NTPC	LMI	LARA
TITLE	SYSTEM FOR ACTION ON INVESTIGATION REPORTS	
REF. NO.	LMI 01-R0/TS/OD/GEN/003	

LARA SUPER THERMAL POWER PROJECT
LOCATION MANAGEMENT INSTRUCTION

LMI 01-R0/TS/OD/GEN/003

System for Action on Investigation Reports

All locations are required to comply with this Directive

Approved for Implementation by ....SANJAY MADAN
HOP(LARA)

Date:.......15/7/18.......

Enquiries to : HOD(TS)

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1	TITLE OF LMI	**System for Action on Investigation Reports**
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CONTENTS

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SYSTEM FOR ACTION ON INVESTIGATION REPORTS

1.0 PURPOSE

This LMI describes the procedure to be followed for examination/analysis of Investigation Reports and recommendations made therein on operation & maintenance related aspect of Power Stations for taking preventive and corrective action. This LMI will be applicable to all reports of investigations whether Internal or taken up by External Agencies, the reports of which are received in NTPC Lara station.

2.0 SCOPE

The procedure described below is intended to ensure that investigation Reports are circulated in a controlled manner and that the authority empowered to order implementation of the recommendations is clearly identified. Nothing in this LMI precludes the Head of the Power Station to act upon in cases where there may be immediate risk to Personnel, Plant or equipment, on any instruction received from Top Management or Statutory Authority or in case of Plant emergencies; the Head of Power Station considers it necessary to take action.

3.0 SUPERSEDED DOCUMENTS

Nil

4.0 REFERENCES

Operation Directive: COS-ISO-00-OD/GEN/003, **Rev. No.:2 Nov 2005**

5.0 PROCESS

5.1 Definitions

5.1.1 Internal Investigation

The investigations ordered by various authorities within NTPC (including NTPC Lara).

5.1.2 External Investigations

The investigations ordered by external agencies, the need of which may arise due to legal statutes or CEA or Ministry.

5.2 Receipt and distribution of investigation reports

Investigation Reports may be received by any of the following authorities depending upon the authorities who have ordered the investigation: -

1. CMD
2. Director (Operations)
3. ED(OS)
4. RED (WR II)
5. HOP(Lara)

The Inquiry Reports will, normally, be given to the Authority who have ordered the Investigation. The External Investigation Reports could also be received by any of the above authorities. The authority whosoever is receiving the Reports shall send the Report to the concerned authority for examination, comments and action plan with target dates and responsibilities as detailed herein under: -

5.3 Review and examination of the Reports

5.3.1 Reports received by HOP(Lara)

5.3.1.1 Internal Investigation Ordered by HOP(Lara): -

On receipt of the Investigation Report, the investigation of which has been ordered by HOP, the HOP will arrange to get the Report examined/analyzed by Technical Services Department (TSD) at NTPC-Lara for preparation of an Action Plan with target dates and responsibilities for implementation of the recommendations wherever considered necessary. The Technical Services Deptt. will take the help from concerned experts / departments as per requirement in finalization of the Action Plan. On submission of such proposal, the HOP shall approve the actions for implementation and issue instructions / LMI for its implementation, if required. A copy of the action plan will be given to the ORT coordinator through RED (WR-II) for follow up during the ORT meeting every month.

Wherever the Action Plan implementation involves any Plant Modification, such modification will be coordinated as per LMI 01-R0/MTP/OD/GEN/006 dated 11.01.2018 (or any subsequent revision of this document) and DOP as applicable. For implementation of actions which are within the approval Powers of Regional ED/Corporate Operation Services, a proposal will be sent to the concerned authorities for approval. TSD at Station shall be the coordinating agency responsible for obtaining approval of Competent Authorities.

Responsibility: HOD(TS)

5.3.1.2 External Investigations:

If Report is received in Power Station, HOP will send the Report to Head of Corp. OS who will coordinate its review and analysis. Copy of the report would also be sent to RED (WR-II) with one copy retained in the Power Station for Comments. HOP and RED (WR-II) would send their comments to Corp. OS who will coordinate further. Corp. OS would arrange to process further as per procedure detailed in Para 5.4.

