with respect to health and safety.	The contractor ensures that the employees and their representatives may offer their opinion in matters concerning health and safety.	The employees are allowed sufficient time and resources to be able to participate in the establishment, follow-up and development of the HSE management system. The contractor attempts to draw on the collective knowledge and experience of the workforce before decisions concerning HSE are taken.	A fundamental principle with the contractor is that the employees shall have actual influence in matters concerning HSE, and that the employees shall actively contribute to the development of the contractor's HSE culture.

<ul style="list-style-type: none"> Item 3.2 - Organisation and communication: How is the contractor structured to achieve effective HSE management and communication? 			
Roles and responsibilities inadequately defined. Insufficient time and resources are made available. Insufficient focus on the importance of effective HSE communication.	Requirements exist, but knowledge and compliance is inadequate.	Roles, responsibilities and the need to allocate sufficient time and resources by management and HSE specialists clearly defined. Routines exist to ensure that instructions and information are communicated to involved personnel. Emphasis on health, working environment, safety and the environment.	Emphasis on adherence and improvement. Non-compliance invariably affects the individuals involved.
<ul style="list-style-type: none"> Item 3.3 - HSE training of managers and supervisors: a) Has formal training been provided for managers and supervisors who will plan, supervise, check and implement the work so that these, regardless of management level, are familiar with their responsibility for ensuring that the work is done in accordance with HSE requirements? b) Does this training embrace relevant topics on health, the working environment, safety and the environment? If YES, please provide details. Describe the content and duration of courses if the contractor provides in-house training. 			
No specialised staff training.	No systematic training.	HSE training norms and training programmes are defined for managers at all levels. The norms meet all regulatory requirements, and are adhered to.	Formal HSE training of all relevant staff in terms of their respective responsibilities. Emphasis on both health, working environment, safety and the environment. The contractor offers training beyond regulatory requirements in critical HSE areas.
<ul style="list-style-type: none"> Item 3.4 - Personnel HSE induction programme: a) What arrangements have been made by the contractor to ensure that new employees are familiar with basic industrial HSE, and that this knowledge is kept up to date? b) What arrangements does the contractor have for ensuring that new employees are informed about possible problem areas and specific hazards inherent in the activity? 			
No formal programme established.	Verbal instructions on relevant procedures and practices only. Information booklet provided for new employees, but no on-the-job briefing by qualified personnel.	Relevant documentation and training provided to all new employees. On-the-job briefing by qualified personnel.	Follow-up observation of new employee's work. Mentorship arrangements provided and adhered to for all new employees. The contractor offers training beyond the basic level.
<ul style="list-style-type: none"> Item 3.5 - HSE training programme: a) What training is provided by the contractor to ensure that personnel involved are familiar with all applicable, formal requirements, and that the HSE knowledge is kept up to date for all personnel? b) What arrangements has the contractor made for emergency response training? 			
No formal programme established.	Verbal instructions on relevant procedures and practices only.	Training programme established based on applicable rules, regulations and company requirements.	Employees are routinely briefed on safe work practices and emergency duties. The contractor offers training beyond the basic level.
<ul style="list-style-type: none"> Item 3.6 - Specialised training: Has the contractor identified activities which call for special training to handle potential hazards? If the answer is YES, provide details of the training given. 			
Formal hazard assessment of work activities not performed. Insufficient knowledge of	Typical hazards known and communicated to involved personnel. Basic on-site training	Formal HSE training programmes developed for all potentially hazardous activities,	The effectiveness of the training programmes are being routinely verified.

applicable rules and regulations. No specialized training offered or required by the contractor.	offered at irregular intervals.	conducted by dedicated personnel on a regular basis. Retraining periods are specified.	
<ul style="list-style-type: none"> Item 3.7 - Rules, regulations, standards and requirements: a) Is there a clear explanation of the formal requirements which the contractor shall meet? b) How does the contractor ensure that these requirements are observed and verified? c) Is there an overall structure for disseminating rules, regulations, standards and company requirements, and for improving internal governing documentation? 			
No focus on HSE requirements.	Basic HSE standards and procedures made available on request.	The requirements are systematically identified, made available and adhered to.	The contractor has a documented system for improving internal requirements.
<ul style="list-style-type: none"> Item 3.8 - Assessing the suitability of subcontractors: a) How does the contractor assess subcontractors for HSE policy, HSE expertise and HSE results? b) Where are the standards and requirements which the contractor requires to be met clearly set out? c) How does the contractor ensure that these standards and requirements are observed and verified? 			
No formal system established.	System for assessment of subcontractors established. Criteria for assessment not defined.	Formal system for assessment of subcontractors implemented. Criteria for assessment defined and adhered to. Supervision carried out according to plan.	Feedback given to subcontractor's management and employees.
Element 4: Evaluation and risk management			
A — Unacceptable	B — Poor	C — Acceptable	D — Excellent
<ul style="list-style-type: none"> Item 4.1 - Risk assessment: What techniques are used by the contractor to identify and assess potential risk to personnel, the environment and assets? 			
The contractor's HSE management system does not include assessment of risk.	The contractor's HSE management system refers to the need to assess risk, but provides no documented methods for doing this.	The contractor's HSE management system includes documented methods for assessing and reducing risk to personnel, the environment and assets to an acceptable level.	Experience with past assessments are routinely used to improve the management system.
<ul style="list-style-type: none"> Item 4.2 – Security management: What systems does the contractor have in place to protect the company against security threats related to the work? 			
No system in place to manage security risks.	Basic physical measures in place to prevent theft or misuse of the contract object and company's property.	Admission control system in place and strictly adhered to. Emphasis on information technology and document security. Security interviews with all employees routinely performed and documented. Personnel with security tasks are trained and competent within the discipline.	References from earlier employment are verified when the contractor uses hired personnel. The contractor ensures that materials and equipment to be used at company premises, is free from drugs and other foreign bodies.
<ul style="list-style-type: none"> Item 4.3 – Sickness absence: What routines does the contractor have for monitoring and preventing sickness absence? 			
Not registered, no overview, no system for registering sickness absence.	Sickness absences are registered, but no reports are produced. No attempt at trend analysis. Nobody has overall responsibility for monitoring.	Systematic registration of sickness absence. Reports produced, distributed and used systematically and proactively.	Management uses the data systematically. The contractor follows up employees on sickness absence and provides for their return to work.

