



EGPC

CONTRACTOR HSE MANAGEMENT GUIDELINE

EGPC-GEN-GL-005

EGPC GUIDELINE

Egyptian General Petroleum Corporation (EGPC)
STANDARDIZATION COMMITTEE
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HSE MANAGEMENT CODES OF PRACTICE	FINAL June 2020
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**HSE MANAGEMENT CODES OF PRACTICE****CONTRACTOR MANAGEMENT**

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Contractor Management

PURPOSE AND SCOPE:

This document is provided to improve the company and contractor health, safety and environmental (HSE) performance by clearly defining the company and contractor roles and responsibilities.

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Abbreviations

EGPC	Egyptian general Petroleum Corporation
O&G	Oil and Gas Companies
IOC	International Oil Company

Definitions

References

EGPC	EGPC work shop for contractor management
IOGP	Report # 423, 423-01, 423-02



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1 Executive Summary

The EGPC Guidelines are intended to provide direction and clarity on a range of topics concerning HSE and Process Safety relevant to its activities and operations in the whole value chain of oil and gas industry (upstream, midstream and downstream) onshore and offshore in the Arab Republic of EGYPT.

All Guidelines is owned by EGPC, in which selected members of EGPC are represented and are actively participating. Through a process of drafting and reviewing, in liaison with external stakeholders and IOC's where needed, each Guideline will be assessed by all committee.

All Guidelines require the endorsement of the committees and eventually the approval of the Executive personnel of EGPC. All approved Guidelines will be published on the MoP HSE portal and subsequently maintained in accordance with this Guideline.

It is essential that everyone is aware that compliance with this or any other EGPC Guidelines, policies and technical Directives is mandatory and failure to comply may constitute serious misconduct and disciplinary action may be taken against the company.

Failure to comply with the EGPC Guidelines policies and technical Directives by contractor(s) may result in the termination of their contract or engagement and or any other appropriate action being taken.

2 Purpose and scope

2.1 Purpose

The overall objective of this guideline is to improve the company and contractor health, safety and environmental (HSE) performance by clearly defining the company and contractor roles and responsibilities. In this document the title contractor is taken to include any subcontractors working for a contractor and the requirements on the contractor shall equally apply to the subcontractor and their sub-subcontractors down through the whole contractor chain.

This guideline is structured as per **EGPC OMS framework** for controlling risk and delivering high performance in the oil and gas industry.

The guidelines contained within this document are the 'minimum' standards that would be expected to be complied with in a Company-Contractor relationship.

2 Scope

This guideline is designed to focus on improving contractor health, safety and environmental (HSE) performance. The user should critically evaluate these guidelines for his activities and their associated risks, and may need to adapt them for the particular circumstances of the work. This document is mainly for activities with a medium to high risk content although similar principles may be applicable to all contracted activities.

This guideline describes a process by which companies can:



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- select suitable contractors
- set out expectations and requirements
- Award contracts
- Manage all the phases of the contracting process with a view for improving company and contractor management of HSE risks for Contracted activities.

2.3 Contractor Management and OMS fundamentals

This guideline recognizes the importance of the four Operating Management System (OMS) Fundamentals for working together in the contract environment. They are the key management principles and arguably the most influential success

Factors of an OMS:

1. Leadership
2. Risk management
3. Continuous improvement
4. Implementation.

Leadership

There are several key leadership actions that should be taken during the various phases of the contracting process.

Leaders from both the company and contractor organizations should:

- communicate clearly the HSE-MS expectations and accountabilities, including any delegated responsibilities
 - from company to contractors
 - within contractor organization
 - between company and interfacing contracted parties
 - to subcontractors
- attend pre-mobilization meetings to kick-off a contract
- be visible and accessible to the work force
- participate in site visits, and challenge the performance of risk controls and barriers
- recognize and reward positive behavior, or intervene and address behavior that does not meet expectations
- participate in contractor/supplier relationship meetings and discuss progress and performance in the delivery of the contractual scope of work.

Risk management

Before entering into a contract and starting any operation or project activities, it is important to establish the context and assess the risks. There should be a clear understanding of the technical objectives, scale of operations, geographic location and timeframe. All potential consequences – beneficial and adverse – should be assessed in terms of hazards, effects, aspects or threats, and the likelihood and potential severity of a consequence used to assess the level of risk.

The risk profile from the initial assessment of the proposed contractual scope of work is used to broadly determine the HSE-MSs needed to control the risks. The sources and risks identified may be updated in later phases following these activities to ensure the risk profile is up to date.

Company and contractor should both have robust assurance mechanisms in place. An assurance mechanism is an activity, process or action (such as an audit or verification activity) that provides



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confidence and confirmation that an HSE-MS (or any part of an HSE-MS) is achieving its purpose and expected performance.

Continuous improvement

The Plan–Do–Check–Act cycle for continuous improvement should be used when designing assurance mechanisms for each phase. Verification, monitoring and audits as described in the Phase Six: Execution provide the best opportunities to continuously improve contract delivery. In addition, much of the guidance provided in Phase Eight: Final Evaluation & Close-out centers around performance review meetings, final reports, capturing lessons learned and sharing the lessons, etc. and are key aspects of continuous improvement.

Implementation

Effective implementation of the defined scope of work, including meeting the company HSE requirements, is the ultimate goal of the contracted activity. This requires that this guide be implemented company-wide so that appropriate, effective risk controls are consistently applied, regardless of the contracted scope of work.

Policies, standards, processes and procedures that make up the company HSE requirements, including the HSE plan and associated documents, are key to implementing the selected controls for the scope of work. These should be clearly defined, documented and well communicated across both the company and contractor organizations.

Effective implementation needs a disciplined and capable workforce, with a shared commitment to carry out the work safely, responsibly, reliably and in conformance with the plans and procedures developed during the implementation of this guide. Responsibilities, accountabilities and authorities need to be maintained to effectively implement the requirements of the contract.

3 Overview of the process

Management of HSE in a business environment, where two or more companies work together, requires co-operation between them and clear definition of the tasks, expectations and responsibilities of each party. It begins with Phase One: Planning and ends in Phase Eight: Final evaluation & close-out, with the transfer of learnings (a key aspect of continuous improvement) in the final phase.

The typical phases of a contracting process are shown in Figure 1. Each section describes the tasks and responsibilities showing a clear distinction between the company and contractor(s). An overview of these responsibilities is given in Appendix I.

3.1 Phases of the contracting process

- **Planning**
- **Pre-qualification**
- **Selection, tender and award.**
- **Pre-Mobilization Activities**
- **Mobilization**
- **Execution**
- **De-mobilization**
- **Final evaluation and close-out**



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Table1: Phases of contracting process.

Joint company / Contractor activities		
Company	contractor	
Planning		
Scope of work / context & risk assessment		
Prequalification		
Establish HSE evaluation criteria and prequalification protocol	Contractors responds to HSE prequalification questionnaire and if requested HSE audits	DATA BASE of Suppliers Historical record Prior registration New contractors
p assessment		
Contracting mode		
Create tender list		
Selection, Tender and award		
Bid documentation preparation & development of evaluation criteria	Contractor submits bid, including draft key HSE documentation	
Bid documents evaluation and clarification	Ensures subcontractors aligned with HSE requirements	
Award contract	HSE Plan including remedial actions as agreed	
Pre-mobilisation		
Post award planning, including completion of HSE plan including verification plan and bridging documentation if applicable		
Development of monitoring plan (modes 1 & 2)	Preparation & selection of subcontractors	
Mobilization		
Communication of HSE plan - commence orientation & site-specific training		
HSE field review or audit	Mobilization including subcontractors	
Execution		
Joint responsibility for continuous improvement		
Deliver monitoring plan (modes 1 & 2) & performance reporting	Deliver HSE including verification plan & performance reporting	
	Monitoring, audits and reporting on subcontractors activities	
De-mobilization		
Review of de-mobilization aspects of HSE plan / Reassess de-mobilization risks		
Acceptance of work and restored site	De-mobilization, including subcontractors	
Final evaluation and close - out		
Review		
Final evaluation and close-out report	Final evaluation and close-out report	



1. Planning.

Objectives

During this phase the company describes the work, assesses the HSE risks associated with it and selects the contracting strategy based on the nature and size of the work and the risk involved.

Description of work

The required work should be described by the company in sufficient detail to allow the selected contractors to gain a full understanding of the work required. The description should include timing and location and be supplemented by drawings, standards etc.

Company HSE requirements may also be included to ensure that the contractors are aware of the standards they will be required to meet. Such requirements could include; training & competence assurance, safe systems of work, materials to be utilized, medical policies, prohibited work practices, driving safety, alcohol and drug testing policies, emergency planning, emissions and waste management & requirements for site restoration.

Risk identification

Company shall make an assessment of the HSE risks involved in carrying out the work at the chosen location and time and using the selected materials and equipment. This will aid the development of safe work methods to protect the workers, third parties and the environment.

Contract risks can be assessed from contract size, major or minor, and by use of a risk assessment matrix and Criteria Table. See Appendix II.

Contracting strategy

Company decides how the selected contractor or alliance of contractors shall be responsible for management of HSE during the work. Two arrangements/strategies exist as shown below. Selection of one of these two is preferred but a mixture of the two may be necessary.

Contractor provides personnel & equipment but carries out the work under the supervision, instructions & HSE MS of the company or

Contractor provides personnel & equipment and carries out the work under its own supervision, instructions & HSE MS. In this case company verifies the overall effectiveness of the contractor supervision, instructions and HSE MS.

The selection of the arrangement to be used may be based on; the number and complexity of the contracts, how the planned work interfaces with company plant or activities and the company assessment of the competence of the contractor or alliance of contractors to manage the HSE of their own work and any interfaces between them.

Contract Schedule

The contract schedule should take into account the HSE requirements & deliverables including the time required to prepare method statements, to carry out risk assessments & audits and the time required to assemble the equipment, implement the precautions/actions and to train personnel.

2. Pre-qualification

Objective

During this phase, the company establishes a list of contractors that will be invited to bid, e.g. through a competitive tendering process. This may include screening potential contractors and their HSE-MSs to establish that they have the necessary organization, values, leadership, culture, resources, capability, communication and management systems to undertake the scope of work in a safe, sustainable and responsible manner, and to identify and mitigate the associated risks.

This phase addresses the HSE related aspects of prequalification assessment. The company may decide that a complete prequalification assessment of contractors may address other dimensions outside of HSE such as financial, technical, quality, etc.



