

INDUSTRY STANDARD

NO. 66

Joint Contractor HSEQ Auditing

25 October 2019

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Document Control Sheet

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This document will be controlled in accordance with the NOGEPA Industry Standard No. 80 on Standards and Document Control.

Terms and definitions

Audit	A systematic, independent and documented process for collecting and assessing objective evidence to determine the efficiency, effectiveness and reliability of management systems and the extent to which the management systems comply with determined audit criteria.
Audit Criteria	A set of policies, procedures or requirements used as reference against which the management system is assessed; e.g.: HSEQ Contract Terms & Conditions, (HSE) Legislation, International Standards, NOGEP A Guidelines, Management Systems.
Auditee	The (part of the) organisation being audited
Audit Client	(Part of) an organisation or person requesting an audit
Contractor	Any third party (potentially) providing goods and/or services to a NOGEP A member, including formally contracted subcontractors.
Corrective Action Report	A document which is used as the means for recording, describing, agreeing, scheduling and reporting to the Auditee and to management, remedial action for non-conformities identified during audits.
HSEQ	The professional disciplines of Health, Safety, Environment & Quality
Management System	The whole of agreed formal and informal working practices, possibly documented, assuring that a company's results are in line with applicable requirements and other objectives and expectations.
Non-conformity	Deviation of the Audit Criteria.

Legal Requirements

AVG	Algemene verordening gegevensbescherming
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Related Standards

ISO 19011	Management System Audits - Guidelines
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Important Nomenclature used in this Standard

In the context of this Standard and when so used to describe a method or practice:	
'shall'	means that such method or practice reflects a mandatory provision of law (in Dutch: <i>dwingend recht</i>). Such method or practice is mandatory for those who are the addressees of such provision (mostly the operators). A Standard can describe or quote, but not amend, mandatory provisions. When an operator in exceptional cases for technical, operational or HSE reasons cannot comply, exceptions shall be documented and reported, and risks mitigated. Please note that this does not release the operator from the obligation to comply with the law. *
'should'	means that such method or practice reflects a Good Operating Practice. An operator is generally expected to apply such method or practice, but a specific situation may require a specific alternative. In other words: the operator complies or explains, and documents the explanation. *
'could'	means that such method or practice is of an advisory nature or mentioned by way of example. An operator is not obliged to comply and is not obliged to explain if he does not comply.
* Please refer to paragraph 2.3 of Standard 80 (Standards and Document Control), for further explanation on an exception of a 'shall' provision, or on a comply-or-explain of a 'should' provision.	

1. Executive Summary

Operating Companies, members of NOGEP A, join an interest in proper Health, Safety, Environment and Quality (HSEQ) control and governance of contractors working in the Dutch Exploration & Production (E&P) sector. To a great extent it is the same contractors that work for the various Operating Companies, and in this respect the joint interest is even larger.

Individual Operating Companies maintain systems for contract or contractor management, focussing on the process of contracting phase and execution on site, addressing health, safety and environmental risks, amongst others. With these systems (among other things), they fulfil their legal obligations as an Employer following from the Working Conditions Act [NL: Arbeidsomstandighedenwet].

To monitor and ensure good HSEQ performance of contractors, it is common practice to have one or more of the following control measures in place:

1. Contractual requirements for management systems certification according to internationally recognised standards, to be verified by recognised and independent third parties (accredited Certification Bodies);
2. Membership of First Point Assessment Ltd (FPAL), providing services on performance measurement and feedback, and shared “Verify” audits;
3. (Contractual rights to) conduct 2nd party HSEQ audits at the contractor’s premises.

Exercising audit rights by various Operating Companies may have added value, but may also mean a significant audit burden for individual contractors, on top of certification and/or FPAL audits.

