



## Filling instructions

The tabs “Shorebase and Units,” “1. HR”, “2. Suppliers”, “3. Assets”, “4. Integration”, “5. HSE”, and “6. Operations,” must be filled according to the instructions below:

### Shorebase Units:

Subitem “01. Chartered General Information” must be filled between lines 3 and 10 with the information of the company’s head office or branch, which can be audited by PEO-SONDAS, as well as the name of at least one reference Unit for audit.

Subitem “02. Maritime Unit” must be filled between lines 13 and 37 with the information of the reference drilling rig, which can be audited by PEO-SONDAS, as well as the name of at least one reference Unit for audit.



## Chartered and Maritime Unit Information

### 01. Chartered General Information

Company Name:	
Audited Shorebase:	
Audited Shorebase address:	
Period in which the Shorebase Audit was performed:	
Total time spent in audit:	
Names (areas) of the Auditors:	
Last audit date:	
Which rigs of the company will be audited:	

### 02. Rig General Information

Vessel abbreviation/name:	
IMO number:	
Registry Number:	
Rig flag:	
Period in which the Rig Audit was performed:	
Drilling rig location:	
Drilling rig availability date:	
Auditors embarkation date:	
Auditors disembarkation date:	
Total time spent in audit:	
Names (areas) of the Auditors:	
Operation at the time of the audit:	
Are hazardous products being handled?	
Type of drilling rig (DS, Anchored SS, or DP,...):	
Maximum water depth (m):	
Maximum drilling depth (m):	
Number of beds:	
Construction Year:	
Last upgrade year:	
Date the company took over the drilling rig:	
Date of the last DPC* control audit:	
Port of the last DPC* control audit:	
Classification Society Name:	
Class certificate validity date:	
Date of the last dry docking / repair credited in class:	

\* DPC - Brazilian Port State Control



## Score Criteria

### Criteria adopted for grade application:

Grade	Conformance	Focus on the evidence	Focus on the processes
10 (TEN)	Compliant	Requirement demonstrated without observable faults	Adequate process, with effectively controlled variation
7 (SEVEN)	Compliant/Non-compliant	Requirement demonstrated with specific faults	Adequate process, with ineffectively controlled variation
	In this case, if the requirement is compliant, an improvement opportunity will be generated, indicating the reason for the grade. If it's classified as non-compliant, grade 7 reduces the criticality classification in one level.		
3 (THREE)	Non-compliant	Requirement demonstrated with systemic faults	Inadequate process, with effectively controlled variation
0 (ZERO)	Non-compliant	Requirement not demonstrated	Inadequate process, with ineffectively controlled variation

### Classification of non-conformances criticality (NCC):

A	Critical - Critical non-conformance OBS.: Classification A is not provided in PEO-SONDAS audit verification list; however, if any critical non-conformance is detected that can result in a serious accident, the audit is interrupted and the contract inspector and company's representatives will be informed.
B	Severe - Severe non-conformance. The deadlines for settling this non-conformance will be evaluated in the action plan and monitored in the quality meetings by PETROBRAS.
C	Moderate - Moderate non-conformance. The deadlines for settling this non-conformance will be evaluated in the action plan and monitored in the quality meetings by PETROBRAS.
D	Mild - Mild non-conformance. The deadlines for settling this non-conformance will be evaluated in the action plan and monitored in the quality meetings by PETROBRAS.
E	Excellence criteria, it cannot generate a non-compliance. In case of deviations, an improvement opportunity will be pointed.

### Applicability

OP	The item will be verified in periodical audits
PQ	The item will be verified in pre-qualification audits
RE	The item will be verified in rig intake / receiving audits

According to the classification represented above, the non-conformances possibly observed should be classified in critical, severe, moderate, and mild, being:

#### Critical non-conformances:

Non-conformance that can generate severe and imminent risk to the people, environment, facility, or operations.

\* Petrobras must be immediately notified by the audit team.

#### Severe non-conformances:

- Lack of an Operational Safety Management System requirement;
- Relevant fault in complying with an Operational Safety Management System requirement, or HSE requirement;
- Non-conformances similar to those found in previous audits in the same facility;
- Systemic deviation, characterized by a set of deviations or similar deviations, which occur repetitively and frequently when complying with specific relevant requirement.

#### Moderate non-conformances:

- Partially or insufficiently compliance with an Operational Safety Management System requirement, or HSE requirement;
- A significant amount of mild faults when complying with a specific requirement of the Operational Safety Management System.

#### Mild non-conformances:

All of those that can be considered as deviation or isolated faults when complying with a HSE and process safety requirement, as long as it doesn't fit into the previous definitions;

NOTE: for purposes of the PEOSONDAS score, the analysis of the non-conformances handling will not be considered for this 2019 cycle. On the other cycles, the non-conformances handled in the previous cycles will be taken into consideration in the score and those raised in the current cycle (composition of the compliance percentage).



## Human Resources Management

No.	Requirement Code	Title	Requirement	Location	Applicability	Analysis		Type of Criteria	NCC	Guidelines	Documentation	Verification	Evidence collection	Evaluation criteria
						Docs.	In Loco							
<b>01. Chartered HR Management</b>														
1	GRHU0001C-2	Systematic for company's employees hiring process	The company should have a systematic that describes the employees hiring process.	Only in the Shorebase	RE, OP, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Analyze if the company's hiring systematic encompasses the verification of all documents necessary for the positions and if it presents any competitive differential.	Item 4.1 - ISO 30405:2016; Article 41. CLT(Law No. 7.855, dated 10/24/1989) Articles 46 to 50. LGPD (Law Nº 13.709 dated 08/14/2018)	1. Verify the entire hiring process in search of something that can differ from the standard. Besides, verify the basics documentation at the employees' form with at least the following documents: 2. Work record booklet, PIS Card (Brazilian specific document), Identity Card, CPF (Brazilian Social Security Number), Passport, Voter's Registration, Military Service Discharge Certificate, Proof of education fitted for the position, Police Clearance Certificates, Occupational Health Certificate (OHC), and others besides those required by contract. 3. Check if the company has a system or process that guarantees the confidentiality and security of the employee's personal data in the company's database, from hiring to termination. 4. (RE) Check the team hiring plan, if it is adequate in terms of quantity and deadlines, considering the training. Check if there is mapping and if the contracting process is suitable for this phase.	Standard record, just viewing the evidence, no need document copies. Be careful not to request documents with personal data from employees.	This requirement must be evaluated in relation to the hiring process or systematic. The good practices and process improvements are always encouraged.
2	GRHU0002E-2	Systematic for mapping the characteristics to the new positions or vacant positions	The company should have a systematic for elaborating the specific characteristics mapping for new positions or vacant positions (Potential Talents).	Only in the Shorebase	RE, OP	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	EX	E	Analyze how is the process in the company's systematic looking for specific talents for vacant or new positions.	Items 4.3.2, 4.3.3, 4.3.4, 4.3.5, 4.3.6, 4.4 - ISO 30405:2016.	1. Verify if the systematic encompasses the processes to search or mapping the talents among their own team, or if the criterion is to always search outside the company. 2. Verify, if applicable, the mapping method in the "Job Description," the qualification control and its updating.	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement must be evaluated in relation to the process that the company uses to search for and/or map specific talents to fill open or new vacancies.
3	GRHU0003E-0	Personnel recruiting planning for new business	The company should have a new professionals recruiting planning for new business.	Only in the Shorebase	RE, OP	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	EX	E	Analyze if the company is concerned with the workforce recruiting for new business and different clients. Moreover analyse which mechanisms are used to attract these professionals.	Items 4.1, 4.2 - ISO 30409:2016.	1. Verify if the company has differentials, methods, or characteristics that help attract the best professionals. 2. Verify how the company selects the employees. 3. Verify which are the techniques: traditional, behavioral, or group interviews. 4. Verify the "Job Description" mapping, systematic and/or procedures to attract qualified professionals. 5. Verify interviews findings looking for excellence in the hiring process.	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement must be evaluated in relation to the process that the company uses to plan and seek or map specific talents for new businesses.
4	GRHU0004C-2	New employees induction process	The company should have an induction process for new employees regarding the safety standards, management system, codes, and other information about the company.	Shorebase and Rig	RE, OP, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Observe the integration material and training registry for new employees.	Item 3.3.3.5 - RANP 43:2007 - Management Practice No. 3 - SGSO; Items 1.4.1, 1.4.4, and 1.6 - Regulatory Standard (NR-1); Items 9.3.5.3, 9.3.5.5, and 9.4.2 - Regulatory Standard (NR-9); Item 18.28.2 - Regulatory Standard (NR-18); Item No. 3.2.2.2 - RANP 46:2016 - SGIP.	Verify: 1. Security training records; 2. Guidelines records on the Code of Ethics and Conduct; 3. Records showing that new employees are informed about the grievance channel; 4. (RE) Strategy for inducting new employees before starting operations. It should consider different strategies in the case of multiple new hires in the same crew, aiming at guaranteeing safety and disseminating safety culture.	Request a copy of the onboard material to attach to the audit report	This requirement will assess the content of onboard training for new employees and tracking records for that training.
5	GRHU0005C-2	Human Resources (HR)/Personnel Department (PD) legal requirements verification systematic	The company should have a systematic, procedure, or company in charge of the legal requirements' fulfillment verification (e-social - Brazilian information, work record booklet signature and devolution, among others).	Only in the Shorebase	RE, OP, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Analyze the systematic, procedure, or company in charge of verifying the legal requirements and how often these verifications takes place.	Item 4.1 - ISO 30405:2016; Article 29 and 41. CLT (Law No. 7.855, dated 10/24/1989); Item 6.1.3 - ISO14001:2015; Item 6.1.3 - ISO45001:2018; Item No. 3.2.2 - RANP 46:2016 - SGIP.	1. Verify the systematic or description in the procedure or the company in charge of checking the legal hiring requirements' fulfillment (documents mentioned above) and how often it takes place. 2. (RE) Verify if the planning includes full adequacy or risk reduction measures before the start of operations.	Standard record, just checking on the evidence, no need for document copies.	This requirement will assess how the drilling contractor performs routine verification of legal requirements, from labor taxes to work accident reports, among others.
6	GRHU0006E-2	Ombudsman or Grievance Mechanism (Reporting Channel) for HR matters	The company should have a control and registry systematic for the reporting received, whether by the Ombudsman or the Reporting Channel.	Shorebase and Rig	OP	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	EX	E	Observe if the company has any type of reporting channel or ombudsman, and if the HR matters are handled in this channel, for example: Harassment, Discrimination, among others	Client Requirement	Verify: - Existence of reporting channel or ombudsman; - How the cases are handled; - If an independent company performs the treatment; - If the reporting is anonymous. - If the workforce is familiar with the grievance Channel and check what is their perception of the tool and the issue of whistleblower anonymity	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will assess if the grievance Channel exists and, more importantly, how the company handles these records.
7	GRHU0007E-2	Disclosure and verification of the Code of Ethics or expected conduct and standardized treatment	The company should have: - Code of Ethics and Code of Conduct; - Treatment standard of expected and non-expected conducts, encompassing, for example, culpability level and consequences.	Only in the Shorebase	OP	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	EX	E	Analyze the treatment employed to those that comply or not with the company's rules. Analyze the employees' knowledge on the subject	Item 3.4.2 ISO 10667-2:2015	1. Verify how the company conveys the Code of Ethics and Code of Conduct information, and if it treats the expected and non-expected conducts in a standardized manner. 2. Verify the employees' knowledge through interviews.	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will assess how the company discloses the code of conduct, employee knowledge on the subject, how the feedback is provided, and how the company handles when expected conduct is not observed.
8	GRHU0008E-2	HR participation in health, safety and other programs.	The company's HR should act as active manager for HSE programs, whether those may be health promotion programs, operational safety, or other areas.	Shorebase and Rig	OP	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	EX	E	Analyze the company's HR campaigns and how its coverage is performed.	Client Requirement	Verify: 1. How the HR programs are made and how they are disclosed at the Shorebase and onboard. 2. How the HR programs creation process is made. 3. Verify the HR participation in creation and campaigns disclosure to other areas. For example, health promotion campaign, campaign against smoking, hands and fingers, and operational discipline, among others.	Keep a presentation or folder on any campaign for the record.	This requirement will assess how the company carries out its campaigns and how it disclose them to all employees.

9	GRHU0009E-2	HR specific KPIs and goals and their monitoring and treatment system	The company must have HR indicators and goals and a system for their preparation, monitoring and treatment. The KPIs should be lead and lag.	Only in the Shorebase	OP	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	EX	E	Observe and analyze which are the HR KPI and goals and how the systematic works. Analyze and look for, through the systematic, action plans that seek the improvement in these KPI. NOTE: Turnover, absenteeism, training, and performance evaluation KPI are not assessed in this item since they're treated in this check list' specific items.	Client Requirement	Verify, through sampling, some KPI and goals.	Collect the goals report for the last measured period and the calculation formulas	This requirement will assess the indicators used by the company, the action plans developed to achieve the goals, and how the company treats results.	
10	GRHU0010E-2	HR proximity to employees	The company must have a process for monitoring employees and their problems through HR	Shorebase and Rig	OP	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	EX	E	Analyze the HR actuation process and how it reaches out to employees. How is the actuation with the expatriates. A good practice is the HR going onboard and getting to know its employees and their difficulties from up close.	Client Requirement	1. Verify, HR proximity, through sampling, through interviews with employees. 2. Verify the monitoring process, embark and monitoring records performed by HR. 3. Verify how the expatriates are treated, if there's a concern with the adaptation in Brazil. 4. Verify the HR personnel embark records and presentations performed.	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will evaluate the performance of HR with its employees. Assess if HR is present. If he has easy access to Brazilian and expatriate employees, if the HR follows them closely. If HR acts as a support to the leadership.	
<b>02. Work environment' periodic evaluation procedure and human factors</b>															
12	GRHU0012C-1	Systematic work environment analysis, considering the human factors	The company should have a system for work environment analysis, considering human factors, that seeks to reduce incidents and accidents.	Shorebase and Rig	OP, PQ	<input checked="" type="checkbox"/>	<input type="checkbox"/>	PQ	C	Analyze if the company has work environment analysis procedures and targeted at preventing accidents.	Items 4.1, 4.2 - RANP 43:2007 - Management Practice No. 4 - SGSO; Items 17.1, 17.5 - Regulatory Standard (NR-17); Item 37.14 - Regulatory Standard (NR-37).	Verify: - If the process is effective; - Research forms and if there's active participation from the employees; - Presentations in meetings, minutes of meetings, or registries; - The last evaluations and how were they treated.	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will evaluate the processes used by the company to analyze the work environment to reduce incidents or accidents. The entire process must be evaluated (surveys, results treatments and presentation, participants and alternatives).	
13	GRHU0013C-2	Safety Management System - Work Environment regarding the human factors	Throughout all the Shorebase or rig's service life, the company should elaborate and control codes and standards regarding the work environment and human factors, also promoting the awareness-raising of the workforce involved in the operations, aiming to reduce the incidents and accidents. The work should be developed in integration with the HSE and Operations departments, and coordinated by HR.	Shorebase and Rig	OP, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Analyze if the company's processes and procedures are related to the work environment and if they are targeted at preventing accidents. Analyze the human factors, looking for the right people management and their skills to work with safety	Items 4.1, 4.2 - RANP 43:2007 - Management Practice No. 4 - SGSO; Items 17.1, 17.5 - Regulatory Standard (NR-17); Item 37.14 - Regulatory Standard (NR-37).	Verify if the company's processes and procedures are related to the work environment and human factors.	Standard record, just checking on the evidence, no need for document copies.	This requirement will assess the maintenance of the work environment at the shorebase and offshore. Evaluate if the search results are used.	
<b>03. Personnel turnover impacts evaluation on the drilling contractor's management</b>															
14	GRHU0014E-1	Scheme for retaining talented and qualified professionals	The company must have a system aimed at guaranteeing the permanence of its professionals and attracting high-performance employees. The company must have a system aimed at guaranteeing the permanence of its professionals and attracting high-performance employees.	Only in the Shorebase	OP	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	EX	E	Analyze, through the procedures and organizational environment, if the company is attractive to the internal and external public.	Item 4.3 - ISO 30409:2016.	Verify, through the systematic and the environment, if the company reach or approximate itself of the ideal in relation to the assurance that their professionals' permanence and attracting high-performance employee.	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will assess the process used by the company to hold the essential employees and which actions the company takes to hire high-performing professionals.	
15	GRHU0015E-1	Personnel turnover (turnover KPI)	The company should have a management systematic regarding the personnel turnover	Only in the Shorebase	OP	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	EX	E	Analyze, through the systematic or policy, the company's capacity to adjust its personnel according to the economic cycle, market demand, and underutilized job market.	Item 4.3 - ISO 30409:2016.	1. Verify, through the systematic, if the company manages to adjust to the market conditions by managing its qualified personnel. 2. Verify how the turnover is managed, verify if there are well-defined goals.	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will assess the process used by the company to properly manage staff turnover.	
<b>04. Career plan</b>															
16	GRHU0016C-1	Career plans and job description	The company should have job descriptions and career plans.	Only in the Shorebase	OP, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Observe if the career plans are different for leadership positions and the systematic of update.	Item 6.3.8 - ISO 30409:2016; Matrix KSA IADC; Items 3.2.1, 3.2.2 - RANP 43:2007 - Management Practice No. 3 - SGSO.	Verify if the company has career plans (role alteration, for example, from roughneck to driller) per technical and leadership roles, or if the promotion only occurs due to the experience time in the position or personal merit promotion	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will evaluate the career plan presented by the company for the employee evolution.	
17	GRHU0017C-1	Career plan definition per function line.	The company should have a career plan defined for some function lines.	Only in the Shorebase	OP, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Observe if the career plans are distinguished for different leadership positions.	Item 6.3.8 - ISO 30409:2016; Matrix KSA IADC; Items 3.2.1, 3.2.2 - RANP 43:2007 - Management Practice No. 3 - SGSO.	Verify if the company has career plans (role alteration, for example, from roughneck to driller) per technical and leadership roles, or if the promotion only occurs due to the experience time in the position or personal merit promotion Verify if the company has a career plan that allows the change of function, for example from subsea to driller.	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will evaluate the career plan presented by the company for the employee evolution.	
18	GRHU0018C-2	Systematic for change of position	The company should have a systematic or a documented procedure in the career plan to guide a position's change.	Only in the Shorebase	RE, OP, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Observe if the plan has a career role's change, for example, from mechanical to assistant driller. Observe if all the trainings were performed before changing roles.	Item 6.3.8 - ISO 30409:2016; Item 16.2 - RANP 43:2007 - Management Practice No. 16 - SGSO.	1. Verify if the company has a career plan that allows a role change, for example, from subsea to driller. 2. Verify if a MoC is made for each role change and that the systematic has as a principle that the new employee took all the courses before embarking and if there will be a mentor for him onboard.	Standard record, just viewing of the evidence, no need for copies of documentation.	Will be assessed separately from the previous requirement. This requirement will evaluate the career plan presented by the company for the employee evolution.	

37	GRHU0037E-0	Systematic of career progression record and disclosure.	The company should have records and a career progression's disclosure systematic.	Shorebase and Rig	OP	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	EX	E	Observe if the company registers the career progression process in a transparent manner. Analyze if the process is by meritocracy.	Client Requirement	1. Verify the disclosure methods to the employees and adherence to the functional progression programs, if it occurs naturally and is of easy access to the employees. 2. Onboard verification through interviews.	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will assess the process used for career progression, if it is done transparently and if the information regarding the career plan is made available to all those involved in the process.	
38	GRHU0038E-1	Employees' knowledge on the career progression process.	The employee should have knowledge of their career progression.	Only in the Rig	OP	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	EX	E	Observe if the employee has knowledge of the career progression. Analyze if the process is by meritocracy.	Client Requirement	1. Verify the disclosure methods to the employees and adherence to the functional progression programs, if it occurs naturally and is of easy access to the employees. 2. Onboard verification through interviews.	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will assess the process adopted for career progression, if it is done transparently and if the information regarding the career plan is made available to all those involved in the process.	
<b>05. Development Plan</b>															
11	GRHU0011E-1	HR role in the development of people management.	The company must have a system for the development of people management, highlighting the involvement of leaders in the process, and how HR collaborates in structuring this development.	Only in the Shorebase	OP	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	EX	E	Verify the people management development system.	Client Requirement	Verify the people management development system.	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement should be evaluated in terms of HR's involvement in structuring the development of people management through leadership.	
20	GRHU0020B-2	Defined and broadly disclosed development plan	The company should have an employee development plan and ensure their broad disclosure.	Only in the Shorebase		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	B	Analyze the employees' development plan content.	RANP 43:2007 - Management Practice No. 3 - SGSO.	Verify, through sampling, the company's employees development plan and check which are this development's requirements, if it would be through the periodic goal achievement, training performance, personal or team performance assessment.	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will assess if the employee development plan addresses what has been described in the verification column.	
21	GRHU0021B-2	Individual training matrix for each specific role, whether in the Shorebase or the rig.	The company should have training programs as per a specific matrix for each role and should have training evidences for each role of the employees involved in the rig operations and onshore. In this training matrix should be included the technical and normative courses as well as training in the procedures.	Only in the Shorebase	RE, OP, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	B	Analyze the performed training records and compare them against the training matrix and to the KSA IADC matrix. Analyze if the training matrix also includes training in the procedures.	Matrix KSA IADC; Items 3.3.4, 3.3.5 - RANP 43:2007 - Management Practice No. 3 - SGSO. Item No. 3.2.2.3 - RANP 46:2016 - SGIP.	1. Verify, through sampling, if the employees' training records follow the recommended for each position at the KSA IADC. 2. Verify if there is a training process, responsibilities matrix, employees' update process, training in procedures. 3. Verify if the company uses automated tools with access to training and pre-work certificates, excellence requirements, and training in technical or administrative procedures. 4. Verify if the personnel trainings are in their file and if the CVP was performed/foreseen. 5. Check if there is a system to review and update levels of training and specific knowledge for each role. 6. Check if the company has the introductory training on Well Barrier Envelope 7. (RE) Check training plan to ensure that all training required for safety and equipment operation will be carried out before operations start. 8. (RE) Verify planning that VCP planning will ensure that the staff are trained before the operations start.	Collect a copy of the training matrix to compare with KSA Matrix.	This requirement should be assessed on a baseline only and should be related to the IADC KSA matrix. It will be verified mainly if the normative courses and the technical courses recommended for each function performed by the employees are included in the training matrix. It will also assess how procedural training is carried out.	
39	GRHU0039C-1	Competencies Management	The company should have a systematic to identify competencies, attributions, and responsibilities for each role to enable the Workforce to execute the Job Position's tasks.	Only in the Shorebase	RE, OP, PQ	<input checked="" type="checkbox"/>	<input type="checkbox"/>	PQ	C	Analyze how the Workforce attributions and responsibilities are identified, documented, and implemented, specially those related to the Well Integrity Management. Identify how the academic background, training levels, experience, skill, and specific knowledge are defined for each role in the the Workforce to execute the Job description's tasks.	Item 6.3.8 - ISO 30409:2016; Matrix KSA IADC; Item No. 3.2 - RANP 46:2016 - SGIP.	1. Verify each role's competencies, attributions, and responsibilities in the Job Description. 2. Verify how the mechanisms are defined to periodically evaluate the Workforce's skill and competence related to Well Integrity Management. 3. (RE) Verify if there is a plan for the Workforce training to perform its functions.	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will evaluate the job description for each role, and will sample items listed in the "Verification" column.	
40	GRHU0040E-0	Training Matrix on the unit's equipment.	The company must implement a specific training matrix for all units in its fleet involving the operation and maintenance of specific equipment for each unit.	Somente Base	RE, OP	<input checked="" type="checkbox"/>	<input type="checkbox"/>	EX	E	Analyze whether the current training matrix already includes training on the unit's different equipment or if there is a specific matrix.	Industry good practice; KSA IADC matrix.	1. Check if there is a training matrix with courses on the operation (activities, bypass, etc.) of each unit's equipment. 2. Check if there is a training matrix with courses on equipment maintenance for each unit.	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will assess the existence of a spreadsheet that contains training on the equipment of each fleet unit.	
22	GRHU0022C-1	Training, qualifications, and skills information storage and control on employees and outsourced labor.	The company should have a dedicated storage or software at the Shorebase and the rig where the workers' folders are filed, with their respective roles, trainings, qualifications, and skills.	Shorebase and Rig	OP	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Analyze employees' training, qualification and skills records storage process. Analyze the systematic to control and update the non-mandatory training record and analyze the systematic that controls it or the persons in charge of the process.	Item 3.3.6 - Management Practice No. 3 - SGSO. BSEE - Subpart O - 30 CFR Part 250.1506.(c) Item No. 3.3 - RANP 46:2016 - SGIP.	1. Verify the process and where the employees' training records are stored. 2. Verify, in the systematic, which system or employees are in charge of the employees and outsourced training's records storage. 3. Verify if this storage has items regarding Well Integrity and Non-Technical Skills (SGIP) training, at least for the well integrity team.	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will assess the manner, organization and location of storage of certificates and records of employee training. It will also evaluate the how the training control system is carried out, by employees and outsourced workers, and how inconsistencies are corrected.	

23	GRHU0023B-1	Ensure that all employees have valid mandatory courses (such as Well Control (WC), BOSIET, HUET, NR - Brazilian Normatives and others)	The company should have a systematic for verification in order to ensure the onboard personnel has valid mandatory trainings.	Only in the Shorebase	RE, OP, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	B	Analyze if the mandatory minimum training plans are compatible with the activities developed by the employees. Analyze if the company has a periodical verification systematization for the expired or to expire mandatory certifications and if it effective plan the mandatory courses or training.	Matrix KSA IADC; Item 3.3.5.3 - RANP 43:2007 - Management Practice No. 3 - SGSO; BSEE - Subpart O - 30 CFR Part 250.1503 (a), (b) BSEE - Subpart O - 30 CFR Part 250.1506.	1. Verify, through sampling, the mandatory courses training certificate. 2. Verify if the certificates verification systematization can ensure that all employees have valid certifications when offshore.	Obtain a few copies of certificates for later verification.	Mandatory training must be completed by all personnel on board. The evaluation of this item consists of ensuring that all employees on board are certified in safety courses. Regarding Well Control training, IADC and IWCF certificates are accepted. At the shorebase, assess through employee records if everyone's certificates are valid or scheduled. In the maritime unit, compare by sampling, the People on Board to the certificates presented.
25	GRHU0025B-1	Maintenance, through training, of the specialized employees competencies	The company should have a systematic to control hours worked and training in some specific roles to ensure maintaining these employee's competencies.	Shorebase and Rig	OP, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	B	Analyze if the company control the training hours on allocated professionals to show constant development on activities .	Matrix KSA IADC; Items 3.3.5.2, 3.3.5.3 - RANP 43:2007 - Management Practice No. 3 - SGSO.	Verify, through sampling, these hours control records. For example, the professionals allocated in the inspection teams should perform at least 40h of inspection per year to maintain the competence.	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will assess the system adopted by the company to maintain the employees skills.
26	GRHU0026C-2	Language programs for the employees	The company should have an incentive program for development in other languages, if it has expatriates or processes in another language.	Shorebase and Rig	OP, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Analyze if the company offers an incentive program for language development and how it's measured, especially the Portuguese for expatriates or English for Brazilians. The program aims at ensuring the understanding of everyone onboard the rig.	Item 24 - Attachment 15-B - NORMAM 01:2018; Item 14 - Attachment 15-C - NORMAM 01:2018.	1. Verify if there are many expatriates in the company and if the company encourages learning Portuguese. 2. Verify how the company leads the standardization of languages within the team to facilitate communication among its employees. 3. Check if the Portuguese language is adopted as standard. Check if the company offers a language improvement incentive program and how this is verified. 4. Check if the equipment manuals are translated into Portuguese or if they are bilingual.	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will assess, based on the evidence presented, if there is a program to encourage the improvement of languages other than the native language, mainly English for Brazilians and Portuguese for expatriates. Also evaluate if and how the evaluation of this program is carried out.
27	GRHU0027E-1	Languages proficiency evaluation different from the native.	The company should have an evaluation program for language proficiency level.	Shorebase and Rig	OP	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	EX	E	Analyze if the company verifies the employees' performance through proficiency tests or another form of evaluation.	Client Requirement	1. Verify if the company measures the employees' performance through proficiency tests or another form of evaluation. 2. Verify what the company does with those that do not pass, if they're trained and reevaluated. 3. Verify if they have a program for that.	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will evaluate the evidence presented in relation to the employees performance evaluation and the treatment given to those who may not be approved.
<b>06. Technical qualifications and leadership profiles - onboard and Shorebase support</b>														
31	GRHU0031C-2	Technical qualifications matrix verification/elaboration systematic	The company should have a systematic to verify/elaborate technical qualification on offshore and Shorebase personnel.	Only in the Shorebase	RE, OP, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Analyze the systematic to evaluate the minimum technical qualifications in the matrix, carried out training and performance evaluation. This matrix should be specific for onboard and Shorebase roles.	Matrix KSA IADC; Items 3.3.1, 3.3.2, 3.3.3, 3.3.4 - 43:2007 - Management Practice No. 3 - SGSO.	1. Verify, through sampling, the position descriptions or technical qualifications matrix per position. 2. Verify if there are specific training for technical positions. 3. (RE) Verify that the plan will lead to the full compliance with the matrix before the operations start.	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will assess the matrix of leadership profiles or similar document, which presents the minimum profiles for the shipboard positions and shorebase personnel.
32	GRHU0032C-1	Leadership profiles verification/elaboration systematic	The company should have a systematic to verify/elaborate technical qualification on onboard and Shorebase personnel.	Only in the Shorebase	RE, OP, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Analyze the systematic to evaluate the matrix of minimum leadership profiles, carried out training and performance evaluation. This matrix should be specific for onboard and Shorebase positions.	Matrix KSA IADC; Items 3.3.1, 3.3.2, 3.3.3, 3.3.4 - 43:2007 - Management Practice No. 3 - SGSO.	1. Verify, through sampling, the leadership profiles matrix per position. 2. Verify if the candidates to leadership positions are evaluated and which systematic the company adopts to identify potential leaders.	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will assess the leadership profiles matrix or similar document, which presents the minimum profiles for the shipboard positions and shorebase personnel.
<b>07. Audits on HR Management's</b>														
33	GRHU0033C-1	Audit of the training programs	The company should have an internal audits process regarding the training programs held in all Shorebases/rigs. This audit should also encompass the mandatory certifications.	Only in the Shorebase	OP, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Analyze if the company has a verification audit process for these mandatory certificates and of other training held in all Shorebases/rigs. Evaluate if there is an internal audits program. Analyze the report from the last audit.	Items 3.3.6, 7.1 - RANP 43:2007 - Management Practices No. 3 and No. 7 - SGSO; BSEE - Subpart O - 30 CFR Part 250.1503.(c)	1. Verify the existence of an Internal Audits Program that encompasses the training held in all Shorebases/rigs. 2. Verify if the internal audits process encompasses evaluating the validity and renewal of the safety training mentioned above and if the non-conformances are treated properly.	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will assess the internal audits performance in order to verify the training of onboard personnel on standards, procedures, drills, drills, mandatory training, among others. It must be evaluated taking into account the treatments carried out, the action plans and other actions resulting from previous audits, as well as the forecast and planning of other audits.
<b>08. Performance assessment</b>														
34	GRHU0034E-2	Systematic of employee performance assessment's	The company should have a systematic that indicates how it performs its employees' performance assessment. This systematic should be broadly disclosed among the teams.	Only in the Shorebase	OP	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	EX	E	Analyze the employees' performance assessment systematic and its disclosure. Analyze the assessment forms or computerized systems. Analyze the process's frequency.	Client Requirement	1. Verify, through sampling, if there is a 360° evaluation, how the goals are defined, and if they are evaluated. 2. Verify if the feedback process is documented and if the leadership is trained to give feedback. 3. Verify how is the HR actuation; if it only records or acts as support and guidance.	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will assess the employee performance appraisal system as specified in the verification column.
36	GRHU0036E-2	Feedback and process' knowledge of Employees performance assessment.	The company's assessment and feedback process should occur with the employees' knowledge.	Only in the Shorebase	OP	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	EX	E	Analyze if the feedback process is broad and if the entire process occurs so the employees know about it. Analyze the computerized systems or registry forms used for the feedback.	Client Requirement	1. Verify how the company informs its employees about their works' performance indicators. 2. Verify if there is a broad disclosure or only restricted to the evaluated parties. 3. If the leadership provides feedback to the employees at the end of each analysis process, in order to guide the employees.	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will assess the employee evaluation system in relation to the feedback received and if the process is done in a transparent manner and viewed by all involved, in order to avoid favoritism.



