



AzSPU Integrated Self-Assurance Plan

AzSPU-HSSE-DOC-00071-2

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1 Purpose / Scope

The purpose of this document is to outline the processes in place to provide an independent, comprehensive and consistent approach to AzSPU managed self-assurance programme carried out across the operating area and facilities.

The scope of the integrated self-assurance programme has been expanded (from purely ISO 14001 environmental management system audits) to include the following:

- **AzSPU Management System audits** – evaluate the effectiveness of a AzSPU Operating Areas' management programs in assuring sustained conformance with operating requirements (OMS, ISO 14001 etc.) Management Programmes are typically coordinated at the AzSPU level and audited at that level, through the elements of management programs may operate and be audited at the facility level. Conducted by qualified, objective, and independent auditors, to assess conformance with management system requirements.
- **AzSPU Operating Programme audits** evaluates the effectiveness of operating programs in managing risk and assuring compliance (e.g. Control of work program, waste management etc.) All operations program are within the scope of AzSPU assurance activities. Risk assessments and other relevant information are used to prioritize audit activities.

AzSPU expects to conduct one management system audit per year at each operating facility and operating program audit at least every three years. Operating Program audit frequency is dependent on the identification of high risk issues (External Audit and Self-Assurance Program Overview ([AzSPU-HSSE-DOC-00035-2](#))).

Operating area and facilities included within the scope of the 2010 AzSPU Self-Assurance programme are detailed in Table 1. Two rounds of internal audits are currently scheduled for 2010, during February and August.

It should be noted that internal AzSPU managed contractor audits are excluded from the scope of this procedure as they are covered in detail in the AzSPU Contractor HSE Audit Procedure ([AzSPU-HSSE-DOC-00142-2](#)).

2 Definitions

Refer to document AzSPU Definitions procedure ([AzSPU-HSSE-DOC-00021-2](#)) for definitions common to the AzSPU MS.

3 Specific Requirements

- OMS Essentials - 8.2 Assessment and Audit
- GG 8.2 -0001 BP Group Guide for Self Audit Programme
- ISO 14001: 2004 – 4.5.1 Monitoring and Measurement
- ISO 14001: 2004 – 4.5.2 Evaluation of Compliance
- ISO 14001:2004 – 4.5.5 Internal Audit
- OHSAS 18001: 2007 – 4.5.1 Performance Measurement and Monitoring
- OHSAS 18001: 2007 – 4.5.2 Evaluation of Compliance
- OHSAS 18001: 2007 – 4.5.5 Audit
- ISO 19011-2002 Guidelines for Quality and/or environmental management system auditing
- GDP 4.5-0001 BP Group Defined Practice for Control of Work – Element 3.10:

Table 1 – AzSPU operating area and facilities included within the scope of 2010 AzSPU managed integrated self-assurance programme

Performance Unit (PU)	Operating area	Facility	Description
Midstream	Sangachal Terminal	CWAA Sangachal	Sangachal Central Waste Accumulation Area (CWAA)
		CWAA SPS	SPS Central Waste Accumulation Area (CWAA)
		Sangachal Terminal	Sangachal Terminal is the onshore storage and processing facility for hydrocarbon product received from the offshore Azeri, Chirag, Gunashli (ACG) and Shah Deniz (SD) Contract Area platforms. It also has facilities associated with the Baku-Tbilisi-Ceyhan pipeline (oil) and South Caucasus Pipeline (gas).
Operations	Logistics	Logistics Facilities	Supply Base, Marine Operations (facilities including supply vessels and helicopters supporting offshore production platforms), Diesel tank farm and mud plant, Helicopter / aviation base
	Azeri, Chirag, Guneshli	CA&CWP	Central Azeri PDQ platform and C&WP
		EA	East Azeri platform
		DWG	Phase 3 Deep Water Gunashli PDQ bridge linked to a compression and water injection platform (C&WP)
		WA	West Azeri PDQ platform
Dilling	Semi Sub Drilling	SD Alpha	Shah Deniz Alpha Gas Production Platform
		Istiglal	BP Management of Istiglal rig drilling operations
		DDGG	BP Management of DDGG rig drilling operations

4 Key Responsibilities

Refer to AzSPU procedure for External Audit and Self Assurance Programme [AzSPU-HSSE-DOC-00035-2](#) for key roles & responsibilities common to this subject

5 Procedure

External consultants may be contracted to act as the Lead Auditors for operating programme audits, in order to drive implementation of an integrated approach to self-assurance programme across AzSPU operations. The benefits of this approach are:

Expertise: The consultants selected will be qualified on the specific subject, with extensive global experience of BP Operations. The Lead Auditors will be expected to support the further professional development of the audit team members.

