

INFORMATION NOTE

Standard Format for Authorising Engineers Audit Reports - JSP 375 Volume 3 –
 MODs Safety Rules & Procedures

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Who Should Read this: CEstOs, Top Level Budget Holders, MOD Project Managers, MMOs, DCREs, IPTLs for PFI/PPP and traditionally procured contracts, DDEMs, DEFMs, DEPMs, Property Managers/Site Estate Representatives, Coordinating Authorising Engineers, Authorising Engineers and Authorised Persons.

When it takes effect: Immediately

When it is due to expire: 13 Jul 2009

Document Aim: To notify all relevant parties of a new template for Authorising Engineer Audit reports associated with JSP 375 Vol 3 – MODs Safety Rules and Procedures (SRPs)

1. Intent

- 1.1. Addressees are to bring the contents of Annexe A of this Information Note to the attention of their Authorising Engineers (AEs) in order to acquaint them with the recommended new common format for JSP 375 Vol 3 AE audit reports for issue to DE Senior Authorising Authorities (SAAs).
- 1.2. This information note is issued for guidance only however it is the intention for the new format to be incorporated into the JSP 375 Vol 3 chapter 2 annexe D in due course.

2. Background:

- 2.1. From August 2007 MODs Directorate of Safety & Claims (DS&C) has progressively published, on the internet, the individual chapters of the 2007 version of JSP 375 Volume 3 – MODs Safety Rules & Procedures.
- 2.2. It was not possible to incorporate this recommended common format for Authorising Engineers Audit reports within the timescale.
- 2.3. The recommended common format has been developed in conjunction with Co-ordinating Authorising Engineers (CAEs) and the format finally agreed is included at annexe A.
- 2.4. The adoption of a common format for audit reporting would ensure that all the information required by JSP 375 Vol 3 ch 2 is included in AE audit reports and hence ensure consistency of reporting across the different organisations.
- 2.5. On MOD Establishments occupied by United States Visiting Forces (USVF) responsibility is jointly held by USVF and DE (USF). At base level this jointly managed organisation is to take appropriate action to implement the contents of this Instruction. Where this Instruction contains procedures which differ significantly from USVF practice DE (USF) code of practice will be issued.

ANNEXE A: Standard Audit Report Format



*Company logo here if
required*

AUTHORISING ENGINEER AUDIT REPORT

FOR JSP 375 Vol 3 - SAFETY RULES & PROCEDURES CHAPTER *e.g. 01 –
discipline e.g. Electrical*

CONTRACT: *The name of the MMO organisation implementing the SRP*

SITES COVERED BY THIS REPORT:

1. *All sites in the audited cluster*
2. *B*
3. *C*
4. *D*

AUDIT BY: *Authorising Engineer (discipline)*

DATE OF AUDIT: *The date that the Authorising Engineer carried out the audit*

DATE OF PREVIOUS AUDIT:

1. TERMS OF REFERENCE

1.1. *The author should state against what criteria the audit has been carried out e.g. JSP 375, Volume 3, and Chapters 1, 2 & 3 or another standard including the version.*

2. EXECUTIVE SUMMARY

2.1. *Introduction*

2.1.1. *Purpose of the audit e.g. ensuring that site familiarity is being maintained, ensuring competence of the AP, compliance with the requirements of*

3. *Significant Issues*

3.1. *A record of headline issues including any shortfalls in AP resources, maintenance problems, serious safety issues and equipment/installation matters*

4. CONCLUSIONS

4.1. *Include status of the Safe System of Work i.e Safe to continue operations or not*

5. NEXT AUDIT DATE

5.1. *Include a justification for the next audit date*

Signed: *Signature of Authorising Engineer*

Date: *Date*

Name: *Name of Authorising Engineer*

Distribution: Authorised Person
Coordinating Authorised Person
Coordinating Authorising Engineer
Senior Authorising Authority
MMO Office Manager
DE Facility Manager
Others as required

7. REVIEW OF AUTHORISED PERSONS

7.1. Matrix

| | | | |
|---|---|--|--|
| Authorised Person | <i>Name of AP</i> | | |
| Based at | <i>Base site for AP</i> | | |
| Certificate number | <i>Cert of Appt No.</i> | | |
| Certificate expiry date | <i>Appt expiry date</i> | | |
| Expiry date of medical | <i>Date if applicable</i> | | |
| Sites and installations: | | | |
| 1. Site name | <i>Detail installations/facility/systems appropriate to appointment</i> | | |
| 2. Site name | <i>Detail installations/facility/systems appropriate to appointment</i> | | |
| 3. Site name | <i>Detail installations/facility/systems appropriate to appointment</i> | | |
| Training expiry dates: | | | |
| 1. AP Course | <i>Date</i> | | |
| 2. Emergency First Aid | <i>Date</i> | | |
| 3. Fire Training | <i>Date</i> | | |
| <i>(add lines for additional AP Courses or Training Courses as appropriate)</i> | | | |
| Safety documents issued since previous audit: | | | |
| 1. Risk assessment | <i>Number of docs</i> | | |
| 2. Safety Programme | <i>Number of docs</i> | | |
| 3. Include other Safety Documentation as appropriate to discipline | <i>Number of docs</i> | | |
| 4. Include other Safety Documentation as appropriate to discipline | <i>Number of docs</i> | | |
| Number checked by AE | | | |

Any shortfalls identified in the following sections should be included in the Action Plan and prioritised accordingly.