# Supplier Management

No.	Requirement Code	Title	Requirement	Location	Applicability	Analysis		Type of Criteria	NCC	Guidelines	Documentation	Verification	Evidence collection	Evaluation criteria
						Docs.	In Loco							
<b>01. Domestic and foreign suppliers partnerships</b>														
1	GFOR0001B-1	Operational safety suppliers partnership's systematic.	The company should have a partnership systematic with domestic and foreign suppliers, which includes directives to hold the suppliers jointly liable for the operational safety	Shorebase and Rig	OP, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	B	Observe the supplier hiring systematic documents if those hold the suppliers also liable for the operational safety.	Item no. 8.4.2 - ISO 9001:2015; BSEE - Subpart S - 30 CFR Part 250.1914; Item 2.4 - IOGP 432-02:2017; Item no. 5.3.2 - RANP 43:2007 - Management Practice No.5 - SGSO.	Verify if the systematic includes the requirement items.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement should be evaluated in relation to the aspects that must be foreseen in the goods supply or services contract and evidenced in the contract Kick-off meetings.
2	GFOR0002C-1	Ensurance of work done safely by the suppliers.	The company should have a systematic to verify the supplier's management as to the employee management policy, regarding the qualification to perform work safely in its premisses, according to the management and SMS systematic.	Shorebase and Rig	OP, RE e PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Observe if the procedure looks for an analysis of the collaborators resumes and track record, as well as suppliers collaborators' interviews.	Item no. 8.4.2 - ISO 9001:2015; BSEE - Subpart S - 30 CFR Part 250.1914; Item no. 5.3.2 - RANP 43:2007 - Management Practice No. 5 - SGSO.	Verify, through sampling, some suppliers collaborators' resumes.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement should be evaluated in relation to the aspects that must be foreseen in the managing documents, focusing on operational safety in the maritime unit.
6	GFOR0006C-1	Suppliers' HSE and operational safety pre-qualification systematic.	The company should use a goods' suppliers pre-qualification systematic that takes into consideration the HSE and operational safety aspects.	Shorebase Only	OP, PQ	<input checked="" type="checkbox"/>	<input type="checkbox"/>	PQ	C	Observe the procedure of the company's goods suppliers pre-qualification systematic. In addition to assessing whether the company has a pre-qualification procedure, one should verify whether it is properly and systematically applied and whether the criteria are compatible with the supplied goods' criticality.	Item no. 8.4.2 - ISO 9001:2015; Item no. 5.3.1 - RANP 43:2007 - Management Practice No. 5 - SGSO.	1. Verify if there is a procedure that establish a formal process. 2. Verify, through sampling, if the pre-qualification systematic is in place.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement will be evaluated, at the shorebase, to check if the company has a pre-qualification procedure, and if it is correctly and systematically applied, and if the criteria are compatible with the provided services criticality.
<b>02. Suppliers knowledge and training</b>														
3	GFOR0003B-1	Fixed outsourced workers knowledge and participation in the Emergency Plan	The rigs' fixed outsourced workers should be trained in their responsibilities in the facility's emergency plan.	Shorebase and Rig	OP, RE e PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	B	Observe if at least a part of the fixed service providers in the rig have clear roles in the Emergency Plan. Analyze if there is a distinction between outsourced drilling contractors workers and/or Petrobras outsourced employees.	Item no. 8.4.2 - ISO 9001:2015; Item 2.2.2.3 - North West European HSE Case Guidelines for MODU's - 2002; Item no. 5.3.2 - RANP 43:2007 - Management Practice No. 5 - SGSO.	1. Verify, through interviews, the suppliers' collaborators indicated as Emergency Plan participants. 2. Verify if all the onboard collaborators have some defined assignment, if they participate or not in the Emergency Plan. 3. Verify the Fire & Escape Plan, Emergency Response plan, and the station bill where all the participants and their respective duties should be included.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement should evaluate how the emergency plan assigns roles to fixed service providers. For other suppliers who provide service on demand verify evidence that they are aware of the emergency plan.
4	GFOR0004C-2	Fixed, temporary and the client's outsourced workers instruction and training on the facility's hazards.	The company should have a systematic to ensure that the fixed, temporary, and the client's outsourced workers are regularly instructed and trained in safe work practices and in the facility's hazards.	Shorebase and Rig	OP, RE e PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Analyze the drilling contractor's training Matrix as to the inclusion of the suppliers' collaborators in the pertinent topics.	Item no. 8.4.2 - ISO 9001:2015; Item 2.2.1.4., 2.2.2.3 - North West European HSE Case Guidelines for MODU's - 2002; Item no. 5.3.2 - RANP 43:2007 - Management Practice No. 5 - SGSO.	1. Verify, by sampling, the training carried out for fixed, temporary and customer suppliers, regarding compliance with operational and safety training. 2. Verify the effectiveness of the training control system.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement should evaluate if the training matrix includes training on the rig hazard for fixed employees. Check evidence of these trainings.
5	GFOR0005B-1	Company's employees, fixed and temporary outsourced workers training on Petrobras Golden Rules.	The company should have a systematic to ensure its own employees, fixed and temporary outsourced workers are trained and understand Petrobras Golden Rules.	Shorebase and Rig	OP, RE e PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	B	Analyze the drilling contractor's training Matrix as to the inclusion of the suppliers' employees in the pertinent topics.	Petrobras Contract; HSE Annex; Item no. 5.3.2.a and 5.4 - RANP 43:2007 - Management Practice No. 5 - SGSO.	Verify, through sampling, the training on Golden Rules. Conduct interviews to ensure that the employees knowledge on the golden rules.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement should evaluate the evidence of periodic participation by suppliers' employees in the Petrobras Golden Rules. The Drilling Contractor must prove the periodic monitoring of this participation through systematic evaluation.
7	GFOR0007C-1	Fixed and temporary outsourced service providers training record focused on operational safety.	The company should have a systematic to control the fixed and temporary outsourced collaborators training records focused on operational safety to not allow service execution without the proper qualification.	Shorebase and Rig	OP, RE e PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Observe the collaborators' training records, verifying if there is any untrained service supplier either on Shorebase or on onboard.	Item no. 8.4.2 - ISO 9001:2015; Item 2.2.1.4., 2.2.2.3 - North West European HSE Case Guidelines for MODU's - 2002; Item no. 5.3.2 - RANP 43:2007 - Management Practice No. 5 - SGSO.	Verify, through sampling, the fixed and temporary outsourced workers training records. If the company has no outsourced employee training records, verify if the company verifies the service supplier's record managing.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement should be evaluated in relation to the evidence shown by the drilling contractor of the employee training records.
21	GFOR0021C-1	Outsourced labor qualification systematic	The company should have an outsourced labor qualification verification systematic (certification and certificate maintenance).	Shorebase Only	OP, RE e PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Observe if the verification systematic includes the minimum trainings in each role according to the IADC for the activities undertaken by outsourced labor.	RANP 43:2007 - Management Practice No. 5 - SGSO; KSA IADC for offshore and Shorebase positions. BSEE - Subpart O - 30 CFR Part 250.1506.(c)	1. Check by sampling if the positions or functions in the training matrix have the minimum required by the IADC. 2. Check by sampling the training in NR's (Brazilian Regulation) and the systematic of how it is guaranteed that fixed and temporary subcontractors only perform the tasks with the proper training 3. Evaluate how the verification of the Petrobras contractors training is controlled and executed, in order to comply with the legislation. 4. Check, by sampling, the completion and compliance with the Petrobras subcontractors form.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement will be evaluated, by comparing the training matrix presented by the company and the one recommended by function by KSA IADC, mainly in relation to the fundamental training for each position.



26	GFOR0026C-1	Outsourced workers training in the drilling contractor's procedures, activities, and processes.	The drilling contractor should have a systematic to control and store outsourced employees training records in its activities, procedures, and processes.	Shorebase Only	OP, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Observe the control system and the training plans for outsourced teams, both in procedures and processes.	ISO 30405:2016; Item 3.3 - RANP 43:2007 - Management Practice No. 3 - SGSO.	1. Verify, through sampling, if the positions or roles performed by the third parties have training records on the drilling contractor's procedures and processes. And how the systematic controls and treats such records and non-conformances. 2. Verify the integration between the HR and Suppliers department. 3. Verify the training verification of Petrobras contractors systematic and execution, aiming at operational safety.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement should be evaluated on the Shorebase and focus on the control systematic, treatment of records and inconsistencies. It should also evaluate the records of third-party training by sampling the company's procedures and processes.
<b>03. Criteria for identification of critical suppliers</b>														
8	GFOR0008B-1	Critical and non-critical suppliers categorization	The company should have a systematic to categorize suppliers into: "critical" or "non-critical" according to the equipment identified in the rig's risk analysis.	Shorebase Only	OP, PQ	<input checked="" type="checkbox"/>	<input type="checkbox"/>	PQ	B	Observe if this kind of information is included in the company's procedures or if a systematic exists.	Item 8.4.1 - ISO 9001:2015; Item no. 11.2 - RANP 43:2007 - Management Practice No. 11 - SGSO.	1. Verify if there is a systematic. 2. Verify if the systematic clearly defines the kinds of critical supplies. 3. Verify, through sampling, if the categorization is being done correctly. 4. Verify if this definition is reviewed periodically.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement should be evaluated in relation to the supplier selection criteria and their compatibility with the identified criticality.
9	GFOR0009B-1	Goods and services supplied critical levels determination.	The company should have a systematic to determine the goods and services criticality levels.	Shorebase and Rig	OP, PQ	<input checked="" type="checkbox"/>	<input type="checkbox"/>	PQ	B	Analyze the goods or services' criticality determination procedure.	Item no. 11.2 - RANP 43:2007 - Management Practice No. 11 - SGSO. Item 5.6.1.1 - API SPEC Q1:2016.	1. Verify the goods or services' criticality determination procedure. 2. Verify if the classification is being performed properly in the Shorebase and onboard with the storekeeper.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement should evaluate if the activities and products definition criteria are compatible with the identified criticality.
10	GFOR0010C-1	Management of critical input suppliers	The company should have a systematic to monitor and manage operation-related critical resource suppliers (inputs: hydraulic fluids, spare parts).	Shorebase and Rig	OP, PQ	<input checked="" type="checkbox"/>	<input type="checkbox"/>	PQ	C	Observe if the systematic provides for managing of the operation-related critical inputs.	Item 8.4.1 - ISO 9001:2015; Item no. 11.3 - RANP 43:2007 - Management Practice No. 11 - SGSO.	1. Verify if the systematic have the requirement items. 2. Verify, through sampling, if the systematic is working/operational (i.e. alerts).	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement mainly evaluates the critical products inventories related to the operation, the systematic monitoring of these inventories, and especially the critical suppliers regarding the replacement time.
<b>04. Audits on suppliers</b>														
11	GFOR0011C-2	Suppliers Audit Plan	The company should have a critical supplier audit plan to ensure the goods and services' quality.	Shorebase Only	OP, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Observe if an audit plan exists and is being fulfilled.	Item no. 9.2.1 - ISO 9001:2015; Item 5.2 - RANP 43:2007 - Management Practice No. 5 - SGSO. Item 7.2.2 - RANP 43:2007 - Management Practice No. 7 - SGSO.	Verify if the audit plan is up-to-date and if the plan has all the critical suppliers included.	Standard record, just evaluating the evidence, no need for copies of documentation.	Evaluate if there is an audit schedule, as well as their frequency, in addition to adherence to the audit schedule or planning.
12	GFOR0012C-2	Specific criteria for each audit	The company should have specific criteria for each supplier audit and a scope for each audit, and demonstrate their execution through supplier audit reports or forms.	Shorebase Only	OP, PQ	<input type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Observe if the audit verification items include a defined scope for each supplier, based on the supplied goods or service's typology.	Item no. 9.2.1 - ISO 9001:2015; Item 7.2.2 - RANP 43:2007 - Management Practice No. 7 - SGSO.	1. Check if the reports or forms are standardized or if they have specific fields for auditing in suppliers of critical products or services.	Standard record, just evaluating the evidence, no need for copies of documentation.	Evaluate if the company has a specific audit systematic for each type of supplier or if the standard checklist includes all areas of interest, in which items can be customized, depending on the type of supplier audited.
<b>05. Service suppliers evaluation</b>														
13	GFOR0013B-1	Critical and non-critical service suppliers' evaluation and monitoring criteria.	The company should have a supplier evaluation method that should include aspects related to operational safety, to service supply quality, and to the management system.	Shorebase and Rig	OP, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	B	Observe if the company periodically evaluates its service suppliers regarding at least the aspects of the critical suppliers' operational safety and management system.	Items 8.4.3, 9.1.3 - ISO 9001:2015; Item no. 5.2 - RANP 43:2007 - Management Practice No. 5 - SGSO. 250.1506.(c) Item No. 5.2.1 - RANP 46:2016 - SGIP.	Verify, through sampling, how the evaluations of suppliers: for sanctions, to do not hire again, for competitive edges are used. Verify if any evaluation is carried out onboard through systems or forms.	Standard record, just evaluating the evidence, no need for copies of documentation.	Evaluate if the systematic includes aspects related to operational safety.
14	GFOR0014C-2	Systematic of evaluation and initial service suppliers selection.	The drilling contractor should have a systematic of initial evaluation and selection of the service suppliers' based on their capacity to supply activities, according to the organization requirements, and in compliance with the operational safety aspects, focusing on constant improvement aspects.	Shorebase Only	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Observe the systematic of initial evaluation and selection of the service suppliers, as well as the past evaluations background made being considered for future supplies.	Item no. 5.2 - RANP 43:2007 - Management Practice No. 5 - SGSO; Item 5.6.1.1 - API SPEC Q1:2016. Item No. 5.2.1 - RANP 46:2016 - SGIP.	1. Check the systematic to determine the ability of the service providers to perform the activities according to the company's needs. 2. Check if the database of previous supplies is consulted and if periodic visits are made to suppliers with evaluation scores. 3. Check how the supplier's onboard activities are planned; 4. Check how these activities are monitored on board; 5. Check how these activities are evaluated and this feeds the process of new hires; 6. Check if the contracted service has drilling contractor supervision that is trained for the activity;	Standard record, just evaluating the evidence, no need for copies of documentation.	Check the systematic of the initial suppliers assessment, in relation to the operational safety aspects, through the supplier managing system procedures and the compliance to the technical and services requirements specified by the drilling contractor, focusing also on the continuous improvement through tools such as rankings to monitor previous evaluations, showing how this impacts the choice of a supplier that has already been evaluated.
<b>06. Preservation Procedures</b>														
15	GFOR0015E-1	Goods preservation during transportation to the rig (logistics)	The company should have a systematic to guide or evaluate the methods used to preserve the goods and the pertinent parts during the goods execution and delivery at the intended destination in order to keep conformity with the technical requirements. As applicable, the preservation should include identification and traceability marks, transportation, handling, packaging, and protection.	Shorebase and Rig	OP	<input checked="" type="checkbox"/>	<input type="checkbox"/>	EX	E	Analyze how the systematic approaches the methods used to preserve goods during transportation to the rig.	Item 5.7.6.1 - API SPEC Q1:2016.	1. Verify how the systematic approaches the methods used to preserve goods 2. Verify if the systematic has an analysis or report on the lessons learned from transportation problems or compliments for a well done transportation.	Standard record, just evaluating the evidence, no need for copies of documentation.	Evaluate if there is a systematic to guarantee the items purchased from suppliers preservation quality, upon delivery and preparation for shipment to the maritime unit.
<b>07. Purchasing Processes</b>														
16	GFOR0016E-1	Specification and acceptance criteria of the ordered goods from critical suppliers	The drilling contractor should have a systematic of adequacy of the specified acquisition information, before it is communicated to the critical supplier.	Shorebase Only	OP	<input checked="" type="checkbox"/>	<input type="checkbox"/>	EX	E	Analyze the adequacy of the acquisition information before communicating with the supplier, to ensure the accurate description of the goods to be purchased. The purchasing informations sent to the critical supplier should be documented and adequately describe the goods to be acquired, including the acceptance criteria.	Item 8.4.1 - ISO 9001:2015; Item 5.6.2 - API SPEC Q1:2016.	1. Verify, through sampling, how the informations on the critical goods to be acquired are provided. 2. Verify if the lessons learned during purchases are fed back into the process.	Standard record, just evaluating the evidence, no need for copies of documentation.	Evaluate critical procurement documents, regarding the technical detail of the input, level of information and product acceptance criteria.

17	GFOR0017E-1	Systematic of critical goods production control	The company should have a systematic or a procedure describing the associated controls over the critical goods' production.	Shorebase Only	OP	<input checked="" type="checkbox"/>	<input type="checkbox"/>	EX	E	Analyze the systematic that describe the controls used in the goods' manufactured.	Item 5.7.1.1 - API SPEC Q1:2016.	1. Verify the systematic or procedure that describes the controls used in the goods' manufacture. 2. Verify how they are controlled, if discussion and analysis meetings are held. 3. Verify if the targets to be reached are defined.	Standard record, just evaluating the evidence, no need for copies of documentation.	Evaluate evidence from purchase orders regarding the existence of instructions and controls that must be used in the critical parts production.
18	GFOR0018E-1	Critical goods acquisition's purchasing requirements verification systematic.	The company should have a verification systematic, or other necessary activities, to ensure that the critical goods or services acquired meet the purchasing requirements specified.	Shorebase Only	OP	<input checked="" type="checkbox"/>	<input type="checkbox"/>	EX	E	Analyze the verification systematic to ensure that the goods meet the purchasing requirements.	Item 5.6.3 - API SPEC Q1:2016.	1. Analyze the systematic to ensure the goods satisfy the purchasing requirements. 2. Verify if the lessons learned during purchases are fed back into the process.	Standard record, just evaluating the evidence, no need for copies of documentation.	Evaluate the documents and specifications of the purchase order, and compare them with the information sent by the manufacturers, verifying if they have a compliance status.
<b>08. Outsourced labor qualification and conformance</b>														
22	GFOR0022C-0	Outsourced labor's legal conformance verification systematic	The company should have an outsourced labors' legal conformance verification systematic.	Shorebase Only	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Observe compliance with legal requirements for outsourced labors.	ISO 30405:2016; Item 3.3 - RANP 43:2007 - Management Practice No. 3 - SGSO; KSA IADC for each operational position.	Verify the outsourced labor legal requirements compliance systematic.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement should be evaluated through the systematic adopted to ensure that all legal requirements are met by outsourced companies.
23	GFOR0023D-1	Systematic of verification on suppliers' management systems	The company should have a verification systematic for its suppliers' management systems regarding multiple areas, including HSE.	Shorebase and Rig	OP, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	D	Analyze the verification systematic its suppliers' management and HSE systems.	Item no. 8.4.2 - ISO 9001:2015; BSEE - Subpart S - 30 CFR Part 250.1914; Item no. 5.3.2 (a) - RANP 43:2007 - Management Practice No. 5 - SGSO.	Verify, through sampling, the systematic of verification of the management systems and HSE.	Standard record, just evaluating the evidence, no need for copies of documentation.	Evaluate, by sampling, the systematic for verifying the suppliers' management and HSE systems.
24	GFOR0024C-1	Outsourced companies or subcontractors organizational safety management structure.	The drilling contractor should have a safety management organizational structure duly documented that comply with the subcontractors' operation.	Shorebase and Rig	OP, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Analyze the organizational chart and procedures submitted by the drilling contractor.	Item 1.3.1, 1.3.3 - RANP 43:2007 - Management Practice No. 1 - SGSO; items 1.1, 2.4, 3.1, 3.2, 3.18, 3.23, 3.24, 5.1H, 5.8A, 5.11 - IOGP 423-02 Checklist 2017	Verify in the documents furnished by the drilling contractor the safety required for the outsourced' activities and operations.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement should be evaluated both at the shorebase and at the offshore unit, focusing on the existence of safety procedures and the formal designation of some in-house employees dedicated to ensure safety in the activities and operations of the subcontractors.
27	GFOR0027E-0	Customer or third party critical equipment Certification	The company must require from contractors the certificates and tests of critical equipment that have an impact on operations, such as prevention or mitigation barriers. Example: MPD, ROV, SSC etc.	Shorebase and Rig	OP e PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	EX	E	Evaluate where the operator's or customer's third-party equipment certificates are registered and validated.	Client requirement	1. Check where the certificates of the customer's equipment are stored and controlled. 2. Check the frequency of the validity of the certificates verification. 3. Check the treatment given in case of inconsistencies finding in the certificates.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement will be evaluated both at the shorebase and at the offshore unit, based on the certificates and tests of the critical equipment contracted.
28	GFOR0028E-0	Customer or third party critical equipment Maintenance Plan	The company shall demand maintenance plans from the contractors, responsible for the equipment maintenance, spare parts replacement and training for the equipment operation. Evaluate how third-party equipment and activities identified as barriers are treated.	Shorebase and Rig	OP e PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	EX	E	Analyze if the maintenance of third-party equipment is managed within the company's maintenance system or in other software. Also assess if the process is similar to the process of maintaining the drilling contractors equipment or if there is a different system for each case.	Client requirement	1. Check how the maintenance routines of critical third-party equipment are managed. 2. Check for different treatment for critical and non-critical equipment. 3. Check if the maintenance process is similar to the process of the drilling contractor equipment. 4. Check if there is an onboard responsible for critical maintenance monitoring. 5. Verify if the company's macro maintenance plan is being followed.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement will be evaluated both at the Shorebase and at the offshore unit, based on the maintenance control of the contracted equipment carried out by its contractors in its operational area.

No.	Requirement Code	Title	Requirement	Guidelines	Documentation	Verification	Evidence collection	Evaluation criteria
<b>1. Governance</b>								
1	GATI0001C-2	Asset Management Policy.	The company should have an asset management policy focused on asset productivity to ensure the best asset availability possible.	Observe whether the policy is aligned with the asset management rule and mentions the maintenance, tests, inspection, calibration premises, among others.	Item 13.1 - RANP 43:2007 - Management Practice No. 13 - SGSO; Item 5.2 - ABNT NBR ISO 55001:2014.	1. Verify whether policy minimally covers: maintenance, inspection, calibration, tests, certification, or equipment change. 2. Verify the personnel knowledge on board about the asset management policy, and if it is followed by the rig leadership. 3. Verify if the policy analyzes the productive life of the asset, ensuring the best possible availability of the assets.	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will be evaluated both at the Base as well as at the offshore unit, with a focus on processes. It is expected to find, described in the policy, maintenance routine, inspection, calibration, testing, certification, or equipment replacement.
2	GATI0002C-2	Asset management responsibilities	The company should ensure that the responsibilities and authorities for the relevant roles are assigned and communicated within the organization	Analyze whether the company's senior management assigns responsibilities and authorities to the operational management, or people in charge with the same competence level, to attain the asset management goals. Analyze whether the company's organization chart reflects the assigned responsibilities	Item 13.1 - RANP 43:2007 - Management Practice No. 13 - SGSO; Item 5.3 - ABNT NBR ISO 55001:2014.	1. Verify whether the system assigns duties to operational management and the senior managers are informed on the asset management system's performance. 2. Check on board if those responsible for maintenance are aware of their duties described in the policy.	Standard record, just viewing of the evidence, no need for copies of documentation.	The assessment of this requirement will focus on the processes, and if the responsibilities are well defined in the management system, and how leadership participation in the process occurs.
3	GATI0003C-2	Leadership's commitment to the asset management	The company should ensure the leadership's commitment to the asset management system	Ensure that the leadership's commitment is compatible with the organizational goals so that employees will feel supported by their leaders, fostering multifunctional collaboration.	Item 1.3.2 - RANP 43:2007 - Management Practice No. 1 - SGSO; Item 5.1 - ABNT NBR ISO 55001:2014.	Verify, through sampling, whether the leaders use the company's management tools and whether the collaborators have effective communication channels with their leadership. A recording example could be: Records at the leadership's critical analysis meetings for the maintenance results.	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will be evaluated at ShoreBase, where the auditor will evidence the leadership participation in the processes and decisions of providing structure and inputs for the operations and asset maintenance.
4	GATI0004D-1	Communication Flow aligned with the asset management	The company should ensure that the communication flow between the parties concerned is aligned with the asset management policies, goals, and targets	Analyze if all the communication, including changes and revisions, is diffused among the parties concerned.	Item 1.4 - RANP 43:2007 - Management Practice No. 1 - SGSO; Items 7.4, 7.5, 7.6 - ABNT NBR ISO 55001:2014.	Verify through sampling on communications, changes, and the asset management's system revisions.	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will be evaluated both at ShoreBase and at the offshore unit. In the Shorebase audit, the focus will be on verifying the communication flow and in the offshore unit, interviews will be carried out to verify if the communications are reaching everyone involved.
50	GATI0050C-1	Maintenance-related procedure conformance verification (PCV)	The rig should have a way to identify the procedures to be verified for conformance, ensure the PCV implementation for the critical maintenance procedures.	Analyze the PCV matrix and compare it to the critical procedures indicated by the risk analysis. Interview people to verify their knowledge of the procedure applied recently.	Item 3.3.6 - RANP 43:2007 - Management practice No. - SGSO; Item 15.2.1 - RANP 43:2007 - Management practice No. 15 - SGSO;	1. Verify origin and control of the list of procedures that should undergo compliance verification. 2. Verify the PCV training matrix. 3. Verify whether any training is behind schedule, whether it has been updated, and whether new verification is required after the update. 4. (EX) Verify the lessons learned control and which procedure review systematic is used Shorebased on the items pointed out during the PCV.	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement should be evaluated in relation to the documented procedures and how the compliance verification process is made.
5	GATI0005E-2	KPI criteria and delay approval definition	The company should ensure the definition of the criteria used for the KPI and for the delays management's approval	Analyze whether the established criteria are related to those determined by the industry for control KPI's definition, and as to the best safety practices for approval of maintenance delays or on the maintenance plans. Analyze as a reference the world-class	Item 8,1, 9.1 - ISO 55001:2014	1. Verify whether the asset management policy or any similar document sets out the definition of the criteria used to define the delay approval KPI and criteria. 2. Verify whether the offshore personnel know about the KPI and whether decisions are made Shorebased on their results.	Request documentation with the values of the currently KPI and the calculation log. And also maintenance delay records.	This requirement will be evaluated at the shorebase, based on the presented documents.
6	GATI0006C-2	Asset management KPI monitoring	The company should have an asset management measuring, monitoring, and critical analysis systematic. World-class KPI are to be used	Analyze the KPI and critical analyses done by the management and/or senior management. Set parameters to compare the world-class KPI used for maintenance.	Item 6.3 - RANP 43:2007 - Management Practice No. 6 - SGSO; Items no. 6.2, 6.2.1 - ISO 55001:2014.	1. Verify through sampling some KPI and their correlation with the management system goals. Compare with world-class maintenance KPI. 2. Check on board the use of these KPI for processes improvement.	Report the KPI used in the company, as well as its calculation method, current value and goals.	The evaluation of this requirement should be done considering the systematic at the company's base, verifying effectiveness, monitoring and KPI achievement. In the maritime unit, the evidence that is used to consolidate the results must be verified.
<b>02. Critical equipment identification criteria</b>								
7	GATI0007B-2	Critical equipment identification systematic	The company should have a systematic or process that helps to identify critical equipment.	Observe whether the systematic or document can clearly identify the equipment's criticality, classifying and distinguishing them from any other equipment's processes. Qualitatively analyze the systematic used to determine critical equipment and the application of differentiated management for it.	Item no. 8.2 - API RP 75:2004; Item 11.2 - RANP 43:2007 - Management practice No. 11 - SGSO; Item No. 6 - ISO 31000:2018; Item No. 7.6 Subsea BOP System Maintenance and Testing - API STD 53 2012	1. Verify which and how many pieces of equipment are classified as critical in the company's identification systematic. 2. Check the correspondence to equipment classified as critical in the rig's risk analysis.	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will be evaluated with a focus on the processes and should be evaluated in relation to the critical equipment identification.

51	GATI0051B-2	Critical element management systematic	The company should have a critical equipment, systems, and procedures management systematic derived from the Rig's HSE Case/Risk Analysis for the asset management area	Analyze, with a focus on management, whether the documents defines how the company determines its critical elements derived from the Rig's HSE Case/Risk Analysis. Verify how the criticalities are reviewed, whether reviewed at meetings, whether deadlines have been set, whether events are triggers, or if the Shorebase guides the new criticality.	Item 11.3 - RANP 43:2007 - Management Practice No. 11 - SGSO;	1. Verify through sampling the criteria used to define the criticality and how the elements are managed according to their criticality. 2. Check how criticality is reviewed, if it occurs in meetings, if there are defined deadlines, if events are triggers, or if the shorebase guides the new criticality.	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will be evaluated considering two items: the first is how criticality is defined and the second is how the elements are managed based on their criticality.
8	GATI0008C-2	Critical equipment acquisition acceptance criteria	The company should have quality control procedures and technical specification that should be followed during critical equipment acquisition process.	Analyze the critical equipment inspection and testing plans, quality control procedures, and technical specifications. Analyze the use of acceptance tests, among others, to accept the critical equipment acquired.	Item 13.2 - RANP 43:2007 - Management practice No. 13 - SGSO; Item no. 8.3 – API RP 75:2004.	1. Verify through sampling the consistency of the Quality Control procedures for critical equipment acquisition as to compliance with any normative requisites and further compliance with the manufacturer's conditions. 2. In some cases, also verify the acceptance tests.	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will be evaluated with a focus on tests performed evidences, acceptance tests, prior requirements, inspection plans, among other evidences that proves the quality of critical equipment management.
52	GATI0052E-0	Control systematic associated to Critical elements maintenance	The company should have control systematic associated to critical goods/materials maintenance	Analyze the control associated to the product/critical goods maintenance process	Item 5.7.1.1 - API SPEC Q1:2016.	1. Verify through sampling the control's associated to the process on the product maintenance. 2. Verify how they are controlled, if discussion and analysis meetings are held. 3. Verify how the targets to be reached are set.	Standard record, just viewing of the evidence, no need for copies of documentation.	Evaluate the existence of a systematic, procedures or technical instructions that define associated controls to the maintenance process performed by contractors.
<b>03. Maintenance process</b>								
9	GATI0009C-2	Maintenance and inspection plan elaboration	The company should create its maintenance / inspection plan Shorebased on the manufacturer's manuals or on engineering studies, or by learning from the fault assessment and background.	Observe whether the company has a maintenance / inspection plan devised from the manufacturer's manuals or engineering studies.	Item 13.2.1 - RANP 43:2007 - Management Practice No. 13 - SGSO; Items no. 6.2.1, 6.2.2 - ISO 55001:2014. Item No. 13.2.3 and 13.2.4 – RANP 46:2016 – SGIP.	1. Verify whether the maintenance and inspection plan is compliant with the manufacturers or engineering sector, and aligned with the rules, mainly for equipment that is classified as critical. 2. Verify which analyses are applicable to the prioritization plan: FMEA or another analysis, and maintenance strategies: run to failure; preventive, corrective, or predictive maintenance. 3. Verify whether corrective and preventive actions are predicted, implemented, and documented to treat any deviations detected when plans and procedures are put into effect.	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will be evaluated with a focus on the evidences observed at the shorebase and at the rig of a maintenance / inspection plans verification systematic, that look after to minimize equipment failures.
10	GATI0010C-2	Maintenance and inspection activity planning	The company should draw up a plan to achieve the asset management goals, determining and documenting: the alignment of the resources with the demand; what and how the activity is to be undertaken; assign responsibilities; completion deadlines.	Analyze whether the company has documented the planning of the maintenance and inspection activities, planning out the full equipment maintenance, quantifying the resources and assuring that, throughout the process, the necessary maintenance safety is provided.	Item 13.2.1 - RANP 43:2007 - Management practice No. 13 - SGSO; Item no. 6.2.2 - ISO 55001:2014.	Verify through sampling whether the Maintenance and Inspection activities have been undertaken in conformity with the plans and the necessary safety.	Standard record, just viewing of the evidence, no need for copies of documentation.	Evaluate this requirement through the documentation presented that contains the maintenance or inspection activities planning without disregarding safety.
11	GATI0011C-2	Maintenance and inspection schedule	The company should design a schedule to achieve the asset management goals: setting equipment maintenance or inspection priorities according to the priority event in case of faults; identifying and assessing risks and opportunities; assessing the maintenance and inspection activities impacts on the rig's activities calendar.	Analyze whether the company has documented the maintenance and inspection schedule, prioritizing critical equipment or not observing the fault impact, assessing the maintenance impacts on the operation, assessing and detecting risks and opportunities to ensure safety during maintenance.	Item 13.2.1 - RANP 43:2007 - Management practice No. 13 - SGSO; Item no. 6.2.2 - ISO 55001:2014.	1. Verify through sampling whether the Maintenance and Inspection activities have been undertaken in conformity with the plans and the necessary safety. 2. Check which analyzes were adopted to define the prioritization criteria: FMEA or other analysis.	Standard record, just viewing of the evidence, no need for copies of documentation.	Evaluate this requirement through the documentation presented that contains the maintenance or inspection activities planning without disregarding safety.



12	GATI0012B-2	Delay management systematic	The company should have a delay control systematic in the maintenance planning and execution.	Observe how the company controls the maintenance planning and execution delays in the engineering sector .	Item 13.3.5 - RANP 43:2007 - Management practice No. 13 - SGSO.	<ol style="list-style-type: none"> <li>1. Verify the maintenance plan identifying delays and any anomaly's respective handling.</li> <li>2. Verify whether the maintenance is carried out on time and, in case of discrepancies, what the company engineering department does to correct the procedure or time required for maintenance.</li> <li>3. Check if the maintenance delays management is supported by a risk analysis or MoC process, which assess the unavailability of the equipment in question. And also if there are specific analyzes for critical equipment taking into account their criticality on the rig's risk analysis.</li> <li>4. Check if there are other critical equipment or not with delayed maintenance as well, which may increase the risks of this postponement or if they are part of the same system.</li> </ol>	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will be evaluated in relation to the management of possible delays in the planning or execution of maintenance by the company's engineering. Good practices will be scored and referenced in the report.
13	GATI0013B-2	Service order management systematic	The company should have a systematic to ensure handling service orders from opening through the closure.	Service order management systematic. Analyze whether the closure is done when maintenance is finished and not when a change is found, or some input or resource is missing, and the technician closes the service order.	Item 13.3.4 - RANP 43:2007 - Management practice No. 13 - SGSO.	<ol style="list-style-type: none"> <li>1. Verify the service order (SO) systematic.</li> <li>2. Check how deviations and problems encountered during the execution of the service order are handled.</li> </ol>	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement must be evaluated focusing on the opening and closing work orders systematic.
14	GATI0014B-2	Activities execution and work instructions elaboration	The company should have a procedure to show how the equipment maintenance and the inspection are carried out. This procedure should be easily accessed and understood by all the employees or outsourced workers.	Analyze whether the company has maintenance and inspection procedures in place, and whether those are aligned with engineering rules, manuals, and recommendations.	Items 13.2.1, 13.2.2, 13.3.2 - RANP 43:2007 - Management practice No. 13 -SGSO; Items no. 5.2, 10.2 - ISO 55001:2014.	<ol style="list-style-type: none"> <li>1. Verify the access to the procedures and how clear they are.</li> <li>2. Verify if the procedures are aligned with engineering rules, manuals, or recommendations.</li> <li>3. Check if the work instruction were followed and, if not, how it was recorded in the system.</li> <li>4. Verify if some PTW maintenance was carried out, if yes, evaluate together with the Operation PTW (GOPE).</li> <li>5. Check how the system is fed back with improvements to the work plan and instructions.</li> </ol>	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will be evaluated on a sampling basis in terms of the procedures accessibility and clarity. Also assess their alignment with engineering standards, manuals or recommendations, as well as work instructions compliance.
15	GATI0015C-2	Control documents systematic and maintenance records and inspections made.	The company should have a systematic to control documents and records generated during maintenance and inspection	Analyze the systematic to control maintenance and inspection records	Item 13.3.1 - RANP 43:2007 - Management practice No. 13 - SGSO; Items no. 7.5, 7.6 - ISO 55001:2014.	<ol style="list-style-type: none"> <li>1. Verify through sampling if the company uses the document and record control systematic.</li> <li>2. Should be verified if all the resources that were used and all the activities undertaken were reported, also including corrective maintenance.</li> </ol>	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will be evaluated based on how inspection and maintenance records are controlled in the company's asset management system.
18	GATI0018C-2	Corrective maintenance management sistematic	The company should have a corrective maintenance management plan	Analyze if the company has a systematic, plan, or procedure to improve the corrective maintenance management.	Items 13.2.1, 13.2.2, 13.3.2 - RANP 43:2007 - Management practice No. 13 -SGSO; Items no. 5.2, 10.2 - ISO 55001:2014.	Verify the documents that demonstrate the company's efforts to manage the corrective maintenance.	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will be evaluated based on the analysis of the corrective maintenance plan, systematic or procedure.
17	GATI0017D-2	Database with maintenance, inspections, calibrations, certifications, tests, faults, rig's assets defects records.	The company should have a computerized system that files and manages any information on the tasks performed, and on the faults and defects detected.	Analyze how and if the software is adequately fed, to enable better management and analysis by the company's engineering department.	Item 13.3.1 - RANP 43:2007 - Management practice No. 13 - SGSO; Items no. 5.2, 10.2 - ISO 55001:2014.	<ol style="list-style-type: none"> <li>1. Check the reports issued by the database and their use for asset management.</li> <li>2. Check by sampling some records contained in the database, to check possible inconsistencies.</li> <li>3. If failures occur during PMs, verify how they are handled and recorded.</li> </ol>	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will be evaluated according to the use of the software and how it helps engineering in decision making. Spreadsheets will not be considered an effective form of control.
63	GATI0063E-0	Failure database	The company must have access to a high quality failure database	<ol style="list-style-type: none"> <li>1. Evaluate if the maintenance performed type classification is properly named (preventive, corrective, predictive).</li> <li>2. Evaluate if the database provides the the component and sub-level of the equipment failure rate.</li> <li>3. Maintenance data must contain manufacturing, operating, and repair history information.</li> <li>4. Evaluate if there is a procedure to record failures in the failure database.</li> </ol>	Items 13.3.1, 13.3.5 - RANP 43:2007 - Management practice N°13 -SGSO; Items n° 7.5, 7.6 - ISO 55.001:2014. Items 5, 8 - IEC 60300-3-2:2004 Item 6.11 - IEC 60300-3-10:2001 Items 7.1.2, 7.1.3 - ISO 14224:2016	<ol style="list-style-type: none"> <li>1. Check if the company is associated with a specific database for the Oil &amp; Gas sector. (Example Rapid 53)</li> <li>2. Check, if the company is not associated with an external database, if the company has an internal database, shared among all the company's assets."</li> </ol>	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will be evaluated according to the use of the software and how it helps engineering in decision making. Spreadsheets will not be considered an effective form of control.
16	GATI0016C-2	Systematic to record failures on tests and defects on equipment	The company should have a systematic to record and treat any fault event and equipment's failures	Analyze the system records and treats any fault event and equipment's flaws. Analyze if the records are handled to create a learning curve. The maintenance plan update should be evaluated Shorebased on fault and defect studies.	Items 13.3.1, 13.3.5 - RANP 43:2007 - Management practice No. 13 -SGSO; Items no. 7.5, 7.6 - ISO 55001:2014.	<ol style="list-style-type: none"> <li>1. Check the entire system from registration to analysis of failures or defects that have occurred.</li> <li>2. Check if the company's engineering sector actively participates in the analysis of failures or defects and proposes changes</li> <li>3. Check if the maintenance plan update is based on failure and defect studies.</li> <li>4. Verify that there is a continuous process of improving the failure record.</li> <li>5. Check the quality of the fault log.</li> </ol>	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will evaluate the systematic for recording and treating equipment failures or defects.