<ul style="list-style-type: none"> Item 4.4 – Work related illness: What routines does the contractor have for monitoring and preventing work related illness? 			
Not registered, no overview, no system exists for registering work related illness.	Work related illness is registered but no reports produced. No attempt at trend analysis. Nobody has overall responsibility for monitoring.	Systematic registration of possible work related illness. Reports produced, distributed and used systematically.	Management uses the data systematically. Employees are encouraged to report conditions that may result in possible work related illness and to actively propose countermeasures.
<ul style="list-style-type: none"> Item 4.5 – Working environment surveys: How does the contractor carry out scheduled working environment surveys, and how are these followed up? 			
Not carried out, no system for environmental surveying exists, working environment conditions are not systematically registered.	Working environment is surveyed, but no reports produced. Nobody has overall responsibility for activities.	Systematic surveys of physical and psychosocial working environment issues for individuals and groups. Reports are produced, distributed and systematically used when developing plans of action.	Contractor's policy implies a consistent, pro-active attitude to working environment problems.
<ul style="list-style-type: none"> Item 4.6 – Use of overtime: How does the contractor ensure that required restitution time is provided and that extensive use of overtime does not become a working environment burden for its employees? 			
Not registered, no overview, system for registering working hours/overtime does not exist.	Working hours/ overtime registered, but no reports produced. No attempt at trend analysis. Nobody has overall authority to monitor the position or to formulate objectives and performance criteria.	Systematic registration of working hours, overtime and restitution time. The contractor ensures that the use of overtime does not represent a risk to human health or safety. Reports are produced, distributed and used systematically. Action is taken and followed up.	The use of overtime shall, to as great an extent as possible, be voluntary and take into account the preferences of the employees. It shall be a goal to have a continuous dialogue with the employee representatives.
<ul style="list-style-type: none"> Item 4.7 – Chemicals: How does the contractor evaluate the health risks presented by the use, transport and disposal of chemicals? 			
The HSE management system includes no risk assessment of potentially hazardous chemicals. No overview (substance index) of chemicals handled.	The HSE management system includes hazard and risk assessment of chemical use and the principle of substitution, but assessments made are not documented. No assessment criteria beyond professional assessment by safety and health personnel. Employees are referred to information on health hazards/risk and preventive measures in HSE data sheets.	Systematic hazard and risk assessment performed and documented whenever chemicals are involved. Assessments are based on verified exposure data. Risk assessments are used systematically to prioritise measures and follow-up of work related illness. Clear criteria for acceptable risk and for ranking chemicals assessed for substitution.	Systematic focus on preventive measures and follow-up of health surveys.

<ul style="list-style-type: none"> Item 4.8 – HSE data sheets: How does the contractor ensure the quality of its MSDS? 			
<p>Little concern about the quality of information on chemicals and of the MSDS.</p>	<p>Replaces MSDS when provided by vendor or manufacturer. Incomplete distribution and control of updated MSDS.</p>	<p>Contractor has focus on the quality of MSDS and their availability to employees. The employees have factual knowledge of the content in the MSDS for their work and are capable of acting in accordance with the instructions provided.</p>	<p>The contractor verifies that employees are capable of acting in accordance with the instructions they provide.</p>
<ul style="list-style-type: none"> Item 4.9 - Personal protective equipment: What systems does the contractor have for provision and upkeep of PPE, both standard issue and items required for specialised activities? 			
<p>Basic PPE provided to personnel but no corporate procedure for assessing individual needs.</p>	<p>PPE requirements formally assessed but little effort made to ensure correct usage.</p>	<p>Procedure with reference to relevant statutory requirements in place. PPE requirements formally assessed. Regular monitoring of correct PPE usage performed.</p>	<p>The contractor is actively involved in the development and continuous improvement of PPE.</p>
<ul style="list-style-type: none"> Item 4.10 - Environmental management system: Is the EMS based on a recognized international standard? 			
<p>No EMS in place.</p>	<p>Basic EMS in place. Plan to develop an EMS system to a level comparable with a recognized international standard within 3 years.</p>	<p>EMS developed to a level comparable to a recognized international standard, e.g. ISO 14001:1996 or EMAS. Compliance is documented by self-assessment.</p>	<p>EMS based on a recognized international standard, e.g. ISO 14001:1996 or EMAS. Contractor is in possession of a valid certificate for EMS. The EMS is well known by contractor's personnel, and actively adhered to.</p>
<ul style="list-style-type: none"> Item 4.11 - Environmental impact assessment and monitoring: How does the contractor evaluate and monitor the environmental impact of the work done, and how is this information used to minimise possible negative effects? 			
<p>Does not have an understanding of potential environmental impact or capability to improve performance.</p>	<p>Basic information in place to comply with regulatory requirements.</p>	<p>Procedure in place defining elements to be assessed and monitored. Official requirements are systematically monitored.</p>	<p>Official and own requirements are fully met and results used consistently in a continuous improvement process.</p>
<ul style="list-style-type: none"> Item 4.12 - Selection of environmentally optimal solutions: Does the contractor operate a system that clearly identifies the best available environmental solutions? How are such evaluations documented? 			
<p>No understanding of the environmental impact of the activity or products, or ignore to identify environmental aspects and take measures to continuously improve performance.</p>	<p>Basic understanding of the environmental impact of activities and technical solutions. No environmental management system in place to systematically identify environmental aspects to continuously improve performance.</p>	<p>Environmental aspects are included in technical and operational evaluations. Evaluations are documented, and constitute a criterion when selecting solutions.</p>	<p>Life cycle impacts on the environment are evaluated, documented and constitute a criterion when selecting solutions. All evaluations are documented in an environmental accounting system.</p>