A flow diagram showing the process for the review, examination, implementation and compliance of the action plan for such investigation reports is given in Annexure – I

5.3.2 Reports Received by RED (WR-II)

5.3.2.1 For investigations ordered by RED (WR-II)

Wherever any Report is received by RED (WR-II) for investigation ordered by him, the Report shall be analyzed by Operation Services at WR-II and an Action Plan with target dates and responsibilities for implementation of recommendations will be submitted for approval of RED (WR-II) wherever the action is within his powers. The action plan along with the report shall be sent to the station for implementation. A copy of the action plan will be given to the ORT coordinator for follow up during the ORT meeting every month. For actions on recommendations which are in the Powers of Head of Corp. (OS) / D (O) or it involves issue of any Operation Directive, Operation Guidance Note or Operation Information Notes, a proposal will be sent to Corporate Operation Services. Head (OS) at WR-II shall be responsible for obtaining such approval.

5.3.2.2 External Investigation

If the Report is received in the Region, RED (WR-II) will send the Report to Head of Corporate OS who will coordinate its review and analysis. RED (WR-II) would retain a copy of the report and send his comments also to Head of Corporate OS.

A flow diagram showing the process for the review, examination, implementation and compliance of the action plan for such investigation reports is given in Annexure - II

5.3.3 Reports Received by Director (Operation) / Head of Corporate OS

On receipt of Investigation Report either directly or through D (O), Head of Corporate OS shall send the Report to the concerned HOD for examination and review. Comments from RED (WR-II) and / or HOP(Lara) would also be obtained wherever required. The concerned HOD shall identify the recommendations which relate: -

i) Specifically, to a location or locations, or a particular type of plant or equipment

ii) Generic to any Plant or equipment or processes or system in Power Stations.

Concerned HOD shall prepare a brief summary of the Report (if not already available) and an Action Plan with target dates and responsibilities for implementation of the Report / recommendations. The HOD while preparing the brief and formulating the proposals for implementation shall consult all relevant specialist groups, in Corp. Operation Services / Engineering / NETRA. In some cases, extensive discussions, by joint working groups, may be required before the implementation proposals could be developed with adequate details. The brief may also take into account recommendations and action taken on similar issues raised in previous inquiries, if any. The commercial and financial aspects of implementing the recommendations must also be assessed and indicated in the brief. This brief along with Action Plan and the Report will be submitted to D(O) through Head of Corporate OS. The action plan along with the report shall be sent to the station for implementation of points within the purview of the station. A copy of the action plan will be given to the ORT coordinator through the RED (WR-II) for follow up during the ORT meeting every month.

Where the Report / Recommendations have universal application a Technical Compliance Document will be issued by Corporate OS. The category of the document i.e. Operation Directive, Operation Guidance Note or Operation Information Note will be determined in consultation with Head of Corporate OS. Formal approval of the document shall be obtained from Head of Corporate OS / D(O) as required.

5.3.4 Inquires ordered by External Agencies (outside NTPC – e.g. Ministry, CEA, State Government)

Reports of investigations conducted by any external agency should necessarily be sent to Corporate Operation Services who will be responsible for final action on such reports. Head of Corporate OS would arrange to review and analyse the Report after obtaining the comments from HOP, RED (WR-II), Engineering and other Departments as per requirement and brief of Report, Action Plan and the Report would be put up to CMD through D(O). Implementation of corrective and preventive action by the Station / Stations will be monitored by RED (Region) through the ORT Coordinator with periodic report to Head of COS and D(O). If any ODs / OGNs / OINs are to be issued, the same will be issued by defined authority.

A flow diagram showing the process for the review, examination, implementation and compliance of the action plan for such investigation reports is given in annexure - III

5.4 Implementation of Recommendations

The concerned agencies, viz., Power Station, Regional and Corp. Operation Services Department will be responsible to ensure that the accepted recommendations have been implemented. This will be verified during the course of annual Technical Audit.

If any where there is immediate risk to Plant, Personnel and equipment the HOP can take immediate action if it is considered necessary by him or based on any instruction from Statutory Authority / Top Management in this regard. The Head of Corporate OS on being informed of such criticality will also ensure that immediate action is taken by the Station. This may take place even before the final report is received / approved.

5.5 RECORDS

1. Report of Investigations
2. Action taken on Report

6.0 REVIEW

The Head of Technical Services will be responsible for reviewing this document on a 2-yearly basis or as necessary.

7.0 DISTRIBUTION LIST

Controlled copy

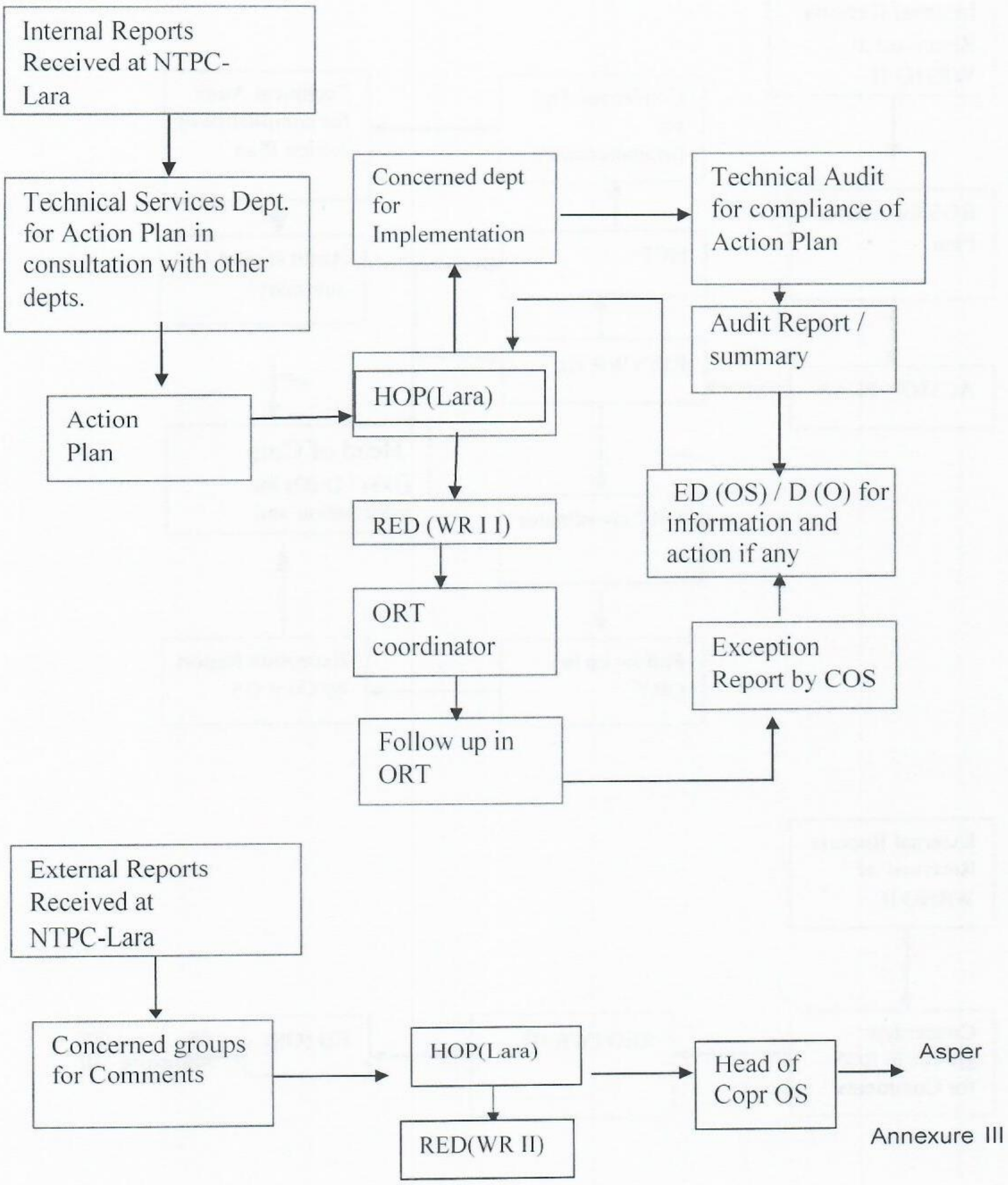
1. HOD(TS)
2. LARA INTRANET LMI WEB PAGE.

8.0 LMI REVIEW RECORDS

S.No.	Date	Reviewed By	Signature	Comments

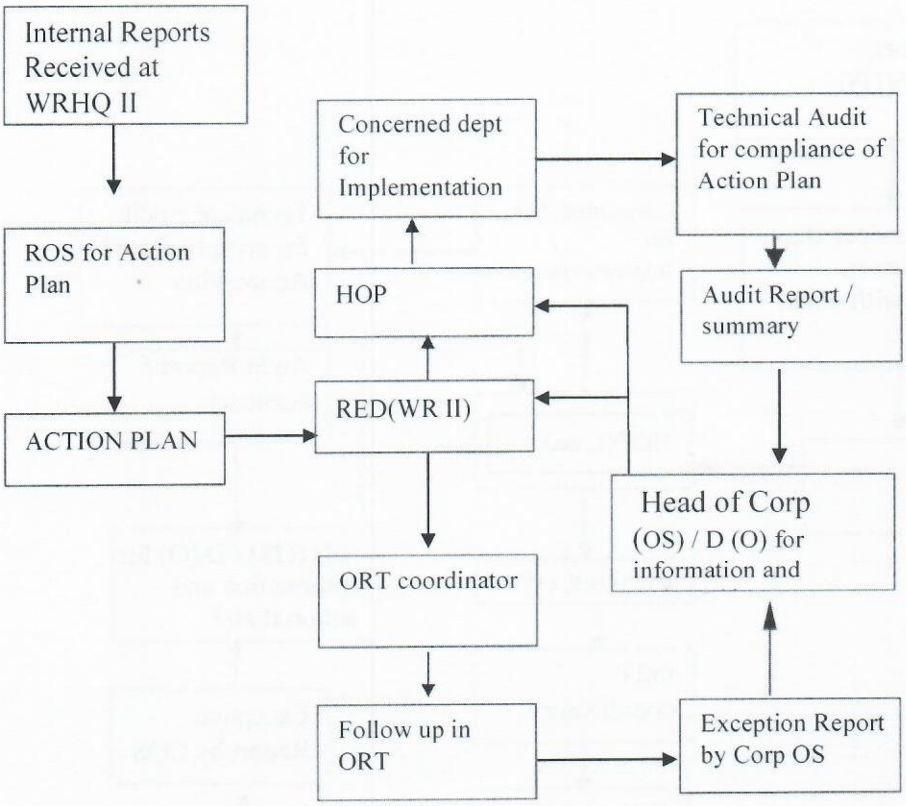
Annexure - I

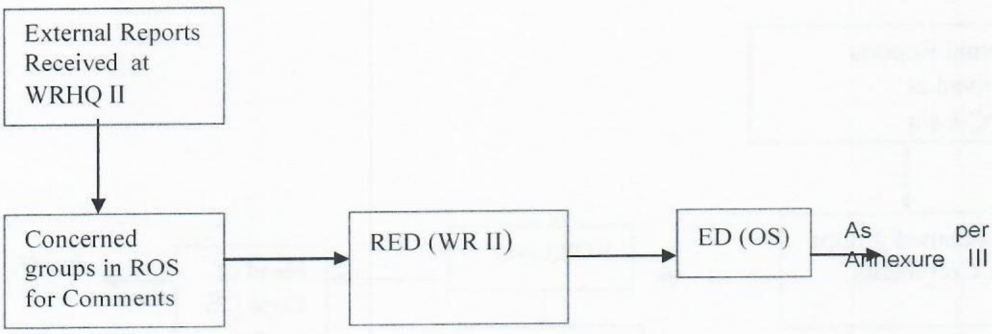
Investigation Reports received at Stations