19	GATI0019D-2	Fault analysis procedure	The company should have a procedure that is well structured and supported by the industry for equipment fault analysis	Analyze if the procedure identify the fault's root cause, if it characterizes the observed fault impact, if the fault can be associated with a top event, and if it provides for recommendations or preventive maintenance to avoid this fault. There must be a record at the end of each critical maintenance, with the services performed history. Analyze if the company uses any world-class tool, formalized through reports, to perform critical failure analysis. Examples: 6 sigma, Ishikawa/fishbone diagram, five why, fault tree analysis, Pareto chart, etc.	Items 13.3.5, 13.4 - RANP 43:2007 - Management practice No. 13 -SGSO; Items no. 7.5, 7.6 - ISO 55001:2014.	1. Check by sampling some analyzes carried out and the subsequent treatment. 2. Check in the system if the failure can be traced and linked to corrective, preventive or predictive SO. 3. Check if the historical record of tests exists, and if so, observe: In the occurrence of any failures how they are handled. 4. Check definition of critical failures, not limited to ISO 14224.	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will be evaluated based on the evidence presented by the company in relation to the failure analysis performed and the subsequent treatment.	
20	GATI0020D-2	Criteria established to review the maintenance plan	The company should have in the asset management systematic the criteria to review the maintenance plan	Observe if the maintenance plan is reviewed due to schedule adjustment, fault analysis, improvement detection, best industry practices, or due management of change.	Items 13.1, 13.4 - RANP 43:2007 - Management practice No.13 -SGSO; Items 13.2.3 e 13.2.4 - RANP 46:2016 - SGIP; Item 9.3 - ISO 55001:2014	Verify the criteria established to review the maintenance plan.	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will be evaluated based on the criteria adopted for the maintenance plan review.	
21	GATI0021E-1	Assessment of the maintenance strategies and predictive maintenance implementation	The company should seek to improve its processes, also considering, where applicable, the use of predictive maintenance.	Analyze if the company has any predictive's analysis on their equipment	Client's Requirement	Verify if the company has any preventive equipment analysis (e.g., analysis of current, voltage, pressure, vibration, thermographic, oil, battery conductance)	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will be evaluated based on the systematics or analysis that determines when predictive maintenance is the most recommended maintenance strategy.	
22	GATI0022E-0	Predictive maintenance techniques used	If the company uses predictive maintenance, it should inform which monitoring techniques are used to identify its equipment's condition.	Observe which predictive maintenance techniques are used to guide equipment interventions.	Client's Requirement	Verify if the data acquired analysis through predictive maintenance is used to determine the intervention by the equipment's corrective maintenance.	Standard record, just viewing of the evidence, no need for copies of documentation.	Check by sampling the application of different predictive maintenance techniques, their results, the results analysis and the decision-making of when and which maintenance intervention will be carried out.	
23	GATI0023E-0	Analytical studies on which the predictive maintenance is Shorebased	If the company uses predictive maintenance, it should present the variables analysis study that determines which techniques and how often the maintenance should be carried out.	Analyze if the monitoring or analyses are enough to determine the maintenance's periodicity as per studies conducted.	Client's Requirement	Verify through sampling the information used in the predictive maintenance.	Standard record, just viewing of the evidence, no need for copies of documentation.	Check if the analysis of the maintenance strategy is enough to indicate which equipment should be evaluated by predictive maintenance, the frequency of maintenance and the appropriate predictive technique.	
<b>04. Maintenance process audit</b>									
24	GATI0024C-2	Internal audit on maintenance process	The company should have in its calendar at least one internal audit within a maximum of 12 months interval	Observe if it is scheduled at least once internal audit per year.	Items 7.2.2, 7.2.3, 7.2.4 - RANP 43:2007 - Management practice No. 7 -SGSO; Item 9.2.1 - ABNT NBR ISO 55001:2014.	Verify if the company performed at least one internal audit last year and if another audit has been scheduled for within one year.	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will assess if the internal audit program is carried out within a maximum frequency of two years.	
25	GATI0025C-2	Equipment Audits Plan	The company should have an Audits Plan that includes the Maintenance System.	Analyze if plans have been established and implemented to ensure the Audits program maintenance, including frequency, methods, and requirements to be audited.	Item 7.2 - RANP 43:2007 - Management practice No. 7 -SGSO; Item 9.2.2 - ABNT NBR ISO 55001:2014.	Verify through sampling if the audit plans cover the maintenance system.	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will assess if the company has a pre-defined plan of the asset management system for regular audits.	
27	GATI0027C-2	Pendencies or non-conformance resulting from the audit	The company should have a systematic that indicates how it handles the pendencies or non-conformances found in the Petrobras or third parties technical audits.	Analyze how the company's systematic handles pendencies and non-conformances found during the Petrobras Technical Audit.	Item 7.4 - RANP 43:2007 - Management practice No. 7 -SGSO; Item 10.1 - ABNT NBR ISO 55001:2014; Petrobras Standard N-2753; API STD 53:2018.	Verify if the systematic-related action plans are fulfilled, and if the systematic also provides for an assessment after the actions are implemented to solve pendencies and non-conformances.	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement must be evaluated with a focus on the pending audits or non-conformities systematic treatment. Evaluate if: - Action plans are generated; - These plans are executed within the specified period; - There is an evaluation of the actions after their implementation.	
<b>05. Preservation processes</b>									
29	GATI0029C-2	Company's assets preservation systematic	The company should have a company's assets preservation systematic	Analyze the systematic to preserve the company's assets throughout their lifespan. It is generally controlled by the chief mate.	Item 13.1 - RANP 43:2007 - Management practice No. 13 -SGSO; Item no. 8.5.4 - ABNT NBR ISO 9001:2015.	Verify the asset preservation process and how often the preservation activities are carried out throughout the unit's lifespan, including the unit's painting and corrosion treatment plan.	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will be evaluated according to the systematic or procedure for preserving the company's assets.	
30	GATI0030C-1	Storage and Initial Preservation	The initial preservation should be Shorebased on specified storage conditions and the applicable duration.	Observe if the initial preservation procedures contain the equipment storage characteristics	Item 10.3 - RANP 43:2007 - Management practice No. 10 -SGSO; Item no. 4.3, 4.3.3 - NORSOK Z006 Rev. 1	Verify through sampling if the equipment, parts, and components are properly stored as specified by the manufacturer and/or by the company's procedures.	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will assess if the manufacturer's recommendations and other appropriate precautions are adopted for the equipment purchased by the company.	



31	GATI0031E-1	Preservation Maintenance Intervals	The company should ensure that any Preservation Maintenance carried out within intervals longer than 1 week should include the verifications covered by shorter intervals in the Preservation Maintenance Checklist. For each interval should have a description of the verification to be done.	Those intervals should present a predetermined period. Observe if the preservation maintenance is being carried out Shorebased on specifications according to the checklist periodicity. NORSOK establishes that the most used periods range between one and twenty-four weeks.	Item no. 4.4.5 - NORSOK Z006 Rev.1	Verify through sampling if the Preservation Maintenance is being carried out in conformity with the parameters set in the Checklist according to its respective periodicity.	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will be evaluated by comparing the checklists with what has been performed, with regard to the maintenance frequency.
32	GATI0032E-2	Execute receiving inspection to ensure the preservation	The equipment should undergo material receiving inspection to ensure the preservation conditions.	Analyze the receiving documents and reports consistency of the materials	Item no. 4.4.6 - NORSOK Z006 Rev.1	Verify through sampling if the equipment undergo material receiving inspection.	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will be evaluated based on the comparison between receiving inspections and the current state of the equipment.
33	GATI0033E-1	Anticorrosive Protection and Painting	The company should perform the equipment's anticorrosive painting and protection according to its specifications.	Analyze if the equipment anticorrosive painting and protection processes are being done according to its specifications.	Item no. 4.4.8 - NORSOK Z006 Rev.1	1. Verify through sampling the anticorrosive protection and painting records 2. Check the painting plan on the unit and compare it with the planned painting plan.	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will primarily assess the preservation and painting of the maritime unit.
34	GATI0034C-1	Preservation Plan	A plan with all the Preservation steps should be elaborated for each equipment/type of equipment.	Analyze the consistency of the preservation plan elaborated for each equipment/type of equipment/bulkheads/lines and other structural parts of the unit.	Items 13.1, 13.4 - RANP 43:2007 - Management practice No.13 -SGSO;	Verify through sampling if those dossiers contain types of documents such as: Special instructions, packaging instructions, protection removal procedures, toxic component control chart (epoxy paint etc.), preservation reports, and equipment identification number listing.	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will be assessed based on the company's equipment and assets databooks, as described in the verification column of this spreadsheet.
<b>06. Inventory analysis</b>								
35	GATI0035B-2	Critical equipment's minimum inventory procedure	The company should have a systematic that ensure a minimum critical equipment inventory.	Analyze if the company has a critical equipment, tools, and spare parts lists that should have a minimum inventory. Analyze if the definition of this inventory is Shorebased on the engineering strategy for each piece of equipment.	Item 13.2 - RANP 43:2007 - Management practice No. 13 - SGSO;	1. Verify through sampling the minimum inventory maintenance of equipment listed as critical. 2. Check if the acquisition lead time is considered in the definition of the minimum inventory	Standard record, just viewing of the evidence, no need for copies of documentation.	Evaluate this requirement in relation to the existence or not of a minimum stock of critical equipment, tools, sensors or spares.
36	GATI0036B-2	Verification systematic and inventory analysis	The company should have an inventory analysis and verification systematic.	Analyze if the company has a minimum equipment inventory verification routine. Analyze if this inventory's definition is Shorebased on the engineering strategy for each piece of equipment.	Item 13.2 - RANP 43:2007 - Management practice No. 13 - SGSO;	Verify in the procedure if it is possible to ensure the routine verify of the critical equipment inventory.	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will evaluate the systematic for verifying the minimum stocks of equipment, tools, sensors or critical spare parts.
37	GATI0037B-2	Systematic to acquire spare equipment and critical equipment repair kits.	The company should have a defined systematic to acquire spare equipment and critical equipment repair kits.	Analyze if the spare equipment purchase systematic has a process that is different than the others. Analyze whether the definition of this inventory is Shorebased on the engineering strategy for each piece of equipment.	Item 13.2 - RANP 43:2007 - Management practice No. 13 - SGSO; Item no. 8.2 – API RP 75:2004.	Verify the entire spare equipment purchase process to ensure that the purchasing guidelines have been applied in a distinctive manner.	Standard record, just viewing of the evidence, no need for copies of documentation.	As the previous requirement, this requirement will be evaluated with a focus on processes, and should be measured through the analysis of equipment acquisition, spare parts and repair processes.
38	GATI0038E-1	Inventory storage area control	The company should indicate what are its designated storage areas or store rooms to prevent product damage or deterioration, pending use, or delivery.	Analyze how the company manages its storage areas, barriers against damages, and logistical issues.	Item 5.7.6.2 - API SPEC Q1:2016.	Verify how the company manages its storage area and logistics to ensure that no product will be short of.	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will assess how the company manages its storage areas and plans its logistics.
39	GATI0039E-1	Equipment and material emergency purchase systematic or procedure	The company should have a systematic for critical or noncritical equipment or materials purchase	Analyze if the systematic offers a swifter emergency acquisition alternative. Analyze what is the equipment or spare part purchasing systematic, and verify if the logistical procedure ensures the non-shortage of equipment at the rig and if it is Shorebased on the engineering strategy for each piece of equipment.	---	Verify if the equipment purchasing systematic ensure that the equipment's non-shortage for logistical reasons and will arrive on time and not be short of.	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement complements the critical equipment acquisition requirement, and will assess the process of acquiring non-critical equipment in emergency situations.
<b>07. Inspection and/or maintenance companies partnerships</b>								
40	GATI0040C-2	Partnerships with outsourced inspection and/or maintenance companies	The company should have an equipment maintenance / inspection companies partnership procedure.	Observe if the partnership procedure enables the company to control the outsourced maintenance and inspection activities carried out in the unit and the outsourced companies processes.	Item 5.3.1 - RANP 43:2007 - Management practice No. 5 - SGSO; Item no. 8.3 - ABNT NBR ISO 55001:2014.	Verify through sampling if the company has control over the activities and processes used by its partners.	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will assess if the procedures ensure that outsourced maintenance and inspection activities are controlled by the company.
41	GATI0041C-2	Outsourcing-related risks evaluation system	If outsourcing, the company should evaluate the impact on the asset management goals and target achievement.	Make sure that the outsourced resources are aware of and involved in the asset management policies communication.	Item 5.3.2 - RANP 43:2007 - Management practice No. 5 - SGSO; Items 8.3, 7.2, 7.3, 7.6 - ABNT NBR ISO 55001:2014.	1. Check the qualification, by sampling, of outsourced workers and prove through records and interviews that they are aware of the asset management relevant communication; 2. Check if the risks of activities carried out by third parties are mapped. 3. Verify by sampling the outsourced companies performance KPI.	Report the suppliers KPI that are monitored by the company, as well as their calculation formula, current value and goals.	The assessment of this requirement should focus on evidence that the communication info pertaining to asset management is known by outsourced workers.

42	GATI0042C-2	Competence ensurance, technical responsibilities, and training of outsourced parties.	The company should evaluate, manage, and ensure that the outsourced labor can meet the demands and have received the proper operational training to perform the activities.	Ensure that the outsourced resources have specific skills and training for the roles to be performed and are aligned with the asset management policies. Analyze how the outsourced workers' technical responsibilities are managed as to the services provided.	Item 5.3.2 - RANP 43:2007 - Management practice No. 5 - SGSO; Item no. 7.2 - ABNT NBR ISO 55001:2014.	1. Verify through sampling the outsourced employees' skills, training, and qualifications, correlating them with the roles performed. 2. Verify how the outsourced employees' technical responsibilities are managed.	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will be evaluated based on interviews, training records and qualification certificates of outsourced employees. The management of the technical responsibilities of third parties will also be evaluated.
<b>08. BOP and other Well Control System Equipment (WCSE)</b>								
44	GATI0044C-2	Well Control system Equipment (WCSE) test procedures	The company should have an equipment test procedure that is aligned with and follows the normative recommendations.	Analyze if both tests and the reports are standardized Shorebased in any Standard mentioned.	Item 13.2.2 - RANP 43:2007 - Management practice No. 13 - SGSO; Item no. 9 - WCSE tests Petrobras Standard N-2753; Item 7.3 - BOP test pressure Petrobras Standard N-2752; Annex C - API STD 53:2018; Annex A - NORSOK D-010.	Verify if all the WCSE test documentation and reports follow normative recommendations, according to examples from the Auditor's book.	Attach to the audit report which standard is used, the procedure and an example of the operational sequence of the tests.	This requirement will be evaluated based on evidence. The test procedure models will be compared to the generated reports and it will be verified if they are based on regulatory standards.
45	GATI0045B-2	Blowout Preventer (BOP) Tests - Surface tests and bottom test - Tests as well control equipment	The Maritime Unit must carry out the well control system equipment tests with the minimum frequency specified in the reference standards.	Observe if the drilling rig has all the test run records on the BOP when it is and is not installed on the well's head. Suitable both on physical or electronic media.	Item 13.2.2 - RANP 43:2007 - Management practice No. 13 - SGSO; Item no. 9 - WCSE tests Petrobras Standard N-2753; Item 7.3 - BOP test pressure Petrobras Standard N-2752; Annex C - API STD 53:2018; Annex A - NORSOK D-010.	Verify: 1. Functional and hydrostatic tests of all equipment in the well control system, if BOP is installed or not. 2. If the company complies with the minimum frequency required by the reference standards, otherwise, request a postponement MoC for analysis. 3. Check if the historical record of the tests exists, and if so, observe how eventual failures are handled (MoC and or APR). 4. There is control over each component's closing and opening cycle to predict maintenance.	If there is control, attach to the report any treatment performed due to failure, and the control of opening and closing cycles of BOP components.	This requirement will be evaluated based on evidence of BOP testing with positive and negative results. Evaluate if there is control of opening and closing cycles, as well as the treatment in case of failures.
49	GATI0049C-1	BOP system fault history	The company should have a systematic to investigate incidents with the WCSE to handle those faults' root causes and prevent recurrence. Furthermore, it should have control over the communication of such faults or malfunction to the manufacturer.	Observe if the drilling rig has the WCSE equipment faults record with the respective handling and communication to the manufacturer.	Item 13.3.1 - RANP 43:2007 - Management Practice No. 13 - SGSO; Item 6.5.11 and Annex D - API STD 53:2018.	Verify if there is a standard for handling the non-conformances in the WCSE equipment and if the investigation report clearly informs the fault, identifying the root cause and the actions to prevent recurrence, and also that the non-conformance was communicated to the manufacturer.	Request reports of the latest BOP failures and evaluate records.	This requirement must be evaluated with a focus on evidence from conducting BOP failure investigations, in such a way that the reports with the definition of the root cause can be evidenced.
<b>09. Reliability</b>								
53	GATI0053E-1	Reliability program	There must be a descriptive document defining the drilling rig reliability program	The program must demonstrate clear objectives of: (1) Increase reliability/each system availability (2) Reduce maintenance man-hour demand and logistics support (3) Provide information to management (4) Predict the impact on cost and planning.	MIL-STD-785B (4 - General Requirements, Task 101) IEC 60300-1 (A.2)	The document should highlight: 1. Scope: The plan must cover all critical systems. 2. Persons responsible for implementing the plan (engineers/technicians). 3. Quality Control Strategies. 4. Performance appraisal strategies. 5. Techniques applied to each critical system (one of the available techniques must be applied to all critical systems). 6. Failure database management. 7. Implementation control methodology, review and periodic program update.	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will be evaluated based on the content and implementation of the reliability program.
55	GATI0055E-0	Consequence Analysis (Qualitative)	There must be at least one (qualitative) consequence analysis.	Check if any of these analyzes have been performed: Fault Tree Analysis (FTA) Event Tree Analysis (ETA) Worst Case Scenario (WCS) Vulnerability Modeling / Sneak circuit analysis (SCA) Reliability Block Diagram (RDB) Risk Based Inspection (RBI - qualitative)	IEC 60300-3-1 (FTA A.1.2) IEC 60300-3-1 (ETA A.1.3) IEC 60300-3-1 (RDB A.1.4) IEC 60300-1 (WCS A.2.2) IEC 61078 (RDB) MIL-STD-785, Task 201 (RDB), 203 (RDB), 205 (SCA) API RP 750 (RBI)	Verify: 1. If the chosen method is appropriate to the system to which it was applied. 2. Verify that components have been ranked accordingly to their impact on reliability. 3. Check if FTA was used to build the FMEA. 4. Check if there is a division between design and process FMEA. Check coverage on critical systems 5. Check if there is a critical failure classification.	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will be evaluated based on the technique used for at least one critical system.
56	GATI0056E-0	Frequency Analysis (Quantitative)	There must be at least one quantitative frequency analysis study	Check if any of these analyzes were performed: - RAM - Reliability, Availability and Maintainability Analysis - Bayesian networks - Monte Carlo simulation - Markov analysis - Petri net analysis - Boolean methods - Risk Based Inspection (RBI - quantitative) - LOPA	N-2782 N-2781  IEC 60300-1 (tabela 1 e 4.4) IEC 60300-3-1 (Markov A.1.5 / Petri A.1.6 / Monte Carlo A.2.3) IEC 61078 (RDB, Markov, booleanos, quantitativos) IEC 61165 - Markov MIL-STD-758B (50.2.2.3) API RP 750 (RBI) ISO 14224 (Anexo C) IEC 61703	To check 1. If the analysis has reached the equipment components level; 2. Verify that RBD (Reliability Block Diagram) was performed for the study (when applicable). 3. Check the used fault data consistency. 4. Check that the appropriate curves for each component have been studied. 5. Verify that the chosen method is appropriate for the system to which it was applied. 6. Verify that the blocks were correctly classified as repairable and non-repairable. 7. Check software/calculation methodology. 8. Check if external factors were considered 9. Verify that components have been ranked accordingly to their reliability impact; 10. If RBI (Risk Based Inspection) is applied, verify that the system is in fact relevant to its application (eg high pressure lines)	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will be evaluated based on the technique used for at least one critical system.

57	GATI0057E-0	Reliability-Centered (RCM) and Condition-Based Maintenance (CBM)	The company must have implemented a reliability-centered maintenance and/or condition-based maintenance policy for at least one critical system.	<ol style="list-style-type: none"> <li>1. The company must issue a report consolidating all the steps performed.</li> <li>2. Both studies must be preceded by an Reliability Block Diagram (RDB)</li> <li>3. Both studies must be preceded by an Fault Tree Analysis (FTA) / Failure Mode &amp; Effect Analysis (FMEA) or other analytical / frequency study.</li> <li>4. For RCM, check if there is a decision tree to define the maintenance plan tasks.</li> <li>5. Check if the CBM implementation exists.</li> <li>6. Check for managerial approvals between each of the RCM/CBM steps</li> </ol>	MIL-STD-3034 (5. Detailed Requirements) ISO 17359 ISO 13379 SAE JA1012	<ol style="list-style-type: none"> <li>1. Functions, failure modes, consequences and actions must be clearly identified, representative and manageable.</li> <li>2. Check if there is a correlation between all the elements that are part of the RCM.</li> <li>3. The number of tasks associated with the MCC must be proportionally significant in relation to the total number of tasks in the system.</li> <li>4. Check if there is a process of the tasks periodic review.</li> <li>5. If you have an CBM verify that all system components and processes have been identified; if the alerts were defined with objective criteria; uses some model for diagnosis / prognosis</li> </ol>	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will be assessed in relation to the reliability-centric maintenance and/or condition-based maintenance policy for at least one critical system.	
58	GATI0058E-0	Performance evaluation	The company must have KPI to correctly evaluate the assets performance, aiming to reduce costs, logistics, man-hours and increase reliability and availability.	Evaluate what are the processes or systematic used by the company to evaluate the asset performance.	60300-3-2 60300-3-10 (5.1; 6.4.2) 60300-3-14 (6.3.2; 8.2.3) MIL-STD-785 (4.4.2) ISO 20815 / D.3.4.1 ISO 14224 (Table 7, Annex C and E) IEC 61078 (E.4) IEC 61703 (Annex A)	<ol style="list-style-type: none"> <li>1. Check if KPI use MTBF, MTTR and availability to assess asset performance.</li> <li>2. Check if the KPI use the parameters of reliability, availability and maintainability.</li> <li>3. Check which criteria are used to determine the evaluated parameter by system (reliability, availability or maintainability) according to the operational need.</li> <li>4. Check if there is a difference on the evaluation parameter according to the needs of each critical system.</li> <li>5. Check if the analyzes involve a cost-benefit relationship of the initiatives.</li> </ol>	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will be evaluated based on the KPI and criteria used by the company to measure the performance of its assets.	
<b>10. Gestão Energética</b>									
59	GATI0059D-0	Energy Policy	The company must have an energy policy in accordance with ISO 50001	Check if the company has an energy policy	ISO 50001:2018 ISO 50004:2021	<ol style="list-style-type: none"> <li>1 - Check if the company has an energy policy within its strategic planning, corroborating the leadership's commitment to the efficient energy use.</li> <li>2 - The policy must be aligned with the business and purpose of the company</li> <li>3 - The policy must include the company's commitment to energy management, compliance with legal requirements, resource allocation and continuous improvement</li> <li>4 - Evidence that the policy is properly documented, disseminated and available to the entire workforce and interested parties.</li> <li>5 - Check randomly and in a sample way the knowledge of the workforce about the energy management policy</li> </ol>	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement should assess at the shorebase and offshore unit if the company has an Energy Policy and if the employees are aware of it	
60	GATI0060E-0	Energy Management System	The unit must have an energy management system according to ISO 50001	Check if the energy management system meets the requirements of NBR ISO 50001.	ISO 50001:2018 ISO 50004:2021	<ol style="list-style-type: none"> <li>1 - Verify the existence of certification or explicit self-declaration of conformity to the standard;</li> <li>2 - Check if the company has goals and objectives associated with energy consumption in the company's strategic planning</li> <li>3 - Verify the existence of energy performance KPI and energy baselines;</li> <li>4 - Check the goals disclosure established by the company's leadership;</li> <li>5 - Verify the existence of a systematic for monitoring and controlling KPI and action plans with critical analysis, in order to guarantee the execution of the initiatives and run the PDCA within the process.</li> <li>6 - Check the existence of an energy management team.</li> </ol>	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement should assess the company's energy management systematic or process.	
61	GATI0061E-0	Suppliers management linked to the energy management	Energy efficient products and services acquisition policy	Check if the company has a procurement policy that look for energy efficient products and services	ISO 50001:2018 ISO 50004:2021	<ol style="list-style-type: none"> <li>1 - Assess if the company's policies encourage the purchase of energy efficient goods and services</li> <li>2 - Evidence an acquisition process in which the policy has been used (successfully or not)</li> </ol>	Standard record, just viewing of the evidence, no need for copies of documentation.		
62	GATI0062E-0	Projects management linked to energy management	Execution of energy efficient projects policy	Check if the company has a policy that establishes criteria for selecting projects that look for energy efficiency	ISO 50001:2018 ISO 50004:2021	<ol style="list-style-type: none"> <li>1 - Evaluate the company's policies, guidelines, and reference documentation for project selection</li> <li>2 - Evidence the process in which the policy has been used (successfully or not)</li> <li>3 - Check if there is any project aimed at reducing greenhouse gas emissions</li> </ol>	Standard record, just viewing of the evidence, no need for copies of documentation.		
<b>11. Cyber Security</b>									

54	GATI0054E-0	Automation systems cyber security management Policy	The company must have a Cyber Security Management Policy for Automation Systems, which guarantees the best possible availability of assets.	<p>Observe if the policy is aligned with the automation systems cyber security management standard (IEC-62443) in the domains:</p> <ul style="list-style-type: none"> <li>- Management of Change (MoC);</li> <li>- maintenance of the logical infrastructure;</li> <li>- maintenance of the physical infrastructure;</li> <li>- management of technological obsolescence;</li> <li>- industrial automation asset management;</li> <li>- prevention against malware;</li> <li>- automation networks security;</li> <li>- access control;</li> <li>- backups management;</li> <li>- protection against environmental factors;</li> <li>- physical access control to control rooms and operation stations; and</li> <li>- business continuity plan.</li> </ul>	IEC-62443, IMO Resolution MSC.428(98), Circular IMO MSC-Fal.1/Circ.3, SOLAS, ISM Code, ABS Cyber Risk Management Services, DNV ISASecure Management Services.	<p>"Check if the policy contains:</p> <ol style="list-style-type: none"> <li>1. Management of Changes, Alarms (set points) and Inhibits (changes control and approval);</li> <li>2. Logical Infrastructure Maintenance (software interventions and modifications);</li> <li>3. Maintenance of the Physical Infrastructure (hardware interventions and modifications);</li> <li>4. Management of Technological Obsolescence;</li> <li>5. Prevention against malware (installation of anti-virus in all stations of the automation systems, with periodic updating and treatment of incidents);</li> <li>6. Security of automation networks (segregation, auditing, control of test and diagnostic equipment);</li> <li>7. Control access to stations (use of individual keys/passwords, access auditing, periodic changes);</li> <li>8. Management of software backups used in industrial automation (preserving integrity, availability, updating);</li> <li>9. Protection against environmental factors (cooling of rooms and panels, fire prevention, identification, environmental monitoring).</li> </ol>	Standard record, just viewing of the evidence, no need for copies of documentation.	This requirement will be evaluated based on the content and implementation of the cybersecurity policy.
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## Integration Management

no.	Requirement Code	Title	Requirement	Location	Applicability	Analysis		Type of Criteria	NCC	Guidelines	Documentation	Verification	Evidence collection	Evaluation criteria
						Docs	In Loco							
<b>01. Uniform management among the company's units</b>														
1	GINT0001D-2	Systematic of Elaboration and Mission, Vision, Values, and Principles Disclosure	The company should ensure the availability and disclosure of document(s) that contain(s) its mission, vision, values, and principles. Its own and fixed outsourced labor should be familiar with the content.	Shorebase and Rig	OP, PQ e RE	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	D	Look for the document(s) that contain(s) the company's mission, vision, values, and principles in different places. Also seek the HSE Policy. Analyze how the information is disclosed to its own and fixed outsourced labor	Item 1.1, 1.2, 1.4.1 - RANP 43:2007 - Management Practice no. 1 - SGSO; Item 5.2 - ABNT NBR ISO 9001:2015; Item 5.2 - ABNT NBR ISO 14001:2015; Item 5.2 - ABNT NBR ISO 45001:2018; Items 1.1, 1.2, 1.3, 2.11, 3.1 - IOGP 423-02 verifilist 2017; Item no. 1.2 and 1.4 - RANP 46:2016 - SGIP.	1. Verify the document disclosed by the company, disclosure systematic, and if their employees have access to and have the knowledge on the content. 2. Verify if periodic reviews are made by competent professionals. 3. Verify if the values and policies are approved by the senior management.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement should be assessed both at the base and at the offshore unit, focusing on the availability of documents and through interviews to verify that the workforce knows it.
2	GINT0002B-2	Organizational structure and responsibilities assignment	The company's Senior Management should evidence an organizational structure implementation that assigns responsibilities and assignments of the personnel concerned; values, policies and goals disclosure, and commit with resources to the company's own and outsourced labor operational safety managing system implementation and workings, reinforcing the QHSE Policies and requirements compliance.	Shorebase and Rig	OP, PQ e RE	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	B	Analyze the organizational chart and procedures presented by the company. (RE) Analyze how information ARE being disclosed during rig receiving/pre-operation so that those responsible are able to perform their tasks properly.	Item 1.3.1 - RANP 43:2007 - Management Practice no. 1 - SGSO; Item 1.1, 1.3, 3.1, 3.24, 5.1H, 5.2, 5.8A, 5.11 - IOGP 423-02 verifilist 2017 Item no. 1.3 - RANP 46:2016 - SGIP.	1. Verify documents disclosed by the company. 2. Verify, through interview, if the employees know their roles and work in an integrated manner. 3. Verify how the structure ensures the managerial participation in the activities regarding the Well Integrity Management. 4. (RE) verify, through interviews, if those responsible are aware of their attributions before the start of operations.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement must be evaluated both at the base and at the maritime unit, focusing on the evidence presented by the company.
4	GINT0004E-2	Alignment of the HSE standards and procedures among the company and the outsourced companies	The company should have a structure that provides for the interaction among the company's standards and procedures and the drilling contractors as to the HSE (Bridging Document, Correlation Matrix) aspects.	Shorebase Only	OP e RE	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	EX	E	Analyze the company's documents and procedures regarding the alignment between management systems with its contracted companies. Analyze if this alignment occurs at the rig receiving/pre-operation stage and if it is known to outsourced companies and to the drilling contractor.	Items 1.1, 1.3, 2.4, 3.1, 3.2, 3.18, 3.23, 3.24, 5.2 - IOGP 423-02 verifilist 2017	Verify the correlation matrix (Bridging Documents) and analyze possible gaps.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement will be evaluated based on the availability of documents and the alignment between companies.
6	GINT0006D-2	Operation's Safety Culture Dissemination	The company should assure that the Leadership will value safe operations, as well as the authority to stop operations.	Shorebase and Rig	OP, PQ e RE	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	D	Analyze how the leadership acts to prioritize operation safety, whether there is some kind of company's employee or fixed/temporary outsourced labor/client recognition or some other kind of incentive. There is a company program similar to the STOP card or STOP policy, which stops the operation according to the perceived risk. Look for documents that demonstrate how important the culture is disseminated among the company's own or outsourced labor's. (RE) Verify that this acknowledgment, programs and broadcast also occur during receiving/pre-operation.	Items 1.2, 1.3.2, 1.4 e 1.5 - RANP 43:2007 - Management Practice no.1 - SGSO; Items E1.2, E8.4 - IOGP no. 510: 2014; Items 1.1, 3.1, 3.2 - IOGP 423-02 verifilist 2017.	1. Verify how the leadership incentivizes the safe operation culture. 2. Verify if there is a program used by the company to disclose stop the operation culture in case of risk . 3. Verify if workers are empowered to interrupt their activities when they find a work situation where, in their view, there is a serious and imminent risk to their life and health, immediately informing their hierarchical superior. 4. Verify if actions to disclose the safety culture are uniform throughout the fleet and if there is an analysis of the difference in safety maturity between the Units of the fleet. verify if, when this occurs, a specific action plan is prepared (applicable only to audits in more than one maritime unit) 5. (RE) Verify if the planning for the safety culture disclosure is applied to the receiving/pre-operation and if there is a critical analysis of the effectiveness of the process, to guarantee the operations start with the engagement of the majority of the employees	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement must be evaluated both at the base and at the maritime unit, focusing on the evidence presented by the company.
9	GINT0009E-2	Strategic Planning	The company should demonstrate that use the Strategic Planning as a management tool	Shorebase Only	OP	<input checked="" type="checkbox"/>	<input type="checkbox"/>	EX	E	Look for the company's strategic plan document. Look for the planning review periodicity. Analyze action plans from strategic and its verification in meetings to discuss this theme.	Items 0.1, 0.3.1, 4.1, 5.1.1, 5.2.1, 9.3.1 - ABNT NBR ISO 14001:2015; Item E1. - IOGP no. 510: 2014.	Verify: 1. If the strategic planning/direction is documented. 2. If the action plans were established to achieve the goals established therein; 3. If regular meetings or follow-ups are held (eg quarterly), with a record of applicable preventive and corrective actions. 4. If the workforce is communicated about issues that concern them	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement should only be evaluated on the shorebase, depending on the strategic planning and the plans derived there from. Evaluate how action plans are handled and monitored.
10	GINT0010D-2	Responsibilities and assignments definition in the organizational structure to apply the policy, objectives and goals	The company should define the people in charge of applying/disseminating the company's policies, objectives and goals and if the necessary resources to implement and put the managing system to work were properly allocated.	Shorebase Only	OP e PQ	<input checked="" type="checkbox"/>	<input type="checkbox"/>	PQ	D	Look for the company's strategic plan document. Look for the planning review periodicity. Analyze action plans from strategic and its verification in meetings to discuss this theme.	Items 1.1 and 1.3.3 - RANP 43:2007 - Management Practice no.1 - SGSO; Item E1.5 - IOGP no. 510: 2014; Table 1 - Element 2 - Items 2.1, 2.3 - IOGP no. 423-01: 2017; Items 2.2, 2.3, 2.8, 2.9, 3.17 - IOGP 423-02 verifilist 2017.	1. Verify, by sampling, all documents that point out the leaders responsible for the company. 2. Verify how the company collects and consolidates feedback on the applicability of the policy, objective and targets and its effectiveness to identify shortfalls against expectations. 3. Verify that the necessary internal and external resources have been made available for the implementation and operation of the operational safety management system. 4. Verify that the workforce has been informed about the policy, values, goals and plans to achieve the established performance for the operational safety of the facility.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement should only be evaluated at the Shorebase, with a focus only on defining the leaders responsible for the company, on the review and update process, and on what the research and information gathering process is like for the continuous improvement of the policy, objectives and goals.
11	GINT0011D-2	Company's own and fixed/temporary outsourced labor commitment to its policies, objectives and goals	The company should ensure that its own labor and fixed/temporary outsourced labor are aware of and committed to the activities' result according to the company's policies, objective and goals.	Shorebase and Rig	OP, PQ e RE	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	D	Observe and interview its employees in their workplace. Analyze how the company communicates its policies, objectives and goals, and its standards to all of its own labor and fixed/temporary outsourced labor (RE) Verify if there is a planning to engage the crew during receiving/pre-operation, to ensure that teams are guided on which path the drilling contractor wants to follow, before starting operations.	Items 1.2, 1.3.3, 1.4.1 and 1.4.2 - RANP 43:2007 - Management Practice no. 1 - SGSO; Item E1.3 - IOGP no. 510: 2014; Table 1 - Elements 1, 2 - Items 1.1, 2.1 - IOGP no. 423-01: 2017; Items 1.2, 2.9, 3.3, 3.9, 3.18, 3.23, 3.24 - IOGP 423-02 verifilist 2017.	1. Verify by interviewing its own employees how committed they are to the company's policies. 2. Verify how the leadership guarantees the workforce' commitment to their tasks according to the company's policies, standards and objectives, and in compliance with the external requirements. 3. (RE) Verify if the planning for the dissemination of information, during intake/pre-operation, is being applied and if there is a critical analysis on its effectiveness to ensure the engagement of employees at the beginning of operations	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement should be assessed at the base and maritime unit(s) based on worker interviews.
12	GINT0012D-2	Document management	The company should have a document (versions, updates, etc.) management systematic, retention, backup types, procedure models, report templates, controlled by software or people, to ensure reliable backup, information security, and document traceability.	Shorebase and Rig	OP e PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	D	Look for, 1. If there are means to assure the availability of documents on policies, procedures, work instructions, forms, etc. to the workforce. 2. If there are control procedures and access to the documents. 3. If the company uses means for training the workforce in the aforementioned procedures, as applicable.	Items 8.1, 8.2 and 8.3 - RANP 43:2007 - Management Practice no. 8 - SGSO; Item E1.7 - IOGP no. 510: 2014; Table 1 - Element 1 - Item 1.1 - IOGP no. 423-01: 2017; Item 2.13 - IOGP 423-02 verifilist 2017; Item 7.5.3 - ABNT NBR ISO 9001:2015. Item no. 8 - RANP 46:2016 - SGIP	1. Verify the documentation management process. 2. Verify the evidence of the implemented processes to manage documentation, to ensure the most recent review and revisions control 3. Verify if the versions are approved, identifiable, and available, with defined retention, if they have backup and filing systems to manage information and related records. 4. Verify whether documentation is filed or made available (printed or electronically), outside the company's official control system. 5. Verify the formatting, standardization, approval, distribution, access, retrieval, preservation, retention, back-up, disposition and training process of the workforce regarding the company's documentation.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement shall be evaluated both at the base and at the maritime unit(s), analyzing documentation, objective evidence and the results of interviews with the workforce./