7.2. Training

7.2.1. *Record any deficiency or out of date training and the required remedial actions*

7.3. Resources

7.3.1. *A statement regarding the adequacy of AP numbers for the sites named above including the deputising arrangements, the appropriateness of where they are based and their ability to cope with these duties in addition to any other duties.*

7.4. Personal Log Books

7.4.1. *Does the AP have a log book, is it in an acceptable format, does it include the required elements and does it contain a diary of relative day to day activities?*

7.5. Technical Knowledge & Competency

7.5.1. *Has the AP demonstrated a level of technical knowledge and practical competence commensurate with the complexity of the installations or facilities for which he has responsibility?*

7.6. Site & Equipment Familiarity

7.6.1. *Is the AP site based and can he demonstrate the required level of familiarity with the equipment or facility for which he is responsible?*

7.7. Coordinating AP Duties

7.7.1. *Is there a coordinating AP? Name, location and are the duties being discharged in a satisfactory manner?*

8. REVIEW OF SAFETY DOCUMENTATION & EQUIPMENT

8.1. Risk Assessments

8.1.1. *Is there evidence of installation/facility specific hazard assessments, contractor supplied risk assessments or risk assessments of AP activities?*

8.2. Safety Programmes

8.2.1. *Record the serial numbers of the documents checked and any comments*

8.3. Other Safety Documentation

8.3.1. *Provide sub headings for the different types of documentation reviewed e.g. Permit to Work, Permit to Climb, Standing Instructions, Sanctions to Test etc., record the serial numbers of the documents checked and any comments*

8.4. Operating Record

8.4.1. *Is the Operating Record in the required format (JSP 375 Vol 3 ch XX), is it up to date, does it contain all the necessary entries and are they legible?*

8.5. Document Register

8.5.1. *Is the Document Register in the required form (JSP 375 Vol 3 ch XX), are the schematic drawings satisfactory, is there evidence that the AE has been appointed and are there any obvious deficiencies. Record any other pertinent observations.*

8.6. Skilled Person Appointments (where appropriate)

8.6.1. *Is there a register of Skilled Persons, have they been assessed, have they been appointed, has a Safety Rule Book been issued and is there adequate supporting evidence of competence?*

8.7. Safety Alerts, Guidance Notes & Operational Restrictions

8.7.1. *Is receipt of known Safety Alerts, Operational Restrictions and other Guidance Notes recorded in the Operating Record? Is there evidence that other APs for the site(s) have read the documents and that they are filed appropriately?*

8.8. Dangerous Incidents, Dangerous Conditions, Dangerous Practices, Dangerous Occurrences, Injuries and Diseases

8.8.1. *Have there been any incidents and if so, were they recorded in the Operating Record and reported to the AE? Were they managed accordingly?*

8.9. Document Cabinet

8.9.1. *Is the cabinet suitable, lockable and does it contain all of the safety documentation?*

8.10. Keys, Key Cabinets and Mimic Diagrams,

8.10.1. *Are there suitable arrangements for the storage and control of access, operational key. How is access to plant areas controlled? Is there a suitable Mimic diagram (electrical only) and does it represent the current state of the system?*

8.11. PPE, Safety and Test Equipment

8.11.1. *Is there adequate provision of safety signs, safety key boxes, safety locks, chains and other securing devices? Is there a register for PPE, is provision adequate for the duties and is any test equipment properly maintained and calibrated?*

8.12. Records of Systems Installed

8.12.1. *Are there adequate records of the systems installed, drawings, schematics, manuals, inspection reports, certificates etc?*

8.13. Demarcation Agreements

8.13.1. *Are there any demarcations in place, required? Are the current arrangements adequate?*

9. REVIEW OF INSTALLATIONS, MAINTENANCE RECORDS & PLANNED WORK

9.1. Inspection of Installations/Facilities

9.1.1. *Record the installations/facilities visited and any observations on the condition or deficiencies of plant, posters, safety signs, standard of housekeeping, environmental issues etc.*

9.2. Inspection of Maintenance Records

9.2.1. *Is there evidence that maintenance is being carried out in accordance with the required standard, is it at the correct frequency and is there evidence that remedial work is being both recorded and actioned?*

9.3. Planned Work

9.3.1. *Record here any significant work planned for the installations/facilities in the period up to the date of the next audit.*

10. ACTION PLAN FOR *Name of site*

| Action Number | Date Raised | Action Required | Priority | Person Responsible | Target Date | Completion Date |
|---------------|-----------------|-----------------|----------|--------------------|-------------|-----------------|
| 1 | <i>Include</i> | | | | | |
| 2 | <i>date</i> | | | | | |
| 3 | <i>raised</i> | | | | | |
| 4 | <i>for</i> | | | | | |
| 5 | <i>those</i> | | | | | |
| 6 | <i>actions</i> | | | | | |
| 7 | <i>carried</i> | | | | | |
| 8 | <i>on from</i> | | | | | |
| 9 | <i>previous</i> | | | | | |
| 10 | <i>audits</i> | | | | | |
| 11 | | | | | | |
| 12 | | | | | | |
| 13 | | | | | | |
| 14 | | | | | | |
| 15 | | | | | | |

PRIORITY 1 - IMMEDIATE ACTION PRIORITY 2 - ACTION BY AN AGREED DATE PRIORITY 3 - ACTION BY THE NEXT AUDIT

The Authorised Person is to sign a copy of this Action Plan to confirm acceptance and file in the appropriate Document Register. The completion date should be filled in as Actions are closed out.

Signed:

Name:

Date: