

SAFETY, HEALTH & ENVIRONMENTAL (SHE) AUDITING / INSPECTION PROCEDURE

TABLE OF CONTENTS

PURPOSE AND SCOPE	1
PART 1 – PROCEDURAL	1
1 RESPONSIBILITIES	1
2 PROCESS	2
3 SHES AUDITING / INSPECTION PROCEDURES	2
4 INSPECTION CHECKLISTS	3
5 FORMS AND RECORDS	4
PART 2 – DEFINITIONS AND DOCUMENT HISTORY	4
6 DEFINITIONS	4
7 AMENDMENTS RECORD	4
PART 3 – GUIDANCE NOTES AND APPENDICES	5
APPENDIX A - PROJECT SHES AUDIT PLAN	5
APPENDIX B –UK CONSTRUCTION ACTIVITIES SHES AUDIT PROCESS FLOWCHART	7
APPENDIX C –UK CONSTRUCTION SHES AUDIT/INSPECTION ACTION REPORT	9
APPENDIX D - SHES AUDIT FINDING STATEMENT	11
APPENDIX E - NON CONFORMANCE REPORT (FINDINGS) CATEGORISATIONS TABLE.....	12

PURPOSE AND SCOPE

This document defines the, Safety, Health and Environmental (SHE) auditing requirements to be undertaken by UK Construction (electrical) post sanction.

National Grid cannot assume that it has no responsibilities for compliance with legislation and standards simply because work has been contracted out. National Grid has an on-going responsibility for the SHE performance of its contractors. It is therefore essential that UK Construction (electrical) for all of its contracts takes steps to ensure Quality Assurance and Compliance monitoring. This will ensure that contractors comply with the (SHES) requirements of the contract.

PART 1 – PROCEDURAL

1 RESPONSIBILITIES

The key responsibilities associated with this procedure are summarised as follows;

1.1 Project Manager (PM)

Is responsible for the monitoring of SHES aspects of UK Construction (electrical) projects in accordance with legislation, codes of practice and company policy and procedures. For initiating the inspections / audits and is responsible for ensuring that SHES inspections/audits are planned, carried out, reported and any actions as a result of these are completed.

The PM is responsible for ensuring that a Project SHES Audit Framework Agreement (SHEAFA) Auditor is nominated for completion of SHES audits via the SHEAFA Co-ordinator in Core Construction.

1.2 The Project Engineer (PE)

Supports the Project Manager in discharging his or her responsibilities.

1.3 Site Engineer (SE)

Facilitates the audits and undertakes inspections on site.

1.4 Project SHES Audit Framework Agreement (SHEAFA) Auditor

Agrees the Project specific SHE Audit Plan with the PM. Undertakes the audits and produces the documentation as per this procedure. The Auditor may expedite and report on progress on actions and non-conformances at the request of the PM. This is additional to the SHEAFA agreed scope.

2 PROCESS

This procedure applies to all UK Construction (electrical) Project Managers and Site Engineers (Direct or Indirect), with responsibility for the management and monitoring compliance of construction projects. It specifies the requirements for monitoring compliance by the inspection and auditing of SHES activities associated with projects.

2.1 Inspection (SE)

SHES inspection is an important tool for identifying hazards, unsafe acts and conditions. Actions can then be taken to eliminate or reduce the risk of an incident before it occurs. To be effective, it is important that inspections are conducted in a systematic and thorough manner.

2.2 Auditing (SHEAFA Auditor)

Auditing identifies deficiencies in the Management system and the findings must be properly recorded and appropriate attention given to the problems and hazards identified. Audits will be undertaken by the SHES Audit Framework Agreement (SHEAFA) Auditor.

3 SHES AUDITING / INSPECTION PROCEDURES

To ensure sensible monitoring, all UK Construction (electrical) projects shall be subject to a programme of SHES Audits, this is to ensure the ongoing adherence to National Grid's SHES Policies within the Construction Process.

During the construction phase of a contract, inspections will be undertaken by the SE on an ad-hoc basis and some on a routine basis. The actual frequency of routine inspections must be agreed with the PM in conjunction with PC and will be dependent on the size, nature, duration and complexity of the Project.

The frequency of Audits must be continually reviewed and adjusted by the PM, in conjunction with the PC and the SHEAFA Auditor, taking into account the SHES performance and compliance of the project. **The issued programme will be incorporated in the Construction phase work pack.**

Every Construction Project will have an Audit Plan, which may extend back to the pre-tender stage. The Audit Plan must cover all or sufficient aspects of relevant work activities and CDM delegated rolls and responsibilities, to give the Project Manager a high degree of confidence in the Principal Contractor's project specific SHE management. An example of the Audit Plan is shown in Appendix A.