14	GINT0014D-2	Company's management KPI	The company should verify its performance through KPIs that can be used to accompany (monitor) its processes' management.	Shorebase and Rig	OP e PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	D	Analyze if Shorebase and the rigs have performance goals Shorebased on lead and lag KPI developed for each area and if there are plans, corrective and preventive actions, and periodic reviews of the goals set.	Items 1.1 and 1.3 - RANP 43:2007 - Management Practice no. 1 - SGSO; Items 6.1, 6.3.1 - RANP 43:2007 - Management Practice no. 6 - SGSO; Item E9.4 - IOGP no. 510: 2014; Table 1 - Element 1 - IOGP no. 423-01: 2017; Items 1.8, 2.16, 4.4F, 9.1, 9.9, 9.10, 9.11, 9.12, 9.13, 9.14, 10.7 - IOGP 423-02 verifilist 2017; Item 4.4.1 c - ABNT NBR ISO 9001:2015.	1. Verify if each rig or Shorebase has documented performance goals. 2. Verify if the KPI set encompasses proactive and reactive aspects. 3. Verify if the rig or Shorebase has a documented planning to achieve the performance goals established for the management related aspects 4. Verify if there are corrective and preventive actions for underperformance and if the goals are reviewed periodically. 5. Verify the KPI and targets disclose for the workforce.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement should only be evaluated on the Shorebase with a focus on the analysis of the company's integrated management system, more specifically the KPI used.
15	GINT0015D-2	Process mapping	The organization shall determine the processes required for the QHSE management system and its application within the organization. The company should have its processes mapped so the KPI's could be prepared to monitor the processes established by the corporation	Shorebase and Rig	OP e PQ	<input checked="" type="checkbox"/>	<input type="checkbox"/>	PQ	D	Observe whether its managerial processes mapping records have a systematic analysis that offers improvements for both.	Items 6.1 and 6.2 - RANP 43:2007 - Management Practice no. 6 - SGSO; Items 0.3 and 4.4 - ABNT NBR ISO 9001:2015; Item 10.7 - IOGP 423-02 verifilist 2017.	Verify if the company has mapped its processes, determining: - your expected inputs and outputs; - the sequence and interaction of these processes; - application of criteria and methods (including monitoring, measurements and related performance indicators); - elements necessary to ensure the effective operation and control of these processes; - resources necessary to ensure their availability; - responsibilities and authorities assignment; - the risks and opportunities; Assess if the company has evaluated these processes and implemented any necessary changes.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement must be evaluated both at the shorebase and at the maritime unit, focusing on the evidence presented by the company.
16	GINT0016D-2	Continuous improvement process disseminated in the company	The company should have a processes and activities evaluation systematic to ensure the continuous improvement in its processes	Shorebase and Rig	OP e PQ	<input checked="" type="checkbox"/>	<input type="checkbox"/>	PQ	D	Observe through the procedures how the company's continuous improvement takes place.	Items 6.1, 6.2 and 6.3 - RANP 43:2007 - Management Practice no. 6 - SGSO; Items 0.3.2 and 10.3 - ABNT NBR ISO 9001:2015; Items 0.4 and 10.3 of ANBT NBR ISO 14001:2015; Items 0.4 and 10.3 ABNT NBR ISO 45001; Items 1.1, 2.9, 2.16, 3.1, 3.2, 3.7, 9.2L, 10.7 - IOGP 423-02 verifilist 2017.	1. Evidence the implementation of the steps of a PDCA cycle. 2. Verify documents and evidence presented by the company, identifying stages of an implemented continuous improvement process. 3. Verify how the company communicates results relevant to the continuous improvement of OH&S management to the workforce.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement must be evaluated on the shorebase, via document analysis and interviews.
44	GINT0044E-1	Senior Management on QHSE and business management's commitment.	The company's Senior Management (N1, OIM) should demonstrate their commitment through objectives, goals and KPI management periodic meetings; communications with its own and outsourced labor, reinforcing the QHSE Policies and compliance requirements; as well as regular Rig visits/inspections.	Shorebase and Rig	OP	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	EX	E	Look for evidence of regular embarks, QHSE inspections and communications records to own labor and outsourced fixed/temporary labor	Items 1.1, 1.3.1, 1.3.2, 1.3.3, 1.4.1, 1.5, - RANP 43:2007 - Management Practice no. 1 - SGSO; Item 2.2.1 - RANP 43:2007 - Management Practice no. 1 - SGSO; Item 3.1 and 3.2.1 - RANP 43:2007 - Management Practice no. 1 - SGSO; Item 2.3.2.2 - ABNT NBR ISO 9001:2015; Item 5.1 - ABNT NBR ISO 14001:2015 and Item 5.1 - ABNT NBR ISO 45001:2018	1. Verify documents disclosed by the company, including emails sent to its own and outsourced labor 2. Verify regular embark schedule 3. Verify inspection records and minutes of meetings, participation of N1 and OIM in inspections, audits and issuance of observation cards.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement must be evaluated both at the base and at the maritime unit, focusing on the existence of records in minutes, inspection forms, audits, observation cards, emails./
45	GINT0045D-1	IMS's Critical Analysis	The company should have an IMS (Integrated Management System) Critical Analysis Meeting through Senior Management to ensure the operational safety management system effectiveness and to promote the facility's continuous safety conditions improvement, to monitor the objectives, goals and KPI, and handle objectives and goals achievement deviations.	Shorebase Only	OP e PQ	<input checked="" type="checkbox"/>	<input type="checkbox"/>	PQ	D	Observe the IMS Critical Analysis Meeting records. Analyze the meeting's ramifications to see if the effectiveness was reached or if action plans were implemented to recover items or even for continuous improvement.	Item 6.1 - RANP 43:2007 - Management Practice no. 6 - SGSO; Item 9.3 - ABNT NBR ISO 9001:2015; ABNT NBR ISO 14001:2015; ABNT NBR ISO 45001:2018.	Verify - the critical analysis meetings frequency. - if all inputs and outputs required by ISO standards were covered in the critical analysis meeting. - if the action plans have been established, as applicable. - if in the meetings of critical analysis, the difference of results between the Units is evaluated and if actions are proposed so that the units have similar results.	Standard record, just evaluating the evidence, no need for copies of documentation.	The assessment of this requirement on shorebase must be based on the records and action plans executed by the company.
46	GINT0046E-0	Senior Leadership commitment related to the objectives, goals and indicators management	The company's Senior Leadership (N1, OIM) must demonstrate its commitment by holding regular meetings to manage objectives, goals and indicators.	Base e U.M.	OP	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	EX	E	Search for evidence and documents that demonstrate the commitment of the Senior leadership (N1 and OIM) in the management of objectives, goals and indicators.	Client Requirement	1. Verify records (minutes of meetings) that the Senior Leadership (N1 and OIM) conduct regular meetings (at least monthly) to manage the company's objectives, goals and indicators with managers/supervisors/coordinators. 2. Verify that the Senior Leadership (N1 and OIM) communicates the launch and updates of objectives, goals and indicators for own employees, fixed and temporary outsourced employees. 3. Verify if corrective and preventive actions come from the monthly meetings held by the Senior Leadership (N1 and OIM).	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement must be evaluated both at the shorebase and at the rig, focusing on the evidence presented by the company.
<b>02. Compliance e legal requirements</b>														
5	GINT0005C-1	Legal requirement verification systematic	The company should have a legal requirements survey, monitoring, and implementation systematic.	Shorebase Only	OP, PQ e RE	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Analyze how the legal requirement verification systematic works, if through a specialized company, software, its own or fixed outsourced labor or otherwise.	6.3.2 PG-6 SGSO; Item 6.1.3 - ABNT NBR ISO 14001:2015; Item 6.1.3 - ABNT NBR ISO 45001:2018; Items 2.14, 4.6A - IOGP 423-02 verifilist 2017. Item no. 1.5 - RANP 46:2016 - SGIP.	1. Verify specific subcontracting, software, or department in charge of verifying the legal requirements. 2. Also Verify the system used to update procedures or processes, and monitor the actions to be taken by the company. 3. Verify if there are analysis, planning, and the necessary resources for the proper implementation and enforcement of new regulations, such as SGIP.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement must be evaluated in relation to the systematic adopted by the company to verify the legal requirements.
7	GINT0007E-1	Code of Ethics and Anticorruption Practices	The company should have, in writing and available, the conduct standards to assure ethical relations with the parties concerned, thus preventing conflicts of interest and the use of anticorruption practices.	Shorebase and Rig	OP	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	EX	E	Look for the code of ethics and the anticorruption practices' document. Analyze how the information's dissemination is done (debates, seminars, emails) and how the courses are controlled. Analyze how senior management participates in the dissemination to their own and outsourced labor	Items E1.3, E1.5 - IOGP no. 510: 2014; Code of Good Governance Practices (IBGC); ISO 37001:2018 - Anti-bribery Management System.	Verify documents disclosed by the company and verify if its own or outsourced labor have access to and know its content and how the leadership participates in the process.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement must be evaluated both at the shorebase and at the maritime unit, focusing on the availability of documents and through interviews where the knowledge of the employees themselves must be verified. The participation of leaders and the means used to disseminate information will also be evaluated.
8	GINT0008E-1	Good Governance Practices	The company should implement Good Governance Practices, including the Board of Directors, Management Board, Inspection and Control Bodies duties, as well as to establish a Code of Conduct and Conflict of Interest, and applicable Policies implementation to ensure this knowledge to its own labor and to the fixed outsourced labor's .	Shorebase Only	OP e PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	EX	E	Look for the good governance practices' document. Analyze how the courses are disseminated (debates, seminars, emails) and controlled. Analyze how senior management participates in the dissemination to their own and outsourced labor	Item E1. - IOGP no. 510: 2014; Good Governance Practice Code (IBGC); ISO 37001:2018 - Anti-bribery Management System.	Verify the documents disclosed by the company and verify if its own or outsourced labor have access to and know its content and how the leadership participates in the process	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement must be evaluated only at shorebase with a focus on the availability of the document and through interviews where the knowledge of the employees (own or outsourced) involved must be verified.



47	GINT0047C-0	Brazilian General Data Protection Act (LGPD)	The company must implement a systematic for treating personal data, including in digital media, by a natural person or by a legal entity governed by public or private law, in order to protect the fundamental rights of freedom and privacy and the free development of the person's personality.	Shorebase Only	OP e PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Search for documents (eg policies, procedures and the like) regarding the implementation of LGPD in the company.	Art. 50 - Law 13709 - Brazilian General Data Protection Act (LGPD)	1. Verify the existence of a privacy governance program. 2. Verify the existence of internal processes and policies that ensure compliance with standards and good practices regarding the protection of personal data.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement should be assessed solely on the basis of document availability and through interviews with the personnel involved.
<b>03. Lessons learned from the company and from other Oil and Gas companies</b>														
17	GINT0017D-2	Recording and processing lessons learned systematic	The company should have an information integrity update and maintenance systematic to handle the lessons learned from accidents and incidents, audits and technical alerts.	Shorebase Only	OP e PQ	<input checked="" type="checkbox"/>	<input type="checkbox"/>	PQ	D	Review at least 3 lessons learned records from your action plans. Find out the people who control this process and is responsible for the application.	Item 8.2 - RANP 43:2007 - Management Practice no. 8 -SGSO. Items 9.3, 10.8 - IOGP 423-02 verifilist 2017	1. Verify, by sampling, at least three records and action plans that explain lessons learned in the other offshore units. 2. Verify the document that lists those responsible for the lessons learned process. 3. Verify, by sampling, the action plans records and any lessons learned implementation. 4. Verify if the system contemplates the verification of the effectiveness of the proposed actions. 5. Verify if the system includes uniform corporate actions, determined by shorebase, not delegating these decisions only to the units. 6. Verify if the system contemplates and encourages actions that incorporate the lessons learned into the management system, not just disclosing and team training.	Standard record, just evaluating the evidence, no need for copies of documentation.	The assessment of this requirement on shorebase must be based on the records and action plans executed by the company.
18	GINT0018D-2	Disclosure, distribution and control of the lessons learned systematic	The company must have a systematic to disclose, distribute and control information, aiming to apply the lessons learned internally and externally.	Shorebase and Rig	OP e PQ	<input checked="" type="checkbox"/>	<input type="checkbox"/>	PQ	D	Analyze the systematic used to disclose the lessons learned and how the communication flow works.	Item 8.2 - RANP 43:2007 - Management Practice no. 8 -SGSO. Items 3.3, 3.9, 3.18, 3.23, 9.3, 10.8 - IOGP 423-02; 510 E1.8 verifilist 2017.	Verify the systematic that contains other rigs' lessons learned communication flow.	Standard record, just evaluating the evidence, no need for copies of documentation.	The assessment of this requirement will be carried out at the shorebase, via evidence presented by the company.
22	GINT0022E-2	Capture, evaluation and implementation of lessons learned and good practices	The company must have a systematic to capture, evaluate the applicability and implementing lessons learned and good practices.	Shorebase Only	OP	<input checked="" type="checkbox"/>	<input type="checkbox"/>	EX	E	Analyze the use of evaluation techniques, verify and adapt the rig's particularities to each lesson learned from the company's other rigs. Analyze if the company provides a favorable environment to search and knowledge generation.	Items 3.3, 3.9, 3.18, 3.23, 9.3, 10.8 - IOGP 423-02 verifilist 2017.	1. Verify the methodology used to capture lessons learned and good practices. 2. Verify the lessons learned database. 3. Verify if the company carries out studies on the adequacy of lessons learned in the company. 4. Evidence for prioritization and implementation of lessons learned applicable to the company.	Standard record, just evaluating the evidence, no need for copies of documentation.	The assessment of this requirement will be carried out at the shorebase, via evidence presented by the company.
23	GINT0023E-2	Internal benchmarking and with other companies of the Oil and Gas Market	The company should have a systematic that benchmarks processes, products, and results, both internally and externally. It should be represented in Associations connected to the O&G market.	Shorebase Only	OP	<input checked="" type="checkbox"/>	<input type="checkbox"/>	EX	E	Look for evidence of how the company uses networking to capture lessons learned and good practices.	Items 5.12A, 9.3 - IOGP 423-02 verifilist 2017.	1. Verify the system used by the company. 2. Verify evidence (eg records in minutes, attendance list, e-mails, etc) of participation of company representatives in committees (eg QSMS, operation, HR, etc) and associations (eg IADC), linked to the O&G market.	Standard record, just evaluating the evidence, no need for copies of documentation.	The assessment of this requirement will be carried out at the shorebase, via evidence presented by the company.
24	GINT0024E-2	Good practices managing	The company should have, if applicable, an evaluation and implementation systematic for an internal good practices and from other companies.	Shorebase Only	OP	<input checked="" type="checkbox"/>	<input type="checkbox"/>	EX	E	Search for documents and evidences that demonstrate a good practices managing systematic applicable to the company.	Good Practices Meeting. The company's meetings and internal analysis.	1. Verify if the company has means to collect, evaluate and action plan definition to implement good practices generated internally and acquired from other companies or generated by the customer. 2. Verify, through sampling, the action plans that derive from this internal and good practices meetings evaluation.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement should be assessed both at the Shorebase and at the maritime unit(s), via the presentation of evidence and interviews conducted with the workforce.
<b>04. Company's relevant information circulation assurance</b>														
48	GINT0048E-0	Communication management	The company must have a systematic that includes the management of internal and external communication.	Shorebase and Rig	OP	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	EX	E	Search for documents that show the communication management systematic in the company. Seek evidence from the media within the company and at maritime units.	Items 7.4; 8.2; 8.4; NBR ABNT 9001:2015 Items 7.4;	1. Verify the existence of a procedure that contemplates the company's communication management, internally and externally. 2. Evidence the use of the means and types of communication carried out by the company at the shorebase and at the maritime unit(s). 3. Verify that the company has considered all means and forms of communication in the communication management procedure.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement will assess communication management within the organization at both the shorebase and offshore unit
26	GINT0026E-2	Responsibility Matrix	The company should have an information Management's Responsibility Matrix.	Shorebase and Rig	OP	<input checked="" type="checkbox"/>	<input type="checkbox"/>	EX	E	Observe if the responsibility matrix is effectively used in the company's information management.	Client Requirement	1. Verify if the press has developed and implemented a communication matrix. 2. Verify if the referred matrix includes, at least, type, person responsible, method, frequency, target audience, objective.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement must be evaluated both at the shorebase and at the maritime unit, focusing on the communication matrix.
27	GINT0027E-2	Company's brainstorming, technical meetings, or technical study groups.	The company should have the meetings' records to exchange knowledge and their respective action plans or study groups to discuss all the company's technical part.	Shorebase and Rig	OP	<input checked="" type="checkbox"/>	<input type="checkbox"/>	EX	E	Search for documents that show the existence of technical groups to study and implement process improvements associated with operational safety.	Item 4.7 - IOGP 423-02 verifilist 2017; Item E1.8 - IOGP 510: 2014.	1. Verify, by sampling, evidence of the existence of technical groups, aiming to discuss and implement improvements in the company's processes and activities. 2. Evidencing the issuance and monitoring of action plans prepared by these groups.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement must be assessed at shorebase, based on the evidence presented by the company.
32	GINT0032C-2	Communication between leaders and the workforce	The company must establish mechanisms to ensure reciprocal and continuous communication between leaders and the workforce, aiming to improve operational safety.	Shorebase and Rig	OP e PQ	<input checked="" type="checkbox"/>	<input type="checkbox"/>	PQ	C	Look for meetings, minutes of meetings or other documents that demonstrate the leaders' commitment to disseminating the corporate information and guidelines.	Items 1.3.2 and 1.4.2 - RANP no. 43:2007 - Management Practice no. 1 - SGSO; Items 1.1, 3.1 - IOGP 423-02 verifilist 2017; Item no. 1.4 - RANP 46:2016 - SGIP.	1. Verify the existence of reciprocal and continuous communication mechanisms between leadership and the workforce aiming to improve operational safety. 2. Verify, by sampling, records such as minutes of meeting, e-mails and other documents that show the implementation of these communication mechanisms. 3. Verify how the effective participation of leadership in activities related to operational safety is demonstrated.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement must be evaluated in accordance with the leadership's communication systematic with its own employees. This requirement should be part of the communication plan.
<b>05. Audits</b>														
35	GINT0035C-2	Management of Internal Audits of the SGSO (Brazilian rule to audit the Operational Safety Managing System)	The company should have an internal audit plan, which may be carried out in-house or by third parties company, preparing an annual schedule. The company should ensure that some operation audits are carried out within the deadline set in the SGSO (Operational Safety Management System) management practices.	Shorebase and Rig	OP e PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Search for documents and evidence of preparation and compliance with the annual schedule and plan(s) of SGSO internal audits.	Items 7.2, 7.3 and 7.3.2 - RANP no. 43:2007 - Management practice no. 7 - SGSO; Item 3.13.6 - ABNT NBR ISO 9000:2015; Items 4.4F, 10.1, 10.2, 10.2.1, 10.2.2 10.2.3, 10.3 - IOGP 423-02 verifilist 2017. Item no. 7 - RANP 46:2016 - SGIP.	1. Confirm that the SGSO internal audit cycle has been stipulated within a maximum of two years. 2. Confirm that the audit cycle is less than 2 years. 3. Verify that the first audit of management practice No. 11 - Critical Elements of Operational Safety was carried out before the start of the operation. 4. Confirm that the first audit of the management system was carried out within one year of the start of the operation. 5. Verify that the annual schedule of internal audits of the SGSO is being complied with. 6. Evidence if the SGSO's internal audit plans have been prepared and if the areas and activities to be audited are covered. 7. Verify the composition of the audit team.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement must be evaluated at shorebase with a focus on evidence observed and analyzed in accordance with the audit plans presented.
<b>06. Pending issues settlement action plan</b>														
40	GINT0040C-2	Systematic for non-conformances recording and handling from audits conducted by outside bodies: Classification Societies, Flag, ANP, IBAMA, NORMAM, NR, among others.	The company should have a non-conformances handling systematic from audits conducted by external bodies, as well as implemented actions effectiveness evaluation.	Shorebase and Rig	OP e PQ	<input checked="" type="checkbox"/>	<input type="checkbox"/>	PQ	C	Analyze the action plan, mainly seeking to verify the consistency and if the deadlines are adequate.	Item 7.4.2 - RANP 43:2007 - Management Practice no. 7 - SGSO; Item 4.6C, 9.1A - IOGP 423-02 verifilist 2017.	1. Verify the filing of audit reports carried out by External Bodies. 2. Verify, by sampling, the action plans, observing deadlines, persons responsible and status.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement must be assessed on the basis of the evidence observed and analyzed in accordance with the adopted action plans.
41	GINT0041C-2	Systematic for non-conformances recording and handling from audits conducted by the operator	The company should have a systematic for non-conformances record and handling from audits conducted by the operator, as well as suggested modifications implementation and implemented actions effectiveness evaluation.	Shorebase and Rig	OP e PQ	<input checked="" type="checkbox"/>	<input type="checkbox"/>	PQ	C	Analyze the action plan, mainly seeking to verify the consistency and if the deadlines are adequate.	Item 7.4.2 - RANP 43:2007 - Management Practice no. 7 - SGSO; Item 4.6C, 9.1A - IOGP 423-02 verifilist 2017.	1. Verify filing of audit reports carried out by the operator. 2. Verify, by sampling, the action plans, observing deadlines, compatibility of proposed actions, definition of those responsible and treatment status.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement must be evaluated at shorebase, focusing on the evidence observed and analyzed according to the action plans adopted.
49	GINT0049C-0	Recording and treating non-conformities systematic for internal SGSO audits findings.	The company must have a systematic for recording and treating non-conformities arising from internal SGSO audits.	Shorebase Only	OP e PQ	<input checked="" type="checkbox"/>	<input type="checkbox"/>	PQ	C	Analyze the action plan, mainly seeking to verify its consistency and adequacy of its deadlines	Item 7.4 - RANP 43:2007 - Management Practice N7 - SGSO;	1. Verify the filing of internal SGSO audit reports performed by the company. 2. Verify, by sampling, the company's action plans to evaluate deadlines, compatibility of proposed actions, definition of responsible and treatment status.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement must be evaluated at shorebase, focusing on the evidence observed and the action plans analyzed
42	GINT0042C-2	Systematic for monitoring Action plans generated from internal audits, external bodies, and the operator	The company should have a non-conformances monitoring and control systematic and define the parties involved in the pending issues settlement detected by the internal and external audits.	Shorebase Only	OP e PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	*Search for documents and evidence that prove the monitoring of action plans generated by internal and external audits.	Item 7.4.2 - RANP 43:2007 - Management Practice no. 7 - SGSO; Item 4.6C, 9.1A - IOGP 423-02 verifilist 2017.	1. Check how the company monitors the treatment and closure of action plans generated by internal and external audits. 2. Verify the leaders' active participation in the supervision of the action plans and audits conducted.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement should be assessed on shorebase only, and focuses on the evidence presented.
<b>09. Recurrent pending issues</b>														

50	GINT0050E-0	Effectiveness evaluation	The company must have a systematic to verify the effectiveness of the actions implemented, in relation to the treatment of non-conformities, observations or opportunities for improvement	Shorebase only	OP	<input checked="" type="checkbox"/>	<input type="checkbox"/>	EX	E	Analyze records of the treatment of non-conformities, observations or opportunities for improvement that were generated by internal and external audits.	ISO 9001:2015 ISO 14001:2015 ISO 45001:2018 Client requirement	Verify, by sampling, if there was an effective implementation of the verification stage of the effectiveness of the actions designed to treat non-conformities, observations or opportunities for improvement. Evidence the definition of the criterion to evaluate the effectiveness of an implemented action. Evidence that the criterion, the person in charge and the date of verification of effectiveness are compatible and ensure the result of the action.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement must be evaluated on shorebase and focuses on the evidence observed and analyzed
43	GINT0043E-1	Systematic to avoid repeated pending issues	The company should have a repeated Pending Issues Prevention Systematic considering the actions effectiveness implementation and the use of methods for the pending issues' accurate root cause detection and elimination.	Shorebase and Rig	OP	<input checked="" type="checkbox"/>	<input type="checkbox"/>	EX	E	Look for minutes of meetings/studies records to analyze the reason of non-conformities, observations and opportunities generated by internal and external audits recurrence for improvement	Client Requirement	Verify the meetings' records through sampling and how recurrences are handled.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement must be evaluated on shorebase and focuses on the evidence observed and analyzed



## HSE Management

No.	Requirement Code	Title	Requirement	Location	Applicability	Analysis		Type of Criteria	NCC	Guidelines	Documentation	Verification	Evidence collection	Evaluation criteria
						Docs.	In Loco							
<b>01. Onboard HSE practices and HSE culture</b>														
1	GSMS0001C-2	HSE Management System	The company should have an HSE management system approved by the leadership / management board, implemented and disclosed to its own and fixed and temporary outsourced labor.	Shorebase and Rig	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Analyze the company's HSE systematic, leadership role in the procedures, HSE practices and if the board sponsor it and the board verify from the top down. Analyze the disclosure and its effectiveness. Analyze if the new employees hired for the beginning of the operation are familiar with the HSE management system."	Items 4.4, 5.1, 5.2, 6.2.1, 6.2.2, 7.3 - ABNT Standard NBR ISO 14001:2015; Items 4.4, 5.1, 5.2, 6.2.1, 6.2.2, 7.3 - ABNT Standard NBR ISO 45001:2015; Item E1.5.2, E2.1.1 - IOGP Report 432 Table 1:2017; Section 2 Annex A - IOGP Report 423-02:2017; Checklist 2017 Item no. 1.1, 1.2 and 1.3.3 - RANP 43:2007 - Management Practice No. 1 - SGSO; Item no. 1 - RANP 46:2016 - SGIP Technical Regulation; Item 7.3 - ABNT Standard NBR ISO 9001:2015. Item 1.7, 2.6, 2.15, 3.15 and 3.16 IOGP 423-02 Checklist 2017	1. Verify if this systematic is provided with: Implemented HSE Procedures and Practices. 2. Verify if the HSE plan with its management plan and specific procedures for use in the contract is effective across the contractor's organization, with priorities set, authorities and responsibilities assigned, and resources allocated. 3. Verify if the contract's HSE plan is the benchmark for all applicable rules regarding the contract. 4. Verify if measures are in place to review the capacity of the contract's teams and individuals and solve any temporary gaps. 5. Verify if managers support and ensure that the time and resources are available for the HSE training. 6. Check, by sampling, the knowledge of the HSE management system by new employees.	Standard record, just evaluating the evidence, no need for copies of documentation.	At shorebase, the assessment must be carried out with a focus on the processes and through interviews, recording evidences of the employees knowledge.  In terms of documentation, it must be defined how the leadership participation is guaranteed, the responsibilities and attributions of all those involved, and how employees participate in the development, implementation and review of the management system. Finally, how communication flow between leadership and employees to improve Operational Safety.  In the Maritime Unit, should be verified, through interviews, evidence on employees' knowledge on the HSE system, how they participate in the process, and suggestions for improvement for the leadership.
2	GSMS0002C-2	HSE Culture dissemination plan	There should be an HSE Culture Dissemination Plan approved by Senior Management, disclosed and implemented.	Shorebase and Rig	OP, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Analyze if the HSE culture dissemination plan contains what was stipulated Shorebase and also the involvement of all the company's own and fixed/temporary outsourced labor in the HSE culture, including senior management. Analyze the increase statistical trends deviations, incidents and accidents and action plans to reduce them.	Items 5.1, 7.2 - ABNT Standard NBR ISO 14001:2015; Items 5.1, 5.4 - ABNT Standard NBR ISO 45001:2015; Item E8.5.2 and Item 4.7 - IOGP Report 432 Table 1:2017; Section 1 Annex A - IOGP Report 423-02:2017; Checklist 2017 Item no. 1.1, 1.2 e 1.4 - RANP 43:2007 - Management Practice No. 1 - SGSO; Item no. 1 - RANP 46:2016 - SGIP.	1. Verify by interviewing the workforce. 2. Verify, through sampling, the accidents' statistics, incident disclosure, records on HSE lecture/training, and Training Plan. 3. Verify if the plan has at least: - Deviations, Incidents, and Accidents Statistics Analysis and Disclosure; - Lectures or Reminders cycles with themes on higher risks during tasks; - Lectures and Reminders for anniversaries (E.g.: World Water Day, Occupational Safety Day, World Environment Day); - HSE training cycle Shorebased on risks assessed in the TRAs and registration cards (E.g.: STOP, good practices, suggestions) as an incentive for all to participate in the HSE programs; - Current films with HSE themes to encourage the employees' participation; - Systematic behavioral audits conducted by the leadership; - Foster workforce participation systems to improve HSE management (observation card records, risk analysis improvement participations, procedures etc). - Verify if there are HSE knowledge internal and external sources to support the contract's products supplied through the company's value chain.	Obtain statistical reports that indicate deviations, incidents and accidents trends. An example of a presentation or Reminders.	Both at the Shorebase and at the rig, the Auditor must support his assessment on the evidence presented by the company in the seven items of the requirement. Assess how employee awareness is conducted during onboard operations and maintenance, and how this could help to prevent the incidents.
5	GSMS0005D-2	Food-borne diseases (FBD) and infecto-contagious diseases prevention systematic	The company should have a systematic to ensure that the food-borne and infecto-contagious diseases prevention action plans are being monitored, implemented, and maintained.	Shorebase and Rig	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	D	Analyze if the document bears information on diseases caused by toxins, bacteria, viruses, parasites, and toxic substances. Analyze the procedure and through offshore interviews if her proper care is taken with hygiene in the meals' location and if there is concern and FBD training for the contractors.	Item 24.6 - NR 24; Chapter 8.2 - Integrated food-transmitted disease inspection, prevention, and control manual. Health Ministry 2010.	1. Check the methodologies provided for by the procedure. 2. Check barriers or safeguards implemented for major risks. (APR Unit) 3. Check barriers and controls for minor risks. (Matrix or spreadsheet) 4. (RE) Check how these guidelines are passed on to hotel employees.	Standard record, just evaluating the evidence, no need for copies of documentation.	This item is evaluated on Shorebase only, and is evaluated on the evidence presented by the company, as described in the verification column. In the Rig, verify through the evidence given, that the preventive measures are carried out as described in the systematic or procedure.
6	GSMS0006E-1	Alcohol and Drug Policy	The company should have an alcohol and drug policy.	Shorebase and Rig	OP	<input checked="" type="checkbox"/>	<input type="checkbox"/>	EX	E	Analyze if the policy has at least data on how the company responds whenever it becomes aware that drugs or alcohol are being used by its employees and what are the consequences for them; if the company provides a program to assist its employees as to their dependency; whether it has awareness campaigns; and a clear definition of how tests or exams are conducted, and the minimum periodicity for conducting such tests.	Section 2 - IOGP Report 575:2016. Item 2.10 - IOGP 432 table 1:2017 - checklist 2017	2. Check barriers or safeguards implemented for major risks. (APR Unit)	Standard record, just evaluating the evidence, no need for copies of documentation.	At shorebase, the assessment of this requirement is based on the content of the policy, and how are handled the cases of positive exams and tests. At the Rig, assess if there is evidence of any type of inspection to verify if the employee boarded under the influence of his dependence and if the luggage is checked.
10	GSMS0010C-0	Correlation Matrix between Company's and the SGSO management practices.	The company should have a matrix that establishes the correlation between the SGSO (Brazilian ANP - Operational Safety Management Practices) management practices and the operator's management practices	Shorebase Only	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Analyze the correlation matrix	RANP 43:2007 - SGSO.	3. Check barriers and controls for minor risks. (Matrix or spreadsheet)	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement must be evaluated only on the shorebase, based on the correlation matrix between the management systems. The more consistent the matrix the better.
59	GSMS0059E-0	Accident Prevention Material	The company should have accident Prevention Material, be it a presentation, flyer, or another kind of media.	Shorebase and Rig	OP	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	EX	E	Observe the accident prevention presentations, flyers, or other documents / materials.	Good Practices	4. (RE) Check how these guidelines are passed on to hotel employees.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement should assess at the shorebase and at the rig how information on safety and accident prevention is transmitted. (EX) Evaluate, through interviews, if the information was well disclosed checking if the crew understood the information.
63	GSMS0063E-0	Health Campaigns	The company should have its good health campaigns implemented.	Shorebase and Rig	OP	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	EX	E	Analyze if the campaigns are related to the PCMSO (Occupational Health Medical Control Program) and duly implemented.	Item 37.12 - Regulation NR-37; Item 5.10 - IOGP Report 423-02 Checklist: 2017.	Verify if the programs are compliant with the PCMSO (occupational health medical control program).	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement should only be assessed at the rig and should be evaluated in relation of the clarity of information and appropriate identifications.
<b>02. Drilling rig's critical areas identification criteria (over the sea works, confined spaces, work in heights, classified areas)</b>														
13	GSMS0013B-2	Controlled areas entry, permanency and rescue systematic	The company should have a risk areas entry, permanency, and rescue systematic. This systematic should be aligned with the best industry practices and client' request.	Rig Only	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	B	Analyze if the company has and how it uses the risk area entry and permanency authorization system, if this classification is linked to a risk analysis or is just Shorebased on the employees' perception. Analyze if this control is monitored to test its effectiveness. Analyze if there are rescue plans for the controlled areas and if the rescuers are trained systematically. (RE) Verify how this systematic is used during the rig receiving process	Item 3.2.1 - Management Practice No. 3 - SGSO. Item 2.4.1 - IOGP Report 432 Table 2:2017; Items 37.8.10.2, 37.8.10.5 and 37.8.10.6 of NR-37; Item 6.1.3 - ABNT Standard NBR ISO 45001:2015.	1. Verify, through sampling, whether there is an entry and stay record in the facilities' risk areas. 2. Verify the risk analysis that was used as a basis to determine the risk areas. 3. Verify the kind of signage used (isolation coloured ribbon, for instance: red and white, red and yellow stripes, among other colors) 4. Verify if there is a systematic' controlled area rescue training, own and fixed outsourced labor involved. 5. (RE) Check, by sampling, the knowledge of this systematic, by the employees involved and fixed and/or temporary outsourced workers.	Standard record, just evaluating the evidence, no need for copies of documentation.	This assessment will be carried out only at the Rig focusing on the evidences given, and must consist of three items: registration of entry and permanence of personnel not linked to the activity, critical areas determination risk analysis, and monitoring of the effectiveness of measures adopted.
14	GSMS0014B-1	Training on critical areas' developed activities	The company should provide for / require from its labor and on the fixed/temporary outsourced labor special training to work on critical areas.	Shorebase and Rig	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	B	Analyze the employees and fixed/temporary outsourced workers' special training records in his working area to perform their work in those higher risk areas.	Item 3.2.2 - Management Practice No. 3 - SGSO. Item 2.4.1, 3.12, 3.11.A and 3.21 - IOGP Report 432 Table 2:2017; Item 6.1.2 - ABNT Standard NBR ISO 45001:2015; Items 37.8.10.2, 37.8.10.5 and 37.8.10.6 of NR-37; Regulation - NR 09:2017.	1. Verify, through sampling, if the workers have specific training to be in the risk area where they are working. 2. Verify whether the HSE training has its effectiveness constantly evaluated, and the workers' feedback is used. 3. Verify whether the specific HSE training, tools, and initiatives to improve awareness of the risk and the performance of the suppliers and contractors that supply goods and services regarding the contract are provided.	Standard record, just evaluating the evidence, no need for copies of documentation.	This assessment is carried out at shorebase by HR Management. In the Rig, the focus is on interviews, and is not restricted to the verification of specific training records for each area of the unit.
65	GSMS0065E-0	Systematic of attendance to the Petrobras form of subcontractors	The company must ensure that the client's outsourced employees have all the necessary training to perform their activities in the Rig	Rig Only	OP, RE	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	EX	E	Evaluate the training control systematic for Petrobras outsourced workers at the Rig	Client requirement	1. Check the control systematic. 2. Interview the safety officer or the person responsible for the training forms control.	Standard record, just evaluating the evidence, no need for copies of documentation.	This assessment is carried out at the Rig, with the focus on interviews, and is not restricted to the verification of specific training records for each Rig area.

