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AUDITING BY CONSTRUCTION TECHNICAL ASSURANCE

PURPOSE AND SCOPE

To define the Construction Technical Assurance (CTA) arrangements for ensuring the Construction Delivery Units (CDU) compliance with safety and environmental legislation, National Grid Technical Specifications and Policy & Procedures for all Investments (Projects) comprising the Capital Plan.

To monitor the quality of installation and ensure that the highest standards are applied across all CDUs.

To demonstrate due process is observed by CTA and that the Safety by Design philosophy is enacted and promulgated throughout the Project life cycle.

PART 1 - PROCEDURAL

1 ROLES & RESPONSIBILITIES

Roles and responsibilities identified within this procedure are defined as follows.

1.1 Construction Technical Assurance Manager (TAM)

The TAM is responsible for ensuring that each CDU conducts a thorough Audit regime on behalf of CTA and that each CDU is delivering National Grids Capital Construction Programme with due regard to current legislation and to an acceptable standard of quality. A sensible monitoring audit programme will be put in place by the TAM to verify that the CDU's are discharging their duties and operating in a consistent manner.

The TAM will instigate the programme of self governance audits on CTA, the scope of which will be selected from the CTA suite of documents.

The TAM will be responsible for accepting the audit findings and for ensuring the quality of the audit reports produced by CTA Auditors.

The TAM will Monitor all report recommendations, ensure relevant issues identified are adequately dealt with and that governance arrangements for the audit are appropriate.

The TAM will ensure that all Non Conformances identified by the audit are entered onto the audit plan held and maintained by CTA Business Systems and will review closure progress at the Technical Assurance Managers Meeting (TAMM).

1.2 Construction Technical Assurance Auditor (CTAA)

Construction Technical Assurance Auditors will be appointed to the role by either undergoing a structured training course or by virtue of internal assessments used to establish technical competencies for discharging particular functions e.g. Relay Settings Engineer. The CTAA appointments will be recorded on a register held & maintained by CTA Business Systems.

The CTAA is responsible for undertaking sensible monitoring audits identified by the programme approved by the TAM.

The CTAA is responsible for ensuring that any non conformances identified are recorded in the audit plan and for monitoring progress & ensuring close out of the non conformances.

1.3 Alliance SHESQ Manager

Each Alliance's SHESQ Manager will be responsible for conducting a thorough Audit regime on behalf of Construction Technical Assurance throughout the asset investment process (Design, Installation & Commissioning). They will also be responsible for providing access to information required by the CTAA to enable them to discharge their responsibility for sensible monitoring.

2 PROCEDURE

Flow of information by parties required to audit Project delivery – see Figure 1.

Ahead of each construction year the TAM will nominate a lead CTAA to formulate a Sensible Monitoring programme for the coming year. The CTAA after agreeing the programme with the TAM will upload the CTA programme plan onto Live Link.

CTA can be requested to undertake *ad hoc* audits by senior management and these may replace scheduled audits within the CTA Plan. CTA reserve the right to amend that audit plan based on changes to the Construction Workbook.

The programme will identify the CTA/CDU documentation to be audited against and each CDU to be visited along with the month of the proposed audit. A CTAA will be allocated for each audit to be undertaken.

The CTAA will prepare an audit check sheet using the model held in the audit check sheet folder of Live Link and modify it to incorporate any previous audit findings still to be actioned or any changes deemed appropriate. If no check sheet is available then the CTAA must prepare one based on the procedure to be audited and publish this on Livelink for future use.

The CTAA identified for each audit will contact appropriate CDU Manager(s) and agree the scope, contacts and date for the audit.

Each CTAA will be responsible for compiling the audit report using the current front sheet version held on Live Link and including the unique audit number from the audit plan.

The Draft Audit Report will be sent to the appropriate auditee's Manager for comment and agreement of any action time scales within 10 working days of completion of the audit. 5 working days will then be allowed for agreement and changes

The Final Audit Report will then be loaded onto the Audit Report section on Live Link and notifications sent to the CDUs nominated Single Point of Contact (SPOC) for onward notification and to the .Box.CTAG.Audit account

The nominated SPOC within each CDU responsible for monitoring and progressing agreed actions will ensure that the audit plan is kept up to date as they are closed out.

CTA will compile a monthly KPI report of audit plan status and overdue actions for submission to senior Management Teams as required.