

Chapter 30 – Assurance Checklist

Amendment record

This Annex has been reviewed by Directorate of Defence Safety and Support (DDSS) together with relevant subject matter experts and key safety stakeholders. Any suggestions for amendments to this chapter should in the first instance be directed to the Defence organisation's [Safety Centre/Team Group Mailbox](#) and with their approval, sent to DDSS at: People-DDS-GroupMailbox@mod.gov.uk.

Version No	Date of publication	Text Affected	Authority
1.0	29 Jun 26	New Annex to assist in this Chapter assurance	DDSS

Unit / Establishment / Site / Platform Name	Accountable Person	
Date	Assessor	
Policy Expectation	Observation	Action Plan
Policy Statement 1 (Accountable Person)		
1. Are Permit to Work (PTW) procedures in place where necessary for all applicable high-risk areas under the accountable person's responsibility?		
2. Is there evidence that all areas requiring a PTW have clear and unambiguous signage identifying hazards and access restrictions?		
3. Is the PTW system adequately resourced and supervised, including controls on concurrent live permits where required?		

4. Is there evidence that the PTW system is subject to monitoring (spot checks), periodic audit, and management review at least every three years?			
5. Are Sanctioning Officers formally appointed for PTW activities?			
6. Is there evidence that appointed Sanctioning Officers are competent, with sufficient knowledge and experience of the tasks and associated risks?			
7. Are Sanctioning Officers formally appointed in writing (e.g. letter of authority or Terms of Reference defining scope of authority)?			
8. Is there a system in place to ensure clear and unambiguous control over PTW authorisation at all times?			
9. Are record-retention arrangements defined and communicated, including retention at point of control and archiving requirements?			
Overall	Rating	Observations	Action Plan
Policy Statement 1 Overall Rating	Choose...		
Policy Statement 2 (Sanctioning Officer)	Observation	Action Plan	
1. Are Sanctioning Officers demonstrably competent, formally authorised, and exercising appropriate authority to issue, refuse, withdraw and close Permits to Work?			

<p>2. Before issuing a PTW, is there evidence that:</p> <ul style="list-style-type: none"> - risk assessments and Safe Systems of Work are reviewed and adequate; and - interacting activities or permits are identified, coordinated and effectively de-conflicted? 		
<p>3. Are PTWs formally authorised, recorded on a PTW register, and only valid when signed by the Sanctioning Officer, including appropriate sign-off on completion or cessation of work?</p>		
<p>4. Is there evidence that PTW activities are monitored throughout their lifecycle, including site checks, compliance with permit conditions, and inspection of work areas when tasks are incomplete, cancelled, or suspended?</p>		
<p>5. Are arrangements in place to ensure safe management of PTWs, including:</p> <ul style="list-style-type: none"> - issue and control of original permits and copies; - prohibition of role conflict (Sanctioning Officer not acting as PiC); - management of suspended or stopped work (including reissue of permits before restart); and - consideration of higher-risk or vulnerable personnel? 		

6. Are PTWs effectively coordinated and controlled where multiple activities exist, including display of permits, management of shared isolations, use of cross-referencing, and formal handover arrangements?		
7. Do PTW systems (paper or electronic) include all required controls and safeguards, including essential permit content, auditability, and system integrity (for example authentication, change control, and fallback arrangements)?		
Overall	Rating	Observations
Policy Statement 2 Overall Rating	Choose...	
		Action Plan

Policy Statement 3 (Commander or Manager)	Observation	Action Plan
1. Are all tasks requiring a PTW supported by a suitable and sufficient risk assessment completed by a competent person?		
2. Are Safe Systems of Work or method statements developed for all PTW tasks?		
3. Are interacting or simultaneous activities considered and managed during planning and risk assessment?		
4. Is a named Person in Charge (PiC) identified for every PTW task?		
5. Do risk assessments or Safe Systems of Work include arrangements for making plant, equipment and the area safe on completion?		

6. Is PTW integrated into planning processes, including ensuring risks are reduced to ALARP before work proceeds?		
7. Are simultaneous operations planned and coordinated to ensure safe execution?		
8. Are all personnel and contractors involved in PTW activities competent, trained and briefed appropriately?		
9. Is there evidence that personnel understand the PTW, safety signage and instructions (including where language barriers exist)?		
Overall	Rating	Observations
Policy Statement 3 Overall Rating	Choose...	
Policy Statement 4 (Person in Charge)	Observation	Action Plan
1. Is the PTW issued to a competent Person in Charge (PiC) who understands, accepts, and is responsible for complying with all permit conditions?		
2. Is there evidence that the PiC: <ul style="list-style-type: none"> - briefs all personnel on hazards, controls and requirements; and - ensures instructions, communications and safety information are understood by all involved? 		

<p>3. Does the PiC provide effective supervision of the task, including:</p> <ul style="list-style-type: none"> - remaining present at the work location; - maintaining control of the activity; and - ensuring only the authorised task is undertaken? 			
<p>4. Are arrangements in place to ensure work is stopped and made safe where:</p> <ul style="list-style-type: none"> - the PiC leaves the task; - permit conditions cannot be met; or - unsafe situations arise? 			
<p>5. Is there evidence that all required control measures, safety equipment, and emergency arrangements are in place and maintained throughout the task?</p>			
<p>6. Are PTWs effectively controlled at the worksite, including being displayed, communicated, and updated for changes, suspensions and handovers?</p>			
<p>7. Where work is incomplete, stopped or cancelled, is the area made safe, the Sanctioning Officer informed, and a new PTW raised before recommencing?</p>			
<p>8. Is there evidence that PTWs are only formally closed when the PiC confirms that plant/equipment is safe and all personnel, tools and controls are accounted for?</p>			
<p>Overall</p>	<p>Rating</p>	<p>Observations</p>	<p>Action Plan</p>
<p>Policy Statement 4 Overall Rating</p>	<p>Choose...</p>		

Policy Statement 5 (All Personnel)	Observation		Action Plan
1. Do personnel comply with all information contained within the PTW, risk assessments and Safe Systems of Work?			
2. Do personnel follow all instructions and briefings provided by the PiC and relevant documentation?			
3. Are personnel appropriately trained and competent for PTW activities they are involved in?			
4. Are agreed communication methods used effectively during PTW activities?			
5. Do personnel report defects or failures in control measures when identified?			
6. Do personnel stop work (when safe to do so) and seek guidance if PTW conditions cannot be met or change?			
7. Is there evidence that personnel complete required PTW training and comply with all briefings and controls?			
Overall	Rating	Observations	Action Plan
Policy Statement 5 Overall Rating	Choose...		

	Rating	Observations	Action Plan
Overall Rating	Choose...		