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Purpose and responsibilities

Companies generally select contractors through competitive tendering. It is therefore critical that the company has developed a list of HSE bid evaluation criteria and have assessed as acceptable the HSE performance and standards of contractors invited to bid, before the commercial evaluation of the bids is carried out.

Standard pre-qualification documents

Contractor pre-qualification is usually achieved by use of a standard format document for the contractor to complete, supported as requested, by other documentation and historical performance records.

A standard pre-qualification questionnaire is included as appendix III to this document. Requests for additional or company specific information can be inserted in section 9 of appendix III.

Contractor / Sub-Contractor Management

It is critical that contractor accepts full responsibility for ensuring that HSE performances of his subcontractors and right down the sub-subcontractor chain meet the HSE requirements placed on contractor by company. Contractors must understand that company will only accept use of subcontractors that have been nominated to company and assessed by contractor.

When contractors are working in an alliance or consortium it is critical that each entity demonstrates its understanding of and commitment to the company HSE requirements.

Appendix IV shows guidelines on a points system for use to evaluate contractor submissions.

Appendix VIII contains a system for checking that contractors and subcontractors have cascaded company HSE requirements down the contracting chain, that compliance with these has been accepted, the HSE requirements have been made known at the work faces and audits have been carried out to confirm acceptable HSE performance levels.

Management system applicability/Mode of contracting

- One of the most important contract management decisions to be made by the company is to identify the responsibilities for managing HSE between company and contractor (or alliance of contractors). This may be reflected in the contract modes described in this section. The decision is based on the outcome of the risk assessment process and the capability assessment.
- The contracting mode determines whose HSE-MS (company, contractor, or combination) will be used to manage the risks associated with performing the work. The contract mode decision will also help the company determine which risk controls and assurance mechanisms listed in the subsequent phases are applicable to ensure good HSE performance is maintained during the work.

Table 2: contract modes

Contract Mode 1
<ul style="list-style-type: none">• The contractor provides people, processes and/or equipment for the execution of the contract under the oversight, instructions and HSE-MS of the company.• The contractor has a management system to provide assurance that the personnel for whom it is responsible are qualified and fit for the work.• the processes, tools, materials and equipment they provide are properly maintained and suitable for the contract.• This mode requires the contractor reports HSE performance data, including events and incidents, to the company.• Typically, this could apply to scopes of minor modification or maintenance/ turnaround work on a company owned and/or operated site.
Contract Mode 2
<ul style="list-style-type: none">• The contractor provides people, processes, equipment and/or facilities for the execution of the contract, as a main rule, under its own HSE-MS, providing the necessary instructions and oversight and verifying the proper functioning of its HSE-MS.



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- This mode requires interfacing or bridging with the client's HSE-MS and also reporting HSE performance data including events and incidents to the client.
- The client is responsible for assuring the overall effectiveness of the HSE management controls put in place by the contractor, including its interface with subcontractors, and ensuring that both the client's and the contractor's HSE-MS are compatible.
- This could apply to scopes of work on either contractor, client or third party owned/operated sites. The location will typically drive the level of interfacing and bridging required based on risk.

Contract Mode 3

- The contractor provides people, process, equipment, and/or facilities for the execution of the contract under its own oversight, instruction, and HSE-MS.
- contractor HSE MS requires no interfacing or bridging with the company HSE-MS and is not required to report HSE performance data including events and incidents to the company.
- However, this does not exclude the possibility that the company may wish to guide and influence HSE performance under this type of contract.
- Typically, this could apply to scopes of work on contractor owned/operated sites or third party sites, and include examples such as:
 - manufacturing of components in a factory together with the manufacture of components for other customers
 - construction at contractor sites shared by other customers
 - delivery of good or products to client locations by a contractor who is in business to deliver to many other companies
 - Activities in shared port facilities, in particular the 'international' port areas before customs clearance.

General notes

Bridging between company and contractor management systems is normally only required for Mode 2 and 3 contracting, although some form of interface document may be required for Mode 1 contracting.

When working with more than one contractor, it is preferable to identify a lead contractor, this does not always mean that the other contractors have a contractual relationship to the lead contractor

Joint responsibilities should be avoided by breaking down the work into smaller identifiable activities, each with a party assigned for responsibility of the HSE aspects. Where a lead contractor cannot be assigned the client should retain responsibility.

Screening

The HSE screening process is generally based on the combination of the pre-qualification questionnaire and documentation, historical records of HSE performance of contractors who have worked for company before and audits of contractor current work sites.

3. Selection, Tender and Award

Only contractors that have been pre-qualified as having the necessary experience and capability to undertake the required activities safely and in an environmentally sound manner shall be selected for consideration for award.

Objective

The objective of the selection phase is to select, from those potential bidders those whose HSE Plans and MSs have met the Bid Evaluation Criteria and who, therefore, are fully capable of managing the HSE aspects of the work. The preferred bidder will thereafter be based on bid commercial value as all pre-selected contractors have been assessed as having acceptable HSE Plans, MS and performance.

Bid documentation prepared by company



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Before entering the selection phase the company should have documented the pre-qualified contractors and the rationale for their selection.

Company specifies the evidence to be included in the tenders submitted by the pre-qualified contractors during the selection phase together with the audits company may carry out.

Bid preparation by contractor

Documentary evidence contractors will be required to supply will usually be more details or copies of their HSE MS, project specific HSE plan, training and safety incentive programs, audit schemes, equipment maintenance and incident records and investigation procedures.

The contractors will generally be required to submit a sound HSE Plan and HSE MS which are able to control risks to as low as reasonably practicable. Appendices V and VI provide requirements for an HSE Plan for major and minor contracts, respectively.

Pre-award meetings

The company's internal pre-award meetings should review the tender documentation submitted the contractors, identify any clarifications and any audits that are required to be carried out to confirm that the actual level of HSE performance coincides with that described in the documentation.

A joint company and contractor "pre-award" meeting should be used to clarify company HSE requirements/questions and specify the audit plan that will be implemented before final award.

Incentive Schemes for HSE

Incentive schemes should value proactive effort by individuals rather than retrospective statistics from the company. It should encourage compliance with basic HSE requirements, personal intervention to correct non-compliance or risk taking suggestions for improving standards or procedures.

Contract award

Once the award has been made joint meetings should be held to agree the final HSE Plan and detailed programmers.

4. Pre-Mobilization Activities

Objective

The objectives here are to ensure that the relevant aspects of the contract risk assessment and other HSE aspects of the contract are communicated and understood by management of all parties prior to implementation of the contract. Several activities such as reviews, meetings and audits can be used together with the Contractor HSE Management checklists.

Kick-off meeting

Kick off meetings should be used by company to clarify its HSE requirements and for contractor to become familiar with the location, personnel and other work information and to confirm in writing their understanding and acceptance of them.

Topics covered should include; major hazards, HSE objectives/targets, personal responsibilities, worker competence and induction training, company HSE rules & procedures, meeting and audit programmers, incident reporting and investigation processes.

The kick-off meeting should also confirm the mechanisms that will be used to certify that the HSE systems are in place.

Pre-job audits

A pre-job audit, including items listed in 6.2 needs to be carried out formally. Other topics to be covered include provision and maintenance of work equipment and HSE equipment, communications, environmental protection, health risk assessment and management.

The audit should provide recommendations to be implemented prior to contract work commencement.

5. Mobilization

Objective

The objectives of this phase are to assure that the HSE Plan is modified, if justified, and communicated to all relevant personnel, both company and contractor, and that recommendations made during the pre-



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mobilization audit have been completed and to carry out the required HSE briefing and training identified during the previous phases.

General

During mobilization all company and contract management, supervisors and other personnel, assigned to the project, should receive an HSE orientation and training to communicate the HSE Plan and the company and/or site specific HSE requirements. The management and supervision should receive additional briefing in their duties and responsibilities.

Additional company and contractor supervision to that needed for execution may be required during mobilization to ensure that the HSE Plans and MS are fully implemented in a timely manner.

Mobilization audit

Depending on the complexity and duration of the mobilization phase one or more audits may be carried out to determine the degree of implementation of the HSE Plans and MS. Only once the audit confirms that the HSE Plans and MS have been established should permission be given for project execution to commence.

6. Execution

Objective

The objectives of this phase are to assure that the work to be performed is conducted according to the agreed HSE Plans and MS and that any additional HSE requirements, identified during the work, are properly addressed.

Responsibilities

Within or in close proximity to existing operating plant, hazardous areas or recognized high potential risk operations more direct company HSE supervision may be required rather than on a new construction site or the contractor premises. In this latter situation the company should monitor compliance with contractual requirements and accepted HSE Plans and Management Systems.

Contractor compliance

The roles and functions of the Company Contract Holder include assurance of; contractor line management commitment to HSE, compliance with all HSE related clauses in the contract and the HSE Plan and MS, existence of contractor internal HSE control system, contractor monitoring of the condition of his equipment and tools, holding of toolbox talks and regular HSE meetings, holding of emergency drills, incident and near miss reporting and investigation.

Competence assurance

Continued personnel competence is critical to the achievement of the project or contract HSE objectives. The Company Contract Holder must ensure: the competence and close monitoring of new contract personnel, provision of the required induction courses, training of contractor personnel in job related procedures and practices, completion of all agreed HSE training and availability of HSE documents, instructions and information in the local language.

Inspection and HSE auditing / reviews

The Company Contract Holder must ensure that an HSE audit and inspection programmer is established and implemented. This will check contractor compliance with the contract requirements and the agreed HSE Plan and MS and ensure timely close-out of identified actions.

The audit and inspection programmer should be performed by both company and contractor individually and jointly, each sharing their results.

7. De-mobilization

Objective

The objectives of this phase are to identify the hazards associated with demobilization and specify and implement controls to minimize the risks. The HSE Plan should be modified, if need be, to address new or unexpected hazards.

Responsibilities



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Demobilization is a phase of the project often having an increased chance of incidents as the project infrastructure and contractor HSE management structures are being dismantled with people moving off the project to new assignments. The Company Contract Holder should obtain assurance that the appropriate organizational structure remains intact until associated activities have been completed. These should include: risk assessment and control of de-mobilization activities, emergency response, waste management and disposal and site restoration.

8. Final evaluation and close-out

Objective

The objectives of this phase are to conduct a joint evaluation of the contractor and company HSE performance throughout the contract/project and to provide feedback to the contractor(s) and company, which can be a reference for future work.

