

# Guide to preparing HSE plans and Bridging documents

Supplement to Report 423



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## Acknowledgements

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# Guide to preparing HSE plans and Bridging documents

Supplement to Report 423

## Revision history

VERSION	DATE	AMENDMENTS
1.0	April 2017	Some of this guidance was included in version 2 of Report 423 as an Appendix, but now is provided as a standalone document.

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# Scope

This report is a supplement to IOGP 423, *HSE management – guidelines for working together in a contract environment*.

It contains additional guidance to Report 423 on developing HSE plans and Bridging documents.

# 1. HSE plan

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## 1.1 What is an HSE plan?

An HSE plan defines what should be in place during the life cycle of the contract and the steps required to be taken, by whom and by when in order to meet client and contractor requirements.

The HSE plan is an important reference document for the contracting process and should form part of the agreement at award. It may be a standalone document or it may be incorporated in a broader contract plan. It is a document that resides within the activity/project contract management system documentation (which governs the activity and the contract), to demonstrate how the HSE management system should be implemented for the contracted scope of work.

An HSE plan demonstrates how:

- the contractor or subcontractor has an effective HSE-MS applicable to the specific work contracted appropriate to the complexity and the phase of the contract execution
- risks, impacts or threats related to occupational health and safety, environmental and social responsibility, process safety, quality and security associated with the contracted work have been identified, assessed and should be controlled by the implementation of control measures where and when required
- the responsibilities for the execution and maintenance of all control and recovery measures relating to the contracted work are assigned to specific, named persons throughout the life cycle of the contract, and
- risks have been evaluated and measures taken to eliminate or reduce the risks to an acceptable level that is As Low as Reasonably Practicable.

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## 1.2 Developing an HSE plan

### 1.2.1 Process

In the tender package (at the start of Phase Three, Tender and award – refer to IOGP 423), the client requests that a tenderer prepare an HSE plan appropriate for the client's requirements, the scope of work, contracting mode, risk, etc. Clients should also outline the level of detail in the plan that is expected to be submitted as part of the tender response.

The HSE plan is then prepared by a tenderer and reviewed and updated together with the Client in preparation for contract award. After award, audits or reviews may be conducted against the HSE plan.

An HSE plan should continue to be reviewed and updated throughout the contract life cycle, all the way through to Phase 8, Final evaluation and close-out report.

### 1.2.2 Using the HSE Plan Checklist

Annex A provides an HSE Plan Checklist that can be used as a tool for developing an HSE plan. It is based on IOGP Report 510, *Operating Management System Framework*, which provides a structured and organized framework for processes and practices (e.g. sub-systems, plans and procedures) that a company implements to meet the Expectations of the OMS.

This checklist is designed to help clients and contractors identify the topics that should be included in the HSE plan, but the checklist itself should not become a part of the plan. The checklist can also be used when conducting audits and reviews of its implementation.

**Structure of the HSE Plan Checklist available in Annex A**

Item	Check Item	Required? Yes/No	Responsibility Client or Contractor	Exists? Yes/No	If not available When is it needed?
<b>Section 1: Commitment and accountability</b>					
1.1	Managers have specific responsibilities and their behaviours set the tone for the contract organization. They foster commitment to HSE issues through positive leadership qualities and behaviours ensuring a culture is developed and maintained to enable safe, reliable, responsible operations and continuous improvement.				

A client can start by filling the 'Required? Yes/No' column in the checklist and include that in the tender package (see IOGP 423, section 3.1). A tenderer can then use it to prepare the initial HSE plan to submit with their tender response. During pre-award clarifications (see IOGP 423, section 3.4), client and tenderer can work through the checklist together as they review the HSE plan to ensure there is a common understanding of agreed responsibilities.

The format of the checklist provides for certain HSE management processes and practices to be developed by the client or the lead contractor. The decision by the client or lead contractor to provide these will typically be based on:

- the capability assessment, i.e. identification of gaps between the client's minimum requirements and its evaluation of the maturity of the contractor's HSE-MS and of the contractor's HSE culture in relation with the criticality of the work
- the review and pre-award clarifications of the HSE plan at tender stage
- the degree to which each party will be involved in HSE management, e.g. the contract mode
- specific HSE management controls exercised by client or contractor, and
- risk elimination or reduction control/barriers (prevention, detection, control, mitigation and emergency response) mutually agreed upon by client and contractor as the means for working together in the contract environment.
- need for HSE plan for frame agreement or Master Service Agreement (MSA) or only call-offs

HSE management processes and practices that are required, but not available, will be identified in the HSE plan together with specific actions, target dates and action parties.

### 1.2.3 Typical layout and content

A typical HSE plan could include the following sections:

- |                  |   |
|------------------|---|
| <b>Section 1</b> | Executive summary   |
| <b>Section 2</b> | Introduction and contract HSE plan objectives   |
| <b>Section 3</b> | Scope of and schedule of Work/Activity/Project  |
| <b>Section 4</b> | HSE Management System. Description of how the management system is applied within the contract, including interfaces, and should be arranged based on the Elements found in the contractor's management system, e.g. the ten Elements of the IOGP OMS Framework |
| <b>Section 5</b> | Risk Management (hazards and effects) and HSE Critical Elements. Main control measures  |
| <b>Section 6</b> | Emergency Response  |
| <b>Section 7</b> | Performance Monitoring, Reporting and Continuous Improvement.   |

Contract scope specific HSE risks initially identified by client can be further assessed by working through the HSE plan checklist provided in Annex A, and these specific HSE risks then be addressed in the HSE plan.