<ul style="list-style-type: none"> Item 4.13 - The environment and management documentation: Has the contractor included environmental aspects in management documentation, including operational procedures? 			
Environmental aspects are not included in the contractor's management documentation.	Environmental aspects are included in some management documents, but these are not generally known/seldom used.	Environmental aspects are included in management documentation, but not consistently used when setting targets for performance improvement.	The environmental management system is part of, and fully integrated in the business management systems. Environmental aspects are consistently included in the contractor's management documentation, which is well known to the employees and used for continuous improvement of performance. Key performance indicators include environmental issues.
<ul style="list-style-type: none"> Item 4.14 - Waste management: Does the contractor have established systems for identifying, classifying, managing and reducing waste? 			
The contractor has insufficient procedures in place for waste management and cannot demonstrate full compliance with statutory requirements for disposing of waste.	The contractor has procedures in place, but cannot demonstrate full compliance with statutory requirements.	The contractor has relevant procedures in place, and can demonstrate full compliance with statutory requirements.	The contractor has a formal waste control system, including identification and classification, which actively seeks to minimise the environmental impact. The process and results are documented.
<ul style="list-style-type: none"> Item 4.15 – Environmental properties of chemicals due to be discharged: Does the contractor have ecotoxicological data which meet official requirements for the chemicals due to be discharged? 			
No ecotoxicological data for chemicals.	Ecotoxicological data which fully meet official requirements for most chemicals. The rest are being tested.	Ecotoxicological data fully meet official requirements for all chemicals, and are consistent with MSDS data when relevant.	The contractor actively seeks to ensure the traceability quality of information in cooperation with relevant industry associations, e.g. EOSCA and CHEMS.
<ul style="list-style-type: none"> Item 4.16 - Use of potentially environmentally harmful chemicals: How does the contractor ensure that minimal use is made of chemicals which are potentially harmful to the environment? Are possible measures documented in environmental action plans or HSE programmes? 			
No formal measures in place.	Regulatory requirements are known, but procedures are insufficient or not fully implemented in plans.	Regulatory requirements are met. The contractor has procedures and plans in place for replacing potentially harmful chemicals proposed for the work with less harmful chemicals.	The contractor is active in seeking cooperation with the operator to supply chemicals with better performance from an overall environmental perspective.
<ul style="list-style-type: none"> Item 4.17 - Safety delegates: a) How is the organised safety delegate service involved in the contractor's overall HSE work? b) How does the contractor cooperate with its safety delegates to ensure employee contribution in preventing undesirable events, hazardous conditions and work related illness, and to improve HSE performance? 			
Safety delegate and working environment committee system not established.	Safety delegate and working environment committee system established and documented.	Safety delegates and working environment committee system actively involved in developing HSE strategies and	Safety delegates and working environment committee system actively involved in developing, implementing and evaluating HSE strategies,

		programmes.	HSE programmes and programmes for workplace loss prevention.
Element 5: Planning and procedures			
A — Unacceptable	B — Poor	C — Acceptable	D — Excellent
<ul style="list-style-type: none"> Item 5.1 - HSE working practices: How does the contractor ensure that work instructions and procedures are aligned with its HSE management system and policy? 			
No HSE procedures available.	Basic HSE procedures exist. No systematic verification and observance.	The contractor's documented HSE procedures cover all potentially hazardous operations. Procedures are routinely updated and disseminated to employees.	A process for consistency verification and procedure improvements is in place.
<ul style="list-style-type: none"> Item 5.2 - HSE programme: Does the contractor have formal procedures or established practice for establishing and implementing contract-specific HSE programmes? If YES, please provide details and describe how these procedures are presented to clients. 			
No formal procedures available.	The contractor has formal procedures for establishing HSE programmes.	The contractor has formal procedures for establishing and implementing HSE programmes.	Procedures are routinely presented to and discussed with the client when HSE programmes are to be developed for the work.
<ul style="list-style-type: none"> Item 5.3 - Equipment control and maintenance: How does the contractor ensure that plant and equipment used by its employees at the company's premises, on site or elsewhere are correctly registered, inspected and maintained in a safe working condition? 			
No defined programme for identifying or evaluating whether equipment is in poor condition.	Plan relies on external resources. Additional equipment inspection confined to site personnel.	A written programme outlines supervisory guidelines, responsibilities, frequency and follow-up.	Senior management or specialist teams conduct periodic audits/inspections.
<ul style="list-style-type: none"> Item 5.4 – Emergency preparedness: a) How does the contractor provide for required notification in the event of a hazardous condition or an accident? b) What systems are established by the contractor to provide immediate and long-term care for employees and relatives in the event of a hazardous condition or an accident? 			
No service established.	Service based on public resources only.	Documented service based on qualified in-house resources or a formal contract with a qualified sub-contractor.	Resources participate in the organisation's emergency training and exercises.
Element 6: Implementation and performance monitoring			
A — Unacceptable	B — Poor	C — Acceptable	D — Excellent
<ul style="list-style-type: none"> Item 6.1 - Supervision and monitoring of work activities: a) What arrangements does the contractor have for supervising and monitoring its operations from an HSE point of view? b) What arrangements does the contractor have for passing on possible results and findings from such supervision and monitoring to base management and to employees on site? 			
No system for monitoring of work activities.	A formal system for monitoring of work activities is in place.	The contractor verifies that employees are familiar with work instructions and procedures, and that they are capable of acting according to the instructions provided.	The contractor works systematically to improve his work processes and procedures from an HSE perspective, to minimise the likelihood of injuries and damage.
<ul style="list-style-type: none"> Item 6.2 – History of undesirable events/hazardous conditions: Has the contractor or any of the contractors' sub-contractors caused any notifiable events (safety, occupational health or environmental) over the past five years? If YES, please provide details — including dates, the most frequent types of event, causes and any preventive follow-up measures implemented. 			

