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DOE STANDARD

GUIDE TO GOOD PRACTICES FOR OPERATIONS TURNOVER

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Guide to Good Practices for Operations Turnover

Page/Section	Change
Concluding Material	The Preparing Activity was changed from NE-73 to EH-31.

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FOREWORD

The purpose of this Guide to Good Practices is to provide Department of Energy (DOE) contractors with information that can be used to validate and/or modify existing programs relative to Conduct of Operations. This Guide to Good Practices is part of a series of guides designed to enhance the guidelines set forth in DOE Order 5480.19, *Conduct of Operations Requirements for DOE Facilities*.

KEYWORDS

Operating Base

Turnover

Turnover Checklist

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DEFINITIONS

Narrative Log	A chronological narrative record of events or functions.
Operating Base	The area within a work station (e.g., office, desk, workbench) where a person returns to when not performing other duties (e.g., tours, maintenance, testing).
Operator	A qualified person assigned specific responsibilities related to the operation of facility process systems and equipment.
Personnel Briefing	A meeting of all shift and support activity personnel, held at the beginning of each shift, during which the cognizant supervisor explains facility status and work priorities.
Round Sheet (Round Inspection Sheet)	A type of data-collection sheet used to record key equipment and system parameters, (e.g., readings from instruments and gauges), and operating status (whether operating or shutdown for maintenance or repair) during equipment inspection tours (rounds).
Shift	The normal period of work for an individual or group (e.g., 8:00 a.m. to 5:00 p.m.).
Stable Condition	Period of time when no activities (e.g., surveillances, process rate changes, equipment changes) are in progress that require continuous personnel attention or possible response.
Status Control Board	A device (e.g., a laminated sheet, plexiglass board) that lists major equipment and systems of a work station or facility, and indicates their status.

Surveillance	A test, calibration, or inspection that ensures the necessary operability and quality of safety-related items required for the safe operation of a facility.
Turnover (Operations Shift Turnover)	The process of formally transferring duties and responsibilities from one person to another.
Turnover Checklist	A form developed for a specific shift position and used by personnel to aid the turnover process; provides a convenient method of denoting equipment in service, surveillances in progress, technical safety requirement status, and documents on-coming personnel should review to ensure a complete transfer of facility status information.
Walkdown	A tour or inspection of a work station.
Work Station	The physical area, equipment, and systems for which a person is assigned responsibility.

GUIDE TO GOOD PRACTICES FOR OPERATIONS TURNOVER

1. INTRODUCTION

This Guide to Good Practices is written to enhance understanding of, and provide direction for, Operations Turnover, Chapter XII of Department of Energy (DOE) Order 5480.19, Conduct of Operations Requirements for DOE Facilities. The practices in this guide should be considered when planning or reviewing operations turnover programs. Contractors are advised to adopt procedures that meet the intent of DOE Order 5480.19.

"Operations Turnover" is an element of an effective Conduct of Operations program. The complexity and array of activities performed in DOE facilities dictate the necessity for a formal operations turnover program to promote safe and efficient operations.

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2. OBJECTIVE

The objective and criteria are derived from DOE Order 5480.19. They are intended to aid each facility in meeting the intent of the order.

Turnovers that provide on-coming personnel with an accurate status of their work stations are systematically performed.

Criteria:

- a. Supervisory personnel and specified work station operators use a checklist in the turnover process.
- b. On-coming personnel review specified documents prior to assuming responsibility for the work station.
- c. Walkdowns of appropriate control panels are conducted by on-coming personnel.
- d. A discussion of facility status occurs between off-going and on-coming personnel prior to transferring work station responsibility.
- e. On-coming supervisors conduct personnel briefings as required.
- f. Turnovers occurring during the shift are as thorough as necessary to ensure a complete transfer of work station information.

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3. DISCUSSION

An operations shift turnover (turnover) is the process of transferring duties and responsibilities of facility job positions between personnel. Thorough turnovers are crucial to the safety of DOE facility operation. Turnover activities ensure that on-coming personnel have an accurate picture of current facility status and provides a review of past and scheduled operations. The information obtained by on-coming personnel during turnovers promotes safe, efficient, and continuous operation. To ensure the most efficient and productive transfer of facility information, the turnover should be strictly focused on the work station status and operation.