The HSE plan should not be a replication of the contents of the management system(s) documentation to be used for the contracted scope of work. It should describe and demonstrate how this system will be *implemented* within the Contract scope. The final document should be as clear and concise as possible so that it is utilized by both management and the workforce.

For example, the management system will provide the processes and practices for performing risk assessment but the plan should provide the program/timeline for performing the risk assessment tasks and should document the result of the risk assessment tasks for the activities within the scope of the contract, i.e. the risk register and the selected control measures, etc.

For example, after going through the checklist, the following might be highlighted as some of the key items to be addressed in the plan to include, for a sample scope of work:

- description of the scope and work plan
- *results* of the risk assessment conducted as per requirements formulated in selected HSE-MS
- applicable controls and procedures etc.
- identified stakeholders and what will be done to manage these
- recruitment and job induction training processes
- logistics, supply chain, transport modes and routes
- meeting schedules
- inspection schedules
- KPIs for the scope
- reporting process (daily, weekly, monthly)
- waste management
- grievance procedure.

## 2. Bridging document

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### 2.1 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 client's OMS. Bridging between client 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.

### 2.2 Developing a Bridging document

A Bridging document should be developed in three steps.

#### Step 1 – During Phase Three: 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.

#### 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 (Section 5 of the HSE plan, as described in Report 423-02).

Table 1 illustrates a possible format for HSE bridging documents which, in addition, will need a version control and approval facility.

**Table 1. Bridging document template**

Client requirements	Client reference document/section	Contractor reference document/section	Gaps to be bridged	Document primacy	Comments
<b>2.1 HSE leadership</b>	2.1.1 Client HSE leadership policy	001.1 Contractor QHSE Policy	None	Contractor	None
		001.2 Contractor QHSE Practice	None	Contractor	None
		0012.2 Contractor Leadership inspection guide	None	Contractor	None
		001.2.3 Contractor Leadership inspection protocol	Contractor document needs to define management of observed non-conformances	Contractor	None
<b>2.2 Management System</b>					
<b>2.3 Risk Assessments</b>					
<b>2.4 Plant, Equipment, tools &amp; materials</b>					
<b>2.5 Personal safety</b>					

### 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 (often termed “local call-offs”).

# Annex A – HSE Plan Checklist

The following generic checklist can be applied by clients in Mode 1 or the contractor operating in Mode 2 or 3.

Item	Check Item	Required? Yes/No	Responsibility Client or Contractor	Exists? Yes/No	If not available When is it needed?
<b>Section 1: Commitment and accountability</b>					
1.1	Managers have specific responsibilities and their behaviours set the tone for the contract organization. They foster commitment to HSE issues through positive leadership qualities and behaviours ensuring a culture is developed and maintained to enable safe, reliable, responsible operations and continuous improvement.				
1.2	The workforce is committed to performing activities in accordance with company policies, standards and objectives, and in compliance with external requirements.				
1.3	Accountabilities are clearly defined and aligned with job responsibilities, authority levels and performance objectives.				
1.4	Active management participation in the HSE plan, follow-up of activities, including worksite visits, participation in audits, event/incident investigations and management reviews.				
1.5	Communication and engagement mechanisms are established and sustained to ensure clear and consistent reinforcement of HSE performance for the contract. Responsibility is assigned for prompt, appropriate and engaging communication to those involved in delivering HSE performance.				
1.6	Actions to address gaps in contract organizational leadership or accountability identified through audit findings and event/incident investigation.				
1.7	The HSE plan with associated HSE-MS and contract specific procedures is in place across the contract organization, with priorities established, authorities and accountabilities assigned, and resources allocated.				
1.8	Contract responsible should be accountable for the oversight and coordination of activities within the scope of the HSE plan. They should also be accountable for monitoring effectiveness.				
<b>Section 2: Policies, standards and objectives</b>					
2.1	Contractor has standards that make reference to the importance of HSE risk-based management and commitment. They establish risk-based requirements, including the commitment to comply with applicable regulatory, client or other requirements.				
2.2	Standards and objectives are authorized by the highest level of management/organization appropriate to the contract.				

Item	Check Item	Required? Yes/No	Responsibility Client or Contractor	Exists? Yes/No	If not available When is it needed?
2.3	Standards and objectives are established to manage specific projects, contract operating activities and local issues, and are consistent with those of company level as required.				
2.4	Where different entities operate on the same facilities (including joint venture partnerships), Standards and objectives are harmonized to ensure a consistent message and application.				
2.5	Deviations from standards and objectives are reviewed, subject to deviation/exemption process, and documented and approved by a competent authority for the contract.				
2.6	The contract HSE plan is the prime reference for all applicable standards relating to the contract.				
2.7	HSE standards identify minimum criteria for achievement of contract objectives.				
2.8	Standards and objectives are defined, documented and communicated across contract organization levels (including subcontractors) to address applicable aspects of contract activities throughout their life cycle.				
2.9	HSE Policies, standards and objectives are made available and understandable to all contract personnel and subcontractors.				
2.10	Programmes, initiatives or campaigns developed at an appropriate level of the contract to meet short and long-term objectives. They should have clear responsibilities and timelines, and have measurable success criteria. Programmes should stress communication, in an appropriate language, and accessibility of HSE Policies, standards and objectives to the workforce including subcontractors.				
2.11	Confirmation that HSE Policies, standards and objectives have been reviewed on schedule by a competent authority, subject to management of change (MoC), with changes documented and approved.				
2.12	Processes to gather and consolidate feedback on HSE Policies, standards and objectives applicability and effectiveness, identifying shortfalls against contract expectations. Feedback (whether attributed or anonymous) can be from the workforce to contract responsible.				
2.13	Documentation to clearly demonstrate that approved deviations and exemptions from HSE Policies, standards and objectives are regularly risk-assessed and reviewed				
2.14	Documentation and regular review of a compliance register (or equivalent) of applicable regulatory and other requirements relative to the contract.				
2.15	The contract HSE plan indicates minimum objectives for health, safety, environment, security and social responsibility.				
2.16	Objectives include measureable success criteria based on continuous improvement; maintaining standards; or compliance with policy, regulatory or other requirements.				

