**Appendix 3A - Contractor HSE Capability Assessment Questionnaire**

**References**

* PDO HSE Procedure “Contract HSE Management-PR-1171

1. **General guidelines for preparation of questionnaire**

This questionnaire has been developed to help assess the extent to which HSE and its management is organised by Tenderer’s organisation. In completing this questionnaire Tenderer should include all relevant activities, not just those on Company sites.

In preparing the response, emphasis should be placed on providing complete answers with supporting documentation as far as practicable. The submission to be delivered in one folder and all evidence listed. Responses and any supporting documentation must relate specifically to the development and implementation of Tenderer organisation HSE Management System. If Company requirements are exceeded, Tenderer is requested to include the details in its submission.

The submission should be truthful and validated (Signed) by Tenderer’s company CEO.

Following submission, an evaluation of Tenderer’s organisation will be performed using the PDO “HSE Evaluation tool”. This evaluation will consider together with Hazards and Effects register (s), historical HSE performance and any other audits and verification that may be required. The scoring from the evaluation will result in a Company HSE BANDING i.e. Green, Amber or Red. The record of this score, ‘HSE banding’ may have a direct influence on the future contract arrangements with PDO dependant on the result.

This evaluation will consider this Questionnaire together with Hazards and Effects register(s), historical HSE performance any other audits and verification that may be required. In all but extreme instances there will be a follow-up meeting at the contractor office and or work site. To reduce the time and resource of the process a full and complete submission/ (with evidence in each case) is required.

CONTRACTOR – Submit the sheet in WORD of EXCEL format although supporting evidence may be accepted in PDF or other format

CONTRACTOR – Enter the answers to the questions in the ‘Contractor Response’ Column (remember to submit appropriate evidence, we have added a further guide to evidence [here](#Evidence1))

*NB: if contractor/s has a doubt on what evidence should be submitted, the Company will provide guidance.*