Independence: Recruitment of Lead Auditors will be conducted so as to ensure compliance with the External Audit and Self-Assurance Program Overview Procedure ([AzSPU-HSSE-DOC-00035-2](#)) which states:

'the Auditors must be objective, which means they are independent of the audit site and/or activity to be audited, do not have a conflict of interest, and are not subject to pressure (internal or external) to influence their audit findings' (5.3.1 Audit Team Selection).

Consistency: The audit process will be managed by a core team including the HSE MS Team & Lead Auditors. The core team will work closely with Operating Area HSSE Managers. This will allow a consistent approach to be taken in order to evaluate conformance / compliance across operating areas, report performance, and follow up on non-conformances / non-compliances. This approach is intended to reduce the frequency and duration of external surveillance audits.

Optimisation: A core team operating across all operating areas can identify opportunities for improving the efficiency of the audit process e.g. by consolidating MS, and operating programme audits to reduce auditing time, cost and operational impacts.

5.1 Reporting Formats

Standardized reporting formats will be used to ensure a consistent and comprehensive approach to the audits. The following will be used during the 2010 audits:

Audit Notification (if appropriate):

See Appendix 1. The purpose of the audit notification is to:

- Define the purpose of the audit.
- Define the physical scope (i.e. the facilities and sites to be included).
- Define the technical scope (e.g. the specific ISO clauses / environmental aspects to be included).
- Detail the proposed timing and duration of the audit.

- Identify logistical requirements including H&S and travel plans, local management access approval and local logistics contacts.
- List the audit team members.
- List key personnel to be interviewed.
- Outline the agenda for audit opening and closing meetings.

Audit Proforma:

The Audit Report Proforma ([AzSPU-HSSE-DOC-00035-A1](#)) is appended to the AzSPU External Audit and Self-Assurance Programme Overview ([AzSPU-HSSE-DOC-00035-2](#)).

The purpose of the audit proforma is to:

- Provide a unified approach to presenting the audit findings.
- Include recommendations for improving HSSE&S management and identify opportunities for further integration of the MS, as appropriate.

The same audit proforma will be used for management system, and operating programme audit findings, unless requested otherwise by AzSPU / Operating area personnel. Tables can be repeated in the proforma if the intention is to present all audit findings in one integrated report.

5.2 Sampling

Management System Audits

One of the main focuses for the MS audits will be verifying that the required ISO 14001 management system elements (e.g. aspects identification, management review etc.) have been established in accordance with the AzSPU Tier 2 MS procedures and that they are functioning effectively. As part of this, a checklist demonstrating evidence of compliance to all elements of the ISO 14001 standard (the ISO 14001 Environmental Management System Requirements Checklist [AzSPU-HSSE-DOC-00101-2](#)) will be completed and embedded in the audit report, along with corroboratory statements in the audit report summary.

The selection of specific environmental and social aspects / H&S hazards for more detailed audit review will be selected based on the perceived level of risk. This will be determined following a review of the coverage of Operating area / facility level inspections, Aspects & Impacts Registers, and HSE Risk Matrices.

The Audit Notification will clearly define the proposed physical and technical scope of the audit and operating area representatives will have opportunity to provide feedback prior to the audit.

Operating Programme Audits

As part of the audit scope and schedule development process, risk assessments and other relevant information are used to prioritize audit activities. The Risk Prioritization Report may be issued which identifies the highest priority areas for compliance planning. Risk Assessment process and prioritization the risks will be in accordance with AzSPU Practice for Assessment, Prioritization and Management of Risk ([AZSPU-HSSE-DOC-00252-2](#)).

Operating Programme audits will be conducted to check the effectiveness of operating program in managing risk and assuring compliance.

5.3 Document Control

Documentation resulting from the self-assurance programme will be uploaded to dK Documentum by the AzSPU HSSE MS Document Co-ordinator.

5.4 Schedule

Two main rounds of self-assurance programme are proposed for 2010, as outlined in the AzSPU External Audit and Integrated Self-Assurance Plan ([AzSPU-HSSE-DOC-00067-2](#)). More detailed schedules for the February and August audits will be provided in the Detailed Audit Plan for each round of internal audits.

6 Key Documents/Tools/References

- AzSPU External Audit and Integrated Self-Assurance Schedule ([AzSPU-HSSE-DOC-00067-2](#)).
- AzSPU External Audit and Self-Assurance Programme Overview ([AzSPU-HSSE-DOC-00035-2](#)).
- AzSPU Audit Report Proforma ([AzSPU-HSSE-DOC-00035-A1](#)).
- AzSPU HSSE&S Non-compliance and Corrective Action Procedure ([AzSPU-HSSE-DOC-00040-2](#)).
- Lead Auditor Terms of Reference – Integrated Self-Assurance Programme – HSSE Management System Audit ([AzSPU-HSSE-DOC-00191-2](#)).
- AzSPU Contractor HSE Audit Procedure ([AzSPU-HSSE-DOC-00142-2](#)).
- ISO 14001 Environmental Management System Requirements Checklist ([AzSPU-HSSE-DOC-00101-2](#)).
- AzSPU Practice for Assessment, Prioritization and Management of Risk ([AzSPU-HSSE-DOC-00252-2](#)).

Review / Revision Log

Revision Date	Authority	Custodian	Revision Details
08 April 2006	Gunther Newcombe	Yuliy Zaytsev	Initial Issue
01 May 2007	Yuliy Zaytsev	Rebecca Heath	Procedure updated to reflect internal management system audit plans for 2007. Format of procedure revised in line with rest of AzSPU Tier 2 procedures. Reporting Formats updated. Schedule removed and cross reference provided to AzSPU MS Audit Schedule to avoid duplication of effort during subsequent updating.
23 May, 2008	Yuliy Zaytsev (AzSPU HSSE MS & Compliance Manager)	Rebecca Heath (AzSPU HSSE MS Senior Advisor)	Procedure updated to take into account inclusion of compliance and subject matter audits into the AzSPU Integrated Internal Audit Plan. Reference to AzSPU Contractor HSE Audit Procedure and Central Health and Safety Assurance Schedule for 2008 added. Table 1 updated to reflect AzSPU organisational changes. Appendix 2: Non-conformity Note / Corrective Action Request Form removed from procedure. AzSPU HSSE&S Non-compliance and Corrective Action Procedure (AzSPU-HSSE-DOC-00040-2) states that

			<p>non-conformances / non-compliances are recorded in Tr@ction or local Action Tracking System. No requirement for an additional form to report this information.</p> <p>Requirement for checklist demonstrating evidence of compliance to all elements of the ISO 14001 standard to be included in the audit report added (in response to a November 2007 ISO 14001 external audit finding).</p>
04 May, 2009	Yuliy Zaytsev (Safety & Compliance Systems Manager)	Idrak Nazarov (AzSPU HSE MS Team Leader)	<p>- 'April' was replaced with February internal audits as the period for 1st round of audits has been already changed.</p> <p>-References to Terms of References for the audits planned for 2009 were added.</p> <p>-Table 1 was updated based on new AzSPU HSE MS Org Structure to reflect 2009 planned internal audits</p> <p>-Section 5 was revised to state that External consultant may be contracted to act as Lead Auditor for Compliance and Subject matter audits (EMS has been taken out as it is leaded by internal resources)</p> <p>-(para 1) Reference to Health & Safety Assurance Plan was deleted as it is not currently in use</p> <p>-(para 5.1) 'Note' has been added to mention the possibility of sending it by e-mail.</p> <p>-(Appendix 1) The title of Audit Notification form was left as blank to allow using it for all types of internal audits</p>
15 February, 2010	Yuliy Zaytsev (Safety & Compliance Manager)	Idrak Nazarov (AzSPU HSE MS Team Leader)	<ul style="list-style-type: none"> - The procedue was revised to reflect the changes recently made in the External Audit and Self-Assurance Program AZSPU-HSSE-DOC-00035-2 in accordance with GG 8.2-0001 Group Guide for Self Audit Programmes - Roles & Resposnsibilities and references within the procedure were updated accordingly - Audit Notification form was deleted as it is not in use