Item	Check Item	Required? Yes/No	Responsibility Client or Contractor	Exists? Yes/No	If not available When is it needed?
<b>Section 3: Organization, resources and capability</b>					
3.1	Documented contract organization with defined responsibilities, accountabilities and authorities to effectively implement the HSE plan and ensure compliance with legal, client and other requirements relative to contract and contract life cycle.				
3.2	The HSE organization chart to clearly show the current relationship between functions, activities and individuals (job titles and roles). A system should also be in place so this data is continually updated.				
3.3	Workforce strategy is defined.				
3.4	Management of change (MoC) process in place to assess, mitigate and review actual and potential risks, as well as impacts on operating activities in case of organizational or significant changes to any aspect of the operation during contract life cycle.				
3.5	A regularly updated plan – including actions to support management of change (MoC) – should be established to ensure people in identified critical roles can be replaced if they retire, transfer or leave their role. Similar plans should be established by suppliers and contractors.				
3.6	A competence assurance process exists to screen, select, train and conduct ongoing assessment of the qualifications, fitness-for-task, enabling behaviours, and supervisory needs and abilities of the workforce to meet specified job requirements.				
3.7	The contract organization has mechanisms and programmes for joint participation and management consultation within the workforce, including safety delegate service or ombudsman as per legal requirement.  This supports involvement in areas including planning, risk assessment and control, HSE performance, continuous improvement and management of change (MoC).				
3.8	Workforce representation on development of policies, standards and objectives relative to contract and contract life cycle.				
3.9	Involving and supporting contractors who are part of the workforce, as well as suppliers of goods and/or services, again both inside the company or external.				
3.10	Efficient and timely training programmes, with periodic review to meet contract HSE objectives and applicable legal or other HSE requirements are in place for contract personnel (including contracted personnel) such as: <ul style="list-style-type: none"> <li>• managers at all levels who will plan, monitor, oversee and carry out the work including development of management and communication skills</li> <li>• supervisors at all levels who will plan, monitor, oversee and carry out the work</li> <li>• HSE specialists. They are verified to be competent in their allocated roles. HSE critical teams (fire, first aid, Medevac) are given specific training for the likely situations they may encounter during the contract</li> <li>• HSE staff</li> <li>• employees.</li> </ul>				

Item	Check Item	Required? Yes/No	Responsibility Client or Contractor	Exists? Yes/No	If not available When is it needed?
3.11	HSE training includes:				
	A. knowledge of basic industrial HSE management and rules; security; social responsibility; emergency arrangements; transport; first aid; work procedures PTW, JSA; hazard awareness; stop work authority STOP; legislative requirements				
	B. incident reporting, investigation and audit as appropriate				
	C. the correct use of PPE and other protective equipment				
	D. instructions and information on any specific risk factors and risks arising out of the nature of the contracted activities				
	E. an orientation for all personnel, especially for new recruits and visitors to the work site.				
3.12	HSE training is continuously assessed for effectiveness, employee feedback is used.				
3.13	Tools to identify and access HSE specific resources, skills and knowledge are in place for large or complex organizations based in multiple locations.				
3.14	Competencies required for the individual roles and jobs within the contract teams are clearly defined, including specific contract requirements appropriate for the work to be conducted. Records are maintained of all training and orientation provided.				
3.15	Measures are in place to review individual's or contract team's capability and address temporary any gaps.				
3.16	Managers provide support to ensure time and resources are available for HSE training.				
3.17	System is in place to allocate appropriate and sufficient internal and external resources to meet contract HSE objectives.				
3.18	A suitable contractor management process or system used for subcontractor assessment, interfacing to meet contractor's and client's requirements. Subcontractors performance is used to assess HSE capability of subcontractors. Subcontractor list maintained.				
3.19	HSE capability and capacity of the contract's labour force, suppliers and contractors has been assessed and documented. Contractor maintains a record of subcontractors' performance.				
3.20	Plans for people identification of contract HSE critical roles and how they can be replaced if they retire, transfer or leave their role for other reasons amongst suppliers and contractors is established.				
3.21	HSE specific training, tools and initiatives to improve the risk awareness and performance of suppliers and contractors who provide goods and services relative to the contract are provided.				
3.22	HSE training of managers and workers responsible for contracting activities and oversight of contractors is provided.				
3.23	Interfaces and other bridging mechanisms for contract activities involving multiple parties using different management systems are agreed up on. The HSE plan identifies and shows that Subcontractors are well integrated into the contract.				