1. **Questionnaire for Contractor HSE Capability Assessment**

**Name of Contractor……………………………………………… Verification Checklist – Contractor HSE Capability Questionnaire**

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| **Questionnaire item** | **Contractor Response** | **PDO Verification** |
|  |  |  |
| **1.** [**Leadership and Commitment**](#Evidence1) |  |  |
| 1. How are senior managers personally involved in HSE management? |  |  |
| 1. Provide evidence of commitment at all levels of the organization. |  |  |
| 1. How do you promote a positive culture toward HSE matters? |  |  |
| **2.** [**Policy and Strategic Objectives**](#Evidence2) |  |  |
| ***2.1 HSE Policy Documents*** |  |  |
| 1. Does your company have an HSE Policy document? |  |  |
| 1. Who has overall and final responsibility for HSE in your organization? |  |  |
| 1. Who is the most senior person in the organization responsible for this Policy being carried out at the premises and on site where his employees are working? Provide name, title and experience. |  |  |
| **2.2 Availability of policy Statements to Employees?** | | |
| 1. Itemise the methods by which you have drawn your policy statement to the attention of your employees? |  |  |
| 1. What are your arrangements for advising employees of changes in the Policy? |  |  |
| **3.** [**Organisation, responsibilities, Resources, Standards and Procedures**](#Evidence3) | | |
| **Questionnaire item** | **Contractor Response** | **PDO Verification** |
| **3. 1 Organisation, responsibilities, Resources, Standards and Procedures** | | |
| 1. How is management involved in HSE activities, objective setting and monitoring? |  |  |
| 1. How is your company structured to manage and communicate HSE effectively? |  |  |
| 1. What provision does your company make for communication meetings? |  |  |
| ***3.2 Competence and training of managers/supervisors/senior site staff/HSE advisers*** | |  |
| 1. Have the managers and supervisors at all levels who will plan, monitor, oversee and carry out the work received formal training in their responsibilities with respect to conducting work to HSE requirements? |  |  |
| ***3.3 Competence and general HSE training*** | |  |
| 1. What arrangements does your company have to ensure new employees have knowledge of basic industrial HSE, and to keep this knowledge up to date? |  |  |
| 1. What arrangements does your company have to ensure new employees have knowledge of your HSE Policies and practices |  |  |
| 1. What arrangements does your company have to ensure new employees have been instructed and have received information on any specific hazards arising out of the nature of the activities? What training do you provide to ensure that all employees are aware of company requirements? |  |  |
| **Questionnaire item** | **Contractor Response** | **PDO Verification** |
| 1. What arrangements does your company have to ensure existing HSE staff knowledge is up to date? |  |  |
| 1. What arrangements does your company have to ensure job competency for those jobs involving HSE hazards and risks? |  |  |
| ***3.4 Specialised training*** | |  |
| 1. How have you identified areas of your company's operations where specialised training is required to deal with potential hazards? (Please itemise and provide details of training given). |  |  |
| 1. If the specialised work involves radioactive, asbestos removal, chemical or other occupational health hazards, how are the hazards identified, assessed and controlled? |  |  |
| ***3.5 HSE Qualified Staff – additional training*** | |  |
| 1. Does your company employ any staff who possess HSE qualifications that aim to provide training in more than the basic requirements? |  |  |
| ***3.6 Assessment of suitability of Subcontractors/ other companies*** | |  |
| 1. How do you assess:   i) HSE competence of subcontractors?  ii) HSE record of the Subcontractors and companies with whom you place contracts? |  |  |
| 1. Where do you spell out the standards you require your Contractors to meet? |  |  |
| **Questionnaire item** | **Contractor Response** | **PDO Verification** |
| 1. How do you ensure these standards are met and verified? |  |  |
| ***3.7 Standards*** | |  |
| 1. Where do you spell out the HSE performance standards you require to be met? |  |  |
| 1. How do you ensure these are met and verified? |  |  |
| 1. How do you identify new industry or regulatory standards that may be applicable to your activities? |  |  |
| 1. Is there an overall structure for producing, updating and disseminating standards? |  |  |
| **4.** [**Hazards and Effects Management**](#Evidence4) | |  |
| **4.1 Hazards and effects assessment** | |  |
| What techniques are used within your company for the identification, assessment, control and mitigation of hazards and effects? |  |  |
| ***4.2 Exposure of the workforce*** | |  |
| What systems are in place to monitor the exposure of your workforce to chemical or physical agents? |  |  |
| ***4.3 Handling of chemicals*** | |  |
| How is your workforce advised on potential hazards (chemicals, noise, radiation, etc.) encountered in the course of their work? |  |  |
| ***4.4 Personal protective equipment*** | |  |
| What arrangements does your company have for provision and upkeep of protective equipment and clothing, both standard issue, and that required for specialised activities? |  |  |
| **Questionnaire item** | **Contractor Response** | **PDO Verification** |
| ***4.5 Waste management*** | |  |
| What systems are in place for identification, classification, minimisation and management of waste? |  |  |
| ***4.6 Drugs and alcohol*** | |  |
| Do you have a drugs and alcohol policy in your organisation? If so, does it include pre-employment and random testing? |  |  |
| **5**[**. Planning and Procedures**](#Evidence5) | |  |
| ***5.1 HSE or operations manuals*** | |  |
| 1. Do you have a company HSE manual (or Operations Manual with relevant sections on HSE) that describes in detail your company approved HSE working practices relating to your work activities? If the answer is YES please attach a copy of supporting documentation. |  |  |
| 1. How do you ensure that the working practices and procedures used by your employees on-site are consistently in accordance with your HSE policy objectives and arrangements? |  |  |
| ***5.2 Equipment control and maintenance*** | |  |

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| **Questionnaire item** | **Contractor Response** | **PDO Verification** |
| How do you ensure that plant and equipment used within your premises, on-site, or at  other locations by your employees are correctly registered, controlled and maintained  In a safe working condition? Is HSE Critical equipment specifically identified and  Included in your preventative maintenance system?   * Provide a short overview of your preventative maintenance system. |  |  |
| ***5.3 Road Safety Management*** | |  |
| What arrangements does your company have for combating road and vehicle incidents? |  |  |
| **6.0** [**Implementation and Performance Monitoring**](#Evidence6) | |  |
| ***6.1 Management and performance monitoring of work activities*** | |  |
| 1. What arrangements does your company have for supervision and monitoring of performance? |  |  |
| 1. What type of performance criteria is used in your company; give examples? |  |  |
| 1. What arrangements does your company have for passing on any results and findings of this supervision and monitoring to your:    * Base management?    * Site employees? |  |  |