NOGEP A members like to join forces in conducting contractor HSEQ audits, having the following objectives:

- Ensuring that the contractor audits have maximum added value beyond certification and FPAL audits, while;
- Minimising the audit burden for individual contractors;
- Ensuring that not only standard management systems elements are addressed, but also specific areas of concern from the Operating Companies;
- Ensuring that specific professional disciplines and high-risk activities are verified in detail;
- Providing assurance of conformance by key contractors, while demonstrating direct commitment to the working relation with those key contractors;
- Maximising the learning potential in the Dutch E&P sector.

Joint contractor HSEQ audits must be conducted in a consistent manner, providing reliable outcomes. Therefore, these audits should be conducted according to this Standard.

The joint contractor HSEQ audits will be conducted by NOGEPA members. NOGEPA and its secretariat are not involved in conducting the audit and cannot influence the outcome of the audit. Therefore, NOGEPA cannot held liable for the content of the audit report and the way the audit is conducted.

2. Scope and application

2.1 Scope

This Standard defines the process that NOGEP members should follow in the planning, execution and reporting of joint contractor HSEQ audits, i.e. contractor HSEQ audits conducted by multiple NOGEP members together.

2.2 Application

If NOGEP members wish to conduct joint contractor HSEQ audits this Standard should be applied.

This Standard applies to the management and execution of a programme of contractor HSEQ audits, coordinated as a joint initiative by the Health & Safety Committee and Environmental Committee of NOGEP. Contractor auditing should apply to those contractors that have (potentially) significant influence on HSE and/or operational performance, the so-called Key Contractors.

The following applies to this Standard:

- NOGEP members are not required to participate to the joint contractor HSEQ audits;
- NOGEP members may themselves know what they are doing with the audit results;
- The audit results are accessible to every NOGEP member;
- All suppliers are eligible to be audited, may request it, and then have a fair chance to get audited.

Applying this Standard doesn't influence oil- or gas prices and doesn't exclude certain suppliers.

Apart from the management of the joint HSEQ audit programme, this Standard can also be used for conducting contractor audits by NOGEP members, not being part of the joint programme. This would ensure a consistent approach to contractor auditing within the Dutch E&P Sector.

3. Protection of contractor rights

Conducting joint contractor HSEQ audits and sharing the results within NOGEP A touches the operational and commercial stakes of the contractors. Therefore, the following applies to the audit process:

1. Joint contractor HSEQ audits should only be conducted with explicit, documented consent from Auditee (see section 5.3.1), defining the (limits of the) audit scope and objectives, and providing permission to share the audit results among NOGEP A members.
2. Conducting contractor HSEQ audits should be based on contractually agreed audit rights or documented contracting procedures communicated to the contractor.
3. All information, documentation and other evidence provided by Auditee in relation to an audit should be destroyed after completing and distributing the audit report.
4. Contractors should be provided the opportunity to document their uncensored feedback on the audit and/or audit outcomes.

4. Management of the contractor HSEQ audit programme

RES = Responsible, taking the lead and coordination, and responsible for delivery
CON = Must contribute to the activity or must be consulted
INF = To be informed by RES about the deliverables / outcomes

Activity Steps:	Working Group Joint Contractor Auditing	Contractor Audits Coordinator	Operating Companies / Audit Clients	Lead Auditor	Auditor	NOGEP A Secretary
1. Appoint Contractor Audits Coordinator	RES	INF	CON			
2. Prepare and manage the Audit Programme	CON	RES	CON	INF	INF	INF
3. Review the audits programme	CON	RES	INF			

4.1 Appoint Contractor Audits Coordinator

Members of the Working Group Joint Contractor Auditing select one of the Operating Companies' representatives as the Contractor Audits Coordinator.

The responsibilities of the Contractor Audits Coordinator are:

- Ensuring the Contractor Audits Programme is compiled at the beginning of each year;
- Ensuring that the participating Operating Companies keep in touch, align, plan their audits and feedback the information from the audits;
- Ensuring that an end-of-year quality review is being conducted on all executed and reported audits, so to improve the joint auditing process;
- Informing the Chairman of the NOGEP A Health & Safety Committee about the progress of the Contractor Audits Programme;
- Keeping the NOGEP A Joint Contractor Auditing database / file up to date.