Item	Check Item	Required? Yes/No	Responsibility Client or Contractor	Exists? Yes/No	If not available When is it needed?
3.24	Alignment and relevant gaps (including roles, responsibilities and actions) in the different management systems of the contract participants have been identified and documented.				
<b>Section 4: Stakeholders and customers</b>					
4.1	Stakeholders, including local communities, are identified and relationships relevant for contract activities are established.				
4.2	Stakeholder mapping established including significant stakeholder groups; partners, employees, suppliers, local communities, regulators, non-governmental organizations and trade associations.				
4.3	Stakeholder mapping provided as a starting point for communication, active engagement, actions, planning and regular review with relation to contract activities.				
4.4	Local community engagement plans established including:				
	A. inclusion of diverse and vulnerable groups and sub-groups in the community				
	B. early communication and response to assessment and mitigation of potential risks, impacts or threats related to safety, environmental, health, social or security issues				
	C. confirmation of compliance with stakeholder requirements where appropriate				
	D. documentation of commitments and agreed actions, including partnerships, local content and other sustainable development and community relations initiatives				
	E. awareness of emergency and preparedness planning so if there is an incident, all necessary actions protect company people and assets, the community and the environment				
	F. monitoring and follow-up throughout the life cycle of contract activities				
	G. accessible mechanisms to register complaints and resolve conflicts or grievances.				
4.5	Processes are in place to assess, manage and engage with customers and other stakeholders regarding life cycle risks and opportunities associated with the contract's products and activities. This includes compliance with regulatory requirements.				
4.6	HSE risk management integrated into contract activities, i.e. incorporation of specific health, safety and environment (HSE), social responsibility and security criteria, such as:				
	A. processes to ensure regulatory compliance as appropriate				
	B. communication of risks associated with the services provided or with the product, including its foreseeable misuse				
	C. a way to deal with non-conformities and complaints.				

Item	Check Item	Required? Yes/No	Responsibility Client or Contractor	Exists? Yes/No	If not available When is it needed?
4.7	Sources of internal and external HSE expertise established to provide support for contract relevant products provided through company's value chain, particularly in the areas of:				
	A. handling and transport of raw materials, intermediates and final products				
	B. waste management—handling, disposal and recycling of materials				
	C. health, safety and environment (HSE) hazard mitigation of materials, including acute and chronic toxicity and environmental effects of substances				
	D. cumulative risk consideration during the product life cycle				
	E. compliance with product and chemical regulations in countries and regions where the products are supplied				
	F. product information, including labelling and safety data sheets (SDS)				
	G. Quality assurance and control (QA/QC) of the contract's products.				
4.8	Positive relationships are established with stakeholders and client. Active two-way communication and engagement, seeking feedback on performance and responsiveness to their needs at any point in the contract life cycle, including appropriate emergency response.				
<b>Section 5: Risk assessment and control</b>					
5.1	Processes and methods are in place to manage HSE risks to an acceptable level for the scope of contracted activities including:				
	A. Managing risk and determining risk acceptability is in alignment with client expectations and requirements				
	B. Preferred methods for undertaking risk assessments				
	C. Links between the contract organization's objectives and policies, and the risk management process				
	D. Accountabilities and responsibilities for managing contract HSE risk				
	E. Dealing with conflicting interests				
	F. Committing appropriate resources to support those accountable and responsible for managing HSE risk				
	G. The way risk management performance will be measured and reported				
	H. Commitment to review and improve risk management and associated processes periodically, and in response to an event or change in circumstances.				
5.2	Hazards, effects, impacts, threats and other vulnerabilities have been identified. Assessment of the associated contract HSE risks to determine significant risks have been documented including; effective controls/barriers to eliminate or reduce risks, to prevent escalation, mitigate consequences and facilitate recovery to be implemented with respect to each risk.				

Item	Check Item	Required? Yes/No	Responsibility Client or Contractor	Exists? Yes/No	If not available When is it needed?
5.3	Contractor ensure no contracted operation is performed without a specific risk assessment.				
5.4	Contractor monitor all control and mitigation measures are in place before performing any contracted operation.				
5.5	Contractor manage changes and assess associated risks, e.g. temporary/permanent changes that affect the contract organization, activities, assets, operations, products, plans or procedures.				
5.6	Vulnerabilities and non-conformities are recognized, including deviations from contract operating procedures or weak signals that provide indications of potentially increasing HSE risk.				
5.7	Learning from incidents, events, non-conformities and good practices from internal and external sources are incorporated into contract risk assessments.				
5.8	Risk control and regulatory compliance plans necessary to manage 'normal' contract conditions, should:				
	A. include responses to issues including health, safety and environment (HSE), community engagement, environmental discharge, biodiversity and waste management				
	B. Be fit for purpose for the contract need, the organizational complexity/autonomy, and the specific context and regulatory framework in which the contract operations are located.				
<b>Sub-section 5A: Health - Risk assessment and control</b>					
5.9	Address risks related to ill health including; effective controls/ barriers to eliminate or reduce risks, to prevent escalation, mitigate consequences and facilitate recovery to be implemented with respect to each risk are documented. These have been communicated to contract personnel.				
5.10	A Health Management Plan has been established, if relevant, for the contract (part of HSE plan) including:				
	A. Health Risk Assessment				
	B. Industrial Hygiene and Ergonomics				
	C. Medical Emergency Management				
	D. Management of Illness				
	E. Fitness for Work Assessment and Health Surveillance				
	F. Health Impact Assessment				
	G. Health Reporting and Record Management				
	H. Health Promotion.				