Several occurrences of major and similar notifiable events over the past five years.	Notifiable events have occurred over the past five years, but no apparent pattern in root causes.	Occurrences relate to minor event(s) only.	No occurrences over the past five years.
<ul style="list-style-type: none"> Item 6.3 - Reporting events with a high loss potential: How does the contractor identify undesirable events with a high loss potential, and how are these followed up? 			
Undesirable events are not routinely reported or followed up.	Major events normally followed up and reported to local management.	Major events reported to local management. Assessments used systematically to identify root causes and prevent recurrence. The contractor verifies that required measures are taken.	Reports are also sent to corporate management. Findings are routinely communicated to relevant parts of the contractor's organisation.
<ul style="list-style-type: none"> Item 6.4 - Reporting personnel injuries: a) Which parameters are used by the contractor to monitor injuries suffered by employees? b) Has the contractor developed procedures for alternative work? If YES, please provide details. 			
Personnel injuries not routinely reported or followed up.	Substantial injuries normally followed up and reported to local management.	Personnel injuries (excluding first aid cases) reported to local management. Systematic assessments are made to identify root causes and prevent recurrence.	Personnel injuries periodically reported to corporate management. Analysis results are routinely communicated to relevant parts of the contractor's organisation.
<ul style="list-style-type: none"> Item 6.5 - Incident follow-up systems: What systems does the contractor have for following up undesirable events? 			
No formal systems in place.	Manual files established and maintained by local units.	Shared concept (manual or computerised) facilitating follow-up of preventive or corrective action. Data made available to other units on request.	Shared computerised system with joint database. System facilitates systematic transfer of experience.
<ul style="list-style-type: none"> Item 6.6 - Occupational health: a) How does the contractor monitor the working environment on a daily basis, and how are the results of such monitoring followed up? b) How are employees informed of possible health hazards they might encounter during the work? 			
Does not have a system which ensures and documents the following up of health and working environment issues.	Has some follow-up, but does not meet relevant regulatory requirements.	A system is in place which ensures and documents the following up of health and working environment issues. Employees are systematically informed of possible health hazards. Action plans are developed and regularly followed up.	The contractor continuously improves its products and work processes in relation to the working environment and occupational health.
<ul style="list-style-type: none"> Item 6.7 - HSE performance indicators: What types of HSE performance indicators does the contractor apply, and what are the reasons for choosing these specific indicators? 			
Key performance indicators not defined. Insufficient data on HSE performance.	Some key performance indicators defined. Insufficient data on HSE performance.	A documented system is in place to monitor HSE performance against targets for defined key areas and activities, with feedback to employees.	The contractor also operates an in-house award system, based primarily on proactive performance indicators.
<ul style="list-style-type: none"> Item 6.8 - Handling non-conformances: How does the contractor deal with and report non-conformance with procedures, specifications, standards, contractual requirements, and official rules and regulations? 			
Non-conformances generally not reported or followed up.	Non-conformances occasionally reported and followed up locally.	Non-conformances reported and followed up. Underlying causes are	Non-conformances systematically reported and followed up as part of an

		identified. Measures are taken to prevent recurrence, and the effectiveness of measures are being assessed.	ongoing improvement process.
<ul style="list-style-type: none"> Item 6.9 - Experience transfer: What arrangements does the contractor have for ensuring that lessons learned are systematically applied in future work, and which issues are addressed? 			
No systems in place to facilitate experience transfer.	Experience transfer only through personal accounts. Time and resources made available are inadequate to facilitate systematic improvement.	Formal requirements for experience transfer are documented. Sufficient time and resources are provided to facilitate systematic improvement.	Experience transfer is used systematically in the contractor's improvement processes, as an inherent part of the contractor's company culture. The improvement activities are routinely being verified.
<ul style="list-style-type: none"> Item 6.10 - Investigation and reporting of major incidents: a) Who heads investigations into undesirable events? b) How are findings from investigations or from undesirable events that occur elsewhere communicated to employees? 			
Findings not generally communicated.	Findings communicated to key personnel only via limited in-house memo or similar media.	Competence requirements to key positions in the investigation team clearly defined. Reports are made available to all employees. Findings are communicated to relevant employees via specific in-house notice.	Advice on preventing future incidents is also communicated.
Element 7: Auditing and reviewing			
A — Unacceptable	B — Poor	C — Acceptable	D — Excellent
<ul style="list-style-type: none"> Item 7.1 - Auditing and reviewing: a) Does the contractor have documented processes in place for its audit and review activities, which also include its sub-contractors? b) Which methods are being used to prioritise audits and reviews? c) How are the audits and reviews followed up by management? 			
Audit process is cursory only. Formal auditing requirements are not defined.	Audit process and audit programmes are documented. The selection of audit issues is partly based on risk assessments. Follow up and correction of deviations are most often inadequate.	A documented program exists, covering all audit issues and high priority verification, review and follow-up issues. Objects and issues subjected to supervision are selected on the basis of risk assessments. Deviations are systematically followed up and corrected. The program includes relevant sub-contractor activities.	Genuine and visible management involvement in all supervisory activities. The effects of the supervision are regularly addressed. Observations are followed up.