4.2 Prepare and manage the audit programme

The Contractor Audits Coordinator liaises with all NOGEPA members in order to identify:

- The willingness to participate in the Joint Contractor HSEQ Audits Programme;
- The contact persons from each participating Operating Company;
- The preferences for contractors to be audited. Each Operating Company is responsible for making its own selection, based on criteria that matter to that Operating Company;
- Possible audit scopes and/or subjects requiring attention, if already known;
- The ability and possible preferences for making a Lead Auditor or Auditor available for one or more audits (see also section 6.1 for qualification guidelines). Contractor audits are preferably conducted by representatives of two NOGEPA members.

A Contractor HSEQ Audits Programme should be maintained indicating the contractors to be audited from a joint interest, and the Operating Companies responsible to select and appoint a Lead Auditor and Auditor.

Input for preparing the Contractor HSEQ Audit Programme are:

- Previous Contractor HSEQ Audit Programmes, indicating the audits that were already conducted;
- Contractor ratings by the Operating Companies, indicating which contractors are most important from an HSEQ and operational perspective;
- Contractor performance information, either public or obtained through FPAL or direct feedback of participating Operating Companies;
- The Operating Companies' audit preferences in respect to contractors.

The programme indicates which Operating Companies participate, i.e. which Operating Companies have requested the audit, will provide their contribution where necessary, and directly obtain the report. The Contractor HSEQ Audits Programme may also indicate when the audit is to be conducted. However, it remains the responsibility of the Lead Auditor to plan the audit during the year.

If there is no shared interest in auditing one or more contractors, these contractors will not be included in the Contractor HSEQ Audits Programme. It remains the responsibility of the Operating Companies to decide on conducting contractor audits apart from this joint programme.

The Contractor Audits Coordinator will liaise with the participating Operating Companies about their mutual alignment, the planning and execution of the audits, and the reporting. On a case-by-case basis he organises meetings to stay aligned and discuss various issues around the audits.

Periodically he will inform the Chairmen of the Health & Safety Committee and Environmental Committee about the progress and effectiveness of the Audits Programme and any constraints that may have arisen.

4.3 **Review the audits and audit programme**

On an annual basis, the Contractors Audits Programme Coordinator should organise a review of all audits conducted and reported in that year. The objective of this review is to obtain information about the quality, consistency and effectiveness of conducted contractor audits. The outcome of the review should be reported to the Chairmen of the Health and Safety Committee and Environmental Committee, and is the basis for improving the joint contractor auditing process.

5. Conducting contractor HSEQ audits

RES = Responsible, taking the lead and coordination, and responsible for delivery

CON = Must contribute to the activity or must be consulted

INF = To be informed by RES about the deliverables / outcomes

Activity Steps:	Contractor Audits Coordinator	Operating Companies / Audit Clients	Lead Auditor	Auditor	NOGEP Secretary	Auditee (=Contractor)
4. Establish audit team	INF	RES	INF	INF		
5. Specify audit objectives and scope			RES	CON		
6. Plan and prepare the audit	INF		RES	CON	INF	
7. Carry out the on-site audit activities			RES	CON		
8. Report audit	CON	INF	RES	CON	INF	INF
9. Follow-up the audit	INF	INF	RES	CON		CON
10. File audit information	RES	INF	CON		CON	

5.1 Establish the audit team

A joint contractor HSEQ audit should be conducted by an audit team consisting of representatives of (at least) two Operating Companies and bringing in different expertise. The Operating Companies together are responsible for selecting the right persons, considering the scope of a particular audit and the required competencies (skills, knowledge, personal attributes) of the team members. Furthermore, the audit team members will be sufficiently impartial towards the Auditee. This means that individual audit team members should not have had a recent (< 2 years) direct working involvement with the contractor.

