SUBJECT: AUTHORISING ENGINEER STANDARD AUDIT TEMPLATE COMPLETION

Practitioner Guide   09/12

Health and Safety

Document Aim:

The aim of this Practitioner's Guide is to describe the procedure to be followed for the completion of the revised Authorising Engineer Standard Audit Report Template.

Document Synopsis:

This document provides guidance for all MOD staff and contractors appointed as Authorising Engineers who are involved with the implementation of JSP 375 Volume 3 Management of Significant Risk Activities on the MOD Estate with regard to the completion of the revised Authorising Engineer Standard Audit Report Template. This Practitioner Guide replaces PG02/12.

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<tr><td colspan="2" align="center">Document Information</td></tr>
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Who should read this: All MOD staff and contractors appointed as Authorising Engineers who are involved with the implementation of JSP 375 Volume 3 Management of Significant Risk Activities on the MOD Estate.	
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Equality And Diversity Impact Assessment This policy has been Equality and Diversity Impact Assessed in accordance with the Department's Equality and Diversity Impact Assessment Tool against: **Part 1 Assessment Only (no diversity impact found)**

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17 December 2012	1.0	Andrew Parker	Replaces PG02/12

Reference Documents

A	JSP375 Volume 3 Chapter 2
B	
C	
D	
E	

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Foreword

This Practitioner Guide is published by Defence Infrastructure Organisation for application across all areas of MOD and the Armed Forces and has been written to reflect changes in JSP375 Volume 3 and MOD policy. The use of the Authorising Engineer Standard Audit Template is mandatory for all contracts let after the publication of this document. This Practitioner Guide replaces PG02/12.

Introduction

1.   Policy

1.1   Reference A gives the MOD policy on audit requirements for High Risk Activities.

2.   The Authorising Engineer Standard Audit Report

2.1   The Authorising Engineer Standard Audit Report (AESAR) has been designed to capture the data from the various Authorising Engineers (AE) Audits in a standard and consistent format. This format enables the population of a Dashboard report to the Defence Infrastructure Organisation Committee (DIOC) on a quarterly basis. The data presented on the Dashboard Report will enable trends to be identified in both good and under performing areas and, specifically, be able to identify where any shortfall is a result of the Safe System of Work (SSoW) or investment in the infrastructure that the SSoW is in place to operate.

2.2. The AESAR consists of the following spreadsheets to enable the collection and consolidation of the evidence collected during the audit undertaken:

     a.   Cover Sheet

     b.   Exec Summary

     c.   Report

     d.   Report Action Plan

     e.   Infrastructure Action Plan.

     f.   Observation Plan.

     g.   Appendix A.

     h.   Appendix A1.

     i.   Appendix B (one for each specific discipline)

     j.   Appendices C and D

Population of each of these will be explained in the following text.

3.   **AESAR Population Requirements**

3.1   Cover Sheet - this is the first spreadsheet to be populated by the AE in the following manner:

   a.   Audit Reference - the AE is to enter the audit reference designated by his employer for the audit being undertaken. This information will be automatically replicated on the remaining spreadsheets in the workbook.

   b.   Chapter - the AE is to select the discipline chapter for which they are undertaking the audit from the dropdown menu provided. The selection of the discipline chapter from the dropdown menu automatically amends the questions on the "Report" spreadsheet such that, those not applicable to the discipline, being audited, will not be shown.

   c.   Contract - the AE is to select the contract under which the site is being covered from the dropdown menu provided.

   d.   MMO - the AE is to select the appropriate organisation delivering the Safe System of Work function from the dropdown menu provided.

   e.   Sites covered by this report - the AE is to manually enter the Document Centre and satellite sites covered by the audit. This information will automatically populate areas on the subsequent Appendix A spreadsheet.

   f.   Audited By – The AE is to enter their name in this field; it is **not** for the inclusion of an electronic signature. In instances where a prospective AE is undertaking an audit and is being mentored in the process, the names of both individuals are to be entered and separated by an "/".

   g.   Date of Audit – the AE is to enter the date that the audit commenced in the format **dd/mm/yyyy**. This date will also automatically be carried forward to the Executive Summary of the audit workbook to identify the end date of the period being audited.