Annex A (Informative) Proposed HSE contractual requirements

The proposed contractual requirements in this Annex A apply both to the contractor and its subcontractors.

A.1 Leadership and commitment

A.1.1 Commitment to HSE through leadership

Responsibility for HSE shall lie with the line management. Top executives shall be personally involved in HSE management. The commitment to HSE shall be evident at all levels within the organisation, and the corporate culture shall ensure a positive attitude to HSE issues.

A.2 Policy and strategic objectives

A.2.1 HSE policy, access and responsibility

The contractor shall have a documented corporate HSE policy, developed with active employee participation. The contractor shall document the name, title and experience of the most senior manager in the organisation responsible for ensuring that this policy is observed. The contractor shall also document who has overall and ultimate responsibility for HSE matters within its organisation.

The contractor shall define and document which methods are applied for informing personnel about its HSE policy, and which routines are employed to inform personnel of any changes to this policy.

A.2.2 Contractor's policy on accidents and losses

The contractor's HSE policy shall reflect the Zero mindset as a long time target.

A.3 Organisation, resources and documentation

A.3.1 Employee contribution

The employees shall have actual influence on their working situation in matters concerning health and safety.

Sufficient time and resources shall be allowed for the employees to be able to participate during the establishment, follow-up and development of the HSE management system.

A.3.2 Organisation and communication

The contractor's management shall be involved in HSE activities, and in setting and following up HSE objectives. The contractor's organisation shall facilitate effective HSE management and communication, with particular emphasis on HSE as an integrated element in planning and implementing operations.

A.3.3 HSE training of managers and supervisors

Managers and supervisors who will be involved in planning, monitoring, checking or carrying out the work shall, regardless of their level in the organisation, have undergone formal HSE training. HSE training norms and training programmes shall be defined for managers at all levels. All training shall be documented.

A.3.4 Personnel HSE induction programme

Special arrangements shall be established for training new employees in relevant local procedures and in any specific hazards inherent in the activity. All training shall be documented.

A.3.5 HSE training programme

The contractor shall have put documented systems in place for selecting and training personnel in order to ensure that the work is executed by qualified individuals with adequate skills. Arrangements shall be established which ensure that the contractor's personnel are familiar with and, where required, trained in:

- basic industrial HSE
- the contractor's HSE policy and practice
- the company's general HSE requirements

- any specific hazards inherent in the activities
- correct use of personal protective equipment
- emergency response

Arrangements shall be put in place to ensure that the HSE knowledge and training of personnel are constantly updated.

A.3.6 Specialised training

The contractor shall evaluate and document how far any of its areas of activity require special and/or additional training in respect of potential risks. Relevant training programmes shall be established. All training shall be documented.

A.3.7 Rules, regulations, standards and requirements

The contractor shall document

- its compliance with statutory rules and regulations, and with the company's contractual requirements
- the methods used to verify understanding and compliance
- the overall structure for preparing and updating in-house requirements and procedures
- the overall structure for making such documents known

A.3.8 Assessing the suitability of subcontractors

The contractor shall assess the HSE expertise and record of its subcontractors. The contractor shall document its methods for identifying the standards and requirements to be met by subcontractors, and for ensuring that these standards and requirements are understood and observed.

A.4 Evaluation and risk management

A.4.1 Risk assessment

The contractor shall employ suitable and generally recognised methods for identifying and assessing HSE hazards and their consequences. These methods shall be documented.

A.4.2 Security management

The contractor shall at all times have implemented security measures which protect the company against relevant threats related to the work. The level of security shall be flexible and adapted to the relationship between the threat and activities ongoing at any given time. OLF's guidelines for heliport and supply base security shall be adhered to when relevant. A system shall be in place for handling of classified documents and electronic data.

The contractor shall be able to verify the identity of personnel who are to do work for the company at bases, on installations, on vessels and at land-based plants, and in premises employed by the company. When the contractor uses hired personnel, references from earlier employment shall be verified.

A.4.3 Sickness absence

Data on sickness absence shall be used proactively. Provisions shall be made for the employees' return to work, or that alternative work is offered within the contractor's organisation.

A.4.4 Work related illness

The contractor shall systematically follow up incidents of possible work related illness. Employees shall be encouraged to propose countermeasures, and to prevent new incidents from occurring.

A.4.5 Working environment surveys

The contractor shall have a system which ensures and documents the identification and following up of all physical, chemical, ergonomic and psychosocial/organisational factors which could be potentially detrimental to health and performance. This system shall be linked to continuous systematic monitoring of the exposure of its own and subcontractor employees to these factors, and to a programme for reducing exposure which could be harmful to health.

A.4.6 Use of overtime

Working hours, overtime and restitution time shall be systematically monitored. The contractor shall ensure that the use of overtime does not represent a risk to human health or safety.

A.4.7 Chemicals

The contractor shall have a system which ensures and documents that all chemicals due to be used during the work are evaluated for their health risk during transport, use and disposal, and that chemicals with the smallest health risk are given preference wherever this is technically and operationally feasible.

A.4.8 HSE data sheets

The contractor shall have a system in place which ensures that correct information is available on the health risk, fire, explosion and environmental hazards posed by chemical products used in the work. The MSDS shall be made available in a language that is understood by the employees who will perform the work.

A.4.9 Personal protective equipment

The contractor shall be able to demonstrate that the personal protective equipment used during the work provides satisfactory protection in the relevant tasks. Documented arrangements shall be in place for provision and maintenance of such equipment, both standard issue and items required for special operations.

A.4.10 Environmental management system

The contractor shall have an environmental management system developed to a level comparable to a recognized international standard, e.g. ISO 14001:1996 or EMAS. The system is well known by contractor's personnel, and actively adhered to.