An audit team will consist of:

- Lead Auditor
- Auditor(s)

The Lead Auditor and Auditor should be direct representatives from the Operating Companies, and not hired third parties. The added value of these audits, focussing on specific subjects beyond general system audits by Certification Bodies and FPAL, can only be guaranteed by direct involvement of the Operating Companies. The role of Lead Auditor can be subcontracted to an external party to ensure a good audit process, as long as the Operating Companies are represented by auditors or technical specialists, playing an active role during the audit.

The audit team may be extended with:

- (Technical) Specialist
- Auditor-in-training
- Observer, not actively taking part in the audit

See also section 6.1 for qualification requirements. The Lead Auditor should ensure that the audit team as a whole is qualified for the audit, in terms of training, experience and professional background.

5.2 Specify audit objectives and scope

The Lead Auditor is responsible for defining the exact audit scope, objectives and audit criteria. He should liaise with the interested and participating Operating Companies to define and limit the scope and objectives. Also the audit criteria should be selected in advance.

Inputs for specific audits are:

- Legal and regulatory requirements relevant for the audit scope;
- NOGEP Standards and other industry standards and guidelines;
- The relevant HSE(Q), technical, operational and/or qualification terms and conditions from the contracts between the contractor and the various operating companies;
- Contractor performance information relevant for the audit scope (e.g. from FPAL, previous audits, direct input from the Operating Companies);
- The “wish list” of subjects to be addressed on behalf of participating Operating Companies.

Audit scope and objectives should go beyond the standard management systems auditing, already covered by external certification, or standard HSE checks conducted by FPAL. The audit scope and objectives should address specific points of attention or concerns raised by the participating Operating Companies, which are worthwhile to assess in more detail. The audit objective can be a broad statement and should define the intended audit accomplishments. The audit scope refers to the activities covered by the audit.

Audit criteria may vary from audit to audit. However, for the sake of standardisation in reporting and analyses, all audit findings should also be related to the generic framework of ISO 14001 / ISO 9001 / ISO 45001. These three standards are similar and reflect the reference framework for the majority of management systems in the Dutch E&P sector.

5.3 Plan and prepare the audit

5.3.1 Notification

The Lead Auditor should contact the Auditee's management and the team members at least two weeks before the scheduled audit date to make appointments regarding the audit.

The Lead Auditor should formally submit an Audit Notification (as per Appendix A) for approval by Auditee, indicating the scope and objectives of the audit, the Audit Criteria, the audit team, audit location(s) and the (anticipated) dates for conducting the audit. The Audit Notification should contain a standard secrecy statement applying to the audit team, and a statement that the audit deliverables as described in 7.2 will be shared with NOGEPA members.

The Audit Notification should be approved by a legally authorised representative of Auditee prior to proceeding with the audit.

5.3.2 Preparation

The Lead Auditor should ask the Auditee to submit management system documentation and/or records, relevant for the audit scope. Typical information to be asked for includes, but is not limited to:

- Management system manuals, standards and procedures relevant for the scope of the audit;
- Minutes of the latest Management Review;
- Current action plan(s) and their status;
- Latest audit report(s) by the certification body and/or FPAL;
- Example internal audit reports;
- HSE statistics (lagging performance information).

It is at the discretion of Auditee to decide which information is shared upfront, and which information will only be shared during the audit on the contractor's premises.

The audit team members should prepare themselves for the audit by:

- An initial review of the applicable (management system) documentation;
- Reviewing relevant legislation, standards and other requirements, e.g. contract terms and conditions;
- Reviewing previous audit results and other performance information (e.g. FPAL);

The purpose of the preparation phase for the audit team is:

- To familiarise themselves with the (part of) the organisation that will be audited, the applicable rules and regulations and the history of previous audit results. Review of the company processes and the 'critical activities' may be applicable, depending on the scope of the audit;
- To verify compliance to the audit criteria on document level;
- To determine the focus of the interviews.

Based on the preparation, the Lead Auditor should prepare and send an Audit Plan (as per Appendix A), at least one week before the audit. This will include all relevant audit details, including composition of the audit team, the purpose, scope of the audit, the audit criteria and where possible a provisional timetable for the interviews and site visits. The provisional time table should be confirmed with the Auditee.

The Lead auditor should take care of a thorough briefing of all audit team members prior to the audit, in case:

- Preparations were only conducted by part of the audit team;
- Audit experience of the team members is regarded to be insufficient;
- Team members do not have full understanding of the (local) situations, Auditee, etc.

If, after the preparation, the Lead Auditor concludes that the documented management system does not comply with the audit criteria in such extent that a major non-conformity would be raised (see table in section 5.4.2), he can postpone the audit after consulting the Auditee, and agreeing on improvements required. If required improvements demand too much time and efforts, the Lead Auditor can decide just to report the findings from the document review in the Audit Report, and advise the Contractor Audits Coordinator to postpone the implementation check to the subsequent year.

5.4 Carry out on-site audit activities

The Lead Auditor is responsible for correctly conducting the audit. All team members will work under his responsibility. He is authorised to collect any information necessary for the audit within the defined scope and within possible contractual agreed limits.

5.4.1 Opening Meeting

The Lead Auditor should convene an opening meeting with Auditee's management or their delegate(s).

The purpose of the meeting is to:

- Introduce audit participants, including an outline of their roles;
- Outline the definition, objectives and scope of the audit;
- Confirm the audit criteria;
- Identify and agree personnel to be interviewed;
- Confirm the proposed timetable and other relevant arrangements;
- Confirm the HSE procedures and required protective equipment relevant to the audit team during the audit;
- Explain method of reporting, including any grading of possible non-conformities and the extent the reports are shared with participating NOGEPA members.
- Reconfirm secrecy by the audit team and the sharing of audit deliverables among NOGEPA members.

5.4.2 The Audit

The audit team should familiarise themselves with the premises and undertake any safety induction etc., as required, before commencing the audit.

Audits can be conducted using questionnaires as a guide. Objective evidence should be examined and essential information recorded e.g. identification of documents examined, details of examples taken for verification of specific non-conformities. Essential information may be documented on the questionnaires the auditors have prepared.

Objective evidence, either observed, or the interviewee's statement of a departure from agreed Audit Criteria should be deemed as non-conformity.

Auditors should endeavour to obtain the Auditee's understanding that non-conformity exist at the time they are discovered. Audit team members will report and discuss all findings with the Lead Auditor. The Lead Auditor is responsible that all findings are properly addressed to Auditee.

Corrective Action Requests (CAR's) (as per NOGEPA Template, Appendix B) can be used to register and communicate non-conformities, in order to ensure a structured and consistent

reporting and communication of audit findings. CAR's should be given a unique identifier, consisting of the year of auditing, contractor name and a sequential number.

Non-conformities will be classified according to:

<p>Major Non-conformity</p> <p><i>Should be resolved in 6 months' time</i></p>	<ul style="list-style-type: none"> • One or more elements of the requirements have not been documented at all while required by the audit criteria • One or more elements of the requirements have not been implemented at all • Non-addressed non-compliance with legal requirements • A Non-conformity raised during the previous audit has not been corrected or corrective measures have not been initiated • There is a trend in similar non-conformities on various requirements of the Audit Criteria
<p>Non-conformity</p> <p><i>Should be resolved in 12 months' time</i></p>	<ul style="list-style-type: none"> • Shortcomings are observed with respect to one or more elements of the requirements • Addressed non-compliance with legal requirements
<p>Observations</p>	<ul style="list-style-type: none"> • It is expected that, without appropriate action, a Non-conformity will occur in the near future regarding one or more elements of the requirements

Positive findings, such as good working practices or exceptional achievements, should also be explicitly addressed during the audit.

5.4.3 Close-out Meeting

The Lead Auditor should convene a close-out meeting with the Auditee's management. The purpose of this meeting is to:

- Present an objective summary of the audit, making reference to the satisfactory aspects of performance as well as any positive findings, CAR's or observations made;
- Discuss the audit findings and ensure that they are understood by the Auditee;
- Wherever possible obtain signature of the Auditee on any CAR's raised. The Auditee is to sign for understanding the CAR's and for receipt. Auditee not necessarily needs to agree with the CAR;
- Confirm a time-frame within which corrective measures are to be submitted to the Lead Auditor.

