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C1

## Supplier Self-Assessment Questionnaire



### Document Review Cycle

REVIEW PERIOD	NEXT REVIEW	DOCUMENT OWNER
N/A	N/A	Contracts Manager

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**Supplier Self-Assessment Questionnaire**

**Revision History**

YYYY	MMM	DD	Issued By	Rev	Detail
2018	JAN	08	C. Taylor	C1	First issue on BMS

**Revision Change Notices**

Rev	Location of Changes	Brief Description of Changes

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## 1.0 COMPANY INFORMATION

Company Name: _____	
Company Address: _____ _____	
Phone Number: _____	Fax Number: _____
Number of years in business: _____	Number of employees: _____
Name of EnQuest Account Representative: _____	Title: _____
This survey is completed by: _____	Title: _____
Describe the Products or Services your company provides EnQuest: _____ _____ _____	

## 2.0 QUALITY SYSTEM REGISTRATION

2.1 Does the organisation have a third party quality system registration?      Yes     No

System:	Certification No.	Expiration date:
System:	Certification No.	Expiration date:
System:	Certification No.	Expiration date:

Comments:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

### 3.0 HEALTH, SAFETY, ENVIRONMENT AND ASSURANCE

- 3.1 Does your company have a documented HSE & A Policy? Yes  No
- 3.2 Has your HSE & A process been audited and approved by any recognised organisation within the past 2 years? Yes  No
- 3.2.1 If so, please provide the name of auditing company, date and standard you have been approved to? \_\_\_\_\_
- 3.3 Is this HSE & A policy known by all employees? Yes  No
- 3.4 Is an organisational chart or other means of defining and communicating authority and responsibility within the organisation available? Yes  No
- 3.5 Is there a management representative for HSE & A issues? Yes  No
- 3.5.1 Name: \_\_\_\_\_ Title: \_\_\_\_\_
- 3.6 Does a defined system exist for communicating customer requirements between departments? Yes  No
- 3.7 Are management reviews of the quality management system held? Yes  No
- 3.8 Are management reviews record maintained? Yes  No
- 3.9 When necessary, are formal corrective actions defined, implemented, verified and closed out as a result of these reviews? Yes  No
- 3.10 Does the organisation have an effective means to measure customer satisfaction? Yes  No
- 3.11 Do HSE & A personnel have the authority to stop operation for cause? Yes  No

Comments: \_\_\_\_\_

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- 3.12 Does your company have a Safety Management Interface Document with EnQuest? Yes  No
- 3.12.1 If so, how has the content of this document been communicated to your workforce? \_\_\_\_\_
- 3.13 Is your company's Environmental Management System certified against ISO 14001 Standard? Yes  No
- 3.14 What are the company environmental objectives as part of the Environmental Management System, and do you do anything beyond Environmental Legal Compliance (e.g. the minimum requirements)? Yes  No
- 3.15 If applicable, how does the company identify, inspect and maintain Environmental Critical Equipment? Yes  No
- 3.16 Has your company suffered any statutory notifiable environmental incident in the past year? If so, please provide details. Yes  No

Comments: \_\_\_\_\_

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## 4.0 HSE&A RESPONSIBILITY AND AUTHORITY

- 4.1 Does the department responsible for HSE&A report directly to the Head of organisation? Yes  No
- 4.2 Does the department responsible for Quality have the authority to control further processing and delivery of products and services until the unsatisfactory condition has been corrected? Yes  No

Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

## 5.0 CONTRACT REVIEW

- 5.1 Are all customer contracts / purchase orders reviewed prior to start of work? Yes  No
- 5.2 Is the department responsible for HSE & A involved in this review? Yes  No
- 5.3 If a problem arises which may impact the quality, quantity, or delivery of the contract, is the customer notified? Yes  No
- 5.4 Are operations suspended until written response is obtained from customer? Yes  No

Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

## 6.0 INTERNAL AUDITS AND CONTROL OF RECORDS

- 6.1 Are internal audits or self-assessments performed with results documented and reported to management? Yes  No
- 6.2 Are records of internal audits kept? Yes  No
- 6.3 Are the retention periods of the records specified? Yes  No
- 6.4 Are records adequately protected against damage or accidental destruction? Yes  No
- 6.5 Are procedures defined to determine the responsibility for record disposition post retention period? Yes  No

Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

## 7.0 DOCUMENTS CONTROL

- 7.1 Are there procedures related to the control of documents? Yes  No
- 7.2 Do these procedures contain facility for document review, update and approval? Yes  No
- 7.3 Is there a system in place for document revision identification? Yes  No
- 7.4 Are documents available at the Office? Yes  No
- 7.5 Is there a process in place to preclude the unintended use of obsolete documents? Yes  No
- 7.6 Are revision histories posted with the documents? Yes  No
- 7.7 Is the distribution of documents of internal and external origin controlled? (Standards, customer drawings, etc.) Yes  No
- 7.8 When external documents are used in the Office, are there procedures in place to ensure that the latest revision is available? Yes  No

Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

## 8.0 COMPETENCY AND TRAINING MANAGEMENT

- 8.1 Have minimum competency requirements been established? Yes  No
- 8.2 Is training, education and work experience for personnel documented? Yes  No
- 8.3 Are there formal training programs for individuals whose work has a direct effect on quality? Yes  No
- 8.4 Are validation records for process or service provision available? Yes  No
- 8.5 Is the organisation's production equipment on a scheduled maintenance program? Yes  No
- 8.6 Are planned maintenance shutdowns addressed in production scheduling? Yes  No
- 8.7 Is maintenance and repair work conducted in accordance with documented procedures? Yes  No
- 8.8 Are maintenance and repair work documented and records up to date? Yes  No
- 8.9 Where you supply to EnQuest personnel in positions identified as minimum positions for Competency Assessments as specified in the Oil and Gas UK Guidelines, please provide evidence of such assessments. Have you provided evidence as an attachment? Yes  No

Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

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8.10 Please also explain how you ensure that the competency and training are up to date and meet the required standard.

Please add the detailed explanation as an attachment, where necessary.

Explanation: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

8.11 Please also provide a copy of the competency matrix (record) for personnel deployed at all EnQuest Platforms and Modules.

Have you provided the copy as an attachment? Yes  No

Explanation: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**9.0 CONTRACT AND ORDER REVIEW**

9.1 Is there a documented procedure in place for Purchase order and contract review to ensure customer requirements are met? Yes  No

9.2 Do the procedures include a clear means for communicating to the customer any build or specification issues? Yes  No

9.3 Are these procedures always followed? Yes  No

9.4 Are exceptions to contract requirements resolved before acceptance of a contract? Yes  No

9.5 Are order and contract reviews documented? Yes  No

9.6 Is there a procedure in place for communicating changes to a customer order among affected departments? Yes  No

9.7 Is there a procedure in place for communicating product changes to the customer which may affect operation, obsolescence or safety? Yes  No

Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_



## 10.0 INSPECTION TESTING AND VERIFICATION

- 10.1 Do supplied materials and components undergo inspection, test or other means of verification upon receipt? Yes  No
- 10.2 Are procedures documented and implemented for incoming materials inspections all the time? Yes  No
- 10.3 Is the system designed to prevent the incorporation of uninspected materials into equipment or processes under most circumstances? Yes  No
- 10.4 Are inspection processes and test procedures in written form? Yes  No
- 10.5 When required by contract, does the organisation control the implementation of customer's procedures? Yes  No
- 10.6 Is the inspection status of the product readily apparent? Yes  No
- 10.7 Has the organisation documented and implemented final test and inspection procedures? Yes  No
- 10.8 Are all tests and inspections documented and records maintained, including nonconforming results? Yes  No
- 10.9 Is the organisation's quality management system designed to prevent the final release of un-inspected equipment or processes under most circumstances? Yes  No

Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

## 11.0 PROCEDURAL CONTROLS

- 11.1 Are the following process controls available?: Yes  No
- Development of personnel with essential and documented training or qualifications and certifications. Yes  No
- Adequate equipment. Yes  No
- Controlled working environment. Yes  No
- Defined acceptable and unacceptable work standards. Yes  No
- Issuance of and compliance with work instructions, procedures, specifications and drawings. Yes  No
- Monitoring of process compliance with procedures. Yes  No

Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

## 12.0 CUSTOMER OWNED PROPERTY

- 12.1 Is there process in place to identify customer property? Yes  No
- 12.2 Are there adequate facilities available to store and protect customer property? Yes  No
- 12.3 Are records maintained of reporting lost, damaged or unacceptable materials to the customer who supplied them? Yes  No

Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

## 13.0 CONTROL OF NON-CONFORMING EQUIPMENT

- 13.1 Are there documented procedures for the control of nonconforming products? Yes  No
- 13.2 Do the procedures call for the identification, documentation, evaluation and handling of the nonconforming product? Yes  No
- 13.3 Are these procedures implemented? Yes  No
- 13.4 **Do all customers generate NCRs reviewed by the HSE & A department?** Yes  No
- 13.5 Does the organisation have an effective system for communicating NCR (Non Conformance Report) status with the customer? Yes  No
- 13.6 Are instances of nonconforming product documented? Yes  No
- 13.7 Are reworked items reinspected and retested? Yes  No
- 13.8 Are records of any reinspection maintained and available? Yes  No
- 13.9 Are NCR investigated and actions shared with customers? Yes  No

Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

## 14.0 REMEDIAL AND PREVENTIVE ACTION

- 14.1 Are there documented procedures for investigating and implementing corrective actions to prevent recurrence of non-conformance? Yes  No
- 14.2 Are all non-conformances subjected to these procedures? Yes  No
- 14.3 Are records of corrective actions maintained and shared? Yes  No
- 14.4 Are records of preventive actions available? Yes  No
- 14.5 Does the organisation have an effective means of measuring continual improvement? Yes  No
- 14.6 Are corrective action plans reviewed by senior management before their implementation? Yes  No
- 14.7 Is the progress of corrective/preventive action monitored? Yes  No

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14.8 Are corrective/preventive actions reviewed for effectiveness when completed? Yes  No

14.9 Are effective corrective/preventive actions reflected in revised procedures? Yes  No

Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

## 15.0 SUPPLIER MANAGEMENT

15.1 Do you have a documented process for selecting and evaluating suppliers? Yes  No

15.2 Are supplier assessments and reviews documented and records maintained? Yes  No

15.3 Is there a list of approved suppliers maintained and available? Yes  No

15.4 Are purchases only made from approved suppliers? Yes  No

15.5 Is supplier performance periodically re-evaluated? Yes  No

15.6 Do suppliers go through formal pre-qualification process before placement of contracts or orders? Yes  No

15.7 Do you have a process for regular supplier audits and performance management? Yes  No

Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

## 16.0 WAREHOUSING, PACKAGING AND DELIVERY

16.1 Are there processes in place for handling, storing, packaging and protecting the product? Yes  No

16.2 Are materials handled in accordance with documented procedures? Yes  No

16.3 Are the procedures designed to protect the integrity of the handled material as well as personnel? Yes  No

16.4 Is appropriate handling equipment available as and when needed? Yes  No

16.5 Are storage areas and conditions appropriate to the nature of the goods held in them? Yes  No

16.6 Are inward and outward movements from warehouse areas controlled and properly authorized? Yes  No

16.7 Are components with limited shelf life audited and evaluated routinely? Yes  No

16.8 Are records of these audits maintained and available? Yes  No

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- 16.9 Are customer requirements for packaging reviewed and evaluated for adequacy? Yes  No
- 16.10 Does packaging, including identification, comply with all relevant statutory requirements? Yes  No
- 16.11 Are delivery methods evaluated to ensure that they preserve the quality of the supplied items? Yes  No
- 16.12 Is product quality preserved between final test and inspection and acceptance by the customer? Yes  No

Comments: \_\_\_\_\_

\_\_\_\_\_

## 17.0 ANTI-CORRUPTION AND BRIBERY

- 17.1 Does your company have a regularly monitored anti-corruption code of conduct documenting your anti-corruption and bribery policies and procedures? Yes  No
- 17.2 Is this anti-corruption code of conduct known and acted upon by all employees of your company? Yes  No
- 17.3 Is this anti-corruption code of conduct publicised internally and externally? Yes  No
- 17.4 Does your company carry out documented risk assessments of its potential exposure to corruption and bribery? Yes  No
- 17.5 Does your company apply due diligence procedures for persons who perform or will perform services for or on behalf of the organisation, to mitigate identified bribery risks? Yes  No

Comments: \_\_\_\_\_

\_\_\_\_\_

## 18.0 COMPLIANCE WITH MODERN SLAVERY LEGISLATION

- 18.1 Is your company required by section 54 of the Modern Slavery Act to produce an annual statement setting out the steps that have been taken to ensure your company and supply chains are slavery free? Yes  No
- 18.2 Does your company have a policy on modern slavery and human trafficking? (this may form part of your company's wider CSR policy) Yes  No
- 18.3 Does your company carry out documented risk assessments of its business and supply chain to ensure continuous compliance with relevant statutory requirements? Yes  No

## Supplier Self-Assessment Questionnaire

Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

### LIST OF DOCUMENTS REQUIRED

Copy of your HSE & A Policy	<input type="checkbox"/>
Copy of your training, qualification and work experience for personnel	<input type="checkbox"/>
Copy of the competency matrix (record) for personnel deployed at all EnQuest Platforms and Modules	<input type="checkbox"/>
Copy of your documented procedures for investigating, planning and implementing corrective actions to prevent recurrence of non-conformance	<input type="checkbox"/>
Copy of your incident investigation process	<input type="checkbox"/>
Copy of your incident investigation form	<input type="checkbox"/>
Copy of your anti-corruption code of conduct	<input type="checkbox"/>
Copy of your statement complying with section 54 of the Modern Slavery Act 2015, if applicable	<input type="checkbox"/>

## CONCLUSION

This area is for EnQuest internal use only.

Reviewed by: \_\_\_\_\_

Date: \_\_\_\_\_

Reviewed by: \_\_\_\_\_

Date: \_\_\_\_\_

Reviewed by: \_\_\_\_\_

Date: \_\_\_\_\_

**Status**

**Completion Date**

**Attachments**

APPROVED \_\_\_\_\_

\_\_\_\_\_

Yes  No

CONDITIONALLY APPROVED \_\_\_\_\_

\_\_\_\_\_

Yes  No

CORRECTIVE ACTION

\_\_\_\_\_

Yes  No

REQUESTED \_\_\_\_\_

\_\_\_\_\_

Yes  No

NOT-APPROVED \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_