SUPPLY CHAIN

ENQ-COR-CS-FOR-00001

Supplier Self-Assessment Questionnaire

APPLICABILITY:

Document Owner	Supply Chain Manager				
Legacy Number					
Revision	C3	**Issue Date**	02/02/2022	**Next Review Date**	N/A

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Revision History

Rev	Reason for Issue	Created By	Job Title	DD	MM	YYYY
C1	First issue on BMS	C. Taylor	Supply Chain Analyst	08	01	2018
C2	Updated to give credit for key certifications	C. Taylor	Business Services Coordinator	04	05	2021
C3	Updated to include sections on D&I and GDPR	C. Taylor	Business Services Coordinator	02	02	2022

Revision Change Notices

Rev	Location of Changes	Brief Description of Changes
C2	**Throughout**	**Tidy up and reduced input if suppliers has key ISO certifications**
C3	**Section 19** **Section 20**	**Addition of GDPR section** **Addition of equality, diversity, inclusion and wellbeing section**

CONTENTS

1.0 Company Information

Company name:

Company address:

Number of years in business: Number of employees:

Contact phone number: Contact email contact:

Name EnQuest Account Representative: Title:

Survey completed by: Title:

Describe the Products or Services provided to EnQuest:

2.0 Management System Registration

Is your management system certified? If so please provide details below.   Yes ☐   No ☐
(Attach any certificate with the submission)

System: Certification No.   Expiration date:

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Comments, including scope of certification:

3.0 Health, Safety, Environment and Assurance

<mark>If you are certified to ISO 45001, 14001 & 9001 please go directly and complete from section 16 onwards.</mark>

3.1	Does your company have a documented HSE & A Policy?	Yes ☐	No ☐
3.2	Has the company management system been audited and approved by an independent body within the past 2 years? If yes, please provide details - name company, date and standard. Details:	Yes ☐	No ☐
3.3	Has the HSE & A policy been communicated to 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? Name: Title:	Yes ☐	No ☐
3.6	Does a defined system exist for communicating customer requirements between departments?	Yes ☐	No ☐
3.7	Are management reviews of the business management system held and records maintained?	Yes ☐	No ☐
3.9	Are formal corrective actions defined, and reviewed as a result of Management Review?	Yes ☐	No ☐
3.10	Does the organisation have a defined process 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? If so, how has this this been communicated to your workforce?	Yes ☐	No ☐
3.14	What are the company environmental objectives 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 invident 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:_____
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5.0   Contract Review

5.1   Are all customer contracts / purchase orders reviewed prior to start of work?   Yes ☐   No ☐

5.2   Is the HSE & A department 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:_____

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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:_____

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7.0   Document Control

7.1   Is there a process related to the control of documents?   Yes ☐   No ☐

7.2   Does this process 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   Is there a process in place to preclude the unintended use of obsolete documents?   Yes ☐   No ☐

7.5   Is the distribution of documents of internal and external origin controlled? (Standards, customer drawings, etc.)   Yes ☐   No ☐

7.6   Are external documents controlled? If so how is it ensured the latest revision is available?   Yes ☐   No ☐

Comments:_____

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8.0   Competency and Training

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 For personnel provided in positions identified as minimum positions for Competency Assessments (as per Oil and Gas UK Guidelines).
Have you provided evidence of such assessments as an attachment? Yes ☐ No ☐

Comments:
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8.5 Please also explain how you ensure competency and training are up to date and meet the required standard.
Please add the detailed explanation as an attachment, where necessary.