Final evaluation and report

- Ideally, HSE performance should be tracked on a regular basis throughout the contract with the final report being the distillation of the regular monitoring process and the end of contract review. Thus, throughout the contract, contractor performance should be monitored against HSE Plan and MS implementation and any deviations, positive or negative, noted for reference in the closeout report / summary.
- The analysis and summary of conclusions should address: -
 - Quality of the original HSE Plan and MS and its relevance to the overall contractor(s) performance;
 - Highlighting positive aspects of learning and how they can be applied in the future;
 - Incorporation of any new hazards identified into the hazard identification and evaluation process for future contracts;
 - Analysis of both the company and contractor HSE performance for mutual improvement;
- Information on the contractor performance to be added to the company 'contractor data base' for assessing future tenders.

Appendix I HSE responsibilities for company and contractor key personnel

Company

Contract Holder should:

- Conduct a structured HSE assessment of the anticipated contract;
- Pre-qualify contractors for the bidders list using standard HSE criteria;
- Prepare contract HSE specifications for inclusion in the tender documentation;
- Prepare an HSE monitoring program defining the role of company representative(s) in ensuring that the contractor HSE Plan is finalized and followed;
- Prepare company audit and review program and secure appropriate resources;
- Evaluate contractor HSE Plans;
- Assure the adequacy of the contractor HSE Plan;
- Appoint competent company representative(s);
- Supervise company representative(s);
- Conduct a pre-execution HSE audit;
- Authorize the contractor to commence work only if the pre-execution HSE requirements are met;
- Monitor performance of the contractor against his HSE Plan;
- Authorize deviations from the contractor HSE Plan;
- Authorize additional HSE requirements as deemed necessary;



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- Apply sanctions in the event of unauthorized deviations from the contractor HSE Plan;
- Prepare HSE close-out report and distribute to appropriate company and contractor personnel for feedback.

Company Representative should: -

- Perform assurance checks on contractor review and inspections and follow up;
- Verify hazards and effects management controls, as specified in the contractor HSE Plan, are implemented;
- Identify deficiencies in contractor HSE Plan and agree to remedial action with contractor or instigate sanctions in consultation with Contract Holder.

Company Site Representative: -

Where a contractor may be working in a number of areas it is common for a company to nominate someone who is responsible for the supervision of the physical work being executed under the contract at a specific appointed site. The Site Representative's HSE responsibilities follow those of the company Representative, but are specific to the site.

Company HSE Adviser: -

Where there is access to company HSE advisers or specialists, it is important that the role of the adviser is understood to be, indeed, that of an adviser. Advice, support or services may be sought from an HSE Adviser on a routine or periodic basis but the responsibility for HSE matters must remain, unmistakably, with the Contract Holder and Representative.

Normally, the HSE adviser provides: -

- Advice and support in HSE issues as requested;
- Review / audit services as requested;
- Additional advisory support, where needed, to small contractors.

In the case of a small local contractor, a decision may have been taken to provide additional supervisory support and assistance in HSE matters. The company HSE Adviser and related specialists may be tasked with providing support but must exercise care (unless otherwise provided for by the contract or agreed to in the HSE Plan) that this is recognized as a temporary phase and that the contractor must be encouraged to develop quickly to a point where such assistance is no longer required.

Please note that, depending on the size of the contracts, the responsibilities of Company Contract Holder, Company Representative and Company Site Representative may not need to be performed by different individuals. In fact on a small contract it is likely that all three roles can be fulfilled, satisfactorily, by one person. In all cases, however, the Company HSE Adviser will be an additional person, independent from the other Company roles identified.

Contractor

Contractor Manager should: -

- Prepare and assure quality of contractor HSE Plan;
- Define competencies required for HSE critical positions;
- Assign appropriate personnel to HSE critical positions;
- Assure adequate resources and time in the schedule to manage the contract in accordance with the contractor HSE Plan;
- Notify the Contract Holder in writing of his nominated contractor representative(s) and contractor Site Representative(s);
- Provide resources to implement remedial actions following audits in an expeditious manner.
- Nominate Contractor HSE Adviser

Contractor Representative should: -



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- Fulfill the pre-execution HSE requirements;
- Implement the contractor HSE Plan;
- Seek formal approval from the Contract Holder for any proposed deviations from or amendments to the contractor's HSE Plan;
- Implement additional requirements as agreed-upon with the Contract Holder.

Contractor Site Representative: -

Where a contractor may be working in a number of areas it is common for the contractor to appoint a person or persons to assume responsibility on behalf of the contractor representative to supervise the work being executed under the contract in the specific area. The HSE responsibilities are as for the contractor representative but with responsibility for a specific site.

Appendix II Risk Assessment Matrix

		SEVERITY				
		VL	L	M	H	VH
PROBABILITY	H	4	7	9	13	15
	M	3	6	8	12	14
	L	1	2	5	10	11

Definition of consequence / Severity of Risk

HAZARD EFFECT	HAZARD EFFECT RATING	PEOPLE	Property Damage	ENVIRONMENT
	VERY HIGH	MULTIPLE FATALITIES	MAJOR LOSS GREATER THAN \$10 MILLION	TOTAL LOSS OF CONTAINMENT
	HIGH	FATAL INJURY PERMANENT DISABILITY	SIGNIFICANT DAMAGE LOSS \$01 MILLION	OIL SPILL EXCEEDING 100 BBL
	MEDIUM	LOST TIME HOSPITALIZATION TEMPORARY DISABILITY	MODERATE DAMAGE LOSS \$100K	SPILL 10 BBL
	LOW	NO LOST TIME NO HOSPITALIZATION FIRST AID	\$50K	SPILL 05 BBL
	VERY LOW	SIMPLE FIRST AID	LOSS \$05K	SPILL 0.5 BBL

Definition of Probability

Rating	Probability (P)
H	Event* likely to occur more than once per quarter
M	Event* likely to occur at least once in six months
L	Event* likely to occur less than once per year

Table3.

Criteria for determination of a Major or a Minor Contract

The differences between **Major contracts** and **Minor contracts** are shown by use of several criteria in the table below:-

Criteria	Major	Minor
Duration	> 30 consecutive days	< 30 consecutive days
Value	> \$25k	< \$25k
No of Workers	> 25	< 25
Risk	Medium to High (from matrix)	Low (from matrix)
Management Control	Sub-contractor involvement	Main contractor only
HSE – MS	Partially implemented	Fully implemented



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- In the determination of whether a contract is considered either Major or Minor, there may be instances where several 'Criteria' need to be considered together, however under certain situations a single 'Major Criteria' may be sufficient.

Appendix III (informative)

Contractor HSE pre-qualification

General guidelines for preparation of questionnaire

- 1- The questionnaire should cover the information required to assess the extent to which HSE and its management are organized by the contractor.
- 2- The contractor should be advised to cover all (including support) relevant activities and not just those conducted on company sites.
- 3- The questionnaire should be validated by a responsible contractor line manager prior to submission.
- 4- Emphasis should be placed on the need for complete answer substantiated by supporting documentation as far as is practicable. Responses and any supporting documentation must relate specifically to the policy and organizational arrangements of the company that would be the signatory of any contract.
- 5- Submissions should be assessed by a scoring mechanism that can be used in the evaluation process.
- 6- If necessary, follow-up discussion with the contractor's management may be needed.
- 7- **The contractor should be encouraged to identify where he exceeds company requirements and this excellence should be recognized.**

Questionnaire for Contractor HSE pre-qualification

Section number	Questionnaire item	Response
Section 1: Leadership and commitment		
Commitment to HSE through leadership	How are senior managers personally involved in HSE management?	
	Provide evidence of commitment at all levels of the management?	
	How do you promote a positive culture towards HSE matters?	
Section 2: Policy and Strategic Objectives		
HSE policy documents	Does your company have an HSE policy document? If the answer is YES please attach a copy.	
	Who has overall and final responsibility for HSE in your organization?	
	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.	
Availability of policy statement to employees	Itemize the methods by which you have drawn your policy statement to the attention of all your employees?	
	What are your arrangements for advising employees of changes in the policy?	
Section 3: Organization, Responsibilities, Resources, Standards and Documents		
Organization – commitment and communication	How are management involved in HSE activities, objective setting and monitoring?	
	How is your company structured to manage and communicate HSE effectively?	



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	What provision dose your company makes for HSE communication meetings?	
Competence and training of managers / supervisors / senior site staff / HSE advisors	Have the managers and supervisors at all levels who will plan, monitor, oversee and carry out the work received formal HSE training in their responsibilities with respect to conducting work to HSE requirements? If YES please give details. Where the training is given in house, please describe the content and duration of courses.	
Competence and general HSE training.	What arrangements dose your company have to ensure new employees have knowledge of basic industrial HSE, and to keep this knowledge up to date?	
	What arrangement does your company have to ensure new employees also have knowledge of your HSE policies and practices?	
	What arrangements dose your company have to ensure new employees have been instructed and have received information on any specific hazard arising out of the nature of the activities? What training do you provide to ensure that all employees are aware of company equipment?	
	What arrangements dose your company has to ensure existing staff HSE knowledge is up to date? (If training is provided I-house please give details of content.)	
	What arrangements dose your company have to ensure new sub-contractor have knowledge of industry HSE and the company HSE policy and procedure?	
Specialized training	How have you identified areas of your company's operations where specialized training is required to deal with potential hazards? (Please itemize and provide details of training	
	If the specialized work involves radioactive, asbestos removal, chemical or other occupational health hazards, how are the hazards identified, assessed and controlled?	
HSE qualified staff additional training	Dose your company employ any staff who possess HSE qualifications that aim to provide training in more than the basic requirements?	
Assessment of suitability of sub-contractors/ other companies	How do you assess: HSE competence HSE record of the subcontractors and companies with whom you have contract? Does your company make provision (e.g. specialized staff or procedures) for obtaining	



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	approvals, permits and licenses as may be required for any work to be undertaken?	
	Where do you spell out the standards you require contractors/ subcontractors to meet?	
	How do you ensure these standards are met and verified?	
	Do you audit your sub-contractors before, during engagement?	
Standards	Where do you spell out the HSE performance standards you require to meet?	
	How do you ensure these are met and verified? How do you identify new industry or regulatory standards that may be applicable to your activities?	
	Is there an overall structure for producing, updating and disseminating standards	
Section 4: Hazards and Effects Management		
Hazard and effect assessment	What techniques are used within your company for the identification, assessment, control and mitigation of hazard and effects?	
	Does your company have a detailed procedure for hazard identification and risk assessment for the work you undertake? If YES attach a copy.	
	What proactive approach dose your company undertake to the control of hazard and risk such as Behavioral Based Safety observations?	
Exposure of the workforce	What systems are in place to monitor the exposure of your workforce to chemical or physical agents?	
Handling of chemicals	How is your workforce advised on potential hazards (chemicals, noise, radiation, etc.) encountered in the course of their work?	
Personal protective equipment	What arrangements dose your company has for provision and upkeep of protective equipment and clothing, both standards, issue, and that required for specialized activities?	
	Does your company maintain a contingency (spare) stock of PPE?	
Environment Protection and Waste Management	What systems are in place for identification, classification, minimization and management of waste?	
	Does your company implementing ISO 14001 as the environmental management system? (If yes, please give a narration highlighting to what extent its being used)	
	Does your company records its environmental performance? (If yes, attach copy)	