A.4.11 Environmental impact assessment and monitoring

The contractor shall have a system in place which ensures and documents the evaluation and follow-up of the work's environmental impact. The follow-up shall include environmental monitoring where required. Evaluation and monitoring results shall be used systematically to minimise the environmental impact.

A.4.12 Selection of environmentally optimal solutions

The contractor shall have a system in place which ensures and documents the selection of environmentally optimal solutions. The environmental aspect shall be included in all technical evaluations which involve discharges. The results of these evaluations shall be documented in an environmental accounting system, and shall serve as an evaluation criterion when selecting solutions based on cost/benefit analyses.

A.4.13 The environment and management documentation

The contractor shall have a system in place which ensures and documents the inclusion of the environmental aspect in management documentation, including operational procedures.

A.4.14 Waste management

The contractor shall have implemented a system for identifying, classifying and handling waste. Hazardous waste shall be handled in accordance with applicable statutory rules and regulations. Consumer and production waste shall be sorted.

A.4.15 Environmental properties of chemicals due to be discharged

Information on toxicity, biodegradability and bioaccumulation potential shall be available for all chemicals due to be discharged to the sea during the work. The contractor shall demonstrate a system which ensures and documents that ecotoxicological data and the contents of material safety data sheets are consistent with each other and valid for the chemical actually being used.

For operations on the Norwegian continental shelf and in areas covered by OSPAR, ecotoxicological data for chemicals shall be provided in the harmonised offshore chemical notification format (HOCNF). This information shall be compiled in accordance with the quality requirements specified in OSPAR's published guidelines for completing the HOCNF. Guidelines for ecotoxicological testing issued by the Norwegian Pollution Control Authority (SFT) shall apply [see *Requirements for ecotoxicological testing and environmental assessment of offshore chemicals and drilling fluids*, 31 August 1998].

A.4.16 Use of potentially environmentally harmful chemicals

The contractor shall have a system in place which ensures and documents the evaluation of measures to reduce discharges/emissions to soil, water and air. Emphasis shall be given to reducing chemical usage and replacing environmentally harmful chemicals. Measures based on these evaluations shall be included in an environmental action plan or HSE programme.

If the contractor manufactures or imports chemicals, he shall comply with statutory rules and regulations, as well as official guidelines on evaluating and classifying chemicals. In Norway, this shall include reporting chemicals to the product registry (Produktregisteret).

The contractor shall avoid discharging chemicals with a potential for long-term impact in the form of high bioaccumulation potential or poor degradability, or which are considered potentially harmful in other respects. That applies particularly to chemicals discharged in large quantities and/or in sensitive areas. Where such criteria fail to be met, the justification for continued use shall be documented or a plan for replacing the chemical prepared.

When chemicals that are used in Norway fail to meet SFT's criteria for degradability and bioaccumulation, or when such chemicals in other ways are classified as potentially harmful to the environment, the justification for continued use shall be documented, and a plan for replacing the chemical shall be prepared.

Chemical products and substances which are used in Norway and classified by the SFT and the NPD [see Report no 58 (1996-97) to the Norwegian Storting (parliament), and current regulations] shall contain a minimum level of contaminant, and be of such a high purity and quality as possible. The contractor shall have a quality assurance system, which ensures that the products with the highest purity are used.

A.4.17 Safety delegates

The work to be carried out by the organised safety delegate service under statutory rules and regulations shall be described. This work shall be supervised in accordance with specified routines established by the parties and their organised safety delegate services before the work commences.

A.5 Planning and procedures

A.5.1 HSE working practices

Documented HSE procedures shall exist for all potentially hazardous operations. The procedures are routinely updated and disseminated to employees. Working practices and procedures shall be consistent with the contractor's HSE policy and HSE management system.

A.5.2 HSE programme

The contractor shall establish an HSE programme which covers the elements of the HSE management system. The programme shall be prepared in consultation with the contractor's employee representatives. This programme shall form an integral part of the company's overall HSE programme for the respective site, project or activity, and cover specific activities with a description of what is to be delivered. The HSE programme shall be proactive and shall be kept updated throughout the work.

The HSE programme shall cover occupational health and the working environment, safety, security, the environment and emergency response. Separate objectives shall be defined for each of these main areas.

In addition, the HSE programme should

- identify statutory rules and regulations, and other specific requirements relating to HSE which apply to the work;
- define activities which shall be initiated to meet prevailing requirements;
- define applicable risk acceptance criteria;
- define the hazards which shall be addressed, how these are to be controlled, and which methods should be used if necessary to regain control;
- identify procedures to be developed under the contract;
- define company/contractor responsibilities and interfaces, and the contractor's strategy for supervising subcontractors;
- identify and schedule the contractor's training requirements.

The HSE programme shall be submitted to the company and company's employee representatives for review in accordance with agreed milestones. The company shall be notified of possible changes to the programme.

A.5.3 Equipment control and maintenance

The contractor shall have documented systems in place which ensure proper maintenance and calibration as well as suitability of tools and equipment used by its personnel when performing the work at its premises, on site or at any other location.

A.5.4 Emergency preparedness

The contractor shall be capable of proper notification and be able to establish and maintain contact with next-of-kin, media, unions, and authorities in co-operation with company, unless otherwise agreed. The contractor shall have a system in place ensuring that updated and relevant personnel data for contractor's personnel and subcontractor's personnel are easily available in contractor's office in case of an emergency. The data shall include social serial numbers and relevant personal data for next-of-kin. The contractor shall have a documented organisation for providing immediate and long-term care for employees and relatives in the event of a hazardous condition or an accident.

A.6 Implementation and monitoring

A.6.1 Supervision and monitoring of work activities

The contractor shall supervise and monitor its work activities to ensure that all relevant HSE requirements are fully complied with. The results of this supervision and monitoring shall be passed on without undue delay to the contractor's management and personnel. The contractor shall verify that employees are familiar with work instructions and procedures, and that they are capable of acting according to the instructions provided. Frequent management inspections shall be performed to verify compliance with prevailing standards.

