

JQS Audit finding list

Supplier name:	Well Expertise AS
Audit date:	15.06.2021

Executive summary of findings

Table 1 – List of findings

No	Ref to item in Capability assessment	Findings
1.	3.2 Resources and capability	Observation: HSE and Quality managers have documented competence within respective disciplines. However, CEO cannot document HSE competence according to legislative requirements. It is not verified that the supplier is actively involving its sub-suppliers in its HSE and Quality training programmes. Additional training to address any gaps or risk identified as part of continuously improvement is not verified, e.g., Human rights management training is not included in the training program.
2.	3.4 Supplier management	Observation: Criteria for selection and approval of suppliers are not defined.
3.	4.1 Stakeholders and customers	Finding: Relevant stakeholders are identified. Human rights elements are not included in the assessment.
4.	5.1 Risk management	Finding: The risk processes do not cover all relevant OMS elements, ref to findings in 5.2, 5.3, 5.4, 5.5 and 5.6.
5.	5.2 Health risk management	Observation: Anonymous psychosocial working environment surveys are not conducted.
6.	5.5 Security risk management	Observation: GDPR analysis that cover all relevant issues is not documented (e.g., access control data).
7.	5.6 Human rights risk management	Finding: Human rights risk management program is partly established.
8.	9.2 Statistics	Observation: The incident reporting system does not facilitate systematic root cause analysis.
9.	9.4 HSE and Quality events and incidents investigation and follow-up	Finding: There is limited system for formally investigating HSE and Quality events/ incidents.
10.	9.5 Statutory notifiable incidents	Finding: A system to secure full compliance with statutory requirements for reporting (notification matrix) is not defined.
11.	10.1 Assurance process, including audits	Observation: Defined competence requirements for personnel performing audits and verifications are not verified.
12.	10.2 Management review and follow-up	Observation: Management review does not include assessment of human rights elements. Trend analysis from performed verification activities are not included in management review.
13.	(i) Certification of OMS	Observation: An assessment documenting compliance with ISO 45001 is not verified.
14.	(ii) Memberships of Associations	Finding: No involvement with HSE through industry or trade associations. Additional features to OMS are not verified.

Scores

Table 2 – Listing of scores

Items	Score in supplier's Capability assessment	Audited score	Symbol
Element 1: Commitment and accountability			
1.1 Commitment and accountability to OMS	B	B	
Element 2: HSE Policies, standards and objectives			
2.1 Policies, Standards and Objectives (PSO)	B	B	
Element 3: Organization, resources and capability			
3.1 Organisational Structure	B	B	
3.2 Resources and capability	A	B-	X
3.3 Competence assurance	A	A	
3.4 Supplier management	B	B-	X
Element 4: Stakeholders and customers			
4.1 Stakeholders and customers	B	C	X
Element 5: Risk assessment and control			
5.1 Risk management	A	C	X
5.2 Health risk management	B	B-	X
5.3 Safety risk management	A	A	
5.4 Environmental risk management	B	B	
5.5 Security risk management	B	B-	X
5.6 Human rights risk management	C	C	X
Element 6: Asset design and integrity			
6.1 Asset design and integrity	B	B	
Element 7: Plans and procedures			
7.1 Plans and procedures	B	B	
7.2 Contingency, emergency, crisis and continuity management	B	B	
Element 8: Execution of activities			
8.1 Execution and control of activities	A	A	
Element 9: Monitoring, reporting and learning			
9.1 Monitoring and learning	B	B	
9.2 Statistics	B	B-	X
9.3 HSE and Quality performance	B	B	
9.4 HSE and Quality events and incidents investigation and follow-up	B	C	X
9.5 Statutory notifiable incidents	B	C	X
Element 10: Assurance, review and improvement			
10.1 Assurance process, including audits	A	B-	X
10.2 Management review and follow-up	B	B-	X
Section A: HSE management - additional features			
(i) Certification of OMS	B	B-	X
(ii) Memberships of Associations	C	D	X

Explanation of symbols

The «X» symbol illustrates where the audit team has identified that the applicable score varies from the supplier's Capability assessment score.

Date: 16/6-21

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Lead Auditor: _____