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Drugs and alcohol	Do you have a drugs and alcohol policy in your organization? If yes, dose it includes the pre-employment and random testing? (Attach copy)	
Occupational health	What proactive approach dose your company undertake to the control of hazard and risk such as Behavioral Based Safety observations?	
	What system does your company have to manage, control and monitor the occupational health issues?	
	Are your company employees required to undertake fitness to work checks?	
	Are any of your company employees required to undertake specialized medicals for the work they will undertake?	
	Does your company have a risk register listing all occupational risk? (If, YES, please attach a copy)	
Section 5: planning and procedures		
HSE or operations manuals	Do you have a company HSE manual (or operations Manual with relevant sections on HSE) that describes in details your company approved HSE working practices relating to your work activities? If the answer is YES pleas attach a copy of supporting documentations.	
	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?	
Equipment control and maintenance	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?	
Road management safety	What arrangements dose your company have for combating road and vehicle incidents?	
	What sort of aspects does your company have for road safety management?	
	What criteria does your company have for drivers before they can start work?	
	What safety equipment does your company have or provide safety in its vehicles? (e.g. Seat belts roll over cages, first aid kits, etc.)	
	What system does your company have to maintain its vehicles at a high roadworthy standard?	
Emergency planning	Outline your Company's arrangements for responding to emergency situations?	
	Does your company have a generic or specific emergency response plan for the work they will undertake? If YES provide a copy.	



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	Does your company have emergency exercise program/ training and a medical evacuation plan? (if YES, please attach a copy)	
Section 6: Implementation and Performance Monitoring		
Management and performance monitoring of work activities	What arrangement dose your company have for supervision and monitoring of performance?	
	What type of performance criteria are used in your company; give examples	
	What arrangements dose your company have for passing on any results and findings of this supervision and monitoring to your: Base management, Site employees,	
HSE performance achievement awards	Has your company received any awards for HSE performance achievement?	
Statutory modifiable incidents/ dangerous occurrences	Has your company suffered any statutory modifiable incidents in the last five years (safety, occupational health and environmental)? (Answers with details including dates, country, most frequent type, causes and follow up, preventative measures taken.)	
Improvement requirements and prohibition notices	Has your company suffered any improvements requirements or prohibition notices by the relevant national body, regulatory body for HSE or other enforcing authority or been prosecuted under any HSE legislations in the last five years? (If answer is YES please give details.)	
HSE performance reports	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 workday cases, also include the fatal incident rate, lost time injury frequency and total recordable incident rate for each year. (NOTE: please include your company definitions of the above mentioned terms – for clarification refer to the OGP safety performance incidents data report)	
	How is health performance recorded?	
	How is environmental performance recorded?	
	How often is HSE performance reviewed and by whom?	
	What leading KPI's do you use to measure your performance?	
Incident investigation and reporting	Who conduct incident investigations?	
	How are the findings following an investigation, or a relevant incident occurring elsewhere, communicated to your employees?	
	Are near miss safety learning reported?	



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Section 7: Auditing and Review			
Auditing		Do you have a written policy on HSE auditing?	
		How does this policy specify the standards for auditing (including unsafe act auditing) and the qualifications of auditors?	
		Do your company HSE plans include schedules for auditing and range of auditing is covered?	
		How the effectiveness of auditing is verified and how dose management report and follow-up audits?	
Section 8: HSE Management Additional Features			
Memberships of associations		Describe the nature and extent of your company participation in relevant industry/ trade, and governmental organization?	
Additional features of your HSE management		Does your company have any other HSE features or arrangements not described elsewhere in your response to the questionnaire?	
Section 9: Company Specific Information			
Documents that should be attached with the questionnaire		Copy of your Company's HSE Policy Statement(s)	
		Copy of your Company's drug and alcohol Policy	
		Overview of your Company's HSE Management System	
		Copies of any key procedures covering HSE Risk management HSE Audit Accident Reporting and Investigation HSE Training Emergency Response	
		Copy of your most recent Company HSE Action Plan and Audit Plan	
		Copy job descriptions for key personnel for this project	
		Copy of the job description for senior management with HSE responsibilities	
		Copy of your organization chart	
		Copy of your accident statistics for the past two years	
		Copy of your latest internal HSE audit report or HSE report	
		Copy of recent contractor HSE audit report	
		Copy of the company risk register	
		Any other information you feel may support your proposal	



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Appendix IV (informative)
HSE pre-qualification points system

Scoring

The contractor's tender should be evaluated by attaching a score to the selected response for each Category (see Appendix III).

A suggested scoring system would be as follows:

HSE Plan Documentation.			
A	B	C	D
0	3	6	10
Performance And Experience, section 6.			
0	7	14	20

Table IV: Rating of contractors' pre-qualification by a point scoring system

Section 1 : Leadership And Commitment				
A	B	C	D	Total
No commitment from senior management	HSE disciplines delegated to line managers -no direct involvement by senior management	Evidence of active senior management involvement in HSE aspects	Evidence of a positive HSE culture in senior management and at all levels	
Section 2: Policy And Strategic Objectives				
HSE policy documents and availability.				
A	B	C	D	Total
No written HSE policy	A policy statement exists but not in a widely distributed document.	HSE policy establishes responsibility for HSE, but not widely distributed.	Policy with clearly established responsibility and accountability; is distributed to all employees; and is visible on notice boards	
Section 3: Organization, responsibilities, resources, standards and documentation				
HSE communication and meeting programs.				
A	B	C	D	Total
None.	Periodic HSE meetings for special operations only.	HSE meetings performed on a regular basis at management and supervisor level.	In addition to C, employees are assigned topics to discuss on a rotational basis	
Staff HSE training				
A	B	C	D	Total
No specialized staff training.	HSE training assigned to a specific person on location.	HSE training applied to management but not comprehensively covered.	HSE training given formally to all relevant staff on their respective responsibilities	



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Employee orientation and training program.				
A	B	C	D	Total
No formal programme .	Verbal instructions on company procedures only.	Employee handbook provided and supervisor outlines, explains and demonstrates new employee's job	All under 'C' together with: follow-up observation of the new employee's work is also included. Employee has explained to him safe practices and emergency duties	
Specialized training				
A	B	C	D	Total
No HSE training established	On-site basic training conducted occasionally	HSE training is given for specialized operations, but no routine training conducted	Formal HSE training programmes have been developed in all areas and are conducted on a regular basis. Retraining periods are established.	
Sub-contractors.				
A	B	C	D	Total
No written arrangements,	Written arrangements in place for basic HSE matters only	HSE arrangements incorporated in HSE manual but not in a format which, is distributed to all	HSE arrangements, exist, in, handbook form, distributed to all employees, sub-contractor employees and are enforced. Follow-up audits held with discussion/feedback to management and employees	
Standards.				
A	B	C	D	Total
No HSE standards available	Basic HSE standards exist,	Contractor has written HSE standards to cover all hazardous operations.	Contractor has a system of specifying, monitoring compliance and updating standards	
Section 4: Hazards and effects management				
Hazards and effects assessment.				
A	B	C	D	Total
Company's HSE system does not include hazards and effects management.	Company's HSE system makes reference to the need to assess hazards and effects but has no comprehensive structure to carry this out.	Company's HSE system includes methods for the assessment of major hazards and effects.	Company's HSE system has a comprehensive set of methods for the assessment of all HSE hazards and effects and applies them to all of its contracts with documentation	



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Exposure for the workforce.				
A	B	C	D	Total
Company does not actively advise the workforce nor monitor exposure	Company advises the workforce of the major hazards that are likely to be exposed to but only monitors exposure randomly.	Company has formal methods for monitoring exposure to the major hazards	Company has a set of formal methods for monitoring exposure to all foreseeable hazards (linked to its hazards and effects assessment method) and plies them to all contracts	
Handling of chemicals.				
A	B	C	D	Total
Company makes no special provision for advising the workforce about properties of potential hazards	Company provides information to workforce in the workplace on properties of potential hazards but has no active follow up	Company distributes information to individuals in the workforce at start of their involvement on-site.	Company maintain database of the properties of all potential hazards encountered in its contracts and has formal methods of information distribution to all personnel and trains its workforce in handling, etc	
Personal protective equipment				
A	B	C	D	Total
Basic PPE provided to personnel, but no corporate procedure for assessing individual needs	PPE requirements formally assessed but little effort made to ensure correct usage	PPE requirements formally assessed with spot checks on usage	Procedures in place to assess all PPE requirements monitor and enforce usage and replacement needs. Stock inventories monitored kept above demand levels. Training in use provided where needed	
Environment protection and waste management.				
A	B	C	D	Total
Company has no formal methods for the control of waste. Company has no awareness of ISO 14001	Company has general Procedures for waste disposal. Company has understanding of ISO 14001 but it is not implemented	Company has procedures for the disposal of each of the main categories of site wastes but makes no provision for minimizing environmental impacts. Company is having environmental management system compatible to ISO 14001 but it is randomly implemented	Company has a formal system for waste management (including identification, minimization and classification), which actively seeks minimize environmental impacts. ISO 14001 is being used as the company's environmental management system which is being applied on all company's activities	
Drug and alcohol policy.				
A	B	C	D	Total