15	GSMS0015B-2	Systematic to use suitable PPE in critical areas	The company should ensure that its own and fixed/temporary outsourced labor use specific PPE for the routine and risk area activities, and ensure that it is properly used.	Rig Only	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	B	Analyze the PPE's supply and usage records and training records.	Item 1.3.3 - RANP 43:2007 Management Practice No. 1 - SGSO. Item 3.1 - RANP 43:2007 Management Practice No. 3 - SGSO. Item 2.4.1 - IOGP Report 432 Table 2:2017; Regulation - NR 06:2017; Items 5.2, 5.3, 5.4, 5.5 - API RP 54:2013.	1. Check, by sampling, if employees use adequate PPE in the Rig areas and if they know how to use them properly in all areas of the Rig. 2. Check if the safety officer effectively participates in the issuance of Work Permits or supports activities that do not require a Work Permit 3. Check if the safety officer assesses the proper use of PPE by fixed and temporary outsourced teams and what measures he takes in case of deviation. 4. Check if the shorebase controls specification and validity of PPE from their outsourced and PETROBRAS subcontract labor.	Standard record, just evaluating the evidence, no need for copies of documentation.	This assessment is carried out only at the Rig, with a focus on the evidence given, and is restricted to the verification of training records, the proper use and participation of the safety officer
<b>03. Risk analysis</b>														
9	GSMS0009B-1	Risk Analysis Disclosure	Rig's Risk Analysis Disclosure to the crew, adjusting the disclosed scenarios and barriers to the specific areas.	Shorebase and Rig	OP, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	B	The company should share with the workforce the rig's risk analysis in detail for the areas concerned, so their barriers and management could be known.	Items 2.1 and 2.2 - RANP No. 43:2007 - Management Practice No. 2 - SGSO. Item 8.2 - RANP 43:2007 Management Practice No. 8 - SGSO.	Verify through interviews the rig's risk analysis workforce's knowledge and how the barriers are monitored to prevent accidents.	Standard record, just evaluating the evidence, no need for copies of documentation.	Evaluate how the disclosure and scope of the Rig's risk analysis is carried out, as well as the knowledge of the workforce on board the unit.
16	GSMS0016B-0	Risk identification systematic	The company should have a risk identification systematic with guidelines on techniques used by the company as tools for the operations and Rig's inherent risk identification.	Shorebase Only	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	B	Analyze the documents submitted with the rig's risk analysis. Analyze the methodologies used according to ISO 31010. Evaluate if periodicity is determined to review the analyses or if those are reviewed whenever a significant change to the rig occurs. The risk evaluation system should estimate a rig's analysis review periodicity. For example: Docking for upgrade or downgrade.	Item 4.2.3 - Part 4 IADC HSE Case guidelines; Annex B - ISO 31010:2012; Items 12.1, 12.2, 12.3 - RANP 43:2007 - Management Practice No. 12 - SGSO.	1. Verify if the techniques used are compliant with the standard ISO 31010. 2. Verify high-risk identification system (quantitative data and international references are used for this identification or qualitative data only). 3. Verify if the risk analysis also maps out the leading major emergencies already identified by Petrobras (Big 5). 4. Verify the standard or most common techniques (benchmark) as against those presented by the company. 5. Verify where the database on accident were obtained (WOAD, in the company ...). 6. Verify how the critical element identification process works.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement must be evaluated according to the systematic adopted by the company to identify and assess the rig's inherent risks. Evaluate in this item the techniques used to identify and assess the different risks, from the main risks (fire, structural failure, aircraft crash, Blowout) to the specific risks of some areas of the Rig (confined space, cargo handling, storage of toxic or radioactive substances, electrical equipment failure). Evaluate if the techniques used by the company in its analyzes are the same used by other companies, from which source the accident data are obtained and how the company lists its critical elements.
17	GSMS0017B-2	Rig risk analysis	The company should have a rig risk analysis, with record of the systematic used for impact analysis and mitigating actions for all the process-related risks.	Shorebase and Rig	OP, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	B	Analyze the presented documents verifying the risk identification and evaluation systematic, and if the presented documents indicate the leading risks and minor risks mapped and controlled through actions to reduce probable risk and mitigate ensuing impacts, lying within the tolerable ALARP range.	Introduction and Item 4.5- Part 4 IADC HSE Case guidelines; WOAD; Items 12.1, 12.2, 12.3 - RANP 43:2007 - Management Practice No. 12 - SGSO.	1. Verify how the risk identification and evaluation systematic works. 2. Verify the risks described in the documentation, the recommendations used to devise the action plans, and how the actions to reduce occurrences and mitigate impacts are controlled and monitored. 3. Verify all the supplementary studies.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement must be evaluated at shorebase, based on the documentation given. In the Rig, the assessment should focus on the actions derived from the recommendations made in the risk analysis, as well as those involving the Rig as a whole, and the human risks, working areas, maintenance among others. Also evaluate any supplementary study submitted by the company.
18	GSMS0018B-1	Systematic of barrier management	The company should have a systematic to manage the barriers indicated in the risk analysis in a systemized and integrated manner.	Shorebase Only	OP, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	B	Analyze which technique or software is used by the company to monitor its major emergencies and if the barriers included in the technique are monitored and updated in real time, keeping the risks within the tolerable ALARP range.	Introduction and Items 4.2.5, 4.2.6 - Part 4 IADC HSE Case guidelines; WOAD; Items 11.3 - RANP 43:2007 - Management Practice No. 11 - SGSO. Items 12.1, 12.2, 12.3 - RANP 43:2007 - Management Practice No. 12 - SGSO.	1. Verify which technique is used by the company to monitor, control, prevent, and mitigate major emergencies occurrence. Example of Technique used BOW-TIE.	If the company uses any technique, obtain a copy of the documentation for the report.	This requirement must be evaluated in terms of if exists or not a risk analysis technique that monitors and controls major emergencies at the Rig.
19	GSMS0019B-1	Critical equipment identification	The company should have a list of critical equipment from the rig risk analysis.	Shorebase and Rig	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	B	Analyze if the critical equipment comes from the risk analysis, how it is updated, and how these informations are disseminated to the team.	Items 11.1, 11.2, 11.3 - RANP 43:2007 - Management Practice No. 11 - SGSO.	1. Verify if the critical equipment are listed and came from the risk analysis. 2. Verify how these equipment's list is updated. 3. Verify how these informations are disseminated to the crew 4. Verify if the critical equipment has a differently treatment. 5. (EX) Verify if a contingency procedure is included to make up for the lack of or failure in a critical equipment. 6. (EX) Check for Performance Standards in the maintenance system derived from critical equipment.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement should be assessed against the existence of the list and the verifications carried out.
20	GSMS0020B-1	Critical procedures identification	The company should have a critical equipment list arising from the activities listed in the rig risk analysis.	Shorebase and Rig	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	B	Analyze if the critical procedures listed cover all the activities included in the risk analysis, how they are updated, and how this information is disseminated to the team.	Items 11.1, 11.2, 11.3 - RANP 43:2007 - Management Practice No. 11 - SGSO.	1. Verify if the critical procedures are listed and come from the risk analysis activities. 2. Verify how this procedures list is updated. 3. Verify how this information is disseminated to the crew. 4. Verify if the critical procedure has a differently treatment. (evaluations, shorter periodicity between updates). 5. (EX) Verify if there are contingency procedures to make up for the lack of or failure in some critical equipment or system; those should be controlled and have their own approval system. 6. (EX) Verify that the critical procedures are deployed in the VPC (Verification on Procedures Compliance) and that the crew have been trained before starting the operations.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement should be assessed against the existence of the list and the verifications carried out.
21	GSMS0021B-0	Critical systems identification	The company should have a critical systems list from the barriers identified in the rig risk analysis.	Shorebase and Rig	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	B	Analyze if the critical systems came from the rig's risk analysis barriers, how they are updated, and how these informations are disseminated to the crew.	Items 11.1, 11.2, 11.3 - RANP 43:2007 - Management Practice No. 11 - SGSO.	1. Verify if the critical systems are listed and are linked to the risk analysis barriers. 2. Verify how those systems's list is updated. 3. Verify how these informations are disseminated to the crew 4. Verify if the critical system has a differently treatment. 5. (EX) Verify if a contingency procedure is included to make up for the lack of or failure in some critical system.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement should be assessed against the existence of the list and the verifications carried out.
22	GSMS0022B-1	Breakdown of the rig risk analysis	The company should have systematic control of the developments of the rig's risk analysis to ensure safety during the facility's life cycle.	Shorebase Only	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	B	Analyze how the critical elements are controlled and monitored to ensure regular critical procedures reviews, proper equipment maintenance, and critical systems monitoring.	Items 11.1, 11.2, 11.3 - RANP 43:2007 - Management Practice No. 11 - SGSO.	1. Check if maintenance plans are aligned with the risk analysis, in order to prioritize the critical equipment maintenance. 2. Check how the company ensures the integrity of critical systems and periodic review of critical procedures. 3. (RE) (EX) Verify that the crews that will start the Rig activities are aware of the rig's risk analysis and the barriers associated with their responsibilities	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement should be assessed against what has been described in the guidance and verification columns of this spreadsheet.
23	GSMS0023E-2	Relation between Management of Change and the risk barriers or scenarios	The company should have a barriers' overall integrity verification methodology by assessing the open MoC.	Shorebase Only	OP	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	EX	E	Analyze if the rig conducts overall evaluation of all the opened MoC to secure the barriers as a whole, keeping the safety level established in the original risk analysis.	Item 2.2.2 - RANP 43:2007 Management Practice No. 2 - SGSO. Item 16.3.2 - RANP 43:2007 Management practice No. 16 - SGSO.	1. Verify if the change detection systematic that affect the barriers of the same top event (MAH) can keep the safety level within the ALARP range. 2. Verify if there is any recovery action to reach the tolerable ALARP range, in case of a change in the safety level to outside the ALARP range. 3. (EX) Verify if the rig's risk analysis is used to elaborate the MoC to identify a possible several barriers degradation, compromising their protection.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement should be assessed against what has been described in the guidance and verification columns of this spreadsheet.
24	GSMS0024E-1	Senior professionals on the Rig's risk analysis	The company should have qualified professionals to perform the rig's risk analysis, with the proper qualification and experience for the analyses concerning the entire rig and the dissemination and use the risk analysis onboard.	Shorebase and Rig	OP	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	EX	E	Analyze the employees resume assigned to the rig's risk analyses concerning the rig's operations.	Item 3.3.1 - RANP 43:2007 Management Practice No. 3 - SGSO.	1. Verify, through sampling, the employees' records and risk analysis qualification training. 2. Verify in the resume if the professional has experience in this kind of analysis and methodology. 3. Verify if there is an experienced professional to assist onboard implementation and dissemination.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement must be evaluated in relation to the adequate employees qualification for the different risk analysis techniques used in the company, from HAZID, HAZOP, BOW-TIE, QRA (qualitative risk analysis), among others. Evaluate how the professional participates during the carried out analyzes, he only approves, guides or participates directly in the content of the analysis.
60	GSMS0060E-0	Technology use to ensure safety	The company should have safety deviation conditions automatic detection systems.	Shorebase and Rig	OP	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	EX	E	The company should have a video analytics systems to detect occupational safety deviations and process conditions deviation in a predetermined set, which characterizes the deviation condition. Furthermore, geolocation devices (beacons and so on) can be used to locate people offshore, linking their location with their work certifications and permissions, verifying their presence in restricted access areas and position in relation to other objects also tracked such as loads and high energy machines.	Good practices IVA HSE	- Verify the AI operated monitoring systems existence - Verify if there is a system interlocking with the video analytics system and geolocation that pose higher operational risks - Verify technologies used to ensure offshore safety - Verify the result of these technologies	If the company uses any technique, obtain a copy of the documentation for the report.	This requirement must be evaluated in terms of if exists or not a risk analysis technique that monitors and controls major emergencies at the Rig.
<b>04. Environmental Risk Analysis</b>														
25	GSMS0025B-2	Systematic of environmental risks identification, analysis, and control	The company should ensure that there is a systematic to identify, analyze, and control the existing environmental risks.	Shorebase Only	OP, PQ	<input checked="" type="checkbox"/>	<input type="checkbox"/>	PQ	B	Analyze the procedure with the systematic for identification, analysis and control of the environmental risks. The systematic must analyze all existing environmental risks, even small risks.	Items 2.4.1, 2.4.2, 2.15.1 - IOGP Report 432 Table 2:2017; UNI ISO 31000:2018; ABNT NBR ISO/IEC 31010:2012; Item 4.1 - IADC HSE Case guidelines; Item 12.5 - RANP 43:2007 - Management Practice No. 12 - SGSO. Item 6.1 - Norma ABNT NBR ISO 14001:2015.	1. Check the methodologies used in the procedure. 2. Check barriers or safeguards in place for major risks. (Rig PRA - Preliminary Risk Analysis) 3. Check barriers and controls for minor risks. (Matrix or spreadsheet)	Standard record, just evaluating the evidence, no need for copies of documentation.	Evaluate this requirement at the shorebase with a focus on the processes, in order to verify if the methodology used for the process is effective.
26	GSMS0026C-2	Areas controls and Environmental risk activities	The company should ensure that in the systematic are identified the environmental risk areas and activities. The company should maintain environmental incident records and investigations (either contained or to the sea).	Shorebase and Rig	OP, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Analyze the procedure where the environmental risk areas and activities are identified. The following should be taken into account: normative requirements; existing environmental management practices and procedures; previous environmental leaks and incidents; planned or abnormal operations; potential emergency situations.	Items 2.4.1, 2.4.2, 2.15.1 - IOGP Report 432 Table 2:2017; Item 12.5 - RANP 43:2007 - Management Practice No. 12 - SGSO. Item 4.4 - IADC HSE Case guidelines; Item 6.1 - ABNT Standard NBR ISO 14001:2015.	Verify, through sampling, the environmental risk areas mapping.	Standard record, just evaluating the evidence, no need for copies of documentation.	Assess this requirement at the Shorebase with focus on the evidences given, to check if the risk areas and activities are identified. Also verify consistency with the complete risk analysis of the unit.

27	GSMS0027C-2	Environmental Risk Analysis (APRA in portuguese )	The company should have an environmental risk analysis for all the activities.	Shorebase and Rig	OP, RE, PQ	<input checked="" type="checkbox"/>	<input type="checkbox"/>	PQ	C	Observe some analyses done and verify if all the environmental risk areas and activities are mapped out and written in Portuguese and English, as applicable. Analyze the training records in the environmental risk procedure and analyses.	Items 2.4.1, 2.4.2, 2.15.1 - IOGP Report 432 Table 2:2017; UNI ISO 31000:2018; ABNT NBR ISO/IEC 31010:2012; Item 12.5 - RANP 43:2007 - Management Practice No. 12 - SGSO; Item 4.2.3 - IADC HSE Case guidelines; Item 6.1 - ABNT Standard NBR ISO 14001:2015.	Verify, through sampling, if the analyses are fixed in the workplace, training records to ensure that all the employees were trained in the Environmental Risk Analysis procedure and know about the APRA content in the workplace, and the Portuguese (preferred) and English languages are used.	Standard record, just evaluating the evidence, no need for copies of documentation.	When evaluating this requirement at the Shorebase, it must be taken into account if environmental risks have been mapped in all activities, including routine ones. The analyzes must be written in two languages: Portuguese (preferred) and English (if necessary). In the Rig, verify, in addition to the languages, where they are placed and the personnel involved training records, seeking to find out through interviews if they know the analysis content and if they had participated in the analysis.
28	GSMS0028E-0	Elaboration of the reports or documents on Environmental risk identification and analysis	The company should have a reporting model according to the technique picked for analysis or other documents, which compiled, containing at least the following information: analysis participants identification; objective and scope; description of the activity that may cause environmental damage; reason for and description of the methodology used; risk identification, classification, and analysis, as well as any recommendations.	Rig Only	OP	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	EX	E	Observe some written reports and analyze if the minimum content was respected. The safety officer should take part in this report's elaboration.	Items 2.1.15, 2.4.1 - IOGP Report 432 Table 2:2017; Item 22.4 - Regulation - NR 37:2018 in Dec/2019; Item 6.1.2 - ABNT Standard NBR ISO 45001:2015; UNI ISO 31000:2018; ABNT NBR ISO/IEC 31010:2012; Item 4.2.3 - IADC HSE Case guidelines; Item 12.5 - RANP 43:2007 - Management Practice No. 12 - SGSO; Item 17.2 - RANP 43:2007 - Management Practice No. 17 - SGSO.	1. Verify if the model has the minimum field content required. 2. Verify, through sampling, at least one full report.	Get the report templates used.	This requirement is evaluated only at the Rig and focus on the observed and analyzed evidences containing at least what was described in the requirement.
29	GSMS0029B-0	Environmental risk management plan	The company should ensure that all the actions and recommendations included in the APRA are being followed to reduce the risk probabilities or mitigate severity.	Shorebase and Rig	OP, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	B	Analyze the action plan, preventive or mitigation barriers contained in the environmental risk analysis.	Items 9.1.5.1, 9.1.5.2, 9.1.5.3 - Regulation NR 09:2017; Items 2.4.1, 2.4.2, 2.15.1 - IOGP Report 432 Table 2:2017; UNI ISO 31000:2018; ABNT NBR ISO/IEC 31010:2012; Item 4.5 - IADC HSE Case guidelines; Item 12 - RANP 43:2007 - Management Practice No. 12 - SGSO; Item 6.1 - ABNT Standard NBR ISO 14001:2015.	1. Verify if the preventive or mitigation barriers were implemented according to the previous requirement's analyzed report. 2. Verify through interviews with the employees the actions to be taken.	Standard record, just evaluating the evidence, no need for copies of documentation.	The assessment of this requirement should focus on evidence of the use of barriers, training records and interviews. The objective is to ensure that everyone involved is able to carry out the activities in order to prevent environmental risks and, in the event of an eventuality, they are able to carry out mitigation actions to reduce the impact.
<b>05. Onboard incident analysis - RTA's (Anomaly Treatment Report) Analysis and Disclosure</b>														
30	GSMS0030C-2	Investigation conduction systematic	The company should have an investigation conduction systematic including how to record and handle the anomaly. All the employees with responsibility in the systematic will be trained in this procedure's information.	Shorebase and Rig	OP, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Presentation of anomaly handling records and applicable Petrobras' procedures. Analyze if there is an alignment or a considerable difference in relation to the Petrobras system.	Law no. 8213/91; Items 1.4, 2.2.1, 2.2.2, 2.4.1 - IOGP Report 432 Table 2:2017; Checklist 2017; Item 8.2 - ABNT Standard NBR ISO 14001:2015; Item 8.2 - ABNT Standard NBR ISO 45001:2015; Item 9.2 - RANP 43:2007 - Management Practice No. 9 - SGSO.	1. Verify the managers active participation in the HSE plan, activities follow-up, including workplaces visits, participation in audits, event/incident inquiries, and managerial analyses. 2. Verify if Senior Management, the Managers, and employees are familiar with the anomaly recording and handling system. 3. Verify if an existing learning curve is being used. 4. The company should have something similar to a learning curve, in which the incidents, deviations, or enhancements records can be reused in new risk analyses or review processes. 5. Employees should learn about this procedure's content. 6. Verify in the procedure (SGIP requirement) if the sorts of incidents that are liable to investigation are clear.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement should be assessed on shorebase with a focus on the process flow consistency, in order to ensure that the entire process is efficient. The assessment of the knowledge of those involved will be through interviews at the shorebase and at the Rig. The analysis must be done observing the top management, management, employees and safety officers roles. Verify the existence of a learning curve, for the process improvement, as well as classification and/or complexity of different incidents and how they are treated.
31	GSMS0031C-2	Definition on responsibilities and actions on the involved parties' accident recording and on accidents handling.	The company should ensure that the responsibilities and actions across all company levels are clear in the procedure and that Petrobras is involved.	Shorebase and Rig	OP, PQ	<input checked="" type="checkbox"/>	<input type="checkbox"/>	PQ	C	Procedure and record analysis as to the responsibilities and actions in case of incidents.	Law no. 8213/91; Item 9.2 - RANP 43:2007 - Management Practice No. 9 - SGSO; Items 2.2.1, 2.2.2, 2.4.1 - IOGP Report 432 Table 2:2017; Item 8.2 - ABNT Standard NBR ISO 14001:2015; Item 8.2 - ABNT Standard NBR ISO 45001:2015.	Verify with the Shorebase and offshore Management if they know what to do when an accident happens.	Standard record, just evaluating the evidence, no need for copies of documentation.	The evaluation of this item at the Shorebase and at the Rig must be carried out with a focus on the process, observing the responsibilities of the leadership in the process.
32	GSMS0032C-2	Onboard anomaly (incident/accident) classification definition.	The company should ensure that the incidents/accidents are classified by levels/differentiated treatment. The major emergencies are mapped out in the company's system. Those numbers should also have some kind of statistical analysis/handling according to gravity.	Shorebase Only	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Analyze the classification procedure or systematic and treatment levels of the rigs incident/accident	Law no. 8213/91; Item 9.2 - RANP 43:2007 - Management Practice No. 9 - SGSO; Items 2.2.1, 2.2.2, 2.4.1 - IOGP Report 432 Table 2:2017; Item 8.2 - ABNT Standard NBR ISO 14001:2015; Item 8.2 - ABNT Standard NBR ISO 45001:2015.	1. Verify incident/accident classification, as well as the measures to be taken in case of major emergencies. 2. Verify if the company has some kind of statistical data treatment. 3. (RE) Check if classification is applied during the rig receiving process.	Standard record, just evaluating the evidence, no need for copies of documentation.	The evaluation of this item at the shorebase and at the rig must be carried out with a focus on the process, observing the incidents and accidents treatment classification and levels. For major emergencies, the Rig IEP (Incidents Emergency Plan) is triggered, how is the process flow? Are there statistical treatment of these records? Are there action plans generated from this statistical analysis?
33	GSMS0033C-2	Systematic of incident and accident communication	The company should have an incident/accident communication procedure with Petrobras involved. A communication plan should be elaborated.	Shorebase and Rig	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Analyze the incident/accident communication plan. Analyze which bodies are part of the communication according to the incident / accident (ANP, Navy, IBAMA, INEA, ...)	Law no. 8213/91; Item 8.2 - RANP 43:2007 - Management Practice No. 8 - SGSO; RANP 43:2007 - Management Practice No. 9 - SGSO; Items 2.2.1, 2.2.2, 2.4.1 - IOGP Report 432 Table 2:2017; Item 8.2 - ABNT Standard NBR ISO 14001:2015; Item 8.2 - ABNT Standard NBR ISO 45001:2015.	1. Verify the use of the incident and accident communication plan, and the involvement of Petrobras. 2. Verify that communication and engagement mechanisms are established and maintained to ensure clear and consistent HSE performance reinforcement throughout the contract. Verify that responsibility is assigned so that there is appropriate and immediate communication, with the engagement of those involved, to obtain adequate HSE performance. 3. (RE) Check if the system is used during the rig receiving process	Standard record, just evaluating the evidence, no need for copies of documentation.	The evaluation of this item at the shorebase and at the rig must be carried out with a focus on the process, observing if the communication flow occurs quickly and if Petrobras is involved
34	GSMS0034D-2	Response actions flowchart to be taken during incidents and accidents with the due identification of the responsible parties.	The company should have an actions flowchart or decision tree to be used after the incident/accident communication, with the responsible parties definition in each step.	Shorebase and Rig	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	D	Analyze the flowchart or decision tree. Analyze the practical use of this flowchart by supervisors	Law no. 8213/91; RANP 43:2007 - Management Practice No. 9 - SGSO; Items 2.2.1, 2.2.2, 2.4.1 - IOGP Report 432 Table 2:2017; Item 8.2 - ABNT Standard NBR ISO 14001:2015; Item 8.2 - ABNT Standard NBR ISO 45001:2015.	1. Verify if the flowchart or decision tree complies with the actions and responsibilities after incidents/accidents communication. 2. Verify if supervisors use this flowchart with their teams.	Standard record, just evaluating the evidence, no need for copies of documentation.	The assessment of this item at the shorebase and at the rig must be carried out with a focus on the process, observing if the flowchart or decision tree is defined for each type of incident and accident, defining the responsibilities of those involved.
35	GSMS0035C-2	Incident and accident investigation committee.	The company should set up a committee to investigate the incidents/accidents root causes. Employees should be assigned according to the incidents/accidents gravity level.	Shorebase Only	OP, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Incident/accident investigation committee nomination. Team sizing and composition.	Item 8.2 - ABNT Standard NBR ISO 14001:2015; Law no. 8213/91; Item 9.2.a - RANP 43:2007 - Management Practice No. 9 - SGSO; Items 2.2.1, 2.2.2, 2.4.1 - IOGP Report 432 Table 2:2017; Item 8.2 - ABNT Standard NBR ISO 14001:2015; Item 8.2 - ABNT Standard NBR ISO 45001:2015; Item 1.6 and 3.7 - IOGP 423-02 Checklist 2017.	Verify the incident/accident investigation committee formal nomination.	Standard record, just evaluating the evidence, no need for copies of documentation.	The assessment of this item on the shorebase must be carried out with a focus on the process, observing: - If a commission to investigate incidents and accidents is created; - If there are instructions for the size and composition of the investigation team; - procedures that establish the qualification, experience and training of investigation team members; and - that everything described in the requirement and assessment is being fulfilled.



36	GSMS0036C-2	Incident investigation systematic	The company should have a systematic to investigate the incidents/accidents	Shorebase Only	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Analysis of the systematic of investigation's incidents/accidents causes. The procedures present a clear way to conduct investigations, bring deadlines set and met. Is there a routine to verify the effectiveness of the actions taken.	Law no. 8213/91; RANP 43:2007 - Management Practice No. 9 - SGSO; Items 2.2.1, 2.2.2, 2.4.1 and 3.11.B - IOGP Report 432 Table 2.2017; Items 2.2.1, 2.2.2, 2.4.1 - IOGP Report 432 Table 2.2017; Item 8.2 - ABNT Standard NBR ISO 14001:2015; Item 8.2 - ABNT Standard NBR ISO 45001:2015. Item No. 9.3.1, 9.3.2, 9.4.1, 9.4.2, 9.5.9.6 - RANP 46:2016 - SGIP.	1. Verify if the systematic includes: - Investigation team's sizing, set up and responsibilities; - Criteria for the investigation to be carried out on the incident site, observing the need to preserve any physical evidence, the interviews to be scheduled and conducted, and the need to collect and identify the proper documents, data, and records; - Investigative techniques and tools to be used in view of the incident's gravity and potential damage. - Immediate cause identification; - Root cause identification; - Implementation of immediate, corrective, and preventive actions; - Elaboration of an Action Plan with responsible parties and deadline to monitor and verify the actions taken effectiveness; - Verify if the deadlines set in the action implementation schedule are compatible with the complexity of the actions and risks involved. - Record and dissemination of lessons learned across the company levels. 2. Verify if the techniques used in the analyses can reach the immediate and root causes of the incident, corrective actions implementation, actions plans elaboration and lessons learned disclosure. 3. The incident evaluation systematic should set criteria for the investigation taking into consideration the potential damage or the frequency of similar events. 4. Assign the team in charge and launch the investigation as soon as possible, not exceeding 48 (forty-eight) hours after the end of the incident, save for any justified and documented force majeure event. 5. The incident investigation report should be filed for at least 05 (five) years.	Standard record, just evaluating the evidence, no need for copies of documentation.	The assessment of this item at the shorebase must be done with a focus on the process, analyzing if the items contained in the requirement are inserted in the investigation and in the evidences in the case of coverage, to avoid incidents and accidents recurrence. Assess if the company has procedures for conducting incident investigations. If yes, verify if these procedures are effectively implemented; if deadlines are established to implement the corrective and preventive actions, if there is a routine to verify the effectiveness of the implemented corrective actions, if the deadlines are met, if there are records of these verifications, if coverage of accidents that occurred in the company or in other rigs in the Petrobras fleet is carried out.
37	GSMS0037C-2	Incidents and accidents documents deadlines and issuance.	The company should ensure that the deadline to send the accident and incident documents will be sent within the legal deadline.	Shorebase and Rig	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Analyze CI (Internal Communication), CAT (Occupational Accident Communication) and incident/accident information flow, even without opening any CAT.	Law no 8213/91 - sets in its article 22 the time limit to issue the CAT, which is up until the first business day following the day of the occurrence. In case of death, the company or domestic employer should promptly notify the proper authority. RANP 43:2007 - Management Practice No. 9 - SGSO; - Investigation. Item 9.3.1. Items 2.2.1, 2.2.2, 2.4.1 - IOGP Report 432 Table 2.2017; Item 8.2 - ABNT Standard NBR ISO 14001:2015; Item 8.2 - ABNT Standard NBR ISO 45001:2015.  Notes: The company that fails to inform the occupational accident within the legal time limit is subject to a fine, as stipulated in articles 286 and 336 of the Decree no. 3048/1999.	1. Verify if there is an in-house information flow system to notify incidents, even if no CAT (Occupational Accident Report) is generated. 2. Verify the CAT opening with all the pertinent requisites. The deadlines are: - A CAT is opened within 24 hrs for occupational accidents with or without an injury; - CI (Internal Communication) by the ANP (Brazilian National Petroleum Agency) within 24 hrs after the event; - The Monthly Accident Statistics Report (REM) is elaborated and sent to Petrobras; - RAL 1 (Injury Accident Report) should be delivered within 24h; - RAL 2 (Injury Accident Report) within 10 business days. 3. All the incidents should be recorded, analyzed, and treated through corrective and preventive actions. 4. The incidents, causes, and measures taken should be disclosed to all employees.	Standard record, just evaluating the evidence, no need for copies of documentation.	The assessment of this item at the shorebase and at the rig should be done with a focus on the process. Analyze if the communication deadlines are followed, and focus on evidence in the case coverage, to avoid the incidents and accidents recurrence and a broad communication is done to the employees in a preventive way.
<b>06. Safety equipment inspection, preservation, and maintenance</b>														
38	GSMS0038B-1	HSE equipment inspection and maintenance systematic	The company should have a systematic to perform a safety inspection, to cover and determine the critical items.	Shorebase Only	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	B	Analyze the safety inspection procedure and observe if it covers critical items. Seek an equipment list with a schedule for its evaluation. Analyze how the certificates and the calibrations are verified.	Item 9.3.5.5 - Regulation NR 09:2017; Items E5.2 - IOGP Report 432 Table 1.2017; Item 8.1 - ABNT Standard NBR ISO 14001:2015; Item 8.1 - ABNT Standard NBR ISO 45001:2015.	1. Verify the safety inspection systematic. 2. Verify the schedule and the equipment included in the safety inspection. 3. Verified how the certificates and the calibrations are controlled.	Standard record, just evaluating the evidence, no need for copies of documentation.	The assessment of this requirement must focus on processes, where the safety inspection procedure or instruction must cover the entire HSE items inspection process, including those classified as critical, where failure can lead to a high potential accident.
39	GSMS0039B-1	Inspections records and HSE pending issues treatment follow-up .	The company should have a Safety inspection plan and a safety inspection Emergency Equipment Plan duly recorded.	Shorebase Only	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	B	Analyze the schedule and measures taken in the action plans due to safety inspections, and the corrective and preventive actions already implemented and analyzed.	Petrobras Standard N-2644:2008 CONAMA RESOLUTION no. 398, dated June 11, 2008. Items E3.2.1, E5.2 - IOGP Report 432 Table 1.2017 Items 2.2.1, 2.2.2, 2.14.16, 2.14.19 - IOGP Report 432 Table 2.2017 Item 9.3.5.5 - Regulation NR 09:2017; Items 8.1, 8.2 - ABNT Standard NBR ISO 14001:2015; Items 8.1, 8.2 - ABNT Standard NBR ISO 45001:2015.	1. Verify if exist a plan, if it is recorded and if it is being strictly followed by the operations. 2. This plan should include at least: - Fire extinguishers (monthly inspections, weighting, recharging, tests - certificates, reports); - Hydrants/ Pressurized fire fighting system (inspections, tests - reports); - Emergency alarms (Light and Sound); - Critical sensor inspection and calibration (H2S, CH4), Flame and Smoke, Emergency Lighting, Instrument Calibration (lux meter, decibel meter, thermometer, anemometer); - Victim immobilization equipment (stretcher, stabilizing belts, cervical collar); - Defibrillator; - First Aid Kit; - Emergency response PPE (masks, goggles, gloves, special clothing with openings, oxygen cylinder, etc.); - Rescue equipment (lifeboats, inflatable rafts, life jackets, special clothing); - CPE (Collective Protective Equipment) (isolation barricades, signage); - Offshore Transfer Basket (if permitted by Petrobras - certificate of homologation and regular inspections); - Kit SOPEP; - Pad eyes inspection (Retractable fall arrest anchorage points: 1500 Kg); - Derrick inspection, retractable fall arrest, Belts, full sling inspection; crane inspection, man rider tuggers and cat lines tuggers; T Card (Safety Crew Card).	Standard record, just evaluating the evidence, no need for copies of documentation.	In this requirement, the focus is on evidence, the company's shorebase must present a schedule and an inspection plan for the HSE equipment. How are possible deviations handled? Does the company seek to reduce deviations from the inspection schedule and plan? Is there any kind of analysis of the actions already implemented?
<b>07. Continuous onboard safety training - Drilling Rig Briefing Effectiveness</b>														
40	GSMS0040D-2	Briefing /HSE daily meetings	The company should have a rig briefing's planning and review, covering recent incidents.	Rig Only	OP, RE, PQ	<input type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	D	Analyze the safety briefing documents, presentations, and records. Analyze if the HSE daily meetings considers specific training for company staff new hired or new activity's, newcomers onboard, and guided visits.	Item E8.5.2 - IOGP Report 432 Table 1.2017; Items 2.2.1, 2.2.2 and 3.11.E - IOGP Report 432 Table 2.2017; Items 7.2, 7.3, 7.4, 8.2 - ABNT Standard NBR ISO 14001:2015; Item 8.2 - ABNT Standard NBR ISO 45001:2015.	Verify, through sampling, the documentation with the HSE leader, and interview employees to assess the quality of the Briefing information. Verify the guidelines for all the workforce, specially new employees and workplace visitors.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement should be evaluated in the Rig with a focus on evidences. The auditor must verify that the documentation or presentations depict the latest incidents and accidents, the current operation of the rig. Check how the leadership discloses the information and encourages safety policies, the participation of the safety officer in the process, and the health team alerts on board, differentiated treatment for the newcomers.
<b>08. PPE and CPE Minimum stocks - Inventory procedures and items after expiry date</b>														
41	GSMS0041C-1	PPE specification and control procedure	The company should have a PPE and CPE control systematic according to each activity undertaken by the company.	Rig Only	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Analyze the PPE/CPE control procedure of own employees, fixed, temporary and customer third parties. Check how deviations are handled in case of improper use of PPE/EPC (with investigation of the root cause), both by own personnel and third parties.	Item 9.3.5.5 - Regulation NR 09:2017; Item 2.1.1 - IOGP Report 432 Table 2.2017; Items 6.1 - ABNT Standard NBR ISO 14001:2015; Item 6.1.2 - ABNT Standard NBR ISO 45001:2015.	Verify activity correlation procedure x PPE x CPE.	Standard record, just evaluating the evidence, no need for copies of documentation.	This item must be evaluated in the Rig with a focus on the process, and verifying the correlation of activities versus protective equipment, whether collective or individual.
42	GSMS0042C-1	Procedure to control expiry date and minimum stock	The company should have a systematic describing the PPE and CPE and where those are managed according to: 1- Mandatory Certificate of Approval approved by the Ministry of Labor and Employment; 2- PPE expiry date control as recommended by the manufacturer; 3- Minimum stock; 4- Cleaning and care; 5- Replacement rules.	Rig Only	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Analyze the PPE monitoring control procedure.	Item 9.3.5.5 - Regulation NR 09:2017; Item 2.1.1 - IOGP Report 432 Table 2.2017; Items 6.1 - ABNT Standard NBR ISO 14001:2015; Item 6.1.2 - ABNT Standard NBR ISO 45001:2015.	1. Verify if the PPE and CPE are managed according to the procedure. 2. Verify through sampling the PPE delivery record, PPE expiry date control, PPE stock control, PPE cleaning training record, PPE maintenance and cleaning in use.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement must be evaluated with a focus on the evidences given, and also, to have a control or procedure to manage the PPE's and CPE's. The company must guarantee a minimum safety stock. Also, shall provide training for sanitation, maintenance and cleaning the equipment.
<b>9. Waste Control</b>														