The turnover process should be conducted in a formal, businesslike manner because it prepares on-coming personnel to operate the facility. Consistent with facility policy, on-coming personnel are responsible for arriving at the facility in a condition ready to work (i.e., physically and mentally fit to assume the duties of the job).

A turnover checklist enhances the turnover process by serving as a guide for the on-coming person. Used properly, the checklist will take the on-coming person through the turnover process step-by-step. The turnover process will thus become a standard routine, thereby minimizing the possibility of missing important information during the turnover.

Documents specified by management should be reviewed by on-coming personnel before accepting their assigned responsibility. Reviewing these documents will augment the information obtained during the remainder of the turnover. The review will refresh and supplement the on-coming person's knowledge of past operations, as well as present and scheduled operational commitments. It can also provide information about work station status. This is especially important when a person has been absent for several days.

A pre-shift walkdown allows the on-coming person to inspect the work station before accepting responsibility. It provides the on-coming person an opportunity to check the status of the area and associated equipment. The walkdown is most beneficial when the off-going

person accompanies the on-coming person. This enables the on-coming person to ask questions regarding work station status and also obtain immediate feedback.

A discussion of all information concerning the work station must be accomplished and the on-coming and off-going personnel must be confident that an appropriate information exchange has taken place prior to transferring responsibility. If properly focused, this discussion is the most effective method of communicating work station information to the on-coming person. After the discussion, a formal transfer of the duties and responsibilities of the work station should conclude the turnover. This will officially end the duties and responsibilities of the off-going person and start those of the on-coming person.

Personnel briefings reinforce information communicated during the turnover. During the briefing, the appropriate supervisor has the chance to provide personnel with a picture of overall facility operations, both current and planned, including support group activities. A briefing of all personnel is the best way to quickly disseminate information important to everyone, and also address questions personnel have concerning the facility.

In addition to turnovers to persons working a rotating schedule, turnovers to a staffed/unstaffed condition (e.g., office, laboratory, and research personnel) should also be considered. These single-shift positions should be considered because illness, vacation, or other instances may require that a work station be filled by an alternate person. The alternate must have sufficient knowledge of work station status to maintain operational continuity during the other person's absence. In this case, the transfer of information may only require written communication, but should still be communicated.

The information contained in this document complements the guidelines of Shift Routines and Operating Practices, Chapter II, Control Area Activities, Chapter III, and Logkeeping, Chapter XI, of DOE Order 5480.19, *Conduct of Operations Requirements for DOE Facilities*.

4. GOOD PRACTICES

The turnover process should actually begin as soon as the "on-duty" person has assumed the duties and responsibilities for the work station. At that time, the operator or supervisor should begin identifying information that may be helpful to the next turnover. As information is acquired, it should be recorded in the appropriate log and round sheets and on status boards, if applicable.

At shift change, the on-coming person should review the appropriate logs, round sheets, status boards and other facility required documentation to gain insight into past, present and future work station status. A turnover checklist might be helpful to guide the on-coming person through the turnover, as well as guide the off-going person in preparing information for the turnover process. To acquire first hand knowledge of present work station conditions, the on-coming person should walk through the entire work station. After walking through the work station, the on-coming and off-going person should then perform an information exchange. When all pertinent information has been exchanged, the off-going person should turn over the duties and responsibilities to the on-coming person. The on-coming person should then accept the duties and responsibilities, which, in turn starts the process over again.

A shift personnel briefing, conducted by the supervisor, should also be a part of the turnover process. This briefing should provide the on-coming person with additional facility-wide information and should supply him/her with an overview of facility operations for the upcoming shift.

4.1 Turnover Checklists

Turnover checklists should be developed to aid in the turnover process. The content of the checklist should reflect the duties and responsibilities of the position, e.g., supervisor or operator, and will normally be developed on a case-by-case basis. Determining the need for checklists should be dictated by experience or through evaluation of activities performed at the individual work stations and their impact on

facility operations. Checklists should be used as a guide during each turnover to ensure a thorough turnover of facility status and work station information. All personnel using turnover checklists should be trained on their use and importance. This training should include an explanation of how and when to complete the checklists.

The turnover checklist should include information that is necessary for a thorough turnover, especially information that may not be readily apparent to the on-coming person. The detail of the checklist should be consistent with the risk of the operations performed at the associated work station. Sufficient space should be allowed for adding pertinent information not covered by the checklist.

Turnover checklists may come in different forms. Two popular forms are paper sheets that can be used once and laminated sheets that can be reused. Paper sheets are inexpensive to reproduce and special writing instruments are not required for marking. They are subject to work station conditions and may become damaged or unreadable (e.g., oil and grease stains, dirt). Laminated sheets are useful if checklist information is delineated by boxes (e.g., Pump 1 ☒ ON ☐ OFF, ☒ Reviewed Status Board). They do require erasable markers or "grease" pencils for marking, which does make writing somewhat more difficult. Each facility should decide the form that best suits its needs.

4.1.1 Turnover Checklist Verification

A program should be in place to ensure that all turnover checklists are current and maintained correctly. Responsibility for developing and maintaining turnover checklists should be designated by management. Personnel should be involved in the development of their work station turnover checklist and should supply information if changes are necessary.

A master copy of each checklist should be kept for ease of updating and also for restocking the checklists as needed. Changes to checklists should be communicated to

the appropriate work station personnel. As checklists are revised, out-dated copies should be discarded. Blank checklists should be readily available to personnel.

4.1.2 Turnover Checklist Information

As a minimum, each turnover checklist should include the applicable work station name and approval designation (e.g., revision number, approval-for-use signatures and dates). Appendix A shows an example of approval designation. There should be a space for recording the date and time the checklist was used and spaces for the on-coming and off-going persons to sign. Providing a space for the date and time is a good practice to prevent confusion when using the checklist (i.e., if a previously used checklist was not discarded, it will have a date and time that is different from the expected).

A graded approach philosophy, consistent with the risk of operations at each work station, should be used to develop turnover checklists. Answering the following question is useful when deciding whether to include information on the checklist: "What are the potential environmental, safety, health, and operational risks of forgetting to turn over this information?" The operational risks should focus on the information required to ensure continuity of operation. Checklist information should be as comprehensive as necessary to ensure that the on-coming person is provided with sufficient information to adequately control the work station immediately following the turnover. Examples of checklist information may include:

- Facility status
- Technical safety requirements in effect, including time limits
- Status of important operating parameters and other parameters as appropriate
- Status of safety equipment and other equipment as appropriate (e.g., operating, standby, out-of-service)

- Required chemistry or process sample times
- Equipment problems
- Times specific planned actions are required
- Changes in radiological or hazardous materials areas and conditions
- Temporary procedure changes in effect
- Facility support group activities (e.g., construction, radiation protection)
- Maintenance, testing, and evolution status (e.g., completed, in progress, or planned)
- Status of controlled keys
- Abnormal lineups or conditions
- Documents to be reviewed (e.g., narrative logs, round sheets)

If a status board is used to track equipment and system status at a work station, the turnover checklist should direct personnel to review the status board. It is not the intent of the checklist to duplicate this information. The checklist should guide personnel through the turnover, supplying pointers, as necessary, to information that already exists.

Each turnover checklist should include a section for additional information. This section may be used for listing danger, caution, out of calibration, out of specification, and deficiency tags hanging at the work station. This space may also be used to list and explain temporary systems installed at the work station. Other uses for the additional information section may include listing temporary modifications such as:

- Electrical jumpers
- Lifted leads

- Circuit boards removed
- Disabled annunciators/alarms
- Mechanical jumpers/bypasses
- Temporary setpoint changes
- Installed or removed blank flanges
- Disabled relief or safety valves
- Installed or removed filters or strainers
- Plugged floor drains
- Temporary pipe supports.

When documents are to be reviewed as part of the turnover, there should be a section listing the documents and space to document the review. Occasionally, additional documents may need to be reviewed, therefore, space for adding those documents should be included. Refer to Section 4.2, Document Review, for a listing of typical documents for review.

Checklists developed for supervisory positions should include a summary of activities of assigned personnel. This summary should help prepare an on-coming supervisor for the pre-shift walkdown.

4.1.3 Using Turnover Checklists

Items on the turnover checklist should be updated, as necessary, throughout the shift. As events occur, conditions change, or information pertinent to the turnover is obtained, entries can be made on the checklist as a reminder to discuss the information at turnover. Just prior to turnover, the off-going person should verify that the off-going portion of the turnover checklist is current and complete.

The turnover checklist should be given to the on-coming person prior to starting the turnover process. The on-coming person should review the checklist before commencing a pre-shift walkdown and should use the checklist during the pre-shift walkdown. A provision may be made to have the off-going and on-coming person sign the checklist when it's complete.

Supervisors should ensure that turnover checklists are properly used by periodically monitoring subordinate work station turnovers and reviewing completed checklists. They should also ensure used checklists are properly discarded.

4.2 Document Review

On-coming personnel should review documents specified by management prior to assuming responsibility for their shift positions. If a checklist is specified to be used by a work station, a list of these documents should appear on the checklist. Reviewing the turnover checklist must not serve as a substitute for log reviews.

Document review should be as intensive as necessary to ensure on-coming personnel understand important history, present status, and scheduled events. To ensure on-coming personnel understand events that have occurred, narrative log entries should be reviewed since they last worked. Status logs (e.g., equipment, tagout, modification) should be reviewed so on-coming personnel are familiar with all active entries, with an emphasis on what has changed since they last worked. Other documents describing important aspects of overall facility status should also be reviewed by all on-coming personnel. For personnel returning from vacation or some other extended absence (including fifth or training shift), document review requirements should be more rigorous, as appropriate, to ensure that they have a thorough understanding of facility status.

Examples of documents to review include:

- Work station narrative log
- Equipment status log
- Tagout log
- Work station round/inspection sheets
- Temporary modification and jumper logs
- Out-of-service annunciator log
- Operational limit action log
- Shift orders book (Timely Orders)

In addition to the above documents, supervisors may need to review the narrative and round/inspection sheets of assigned personnel. This review can often provide detailed information concerning the operations and equipment status, supplementing the records maintained by the off-going supervisor. Supervisors may have additional responsibilities for document review, in accordance with facility operating procedures.

4.3 Pre-Shift Walkdown

A pre-shift walkdown of the work station should be conducted as a part of the turnover process. The walkdown should include a brief look at all areas of the work station. On-coming personnel should check the status of equipment, systems, and panels. The walkdown should also check the status of work being performed at the work station. Status control boards should be verified and updated during the walkdown.

4.3.1 Panel Walkdown

Prior to assuming responsibility for the work station, the on-coming person should personally verify the status of important system operating parameters. Walkdowns of appropriate instrumentation and control panels, especially those relating to safety systems, should be conducted at each work station. The purpose of a panel walkdown is to determine facility status through observing system lineups, switch positions, lighted annunciators, chart recorders, and status lights.

On-coming and off-going persons should conduct the walkdown together during the turnover. A discussion of work station status, trends, and potential problems should occur during this walkdown. The turnover checklist, if specified to be used by the work station, should be used as an aid in this discussion. As a minimum, the discussion should be focused on items observed during the walkdown, for example:

- Status of safety-related equipment
- Running equipment
- Inoperable equipment, including instrumentation
- Technical safety requirements, including surveillance requirements
- Reasons for actuated alarms or annunciators
- Tagged equipment, including any surveillance/equipment work in progress
- Abnormal equipment and component configurations.

It is the responsibility of the off-going person to communicate all pertinent information about the work station to the on-coming person during the walkdown. The on-coming person should inquire about unfamiliar lineups, positions, indications, and tags observed during the walkdown.

4.3.2 Supervisor Walkdown

On-coming supervisors should walk down the instrumentation and control panels under their purview as a part of the turnover. This walkdown may be done with the off-going supervisor, separately, or with either off-going or on-coming personnel assigned to the work stations under the supervisor's purview. The walkdown can occur before, during, or shortly after turnover, but will produce a better information exchange if performed before the turnover.

4.4 Information Exchange and Responsibility Transfer

As a minimum, a verbal exchange of information between the off-going person and a qualified relief should conclude the turnover. This information exchange (discussion) should occur when work station conditions are stable. The discussion should be performed immediately before the exchange of responsibility and within the confines of the work station. In addition, during the period of information exchange, access into control areas should be limited so control area personnel remain focused on the exchange, while simultaneously monitoring and controlling the facility. For more information on control area activities, refer to Chapter III, "Control Area Activities," DOE Order 5480.19.

The off-going person should use the discussion time to explain any unusual events that have occurred, planned maintenance and surveillance activities, and any other pertinent information not covered during the walkdown or by the turnover checklist (if applicable). The on-coming person should use this time to resolve any questions concerning the status of the facility, ongoing maintenance or surveillances, log entries, and written guidance for the continued operation of the facility during the upcoming shift.

An operating base should be established for each work station. The information exchange and responsibility transfer should take place at this operating base.

Management should take into account the noise level and the radiation and hazardous material conditions present before approving a location for an operating base. Since abnormal situations may dictate that turnovers be performed outside of the operating base (e.g., construction at the operating base, special evolutions and tests that require continual attention), management should allow the use of alternate areas. Personnel should inform their supervisors prior to switching areas.

Prior to the transfer of responsibility, the off-going person should make a decision about the physical and mental state (e.g., alert, coherent) of the on-coming person. Each facility should establish guidance concerning the physical and mental requirements for assuming work station responsibility. If the off-going person believes the on-coming person cannot manage the duties and responsibilities of the work station, the off-going person should retain the duties and responsibilities and should immediately notify the appropriate supervisor. The facility's organization and administration guidelines should include a policy for handling this situation.

When the off-going person is satisfied that the on-coming person is fully cognizant of the facility conditions, the off-going person should so inform the on-coming person. The on-coming person should then signify to the off-going person he/she is assuming the responsibility for the work station and document the transfer with an entry in the appropriate log in accordance with Chapter XI, Logkeeping, of DOE Order 5480.19. The off-going person should not leave the work station until the on-coming person has accepted and signed for the duties and responsibilities.

4.5 Personnel Briefing

Facility policies and procedures should establish guidance pertaining to the time, place, and conduct of personnel briefings. Personnel briefings should occur at a specified time and place and all facility personnel should understand the importance of attending the briefing. Briefings should be formal and as short as necessary to communicate pertinent information and not interfere with facility operational commitments.

A briefing of shift personnel should occur as part of the turnover process. It is advisable to have all shift personnel at this briefing. If it is not feasible to conduct a personnel briefing with all personnel, then at least a briefing of all supervisors should occur as part of the turnover. Each supervisor would then be responsible for disseminating the information to their assigned personnel.

This form of briefing should be used only if it is not possible to gather all personnel in one place at the same time.

If, as a result of operational commitments, some personnel cannot attend the briefing, arrangements should be made to pass on briefing information to these persons.

Supervisors could pass on the information as previously discussed or communication devices, such as telephone or intercom, could be used to allow those persons absent from the briefing to listen to the briefing from their work station. Failure to attend briefings for non-operational commitments, such as performing administrative duties, should be discouraged.

When determining the time for the briefing (i.e., either before or after the turnover at individual work stations), management should take into consideration the type of operation, extent or layout of the facility, extent of required shift overlap, and labor union contracts, where applicable. If an emergency or abnormal situation occurs which might have an impact on the turnover, an attempt should be made to contact on-coming shift personnel to alert them to the situation and also to notify them of any alterations to the personnel briefing. In such cases, personnel briefings may be longer and more in-depth.

In addition to shift personnel, personnel from support groups (e.g., contractors, vendors, engineering support, and maintenance groups) should attend briefings when their activities can directly affect operations. This practice results in a better understanding of shift priorities and objectives among shift and support group personnel.

For facilities that work only one shift (i.e., dayshift), this briefing may take the form of a morning staff meeting. This is especially helpful if there are a number of different activities occurring, which might affect each other, or if there are new personnel filling in for absent personnel (e.g., due to vacation, sickness, or temporary job priority change).

The briefing should be conducted by the appropriate supervisor and should include a review of facility status, problems with equipment, and evolutions in progress or planned for the shift. The detail of the briefing should be consistent with the amount and type of work occurring or scheduled. Additional items to cover during the briefing may include:

- Shift orders
- Lessons learned from events occurring elsewhere or during other shifts
- Last-minute changes in facility status or operational functions planned for the shift
- Support group work planned for the shift (e.g., maintenance, construction)
- Changes to administrative procedures that impact methods of doing work, or changing procedural requirements
- Facility maintenance shutdown schedule changes
- Work/production goals for the shift
- Other important work-related items.