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No written policy	A policy statement exists but not in a widely distributed document.	Drug and alcohol exists and implemented partially.	Policy with clearly established responsibility and accountability; is distributed to all employees; and is fully implemented	
Occupational health.				
A	B	C	D	Total
No Health Management System (HMS)	Company has adopted basics of HMS but it is not implemented	Company has HMS but it is partially implemented	Company has HMS which is applied on all company's activities in a full scale	
Section 5: Planning and procedures				
HSE or operations manuals.				
A	B	C	D	Total
No HSE procedures available	Basic HSE procedures exist	Contractor has written HSE procedures to Cover all hazardous operations.	Contractor has procedures to Cover all HSE precautions, typical, contractor HSE Plan requirements with a system of updating and dissemination to employees	
Equipment control and maintenance.				
A	B	C	D	Total
No defined, programme to identify or evaluate hazardous practices and equipment conditions.	Plan relies on outside sources, i.e. company inspection. Supervisory inspection of equipment confined to worksite per personnel only.	A written programme outlining supervisory guidelines, responsibilities, frequency and follow up in effect.	In addition to C, periodic inspections conducted by top management or by teams of specialists, inspections. ,	
Road safety management				
A	B	C	D	Total
No special attention paid to road safety as an area of hazardous activities	Importance of road safety acknowledged but left to core business managers/ supervisors to enact individually	Company has a general management strategy with some procedures for its component issues.	Company has a complete strategy and set of plans and procedure covering vehicles, drivers and operations management. Formal training provided to all company cars users	
Emergency planning.				
A	B	C	D	Total
Company has no emergency plans in place	Company has emergency handling	Company has formal emergency plan in place and only key management personnel	In addition to C, company has formal organization in place for emergency handling and formal routine	



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	procedure but not implemented	are trained in handling emergency.	training is in place backed by routine exercises and drills	
Section 6: Implementation and performance monitoring				
Management and performance monitoring of work activities.				
A	B	C	D	Total
No system for formally monitoring HSE performance	Performance monitoring in a few areas carried out.	Company has a system for monitoring HSE performance in key areas.	Company has a comprehensive system for monitoring performance in all areas with feedback to employers for improvement and has received awards for achievement	
Statutory notifiable, incidents, dangerous occurrences, improvement requirements and prohibition notices.				
A	B	C	D	Total
More than one Occurrence of major incident in last five years	One Occurrence of a major incident in the last five years	Occurrences relate to minor incident(s) only	No occurrences in the last five years	
HSE performance records (latest year injury rate comparison to contractor's three preceding years average).				
A	B	C	D	Total
Contractor supplied insufficient	Rate is not improving	Shows only minor rate improvement	Rate steadily improving by more than 20 per cent per year	
Criteria for absolute performance				
A	B	C	D	Total
Rate over 200 per cent that of company	Rate under 200 per cent that of company	Rate under 120 per cent that of company	Rate better than that of company	
Incident investigation and reporting.				
A	B	C	D	Total
Findings not generally communicated	Findings communicated to key personnel only via limited company internal memo or similar media	Findings communicated to all employees via specific company notice	As in C but with the addition of details of implication for improving HSE performance	
Section 7: Auditing and review				
Auditing				
A	B	C	D	Total
Audit process is cursory only HSE documents are	Company HSE documents include reference to auditing but there	Company HSE documents include details of how auditing is to be implemented with	As , in C but additionally specifies management's role in audit and follow up on action items.	



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not explicit about auditing	are no specific details about scheduling and coverage.	schedules/ coverage for the key areas.		
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Section 8: HSE management - additional features

Membership of associations.

A	B	C	D	Total
No memberships	Company is an active participant in at least one HSE association	Company has membership of at least one HSE association but with no prominence given to HSE	Company is a member of at least one HSE association	

Appendix V (informative)

HSE plan guidelines for Major Contracts

HSE Plan Definition guideline

When the contracted activities are covered by a contractor HSE Management System, including HSE Cases for contracted installations, the HSE Plan should only address those issues that are unique for the contract under consideration. It should focus on contract specific risks and the management of controls to eliminate, reduce or mitigate these risks. Other contract specific issues that may be addressed in the Plan are: -

- Organization and personnel for the project;
- Project specific procedures;
- Project audit and review Plan;
- Compliance with local rules and legislation.

The checklist in Tables V.1 to V.7 can be used to check the HSE plans for the project specific issues, but can also be used to assess the HSE Management System if this has not been certified or assessed in any other manner.

The HSE Plan should follow principal headings with an expansion into key checklist items (Tables V.1 to V.7) given on the following pages under the respective headings. The detail included in the tender should be in keeping with the complexity of the contract and should additionally include prompts for specific action plans, target dates and action parties.



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HSE plan structure.

HSE Management System		
Section 1: Leadership and commitment		
• Leadership and Commitment		Table V.1
Section 2: policy and strategic objectives		
• HSE Policy Statement		Table V.2
Section 3: organization, responsibility, resources, standards, and documentation		
<ul style="list-style-type: none"> • HSE Organization • HSE Professionals • Subcontractors • HSE Communications • HSE meeting programme • HSE promotion and awareness • HSE competence requirements • Employee orientation programme • HSE training (general) • HSE training (professionals) • HSE legislation • HSE standards 		Table V.3
Section 4: Evaluation and risk management		
<ul style="list-style-type: none"> • Methods and procedures for hazards and effects management • Assessment of exposure of the workforce to hazards and effects • Material data sheets for safe handling of chemicals • Hazards and effect management and the assessment of PPE requirements • Methods and procedures for waste management 		Table V.4
Section 5 planning and procedures		
<ul style="list-style-type: none"> • HSE procedures • Basic HSE rules • Emergency response procedures • HSE equipment and equipment HSE inspection • Occupational health • Environmental • Road transport 		Table V.5
Section 6 Implementation and performance monitoring		
<ul style="list-style-type: none"> • HSE performance - general • Incident investigation 		Table V.6
Section 7 Auditing and review		
<ul style="list-style-type: none"> • HSE auditing • Detailed checklists for HSE plan 		Table V.7



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Table V.1

Checklist for HSE plan:

Section 1 leadership and commitment

Leadership and Commitment	
Commitment to HSE aspects through leadership	
Senior management should engender commitment to HSE issues at all levels through their personal style of leadership and management. Key elements include	
Visible expressions of commitment by senior people	
HSE matters should be placed high on personal and collective agenda	
All senior managers should set a personal example to others. They should be, and seen to be actively involved in HSE matters, e.g. attendance at HSE meetings, personal instigation of HSE audits and reviews, etc.	
A feedback system should be established to encourage and facilitate employee feedback on HSE matters	
A positive culture should be promoted at all levels	
Policies and standards should be endorsed and implemented at the local level	

Table V.2

Checklist for HSE plan

Section 2 policy and strategic objectives

HSE Policy Statement	
General	
Written HSE policy	
Dated and signed by Chief Executive	
Policy Statement	
Specific to individual parts of the contract (e.g. locations / sites / plants)	
cover specialized aspects (e.g. alcohol and drugs)	
consistent with company guidelines	
clear, concise and motivating	
Content	
Importance of HSE as a contract objective	
Incidents and injuries are unacceptable	
HSE established as a line management responsibility	
Everyone is responsible for their own and their colleagues' HSE at work	
Distribution / Availability	
Handed to each employee by their line manager when issued	
All new employees handed a copy by their line manager	
Displayed on notice boards at each work location (worksites and offices)	
Copies provided for each company on the contract (including sub-contractors, suppliers and agents)	
Available to company and contractor employee in their working languages	
Discussion	
Policy and its implementation when issued discussed by line managers with each employee	



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Table V.3

Checklist for HSE plan:

Section 3 organizations, responsibilities, resources, standards and documentation

HSE Organization	
Key personnel	
Personnel responsible for the implementation of HSE objectives clearly identified in an organization chart	
Responsibility adequately covered during all phases of the contract	
Job descriptions in place showing each team member's HSE competencies, responsibilities and function	
Organization clearly show position of HSE professionals	
Contract objectives / accountability	
Defined to meet health, safety and environmental objectives as well as those of time, cost and quality	
Accountability for HSE success and equally of any failure clearly stated	
Focal point within the team structure ensuring that all HSE matters have been identified	
Designated team leader to produce HSE objectives, tasks and targets for the contract	
Targets, etc. to be realistic and consistent	
Establish procedures for distribution, reporting and reviewing HSE issues	
Manning / communications	
Manpower philosophy	
Manpower level to be defined correctly so as not to compromise HSE	
Effective means to communicate HSE issues to the company, contractor and subcontractors	
Organization staffed by competent personnel with sufficient appreciation of HSE where necessary with specific training in the issues involved	
Corporate structure / responsibility	
Company's expectations on HSE management to be communicated in depth	
Access of contractor's line management to their corporate management structure on HSE issues to be defined	
Level of handling project HSE issues by the contractor corporate structure (middle or senior management or board level)	
In the contractor's corporate organization, individuals charged with responsibility for HSE at middle senior manager or board member level	
<ul style="list-style-type: none"> Access to specialist HSE advice for line management, e.g. provision of HSE documentation for small contracts 	
employment of HSE specialist for large contracts	
HSE professionals	
Job definition	
Role of the contractor's HSE advisers well defined	
Job definition drafted	
Reporting / followup	
Reporting relationship with line management	
Direct access to the Chief Executive	
Does line management follow-up on advice offered	
HSE department	
HSE policy distributed to all concerned, i.e.	
preparing and monitoring departmental action plans	
formulation and suitability of HSE rules	
planned inspections and audits together with line management	



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promotional material	
HSE training	
subcontractor assessment	
training and auditing	
health risk assessment, health performance monitoring and health surveillance	
environmental monitoring	
Supporting incident investigation by line management	
Guidance given by the contractor's HSE management in preparing and implementing	
operating and emergency manuals	
emergency plans	
training for firefighting teams, first-aiders etc.	
emergency drills and exercises	
protective equipment and rescue	
Contact and liaison with government departments maintained	
Subcontractors	
Management	
To be well integrated and identified in contract HSE Plans	
Have own plans if carrying out a large portion of the work	
HSE Plan to be vetted for suitability by main contractor	
Main contractor to communicate that subcontractor subject to the same rigorous HSE standards as main contractor	
Identification / vetting	
Subcontractors to be identified at this stage of the project	
Method of vetting those still to be identified to be stated	
Vetting of past subcontractor records	
Maintenance of approved subcontractor lists where HSE has been considered	
HSE communication	
Coverage / awareness	
Set up appropriate lines of communication to handle HSE issues, e.g. such items as:	
direct access to emergency services	
nearest hospital	
helicopter availability	
air ambulance, etc.	
authorization and implementation procedures fully understood	
Emergency services: those organizations that would be expected to provide support in a major incident aware of requirements – briefed as to their likely role	
External links	
Lines established to communicate externally incidents that may endanger those on a site	
Individual responsibilities and procedures for the company and contractor(s) to make government agency reports have been agreed upon and clearly defined	
Contractor able to communicate with all this workforce in an emergency	
Communications take into account the diversity of languages amongst the workforce	
Emergency communication	
Appropriate for incidents envisaged	
Strengthened, duplicated or backed up by other means	
HSE meeting program	
Scheduling	
Contractor to establish a regular schedule for HSE meetings	
Define responsible management person for scheduling such meetings	
Procedure to maintain records of personnel attendance	
Management participation	