Explanation:
_____

8.6 Please also provide a copy of the competency matrix (record) for personnel deployed at EnQuest Assets / Sites or Offices.
Have you provided the copy as an attachment? Yes ☐ No ☐

9.0 Contract and Order Review

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

9.2 Do this process include a clear means for communicating to the customer any build or specification issues? 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 process for communicating changes to a customer order among affected departments? Yes ☐ No ☐

9.7 Is there a process for communicating changes to the customer which may affect operation, obsolescence or safety? Yes ☐ No ☐

Comments:
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10.0 Maintenance

10.1 Are validation records for process or service provision available? Yes ☐ No ☐

10.2 Is the organisation's production equipment on a scheduled maintenance program? Yes ☐ No ☐

10.3 Are planned maintenance shutdowns addressed in production scheduling? Yes ☐ No ☐

10.4 Is maintenance and repair work conducted in accordance with documented procedures? Yes ☐ No ☐

10.5 Are maintenance and repair work documented and records up to date? Yes ☐ No ☐

11.0 Inspection, Testing and Verification

11.1 Do supplied materials and components undergo inspection, test or other means of verification upon receipt? Yes ☐ No ☐

11.2	Are processes defined and implemented for incoming materials inspections?	Yes ☐ No ☐
11.3	Does the process prevent uninspected materials being incorporated into equipment or processes?	Yes ☐ No ☐
11.4	Are inspection processes and test procedures defined clearly?	Yes ☐ No ☐
11.5	When required by contract, does the organisation control the implementation of customer's procedures?	Yes ☐ No ☐
11.6	Is the inspection status of the product readily apparent?	Yes ☐ No ☐
11.7	Has the organisation documented and implemented final test and inspection procedures?	Yes ☐ No ☐
11.8	Are all tests and inspections documented and records maintained, including results of non-conformance?	Yes ☐ No ☐
11.9	Does the business management system prevent the final release of un-inspected equipment or processes?	Yes ☐ No ☐

Comments:_____
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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:_____
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13.0 Non-Conformances

13.1	Is there a documented process for the control of non-conforming products?	Yes ☐ No ☐
13.2	Does the process require the identification, documentation, evaluation and handling of the non-conforming product?	Yes ☐ No ☐
13.4	Are instances of nonconforming product documented?	Yes ☐ No ☐
13.5	Are reworked items re-inspected and retested?	Yes ☐ No ☐
13.6	Are records of any re-inspection maintained and available?	Yes ☐ No ☐

Comments:_____
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14.0 Remedial and Preventive Action

14.1	Is there a process for investigating and implementing corrective actions to prevent recurrence of non-conformance?	Yes ☐ No ☐
14.2	Are all non-conformances subjected to this process?	Yes ☐ No ☐
14.3	Are records of corrective actions maintained and shared?	Yes ☐ No ☐
14.4	Are NCRs investigated and actions shared with customers?	Yes ☐ No ☐

14.5   Is the progress of corrective/preventive action monitored?   Yes ☐   No ☐

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

14.7   Are records of preventive actions available?   Yes ☐   No ☐

14.8   Does the HSE & A department review all Corrective and Preventive actions including customer generated Non-Conformance Reports (NCRs)?   Yes ☐   No ☐

14.9   Does the organisation have an effective means of measuring continual improvement?   Yes ☐   No ☐

Comments:

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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:

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16.0   Warehouse, 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 ☐

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:_____

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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:

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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 ☐

Comments:

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19.0 GDPR

19.1	Please confirm that you hold or process data of any kind on behalf of the Data Controller.	Yes ☐ No ☐
19.2	Are you required to maintain documented records for processing activities you carry out? This includes back-up and retained data	Yes ☐ No ☐
19.3	Do you maintain documented records for processing activities you carry out? Do you (or any sub-processors) process data on behalf of the Data Controller anywhere outside the EU/EEA?	Yes ☐ No ☐
19.4	Do you have any relevant security certifications that your organisation holds? If Yes, submit copies of the certificate.	Yes ☐ No ☐
19.5	Do you have a Data Protection policy in place to mitigate risks to personal data?	Yes ☐ No ☐
19.6	When personal data is no longer required for processing, do you delete or return all personal data?	Yes ☐ No ☐
19.7	Do you collect personal data from the data subjects on behalf of the Data Controller? When collecting data from the data subjects, do you ensure that there is an appropriate legal basis for collection? Appropriate lawful bases for data collection are: consent, contractual agreement, legal obligation, vital interests, public interest, or legitimate interest. See ICO's guidance on lawful basis for processing.	Yes ☐ No ☐
19.8	Do you have a process for: erasing personal data when requested by the Data Subject?	Yes ☐ No ☐
19.9	Do you inform all EU based citizens when collecting their personal data? (i.e. via website, privacy notice, statement, etc).	Yes ☐ No ☐
19.10	Does your organisation have a tested and documented incident response plan and breach notification that meets the GDPR's 72-hour notification requirement?	Yes ☐ No ☐
19.11	Does your organisation have offices outside the EU/EEA?	Yes ☐ No ☐
19.12	Does your organisation have a Data Protection Officer (DPO)? A DPO is required for organisations in the following cases: - You are a public authority or body - Your primary business activities consist of processing activities, which, by virtue of their nature, scope and/or their purposes, require the regular and systematic monitoring of individuals on a large scale (e.g. tracking/ profiling/behavioural advertising) - Your primary business activities consist of processing on a large scale of special category data, or data relating to criminal convictions and offences	Yes ☐ No ☐

20.0 Equality, Diversity, Inclusion and Well Being

20.1   Do you have a corporate Diversity & Inclusion Policy and / or Strategy or similar? If so please provide

20.2   Provide information on most recent gender pay gap data, and a plan to reduce if a gap does exist?

20.3   Is your organisation a member of any groups that promote diversity and inclusion practises – such as AXIS Network, AFBE (Association for Black and Ethnic Minority Engineers)?

20.4   Does your company have any Employee Resources Groups (ERGs) that support the workforce in specific areas – wellbeing, diversity and inclusion etc if so please provide an overview.

20.5   What benefits does your company provide employees to help with their overall well being? For example – private health car, employee assistance program, mindfulness sessions etc.

20.6   Do you have a names Diversity and Inclusion Leader for your company?

20.7   Do you have a non-discrimination or equal opportunity statement in your organisation?

20.8   Do you have any corporate goals and metrics on diversity hiring?

20.9   Do you have any corporate goals and metrics in promotion and executive appointments?

20.10   Please provide the gender and ethnicity split of your board of directors

20.11   Please provide the gender and ethnicity split of your management

20.12   Please provide the gender and ethnicity split of your overall employees

20.13   Do you provide any diversity, equality and inclusion training programs to your employees?

20.14   Have you received any industry awards, or recognition in the last 5 years for diversity and inclusion, or work place engagement?

20.15   Are you a certified diverse-owned enterprise?

21.0 Required Documents

		See Appendix
Attached details of any legal or regulatory notifiable events, including Health and Safety prohibition, improvement notices or Environmental events in the past five years.	☐	
Copy of any relevant certifications (e.g. ISO 45001, 9001, 14001 etc.)	☐	
Copy of your HSE & Q Policy	☐	
Key HSE&A statistics for last 5 years.	☐	
Provide details of each of your HSEA objectives. Including any plans to improve Environmental performance and progress for zero carbon		
Copy of company organisation chart, showing key contract contacts	☐	
Copy of your training, qualification and work experience for key contract personnel	☐	
Copy of the competency matrix (record) for personnel to be deployed at EnQuest Assets, Sites or offices.	☐	
Copy of your documented procedures for investigations, corrective action, non-conformance and risk management	☐	
Copy of your anti-corruption code of conduct	☐	
Copy of your statement complying with section 54 of the Modern Slavery Act 2015, if applicable	☐	
Copy of relevant data relevant security certifications	☐	
Copy of Diversity and Inclusion Policy and / or Strategy	☐	

Supplier Self-Assessment Questionnaire

Decision

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_____		

Is an Interface Document required? If required, justify here:	Yes ☐ No ☐

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