Personnel briefings following days off, during times of facility shutdown, and during periods of intense support group activity may be more extensive.

4.6 Reliefs Occurring During the Shift

Turnovers (reliefs) occurring during the shift should meet the same objective as a turnover at the beginning of the shift (i.e., providing the on-coming person with an accurate status of the work station). Facility procedures should establish the requirements for relief of duties and responsibilities during the shift. If a turnover checklist is used at the work station for normal shift turnovers, that checklist or portions of it may also be considered for these reliefs.

If a relief is necessary, the cognizant supervisor should be informed of the reason and expected length of time before the off-going person turns over the work station duties and responsibilities. Before authorizing the relief, the cognizant supervisor should ensure the on-coming person is qualified and should verify that facility conditions permit the relief (e.g., enough personnel to staff the fire brigade or other special emergency response group). This is especially important during back shifts, when staffing may be lower.

At a minimum, the following turnover policies should be followed:

- The transfer of duties and responsibilities should occur at a time when facility conditions are stable
- The off-going person should be confident that the on-coming person is fully capable of assuming the duties and responsibilities of the work station
- At the end of the turnover the on-coming person should signify to the off-going person that he/she is assuming the responsibility for the work station and document the transfer with an entry in the appropriate log in accordance with Chapter XI, Logkeeping, of DOE Order 5480.19.

Depending on the work station, an instrumentation and control panel walkdown and document review may be necessary. The breadth and depth of the mid-shift turnover will depend on the safety importance of the job, the on-coming person's familiarity with the work station, the length of time since the on-coming person has performed the duties and responsibilities of the work station, and the activities occurring at the work station.

If a transfer of responsibility is necessary because of a physical injury, a qualified relief should assume responsibility for the work station and perform a full panel walkdown, log review, and review the most recent turnover checklist to gain the knowledge of present work station conditions. To ensure the best exchange of facility information, a discussion with the cognizant supervisor should also be performed.

4.7 Turnover to a Staffed/Unstaffed Condition

The principles of operation turnover should also apply when the status of the facility or process is changing to a staffed/unstaffed status (e.g., single or periodic shift operation). Before placing the facility or operation in an unstaffed status (e.g., after single-shift operation), off-going personnel should ensure that the facility or operation is in a safe and stable configuration approved by appropriate management and the narrative log accurately reflects that status. A turnover checklist may be used in conjunction with the narrative log to convey information. Work station information should be in sufficient detail to allow any person, qualified at that work station, to assume the position after reviewing the narrative log and turnover checklist. Since a verbal exchange of information may not occur between the off-going and on-coming personnel in this instance, the recorded information should be as clear and concise as if a face-to-face relief had occurred.

SUPPLEMENTAL RESOURCES

The following sources provide additional information pertaining to topics discussed in this Guide to Good Practices:

DOE Order 5480.19, *Conduct of Operations Requirements for DOE Facilities*, Chapter II, "Shift Routines and Operating Practices."

DOE Order 5480.19, *Conduct of Operations Requirements for DOE Facilities*, Chapter III, "Control Area Activities."

DOE Order 5480.19, *Conduct of Operations Requirements for DOE Facilities*, Chapter XI, "Logkeeping."

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APPENDIX A
SAMPLE TURNOVER CHECKLIST FORMAT

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WORK STATION 'A' TURNOVER CHECKLIST

Approved by: _____

Approval Date: _____

Shift: ☐ N ☐ D ☐ E

Date: _____

☐ Facility Status: _____☐ Evolutions: (completed/in progress/planned)_____

_____☐ General Information: (e.g., abnormal lineups, special instructions/considerations)_____

_____☐ Equipment Status: (e.g., equipment deficiencies, equipment currently out of service/special precautions, surveillances or tests in progress, equipment maintenance in progress, maintenance completed/restoration measures outstanding)_____

_____☐ Status of Controlled Key(s) : _____

Document Review:

☐ Narrative Log☐ Tagout Log☐ Round Sheets☐ Temporary Modification Log☐ _____☐ Equipment Status Log☐ Shift Orders☐ Operational Limits Action Log☐ _____☐ _____

Additional Remarks:

On-coming: _____

Off-going: _____

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CONCLUDING MATERIAL

Review Activities:

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