43	GSMS0043C-2	Waste management systematic	The company should have a management waste systematic generated by the operational and administrative activities.	Shorebase	OP, RE, PQ	<input checked="" type="checkbox"/>	<input type="checkbox"/>	PQ	C	Analyze if the systematic has a defined waste management process, from origin to disposal, person in charge, and a waste type list.	Law No. 12305/2010; RDC Resolution 306 12/07/2004; RDC Resolution no. 33 02/25/2003; CONAMA Resolution 358:2005; CONAMA Resolution 313:2002; CONAMA Resolution 472:2015; CONAMA Resolution 264:1999; CONAMA Resolution 401:2008; CONAMA Resolution 306:2002; CONAMA Resolution 381:2006; Items 2.8.3, 2.8.4, 2.8.5, , 4.7.F, 4.7.G IOGP Report 432 Table 2.2017; Items 4.3, 4.4 - ABNT Standard NBR ISO 14001:2015.	1. Verify the management, person in charge, and waste types systematic. 2. This systematic should consider the temporary storage, disposal, discharge and final destination phases, by hiring companies licensed by environmental agencies, to prevent or reduce any environmental impacts. It should be clearly defined to the employees who are in charge of collection, sorting, temporary storage, and hiring suppliers licensed by environmental agencies. It should list all kinds of waste generated, generation site, volume generated, storage site, and the kind of final destination. 3. Verify the products, labels, and material safety data sheets (MSDS) information. 4. Verify the quality and control assurance	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement should be assessed at the shorebase with a focus on analyzing the waste management process. All items described in the verification column must be considered. In the rig, it must be verified if what is defined in the systematic is being achieved.
45	GSMS0045C-2	Assurance on employees' knowledge of the systematic for waste management	The company should ensure that all the company employees at all levels are trained in the waste management systematic and they are familiar with its content.	Shorebase	OP, RE, PQ	<input checked="" type="checkbox"/>	<input type="checkbox"/>	PQ	C	Analyze the training records given to the employees and third parties (catering, painting etc), and also interview some to verify their knowledge on the process.	Law No. 12305/2010; RDC Resolution 306 12/07/2004; RDC Resolution no. 33 02/25/2003; CONAMA Resolution 358:2005; CONAMA Resolution 313:2002; CONAMA Resolution 472:2015; CONAMA Resolution 264:1999; CONAMA Resolution 401:2008; Items 2.8.3, 2.8.4, 2.8.5, , 4.7.F, 4.7.G IOGP Report 432 Table 2.2017; Items 4.3, 4.4 - ABNT Standard NBR ISO 14001:2015.	1. Verify, through sampling, through interviews and procedure training records. 2. Verify the information on the products, labels, and material safety data sheets (MSDS). 3. Verify the quality and control assurance	Standard record, just evaluating the evidence, no need for copies of documentation.	The purpose of this requirement is to ensure that the employees responsible for the waste disposal process know the company's systematic, as well as the other employees can collaborate in the process by sending the generated waste to appropriate collectors.
46	GSMS0046C-2	Waste manifests control	The company should verify if the Waste Manifests are generated and if those are controlled on the INEA (Brazilian State Environment Institution) portal for closure. It should also verify if the final destination certificates are archived.	Shorebase	OP, RE, PQ	<input checked="" type="checkbox"/>	<input type="checkbox"/>	PQ	C	Analyze if the waste manifests were completed correctly, without missing information or signatures.	Law No. 12305/2010; RDC Resolution 306 12/07/2004; RDC Resolution no. 33 02/25/2003; CONAMA Resolution 358:2005; CONAMA Resolution 313:2002; CONAMA Resolution 472:2015; CONAMA Resolution 264:1999; CONAMA Resolution 401:2008; Items 2.8.3, 2.8.4, 2.8.5, , 4.7.F, 4.7.G IOGP Report 432 Table 2.2017; Items 4.3, 4.4 - ABNT Standard NBR ISO 14001:2015.	1. Verify, through sampling, the manifests generated by the company and where those manifests are archived and controlled. 2. Verify the information on the products, labels, and material safety data sheets (MSDS). 3. Verify the quality and control assurance	Standard record, just evaluating the evidence, no need for copies of documentation.	The purpose of this requirement is to ensure that all manifests generated are filled out correctly, so the focus on the shorebase and the rig is on the evidence given by the company.
50	GSMS0050C-1	Fluid transfer between vessels planning and communication.	The company should have a pre job planning with a safety daily meeting before fluid transfer operations, issuing the work permit and risk analysis (vessel x drilling rig).	Rig Only	OP, RE, PQ	<input checked="" type="checkbox"/>	<input type="checkbox"/>	PQ	C	Analyze if the last fluid transfers between vessels had a Work Permit and risk analysis focused on safety and environment.	Law No. 12305/2010; RDC Resolution 306 12/07/2004; RDC Resolution no. 33 02/25/2003; CONAMA Resolution 358:2005; CONAMA Resolution 313:2002; CONAMA Resolution 472:2015; CONAMA Resolution 264:1999; CONAMA Resolution 401:2008; Items 2.8.3, 2.8.4, 2.8.5 - IOGP Report 432 Table 2.2017; Items 4.3, 4.4 - ABNT Standard NBR ISO 14001:2015.	Verify, through sampling, if the last fluid transfers between vessels had PTW, adequate risk analysis, and the HSE daily meeting was conducted for the operation.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement will assess the compliance of the evidences given (PTW, risk analysis, SDD - Safety Daily Dialog record) on the transfer of fluids between the supply vessel and the rig.
<b>10. Work Safety Management</b>														
51	GSMS0051C-2	Health and safety programs	The company should have the PPRA (Brazilian Environmental Risk Prevention Program), PCMSO (Occupational Health Medical Control Program), PCA (Hearing Conservation Program), PPR (Respiratory Protection Program).	Shorebase and Rig	OP, RE, PQ	<input checked="" type="checkbox"/>	<input type="checkbox"/>	PQ	C	The PPRA must contain at least the following: - Environmental risks: chemical, physical and biological agents; - Personal protective equipment: suitable for the recognized and evaluated risks; - Others resulted from the introduction of new technologies. - Physical, chemical and biological risks, explosive atmospheres, oxygen deficiencies, ventilation, respiratory protection (according to Normative Instruction No. 1, issued April, 4th 1994, Brazilian Labor Safety and Health Secretary) - Work accidents Investigation and analysis.	Regulations NR-07, NR-09 and normative instruction SSST/MTB 01; Item 2.15.1 - IOGP Report 432 Table 2.2017; Item 5.10 - IOGP Report 423-02 Checklist: 2017.	Verify, through sampling, the health and safety programs implementation.	Standard record, just evaluating the evidence, no need for copies of documentation.	The evaluation of this requirement should focus on the evidences given, where is verified if the Drilling Contractor PPRA comply with the Brazilian Regulation (NR).
52	GSMS0052C-1	PPRA (Brazilian Environmental Risk Prevention Program) overall analysis	The company should do, whenever necessary and at least once a year, an overall analysis of the PPRA (Environmental Risk Prevention Program), with objective evidence.	Shorebase and Rig	OP, RE, PQ	<input checked="" type="checkbox"/>	<input type="checkbox"/>	PQ	C	Observe if the PPRA (Environmental Risk Prevention Program) schedule has activities with actions, deadlines and person in charge	Regulation NR 09:2017; Item 2.15.1 - IOGP Report 432 Table 2.2017; Items 4.3, 4.4 - ABNT Standard NBR ISO 45001:2015.	Verify in the PPRA (Environmental Risk Prevention Program) Schedule if the activities are being undertaken on time. (objective evidence)	Standard record, just evaluating the evidence, no need for copies of documentation.	The evaluation of this requirement should focus on the evidences given related to the schedule compliance.
53	GSMS0053C-1	PPRA (Brazilian Environmental Risk Prevention Program) with environmental risks	The company should ensure that the PPRA (Environmental Risk Prevention Program) recognizes the environmental risks according to the activities undertaken at the rig and was elaborated by the rig, taking its risk level into account.	Shorebase and Rig	OP, RE, PQ	<input checked="" type="checkbox"/>	<input type="checkbox"/>	PQ	C	Assess if the Rig's risk level is higher than the company's, the Rig's risk level should be applied in the PPRA (Environmental Risk Prevention Program) and SESMT (Safety Engineering and Occupational Medicine)	Regulation NR 09:2017; Table II - Regulation NR 04:2016; Item 2.15.1 - IOGP Report 432 Table 2.2017; Items 4.3, 4.4 - ABNT Standard NBR ISO 45001:2015.	Verify, through sampling, the PPRA (Environmental Risk Prevention Program) risk level and its application to the SESMT (Safety Engineering and Occupational Medicine Specialized Service), as per Brazilian rule NR-04.	Standard record, just evaluating the evidence, no need for copies of documentation.	The evaluation of this requirement must focus on evidences given, if it is verified whether the company's document is in line with the Brazilian Regulation (NR).
54	GSMS0054C-1	Environmental risks' PPRA (Brazilian Environmental Risk Prevention Program) evaluation	The company should ensure that the PPRA (Environmental Risk Prevention Program) includes the environmental risks (noise, temperature, illuminance, air quality) evaluation (qualitative and quantitative).	Shorebase and Rig	OP, RE, PQ	<input checked="" type="checkbox"/>	<input type="checkbox"/>	PQ	C	Observe if the evaluations were carried out and if the equipment is calibrated up to date.	Items 9, 9.3.61, 9.3.6.2, 9.3.7.1 - Regulation NR 09:2017; Item 2.15.1 - IOGP Report 432 Table 2.2017; Items 4.3, 4.4 - ABNT Standard NBR ISO 45001:2015.	1. Verify, through sampling, if temperature, illuminance, and air quality were analyzed, if corrective measures were taken in case of legal standards deviation. 2. Verify if the measurement instruments have a valid calibration.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement must be evaluated both at the shorebase and at the Rig, and must focus on the analysis of the evidence given by the company.
55	GSMS0055C-1	PPE use according to the PPRA	The company should ensure the PPE use within the PPRA (Environmental Risk Prevention Program) scope considering the Rig's legal standards and regulations.	Shorebase and Rig	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Observe if the PPRA (Environmental Risk Prevention Program) contains the PPE utilization.	Items 6.5, 6.5.1 - Regulation NR 06:2017; Items 4.3, 4.4 - ABNT Standard NBR ISO 45001:2015.	Verify, through sampling, the existence of Activity x PPE mapping, PPE delivery record sheet, if the Petrobras requirements are aligned in the PPRA (Environmental Risk Prevention Program), record that the employees were trained in PPE use, maintenance, and cleaning. On-site verification of PPE use.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement must be evaluated both at the shorebase and at the Rig, and must focus on the analysis of the evidence given by the company.
56	GSMS0056C-2	PPR / PCA implementation	The company should provide the PPR (Respiratory Protection Program) implementation's objective evidence, and the PCA (Hearing Conservation Program) implementation's objective evidence.	Shorebase and Rig	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Analyze if the PPR (Respiratory Protection Program) and PCA (Hearing Preservation Program) are valid and implemented.	Annex 1, Table II - Regulation NR 07:2013; Regulation NR 09:2017; Normative Instruction SSST/MTB no. 1 04/15/1994; Items 4.3, 4.4 - ABNT Standard NBR ISO 45001:2015; Items 2.4.1, 2.6.3, 2.6.4, 2.9.2 - IOGP Report 432 Table 2.2017.	Verify, through sampling, if the PPR and PCA are valid and implemented, and also verify the programs training and disclosure records.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement must be evaluated both at the shorebase and at the Rig, and must focus on the analysis of the evidence given by the company.

58	GSMS0058B-1	ASO (Occupational Health Certificate) copies onboard to work in height and in confined spaces	The company should ensure that the work in heights and confined spaces ASO's (Occupational Health Certificate) are evidenced as cleared for the activities. A copy of the up to date ASO should also be kept	Shorebase and Rig	OP, RE, PQ	<input type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	B	Observe on-site the valid ASOs (Occupational Health Certificates) for work in heights and in confined spaces clearance for the workers who perform such tasks.	NR 7 - 7.4.4, 7.4.4.3; OGP 432- 2.4.3, 2.6.2, 2.6.3, 2.8.2, 2.8.5; Items 4.3, 4.4 - ABNT Standard NBR ISO 45001:2015.	Verify, Shorebase and onboard, the ASO (Occupational Health Certificate) suitability for the activities undertaken.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement must be evaluated both at the shorebase and at the Rig, and must focus on the analysis of the evidence given by the company.
61	GSMS0061C-0	Systematic of barrier dynamic managing	The company should have a systematic to dynamically manage the barriers indicated in the rig's risk analysis in a systemized and integrated manner.	Shorebase Only	OP, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Analyze which technique or software is used by the company to monitor its major emergencies and if the barriers contained in the technique are monitored and updated in real time, keeping the risks within the tolerable ALARP range.	Introduction and Items 4.2.5, 4.2.6 - Part 4 IADC HSE Case guidelines, WOAD; Items 11.3 - RANP 43:2007 - Management Practice No. 11 - SGSO. Items 12.1, 12.2, 12.3 - RANP 43:2007 - Management Practice No. 12 - SGSO.	1. Verify if exists a real-time barrier's compromise level analysis, and ALARP range monitoring.	Standard record, just evaluating the evidence, no need for copies of documentation.	The evaluation of this item must focus on evidence of the company's program adherence to the NR (Brazilian Regulatory Regulations).
62	GSMS0062D-0	Ergonomics program	The company should introduce an ergonomics program covering its activities.	Shorebase and Rig	OP, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	D	Analyze the program's content and rules and regulations compliance	Regulation NR-17. Item 5.10 IOGP Report 423-02 Checklist: 2017.	Verify the company's ergonomics program requirements implementation.	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement should be evaluated with a focus on evidence of implementation of programs and campaigns.
64	GSMS0064E-0	Emission of greenhouse gases (GHG) control Systematic in the production of oil and gas.	The company must have a systematic for evaluating its capacity to emit greenhouse gases into the atmosphere, according to the process plant of its offshore units, in order to minimize or mitigate emissions.	Shorebase and Rig	OP	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	EX	E	Analyze if the systematic is properly implemented.	Good practice	1. Compare with the best practices presented in the GHG Workshop (Petrobras Workshop)	Standard record, just evaluating the evidence, no need for copies of documentation.	This requirement should be evaluated with a focus on evidence of implementation of programs and campaigns.

# OPERATIONS MANAGEMENT

No.	Requirement Code	Title	Requirement	Location	Applicability	Análise		Type of Criteria	NCC	Guidelines	Documentation	Verification	Evidence collection	Evaluation criteria
						Docs.	In loco							
<b>01. Operations Management</b>														
1	GOPE001C-2	Operation stop policy or safety card	The company must have a systematic for handling safety cards and for stopping operations.	Shorebase and Rig	OP, PQ	<input checked="" type="checkbox"/>	<input type="checkbox"/>	PQ	C	Analyze how the company invests in the safety card or an operation stop as decided by the employee when a risk is detected. Analyze the treatment given to the safety cards, for instance: registers and controls pending issues; free comments from employees; no punishment per card issued, among other actions. Those cards should have an evaluation routine.	Item 1.3.3 – RANP 43:2007 - Management Practice No. 1 - SGSO; Item 2.2.2 – RANP 43:2007 - Management Practice No. 2 - SGSO; Item 8.4 - Report 423-02 IOGP	1. Check if statistical analyzes of recurrence of actions/problems are created. And check if these analyzes are inputs for some program. 2. Check how is the systematic for handling this generated information. 3. Check if the company has a System that values and encourages employees to produce good quality cards that point out deviations, not just compliments. 4. Check if the system is electronic or manual. If it is electronic, it reduces process time and filling failures. 5. (RE) Check if and how the stop operations policy is implemented.	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement should be evaluated in terms of the support given by the leadership for the issuance of this type of card and how the treatment occurs after issuance.
2	GOPE002C-2	Organizational Structure and Managerial Responsibility	The company should have the Operational Management duties and responsibilities defined, documented, and duly communicated, and to the managers who should take part in the Operational Safety activities.	Shorebase Only	OP, PQ	<input checked="" type="checkbox"/>	<input type="checkbox"/>	PQ	C	The company should ensure that the duties and responsibilities are documented and communicated. The company should ensure the effective participation of the rig's Managers in the Operational Safety activities.	Items 1.3.2 and 1.4 – RANP 43:2007 - Management Practice No. 1 - SGSO;	1. Verify if the attributions and responsibilities are documented through job descriptions, organizational charts and/or responsibility matrix. 2. Check the participation of Managers in activities related to Operational Safety. 3. The verification can be done through the attendance list, courses, training, minutes of meeting and other means that make it possible to verify the participation of the management. 4. Check that the roles and responsibilities as "barrier guardians" of the Safety Case are clearly described in the employees' Job Descriptions. 5. Verify the employees' knowledge of their respective responsibilities as "barrier guardians", according to the definition of the Safety Case of the Rig.	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement must be evaluated in terms of the documented attributions and responsibilities, showing how the leadership participates in the processes in order to guarantee and improve the operational safety
3	GOPE003B-2	Rig's activities risk criticality criteria.	The company should have a specific methodology that clearly define the workplace criticality criteria and defines additional actions for the operation procedures to ensure the involved personnel's safety.	Shorebase and Rig	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	B	Look for in the management procedures the methodology that defines the rig operations' criticality. Analyze in this requirement only the risks regarding the tasks performed in the workplace.	Introduction - Part 4 IADC HSE Case guidelines; Item 11.2 – RANP 43:2007 - Management Practice No. 11 - SGSO; Item no. 5.2 - API RP 75:2013; Item 6.1 - ISO 31000 and analysis techniques contained in Annex B of ISO 31010.	Verify, through sampling, the criticality definition for some operations to evidence the use of the recommended practice on the requirement	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement must be evaluated in relation to the methodology adopted by the company to define the wells criticality. The criteria defined by Petrobras may be used, or there may be an analysis group of its own, which performs a risk analysis in order to corroborate or increase operational care.
33	GOPE0033C-2	Tasks' risks management of the Activities performed in the Unit.	The company should have processes and methods to manage the risks to an acceptable level (ALARP) and should establish: operational, environmental, and corporate context.	Shorebase Only	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Analyze if the supervision can prevent or control the inherent risks of the activity or task carried out. Analyze if the manager recognizes the risks in their organization and can ensure a robust barrier control. Analyze the risk management controls, risk management approval criteria and processes. Analyze if the company has a well adjusted supervision to prevent the existing and inherent risks in each activity or task carried out. Analyze the leadership training, time and resources to perform the risk management.	Item 12.4 - RANP 43:2007 - Management Practice No. 12 - SGSO; Items E5.1, E8.3 - IOGP no. 510: 2014.	1. Verify, through sampling, the criticality definition for some operations to evidence the use of the recommended practice on the requirement 2. Verify if the items below: - The manager recognizes which are the significant risks in his organization. - There were effective participation in the risk management, implementation, and continuous improvement. - The manager ensures in the process safety critical systems where the barrier management and control system needs to be robust, it is maintained in such a manner that prevents the occurrence of events with low probability of occurrence but of catastrophic consequences. - The drilling contractor should set risk management controls and if there was interaction with the many hierarchical levels. Verify if an approval criterion and process were clearly established to ensure consistency in the risk management. There are established cases where senior management should be involved to decide on high levels of residual risk. - Every manager should be trained and allot sufficient time and resources to perform his risk management duties and regular review the progress of his part of the system.	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement should only be evaluated at shorebase, focusing on evidence observed in plans and procedures, leadership participation, risk management criteria and processes.
37	GOPE0037B-1	Systematic of critical operational safety elements classification and disclosure	The company should have a systematic for identification and classification of critical elements. This definition should come from study of the Rig's risk analysis.	Shorebase and Rig	OP, RE, PQ	<input checked="" type="checkbox"/>	<input type="checkbox"/>	PQ	B	Analyze how the critical elements list (critical operational safety Equipment, System or procedure) was elaborated. Also analyze if the definition comes from the HSE Case and how the list is reviewed. The company should have the critical elements defined and mapped (procedures, systems, and equipment). Verify how the criticalities are reviewed, if reviewed at meetings, if deadlines have been set, if events are triggers, or if the Shorebase guides the new criticality. This system should be broadly disclosed to the employees.	Item 2.5 - RANP 43:2007 - Chapter 1 - SGSO.	Verify through sampling the drilling rig's critical elements classification criteria and the process to review the critical elements list.	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement should assess the identification process and the revision process of the list of critical equipment, and if the definition comes from the HSE Case.
46	GOPE0046B-2	Critical elements management system	The company should have a critical equipment, systems, and procedures management systematic derived from the HSE Case/Rig Risk Analysis	Shorebase and Rig	OP, RE, PQ	<input checked="" type="checkbox"/>	<input type="checkbox"/>	PQ	B	Analyze, with a focus on management, if the document defines how the company determines its critical elements derived from the HSE Case/rig Risk Analysis. Verify how the criticalities are reviewed, if reviewed at meetings, if deadlines have been set, if events are triggers, or if the Shorebase guides the new criticality.	Item 11.3 - RANP 43:2007 - Management Practice No. 11 - SGSO;	Verify, through sampling, the criteria used to define the criticality and how the elements are managed according to their criticality.	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement must be evaluated considering two items: the first is the criticality definition and the second is how the elements are managed from their criticality.
67	GOPE0067C-2	Conformance Verification Plan (CVP)	The rig should have means to identify the procedures to be verified for conformance, and ensure the CVP (Conformance Verification Plan) implementation.	Rig Only	OP, RE, PQ	<input checked="" type="checkbox"/>	<input type="checkbox"/>	PQ	C	Analyze the CVP (Conformance Verification Plan) and compare it to the critical procedures indicated by the risk analysis. Interview people to verify their knowledge of the procedure applied recently.	Item 3.3.6 - RANP 43:2007 - Management practice No. 3 - SGSO; Item 15.2.1 - RANP 43:2007 - Management practice No. 15 - SGSO; Item No. 15.2.1 and 15.2.2 - RANP 46:2016 - SGIP.	1. Verify the origin and control of the list of procedures that must undergo compliance verification. 2. Check the training matrix in Conformance Verification Plan (CVP). 3. Check for overdue training, if it is updated and if there is a re-check after the update. 4. Check control of lessons learned and the procedure review systematic based on the points raised in the CVP. 5. Verify that the CVP process for critical procedures is applied prior to operations or the first time the procedure is used. 6. Check for results analysis. Check the percentage of procedures changed. Check if new training has been generated. 7. (RE) Verify if the planning considers the first operations to be performed in the Offshore Unit	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement must be evaluated in terms of documented procedures and how the compliance verification process takes place.
77	GOPE0077E-0	Systematic for Planning the suitability of the Rig for the New Contract	The company must have a systematic to plan the suitability of the rig for the new contract, including: - integration among areas, - materials purchase forecast, - forecast of the amount of manpower to perform the tasks, - Preparation of MoC for the new equipment/systems, - forecast of adequacy of the Rig's risk analysis, - schedule and forecast for monitoring the execution.	Shorebase and Rig	RE	<input checked="" type="checkbox"/>	<input type="checkbox"/>	EX	E	Search for the document that contains the planning of the adequacy of the Rig and the list of meetings to monitor the schedule and action plan for the adjustments of the expired deadlines.	Client requirement	Check by sampling the records of the meetings and how the missed deadlines foreseen in the schedule are treated.	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement must be evaluated in terms of documents, schedules, action plans, MoCs, among other documents necessary to adjust the Rig for the new contract.
<b>02. Management of Change</b>														
5	GOPE0005B-2	Global systematic of management of change with responsibilities definition and specific process flow.	Global Management of Change (MoC) system with definition of responsibilities and specific process.	Shorebase and Rig	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	B	Analyze the presented process. The procedure should establish, document and implement procedures so that any equipment, operations, procedures, standards, facilities, and personnel changes applicable to the operation management will ensure that the risks posed by those changes remain within acceptable levels (ALARP). Analyze if the systematic has effectiveness verification. In the process should have a proper space to identify any critical equipment considered by the company. The process procedure should have guidelines to define what is considered as a change and how those guidelines are disclosed. The execution process should provide enough details to clarify the questions from users of the MoC system and/or model. The risks that come with the changes should remain within acceptable levels. (RE) Analyze how it is applied during rig receiving process (RE) Analyze how the application is planned for the period of operation	Official Letter ANP 002:2015; Item 16.3 - RANP 43:2007 - Management Practice No. 16 - SGSO; Item 16.2 - RANP 46: SCIP/2016; Section 4 - API RP 75:2004; BSEE - Subpart S - 30 CFR Part 250.1912 (a).	1. Verify through interviews if the workforce knows about the MoC importance. 2. Verify if the process provides at least a space to describe the change, the change reasons, and the company's critical equipment identification. The process should include: - Definition of alterations that could be categorized as a change; - Responsibilities definitions for all the process phases and approval levels definition due to the potential risk that come with the change; - Guidelines to measures implementation for their subsequent monitoring and evaluation to finish off work and complete the changes made; - That the document have the proposed change description and alteration reason; - Change implementation deadlines and duration and possible postponement of maintenance; - (EX) Verify if there is any relation between the MoC and the barrier integrity verification of the Rig Risk Analysis; - For temporary changes, the reviews should be made with technical argument to ensure the operations' integrity; - Risks evaluation guidelines involved in each change, change risks and overall impact on the activities' previous evaluation techniques, before implementing the modifications; - Estimated update of the documents affected by the change; and - Training and/or communication for the entire Workforce affected by such changes.	Obtain a copy of the form or print screen of the system, for each type of MoC listed above.	This requirement will be evaluated at shorebase, focusing on the system analysis or form template used by the company to appropriately describe its changes. Such a tool must contain at least fields for the description, justification of the proposed changes and the list of critical equipment involved in that change. It will be evaluated at the shorebase and at the Rig and should check if the procedure contains everything described in the verification column. At the Rig, interviews will be conducted with the workforce to verify the knowledge and importance of the MoC.
6	GOPE0006B-2	Systematic of management of change: Personnel (MoC-P)	The company should have a systematic to manage its personnel changes, from registration, implementation, and specific treatment.	Shorebase and Rig	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	B	Analyze the systematic adopted by the company to manage its changes. Analyze if the systematic has the effectiveness verification. The systematic should have guidelines to define what is regarded as change and how those guidelines are disclosed. The risk analyses to be used in the MoC elaboration should be defined. The responsibilities should be clearly defined in the elaboration and approval flow. Analyze the application of MoC to the assembly of new teams for the operations start.	Item 16.2 - RANP 43:2007 - Management Practice No. 16 - SGSO;	1. Verify if the systematic is being used or not, and also some MoC records through sampling. 2. Verify if the systematic has an effectiveness verification. 3. The personnel changes concern change of function (e.g.: Roughneck to Derrickman, BOP Op. to Driller...) and position (Mechanic to Mechanical Supervisor, ...) 4. Verify that the personnel MoCs have the risk analyzes that allow the assessment of each specific condition 5. Check if the tool allows the assessment of risks and the execution of differentiated actions in the event of the change of several people from the same team	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement will be evaluated at shorebase based on the systematic previously sent by the company and if changes that have taken place in the base. In the Rig, the requirement will be evaluated based on the evidences given, assessing the whole change process and a possible effectiveness verification.