A.6.2 History of undesirable events/hazardous conditions

The contractor shall comply with all official requirements for notifying and reporting undesired events/hazardous conditions relating to safety, occupational health and the environment. Routines for ensuring such compliance shall be documented.

All notifiable undesirable events/hazardous conditions experienced by the contractor shall be reported to the company without undue delay, whether the event occurred at the contractor's premises, at the site or at other locations. The report shall include the date of the event, its causes and any preventive follow-up measures taken.

A.6.3 Reporting events with a high loss potential

High loss potential events suffered by the contractor shall be reported to the company within 24 h of the incident. Information on possible underlying causes shall be provided.

A.6.4 Reporting personnel injuries

The company shall be notified of any personnel injury suffered by the contractor's personnel. Direct and underlying causes shall be specified.

A.6.5 Incident follow-up system

The contractor shall have a manual or computerised system in place to record and follow-up corrective and preventive actions resulting from undesired events. The system shall facilitate systematic transfer of experience.

A.6.6 Occupational health

The contractor shall have a system in place which documents systematic health monitoring as specified by applicable regulations and good professional practice. Monitoring shall lead to action plans, which are regularly followed up.

The system shall provide for identification, evaluation and reporting of work related illnesses and corrective measures, follow-up of employees on sick leave, and prevention and treatment of alcohol and drug abuse.

A.6.7 HSE performance indicators

Unless otherwise agreed, a monthly HSE report shall be submitted as part of the contractor's overall monthly report. This report shall cover the status of identified HSE hazards and significant HSE aspects. The status

of all activities in the HSE programme shall also be detailed in full. Preventive measures which have been initiated or implemented shall be briefly described.

The contractor shall have a documented system in place to monitor HSE performance against targets for defined key areas and activities, with feedback to employees.

Unless otherwise agreed, the following HSE data shall be provided for the contractor, each subcontractor and in total:

- number of accidents/losses;
- number of near-misses/hazardous conditions;
- number of undesirable events with high loss potential;
- number of lost-time injuries;
- hours worked (see below);
- registered overtime;
- sickness absence (as a percentage of normal working hours);
- new cases of work related illness.

The company shall be informed of the contractor's definition of a lost-time injury and work related illness, and its definition of and practice concerning the use of alternative work.

Hours worked shall be specified as follows: a) total number of hours worked on the contract in the period, b) direct and indirect construction hours, including supervision and fabrication, but excluding engineering hours. Off-site construction and installation work performed by subcontractors which amount to more than 10 000 h shall also be reported.

A.6.8 Handling non-conformances

The contractor shall have a system in place for registering and following up non-conformances with procedures, specifications, standards and contract requirements relating to the work. Underlying causes shall be identified. Measures shall be taken to prevent recurrence, and the effectiveness of the measures shall be assessed.

A.6.9 Experience transfer

Formal requirements for HSE experience transfer shall be documented. Sufficient time and resources shall be provided to facilitate systematic improvement.

Transfer of HSE experience shall form part of the contractor's close-out report to the company. This report shall be prepared concurrently with the work, and shall as a minimum address the following:

- how the contractor's HSE programme has functioned (where such a programme has been drawn up);
- unforeseen problems — how these were overcome and recommended future approaches;
- underlying causes of personnel injuries and work related illness, and how such cases have been followed up;
- positive HSE aspects which should be considered for future activities;
- any damage to equipment, and recommendations on avoiding similar damage in future operations;
- suggested improvements to work routines.

The current status of the above items shall be discussed with the company representative at regular experience transfer meetings.

A.6.10 Investigation and reporting of major incidents

The contractor shall document who will lead investigations. Competence requirements to key positions in the investigation team shall be clearly defined.

Investigation reports shall be made available to all employees. Findings shall be communicated to the contractor's base management and personnel.

A.7 Auditing and reviewing

A.7.1 Auditing and reviewing

The contractor shall have a documented plan covering all audit issues and high priority verification, review and follow-up issues. Objects and issues subjected to supervision shall be selected on the basis of risk assessments. Deviations shall be systematically followed up and corrected. The program shall include relevant sub-contractor activities.

Annex B (Informative) Activity matrix

The matrix shows typical categories of contract and associated HSE-related items, which should be included in connection with qualification, evaluation and contract supervision. The company decides for itself which category of contract is most relevant for the specific delivery. Deliveries with limited HSE risk will normally require less extensive evaluation and following up than those with a high HSE risk. Other factors which should be taken into account when selecting contract category include the criticality of the delivery in progress and financial terms, and possible experience with earlier contracts. Please note that Category IV is intended to be used for contracts involving a limited number of hired personnel over a limited period of time.