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Managers seen to be involved by employees in:	
<ul style="list-style-type: none"> HSE activities, objective setting and monitoring taking action and providing resources to support their stated policies and objectives 	
Meeting structure	
HSE meeting structure	
Effective to manage and communicate on HSE	
Allow employees full involvement and their own ideas to be heard	
Typical agenda and meeting formats	
Follow up actions	
Meeting actions	
Where action is agreed, is it seen to be carried out?	
Where action is not agreed, is it explained why?	
Communication	
Results of HSE activities, both successful and less successful, openly communicated to all employees	
Meeting programmer consistent with the rest of the management structure to communicate effectively HSE issues	
Meetings recorded clearly and consistently	
Structured to include health, safety and environmental items	
HSE promotion and awareness	
Techniques	
Appropriate communications techniques used to make the personnel aware of HSE issues	
<ul style="list-style-type: none"> How this is to be implemented, e.g. personal contact interactive video notice-boards newsletters (suitable for large sites) bulletins posters 	
Performance	
HSE performance boards (e.g. at worksite gates)	
Promotional methods	
Possibilities include	
<ul style="list-style-type: none"> small 'give-aways' with the HSE message competitions suggestion schemes 	
Part of business	
HSE activities seen as an intrinsic part of running an efficient business rather than a costly and time-consuming 'extra'	
HSE competence requirements	
Fitness of personal	
Confirmation of medical fitness from a recognized and approved medical facility of all proposed employees for contract	
Employee orientation programmer	
Approach	
Provision of a comprehensive handbook for all new employees	
On-the-job orientation for supervisory staff	
Established procedure in relation to follow-up of all new employees at the worksite	
New employees	
Adequately trained and confident of their own abilities	



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Coached to improve their work practices rather than blamed for mistakes	
Accountability	
Employees know they are accountable for HSE performance	
Aware that their HSE performance is part of the contractor's appraisal and reward system	
Know that flagrant or frequent breaks of published HSE rules will result in disciplinary action	
Procedures	
Required for new employee orientation consistent with existing company guidelines	
Reappraisal	
programmer subject to appraisal and review	
HSE training (general)	
Contract standards	
Statement on the current standard of workforce and training requirements to meet contract standard including:	
Established training program including	
<ul style="list-style-type: none"> • HSE management • job procedures • road safety • health (first-aid health hazards, medical services, alcohol and drugs, health promotion, use of PPE) • auditing • incident investigation and reporting • HSE adviser skills • supervisory development • HSE meetings • environmental protection 	
Supervisory training	
Supervisory development training promotes man-management and communication skills	
Formalized program	
Formal HSE orientation programme for employees working on-site	
Records kept of employees who have been through programme	
Employees trained before starting work	
Training covers those joining as a contract is being implemented	
Coverage	
HSE training of employees covering (including):	
<ul style="list-style-type: none"> • Safety • Fire and explosion • Road transport / driving • First-aid • Work procedures / PTW • Hazard awareness and reporting • Occupational health • Security • Basic HSE rules • Legislative requirements • environmental protection 	
Supervisor participation	
Supervisors required to brief and debrief staff before and after training courses	
Course content	



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Effective system for establishing the need for and the content of training courses	
Determining course effectiveness and relevance of training assessed	
Specialized training	
Relevant training given to personnel prior to the execution of hazardous operations	
Training gained through course attendance supplemented by on-the-job training as necessary	
Records kept of attendees of the training courses and qualifications gained by employees	
Emergency training	
Training covers the actions to be implemented and the employees' responsibilities in an emergency	
HSE content in other courses	
HSE included in	
<ul style="list-style-type: none"> • Induction courses 	
<ul style="list-style-type: none"> • Craft training 	
<ul style="list-style-type: none"> • Supervisory training 	
<ul style="list-style-type: none"> • Line management training 	
<ul style="list-style-type: none"> • Auditing techniques 	
HSE training (Professionals)	
Selection	
Procedure in place for introducing competent HSE personnel on to the contract	
Criteria used by the contractor to select his HSE supervisory staff (e.g. career development, professional status)	
Training	
Training received by HSE professional	
Required specialization (e.g. drilling, radiation, chemicals.)	
Appropriate levels of:	
<ul style="list-style-type: none"> • Institute training 	
<ul style="list-style-type: none"> • HSE management 	
Qualifications	
Knowledge and experience of the contractor's HSE professional:	
<ul style="list-style-type: none"> • Match for competence for the job being carried out 	
<ul style="list-style-type: none"> • Match for the advice required 	
HSE legislation	
Coverage	
HSE Plan to include:	
<ul style="list-style-type: none"> • A comprehensive list of applicable legislation 	
<ul style="list-style-type: none"> • Government, national and international codes 	
<ul style="list-style-type: none"> • Company regulations. Codes and standards 	
<ul style="list-style-type: none"> • Contractor's identification of regulations, codes and standards 	
<ul style="list-style-type: none"> • Hierarchical precedence stated 	
<ul style="list-style-type: none"> • Definition of the legislation, codes, standards, etc. reflecting the company's previous experience 	
For contracts carried out in separate countries:	
<ul style="list-style-type: none"> • Different legislation requirements 	
<ul style="list-style-type: none"> • company assistance for foreign contractors 	
Waivers	
Procedure for seeking waivers indicated	
HSE standards	
Availability	
Contractor in possession of HSE manual / set of standards	



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Identifying minimum criteria for achievement during contract implementation	
Available in writing to all users in consistent, concise and clear form	
Users involved in the development	
Standards in line company requirements	
Control /authorization	
Controlled documents	
Updated regularly	
Approval level indicated	
Procedure for obtaining from standards	
Responsibility for authorization	
Mechanism for recording approved deviations	
Coverage	
Clear reference to national and international standards	
Setting minimum requirements on health, safety and environmental issues	

Table V.4
Checklist for HSE plan:
Section 4 Evaluation and risk management

Methods and procedures for hazards and effects management	
Coverage	
Company assessment used as a starting point with additional hazards identified by the contractor	
Contractor's assessment carried out in accordance with his formal methods and procedures	
Analysis techniques used in preliminary form where appropriate	
Contractor covers all parts of the contract with assessments for the specific scope and locations of the contract	
Experience and awareness	
Contractor able to use material from previous similar projects and demonstrate awareness from past experience	
Assessment of exposure of workforce to hazards and effects	
Coverage	
Contractor develops assessment of the scope and degree of exposure of workforce to hazards from the hazards and effects management process	
Handling of Chemicals	
Coverage	
Contractor demonstrates availability and distribution of guidance / information on the safe handling of chemicals, which is likely to be encountered in the contract, and proposals for confirming adherence to guidance during contract	
Hazards and effects management and the assessment of PPE requirements	
Hazard assessment / PPE requirements	
All processes identified that require use of PPE	
Statutory requirements similarly identified	
Procedure in place for recording issue to personnel together with follow-up inspection and replacement / re-certification	
Storage of PPE adequate and secure with procedure for ensuring adequacy of stock	
PPE instruction / training.	
Requirements identified for all personnel	
Instruction and training in its use provided where needed	
Procedure for checking its use specified	
Renewal/ replacement	



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Schedule and criteria for renewal PPE	
Schedule for re-certification	
Responsibility for payment	

Table V.5
Checklist for HSE plan:
Section 5 planning and procedures

HSE procedures	
Availability / control	
Written procedures available to cover hazardous operations on HSE	
Include HSE precautions to be taken	
Consistent with company guidelines	
Controlled documents	
Appropriate level	
Coverage: include health and environment	
Written procedures:	
familiar to all employee including subcontractors	
available in their working language	
contents related to individual job descriptions	
Deviations	
Procedure for obtaining	
Responsibility and level	
Recording of authorized deviations	
Omissions	
Identify whether there are any areas where procedures for hazardous operations are not drafted	
Commitment to prepare	
Permit to work (PTW)	
System in place	
If the contractor's own system is utilized, is it consistent with industry norms and in line with company guidelines?	
Training / qualifications	
Training standards and qualifications set for personnel allowed to implement procedures	
Basic HSE rules	
Availability	
Set of rules available and distributed to all employees	
Users acknowledge receipt	
New employees given a copy before starting work	
Method of discussion and verifying understanding	
Coverage	
Covers health and environment as well as safety	
Set of rules provided tailored to specific contracts	
Identify hazards likely to be encountered	
Address basic housekeeping and hygiene	
Cover signals that will be encountered on site	
Production / updating	
Structure for producing updating and disseminating rules	
Frequency	
Personnel participation	
Involvement of users	



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Emergency response procedures	
Coverage	
Identification of potential major emergency scenarios and procedures to use in such scenarios, e.g.	
• Fire	
• Abandon rig / location	
• Storm	
• Oil / chemical spill	
• Aircraft incident	
• Emergency communications	
• Medevac	
• Blow-out	
• Diving emergency	
• Search and rescue (SAR)	
• Explosions	
• H ₂ S	
• Well control	
• Man overboard	
• Evacuation	
• Terrorism	
• Potential use of company guidelines	
Employee Awareness of procedures	
• Orientation	
• Schedule of drills and testing	
• Medical contingency plan included	
• Review frequency	
• Responsibility of employees for own and colleagues' HSE	
• Monitoring mechanism	
• Drills to be carried out without warning	
Plans	
Recovery procedures in place to be activated in event of emergency scenarios	
Drills to be held to demonstrate preparedness for response	
HSE equipment and equipment HSE inspection	
HSE equipment.	
List drawn up of all HSE equipment to be used on the project	
Identified by type, capacity and reference to standards	
Requirements identified for each item of HSE equipment, including:	
• registry	
• classification	
• licensing	
• survey	
• test certification	
Critical items for HSE inspection	
List drawn up of critical items of equipment that must be the subject of an HSE inspection	
Procedure established for carrying out HSE inspection of equipment (covering health, safety and environmental aspects to be reviewed)	
Procedure established for checking standards where tools have been provided personally by tradesmen	