   h.   Date of Previous Audit - the AE is to enter the date that the previous audit was undertaken in the format **dd/mm/yyyy**. This date will also automatically be carried forward to the Executive Summary of the audit workbook to identify the start date of the period being audited.

   i.   Duration of Audit – the AE is to enter the number of days the audit took to undertake in numerical format.

   j.   Qualitive and Quantative Assessments – The remainder of the boxes on this spreadsheet are automatically calculated from the following spreadsheets in the workbook and information cannot be manually entered.

   k.   Distribution – a list of post titles has been provided however, these can be amended in line with the AE's employer's requirements. This section has been formatted such that the cell heights can be increase and additional space can be gained by pressing "Alt" & "Return" after the text in a cell.

3.2   Exec Summary – this spreadsheet is to be populated by the AE in the following manner:

a.   Qualitative Assessment – the AE is, following completion of the audit, determine whether they consider the operation of the SSoW adopted on site is either "Safe to continue", "Safe to continue with caveats" or "Unsafe to continue". This is indicated by marking one of the bullets adjacent to the three criteria. In arriving at this decision the AE may find that their qualitative assessment varies from that identified from the quantative assessment generated by the report. For example, the quantative assessment may indicate that the processes and procedures are being undertaken satisfactorily but, there are issues with, for instance:

   i.   a specific asset or piece of equipment which causes them concern.
   ii.   a specific issue that is not addressed by the discipline chapter SSoW.

b.   Significant Issues & Caveats – Where the AE has identified, in their qualitative assessment, that the system is either "Safe to continue with caveats" or "Unsafe to Continue" the AE is to provide the reasons for this assessment. Additionally, the AE may add additional significant issues identified during the audit. This field is free text format and has the capacity to be expanded in size by increasing the row height and the format cell function is available in order that the AE can allow "word wrapping". When the limit of 256 characters has been reached, additional lines can be added to the cell by pressing "Alt" and "Return" at the end of each subsequent sentence. Information should not be added by using copy and paste directly from other sources (such as Microsoft Word) as this causes the cell to become locked and the ability to format is lost however, two blank spreadsheets have been added at the end of the workbook to facilitate copying and pasting from external sources or to type into and undertake spell checking. The information can then be copied into the relevant section of the report. Additionally a "Spell Check" button has been added to the sheet which can be utilised on completion of adding text.

c.   Authorised Persons – The AE is to enter the number of Authorised Persons (APs) required to discharge the requirements of the discipline on the site together with, the number of APs employed (in the boxes provided). **These entries are to be made in numeric format**.

d.   Next Audit Date – the AE is to enter the number of months until the next audit in numeric format. Once this has been entered, the date (in month/year format) will be automatically be generated.

e.   Next Review Date – the AE is to enter the number of months until the next review in numeric format. Once this has been entered, the date (in month/year format) will be automatically be generated.

3.3   Report – this spreadsheet forms the main body of the audit report and provides the quantative assessment and evidence. The report is split into six areas covering the APs through to the site systems and equipment visited during the audit. Having entered the discipline on the "Cover Sheet" the AE will have only those questions related to that discipline showing in the question sets. For each question the AE is to populate the adjacent cells as follows:

a.   Requirement – each requirement is to have one of the bullets beneath "Not Applicable", "Not Assessed", "Satisfactory", "Observation", "Minor NC" or "Major NC" marked.

i.   Not Applicable – this bullet should be marked if the particular check/requirement is not required i.e. Fire Training.

ii.   Not Assessed – this bullet should be marked if the evidence to support the question is not available i.e. the AP does not have their logbook available.

iii.   Satisfactory – this bullet should be marked if, in the opinion of the AE, the evidence provided/identified fully supports the requirement.

iv. Observation – this bullet is to be marked if the AE considers the requirement is being met however, improvements could be made or a change is predicted in the future requiring work to be undertaken.

v.   Minor NC – this bullet should be marked if the AE identifies that there is a shortfall in the requirement and an action is required to rectify the issue.

vi.   Major NC – this bullet should be marked if the AE identifies a significant flaw or omission that requires urgent rectification.

When a bullet in ii to vi (above) has been marked, the grey scaling of the adjacent cells is automatically removed. This functionality has been added to assist the AE in completing the following steps against the particular question.

b.   Observation – where the AE has marked the observation bullet they are to enter details of the observation in this column. Additionally, the AE may use this field to highlight good work being undertaken. This information will automatically be copied to the Observation Plan. This field is free text format and has the capacity to be expanded in size by increasing the row height and the format cell function is available to allow the AE to allow "word wrapping". Information should not be added by using copy and paste directly from other sources (such as Microsoft Word) as this causes the cell to become locked and the ability to format is lost however, two blank spreadsheets (Appendices C and D) have been added at the end of the workbook to facilitate copying and pasting from external sources and then the information can then be copied into the relevant section of the report. Additionally a "Spell Check" button has been added to the sheet which can be utilised on completion of adding text.

c.   Non-conformance – where the AE has marked either a minor or major non-conformance they are to enter details in this column. This information will be automatically copied to the Report Action Plan spreadsheet. This field is free text format and has the capacity to be expanded in size by increasing the row height and the format cell function is available to allow the AE to allow "word wrapping". Information should not be added by using copy and paste directly from other sources (such as Microsoft Word) as this causes the cell to become locked and the ability to format is lost however, two blank spreadsheets (Appendices C and D) have been added at the end of the workbook to facilitate copying and pasting from external sources and then the information can then be copied into the relevant section of the report. Additionally a "Spell Check" button has been added to the sheet which can be utilised on completion of adding text.

d.   Action Required – where the AE has marked either a minor or major non-conformance they are to enter details of the required action in this column. This

information will be automatically copied to the Report Action Plan spreadsheet. This field is free text format and has the capacity to be expanded in size by increasing the row height and the format cell function is available to allow the AE to allow "word wrapping". Information should not be added by using copy and paste directly from other sources (such as Microsoft Word) as this causes the cell to become locked and the ability to format is lost however, two blank spreadsheets (Appendices C and D) have been added at the end of the workbook to facilitate copying and pasting from external sources and then the information can then be copied into the relevant section of the report. Additionally a "Spell Check" button has been added to the sheet which can be utilised on completion of adding text.

e.   Remarks – where the AE wants to add additional information in support of b, c and d above OR wishes to identify good practices or exceptional work being undertaken by the AP they may utilise this column. This field is free text format and has the capacity to be expanded in size by increasing the row height. Information should not be added by using copy and paste directly from other sources (such as Microsoft Word) as this causes the cell to become locked and the ability to format is lost however, two blank spreadsheets (Appendices C and D) have been added at the end of the workbook to facilitate copying and pasting from external sources and then the information can then be copied into the relevant section of the report. Additionally a "Spell Check" button has been added to the sheet which can be utilised on completion of adding text.

3.4   Report Action Plan – on completion of the "Report" spreadsheet any non-conformances and actions will have been automatically copied onto the "Report Action Plan" spreadsheet. Where an action has been copied to the Report Action Plan and the details are too large to be viewed, the spreadsheet has been formatted such that, the row height can be increased to accommodate the text and make it fully visible. The AE is to undertake the following where an action has been identified:

a.   NCR Number – in the "NCR Column" enter the unique Non-conformance Reference number, this may be entered in the format utilised by the MMO.

b.   By Whom – in this column the AE is to identify the person responsible for undertaking the action.

c.   Organisation – in this column the AE is to populate the cell from the dropdown menu with either MMO for actions that can be undertaken by the Maintenance Management Organisation without further redress or DIO where the action requires additional funding or is only dischargeable by DIO. Where the AE selects "DIO", as the organisation responsible for the action, the action will be automatically copied to the Infrastructure Action Plan spreadsheet.

d.   Date Due – the AE is to enter the date for when the action is to be completed (in **dd/mm/yy** format). For ongoing actions where it may be the reoccurrence of an activity the AE may set a longer time period in order to facilitate this (but this must be by exception) or they amend the date on future action plans if the occurrence has not happened.

e.   Date Completed – the AE is to enter the date for when the action was actually completed (in **dd/mm/yy** format).

f.   Initials – the AE is to enter their initials in this cell once the action has been completed.

g.   Status – the AE is to populate this cell from the dropdown menu and select either 0 for "in date", 1 for "Complete" or 2 for "overdue".

