

The Tata Power Company Ltd		<i>Document Title</i> Safety Audit Procedure
Document No. TPSMS/GSP/AUDT/012 REV 02		<i>Date of Issue: 01/04/2021</i>



Safety Audit Procedure

Rev No.	Reason for Revision	Prepared By	Checked By	Approval by
Rev No. 00	First release	Corp Rules & Procedures -committee	D R Kamath	Vijay Chourey
Rev No. 01	Standardization of procedure	Navendra Singh (Group Head – P & CB; Corp Safety.)	Rajesh Sharma (Head – Corp Safety Operation)	Vijay Chourey (Chief – Corp Safety)
Rev 02	Periodic revision	Navendra Singh Head- Safety (T&D) Corp safety	Rajesh Sharma Head- Safety (Generation) Corp safety	Suresh Khetwani Chief - Corporate Safety & Environment

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1. OBJECTIVE:

Objective of this procedure is provide guidelines for conducting internal and external safety audit and finding scope of further improvement and guidance on continual improvement of Safety Management System.

2. SCOPE:

This procedure applies to all operating plants and project sites of Tata Power Group companies including JVs/Subsidiaries.

3. EXPECTED RESULTS:

3.1. Verification of level of compliance on implementation of Tata Power Safety Management System.

4. ACCOUNTABILITY & RESPONSIBILITY:

4.1. ACCOUNTABILITY: Concerned Division's Heads/Assets Custodian.

4.2. RESPONSIBILITY: Respective Core team members / HODs (Unless otherwise specified).

5. GLOSSARY/ DEFINITIONS:

Audit: Systematic, independent & documented process for obtaining 'audit evidence' & evaluating it objectively to determine the extent to which 'audit criteria' is fulfilled.

Classification of Audits:

- First Party Audit (Internal Audit): Audit by an organization on itself for their own purpose

-Third Party Audit (External Audit): Audit by an independent organization typically for certification

Controls: Methods used to manage safety risks. Controls can be Elimination, Substitution, Isolation/ separation, Engineering controls, signage/warnings, administrative controls and /or PPE.

Job: A piece of physical work defined by time or other limits and that has a clear start and end point

Non Routine Job / Task: Where an SOP / SMP is not available or the conditions of the SOP / SMP have changed

Shall: Mandatory requirement

Should: Optional requirement

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Statutory requirements: Laws, regulations applicable at the location of plant /work.

6. PROCEDURES:

6.1. Internal Audit:

6.1.1. Internal Audit shall be carried out by trained Internal auditors in all divisions

6.1.2. Internal audit shall be done as per Term of reference(TOR) which will based upon either THSMS 13 elements or ISO 45001 or any other system requirements as the case may be.

6.1.3. The Safety audit procedure addresses:

6.1.3.1. Responsibilities, competencies & requirements for planning & conducting audits, reporting results & retaining associated records.

6.1.3.2. Audit criteria, scope, frequency & methods.

6.1.4. Audit programmes are based on

6.1.4.1. Results of risk assessments.

6.1.4.2. Results of previous audits.

6.1.5. Selection of auditors & conduct of audits shall ensure objectively & the Impartiality of the audit process.

6.1.6. Methodology: Audit shall be conducted by adopting following methodology

6.1.7. Site observations:

- i. Interviews with concerned site heads
- ii. Review of related documents (standards,procedures,design codes,operations & maintenance procedures ,records)

6.1.8. Working documents

- i. Check lists
- ii. Forms
- iii. Standard
- iv. Guidelines

6.1.9. Scope

- i. Locations
- ii. Organizational units
- iii. Activities & processes covered.

6.2. Scale of Implementation of Safety procedures:

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6.2.1. For Measuring Implementation of Safety Procedures Annexure - 1

(TPSMS/GSP/AUDT/012/FORM-01) shall be used.

6.2.2. For Scoring criteria , refer Annexure – 1 (TPSMS/GSP/AUDT/012/FORM-01)

6.3. Recording of Internal Audit findings: Safety Audit Report format (TPSMS/GSP/AUDT/012/FORM02) as per Annexure – 2 should be used for recording safety Audit findings.

6.4. External Audit:

6.4.1. Conducting the opening meeting

6.4.2. Communication during the audit

6.4.3. Collecting & verifying information

6.4.4. Preparing audit conclusions

6.4.5. Conducting the closing meeting

6.4.6. Submission of Audit report

6.5. Frequency of Audit

Party	Frequency	Auditor
First (Internal)	Minimum once a year or as per schedule released by Corp. Safety/Internal Audit dept.	Safety Officers
Third (External)	As per applicable legal requirements	Safety officers/Competent authority under Factories Act -1948

7. Records:

7.1. All audit record shall be maintained as per respective Legal requirements.

7.2. TPSMS/GSP/AUDT/012/FORM-01 – Retention period three (03) years

7.3. TPSMS/GSP/AUDT/012/FORM-02 – Retention period three (03) years

8. Training & Communication:

8.1. Training of Safety Communication shall be included and covered in Safety Training Calendar as per Safety Training needs.

8.2. Initial Communication to be done through Corporate Communication, Email and subsequently shall be made available at safety portal at Sangam.

9. VERIFICATION

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9.1. Verification of implementation shall be done during Safety audit, field safety visit and site inspections.

10.Exceptions: Any Exception to this procedure shall only be done as per Document Control Procedure (TPSMS/GSP/DC/014).

11. REFERENCES :

SN	APPLICABLE ACTS / LEGISLATIONS / RULES
1	Indian Factories Act 1948 & Maharashtra State Factory rules 1963 and Control of Industrial Major Accident Hazard Rules 2003
2	The Indian Explosive Act 1884 - Explosive Act 1884 / Explosive rules 1983 - The Static and Mobile pressure vessel Rules (unfired) rules, 1981. - The Gas cylinder rules 1981, amendments 2004.
3	The Indian Electricity Act 1910. The Indian Electricity Act (Amendment) 2003, 2004 amendment 2007/ The Indian Electricity Rules, 1956, amendments 2005.
4	The Indian Boiler Act 1923. The Indian Boiler Regulations 1950.
5	The Petroleum Act 1934. The Petroleum Act, 1934 (As Amended Till 1997)/ the Petroleum Rules, 1976 (As Amended till 2002). Gas Cylinders Rules (as amended till 2010)
6	The Environmental (Protection) Act 1986. Amended 1991 - Environmental Protection Rules 1986, Amendments 2008 (DG Sets), - The Manufacture, Storage And Import of Hazardous Chemicals Rules, 1989, Amended 2000. - The Hazardous Wastes (Management & Handling and transboundary movement) Rules 2008, 2009 notification. - Chemical accidents (Emergency planning, preparedness and response) rules 1996. - Noise Pollution (Regulation & Control) Rules, 2000, Amended 2002, amendment 2006. - Bio-Medical Waste (Management And Handling) Rules, 1998, 2003

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7	The Public Liability Insurance Act 1991, Amended 1992/ Rules 1991, Amended 1993. ▪ Notification – Hazardous substances to which PLI is applicable (24/03/1992)		
8	IS 14489 :Code of Practice on Occupational Health & Safety Audit		

12. REVIEW:

12.1. Review of this procedure shall be done as and when but not later than once in every three (03) years. Typical Factors like Changes in legislation, Review of Incident Reports, Inspection & Audit findings, Feedback from users, Recommendations in Incident investigation reports may be inputs for the review and revision of the procedure.

12.2. In case release of revised procedure gets delay due to obtaining feedback or any other reasons, safety advisory may be issued immediately to take precautions for the proposed changes in the procedure and revised procedure should be released subsequently.

13. ATTACHMENTS/APPENDIX :

Annexure – 1: Format for measuring Implementation of Safety Procedures

(TPSMS/GSP/AUDT/012/FORM01)

Annexure – 2: Safety Audit Report

(TPSMS/GSP/AUDT/012/FORM02)

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TPSMS/GSP/AUDT/012/FORM-01

Annexure – 1

Format for Measuring Implementation of Safety Procedures

Name of Safety Procedure: _____

Name of Division: _____

Nos of locations/Jobs visited: _____

Details of Team: _____

Sl. No	Parameter (To be filled as per requirements of respective Safety Procedure)	Score level (implementation of parameter)	Remarks/ reason if parameter is not implemented
1.			
2.			
3.			
4.			
5.			

Scoring Criteria

Score level	Assessment criteria
1	Expectation never met. (0% Compliance)
2	Expectation SELDOM met. There are major non-conformances. Action plan does not exist. (25% Compliance)
3	Expectation SOMETIMES met. There are few major non-conformances. Action plan exist. No action taken. (50% Compliance)
4	Expectation USUALLY met. There are few minor non-conformances. Action plan for non-conformances exists. (75% Compliance)
5	Expectation ALWAYS met. Few minor non-conformances exist. Appropriate action is taken. (100% Compliance)

Name & Signature of team member:

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TPSMS/GSP/AUDT/012/FORM-02

Annexure – 2

Safety Audit Report

Division		Date	
Location / Site		Period	
Team members			

SN	Evidence (Photograph / document etc.)	Observations	Recommendations	Action by	Target Date	Severity	Remarks / SMS Reference
1.							
2.							
3.							
4.							
5.							

**cc: Divisional Head
Corporate OHS**