Wherever possible copies of acknowledged CAR's will be provided to Auditee. These can directly be entered in their action tracking system for follow-up, even before the complete audit report is issued.

5.5 **Report the audit**

Following completion of the audit the Lead Auditor should arrange for the preparation of an Audit Report (as per Appendix A) which will expand on the information discussed in the closing meeting. The Audit Report will contain at least the following information:

- Summary of findings
- Feedback from Auditee (uncensored)
- Audit objectives, scope, criteria
- Time table, Auditee and Audit team members
- Audit plan matrix
- Audit findings regarding: (1) documentation, (2) implementation and (3) audit effectiveness
- Appendices: CAR and supporting documentation

To protect the privacy of auditees, while ensuring the necessary traceability of audit findings, personal details should be limited to names and position titles of interviewed personnel and names associated with personnel-related evidence that was verified during the audit.

Qualifying or disqualifying statements in relation to listed persons should be avoided in all respects. Before the start of the interview the Auditor should explain the interviewed person that the audit report can contain personal data. The auditor should ask explicitly if the interviewed person is aware of this and agrees to it. In case of refusal(s), one or more anonymous interviews will be reported.

The Lead Auditor is responsible for the completion of the Audit Report. The audit report should be sent to Auditee for verification on actual errors and misinterpretations, and to document their feedback as preferred. The final audit report should be checked on quality and consistency by the Contractor Audits Coordinator prior to finalisation.

The Audit Report in full should be distributed within 4 weeks as a minimum to the Auditee. Following the issue of the final audit report, all working documents and information and evidence provided by Auditee should be destroyed by the audit team, both hard copies and electronic files.

The Contractor Audit Coordinator should file the report in the NOGEP A Joint Contractor Auditing database, available to all NOGEP A members.

5.6 **Follow-up the audit**

The Lead Auditor should monitor the follow-up of audit findings as agreed upon during the close-out meeting (see 5.4.3). Any further information received and conclusions drawn should also be filed in the NOGEP A Joint Contractor Auditing database or electronic file. The Lead Auditor should close-out findings when provided evidence is considered sufficient, or initiate a follow-up visit at the contractor's premises.

The Lead Auditor should remain available for advising the Operating Companies on any follow-up by the Auditee.

5.7 **File audit information**

All audit deliverables for each audit should be filed in a shared electronic environment (NOGEP A site for members), accessible to NOGEP A members only.

The audit information to be filed will include at least all official documents for each audit, i.e. the Audit Notification, Audit Plan, Audit Report and Corrective Action Requests. Supporting

(informative or explaining) documentation may be added, as well as information considering the follow-up of non-conformities.

The Lead Auditor is responsible for filing the relevant information in the shared electronic environment, and may ask the NOGEP Secretariat for assistance (secretariaat@nogepa.nl).

6. Quality Assurance

Joint contractor HSEQ audits need to be of good quality, and the results need to be reliable. Therefore, the following quality assurance measures are implemented:

- This Standard, describing the process of managing the programme and conducting the audits;
- Auditor qualification requirements;
- Audit reviews;
- Approach to handling disputes.

6.1 Auditor qualification requirements

It is the Operating Companies that appoint the auditors. When selecting and appointing the (Lead) Auditor and possible other team members, the following qualification criteria should be considered:

6.1.1 Lead Auditor

All Lead Auditors should have attended and successfully completed a training course (either in-house or external) in Health & Safety, Environment, and/or Quality Systems Auditing. Furthermore, Lead Auditors should have extensive understanding of the applicable audit criteria.

In addition Lead Auditors should first have participated as "auditor" in minimal four other (not necessarily NOGEP A initiated-) audits and participated in all audit phases, i.e. preparation and planning, conducting and reporting.

6.1.2 Auditor

Training requirements for Auditors are to be determined by each Operating Company. The level and extent of this training should depend on the knowledge and experience of individual audit team members in relation to the particular subject for audit, but it may include any or a combination of the following:

- Detailed pre-audit briefing by Lead Auditor;
- Practical 'on the job' training as part of an experienced audit team (Auditor-in-training);
- Attendance at an appropriate training course (either in-house or external) which is designed to meet the needs of individuals who require to undertake internal audits and participate in all audit phases, i.e. planning and preparation, conducting and reporting.

Note: Formal re-training by attending a course should be envisaged after 5 years especially in case the participation in audits is low.

6.1.3 (Technical) Specialists

As member of an audit team, a (technical) specialist may be assigned, having specific knowledge and experience. This specialist will support the Lead Auditor. For assignment an Auditor training course is preferable, but not necessary.

6.1.4 Observers

There are no qualification requirements for Observers in an audit team. They don't play an active role in the audit.

6.2 **Audit reviews**

Conducted audits are reviewed on two levels:

1. The audit report of each audit is checked by the Contractor Audits Coordinator prior to issue. See 5.5. In case the Contractor Audits Coordinator is the Lead Auditor, another Lead Auditor will check the report. Consistency, clarity and unambiguousness are review criteria. The Lead Auditor should consider the feedback from this review before finalising the audit report.
2. On an annual basis, the whole Contractor HSEQ Audits Programme is reviewed on its consistency and effectiveness. See also 4.3.

The Contractor Audits Coordinator should ensure that any observations from the audit reviews are discussed in the NOGEP Working Group Joint Contractor Auditing, and shared with the known Lead Auditors.

6.3 **Handling disputes**

Contractors may not necessarily agree with the audit findings. This may be expressed in two different ways:

1. The uncensored feedback, documented in the audit report (see 5.5)
2. Raising a dispute with the NOGEP Working Group Joint Contractor Auditing, through secretariaat@nogepa.nl f.a.o. the Contractor Audits Coordinator.
The Contractor Audits Coordinator should mediate in any conflict between the Lead Auditor and Auditee. In case the Contractor Audits Coordinator is the Lead Auditor, another Lead Auditor will pick up the role as mediator.

7. Records management

7.1 Working documents

Any documented information used for preparing the audit and collected during the audit, as well as notes taken during the audit, is considered working documents. Working documents serve just a purpose during the audit and should all be destroyed as soon as the audit is reported. The audit team should keep working documents confidentially and well-protected during the audit.

7.2 Audit deliverables

The following deliverable result from the contractor auditing process.

Record Type	Contractor Audits Programme
Responsible position	Contractor Audits Coordinator
Format	Electronic
Storage facilities	NOGEP A file sharing site
Retention Time	Year of execution + 5 years
Classification	Restricted to NOGEP A Members

Record Type	Audit deliverables (per audit) <ul style="list-style-type: none"> • Audit Notification • Audit Plan • Audit Report • Corrective Action Reports • Follow-up information
Responsible position	Lead Auditor
Format	Electronic
Storage facilities	NOGEP A file sharing site
Retention Time	10 years
Classification	Restricted to NOGEP A Members

Appendix A HSEQ Audit Record Requirements

For recording the audit, NOGEPA Template 2, Appendix C should be used. In the course of the audit, the HSEQ Audit Record can have three statuses:

1. Notification (revision 00)
2. Plan (revision 01)
3. Report (revision 02)

In the table below, it is indicated which parts of the record should be completed for each status.

Record sections	Notification	Plan	Report
Audit Details	X	X	X
Contractor approval for audit execution	X	X	X
Audit Report Approval			X
Executive Summary			X
Documents and Records (to be) reviewed		X	X
Interview and Consultation Schedule		X	X
Full Narrative			X
Feedback from Auditee			X
Audit Findings			X

Appendix B Template Corrective Action Request

CAR: ___							
Auditee							
Scope							
Date							
Finding							
Audit Criteria							
Severity	Major Non-Conformity / Non-Conformity / Observation						
Signatures	<table border="1" style="width: 100%;"> <tr> <td style="width: 50%;">Lead Auditor</td> <td style="width: 50%;">Auditee <i>for receipt and understanding</i></td> </tr> <tr> <td>Name:</td> <td>Name:</td> </tr> <tr> <td>Signature:</td> <td>Signature:</td> </tr> </table>	Lead Auditor	Auditee <i>for receipt and understanding</i>	Name:	Name:	Signature:	Signature:
	Lead Auditor	Auditee <i>for receipt and understanding</i>					
	Name:	Name:					
Signature:	Signature:						

Appendix C Template Contractor HSEQ Audit Record

Audit Details		Status: [Notification / Plan / Report]
Auditee	[Contractor Name] <i>Main contact: [name]</i>	
Scope	[indicate what process(es)/disciplines/entities will be audited]	
Objective(s)	[indicate what should be achieved by conducting the audit]	
Audit Team	[indicate the members of the audit team, the Operator they represent and their roles (Lead Auditor / Auditor / Subject Matter Expert / Observer)]	
Location(s)	[indicate the locations where the audit will be conducted (offices/sites/platforms/vessels/other)]	
Date(s)	[indicate the (preliminary) dates or timeframe in which the audit takes place]	
Criteria	[indicate which internal/external objective references are used to assess the findings against]	

Contractor approval for audit execution	
<p>The undersigned, legal representative of Auditee, approves the audit to be conducted in accordance with the above mentioned audit details and NOGEP Standard 66. Auditee is aware of the fact that the audit results, including the audit report will be shared restrictively among NOGEP members.</p> <p>NOGEP facilitates and supports joint contractor HSEQ audits conducted by its members, but is neither a party in the follow-up of the audit, nor a party in any (potential) contractual relation between its members and Auditee. The (potential) use of the audit results for contracting and/or contract management purposes is the sole responsibility of the individual members of NOGEP.</p> <p>For approval:</p> <p>Name: _____ Date: _____</p> <p>Position: _____ Signature: _____</p>	
Audit report approval	
Lead Auditor:	Signature: _____ Date: _____
Audits Coordinator:	Signature: _____ Date: _____

RESTRICTED to Auditee, NOGEP and NOGEP Members. Treat confidentially.

Audit Number	Contractor HSEQ Audit	Rev	Date	Page
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Executive Summary

[Summarise the overall impressions from the audit and any outstanding concerns. Draw conclusions on the audit objectives]

Documents and Records (to be) Reviewed

Title	Number	Revision / Date

Interview and Consultation Schedule

Name	Position	Date / Time

Full Narrative

[Describe the audit in full.]

Feedback from Auditee

The feedback below is provided by Auditee and only reflects the views, opinions and/or perspectives of Auditee.

[Auditee can provide uncensored feedback on the audit, the audit execution and the audit results].

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Audit Findings			
[Provide details on all findings, their severity, and the criteria against which they finding were raised. Insert extra rows as necessary.]			
Finding No.	Classification	Description	Finding against: (reference to criteria)

Audit Finding Description	Guidance
Major Non-Conformity	<ul style="list-style-type: none"> One or more elements of the requirements have not been documented at all while required by the audit criteria; One or more elements of the requirements have not been implemented at all; Non-addressed non-compliance with legal requirements; A Non-conformity raised during the previous audit has not been corrected or corrective measures have not been initiated; There is a trend in similar non-conformities on various requirements of the Audit Criteria.
Non-Conformity	<ul style="list-style-type: none"> Shortcomings are observed with respect to one or more elements of the requirements; Addressed non-compliance with legal requirements.
Observations	<ul style="list-style-type: none"> It is expected that, without appropriate action, a Non-conformity will occur in the near future regarding one or more elements of the requirements.

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Audit Number	Contractor HSEQ Audit	Rev	Date	Page
<Audit No>	<Contractor Name>	<rev>	<date>	30 of 30