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Schedule	
HSE equipment inspection schedule established for the duration of the project	
Inspection frequency clearly identified for critical items of plant	
Occupational Health	
Facilities available	
Facilities defined as part of contract	
Occupational health program established to :	
<ul style="list-style-type: none"> • identify hazards • assess hazards • control hazards, e.g. engineering controls, procedural controls, PPE, vaccinations, etc. • maintain emergency procedures • Appropriate for the site conditions • Welfare program meets the needs of isolated sites 	
Local medical facilities evaluated in detail to assess:	
<ul style="list-style-type: none"> • Rang and quality of equipment and supplies • Hygiene standards • Administration procedures and standards • Transportation and communication • Sufficient for day-to-day needs and consistent with relevant health programs • Adequate provision for supply of drugs, antidotes, etc 	
Staffing	
Availability of adequately trained, experienced staff	
Access to medical treatment facilities (if external)	
Contingency plans	
Defined for possible incidents beyond capability of site facilities	
Accommodation and catering facilities	
Where provided, facilities to meet normally accepted standards of hygiene at site location	
Facilities to be operated in line with government hygiene regulations and to meet company guidelines	
Rules in force to maintain cleanliness of site and other facilities	
Promotion	
Promotional material available to assist in maintaining standards	
Appropriate for the contractor's workforce in terms of:	
<ul style="list-style-type: none"> • Language • Clarity, etc. 	
Hygiene and housekeeping	
Procedure on on-site cleanliness and maintenance	
Environmental	
Awareness	
Workforce aware of requirement to protect the environment whilst executing contract	
Control	
Identify potential environmental hazards	



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Develop procedures for handling materials and performing operations that may damage the environment	
Contingency plans	
Aims	
Focus for the environmental protection team	
At what level	
Line management responsibility for environmental protection defined as well as other job objectives.	
Development and enhancement of environmental impact statements for the contract	
Monitoring / restoration	
Environmental monitoring to gauge the impact of operations	
Plans appropriate and sufficiently detailed	
Recovery and restoration of site after contract completion	
Audits	
Environmental audits of operations during the contract	
Carried out by experienced individuals or companies	
Road transport	
Drivers: competence and selection	
Assess physical, mental and psychological capability	
Character and background	
Qualities and experience, medical examination, document checks, driving tests	
Special skills such as terrain and climatic experience and first-aid knowledge	
Drivers: driving permits	
Should record personal and employment details, types of vehicle licensed to drive and types of cargo licensed to carry	
Drivers: driver induction	
Local area characteristics and regulations	
Drivers: driving training	
This should test vehicle operation and use, operating conditions (terrain, climate), off-loading and positing, emergency situations, and vehicle inspection	
Drivers: driving improvements	
Techniques should identify deficiencies, analyze causes and select appropriate retaining	
Vehicle: selection	
Ensure correct type, capacity and size for facilities	
Good maneuverability and serviceability	
Vehicle specification	
The job description should be clearly defined before the vehicle is chosen, to ensure work operations do not exceed the manufacturer's specifications	
Safety equipment and communications on board the vehicle need to be checked	
Vehicle: passengers	
Is the vehicle designed to carry passengers?	
Vehicle: freight	
Design of vehicle and load limits	
Segregation, positioning and securing of freight	
Vehicle: maintenance	
Conducted on a regular basis	



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Ops management: need and approval	
Define the journey and justify the need	
Awareness of hazards involved	
Allocation of vehicles, written authorization, verification of employees' driving standards	
Ops management: journey routing and scheduling	
Full awareness of route (hazards, conditions)	
Realistic schedules	
Ops management: journey management	
Logging of actions	
Ops management: roles and responsibilities	
Role and responsibilities defined for management, supervisors, drivers, passengers	
Contracting	
Pre-qualification of contractors and contractor HSE management treating road transport with equal importance to main activity	
Standards for scope of operations included in tender operation	
Control and review mechanisms included in contracts	
Policy of no subcontracting without written authority	
Procedures	
Ensure procedures are in place for all transport operations	
Monitor and review mechanisms in place	
Emergency services	
In place and tested	

Table V.6
Checklist for HSE plan:

Section 6 Implementation and performance monitoring

HSE performance – General	
Measurement	
• Proposed plan to measure performance, i.e.	
Performance indicators	
Progress against targets	
HSE initiatives / incentive schemes	
Achievement of milestones	
Numbers and types of training courses	
Numbers and results of audits	
Clearance of action items	
• Use will be made of reactive statistical indicators, e.g.	
Lost Time Injury Frequency / Total Recordable Incident Rate	
Numbers of first-aid and minor injuries.	
Material losses	
Vehicle incidents	
Spillages	
Occupational illnesses	
Sickness absenteeism	
Feedback / analysis	



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Availability and use of performance records		
Feedback / review / discussion at HSE meetings		
Presentation and distribution to employees		
Comparison of performance		
• Comparison of performance		
With other similar contract work		
Frequency specified		
Involvement of company personnel		
Incident Investigation		
Coverage		
Reporting procedure for the contract		
• Covering not only injuries to and time lost by personnel but also:		
Health incidents (diseases, exposures to hazardous substances, near misses, etc.)		
Environmental incidents (spillages, releases, contamination, etc.)		
Other safety incidents (safety equipment failures, loss of capital equipment)		
Material loss		
Methods		
Incident investigation method established to determine and correct causes		
Incidents first reported to the direct supervisor		
Incident investigation teams led by the relevant manager		
Differentiation made between numbers of first-aid treatments and other minor injuries		
Procedure in place on vehicle incidents		
Methods to be used for collecting incident statistics		



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Table V.7
Checklist for HSE plan:
Section 7 Auditing and review

HSE Auditing	
Availability	
Established HSE procedure outlining responsibilities, frequency, methods and follow-up	
Scope	
• Compliance with the HSE Plan including:	
HSE management	
Department personnel HSE	
Technical personnel HSE	
Subcontractor	
Occupational health	
Unsafe acts	
Audit training	
Environmental	
Own activities and those of his subcontractors	
Coverage	
Consistent with company guidelines	
Schedule for full contract duration	
Involvement of personnel in audit teams from outside the location	
Carried out by a wide cross-section of the workforce including company and subcontractor personnel	
Effectiveness	
How verified	
Involvement of the contractor's corporate management in review of findings	
Intention to publish findings	
Discussion with personnel on contract and at HSE meetings	
Lessons used to improve operations across the contract	
Follow up	
Any numerical treatment made of findings	
Frequency of review of implementation progress	
Rejections of audit findings properly authorized and documented	



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Appendix VI HSE plan guideline for minor contracts

HSE plan definition guideline

When the contracted activities are covered by a contractor HSE Management System (e.g. in line with OGP guidelines on HSE Management Systems), including HSE Cases for contracted installations, the HSE Plan should only address those issues that are unique for the contract under consideration. It shall focus on contract specific risks and the management of controls to eliminate reduce or mitigate these risks. Other contract-specific issues that may be addressed in the Plan are:

- organization and personnel for the project
- project specific procedures
- project audit and review Plan
- compliance with local rules and legislation
- etc.

Table VI.1
Checklist for HSE plan

Leadership and commitment	
Senior management should reinforce the importance of HSE at all levels in the organization and should be seen to be setting a personal example	
Policy and strategic Objectives	
Contractor has a policy that makes reference to the importance of HSE. It is formalized by the Chief Executive's or the Manager's signature	
Organization, responsibilities, resources, standards, and documentation	
A focal point in the organization for HSE. Simple procedure for distributing information on HSE issues to the workforce	
A procedure for determining / enacting HSE training. Provision for obtaining HSE advice should this be outside the capability of the contractor's personnel	
Simple procedure for ensuring any subcontractor adheres to same HSE standards	
Simple advice on the importance of the links with company (or third party) emergency services on contracts	
Typical agenda for any HSE items in meetings and how to ensure they are covered effectively	
A statement of how HSE competence is assessed for personnel with HSE-critical activities to perform	
<ul style="list-style-type: none"> • Statement of requirements for employees to indicate that they have necessary appreciation of the HSE issues in the contractor's business activities. This should include reference to potential company HSE induction sessions and HSE training. Such training could include items from the following list (as relevant to the contract) <ul style="list-style-type: none"> ▪ fire and explosion hazards ▪ road transport / driving ▪ first-aid ▪ work procedures / PTW ▪ hazard awareness and reporting ▪ security ▪ basic HSE rules ▪ legislative requirements ▪ occupational health ▪ environmental protection 	
Hazard and effects management	
HSE targets set in clear quantifiable terms	
a system in place to assess workplace hazards	
Planning and procedures	



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<ul style="list-style-type: none"> Contractor has a document with simple procedures / rules covering the HSE issues in his business activities with a method for review and update. This should include the following: <ul style="list-style-type: none"> HSE hazard awareness Basic HSE precautions to be observed in the workplace HSE hazards of tasks and operations encountered in his business HSE hazards of equipment used Use of PTW system Communications with supervisory personnel on site Contractor has a document that: <ul style="list-style-type: none"> outlines the activities of his business identifies those areas that are HSE-critical find a method how individual contract scopes can be simply appraised to determine where the attention to HSE issues need to be focused identifies how to determine PPE requirements identifies a simple set of steps for road transport management 	
Implementation and performance monitoring	
Contractor has a procedure for recording incidents, for advising legislative bodies where necessary and for making annual reviews of performance	
Contractor has a procedure for investigating incidents	
Auditing and review	
Contractor has a method for the management to carry out simple audits of his contract operations	

Minor contract typical HSE plan template

This provides guidance for a set of headings for a typical HSE Plan for use on minor contracts. The list of headings should be determined individually for the contract concerned.

Table VI.2
small contract typical HSE plan template

General	
Company	
Project	
Contract title / number	
Contractor details	
Site location	
Company contract holder / representative(s)	
Company representative(s)	
Contract manager/contractor representative(s)	
Hazard assessment	
Contract scope description	
Expected hazards identified (including adjacent operations, etc.)	
Alternatives considered	
Procedures to be followed for hazard control (list documents or describe details here)	
Access / escape provisions (alarm, muster stations, etc.)	
Emergency service provisions (including first-aid, nearest medical treatment, emergency phone numbers, etc.)	



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Competence standards for contractor's personnel	
Standards for contractor's equipment	
Training requirements (including site HSE induction)	
Job / services description	
Contractor's personnel assigned	
Contractor's equipment / consumables / services assigned	
Company's personnel assigned	
Company's equipment / consumables / services assigned	
Subcontractor details	
Responsibilities / interfaces defined	
PPE and any special HSE equipment to be used	
Working hours / job duration	
Site description / limits	
PTW provisions applicable	
Conditions for suspending work (e.g. weather, adjacent site operations, etc.)	
Details	

Appendix VII.

