

THE MANAGEMENT OF INCIDENT INVESTIGATION AND AUDIT REPORT RECOMMENDATIONS

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PURPOSE AND SCOPE

The purpose and scope of this document is to define the procedural arrangements in Capital Delivery for managing both high and medium level incident investigation recommendations for investigations undertaken internally by Capital Delivery or externally by Contractors. It also covers the procedural arrangements in Capital Delivery for managing both internal quality assurance or external quality assurance audit recommendations with reference to

- the process for accepting recommendations placed upon the Capital Delivery Manager prior to an Incident Investigation Report or Internal or External Quality Assurance Audit Report being authorised
- the process for discharging recommendations once the Incident Investigation Report or Audit Report has been authorised and issued

This procedure does not cover management of audit recommendations under the SHE Audit Framework Agreement which are covered by NGUK/CD/BP136E.

PART 1 – PROCEDURAL

1 RESPONSIBILITIES

1.1 Capital Delivery Manager

The Capital Delivery Manager has overall accountability for accepting recommendations that are within the scope of this document and for subsequent discharging of the recommendations.

1.2 Capital Delivery Services Manager

On behalf of the Capital Delivery Manager the Capital Delivery Services Manager shall carry out the following.

- a) Evaluating and accepting (or requesting changes to) all recommendations prior to authorisation and issue.
- b) Arranging for individuals in Capital Delivery to discharge the recommendations following authorisation and issue.

1.3 Business Systems Officer

Reviewing the Incident Investigations Progress Report on a monthly basis and discussing slow progress with Investigation panel Chairman or personnel on whom actions have been placed.

Liaising with Auditors pre, during and post audit to determine dates, scope, outcomes and preliminary findings and to advise the Capital Delivery Manager and Capital Delivery Services Manager.

2 INCIDENT INVESTIGATION

2.1 Prior to issue of an Incident Investigation Report, the Investigation Chairman is required to forward it to the Capital Delivery Services Manager, to agree recommendations placed upon Capital Delivery.

2.2 The Capital Delivery Services Manager, following wider consultation in Capital Delivery, will confirm to both the Capital Delivery Manager and Investigation Chairman that the recommendations are acceptable, or alternatively agree recommendations that are acceptable. The Capital Delivery Services Manager will forward the draft to the Capital Delivery Manager for approval.

2.3 Each month the team responsible for Compass will forward an Incident Progress Report to the Business Systems Officer to review and discuss with staff to maintain progress.

2.4 The Incident Progress Report will contain columns to record the following.

- a) Reference number
- b) Holder (of the action)
- c) Event date
- d) Site
- e) Title (of the investigation)
- f) Action (summary of recommendations)
- g) Instruction
- h) Notes (progress to date)
- i) Target date (for completion)

2.5 The Incident Progress Report is tabled at the monthly Capital Delivery Management Meeting for purposes of information, review and action.

3 AUDIT REPORT

3.1 Prior to issue of an Audit Report, the Auditor is required to issue a final draft to the Capital Delivery Services Manager, to agree recommendations placed upon Capital Delivery.

3.2 The Capital Delivery Services Manager, following wider consultation in Capital Delivery, will confirm to both the Capital Delivery Manager and Auditor that the recommendations are acceptable, or alternatively agree recommendations that are acceptable. The Capital Delivery Services Manager will forward the draft to the Capital Delivery Manager for approval.