Delivery of this Audit Plan **will** be facilitated by the use of the SHEAFA Auditor.

A copy of the completed Audit report and Audit Finding Statements should be filed in Live Link with a Hard copy being readily available in the Project SHE File for the duration of the construction works.

In all instances a summary Audit Action report, a sample is shown in Appendix 'C', must be left on site with the UK Construction Site Engineer/Project Supervisor. The Site Engineer is responsible for forwarding copies of the report to both the Project Manager and the PC. A full report will be completed within 5 days and entered into Live Link.

3.1 Inspections

The SHE Inspections will normally be carried out jointly by the SE and PC. The following is a list of Checklists, which can be used in addition to the routine site inspection. These checklists shall be utilised at the discretion of the SE, based on risk or need to target specific work activities being undertaken throughout the life of the Project. The SE may also choose to use the audit forms or elements of them to facilitate his inspections.

4 INSPECTION CHECKLISTS

4.1 Audits

4.1.1 Site Establishment Audits

The Site Establishment audit will be carried out prior to commencement of construction works on site. There is no further requirement to undertake this audit unless the PM deems it appropriate later in the project.

a) Project Audits

SHES Project Audits must be carried out throughout the lifetime of the Project. These may be carried out at the discretion of the PM using audit forms as per Appendix A.

b) Life of Project Construction Audits

'Life of Project' audits must be carried out at least once during the life of the Construction Project. It does not have to be carried out on a routine basis.

4.2 Audit findings are recorded on the Finding Statements, reported by the Auditor and categorised as per Appendix 'D'.

4.3 SHEAFA

The process is illustrated in Appendix 'B'.

The PM must initiate a SHES audit programme by utilisation of the SHEAFA. This will be done by contacting the SHEAFA Co-ordinator in Construction Services. The SHEAFA Co-ordinator will then advise the PM of which SHEAFA Auditor has been allocated to his project and will advise the SHEAFA Auditor shortly after.

The PM must not directly allocate new sites to the SHEAFA Auditor. Any new or amendments of existing site allocations may only be made by the Construction Services SHEAFA Co-ordinator.

The SHEAFA Auditor will then contact the Project Manager to discuss site specific SHES Audit Plan.

Once this is complete, by agreement the PM or SHEAFA Auditor will make specific date arrangements with the SE.

The findings of all SHE audits and inspections shall be detailed in Finding Statements (An example of which can be found attached Appendix C), which is issued at the time of the Audit to the SE, to manage the completion of corrective actions.

The Finding Statements should be kept readily available at the Site offices for the duration of the construction and commissioning works, as part of the Project SHES File.

The PM will progress any actions with the Principal Contractor ensure compliance with the Audit findings and ensure that project reporting is entered into Live Link.
Consolidated reports will be produced by the SHEAFA Coordinator for management reporting by Construction Services.

5 FORMS AND RECORDS

- NGUK/Con/BP 136E.01 Project Audit Plan (Appendix A).
- NGUK/Con/BP 136E.02 National Grid – UK Construction SHE Audit / Inspection Action Report (Appendix C).
- NGUK/Con/BP 136E.03 SHE Audit Finding Statement (Appendix D).

PART 2 – DEFINITIONS AND DOCUMENT HISTORY

6 DEFINITIONS

6.1 Inspection

This is an observation and review of an area or activity of a project, checking working practises. Normally carries it out by the **Site Engineer**.

6.2 Audit

This is a management function, which subjects areas of the Project activities to a systematic, critical examination with the object of minimising loss. It should consist of adequate realistic objectives, recourses and commitment to implement the necessary remedial actions. Normally carries it out by a **SHEAFA Auditor**.

7 AMENDMENTS RECORD

Issue	Date	Summary of Changes / Reasons	Author(s)	Approved By (Inc. Job Title)
1	September 2003	NSBP 136 - Initial Issue Management of Health, Safety & Environment	Martyn Hanlon Construction	Keith Harker Construction Services Manager
2	February 2005	NSBP 136 - Title change, NSBP136, NSBP005 and NSBP008 combined to cover electric and gas projects, Incident Reporting removed and updated	Paul Willats / Steve Yeoman Martyn Hanlon	Keith Harker Construction Services Manager
3	June 2005	NSBP 136 - Final re-edit of document. Minor revisions	Paul Willats / Steve Yeoman Martyn Hanlon	Keith Harker Construction Services Manager
1	June 2006	NSBP 136E - Revised to make electrical only and to take account of the SHEAFA.	Bob Wood UK Construction	Dean Corbett Construction Services Manager
2	August 2006	Minor changes	Bob Wood UK Construction	Dean Corbett Construction Services Manager
3	November 2007	Updated for new business units	Keith Sampson Core Construction	Keith Harker Technical Assurance Manager