h.   Section 6 (Site, Systems, Installations and Equipment Inspections) – *JSP375 Volume 3 Chapter 2 states "Physical inspection element – This inspection is undertaken with the primary purpose of verifying the AP is operating in compliance with the relevant chapter of JSP 375 Volume 3. This may give rise to secondary 'Duty of Care' observations."* This section of the audit report is provided in order that the AE can record the details of the facilities visited with the Authorised Person(s) during the audit. It has been formatted such that the AE can enter the details of the areas and equipment visited and specific parts of the equipment. Once these 'headings' are entered they automatically populate the corresponding section in the "Report Action Plan". The remainder of the columns associated with these operate in the same way as described above.

3.5   On subsequent audits the AE is to copy the actions from the previous report into the "Report Action Plan" BELOW the red line. The cells below this line are enabled to allow entry and can be realigned accordingly as described above.

3.6   Infrastructure Action Plan – this spreadsheet will only be populated when the AE has selected "SETL", for an action identified, in the "Organisation" column on the preceding "Report Action Plan" spreadsheet. The AE is not required to enter any data on this spreadsheet however, where an action description is to large for the cell the spreadsheet has been formatted such that the row height can be increased to accommodate the text and make it fully visible additionally, the format cell function is available to allow the AE to allow "word wrapping".

3.7   Observation Plan – on completion of the "Report" spreadsheet any observations will have been automatically copied onto the "Observation Plan" spreadsheet. Where an observation has been copied to the Report Action Plan and the details are too large to be viewed, the spreadsheet has been formatted such that, the row height can be increased to accommodate the text and make it fully visible. The AE is to undertake the following where an observation has been identified:

a.   Observation Number – in the "Observation Number Column" enter the unique Observation Reference number, this may be entered in the format utilised by the MMO.

3.8   The "Report Action Plan", "Infrastructure Action Plan" and "Observation Plan" each have the functionality of an auto filter applied to the 'NCR Number' column (in the case of the "Report Action Plan" and "Infrastructure Action Plan") and the 'Observation Number' (in the case of the "Observation Plan"). This functionality allows the "Blank" lines to be filtered out thus reducing the amount of printing produced/required. To enable this filter to operate, **the AE must give each NCR and Observation a number** in the relevant column on either the "Report Action Plan" (these will be automatically carried forward to the "Infrastructure Action Plan") or "Observation Plan". Once the NCR Numbers and/or Observation Numbers have been added the AE should click on the ☐ in either the 'NCR Number' or 'Observation Number' column header cell and select "(NonBlanks)" from the drop down menu. This will

then filter out the rows that do not contain any text leaving only those rows which have actions or observations in them.

3.9   Appendix A – this spreadsheet is provided to enable the AE to record SSoW information and evidence with regard to the AP(s) they are assessing during the audit. The spreadsheet has been formatted such that the row height can be increased to accommodate the text and make it fully visible additionally, the format cell function is available to allow the AE to allow "word wrapping".

3.10 Appendix A1 – this spreadsheet is provided to enable the AE to record information and evidence of training and competence records of the AP(s) on the particular site as determined during the audit. The information with regard to the APs name, Site where they are based, certificate number and certificate expiry date is automatically populated from the information entered, by the AE, in Appendix A.

3.11 Appendix B (one for each discipline) – these spreadsheets are not mandatory however, it is provided to enable the AE to record their findings with regard to the safety documentation raised since the last audit. If utilised, the dates entered on the cover sheet are carried forward to set the period for which the audit has been undertaken. These spreadsheets have been formatted such that it is not protected and therefore all functionality within Excel is available.

3.12 Appendices C & D – these intentionally blank spreadsheets have been included to allow the AE to use them for copying information from other software packages (i.e. Word) and then subsequently copy the text into the remainder of the report. Alternatively the AE may wish to use this sheet for making additional notes with respect to the audit undertaken. If this is the case these notes should be annotated in the body of the report in the relevant places.

4. Availability

4.1 Copies of the AESAR are available from Andrew Parker, CSAA & SAA Confined Spaces, whose contact details are as contained in the 'Document Information' section on page 2 of the PG.