7	GOPE0007B-2	Systematic of management of change Temporary	The company should have a systematic to manage its temporary changes, from registration, implementation, and specific treatment.	Shorebase and Rig	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	B	Analyze the systematic adopted by the company to manage its changes. Analyze if the systematic has the effectiveness verification. The systematic should have guidelines to define what is regarded as change and how those guidelines are disclosed. The risk analyses to be used in the elaboration of the MoC should be defined. The responsibilities should be clearly defined in the elaboration and approval flow. The barrier should also be monitored. Analyze the actual application during rig receiving process	Item 16.3 - RANP 43:2007 - Management Practice No. 16 - SGSO.	1. Verify the systematic is being used or not, and also some MoC records through sampling. 2. Verify if new revisions are scheduled or deadlines are defined for finishing or definitive transformation and new authorization. 3. (RE) Check the temporary MoC issued during rig receiving process evaluating the risk analysis	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement will be evaluated at shorebase based on the systematic previously sent by the company and if changes that have taken place in the base. In the Rig, the requirement will be evaluated based on the evidences given, assessing the whole change process and a possible effectiveness verification.	
8	GOPE0008B-2	Systematic of management of change Permanent	The company should have a systematic to manage its permanent changes, from registration, implementation, and specific treatment.	Shorebase and Rig	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	B	Analyze the systematic adopted by the company to manage its changes. Analyze if the systematic has the effectiveness verification. The systematic should have guidelines to define what is regarded as change and how those guidelines are disclosed. The risk analyses to be used in the elaboration of the MoC should be defined. The responsibilities should be clearly defined in the elaboration and approval flow. The barrier should also be monitored. Analyze the actual application during rig receiving process	Item 16.3 - RANP 43:2007 - Management Practice No. 16 - SGSO.	1. Verify the systematic is being used or not, and also some MoC records through sampling. 2. Verify the OIM's change approval flow and monitoring. 3. Verify if the crew is trained before the change is activated and the proposed actions has the effectiveness verification. 4. (RE) Check the temporary MoC issued during rig receiving process evaluating the risk analysis	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement will be evaluated at shorebase based on the systematic previously sent by the company and if changes that have taken place in the base. In the Rig, the requirement will be evaluated based on the evidences given, assessing the whole change process and a possible effectiveness verification.	
9	GOPE0009B-2	Systematic of management of change Maintenance	The company should have a systematic to manage its maintenance changes, from registration, implementation, and specific treatment for each change in process.	Shorebase and Rig	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	B	Analyze the systematic adopted by the company to manage its changes. Analyze if the systematic has the effectiveness verification. The systematic should have guidelines to define what is regarded as change and how those guidelines are disclosed. The risk analyses to be used in the elaboration of the MoC should be defined. The responsibilities should be clearly defined in the elaboration and approval flow. The barrier should also be monitored. Analyze the actual application during rig receiving process	Item 16.3 - RANP 43:2007 - Management Practice No. 16 - SGSO.	1. Verify the systematic is being used or not, and also some MoC records through sampling. 2. Verify the OIM's change approval flow and monitoring. 3. Verify if the Company's Engineering actively participates in this process 4. Check the risk analysis process for overdue of critical equipment maintenance. 5. (RE) Check the temporary MoC issued during rig receiving process evaluating the risk analysis 6. (RE) Check application of the MoC process for hibernated equipment and returning to operation 7. (RE) Check if there is a MoC process related to changes in the maintenance of third-party equipment arising from contract changes	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement will be evaluated at shorebase based on the systematic previously sent by the company and if changes that have taken place in the base. In the Rig, the requirement will be evaluated based on the evidences given, assessing the whole change process and a possible effectiveness verification.	
10	GOPE0010B-2	Systematic of management of change Operation	The company should have a systematic to manage its operations changes, from registration, implementation, and specific treatment for each change.	Shorebase and Rig	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	B	Analyze the systematic adopted by the company to manage its changes. Analyze if the systematic has the effectiveness verification. The systematic should have guidelines to define what is regarded as change and how those guidelines are disclosed. The risk analyses to be used in the elaboration of the MoC should be defined. The responsibilities should be clearly defined in the elaboration and approval flow. The barrier should also be monitored.	Item 16.3 - RANP 43:2007 - Management Practice No. 16 - SGSO.	1. Verify the systematic is being used or not, and also some MoC records through sampling. 2. Verify the OIM's change approval flow and monitoring. 3. (RE) Check if MoC is performed when new operations or ways of performing operations are changed in new contracts	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement will be evaluated at shorebase based on the systematic previously sent by the company and if changes that have taken place in the base. In the Rig, the requirement will be evaluated based on the evidences given, assessing the whole change process and a possible effectiveness verification.	
11	GOPE0011B-2	Systematic of management of change Procedures	The company should have a systematic to manage its procedures changes, from registration, implementation, and specific treatment for each change.	Shorebase and Rig	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	B	Analyze the systematic adopted by the company to manage its changes. Analyze if the systematic has the effectiveness verification. The systematic should have guidelines to define what is regarded as change and how those guidelines are disclosed. The risk analyses to be used in the elaboration of the MoC should be defined. The responsibilities should be clearly defined in the elaboration and approval flow. The barrier should also be monitored.	Item 16.3 - RANP 43:2007 - Management Practice No. 16 - SGSO.	1. Verify the systematic is being used or not, and also some MoC records through sampling. 2. Verify the OIM's change approval flow and monitoring. 3. Verify if there is a different treatment for critical procedures, including the Shorebase support in this evaluation and approval. 4. (RE) Check if the changes in procedure were considered in the MoCs related to new contractual items	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement will be evaluated at shorebase based on the systematic previously sent by the company and if changes that have taken place in the base. In the Rig, the requirement will be evaluated based on the evidences given, assessing the whole change process and a possible effectiveness verification.	
12	GOPE0012C-2	Systematic of management of change New Operations	There should be a validated risk analysis and with defined barriers, to perform a new operation.	Shorebase and Rig	OP, RE, PQ	<input type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	When the operation is new, it possibly has no procedure of its own, so there should be at least a risk analysis to prevent or mitigate incidents. The operation should be stopped in case of not following the risk analysis. The MoC systematic should foresee risk analyses for new operations. The risk analyses to be used in the elaboration of the MoC should be defined. The responsibilities should be clearly defined in the elaboration and approval flow. The barrier should also be monitored.	Item 16.2 - RANP 43:2007 - Management Practice No. 16 - SGSO. Section 4 - API RP 75:2004; BSEE - Subpart S - 30 CFR Part 250.1912 (c); BSEE - Subpart S - 30 CFR Part 250.1912 (d).	1. Verify, through sampling, if the drilling rig's operations list includes any new operation, which has no procedure, but has risk analysis. Notes: Include in the recommendation that can be made in conjunction, as applicable, but to be EX has to be separated. 2. Check the new equipment used in the Rig, and if its operating procedures were developed through maintenance management and if they have a risk analysis. 3. (RE) Check if management of change (MoCs) are prepared for new equipment and systems incorporated into the contract. Check if these include training, verification of changes in the Rig's Risk Analysis and necessary modifications in the monitoring of maintenance and treatment and monitoring systematic of third parties 4. (RE) Check the existence of management of change for equipment changes provided for in new contracts	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement will be evaluated first in relation to the prevision made in the procedure to contemplate new operations, then in terms of new operations that do not have yet an operation procedure, but have risk analysis. Regardless of if those involved are outsourced or not, they must be aware of the risk analysis and participate in its preparation.	
13	GOPE0013E-1	Systematic of management of change Hibernation	The company should have a verification systematic for some specific items to hibernate the rig and a list of items to verify when the rig returns from hibernation.	Shorebase and Rig	OP, PQ	<input type="checkbox"/>	<input checked="" type="checkbox"/>	EX	E	Analyze what are the criteria used by the company to hibernate a rig, if those are only repairs, asset management-related upgrades, or there is an economic aspect as well. To return to operate, the crews are trained again or trained for the changes.	Item 16.2 - RANP 43:2007 - Management Practice No. 16 - SGSO. Section 4 - API RP 75:2004; BSEE - Subpart S - 30 CFR Part 250.1912 (c); BSEE - Subpart S - 30 CFR Part 250.1912 (d).	Verify the criteria that may lead the rig to go into or out of hibernation.	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement must be evaluated based on the criteria used for hibernation or return to activities of a Rig.	
14	GOPE0014C-1	Training employees on Management of change	The company should have a systematic to train the employees in the Management of Change procedures, with formal evaluation.	Shorebase and Rig	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	The training should focus on the Systematic, on the several stages of the management of change process, risks management and on text interpretation of operational procedures and interface borders. It should ensure that all the participants at the facility's management of change activities actually received the trainings foreseen on the facility Operator's procedures. The employee should know where to look up the procedure to clear any possible doubts.	Item 3.3.2 RANP 43:2007 - Management Practice No. 3 - SGSO; Item 16.3.4 RANP 43:2007 - Management Practice No. 16 - SGSO; Section 4 - API RP 75:2004; BSEE - Subpart S - 30 CFR Part 250.1912 (e).	1. Verify, through sampling, the existence of training records and formal evaluation. The training program should be updated, as per procedures and or needs indicated by the company. 2. Verify through interviews, through sampling, if the employees knows the MoC procedure and how they use it in practice. 3. Verify if there is an understanding that the MoC is a useful tool and not just a mandatory form to be filled out. Verify if the personnel training sessions are included in the card and if the CVP (Conformance Verification Plan) was performed/scheduled.	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement must be evaluated at the shorebase and at the Rig, and the main item of the requirement is the training on the systematic used for the change management.	
15	GOPE0015E-1	Operation changes identification technical qualification	The employees should be capable of understanding and noticing changes in the operation.	Shorebase and Rig	OP, RE	<input type="checkbox"/>	<input checked="" type="checkbox"/>	EX	E	The interview should look for to verify if the employee knows how to differentiate change from alteration in the everyday services' routine and of those that have PTW.	Section 4 - API RP 75:2004; BSEE - Subpart S - 30 CFR Part 250.1912 (b); BSEE - Subpart S - 30 CFR Part 250.1912 (e).	1. Verify, through sampling and interviews, the capacity to understand what is Management of Change and capacity to notice the change. 2. Evaluate the return to the job after the meal breaks, drills or another break of any kind, if they stop and analyze the workplace before resuming the operations.	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement should be evaluated at the shorebase and at the Rig in relation to the existence of established requirements for the qualification, training and experience of the designated employee representatives to assess the risks involved in each proposed change.	
16	GOPE0016C-1	Coverage of the changes	The company should have a disclosure or coverage systematic of changes made in a certain place, for other company areas. And have a routine to evaluate those changes.	Shorebase Only	OP, RE, PQ	<input checked="" type="checkbox"/>	<input type="checkbox"/>	PQ	C	Verify in the documents how the coverage of the changes made is done. Also look for such changes evaluations records. Verify if there is a routine to evaluate those changes.	Items 2.2.1 and 2.2.2 - RANP 43:2007 - Management Practice No. 2 - SGSO; Item 16.3.4 RANP 43:2007 - Management Practice No. 16 - SGSO; Item 16.3.4 - RANP 43:2007 - Management Practice No. 16 - SGSO;	1. Verify, through sampling, the change, disclosure, evaluation records conducted by the company. 2. Verify the existence of informations in the system that can be accessed, from other company units or even of outside information. 3. Verify how the coverage is done, in which meeting.	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement should be evaluated with a focus on the disclosure and evaluation evidence given by the company.	
17	GOPE0017C-1	Systematic of management of change's (MoC) risk analysis	The company should have a risk analysis systematic for the management of change according to its risk's classification and change's type.	Shorebase and Rig	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Analyze the systematic of the risk's analysis of the management of change and if the crew involved in the execution is participating in the MoC elaboration. Analyze the crews' qualification and experience in preparing scenarios, the methodologies used by the company, the definition of critical safety elements, the risk classification, and actions identification required to mitigate and prevent hazards.	Introduction and Items 4.2.4, 4.2.1 - Part 4 IADC HSE Case guidelines; Item 5.1 - IOGP 423-01:2017; Items 12.4, 12.5 - RANP 43:2007 - Management Practice No. 12 - SGSO; Items 16.2, 16.3 - RANP 43:2007 - Management Practice No. 16 - SGSO; Items 3.4, 4 - API RP 75: 2004.	1. Verify if the risk analysis systematic for management of change has a distinguished process per type of change and critically classification. 2. Also verify if those involved in the change participate in the analysis, as well as the employees' qualification and experience. 3. Verify the evidence of a multidisciplinary team participation in the preparation of the risk analyses. 4. Check content of the MoC risk analyzes, if they effectively manage barriers to keep risk in the ALARP range.	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement must be evaluated according to the content of the systematic and if it meets the specifications described in the guidance and verification columns.	
18	GOPE0018E-1	Experienced professionals' participation in the Risk analyses according to the type of management of change (MoC).	The company should have qualified professionals to perform the risk analysis, with the respective qualification and experience required for the risk analyses of the management of changes.	Shorebase and Rig	OP	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	EX	E	Analyze the resume of the employees assigned to the risk analyses concerning the management of change. Analyze if the professionals have taken specific risk analysis courses.	Items 1.3.3 and 1.5 - RANP 43:2007 - Management Practice No. 1 - SGSO; Item 2.2.1 - RANP 43:2007 - Management Practice No. 2 - SGSO; Items 3.2.2, 3.3.1, and 3.3.3 - RANP 43:2007 - Management Practice No. 3 - SGSO;	1. Verify, through sampling, the employee records and the risk analysis qualification trainings. 2. Verify in the resume if the professional has experience in this kind of analysis and methodology. 3. Verify if the safety officers participate in the analyses, as a participant or even coaching.	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement must be evaluated in terms of the adequate qualification of employees for the different risk analysis techniques used in the company - TSA - task safety analysis and JSA - Job Safety Analysis. Evaluate how the professional participates during the analyzes carried out, if he only approves, guides or directly participates in the analysis.	
19	GOPE0019C-1	Management of Change documentation archiving	The documents regarding the management of change should be archived and be available Shorebase and in the rig.	Shorebase and Rig	OP	<input checked="" type="checkbox"/>	<input type="checkbox"/>	PQ	C	The record should be documented, archived and available for consultation for a minimum defined period. After this period, it should be kept in a place determined by the company for another previously defined minimum period. The documents' review and approval should be well controlled, and also the changes monitoring and subsequent effectiveness verification.	Item 16.3 - RANP 43:2007 - Management Practice No. 16 - SGSO; Section 4 - API RP 75:2004; BSEE - Subpart S - 30 CFR Part 250.1912 (a).	Verify, through sampling, if the management records are documented, archived, and available for consultation for a pre established period.	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement should be evaluated in terms of how records are archived and their availability for consultation.	
03. Permit to Work (PTW) issuance process															
20	GOPE0020C-2	Systematic of issuance Permit To Work (PTW)	The company should have a documented PTW issuance systematic or procedure.	Shorebase and Rig	OP, RE, PQ	<input checked="" type="checkbox"/>	<input type="checkbox"/>	PQ	C	Analyze the PTW issuance systematic or procedure, looking for issuance guidelines, identification methodology, risk analysis and control, risk activities, and PTW issuance's training. Analyze how the safety officers participate in the process. NOTE: Update this requirement with the PTW and RA workshop recommendations only after the workshop completion. The systematic should have the identification methodology, risk analysis and control, and the PTW issuance required training.	Items 2.1.2, 2.4.1 - IOGP Report 432 Table 2:2017; Item 6.1 - Standard ABNT NBR ISO 45001:2015; Item 34.2.1 - Regulatory Standard - NR 34:2016; Item 35.2.1 - Regulatory Standard - NR 35:2016; Item 17.3 - RANP 43:2007 - Management Practice No. 17 - SGSO; Document issued by the PTW and RA workshop	1. Verify if the PTW issuance procedure or systematic includes, at least: - identification methodology, risk analysis and control; - critical activities identification, such as work in heights, painting, hot work, high voltage systems work, and derrick operations, and all these activities are PTW issuance mandatory items; - if the work in progress requires a PTW and/or risk analysis according to the rig's standard. 2. Verify, through sampling, if the minimum work conditions are mentioned and addressed in the procedure. 3. Verify, through sampling, the PTW issuance training records. 4. The systematic should also include a clear determination of the safety officer actuation. 5. Verify that the Permit To Work (PTW) issuance process is electronic. 6. (RE) Check by sampling the Permit To Work (PTW)s issued during rig intake, analyzing the risk analysis	Standard record, just evaluating the evidence given, no need for copies of documentation.	At the shorebase, the assessment must be carried out with a focus on the process described for issuing the Permit To Work (PTW), analyzing the guidelines, methodologies, analysis and risk control. At the Rig and at the shorebase, the training records for the issuance of a Permit To Work (PTW) will be evaluated, according to the systematic or procedure. Also part of this assessment are items such as: prior inspection of the place where the activities will be carried out and their release before the start of work; if the safety officer is present during the opening and closing of the Permit To Work (PTW); means for signaling the items and equipment involved in each activity, which must be installed before the execution and remain until the end of the activity; item for blocking actions; the guidance of the team on the work to be performed; establish the corresponding PPE and EPCs, under the supervision of the safety officer, for each member of the workforce assigned to perform the task.	



21	GOPE0021C-1	Each employee's responsibilities definition in the activity execution	The company should ensure that each employee's responsibility in the activity execution is clearly defined in the procedure.	Shorebase and Rig	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Analyze if the responsibilities are defined in the permits to work and if the employee working on it is familiar with the procedure. All employees will be trained in this procedure's information, and they should be familiar with this procedure's content. This requirement complements the previous one.	Items 2.1.2, 2.4.1 - IOGP Report 432 Table 2:2017; Item 6.1 - Standard ABNT NBR ISO 45001:2015; Item 17.3 - RANP 43:2007 - Management Practice no. 17 - SGSO.	1. Verify if each employee's responsibility in the activity execution is clearly defined in the PTW. 2. Verify, through interviews, if the employees are familiar and consistently apply this procedure's content.	Standard record, just evaluating the evidence given, no need for copies of documentation.	The evaluation of this item at the shorebase must be carried out with a focus on the process, verifying the existence of responsibilities assigned to all those involved in a given activity. In the Rig, the focus should be on the evidence obtained by sampling the Permit To Work (PTW)s and interviews with the employees involved.
22	GOPE0022C-2	PTW's planning meetings	The company should hold a PTW planning meetings before the services' execution.	Rig Only	OP, RE, PQ	<input checked="" type="checkbox"/>	<input type="checkbox"/>	PQ	C	Analyze how the critical operations PTW planning is performed, if there is an OIM and supervisors participation. Analyze if this meeting have a minutes of meeting and archived in any software or location. A risk analysis should be performed in case there are simultaneous operations (SIMOPS - Simultaneous Operations matrix use).	Item 17.2.1, 17.2.2.b and 17.3 - RANP 43:2007 - Management Practice no. 17 - SGSO; Item 6 - API RP 54:2013.	1. Verify, through sampling, critical activities planning meetings. 2. Verify the procedure for emergency PTW. 3. Verify how the emergency services are performed outside the PTW meeting, if they're performed with the same care, with the SIMOPS use and OIM participation. 4. (RE) Check the minutes of the meetings to assess the participation of temporary outsourced employees (supervisors) 5. (RE) Check how the disclose is done for temporary outsourced employees (supervisors) if they do not participate in the daily planning meeting	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement must be evaluated at the Rig, focusing on how the Permit To Work (PTW)s planning meeting is carried out.
23	GOPE0023C-1	PTW's issuance process	The company should issue a permit to work according to a previously defined process.	Rig Only	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Analyze the latest HSE daily meetings, analyze at least 5 PTW's (hot work, cold work, confined space entry, work in height, and work with a sledgehammer); at least 2 PTW in execution during the audit. Analyze the area lockout/tag out (LOTO), power isolation, sledgehammer, confined space entry, among others.	Items 2.1.2, 2.4.1 - IOGP Report 432 Table 2:2017; Item 6.1 - Standard ABNT NBR ISO 45001:2015; Item 17.3 - RANP 43:2007 - Management Practice no. 17 - SGSO.	1. Verify, through interviews with the workforce, the process understanding and PTW importance. 2. Verify if a planning is set before the activity execution with all the parties involved; 3. HSE daily meetings before the activity starts; 4. PTW approval before the activity starts; 5. Communication to the interested and affected parties before the activity starts; 6. Every PTW should provide for communication, area signaling and isolation, CPE and PPE, working hours, new PTW issuance for different working shifts and emergency and rescue measures. 7. Verify the latest HSE daily meetings and PTW's looking for the described above.	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement is evaluated only at the Rig and focuses on verifying if the observed and analyzed evidence contains at least what was described in the requirement.
24	GOPE0024C-1	PTW validity	The company should issue a PTW with validity limited to the activity's duration, restricted to the working shift.	Rig Only	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Analyze at least 3 PTW's for the permit's validity. Analyze the revalidation by the person in charge of the approvals in situations where the planned conditions or working team does not change, and if is according to the described in the procedure.	Items 2.1.2, 2.4.1 - IOGP Report 432 Table 2:2017; Item 6.1.2 - Standard ABNT NBR ISO 45001:2015; Item 17.3 - RANP 43:2007 - Management Practice no. 17 - SGSO.	1. Verify, through sampling, at least 3 full-cycle PTW's (activity's start and end, and continuity in a different working shift). 2. Verify how the execution monitoring is done.	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement is evaluated only at the Rig and focuses on verifying if the observed and analyzed evidence contains what was described in the requirement.
25	GOPE0025C-1	PTW content	The company should ensure that the PTW's content has task performance precaution and mitigation measures.	Rig Only	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Analyze at least 3 PTW's' content. Should be provided in the content possible alterations, both for location and task performance conditions, as long as they are described in the procedure.	Items 2.1.2, 2.4.1 - IOGP Report 432 Table 2:2017; Item 6.1.2 - Standard ABNT NBR ISO 45001:2015; Item 17.2 - RANP 43:2007 - Management Practice no. 17 - SGSO.	1. Check by sampling at least 3 PTW; at least 1 PTW running at the time of the audit. 2. Check if the accesses and escapes of the work place are adequate and that the executants are aware. 3. Check if the safety officer participated. 4. Verify that additional PTW safety recommendations are being met.	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement is evaluated only at the Rig and focuses on verifying if the observed and analyzed evidence contains what was described in the requirement. The knowledge of the analysis by those involved in the activity will also be evaluated.
72	GOPE0072C-1	PTW closure systematic	The company should have a systematic indicating the PTW completion verification, ensuring the environment's original conditions return, signaling the PTW reopening need or not for the next shift.	Shorebase and Rig	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Analyze if the company's procedure have this indication in the form. Verify in the rig if it's properly filled.	Item 17.3.2 - RANP 43:2007 - Management Practice no. 17 - SGSO.	Verify, through sampling, a minimum of 3 PTW's; at least 1 PTW under execution during the audit.	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement is assessed at shorebase and at the Rig and focuses on good practices from the previous audit cycle
73	GOPE0073E-1	Best PTW Practices	Establish and maintain documented procedures to regularly monitor and measure the main characteristics of the operations and activities that can cause incidents.	Rig Only	OP	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	EX	E	Analyze if the electronic process looks for to reduce filing errors, electronic signatures, and electronic panel monitoring to decrease the DPO workload.	Item 6.3 - RANP 43:2007 - Management Practice no. 6 - SGSO.	Verify: - electronic issuance process; - electronic signature; - monitoring through an electronic panel - analysis of PTW's issued and audits of the issuance process, involving the planning meeting.	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement is evaluated only at the Rig and seeks to improve the Permit To Work (PTW) process. These best practices were observed during the first cycle of audits.
26	GOPE0026C-1	PTW task execution elaboration and training	The company should ensure that all instructions and procedures referred to the task execution, identified risks, are included in the PTW.	Rig Only	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Analyze some tasks through sampling. The safety officer participation is required at least as coaching. Evaluate if the level I and level II risk analyses are consistent and coherent to the service under execution or executed. Avoid standard risk analysis without it being read entirely.	Items 2.1.2, 2.4.1 - IOGP Report 432 Table 2:2017; Item 6.1.2 - Standard ABNT NBR ISO 45001:2015; Item 17.2 - RANP 43:2007 - Management Practice no. 17 - SGSO.	1. Verify, through sampling, if the instructions and procedures referred to the task under execution are mentioned in the PTW and in the risk analysis. 2. Verify the task performer's training records on procedures and instructions. 3. Verify, through interviews, if the task performer's are familiar with the equipment undergoing intervention, if they are using the recommended PPEs, and if the CPE, isolation measures and signaling (LOTO) are used at the work site. 4. Also verify that the executants have full knowledge of the procedures, equipment, PPE, and EPC necessary for the execution of the task.	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement is evaluated only at the Rig and focuses on verifying if the observed and analyzed evidence contains what was described in the requirement.
27	GOPE0027E-1	PTW audit systematic	The company should perform audits on the permits to work.	Shorebase and Rig	OP	<input checked="" type="checkbox"/>	<input type="checkbox"/>	EX	E	Analyze the PTW audit records. Analyze the audits schedule - are there internal and external audits? Check the audit levels - when the Shorebase manager participates, and how is the audit sample of the PTW to be audited. Analyze how the NC are handled.	Items 2.1.2, 2.4.1 - IOGP Report 432 Table 2:2017; Item 6.1.2 - Standard ABNT NBR ISO 45001:2015; Item 17.2 - RANP 43:2007 - Management Practice no. 17 - SGSO.	1. Verify the non-conformances Plan, final report, investigation, and PTW audits action plan. 2. Verify if errors are found and how they are handled/monitored. 3. Verify if these constant errors are statistically treated and which actions are taken to manage.	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement is evaluated only at the shorebase and focuses on the evidence observed and analyzed, from schedules, audit reports, action plans, investigations of non-compliance, among other documentation given by the company. The objective is to ensure that there is an audits routine and verification of the permits issued by the Rig or shorebase, in addition to the identification, treatment and monitoring of failures observed in the Audit.
28	GOPE0028C-1	Systematic of risks identification, analysis, and control for the activities that require PTW (permit to work)	The company should have an elaboration and analysis systematic to identify and evaluate the risks involved in its activities, including the ones that requires PTW.	Shorebase and Rig	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	The methodology used should be suitable for the operation's criticality. Analyze if the company has an analyses update systematic with participation of the employees crew involved in the activities and how the recommendations were understood and implemented by the employees/supervisors. Analyze the risk analysis systematic used by the company. Analyze at least 3 PTW's; at least 1 PTW in progress during the audit. Analyze the participation of the safety officers.	Item 22 - Regulation - NR 37:2018 in Dec/2019; Item 2.1.2 - IOGP Report 432 Table 2:2017; Items 5 and 6 - ISO 31000:2018; Item 4.A.2.2 - IADC HSE Case Guidelines; ABNT NBR ISO/IEC 31010:2012; Item 12 - RANP 43:2007 - Management Practice No. 12 - SGSO. Item 17.2.1.2 - RANP 43:2007 - Management Practice No. 17 - SGSO.	1. Verify the risk analysis systematic and the methodologies used. 2. Verify if those risk analyses provide for specific measures or recommendations for its activities, taking into account: - the critical operational safety elements; facility's risks analysis; - incidents historical analysis; layout, human factors, and external causes. 3. Verify if previous standardized analyses are used and the adequacies/presentation/debate are conducted in the task place. Notes: According to IADC HSE Case Guidelines the proposed techniques are: JSA; JHA; TRA; FMEA among others. 4. Verify, through sampling, the risk analysis done on the last PTW's issued, if the task performers and supervisors know the risks and the safeguards for that specific task, through interviews.	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement is evaluated in terms of how the risk analysis systematic is carried out and the qualification of the teams involved; Ensure that: - if each activity is evaluated individually or if there is a standard analysis for the activities; - if it is coordinated by the safety officer; - if the analyzes are available on the work fronts and their guidelines are being followed; - if the assessment is compatible with the complexity and characteristics of the different tasks associated with the Permit To Work (PTW)s issued; - the different sectors related and the operations involved with the place where the activity will be developed are considered; - if the participation of all employees directly involved is made possible.
29	GOPE0029C-1	PTW risk identification and analysis	The company should have an analysis model according to the chosen technique for analysis, with levels according to the operations' criticality.	Rig Only	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Observe some issued reports and analyze if the minimum content was respected. Analyze if the analysis model have at least the following information: - analysis participants identification; - goal and scope; activity description to be undertaken in the PTW; - The reason and description of the methodology used; - Risk identification, classification, and analysis, as well as the recommendations. - Segregation into levels depending of the criticality of the operations. The safety officer and/or Shorebase support should participate in the analysis and evaluate the model.	Item 22.4 - Regulation - NR 37:2018 in Dec/2019; Item 2.1.2 - IOGP Report 432 Table 2:2017; Item 6 - ISO 31000:2018; Item 4.A.2.2 - IADC HSE Case Guidelines; ABNT NBR ISO 31010:2012; Item 12.5 - RANP 43:2007 - Management Practice No. 12 - SGSO. Item 17.2 - RANP 43:2007 - Management Practice No. 17 - SGSO.	1. Verify if the model has the minimum content required in the guidelines column. 2. Verify, through sampling, at least one complete analysis. 3. Interview some crew members that elaborated the document to learn about their participation and if a joint analysis was done.	Get the analysis models in report form.	This requirement is evaluated only at the Rig and focuses on verifying if the observed and analyzed evidence contains what was described in the requirement.

30	GOPE0030C-1	Risk analysis for critical activity (PTW)	The company should have a specific and updated risk analysis for the current workplace conditions, for all the critical activities.	Rig Only	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Analyze some risk analysis done for critical activities; Analyze how they are reviewed: - By defined period, - By onboard events, - By corporate guidelines.	Items 2.1.15, 2.4.1, 2.4.2 - IOGP Report 432 Table 2:2017; Item 22.4 - Regulation - NR 37-2018 in Dec/2019; Item 6 - ISO 31000:2018; Item 4.A.2.2 - IADC HSE Case Guidelines; ABNT NBR ISO 31010:2012; Item 12.5 - RANP 43:2007 - Management Practice No. 12 - SGSO; Item 17.2 - RANP 43:2007 - Management Practice No. 17 - SGSO.	*Check by sampling whether there is risk analysis for: 1. routine activities, 2. work at height, 3. hot work, 4. Crane use, 5. work with rotating machines and 6. electrical systems. Also observe if 7. in the simultaneous works the mutual risks are contemplated in the analysis and 8. if the PTW is prepared again when there are changes observed in the place or weather conditions.*	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement must be evaluated only at the Rig and must be evaluated in relation to the clarity of the analyzes performed for the different risks.
31	GOPE0031C-2	PTW risk identification systematic for simultaneous work	The company should have a systematic for drilling rig's operations evaluation with the simultaneous operations analysis (SIMOPS), which may include a matrix to ease the visualization.	Rig Only	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Analyze at least 3 PTWs related to simultaneous work. Evaluate if the simultaneous work with mutual risks is included in both PTWs and risk analyses. Evaluate if all the spaces filled in the PTW and risk analysis are being filled out correctly and followed. Also evaluate if the planning meeting was held to discuss the PTWs that will be performed on the next shift or day. The safety officer and the OIM should take part in this report's preparation.	Items 2.1.15, 2.4.1, 2.4.2 - IOGP Report 432 Table 2:2017; Items 6.1.1, 9.4 - Regulation - NR 37-2018 in Dec/2019; Item 6 - ISO 31000:2018; Item 12.4 - RANP 43:2007 - Management Practice No. 12 - SGSO; Item 15.4 - RANP 43:2007 - Management Practice No. 15 - SGSO; Item 17.2 - RANP 43:2007 - Management Practice No. 17 - SGSO.	Verify, through sampling, at least 3 PTWs; at least 1 PTW in progress during the audit	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement is evaluated only at the Rig and focuses on verifying if the observed and analyzed evidence contains what was described in the requirement.
<b>04. PTW risk analysis</b>														
4	GOPE0004C-2	Systematic of rig's activities risk analysis during its operations	The company should have a systematic for risk analysis for the rig operations' daily activities, maintenance, and others according to its risk rating.	Shorebase and Rig	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Analyze the risk analysis systematic for the activities and verify how the operational crew is defined to participate in the risk analysis, the crew's qualification and experience in elaborating scenarios, participation of the technicians involved in the activities, the methodologies used by the company to define the critical safety elements, risk classification, and actions identification required to mitigate and prevent hazards. Analyze the safety officer's role in those analyses, whose is in charge of approval.	Introduction and Items 4.2.4, 4.A.2.1 - Part 4 IADC HSE Case guidelines; Item 5.1 - IOGP 423-01:2017; Items 12.4, 12.5 - RANP 43:2007 - Management Practice No. 12 - SGSO; Item 15.2 - RANP 43:2007 - Management Practice No. 15 - SGSO; Items 3.4, 5.2 - API RP 75: 2004.	1. Verify the rig's daily operations risks analysis systematic. 2. Verify, through sampling, some analyses evaluating their criticality and technique used, as well as the recommendations and actions to mitigate risks. 3. Evaluate the operations in the drill floor, in the pump room, in the mud tank room, on the main deck interviewing the operators to verify if the system is being fully applied.	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement will be evaluated in terms of the systematic and if it meets the specifications described in the guidance and verification columns.
32	GOPE0032C-2	Risk analysis procedure for rig's activities.	The company should have a procedure with methodology to identify, analyze, and control any existing risks and in this document the risky areas and activities should be classified and identified.	Shorebase and Rig	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Analyze if the risks analysis procedure identifies risky areas and activities, if those are classified according to their gravity or complexity.	Part 4 IADC HSE Case guidelines; Item 12.4 - RANP 43:2007 - Management Practice No. 12 - SGSO; Item 5.1 Section 5 - IOGP Report 423-02:2017; Items 2.1.2, 2.4.1 - IOGP Report 432 Table 2:2017; Item 6.1.2 - ABNT Standard NBR ISO 45001:2015; Item 3.2.2 - API RP 75:2013; Item 6.3.2 - ISO 31000:2018; Item 3.8 Table - Orange Book www.hm-treasury.gov.uk.	Verify if the risks analysis procedure identifies risky areas and activities, if those are classified according to their gravity, and if the methodology is reflected in the final analysis. Methodology example: JSA.	Standard record, just evaluating the evidence given, no need for copies of documentation.	At shorebase, the focus of the assessment must be in the process described in the systematic or procedure, determining the severity of the unit's different risk areas and activities. At the Rig, the assessment focuses on evidence, relating the risks mapped by the procedure to the activities on the rig, either through Permit To Work (PTW) or definition of risk areas.
34	GOPE0034E-1	Experienced professionals are part in the Risk analyses according to the type of rig's operations analysis.	The company should have qualified professionals to do the risk analyses, with the respective qualification and experience required for the analyses concerning the rig's operations.	Shorebase and Rig	OP	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	EX	E	Analyze the employees' resume assigned to the rig's operations risk analyses.	Items 1.3.3 and 1.5 - RANP 43:2007 - Management Practice No. 1 - SGSO; Items 2.2.1 - RANP 43:2007 - Management Practice No. 2 - SGSO; Items 3.2.2, 3.3.1, and 3.3.5.3 - RANP 43:2007 - Management Practice No. 3 - SGSO;	Verify through sampling the employees records and records training given to qualify for risk analysis. Verify in the resume if the professional has experience in this kind of analysis and methodology.	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement must be evaluated in terms of the adequate qualification of employees for the different risk analysis techniques used in the company (TSA - task safety analysis or JSA - Job Safety Analysis). Evaluate how the professional participates during the analyzes carried out, if he only approves, guides or participates directly in the content of the analysis.
35	GOPE0035D-2	Additional risks of third parties at the rig	The company should ensure that the additional risks ensuing from the activities by third parties are controlled through joint risk analysis and/or joint evaluation of the third parties' risk analyses.	Rig Only	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	D	The company should present the documents regarding to the work done by some third parties, with the risks mapped and procedure used to prepare the joint analyses and/or risk analyses prepared beforehand by the third parties and evaluated by the Drilling Rig. The analysis should have the participation of the Rig's safety officer and/or Shorebase technician. Evaluate how risk analyses are reviewed: - By defined period, - By onboard events, - By guidelines from the outsourced company's office.	Item 12.4 - RANP 43:2007 - Management practice No. 12 - SGSO; Item 6.1.7 - API RP 54:2004, 2013.	Verify, through sampling, if the company controls, through procedures or documents, the operations carried out by third parties companies in its facilities with the involved risks mapped out, furthermore if there is an evaluation in conjunction with the drilling rig risks. Notes: The risk analysis methodology adopted for this requirement can be a JSA, for example. 2. Check if there is a verification/approval process, carried out by shorebase, referring to the risk analysis of outsourced companies, before boarding.	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement should be evaluated with a focus on two objectives, the first is the elaboration of the risk analysis, and the second is the evidence presented with analysis done together.
36	GOPE0036E-2	Well APRI (Preliminary Risk and Impact Analysis)	The company should have a systematic to verify APRI (Preliminary Risk and Impact Analysis) recommendations before starting the well.	Rig Only	OP	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	EX	E	Analyze the verification routine to comply with the following items: - The risks and recommendations' drilling rig crew's knowledge; - Recommendations implemented within the deadline set; - Equipment availability used for the control measures; - Control of Measures / Mitigating barriers; - Contingency plan; - Updated verification, rules, and procedures list. This systematic should ensure that all the drilling rig's crew knows about that well's risks and specific recommendations, that the deadlines are met, that the equipment is available, among others. It should also control mitigating measures/barriers for which the drilling rig is responsible.	RANP 46:2016 - Management Practice No. 12 - SGIP.	1. Check the PRIA (Preliminary Risks and Impacts Analysis) verification routine used by the company. Check if the PRIA recommendations have been implemented in the Rig before starting the well. Note: Normally it is evaluated by the Petrobras WDG (Well Development Group). 2. Check how the wells relevant data of the PRIA are managed within the contracted company, if they use their own database and system to disclose lessons learned.	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement will assess if the Rig minimally meets the items described in the guidelines column.
<b>05. Identification criteria for critical areas</b>														
38	GOPE0038E-2	Rig's critical areas identification.	The company should have a systematic that defines the specific criteria used to identify the rig's critical areas.	Shorebase and Rig	OP, RE	<input checked="" type="checkbox"/>	<input type="checkbox"/>	EX	E	Analyze the specific criteria to identify the facility's critical areas. Evaluate the criteria that establishes red zone areas.	Item 4.2.1 - RANP 43:2007 - Management practice No. 4 - SGSO; Item 12.1, 12.2, 12.3.a - RANP 43:2007 - Management practice No. 12 - SGSO;	1. Check by sampling the mapping of critical areas in the facility. 2. Verify through onboard interviews the knowledge of employees, including leadership, regarding critical areas.	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement will be evaluated based on the systematic adopted by the company.
39	GOPE0039E-2	Critical areas classification	The company should have a systematic that defines its critical area classification methodology.	Shorebase and Rig	OP, RE	<input checked="" type="checkbox"/>	<input type="checkbox"/>	EX	E	Analyze the facility's critical areas classification systematic (red zone, yellow zone, green zone for instance).	Item 4.2.1.1 - RANP 43:2007 - Management Practice No. 4 - SGSO; Item 12.1, 12.2, 12.3.a - RANP 43:2007 - Management Practice No. 12 - SGSO;	1. Check by sampling the mapping of critical areas in the facility. 2. Verify through onboard interviews the knowledge of employees, including leadership, regarding critical areas.	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement will be evaluated based on the systematic adopted by the company.
40	GOPE0040D-2	Review and dissemination of the rig's critical areas criteria	The company should have a systematic that defines the criteria revision deadlines and the info dissemination on critical areas.	Shorebase and Rig	OP	<input checked="" type="checkbox"/>	<input type="checkbox"/>	EX	D	Analyze the systematic in relation to the review's deadline and information dissemination.	Item 4.2.1.2 - RANP 43:2007 - Management Practice No. 4 - SGSO; Item 12.1, 12.2, 12.3.a - RANP 43:2007 - Management Practice No. 12 - SGSO;	1. Verify, through sampling, the records that were reviewed within the deadline set by the systematic, and if the dissemination is done to the outsourced workers. 2. Interview people to verify if everyone is aware of this critical areas definition and the associated cautions. 3. Check, by sampling, the training records of its own employees and fixed and temporary outsourced employees.	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement will be evaluated based on the systematic adopted by the company.
75	GOPE0075E-0	Additional measures to control access and permanence in critical areas	The company must have a systematic that defines additional measures to control critical areas, as observed in previous PEO-Sondas audit cycles.	Shorebase and Rig	OP	<input checked="" type="checkbox"/>	<input type="checkbox"/>	EX	E	Analyze the company's systematic and compare it with the best practices in the oil and gas market	Client Requirement Good Industry Practices	Check by sampling the records of the systematic to control access and permanence in critical areas.	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement will be evaluated based on the systematic adopted by the company.
<b>06. Operation Procedures - Informations Quality</b>														



41	GOPE0041C-2	Operating procedures aligned with the standards and regulations	The company should have operating procedures that are formally established and available for the activities to be undertaken throughout the rig's life cycle.	Shorebase and Rig	OP, RE	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Analyze if for each well phase the company has specific procedures to carry out each phase, and specific procedures per operation in each well. And how the employees are given access or instructed by the supervisors. Analyze if the procedure clearly define the responsibilities of each party involved in the operation. The operational procedures should define its performers' duties and responsibilities. The procedures should be aligned with the standards and regulations. It should ensure the onboard personnel participation in their review and update. The rig's operational procedures not relating to the well (blackout recovery procedure, crane wire rope change procedure, rescue boat deployment procedure...) should be included.	Item 15.2.1 - RANP 43:2007 - Management practice No. 15 - SGSO. Item 5.1 - API RP75:2013. Item No. 15.2.1 - RANP 46:2016 - SGIP.	1. Verify, through sampling, if there are procedures for well's life cycles and per APRI (Preliminary Risk and Impact Analysis). 2. Verify the procedure's clarity and availability and the performers' duties definition and responsibilities definition. 3. Verify if the Operating procedures are aligned with the standards and regulations. 4. (EX) Electronic verification routine or specialized company that informs standards and regulations alterations and procedures alteration suggestions system completed by the rig's technicians. 5. Verify if the procedures are clear and concise, with specific instructions for the tasks' safe execution associated with the Well Integrity Management, considering the operational peculiarities and complexities. 6. Verify there are specific well control manuals, standards, or procedures for the Construction, Intervention, and Abandonment Stages. NOTE: GRHU0021B has a procedure training matrix - Verify if the personnel trainings are included in the file and if the CVP (Conformance Verification Plan) was performed/foreseen.	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement will be evaluated based on the existence of routine operating procedures for all operations performed continuously on the rig, as well as some specific procedures per well and those responsible. Routine procedures must be evaluated at the shorebase and well procedures must be evaluated at the Rig. Access and disclosure of procedures will also be evaluated, if supervisors participate in the instructing while reading. Assess alignment with regulations.
42	GOPE0042C-1	Operating procedures revalidation systematic	The company should have an operating procedures revalidation systematic Shorebased on periodic critical analyses, intended for the processes' continuous improvement for each drilling rig's area, the interfaces with other processes, or the management system itself.	Shorebase and Rig	OP	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	The procedure or systematic should be generic to be used by all the drilling rig's areas. In case of alteration in the processes in force, the procedure should foresee specific training and formal evaluation to the concerned professionals' Analyze each rig's particularities and in their procedures' differences. Analyze if there is a specific treatment for the critical operational procedures and if this critically's definition arises from the risk analysis. It should be revalidated by the matrix with information from the rig and should be replicated or adjusted to the other rigs as per their own individual characteristics. Analyze how the matrix/Shorebase controls these revalidations and verify if there are triggers stipulated for revalidations, not by deadline.	Item 9 - Report 423-02 IOGP:2017 Item 5.3 - API RP75:2013 Item 6.2.4 RANP 43:2007 - Management Practice No. 6 - SGSO. Item 15.2.2 - RANP 43:2007 - Management practice No. 15 - SGSO.	1. Verify through sampling records of critical analysis meetings focused on process revalidation. 2. Verify if the systematic contains: - processes improvement suggestion form; - evaluation routine of the forms is done by professionals with experience - impact analysis through management of change; - critical operational procedures specific treatment and if those procedures came from the risk analysis; - training foreseen for the altered processes; - replication and adjustment for the other rigs; - metrics that indicates a revision need and results evaluation. 2. As an excellence suggestion, manage this system through some software that would periodically issue a report to determine which processes need to be revalidated or updated according to the suggestions made by the rig's technicians. Verify if revalidation occurs in the GRHU0021B.	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement will be evaluated in relation to the procedure content and it should have at least what is described in the verification column. It will also be evaluated if the entire review process is carried out by the shorebase with the participation of the Rigs.
43	GOPE0043E-1	Operational Informations Control and Arquivig	The company should have an arquivig, control and access systematic to all the operational documents.	Shorebase and Rig	OP	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	EX	E	Analyze the systematic to store manuals, procedures, forms, worksheets, reports, risk analysis reports, certificates and others. Analyze if there are, in the areas, internal procedures without issue/review control. The ANP (Petroleum National Agency) has found several procedures spread without the due control. It is desirable that such storage should be made through a computerized system.	Item 8.2. RANP 43:2007 - Management Practice No. 8 - SGSO. Item 15.2.1 RANP 43:2007 - Management practice No. 15 - SGSO.	Verify the process used by the company to store and control the documents with operational information.	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement will assess the systematic used by the company to control and store its operational information. The shorebase and the Rig will be evaluated in different ways.
44	GOPE0044C-2	Procedures Translation	The company should ensure that the procedures are available both in English and Portuguese and the translation will be faithful to the original. It should ensure the matrix procedures' adequacy to the Brazilian reality.	Rig Only	OP	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Observe if the procedures are available both in English and Portuguese; English for supervisors or expatriated workers. Analyze if the translated procedures are technically coherent and suitable for the Brazilian reality.	Regulation NR-37; Item 15.2.1 - RANP 43:2007 - Management Practice No. 15 - SGSO.	Verify if the rig has procedures available both in Portuguese and English according to the company's needs. It is important to secure the procedures information's clarity and quality to be understood by all the Brazilian and foreign personnel.	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement will assess the quality of the information described and if the procedure is understood by everyone involved in the operation, regardless of the language in which it was written.
<b>07. Work integrated with the companies and service providers</b>														
47	GOPE0047E-2	Drilling contractors and service providers procedures integration	The service providers should have operational procedures aligned with the rules, rig's particularities, and Petrobras procedures ("bridging documents").	Shorebase Only	OP, RE	<input checked="" type="checkbox"/>	<input type="checkbox"/>	EX	E	Analyze the service provider's/drilling contractor's procedures content according to clarity, duties definition, and rig's procedures alignment, Petrobras rules and procedures. Analyze when it is possible to use only the service provider's/drilling contractor's procedure of Petrobras procedure; also when it is necessary to improve the procedure combining both procedures. Petrobras is responsible for the bridging document, but this doesn't exclude the service provider's/drilling contractor's participations in some definitions. Those should be clearly translated and the duties should be coherent with the activities. Analyze how these procedures are disclosed with service company employees	Item 1.1, 1.3.3 - RANP 43:2007 - Management Practice No. 1 - SGSO; Item 5.3.1, 5.3.2 RANP 43:2007 - Management Practice No. 5 - SGSO; Item 2.2 - Report 423-02 IOGP	1. Verify, through sampling, if the service provider's/drilling contractor's procedures are aligned with the rig's, and have clear specific instructions for the tasks safe performance. 2. If the procedures were translated from the company headquarters, verify: - if the translation is coherent and intelligible; - if the onboard roles are coherent with the roles described in the company organogram and if they are the same in all the procedures; - conduct interviews to evaluate if the service provider's and drilling contractor's professionals are aware of the existence of the document and its content. 3. Verify, by sampling, if these unfolded procedures are known by the employees of the service companies	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement must be evaluated in terms of clarity and alignment between the procedures of the chartered company, Petrobras ("bridging documents") and the regulations.
<b>08. Rig's areas - Mechanical department, Safety department, Electrical Department, Marine and DP department</b>														
49	GOPE0049C-1	Systematic to inspect the rig's areas.	The company should have Scheduled inspection on the rig's areas by other areas leaderships.	Shorebase and Rig	OP, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Analyze if there is a systematic to inspect the areas. This systematic should verify these areas conservation, house keeping, cleanliness, organization, and possible hazards.	Item 7.1.1, 7.3 - RANP 43:2007 - Management Practice No. 7 - SGSO. Item 13.2.1 - RANP 43:2007 - Management practice No. 13 - SGSO.	Verify if the systematic verifies the conservation, house keeping, cleanliness, organization, and possible hazards conditions in such areas.	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement must be evaluated based on the evidence given by the company in relation to the Area Visits Program.
50	GOPE0050E-2	Control of the tools used to maintain the different rig's areas equipment.	The company should have control of the required tools to perform the tasks, tools replacement, maintenance and/or overhaul for each rig's area.	Rig Only	OP, RE	<input checked="" type="checkbox"/>	<input type="checkbox"/>	EX	E	The tools control and equipment maintenance should be described in the procedures. Analyze if there is a difference in the critical equipment control and how it works. Equipment such as sledge hammer, different kinds of wrenches, and all the tools used to maintain or inspect the equipment. Verify if there is the periodic maintenance of equipment used to perform the tasks.	Client Requirements Good industry practices	Verify if the control systematic contains at least the following topics: - Own control form or spreadsheet; - Document that certifies the special tool or equipment's operability after maintenance; - The sledge hammers, which should have a unique procedure, and the precision tools (Torquemeter, pyrometer, luxmeter, decibelmeter, micrometer) should have a calibration bench; - periodic maintenance program for the equipment used; - systemized inspection program; - verify if there is tool control for work in heights	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement will be evaluated in the Rig focusing on tools control, verifying that it contains the items described in the verification column.
<b>09. Critical activity planning meeting</b>														
48	GOPE0048E-1	Critical activity planning, Shorebase and rig Meeting.	The company should have a critical activity planning routine.	Shorebase Only	OP, RE	<input checked="" type="checkbox"/>	<input type="checkbox"/>	EX	E	Analyze the critical activity planning records. This routine encompasses meetings, action plans, minutes of meetings, and even risk analysis for the most critical ones.	Item no. 5.2 - API RP 75:2013.	1. Verify, through sampling, the last records done and also verify the procedure or systematic that rules this planning. 2. Verify who attends those meetings and if the supervisors participate actively. 3. Verify if the meeting is important to the process.	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement will be evaluated based on the evidence given by the company, which demonstrates the planning routine of critical activities.
54	GOPE0054E-2	Systematic of the daily meetings for planning the next operations (discuss the rig's operations of the company man's meeting)	The company should have a daily meetings systematic to analyze the operations of the next 24 hours and control the actions risen from this meeting.	Rig Only	OP, RE	<input checked="" type="checkbox"/>	<input type="checkbox"/>	EX	E	Analyze how the daily meetings are conducted and their developments. Observe that this meeting is held within the drilling contractors employees only and does not refer to the company man planning meetings.	Item no. 5.2 - API RP 75:2013.	1. Verify, through sampling, the daily meeting records. 2. Verify if topics are discussed, such as: People and material logistics, equipment testing, area isolation, simultaneous work, among others. 3. Check if the meeting routine is standardized among the company's Rigs. 4. Check if the team knows the planning of operations and the CSB's (Set of Barriers in portuguese) of each stage of the well.	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement must be evaluated at the Rig, focusing on how the daily meetings and their disclosure occurs.
64	GOPE0064E-2	Critical operation planning systematic (logistics, maintenance and risk analysis).	The company should have a critical operations' planning systematic with the leadership's participation.	Shorebase and Rig	OP, RE	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	EX	E	Look for critical operations planning records and analyze the techniques used to manage the risks. Analyze if the maintenance planning is in a way that will not impact the critical operations.	Item no. 5.2 - API RP 75:2013.	1. Verify, through sampling, some plannings done prior to the critical operations and if maintenance plans can impact or have already impacted the critical operations. 2. Verify if there are systemized drills, with improvement action control and if Petrobras and outsourced companies are involved. 3. Check if the meeting routine is standardized among the company's Rigs.	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement will be evaluated with a focus on the evidence given by the company, in order to ensure leadership planning and participation. Assess how maintenance planning can impact operations. The company must ensure good disclosure in an expeditious manner.
74	GOPE0074C-1	Pre-job meeting	The company should have a pre-jobs meetings systematic before the activities are carried out and in the area.	Rig Only	OP	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Analyze how the pre-job meeting analyses are conducted.	Item No. 10.2.2.5, 10.4.2.3 and 12.5.2 - RANP 46:2016 - SGIP.	1. Verify if information obtained at the company man's meeting is disclosed to the workforce who will perform the task, including at least an activities list to be undertaken and the risks pointed out. 2. Verify if there is a communication systematic from the workforce involved in the activities change managed by the Petrobras FAM (Changes Analysis Form) 3. Check if the meeting routine is standardized among the company's Rigs 4. (EX) Check if the company has a system similar to Job by Design	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement must be evaluated at the Rig, focusing on how pre-task meetings are carried out.
76	GOPE0076E-0	Lessons Learned and disclosure of good operational practices	The company must have a systematic to disclose lessons learned and good practices to other units in the fleet.	Shorebase and Rig	OP	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	EX	E	Assess if there is a meeting with the unit leaders in the company's routine in which good practices and lessons learned are disclosed	Client Requirements Good industry practices	1. Check by sampling company leadership meetings or other similar process, verifying the issues discussed therein. 2. Check how the information is filed and if it is used by the on-board team. EX.: After Action Review.	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement must be evaluated with a focus on the evidence given by the company, ensuring that a minimum sampling of meetings is achieved.
<b>10. Emergency Plans (ERP - Emergency Response Plan and IEP - Individual Emergency Plan - onboard Oil Spill Contingency Plan - OSCCP)</b>														
55	GOPE0055B-1	Emergency Response Plan (PRE)	The company should have an emergency response plan that is updated and aligned with the rig's risk studies, where accidental hypotheses should come from the risk analyses.	Shorebase and Rig	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	B	Analyze if the Emergency Response Plan (ERP) covers all the accidental hypotheses identified in the risk analysis, their consequences and effective measures to trigger the control actions in each of those situations. Analyze if the drills performed during rig receiving process are related to the operations being carried out. Analyze if the drills performed during the pre-operation period are related to the operations that will be carried out.	Items 9.1.5.1, 9.1.5.2, 9.1.5.3 - Regulation NR 09:2017; Items 20.14, 20.14.2 - Regulation NR 20:2017; Items 2.4.1, 2.4.2, 2.15.1 - IOGP Report 432 Table 2:2017; Items 14.4, 14.5 - RANP 43:2007 - Management Practice No.14 - SGSO; Item 6.1 - ABNT Standard NBR ISO 14001:2015.	1. Verify if the ERP (Emergency Response Plan) content has accident hypotheses that came from the risk analysis. For instance: First Aid; Fire; Man overboard; Helicopter Crash (NORMAM 27); Vessel safety (collision, invasion, etc.); Oil or other effluents/chemicals spill; Explosion; Intoxication; Contagious diseases; Natural disasters; Blowout; Emergency Alarms; among others. Also verify if it contains: Communication Organizational Flow Chart, actions and responsibilities, Client and public agencies communication according to the emergency; Victims Transfer - Rescue (air, transfer basket (permitted by Petrobras), via FRC - fast rescue craft); Emergency spill measures (use of SOPEP kit, communication with all levels, waste matter isolation); Procedure Review and Distribution List (places where the procedure will be made available). 2. (EX) Verify if the drills to be run are linked to the risk analysis barriers. 3. (RE) Check if the accidental hypotheses are related to the operations being carried out 4. (RE) Check if the accidental hypotheses in the pre-operation period are related to the operations that will be carried out	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement should be evaluated against the content of the ERP. Also assess the consistency of accidental hypotheses and if they are linked to risk analyses, HSE Case or WOAD.

57	GOPE0057B-2	ERP Drills	The rig should carry out periodic drills covering all the scenarios included in the drilling contractor's Emergency Plan.	Rig Only	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	B	Analyze the last drills and verify the results. Analyze possible Emergency Plan alterations resulting from the drills' evaluation. Verify if there is a post-drills meeting with minutes of meetings to evaluate deviations. Analyze minutes of meetings with some scenarios, for instance: confined space, work in heights, etc., and verify the training in such scenarios for the onboard crew, viewing the POB (People on Board). Analyze the drills results reports. The results should be analyzed to verify the need to review the Emergency Plan. Check if the accident hypotheses addressed during the pre-operation period are related to the operations that will be carried out.	Item 10.4 - API RP75:2013; Item 14.3 - RANP 46:2016 - SGIP; Item 20.14.5 - Regulation NR 20:2017; Item 14.6 - RANP 43:2007 - Management Practice No. 14 - SGSO; Item P7-7.2 - Report 423-01 IOGP:2017.	1. Verify if the rig has a matrix with the drills schedule, as well as drills results and evaluation reports. 2. Verify if the company, after the drills, generates ERP improvement reports and that after each potential emergency situation drill the following actions are taken according to the accidental hypothesis. 3. How the pending issues from previous drills and Lessons Learned are treated - Presentation to all the employees, clients, and other parties concerned. 4. (RE) Check if the accident hypotheses addressed during the pre-operation period are related to the operations that will be carried out.	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement will be evaluated in terms of the performance, results and actions arising from an Emergency simulation.
58	GOPE0058B-0	IEP - Individual Emergency Plan - onboard Oil Spill Contingency Plan - OSCP Drills	The rig should carry out periodic drills covering all the scenarios included in the Rig's Individual Emergency Plan.	Rig Only	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	B	Analyze the last drills and verify the results. Analyze possible alterations to the Individual Emergency Plan resulting from the drills' evaluation. Verify if there is a post-drills meeting with minutes of meeting to evaluate deviations. Analyze minutes of meetings with some scenarios and verify the training in such scenarios for the boarded crew, viewing the POB (People on Board). Analyze the drills results reports. The results should be analyzed to verify the need to review the Individual Emergency Plan.	CONAMA Resolution no. 398/2008; Items 9.1.5.1, 9.1.5.2, 9.1.5.3 - Regulation NR 09:2017; Items 2.4.1, 2.4.2, 2.15.1 - IOGP Report 432 Table 2:2017; Items 14.4, 14.5 - RANP 43:2007 - Management Practice No. 14 - SGSO; Item 6.1 - ABNT Standard NBR ISO 14001:2015.	1. Verify if the rig performed at least one drill in the past year, as well as simulation results and evaluation reports. 2. Verify if the company, after the drills generates PEI improvement reports and that after each emergency situation drill the following actions are taken according to the accidental hypothesis - Report Opening with the first information on the situations that occurred; - Communication to the Inspections Agencies; - Emergency situation investigation (investigation team) launch with the occurrence's full report; - Conclusion of the investigation with the full report completion (Description of facts, actions taken, investigation into causes, action plan with corrective and preventive measures, parties in charge and time limit); - Lessons learned - Presentation to all the employees, clients, and other parties concerned.		
59	GOPE0059B-1	Emergency plans alignment (PRE, PEI and PEVO - Rig's off limits Oil Spillage Emergency Plan)	The drilling contractor should ensure its Emergency Response Plan (ERP) alignment with the rig's Individual Emergency Plan (IEP) administered by it for all the accidental hypotheses. It should also ensure the PEI alignment with the basin's Oil Spill Contingency Plan (OSCP)	Shorebase and Rig	OP, PQ	<input checked="" type="checkbox"/>	<input type="checkbox"/>	PQ	B	Analyze if the rig's individual emergency plan is aligned with the drilling contractor's emergency response plan. There should be an actions delimitations contained in each plan, including the OSCP actions, with indication of which Petrobras standards were considered.	Item 10.3 - API RP75:2013; Item 14.1, 14.2, 14.4 - RANP 43:2007 - Management Practice No. 14 - SGSO; Item 14.2.5 - ANP Resolution no. 46:2016 - SGIP Technical Regulation; Item P7-7.2 - Report 423-01 IOGP:2017.	1. Verify, through sampling, if the drilling contractor has the Individual Emergency Plan (IEP) aligned with the emergency response plan (ERP) for the other drilling rigs administered by it. 2. Verify integration with Petrobras. 3. Verify pending 54 of FPSO Cidade de São Mateus (ANP Brazilian National Petroleum Agency - website)	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement must be evaluated in terms of the alignment of plans (IEP and ERP) between the maritime units and the company. Also assess the alignment of the plan (IEP) with the OSCP.
60	GOPE0060B-2	ERP decision tree	The drilling contractor should define in the Emergency Plans a decision tree for each major emergency control stage.	Shorebase and Rig	OP, PQ	<input checked="" type="checkbox"/>	<input type="checkbox"/>	PQ	B	Analyze the ERP decision trees focused on the actions' clarity.	Item 10.2 - API RP75:2013; Item 14.2.5 and 14.2.6 - RANP 46:2016 - SGIP; Items 14.2, 14.4 - RANP 43:2007 - Management Practice No. 14 - SGSO; Item P7-7.2 - Report 423-01 IOGP:2017.	1. Verify if the company has Emergency Response Plans, decision trees for each emergency step. 2. (RE) Check the use of these documents with the teams and how well this knowledge was absorbed	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement will be evaluated with a focus on decision trees or specific strategies for each of the major emergencies.
61	GOPE0061B-1	EOR - Emergency Organizational Response (responsibilities and duties)	The company should have duties and responsibilities in the Emergency Plans to build the organizational response structure (EOR) in charge of dealing with the emergency.	Shorebase and Rig	OP, PQ	<input checked="" type="checkbox"/>	<input type="checkbox"/>	PQ	B	Analyze the rig's IEP (Individual Emergency Plan) duties and responsibilities. Analyze the internal and external flow of emergency communication. Should be defined a reliable and effective communication systems (both internal and external).	Item 10.3 - API RP75:2013; Item 14.2.5 - RANP 46:2016 - SGIP; Item 14.4 - RANP 43:2007 - Management Practice No. 14 - SGSO; Item P7-7.2 - Report 423-01 IOGP:2017.	1. Verify if the company has the duties and responsibilities in the Emergency Plans for each person in charge who is part of the EOR (Emergency Organizational Response) for a certain emergency. 2. Interview the people who are listed as in charge to evaluate how deep is his knowledge of the actions in each event.	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement will be evaluated considering two pieces of information: the communication flow or alerts internal and external to the company, and if the attributions and those responsible for the Emergency Organization Response are defined.
62	GOPE0062B-1	Contingency Procedures	The company should have contingency procedures and approval system that give clear instructions on how to operate when the critical elements are degraded out of operation.	Rig Only	OP, RE, PQ	<input type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	B	Look for the contingency procedures and analyze if those cover the critical elements degraded state. Also, analyze if there is a special treatment for the different accidental hypotheses.	Items 14.4, 14.6, 14.7 - RANP 43:2007 - Management Practice No. 14 - SGSO;	1. Verify the contingency procedures, and the definition approval and control systems, to be used whenever the Operational Safety Critical Equipment or Systems are degraded or out of operation. 2. Interview people to evaluate the depth of his knowledge about the procedures related critical equipment when degraded in each event. NOTE: Accidental scenarios ensuing from the accidental hypothesis of "oil spill" are treated in a specific emergency plan, such as "SOPEP - Shipboard Oil Pollution Emergency Plan" and/or another Individual Emergency Plan defined by another specific rules or regulations.	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement must be evaluated in terms of the existence of contingency procedures for situations where critical elements are out of operation or degraded. Also assess if accidental hypotheses are specifically addressed.
63	GOPE0063C-2	ERP Training	The company should ensure that all the employees were trained in the procedure and know the procedure content.	Shorebase and Rig	OP, RE, PQ	<input checked="" type="checkbox"/>	<input type="checkbox"/>	PQ	C	Analyze the ERP functions and the emergency response plan training's content. Verify if there is any safety briefing before boarding and on arrival at the Rig. Verify if the Procedures and identifications are both in Portuguese and English.	Petrobras Standard N-2644:2008; CONAMA RESOLUTION no. 398, dated June 11, 2008; Item E3.2.1 - IOGP Report 432 Table 1:2017; Items 2.2.1, 2.2.2, 2.14.16, 2.14.19 - IOGP Report 432 Table 2:2017; Item 3.3.6 - RANP 43:2007 - Management Practice No. 3 - SGSO; Item 14.5, 14.6 - RANP 43:2007 - Management Practice No. 14 - SGSO; Item 8.2 - ABNT Standard NBR ISO 14001:2015; Item 8.2 - ABNT Standard NBR ISO 45001:2015.	1. Verify, through interviews, if the employees know their ERP (Emergency Response Duties) roles and training records. 2. Verify if the personnel trainings are included in the form and if the Conformance Verification Plan (CVP) was performed/foreseen.	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement should be assessed against the training provided, and the records submitted.
65	GOPE0065C-1	ERP and IEP drills Training	The rig should establish a training program that includes the emergency response team members, and all the other people who are exposed to the accidental scenarios are trained, at least, in alarm and evacuation procedures.	Rig Only	OP	<input type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Analyze the emergency drills records and compare them to the POB (People on Board) to confirm that all people onboard were already trained. Evaluate the differentiated training of the emergency tasks team. Evaluate the participation of personnel who do not participate in the tasks.	Item 14.6 - RANP 43:2007 - Management Practice No. 14 - SGSO.	1. Verify, through sampling, some emergency drills records. 2. Verify, through interviews, if the employees knows the emergency alarms, see in the POB (People on Board) newcomers employees at the rig to be interviewed as well. 3. Verify how often the Shorebase personnel (managers and technicians) participate to evaluate the drills. 4. Verify if the personnel training are included in the forms and if the CVP (Conformance Verification Plan) was performed/foreseen.	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement should be assessed against the training provided, and the records submitted.
<b>13. Training, drills and follow-up documents of drilling / completion / abandonment and Workover</b>														
66	GOPE0066E-2	Drills identification or training on critical operational situations	The rig should have a list that have all the critical operational drills of all the rig's areas.	Rig Only	OP	<input checked="" type="checkbox"/>	<input type="checkbox"/>	EX	E	Analyze the drill list to identify the drills of the critical systems or equipment of all the rig's areas. Many of them should come from the HSE Case.	Items 14.2.3.a and 14.2.3.b - RANP 43:2007 - Management Practice No. 14 - SGSO;	Verify the critical operational drills list. EX: Blackout Recovery, Start of the main engines after full stop, rig preparation for bad weather, pit drill, trip drill, choke drill, among others.	Get at least one copy of the drills list.	This requirement must be evaluated in terms of the deadlines for carrying out the tests and the treatment applied in the event of failure. Also evaluate according to the systematic of recording the simulations
68	GOPE0068B-2	Well Control Drills Kick Detection Drill and training.	The rig should have a systematic to perform drills and training.	Rig Only	OP, PQ	<input checked="" type="checkbox"/>	<input type="checkbox"/>	PQ	B	The rigs should have drills records carried out onboard according to the training systematic.	Companies' Well Control Manual; Items 11.1, 11.2, 11.3 of Petrobras Standard N-2753:2014; Item No. 6.3.1 - RANP 43:2007 - Management Practice No. 6 - SGSO; Item No. 6.3.1.1 - RANP 46:2016 - SGIP; Section 10.4 - API RP 75:2004.	1. Verify, through sampling, the documents, spreadsheets, and electronic records in Petrobras database - OpenWells or SITOP. 2. Verify drill matrix with schedule. 3. Verify if the drills are entered in the employee training matrix. Link with Human Resources department.	Get at least one copy of each.	This requirement must be evaluated in terms of the deadlines for carrying out the tests and the treatment applied in the event of failure. Also evaluate according to the systematic of recording the simulations
69	GOPE0069C-1	Drills Critical analysis	The company should have a critical analysis systematic for any training given onboard (Drills) in order to identify and correct possible faults	Rig Only	OP, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Verify the analysis systematic and verify how it is being implemented in the company. Analyze if the employees' knowledge has increased and if the operation execution time has improved. This procedure should provide for at least one post-drill meeting with minutes of meeting to evaluate any deviations, action plans to correct non-conformances, and possible Emergency Plan review.	Companies' Well Control Manual; Section 10.4 - API RP 75:2004; Items No. 6.3.1 and No. 3.3.6 - RANP 43:2007 - Management Practice No. 3 and No. 6 - SGSO; Item No. 6.3.1.1 and No. 3.3 - RANP 46:2016 - SGIP.	1. Verify, through sampling, some drills performed analyses and verify if the recommendations made by the rig's personnel were implemented. 2. Accompany an onboard critical analysis process and evaluate the supervisors and managers participation. 3. This procedure should provide for at least one post-drill meeting with minutes of meeting to evaluate any deviations, action plans to correct non-conformances, and possible Emergency Plan review.	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement must be evaluated based on the analysis of the training carried out and the learning curve developed by the employees.
70	GOPE0070D-1	Critical analysis, made by Shorebase personnel, of drills or trainings carried out onboard.	The company should have a critical analysis systematic for any training given onboard (Drills), in order to identify and correct possible faults.	Shorebase and Rig	OP, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	D	Verify the analysis systematic and verify how it is being implemented in the company. Verify if the employees' knowledge and fluency of the drills have improved. It should not be an audit, but rather a critical analysis.	Companies' Well Control Manual; Section 10.4 - API RP 75:2004; Items No. 6.3.1 and No. 3.3.6 - RANP 43:2007 - Management Practice No. 3 and No. 6 - SGSO; Item No. 6.3.1.1 and No. 3.3 - RANP 46:2016 - SGIP.	1. Verify, through sampling, some analyses on drills performed and verify if the recommendations made by the rig's personnel were implemented. 2. Accompany a critical analysis process Shorebase and evaluate the managers' participation. 3. This procedure should provide for at least one post-drill meeting at the company's Shorebase with minutes of meeting to evaluate any deviations, action plans to correct non-conformances, and possible Emergency Plan review.	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement must be evaluated based on the analysis of the training carried out and the learning curve developed by the employees.
71	GOPE0071C-1	Drills Audit	The company should have an audit systematic of the training given onboard (Drills) in order to detect and correct possible faults	Shorebase and Rig	OP, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Verify the analysis systematic and verify how it is being implemented in the company. The employees' knowledge improved. Execution time improved. This system should feedback the process to improve it.	Companies' Well Control Manual; Section 10.4 - API RP 75:2004; Items No. 6.3.1 and No. 3.3.6 - RANP 43:2007 - Management Practice No. 3 and No. 6 - SGSO; Item No. 6.3.1.1 and No. 3.3 - RANP 46:2016 - SGIP.	Verify, through sampling, some drills performed analyses and verify if the recommendations were implemented.	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement must be evaluated based on the analysis of the training carried out and the learning curve developed by the employees.

**13. Operational performance**

45	GOPE0045C-2	Monitoring Items	The company should have a procedure that specifies the items to be monitored related to the well safety, to the assets safety, and to the person's safety.	Shorebase and Rig	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PQ	C	Verify the control items used to analyze its procedures. Verify how the process of this monitoring and analysis works. Analyze possible action plans to treat KPI not met. Should be also defined how the critical analysis of those items and performance analysis are done, as well as the persons in charge.	Item 17.3.1 - RANP 43:2007 - Management practice No. 17 -SGSO; Item no. 6.3 - RANP 46:2016 - SGIP.	1. Check operational procedures by sampling with the definition of items that must be monitored and analyzed, regarding the safety of the well, assets and people. 2. Check the definition of those responsible in the process. Check the company's performance and targets, as well as action plans for handling KPIs below target. 3. Check if there is a breakdown of indicators related to critical items for well integrity for areas where this is critical (at least operation) with goals and corrective actions in case of non-compliance. EX: IDSP, ICSDP, ICCP, KICF-FO, IRPSP, IEF, IEHO (Petrobras KPI) 4. Check if the system has specific KPIs per operation (e.g. tubular connection, time between wedges, etc.) 5. (EX) The company must have its own automated system for integrated monitoring of the unit's performance and treatment of indicators 6. (EX) Check if the system allows the performance monitoring over time and between teams in order to verify deviations/uncontrols and good practices during the execution of tasks. Note: Actions applicable to personnel and in-house or outsourced processes.	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement must be evaluated in terms of documented procedures and how the process of monitoring and handling deviations takes place.
78	GOPE0078E-0	Operational performance monitoring systematic	The Rig must have an operational performance monitoring systematic, which acts proactively in the treatment of the deviations evidenced and in the pursuit of operational excellence.	Shorebase and Rig	OP, RE, PQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	EX	E	Analyze if the company has a systematic for processing and analyzing the unit's operational performance. Analyze examples of application of the methodology	Item 17.3.1 - RANP 43:2007 - Management Practice N°17 -SGSO; Item 9.1 - ISO 9.001:2015; Item 9.1 - ISO 29.001:2020; Item N° 6.3 - RANP 46:2016 - SGIP.	1. Check if the company has a performance plan (revised periodically) for the units in its fleet. This plan must present the expected performances for each operation with the objective of continuous improvement. 2. Check if the performance monitoring system issues alerts of identified deviations and good practices. 3. Check if there is a team responsible for handling the deviations/imbalances and good practices observed. 4. Check if deviations/imbalances and good practices are discussed in the unit's periodic meetings. 5. Check top indicators of the company and managers and assess if they have been adjusted to the customer's indicators. Note: Actions applicable to in-house or outsourced personnel.	Standard record, just evaluating the evidence given, no need for copies of documentation.	
79	GOPE0079E-0	Quality Management Systematic and Responsibilities	The Rig must have a quality management systematic according to NBR 29001. The company must have the attributions and responsibilities related to Quality Management.	Shorebase and Rig	OP, RE, PQ	<input checked="" type="checkbox"/>	<input type="checkbox"/>	EX	E	*To analyze the implementation of the quality management system to meet the requirements of NBR ISO 29001. Ensure that roles and responsibilities are documented and communicated. To analyze the effective participation of the Managers of the Rigs in the activities related to the analysis of the quality management.	ISO 9.001:2015; ISO 29.001:2020.	1. Verify the existence of certification 2. Verify the existence of a quality manual and that the company determines the processes to which the quality management system must be applied. 3. Check the structure and flow of information 4. Check if there are criteria and methods necessary for the control 5. Check if there are resources and information necessary to support the operation and monitoring of this process 6. Check the existence of a monitoring system for the selected processes 7. Check the implementation of process improvement actions 8. Verify that the attributions and responsibilities are documented through job descriptions, organizational charts and/or responsibility matrix. 9. Verify the participation of Managers in activities related to the analysis of operational performance and the existence of a local person in the Unit responsible for monitoring performance and disseminating good practices. OBS.: Check if the person in charge knows how to operate the system. Ask the local manager for an example of action in correcting deviations, implementing good practices or in the pursuit of operational excellence. The verification can be done through the attendance list, courses, training, minutes of meetings and other means that make it possible to verify the participation of the managements.	Standard record, just evaluating the evidence given, no need for copies of documentation.	This requirement must be evaluated according to the existence or not of the Certification.