HSE Audit Preform (informative)

Contractor HSE Audit Check List

General information	
Contractor's Name	
Audit Date	
Audit Time	
Audit Location	
Auditor(s)	
Contractor Representative(s)	

Audit Criteria						Comments
Section 1- Management Leadership and Commitment	X	1	2	3	Total	
Senior management commitment to HSE issues at all levels clearly demonstrated by:						
Making HSE the first topic in management meetings and placing HSE matters high on personal and collective agenda	5					
Leading HSE meetings	5					
Making regular Field visits including personal instigation of HSE audits and reviews, etc	5					
A positive culture should be promoted at all levels	5					



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Endorsing and implementing HSE Policies, Standards and Procedures at the local level	5					
Making adequate resources available to implement HSE Policy and Plan	5					
Section 2- Policy and Strategic Objectives						
Formal written HSE policy- Dated and signed by the current Senior Manager(s)	5					
Importance of HSE and contract HSE objectives clearly stated including the Management conviction that All Incidents and injuries can be prevented	5					
HSE established as a line management responsibility	5					
HSE responsibilities included in job descriptions with targets being set which are realistic, consistent and measurable	5					
All personnel made aware of HSE policy content via new starter induction, notice boards, HSE meetings and copies are made available to company and contractor employees in their working languages and to subcontractors via tender and contract documentation	5					
HSE Policy and its implementation discussed by line managers with their employees	5					
Section 3- Organisation, Responsibilities, Resources, Standards and Documentation	1					
Personnel responsible for the implementation of HSE objectives clearly identified in an organisation chart	1					
Manpower level established correctly so as not to compromise HSE	1					
Organisation clearly shows position of HSE professionals, their authority and their duties together with their relationship with line management	1					
Access to specialist HSE advice for contractor line management, e.g. provision of HSE documentation for small contracts and employment of HSE specialist for large contracts	1					
Contractor HSE professionals involved with line management in: preparing and monitoring compliance with HSE rules, HSE training and HSE inspections and audits	1					
Subcontractors						
All subcontractors to be notified to and accepted by Client	1					
Contractor evaluation of subcontractor HSE Performance forms a significant factor in the selection of subcontractors.	1					
Contractor method of vetting its subcontractors to be demonstrated to Client.	1					
Subcontractor informed of and subject to the same rigorous HSE standards as main contractor including the Client contract HSE T&Cs.	1					



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Subcontractor has confirmed in writing receipt and intent to comply with Client HSE terms and conditions	1					
HSE communications						
HSE Meeting procedure established listing the schedule and arrangements for regular HSE meetings including the management responsible for their arrangement, the recording and publishing of minutes and the completion of actions arising.	1					
Tool-box talks held at the start of the shift or day	1					
Hazard information posters/signs posted/displayed	1					
Results of HSE activities, both successful and less successful, openly communicated to all employees.	1					
Various communications techniques used to make the personnel aware of HSE issues eg: notice-boards, newsletters, bulletins, posters, HSE performance boards at worksite gates	1					
Promotion of HSE by small 'give-aways' with the HSE message, competitions and suggestion schemes	1					
HSE activities seen as an intrinsic part of running an efficient business rather than a costly and time-consuming 'extra'	1					
Training						
New employee and task specific training and refresher training given in accordance with established training matrix.	1					
Effectiveness and relevance of training courses and benefit to attendees assessed.	1					
Competency of employees confirmed	1					
Specific training given to responsible persons/authorities identified for systems such as PTW.	1					
Additional HSE training courses given Supervision and Management.	1					
HSE standards						
Contractor HSE manual/set of standards identifying minimum criteria for contract available in languages of contractor personnel.	1					
Standards in line with company requirements.	1					
Section 4- Evaluation and risk management						
Detailed method statements or systems of work prepared	6					
Method statements risk assessed in accordance with contractor formal procedures and appropriate controls introduced to reduce risks to ALARP before work commences.	6					
Contractor demonstrates availability and distribution of guidance/information on the safe handling of chemicals, likely to be encountered in the contract, and proposals for confirming adherence to guidance during contract.	6					
The appropriate PPE for the work in hand is identified as part of the risk assessment process.	6					



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Safe systems of work and results of risk assessments communicated to the workforce and compliance supervised.	6					
Section- 5 Planning and procedures						
<i>HSE procedures</i>						
Availability of current version of Corporate HSE Manual in English and the local working language	1					
Safe work procedures documented.	1					
Procedure for updating and controlling the manual(s)	1					
Permit to work system procedure available and implemented	1					
Permits provided for confined space entry, hot work, electrical work, excavation.	1					
Competent persons authorise permits and supervise the work	1					
Employees are trained in PTW support activities such as; use of breathing apparatus; safety harness, testing of atmosphere	1					
Permits signed off at the end of work.	1					
<i>Emergency response procedures</i>						
Potential emergency scenarios identified and procedures to use in such scenarios established	1					
Contractor employees made familiar with procedures through induction training and involvement in drills and testing.	1					
Emergency response equipment provided including fire fighting equipt, deluge showers, eye baths and first aid devices	1					
Appropriate medical resources available and arrangements made with external emergency resources in advance	1					
<i>HSE equipment and equipment HSE inspection</i>						
List prepared of all HSE equipment to be used on the project including type, number, capacity, appropriate standards and inspection/testing requirements and frequency.	1					
Procedure for checking standards of tools provided personally by tradesmen.	1					
<i>Occupational Health and Welfare</i>						
Occupational health/medical facilities provided to suit contract scope & legal requirements and to meet the needs of isolated sites	1					
Programme established to identify, assess and control health hazards.	1					
Availability of sufficient, adequately trained, experienced staff.	1					
Contingency plans defined for possible incidents beyond capability of site facilities.	1					
Cleanlines and general housekeeping standard adequate	1					
Suitable lighting & ventilation provided and maintained and noise levels minimised	1					
Adequate eating, washing and changing facilities provided	1					



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Confirmation of medical fitness from a recognised and approved medical facility of all proposed employees for contract.	1					
<i>Environmental</i>						
Workforce aware of requirement to protect the environment whilst executing contract.	1					
Potential environmental hazards identified and procedures established for handling materials and minimizing those potential hazards	1					
Sufficiently detailed plans developed for recovery and restoration of site after contract completion.	1					
<i>Road Transport</i>						
Journey Management Procedure in place and safety critical nature of road transport acknowledged by contractor management and personnel	1					
Drivers given defensive driver training and are monitored to assess initial and continued competence including physical and mental and first-aid knowledge	1					
Vehicle condition and the safety equipment on board the vehicle checked and maintenance carried out in accordance with predefined programme	1					
If vehicle is designed to carry passengers each seat must be fitted with fully functioning safety belts.	1					
Journey is defined and justified by issue of an approved Journey Management form.	1					
Means of contact between driver & base confirmed, journey schedule set and periodic contact by driver with base to confirm no problems.	1					
Section 6- Performance Monitoring						
<i>HSE performance - General</i>						
HSE performance monitored by Leading as well as Lagging indicators and compared against set targets/objectives	3					
Recognition by all personnel that flagrant or frequent breaks of HSE rules will result in disciplinary action.	3					
<i>Auditing and Review</i>						
HSE procedure outlining responsibilities, frequency, methods and follow-up to review the effectiveness of the contractor HSE Management System including management of subcontractors	3					
Regular HSE inspections of the ongoing contract activities involving Client management	3					
Involvement of the contractor's corporate management in review of findings	3					
Findings published, actionees nominated, target completion dates established and action tracking register used to monitor timely close out of actions	3					
<i>Incident/Accident and Near Miss Reporting and Investigation</i>						
Procedure for incident/accident/near miss reporting and investigation in place	3					



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Review of incident/accident and near misses investigations by senior management and discussions at management meetings	3					
Remedial follow-up and action plan to prevent recurrence	3					
Sharing of lessons learnt with employees	3					
Collection, recording, review & distribution of HSE Statistics	3					

Scoring And Acceptance Criteria

Criteria	Meaning	score
Acceptable	Meets requirements	179 - 240
Satisfactory	Partially meets requirements, corrective implementation plan	240-400, limited acceptance with CAR
Un acceptable	Does not meet requirements, many corrective actions required	400 - 537
Note : X is a weighting factor, it will be multiplied by the question score 1, 2, 3. the total result will be in the score column		

Appendix VIII Bridging Document Development

1. What is a Bridging document?

Bridging documents are needed when all or part of the scope of work is to be performed by using the contractor's OMS, on the basis that it meets the requirements of the company's OMS. Bridging between company and contractor management systems is normally only required for Mode 2 and 3 contracting, although some form of interface document may be required for Mode 1 contracting.

The benefit of this approach is to allow the contractor's staff to follow their own company OMS and associated processes and practices without having to change their approach to work with contract changes.

2. Developing a Bridging document

A Bridging document should be developed in three steps.

Step 1 – During Phase Three: Selection, Tender and award.

When a client requires an interface and/or bridging document, the instruction to prepare one should in the tender package together with a template the *HSE interface document*. This is to be completed by the contractor and included in the tender submission. The template can be the client's OMS Elements and the expectations associated to each individual Element based on HSE plan checklist relevant for the scope. The Contractor would use it to document how its own OMS and its application to the work will meet the client's expectations.

The HSE interface information should provide a list of the contractor's specific HSE policies, processes and practices that the contractor proposes to follow during the work activity.

The client should review the HSE interface document in order to assess the adequacy of the contractor proposal. It might be necessary for the client to refer back to the earlier HSE capability assessment activity.



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Step 2 – After the award of contract – at the pre-mobilization and mobilization phases

At Phase Four, Pre-mobilization, the interface information provided should be reviewed for completeness by both the selected contractor and the client. The primacy of the contractor's and subcontractor's approved procedures and/or client procedures should be defined by the client taking into consideration the totality of identified activities and to avoid joint responsibilities. This will happen in parallel to Finalizing the HSE plan.

Once agreed, the interface document would be known as the *HSE bridging document* and may become part of the HSE plan. The HSE bridging document should be jointly signed and becomes part of the agreed formal contractual documentation

Step 3 – During the execution of the contract

Any change to the scope of work arising during the execution of the work should be reviewed to ensure that it is covered by the agreed HSE bridging document. Changes to agreed bridging arrangements should be part of a formal MoC..

In the case of complex contract hierarchy, it is possible for bridging documents to be developed at different levels. For example, for global contracts it is possible for a high level global HSE bridging approach to be defined and for location/work-specific detailed HSE bridging documents to be developed



Appendix IX. Phases of contracting process Infographic.

