

## **Model Audit Programme for the 3<sup>rd</sup> Edition Wind Turbine Safety Rules (WTSR)**

The following criteria can be used in the development of “in house” audit programmes. It is recommended that Company ‘A’ produce a detailed audit protocol covering each of the areas highlighted below.

### **1. Implementation**

- 1.1 A process which demonstrates how Company ‘A’ implement the 3<sup>rd</sup> Edition WTSR, (e.g. a local interpretation of every instance where the term “Management Instructions” is used in the WTSR)
- 1.2 A process which demonstrates compliance with 3<sup>rd</sup> Edition WTSR Support Procedures P1 to P6
- 1.3 Defined “System” boundaries
- 1.4 Procedures which demonstrate that “cross boundary” situations will be adequately managed
- 1.5 A process which demonstrates that Persons are made aware of Management Instructions and Procedures

### **2. Approvals**

- 2.1 A process which demonstrates the formal “Approval” of procedures
- 2.2 A register of “Approved” tools; equipment and processes
- 2.3 Demonstration that formal “Approval” of Tools, Equipment, Processes, Management Instructions, Procedures and other support documentation is undertaken by a person with suitable authority within Company ‘A’

### **3. Administration**

- 3.1 A process to ensure that Company ‘A’ 3<sup>rd</sup> Edition WTSRs are available for reference to all relevant stakeholders
- 3.2 A process to ensure that Company ‘A’ Management Instructions, Support Procedures, Special Instructions etc. are available for reference to all relevant stakeholders
- 3.3 A process to notify key persons of updates, revisions and changes to WTSRs, Support Procedures, Guidance, Management Instructions and other associated documentation
- 3.4 A process to demonstrate that regular review / update of document systems takes place, (including Approved Written Procedures and Routine Operating Procedures)
- 3.5 Retention of Approved Written Procedures

### **4. Work Not Covered By The 3<sup>rd</sup> Edition WTSRs**

- 4.1 A process which demonstrates that a “Safe System of Work”, to an equivalent standard, is being established for work / testing on Plant and / or LV Apparatus excluded from the defined 3<sup>rd</sup> Edition WTSRs System

- 4.2 A process which demonstrates that a “Safe System of Work”, to an equivalent standard, is being established for work / testing on Plant and / or Apparatus outside of the defined 3<sup>rd</sup> Edition WTSRs System (e.g. Approved HV Safety Rules)
  
5. Monitoring and Review
  - 5.1 A process to demonstrate that local monitoring, (e.g. audit), is taking place
  - 5.2 A process to demonstrate that reviews of any findings from audit are taking place and measures to implement any recommendations / actions arising from audits are progressed and closed out
  - 5.3 A robust system for document control and review
  
6. Training and Assessment
  - 6.1 A process which demonstrates that the training requirements under 3<sup>rd</sup> Edition WTSR Support Procedure P6 are being achieved
  - 6.2 Specialist training requirements (e.g. work on Live LV Apparatus)
  - 6.3 A process for the recording of training and any competency assessment
  - 6.4 A process for refresher training
  - 6.5 A process for reviewing the continuing competence of Persons appointed under the 3<sup>rd</sup> Edition WTSR
  
7. Nomination and Appointment
  - 7.1 Lists of all Persons appointed under the 3<sup>rd</sup> Edition WTSR, (in accordance with 3<sup>rd</sup> Edition WTSR Procedure P6)
  - 7.2 Certificates of authorisation, (e.g. Authorising Engineers and Authorised Technicians) and nomination, (e.g. Competent Technician, Operational Controllers and Selected Persons)
  - 7.3 Records of competency assessment, (e.g. Confirmation Of Technical Competency certificate)
  
8. Details of Local Application
  - 8.1 A process to confirm that a proper assessment of work / testing is made to ensure that the 3<sup>rd</sup> Edition WTSRs are correctly implemented, (e.g. a work planning / work management system)
  - 8.2 Availability of Approved Written Procedures
  - 8.3 Availability of Routine Operating Procedures
  - 8.4 A process to demonstrate formal Approval of Approved Written Procedures by an Authorising Engineer
  - 8.5 A process to demonstrate that an Authorising Engineer and Company ‘A’ have agreed to routine operational work / testing under a Routine Operating Procedure

- 8.6 Availability of Service Manual / Handbook, Work Instructions, Work Procedures, Method Statements and Risk Assessments to support Approved Written Procedures and Routine Operating Procedures
- 8.7 Pro-formas in use for Approved Written Procedures and Selected Persons Reports
- 8.8 Pro-formas in use for Routine Operating Procedures
- 8.9 Availability of GP3 Procedures for loss of Approved Written Procedures; loss of keys; absence of Persons
- 8.10 Guidance on Excavations and Confined Spaces

## 9. Physical Conditions – General

- 9.1 Procedures established for “Transfer of Control”
- 9.2 Procedures established for “consent”, (for work / testing under Routine Operating Procedures)
- 9.3 Procedures for “establishing and maintaining” General Safety
- 9.4 Procedures for implementing additional precautions stated on a Selected Person’s Report
- 9.5 Availability of associated documentation, (e.g. Service Manual / Handbook, Work Instructions, Work Procedures, Method Statements; Risk Assessments; COSHH Assessments), to the Authorised Technician / Competent Technician as appropriate
- 9.6 Transfer procedures for Approved Written Procedures

## 10. Physical Conditions – Active Approved Written Procedure

- 10.1 Authorised Technician has a copy of the Approved Written Procedure
- 10.2 Formal “Approval” of the Approved Written Procedure
- 10.3 Approved Written Procedure unique identification
- 10.4 Identification of Plant / LV Apparatus stated on the Approved Written Procedure
- 10.5 Description of the work / testing
- 10.6 Associated reference documents quoted on the Approved Written Procedure
- 10.7 Quality of the Approved Written Procedure
- 10.8 Transfer of Control (Release & Return)
- 10.9 Completion of “Signature Checkpoints”
- 10.10 Quality of the isolation
- 10.11 Restoration of motive power
- 10.12 Selected Person’s Report
- 10.13 Establishment and maintenance of General Safety
- 10.14 Demarcation of the work area
- 10.15 Completion of the Transfer Record

11. Physical Conditions – Work in progress without an Approved Written Procedure
  - 11.1 Work within the defined WTSR System, (Plant / LV Apparatus excluded from WTSR System)
  - 11.2 Work within the defined WTSR System under Routine Operating Procedures, (including “consent”)
  - 11.3 Routine Operating Procedure agreed by Authorising Engineer and Company ‘A’
  - 11.4 Routine Operating Procedure achieves a “safe system of work”
  - 11.5 Work outside of the defined WTSR System, (Approved HV Safety Rules)
  
12. Physical Conditions – Cancelled Approved Written Procedure
  - 12.1 Formal “Approval” of the Approved Written Procedure
  - 12.2 Approved Written Procedure unique identification
  - 12.3 Identification of Plant / LV Apparatus stated on the Approved Written Procedure
  - 12.4 Description of the work / testing
  - 12.5 Associated reference documents quoted on the Approved Written Procedure
  - 12.6 Quality of the Approved Written Procedure
  - 12.7 Transfer of Control (Release & Return)
  - 12.8 Completion of “Signature Checkpoints”
  - 12.9 Restoration of motive power
  - 12.10 Selected Person’s Report
  - 12.11 Completion of the Transfer Record
  - 12.12 Clearance and Cancellation