HSE-related items and contract categories		Category I	Category II	Category III	Category IV
		Large and/or complex	Small and/or simple	Small and/or simple with limited follow-up	Hire of personnel
Element 1 — Leadership and commitment					
1.1	Commitment to HSE through leadership	◆	◆	◆	◆
Element 2 — Policy and strategic objectives					
2.1	HSE policy, access and responsibility	◆	◆	◆	◆
2.2	Contractor's policy on accidents and losses	◆	◆	◆	◆
Element 3 — Organisation, resources and documentation					
3.1	Employee contribution	◆	◆	◆	◆
3.2	Organisation and communication	◆	◆	◆	◆
3.3	HSE training of managers and supervisors	◆	◆	◆	
3.4	Personnel HSE induction programme	◆	◆	◆	◆
3.5	HSE training programme	◆	◆		
3.6	Specialised training	◆	◆		
3.7	Rules, regulations, standards and requirements	◆	◆		
3.8	Assessing the suitability of subcontractors	◆	◆	◆	
Element 4 — Evaluation and risk management					
4.1	Risk assessment	◆	◆		
4.2	Security management	◆	◆	◆	◆
4.3	Sickness absence	◆	◆		◆
4.4	Work related illness	◆	◆	◆	◆
4.5	Working environment surveys	◆	◆		
4.6	Use of overtime	◆	◆		◆
4.7	Chemicals	◆	◆		
4.8	HSE data sheets	◆	◆		
4.9	Personal protective equipment	◆	◆	◆	◆
4.10	Environmental management system	◆			
4.11	Environmental impact assessment and monitoring	◆			
4.12	Selection of environmentally optimal solutions	◆	◆		
4.13	The environment and management documentation	◆			
4.14	Waste management	◆			
4.15	Environmental properties of chemicals due to be discharged	◆			
4.16	Use of potentially environmentally harmful chemicals	◆	◆		
4.17	Safety delegates	◆			
Element 5 — Planning and procedures					
5.1	HSE working practices	◆	◆		
5.2	HSE programme	◆			
5.3	Equipment control and maintenance	◆	◆		◆
5.4	Emergency preparedness	◆	◆	◆	◆
Element 6 — Implementation and monitoring					
6.1	Supervision and monitoring of work activities	◆	◆		◆
6.2	History of undesirable events/hazardous conditions	◆	◆	◆	
6.3	Reporting events with a high loss potential	◆	◆		
6.4	Reporting personnel injuries	◆	◆	◆	
6.5	Incident follow-up system	◆	◆		
6.6	Occupational health	◆	◆		◆
6.7	HSE performance indicators	◆	◆		
6.8	Handling non-conformances	◆	◆		
6.9	Experience transfer	◆	◆		
6.10	Investigation and reporting of major incidents	◆	◆		
Element 7 — Auditing and reviewing					
7.1	Auditing and reviewing	◆			

Annex C (Informative) Classification matrix for undesirable events

A classification matrix for undesirable events can be used to assess the severity of the event. The matrix will be an aid when evaluating the extent of the actions that should be put in place. The classification should be based on an accepted standard. Otherwise, details shall be agreed for each delivery. An example of a qualitative classification matrix is shown in Table C.1.

Table C.1 – Classification matrix for undesirable events

Severity	Consequence				Increasing probability				
	People	Assets	Environment	Reputation	a	b	c	d	e
					<i>Never heard of in E&P industry</i>	<i>Heard of in E&P industry</i>	<i>Incident has occurred in our company</i>	<i>Happens several times per year in our company</i>	<i>Happens several times per year in a location</i>
0	<i>No health effect/injury</i>	<i>No damage</i>	<i>No effect</i>	<i>No impact</i>					
1	<i>Slight health effect/injury</i>	<i>Slight damage</i>	<i>Slight effect</i>	<i>Slight impact</i>					
2	<i>Minor health effect/injury</i>	<i>Minor damage</i>	<i>Minor effect</i>	<i>Limited impact</i>					
3	<i>Major health effect/injury</i>	<i>Localised damage</i>	<i>Localised effect</i>	<i>Considerable impact</i>					
4	<i>Single fatality</i>	<i>Major damage</i>	<i>Major effect</i>	<i>National impact</i>					
5	<i>Multiple fatalities</i>	<i>Extensive damage</i>	<i>Massive effect</i>	<i>International impact</i>					

Annex D (Informative) Practical use of the evaluation criteria

D.1 General

The company can decide for itself how the HSE expectations presented in chapter 4.3 shall be used to qualify and evaluate the individual inquiry or delivery. This Annex describes certain issues that should be considered when this NORSOK standard is used in procurement processes.

D.2 Relevance and importance of HSE items

All HSE items should be evaluated for relevance in the context of the procurement in question. Items that are clearly not relevant can be excluded, provided that the reason for such exclusion is documented.

The relative importance of the various HSE items should be assessed either individually or by groups, e.g. by allocating a percentage of the overall HSE score to each of the seven principal elements of the HSE management system. If relative importance is assigned on an item-by-item basis, a “normal” or “high” weight factor could be applied, as shown in Table D.1. The two methods can be combined. The assigned importance can be used qualitatively, or as a basis for numeric assessments.

Table D.1 - Suggested numeric weights of HSE items

Item score Item importance	Unacceptable	Poor	Acceptable	Excellent
Normal	0	1	2	3
High	0	2	4	6

D.3 Acceptance criteria

Acceptance criteria can be used to qualify or disqualify a particular tenderer or proposal. Qualitative acceptance criteria can be assigned to each item. E.g., a decision can be made to exclude tenderers with an “unacceptable” performance on certain HSE-critical items, or to require “excellent” performance on other HSE-critical items. Qualitative acceptance criteria can also be applied at an aggregated level, e.g. to the principal elements of the HSE management system.

Quantitative acceptance criteria are normally applied to the full range of HSE items in question. One could, e.g. define the acceptance criterion as the total score achieved if the tenderers on average were to be assigned “acceptable” scores (weights 2 or 4) on all HSE items in question. A more ambitious approach would be one where the tenderers would have to demonstrate “acceptable” performance for 70 % of the HSE items, and “excellent” performance (weights 3 or 6) for the remaining 30 % of the items. Whatever method is chosen, the quantitative acceptance criterion will constitute a single numeric figure, which in turn can be compared with the numeric results of the actual qualification or evaluation.

Applicable law and legal precedence may limit the use of “soft” evaluation criteria in the procurement process. The company must decide for itself how such applicable law and legal procedures at any time may affect the use of this NORSOK standard in the company’s procurement processes.

D.4 Deviations

The company should formally describe the rules that would apply if it becomes necessary to deviate from this standard or the associated procedures for qualification and evaluation.