Item	Check Item	Required? Yes/No	Responsibility Client or Contractor	Exists? Yes/No	If not available When is it needed?
<b>Sub-section 5B: Safety – Risk assessment and control</b>					
5.11	Safety risks including; effective controls/barriers to eliminate or reduce risks, to prevent escalation, mitigate consequences and facilitate recovery to be implemented with respect to each risk are documented. These have been communicated to contract personnel.				
5.12	A Safety Management Plan has been established, if relevant, for the contract (part of HSE plan) including:				
	A. implementation of risk reduction measures according to the As Low as Reasonable Practicable (ALARP) principle				
	B. HSE best practices used in contract so that construction, testing, installation, maintenance and normal production activities can be carried out in a safe manner.				
5.13	Documentation of Contractor’s own construction feasibility studies and of participation by contract management and employees, safety delegate or ombudsman				
5.14	Review of constructability analysis, if relevant, to ensure that the design of the contract object promotes a satisfactory HSE standard during construction, in particular:				
	A. Accessibility with respect to installation, lifting and cutting				
	B. Arrangement and installation sequence with regard to lifting capacities, access, ergonomics, etc.				
	C. Production methods and access for welding, grinding, shot blasting, surface treatment and cleaning				
	D. Selection and handling of materials and equipment				
	E. Selection, handling and use of chemicals				
	F. Selection of method, tools and production equipment etc. bearing in mind noise, dust, temperature, pollution, vibration, weight and other physical/chemical strains				
	G. Possibility of using fixed installations, eg. for lifting, access, ventilation and lighting in the construction phase				
	H. Plan and arrange for temporary equipment/support systems, such as access, ventilation, lighting, heating, water, production gases, air, electricity, waste handling, firefighting and other safety equipment, storage space, etc.				
5.15	Planning and implementation of identified construction feasibility analysis’ compensatory measures before construction activities commence				

Item	Check Item	Required? Yes/No	Responsibility Client or Contractor	Exists? Yes/No	If not available When is it needed?
5.16	PPE system ensuring: <ul style="list-style-type: none"> <li>• the identification of statutory PPE requirements associated with assessed risks</li> <li>• the assessment of the need for PPE and its suitability</li> <li>• procedures to record the issue of PPE and a follow up system of inspection and replacement/recertification</li> <li>• procedures to check that PPE storage is adequate and secure and that stock is maintained as necessary</li> <li>• procedures to check that PPE is issued and used correctly.</li> <li>• a schedule with defined criteria for PPE renewal/replacement</li> <li>• a procedure for re-certification of PPE as appropriate and necessary.</li> </ul>				
5.17	All protective and rescue equipment that is provided is fit for purpose.				
5.18	Dropped object management for construction and installation activities ensuring: <ul style="list-style-type: none"> <li>• prevention of dropped objects</li> <li>• risk assessment performance in preparation for operations (work at height/over sea, crane/lifting, wind/weather conditions, testing)</li> <li>• use integrated solutions/barriers</li> <li>• use of best/recommended practice</li> <li>• equipment designed to withstand the environment</li> <li>• safe working conditions and maintenance access</li> <li>• adequate inspections on worksites of permanent and temporary equipment at height</li> <li>• dropped object protection plan.</li> </ul>				
5.19	A road transport journey management plan is in place, which includes the authorization of different types of journeys, the roles and responsibilities of individuals, and covers the recovery in the event of a problem.				
5.20	For operations that take place in variable weather and environmental conditions, a table of acceptable conditions is established, also known as a Manual, or Matrix, of Permitted Operations (MoPO), outside of which operations may not take place.				
<b>Sub-section 5C: Environmental – Risk assessment and control</b>					
5.21	Risks related to local and global environmental impact including; effective controls/barriers to eliminate or reduce risks, to prevent escalation, mitigate consequences and facilitate recovery to be implemented with respect to each risk are documented. These have been communicated to contract personnel.				

Item	Check Item	Required? Yes/No	Responsibility Client or Contractor	Exists? Yes/No	If not available When is it needed?
5.22	An Environment Management Plan has been established, if relevant, for the contract (part of HSE plan) including:				
	A. implementation of risk reduction measures according to the Best Available Techniques (BAT) and Best Environmental Practice (BEP)				
	B. Best Available Techniques (BAT) used in Contract so that construction, testing, installation, maintenance and normal production activities can be carried out in an environmentally friendly manner				
	C. emission and spill management				
	D. use/substitution/discharge of chemicals and chemical composition in imported materials and substances				
	E. radiation				
	F. energy efficiency (carbon footprint)				
	G. waste management				
	H. transport of dangerous goods.				
<b>Sub-section 5D: Security – Risk assessment and control</b>					
5.23	Risks and threats related to security of people, assets, information and reputation including; effective controls/barriers to eliminate or reduce risks, to prevent escalation, mitigate consequences and facilitate recovery to be implemented with respect to each risk are documented. These have been communicated to contract personnel.				
5.24	A Security Management Plan has been established, if relevant, for the contract (part of HSE plan) including:				
	A. compliance with the Voluntary Principles on Security and Human Rights (VPSHR)				
	B. legislation and local expectation				
	C. capability and intent of local criminal/terrorist elements				
	D. vulnerability and attractiveness of contract assets to criminal/terrorist elements				
	E. physical protection measures				
	F. information protection measures				
	G. personal protection measures.				
5.25	A memorandum of understanding on security co-operation has been agreed with the host authorities in order to describe the arrangements and responsibilities for managing security.				
<b>Sub-section 5E: Social Responsibility – Risk assessment and control</b>					
5.26	Risks related to social impact (social responsibility to employees, the local community and other stakeholders) including; effective controls/barriers to eliminate or reduce risks, to prevent escalation, mitigate consequences and facilitate recovery to be implemented with respect to each risk are documented. These have been communicated to contract personnel.				

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5.27	A Social responsibility Management Plan has been established, if relevant, for the contract (part of HSE plan) including:				
	A. social aspects, people’s livelihoods, access to resources or land				
	B. resettlement of indigenous people, or loss of livelihood, if applicable, in line with stakeholder and community expectations				
	C. consultation with, and provision of information to, affected communities by contract activities, recognizing the limitations within the host country (language, culture, educational levels, poverty levels, gender restrictions)				
	D. prevention of human rights violations.				
<b>Section 6: Asset design and integrity</b>					
6.1	Baseline information and results of risk assessments are used as input to location, design or selection decisions for contract activities.				
6.2	Criteria, specifications and standards for the design, construction/ selection, commissioning, modification and decommissioning of contract associated facilities, equipment and materials are defined to address risks and verify conformity throughout their life cycle.				
6.3	Procedures to ensure facilities and/or equipment are operated within defined design and operating limits at all times are established, maintained and communicate to contract personnel who operate, maintain, inspect and manage them.				
6.4	Processes are in place to identify and manage HSE critical risk controls/ barriers to prevent a major incident.				
6.5	Processes to maintain, replace, test, inspect, calibrate, certify and verify performance of contract associated facilities and equipment to ensure safe operations. These activities are performed at frequencies appropriate to the level of risk, and deviations from specified criteria are managed.				
6.6	An accessible register of contract associated HSE critical facilities or equipment and their minimum performance criteria including:				
	A. any long-term effects that might degrade integrity, and the expected rate of degradation of static equipment				
	B. inspection intervals and acceptance criteria				
	C. identification of the technical authority responsible for establishing the performance criteria for the facility, component or equipment				
	D. process engineering flow schemes/process and instrumentation diagrams				
	E. safety alarms documentation showing the basis for operation				
	F. plot plans				
	G. hazardous areas classification				
	H. Each individual piece of equipment is uniquely identified, and referenced to the appropriate standard				
	I. Where required the classification, licensing authority, test certificates are clearly identified				

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6.7	Where tradesmen provide their own equipment as part of a contracted-in situation, then such equipment is included in assessment and inspection, to assure they comply with contract specifications.				
<b>Section 7: Plans and procedures</b>					
7.1	Plans and procedures relevant to contract activities are established, documented and maintained in accordance with identified legal and other requirements in line with the risk level defined by the organization and the required risk controls. Procedures are consistent with client requirements and cover; health; safety; environment; security and social responsibility.				
7.2	HSE critical activity procedures are available and should:				
	A. provide clear guidance on how to perform the related tasks safely and reliably				
	B. ensure that each step has been carried out and often include a checklist of actions				
	C. be developed by specialists. These are controlled documents				
	D. ensure any deviation from them requires MoC. A record is maintained of all deviations authorized				
7.3	Work instructions relevant for contract activities are available to all employees including Subcontractors and include:				
	A. simple, clear and often brief documented directions on how a task is conducted by individuals or teams at workplace level				
	B. issued in accordance with the risk controls within defined plans and procedures, which typically address activities involving many tasks				
	C. available in employee's own language and/or communicated verbally and be supported by written directions to a trained and competent member of the workforce				
	D. specifying monitoring requirements and the need for protective measures or other controls.				
7.4	Contract specific HSE plans and procedures, including revisions, are subject to approval at an appropriate level of authority.				
7.5	Contract specific HSE plans and procedures are supported by guidance and training as appropriate to enable effective implementation by competent resources.				
7.6	Processes are in place to ensure the latest version of an approved contract specific HSE plan or procedure is available at point of use.				
7.7	HSE plan includes, or make reference to, a contractor led verification plan as per IOGP 423.				

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7.8	An emergency preparedness and response plan (ERP) has been established, if relevant, for the contract (part of HSE plan) including procedures for:				
	A. personnel refuge, evacuation, rescue and medical treatment				
	B. prevention, mitigation and monitoring of environmental effects of emergency response				
	C. communication with authorities, relatives and other relevant parties				
	D. mobilization of company equipment, facilities and personnel, as well as third party resources				
	E. oil spill response				
	F. evacuation from country/region, i.e. evacuation arrangements which are commensurate with the in-country risk and which recognise the logistical difficulties of the locus of operation, particularly where this might be a remote location in a difficult country.				
7.9	Effective training, practice drills, emergency equipment maintenance and continuous improvement in place.				
7.10	Sufficient resources and response equipment, as well as the means to communicate with all affected stakeholders if an incident occurs in place.				
7.11	A business continuity plan (BCP) complementing ERP for provision of effective prevention, necessary redundancy, and recovery for the contract organization, while maintaining system integrity and value chain commercial activities relative to the contract.				
7.12	BCP describing: How physical and human resources will be deployed during and following a threat such as a security incident, information technology failure or disease epidemic.				
7.13	Clear identification of client, contractor and third parties' role and responsibilities in contingency, emergency, crisis and continuity management situations applicable for the contract.				
7.14	An appropriately manned response centre is set up to co-ordinate contingency, emergency, crisis and continuity management responses.				
7.15	All personnel are made aware of contract contingency, emergency, crisis and continuity management procedures and their individual roles and responsibilities in the different situations. Instructions are available and understood in the language of the individuals.				

Item	Check Item	Required? Yes/No	Responsibility Client or Contractor	Exists? Yes/No	If not available When is it needed?
<b>Section 8: Execution of activities</b>					
8.1	Processes are in place to prepare for contract activities and ensure operational readiness and integrity of systems before commencing work, and to confirm interfaces/handovers are established:				
	A. 'tool-box talks' and job safety analysis (JSA)				
	B. last-minute risk assessment or personal task risk assessment				
	C. observation and intervention by supervisors (e.g. as part of the verification plan activities)				
	D. behaviour based safety (BBS) tools to reinforce positive actions and consolidate information for analysis and organization-wide learning				
	E. operational readiness reviews (ORRs) documenting intentions, roles and responsibilities; where and when readiness activities should be carried out; technical issues that should be addressed; and the necessary technical expertise of personnel				
	F. Pre-start-up review subset of ORR to ensure health, safety and environment (HSE) and other relevant measures are in place and working as per design				
	G. Permit to work system (PTW) for high risk activities with potential health, safety and environment (HSE) consequences also taking account of 'simultaneous operations'. The permit details the work to be done and the controls and other precautionary measures to be applied. Any MoC, if applicable, is referenced to PTW and LOTO requirements during maintenance work and periods of temporary change				
	H. fatigue management taking into account the influence of circumstances outside of work, shift rotations and working conditions				
	I. fitness to work identifying, assessing and managing risks associated with tasks that place specific physical or psychological demands on contract employees.				
8.2	Processes are consistently applied to ensure contract activities and tasks are executed as prepared.				
8.3	Suitable and sufficient supervision exists to confirm each contract activity and/ or task is executed in compliance with the plans and procedures and delivers the expected outcome.				
8.4	A stop work authority culture and process whereby it is clearly everyone's duty to stop work during a contract activity in the event of an unsafe condition or act that could affect personnel and/or the environment is maintained. Contract personnel are empowered to stop a job until the problem is corrected.				
8.5	Feedback on performance and behaviour is sought and acted upon for contract activities. Good performance and positive behaviours are recognized, reinforced and rewarded. Processes in place to manage inadequate performance or unacceptable behaviour.				

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<b>Section 9: Monitoring, reporting and learning</b>					
9.1	Processes are in place to monitor, measure, check, validate and record characteristics of contract operations, products and HSE plan (and verification plan if separate document) to ensure implementation and compliance with the HSE-MS and achievement of its objectives. These include:				
	A. learning from incidents, events and non-conformities from both internal and external sources				
	B. implementation of appropriate remedial actions (with application of MoC as appropriate) to address event causes, strengthen risk controls/barriers and prevent recurrence				
	C. checking of closure of actions or plans.				
9.2	HSE plan includes monitoring of:				
	A. number of stakeholder grievances received for contract and closure of actions to address concerns (e.g. concerns of local communities)				
	B. Contract related overdue inspection and maintenance, and unscheduled downtime				
	C. status of contract critical risk controls/barriers that prevent major incidents				
	D. activities (exercises, drills, response times) related to contract emergency response, crisis planning and business continuity				
	E. conformity with contract work controls (e.g. job planning, permit to work, work authorization)				
	F. frequency and results of contract observations of work tasks				
	G. timely closure of contract follow-up actions identified through work control monitoring or task observations				
	H. contract HSE-MS processes are effectively implemented, consistently complied with and				
	I. controlling assessed HSE risks				
	J. the timeliness of corrective and preventative contract action implementation				
	K. trends, including repeat findings and significant new findings of contract activities and operations				
	L. the ongoing suitability of documentation for addressing assessed risks including non-routine or abnormal situations, simultaneous activities, or adverse environmental or societal conditions.				
	M. contract personnel training programme implementation				
	N. sickness absence				

Item	Check Item	Required? Yes/No	Responsibility Client or Contractor	Exists? Yes/No	If not available When is it needed?
9.3	Transfer of learning for outcomes from contract monitoring and reporting processes is ensured through:				
	A. alerts or bulletins				
	B. 'Tool-box talks'				
	C. communication packs				
	D. HSE-MS feedback				
	E. training.				
9.4	Contract incidents, events and non-conformities (with actual and/or potential consequences) are reported, recorded and classified to defined criteria, and investigated to determine direct and underlying causes.				
9.5	Reporting system in place to collect and classify data against clear definitions to facilitate benchmarking and public reporting. The system includes indicators, definitions and severity levels, and functionality to track and log the progress of implementing identified actions to prevent recurrence of events or to correct conditions.				
9.6	When classifying data, reporting boundaries should be to carefully defined and constructed to ensure inclusion of all events and incidents relevant to the contract. Depending on the focus of each indicator, boundaries can vary, e.g. safety of the workforce versus social responsibility for local communities.				
9.7	Recording system include records of:				
	A. personnel injury				
	B. safety events and anomalies				
	C. material and non-conformity losses				
	D. occupational illness cases				
	E. environmental events and incidents (incidental emissions of pollutants and impacts), their type and seriousness.				
	F. security events and incidents or non-conformities				
	G. logistics events and incidents				
	H. social responsibility events and incidents or non-conformities.				
9.8	A contract reporting procedure is in place which complies with client requirement, and which covers all HSE events, incidents and non-conformities. Procedure includes report and notification to Authorities as per regulations in place.				
9.9	Processes define and establish leading and lagging contract key performance indicators (KPIs) using measures designed to improve HSE performance and behaviours. KPIs are regularly reviewed to ensure they provide meaningful information.				
9.10	Leading indicators are defined to ensure that low-risk events that occur more frequently do not dominate reporting at the expense of a focus on high-risk events.				

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9.11	A KPI to ensure actions from reporting and feedback process are completed in a timely manner, i.e. action tracking with completion of actions.				
9.12	Monitored and reported contract data is reviewed to ensure quality in terms of consistency, accuracy and completeness.				
9.13	Lagging indicators are defined to record events, consequences and other outcomes to assess retrospective HSE performance.				
9.14	A system of analysis and feedback to personnel is in place to review HSE performance measurements. Analysis aim to identify underlying causal factors, i.e. enabling factors such as culture, leadership and capability.				
9.15	A contract investigation procedure is in place to establish root causes of HSE events and incidents; actions that minimize potential recurrence and satisfying any statutory requirements for reporting and investigation.				
9.16	Contractor's management provides necessary support for incident investigations, and recovery.				
9.17	Investigation teams to be organized as required by the HSE plan, and be led by a competent HSE investigator.				
<b>Section 10: Assurance, review and improvement</b>					
10.1	A documented, risk-based assurance process, including scheduled independent contract audits, is established.				
10.2	Audits are in compliance with HSE Plan, e.g. A schedule of audits is in place for the duration of the contract, to cover: <ul style="list-style-type: none"> <li>• the assessed risk of the activity to be audited</li> <li>• the status of the HSE-MS processes to be covered and implemented at each level of the organization</li> <li>• HSE-MS and contract requirements have been cascaded to create consistent implementation</li> <li>• findings of previous audits</li> <li>• general approach, individual behaviours and accepted practices that contribute to underlying performance and culture</li> <li>• aligned with particular objectives, such as compliance with regulations</li> <li>• documentation, including processes and practices, remains effective and fit for purpose.</li> </ul>				
10.3	Audits are planned and line management and client kept informed.				
10.4	Auditors have appropriate levels of confirmed competency and are independent of the activity or location being audited.				
10.5	Improvement recommendations from auditors are considered and incorporated via the agreed actions. Corrective actions are addressed as soon as practical.				

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10.6	Management undertake a documented review of the HSE performance at prescribed frequency and on a risk basis take into account; the outputs from contract Monitoring, reporting and learning (OMS Element 9) as well as contract assurance and audit findings, and account for owner feedback on the other OMS Elements. The improvements identified are documented and incorporated into contractor's improvement plan.				
10.7	Contract data and performance KPIs are assessed to understand risk control/ barrier weaknesses and identify opportunities for improvement.				
10.8	Improvements based on assurance findings, lessons learned, and internal and external good practices are planned, communicated and embedded within the contract HSE-MS to drive continuous improvement.				
10.9	Identified contract improvement actions are planned and communicated, with implementation tracked to completion.				



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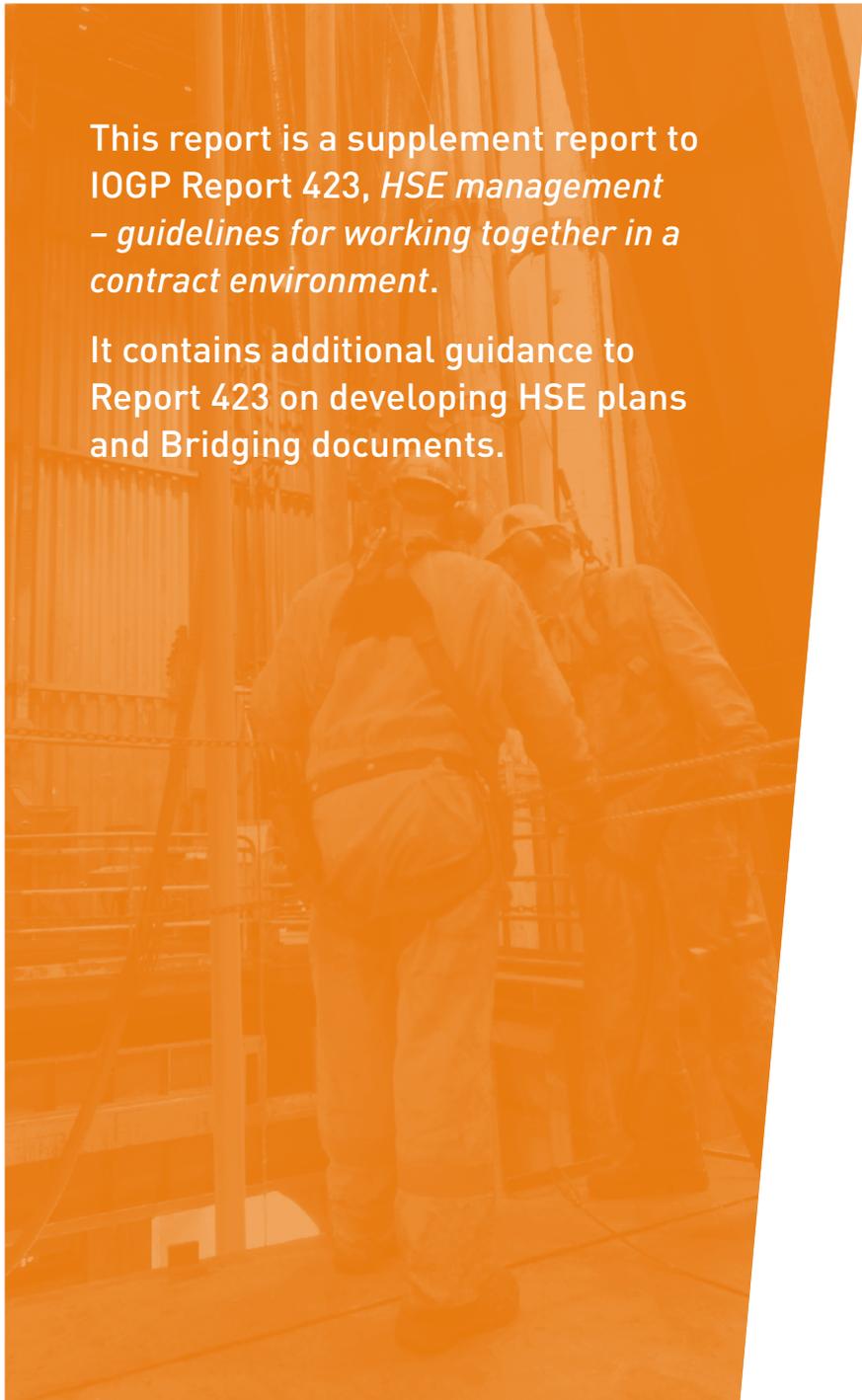
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This report is a supplement report to IOGP Report 423, *HSE management – guidelines for working together in a contract environment*.

It contains additional guidance to Report 423 on developing HSE plans and Bridging documents.