Annexure - II

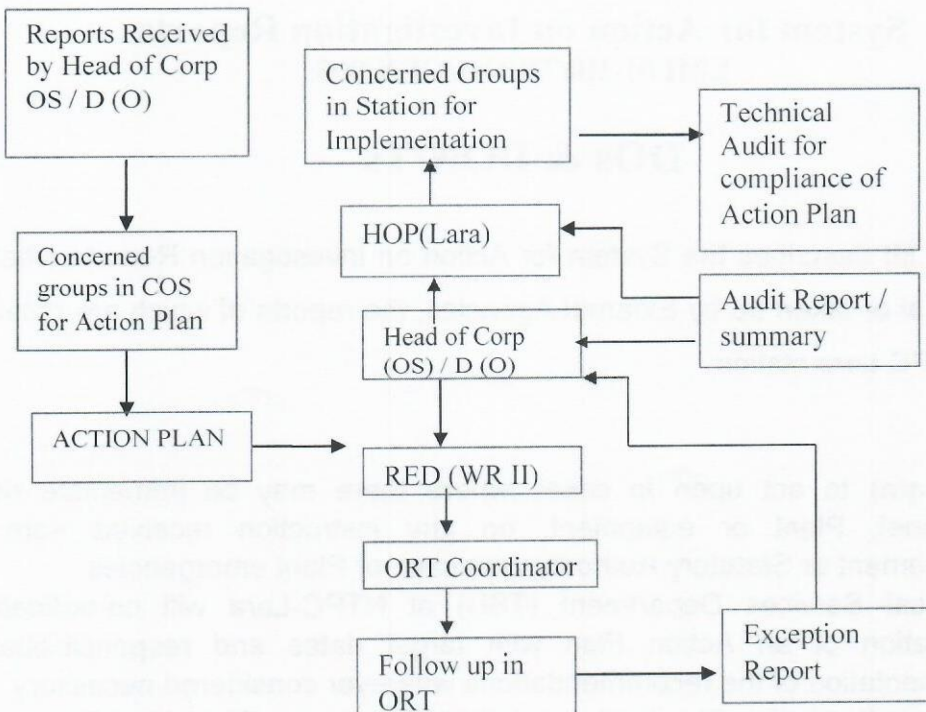
Investigation Reports received at WR II





Annexure – III

Investigation Reports received at Corp. OS



Note : For External Investigation Reports, if required the summary of report along with the action plan shall be put up to CMD through D (O).

Annexure – IV

LOCAL MANAGEMENT INSTRUCTION
System for Action on Investigation Reports
LMI 01-R0/TS/OD/GEN/003

DOs & DON'Ts

This LMI describes the System for Action on Investigation Reports whether Internal or taken up by External Agencies, the reports of which are received in NTPC Lara station.

Dos:

- HOP(Lara) to act upon in cases where there may be immediate risk to Personnel, Plant or equipment, on any instruction received from Top Management or Statutory Authority or in case of Plant emergencies.
- Technical Services Department (TSD) at NTPC-Lara will co-ordinate for preparation of an Action Plan with target dates and responsibilities for implementation of the recommendations wherever considered necessary.
- Wherever the Action Plan implementation involves any Plant Modification, such modification will be coordinated as per LMI 01-R0/MTP/OD/GEN/006 dated 11.01.2018 (or any subsequent revision of this document) and DOP as applicable.
- Follow the flow diagrams in Annexure I ,II & III showing the process for the review, examination, implementation and compliance of the action plan for internal and external investigations.
- Technical Services department will review this document on a 2-yearly basis or as necessary.
- Reports of investigations conducted by any external agency should necessarily be sent to Corporate Operation Services who will be responsible for final action on such reports.

DON'Ts:

- HOP(Lara) and RED(WR II) need not to act immediately on external agency report other than involve immediate risk or plant emergencies. Such cases to be referred to Head of Corp OS.

Annexure – V

LOCAL MANAGEMENT INSTRUCTION
System for Action on Investigation Reports
LMI 01-R0/TS/OD/GEN/003
Check List For System for Action on Investigation Reports

Sl No.	Description	Responsibility	Status
01	**Internal Investigation Ordered by HOP(Lara):** Preparation of Action Plan with target dates and responsibilities for implementation of the recommendations wherever considered necessary. Technical Services Deptt. will take the help from concerned experts / departments as per requirement in finalization of the Action Plan	HOD(TS)	
02	**External Investigation received by HOP(Lara):** Report will be reviewed and analyzed for implementation.	Head of Corp.OS	
03	**Internal Investigation Ordered by RED(WR II):** Preparation of Action Plan with target dates and responsibilities for implementation of the recommendations wherever considered necessary	HOD(OS) WRHQ-II	
04	**External Investigation received by RED(WR II):** Report will be reviewed and analyzed for implementation.	Head of Corp.OS	
05	**Reports Received by Director (Operation) / Head of Corporate OS:** Report examination and review for implementation.	HOD(COS)	
06	**Inquires ordered by External Agencies (outside NTPC – e.g. Ministry, CEA, State Government)** Final action for implementation after review and analysis.	Head of Corp.OS	
07	Incase there is immediate risk to Plant, Personnel and equipment immediate action should be taken if it is considered necessary based on any instruction from Statutory Authority / Top Management in this regard	HOP(Lara)	
08	Where the Report / Recommendations have universal application across NTPC stations, a Technical Compliance Document will be issued.	HOD(COS)	
09	Follow up/Compliance status report to be discussed in ORT	ORT (Cordinator)	