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| **Questionnaire item** | **Contractor Response** | **PDO Verification** |
| ***6.2 HSE performance achievement awards*** | |  |
| Has your company received any award for HSE performance achievement? |  |  |
| ***6.3 Statutory notifiable incidents /dangerous occurrences*** | |  |
| Has your company suffered any statutory notifiable incidents in the last five years (safety, occupational health and environmental)? (Answers with details including dates, country, most frequent types, causes and follow-up preventative measures taken). |  |  |
| ***6.4 Improvement requirement and prohibition notices*** | |  |
| Has your company suffered any improvement requirement or prohibition notices by the relevant national body, regulatory body for HSE or other enforcing authority or been prosecuted under any HSE legislation in the last five years? (If your answer is YES please give details). |  |  |
| ***6.5 HSE performance records*** | |  |

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| **Questionnaire item** | **Contractor Response** | **PDO Verification** |
| 1. Have you maintained records of your incidents and HSE performance for the last five years? (If YES, please provide the following: Number of Fatalities, Lost Time Injuries, Lost Workday Cases. Medical Treatment Cases and Restricted Work Day Cases. Also include the Fatal Accident Rate, Lost Time Injury Frequency and Total Recordable Incident Rate (TRCF) for each year. (NOTE: Please include your company definitions of the above-mentioned terms for clarification refer to the OGP Safety Performance Accident Data Report). |  |  |
| 1. How is health performance recorded? |  |  |
| 1. How is environmental performance recorded? |  |  |
| 1. How often is HSE performance reviewed? By whom? |  |  |
| ***6.6 Incident investigation and reporting*** | |  |
| 1. Who conducts incident investigations? |  |  |
| 1. How are the findings following an investigation, or a relevant incident occurring elsewhere, communicated to your employees? |  |  |
| 1. Are near miss safety learning reported? |  |  |
| **Questionnaire item** | **Contractor Response** | **PDO Verification** |
| **7.** [**Auditing and Review**](#Evidence7) | |  |
| ***7.1 Auditing*** | |  |
| 1. Do you have a written policy on HSE auditing? |  |  |
| 1. How does this policy specify the standards for auditing (including unsafe act auditing) and the qualifications for auditors? |  |  |
| 1. Do your company HSE Plans include schedules for auditing and what range of auditing is covered? |  |  |
| 1. How the effectiveness of auditing is verified and how does management report and follow up audits? |  |  |
| **8.** [**HSE Management Additional features**](#Evidence8) | | |
| ***8.1 Memberships and Associations*** | | |
| Describe the nature and extent of your company’s participation in relevant industry, trade, and governmental organisations? |  |  |
| ***8.2 Additional features*** | | |
| Does your company have any other HSE features or arrangements not described elsewhere in your response to the questionnaire? |  |  |
| ***9. Company Specific Information*** | | |
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Typical Evidence

Section 1 – Leadership & Commitment

1. Minutes of senior management meetings
2. Recent Site pictures of senior managers attending site functions, award ceremonies
3. Company HSE planning for the current or past 12 months
4. Copies of the senior managers commitment statement to HSE activities

Section 2 - Policy and Strategic Objectives

1. Policy statement, Names and CVs of the senior persons in the company stating what HSE experience and or training hey have
2. Pictorial evidence of policy document situated in the work places

Section 3 – Organisation, responsibilities, Resources, Standards, and Documentation

1. Company organisation chart
2. Organisation chart to shoe how HSE will be managed for the particular project or contract

Section 4 – Hazard and Effects Management

Section 5 – Planning and Procedures

Section 6 – Implementation and Performance monitoring

Section 7 – Auditing and review

Section 8 – HSE Management – additional features