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NR/L2/SCO/302

Module 01

Supplier Qualification – Core Requirements

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1 Purpose

This document seeks to mitigate the risks that suppliers import when working on Network Rail Managed Infrastructure and sets out the core management system and management process requirements for suppliers of products, works and services.

2 Scope

This standard specifies the requirements for supplier qualification.

It applies to:

- a) Network Rail employees contracting a supplier for safety critical works
- b) Suppliers who fall under these categories:
 - 1) suppliers who have triggered an audit due to product code selection (Rail Industry Commodity Classification List) and/or have otherwise indicated that they work or intend to work on Network Rail Managed Infrastructure;
 - 2) organisations sponsoring individuals within the Sentinel Scheme;
 - 3) Suppliers prioritised by Network Rail as:
 - i. principal contractors who may be, or are, working on Network Rail Managed Infrastructure as Principal Contractor;
 - ii. On-Track Plant Operations Scheme– those Suppliers operating on-track plant only in engineering possessions on Network Rail Managed Infrastructure and Network Rail projects.
 - iii. suppliers of non-railborne plant (including but not limited to demountable, civil engineering plant, portable transportable and mobile plant).

3 Organisation

3.1 Management Structure

3.1.1 Objective

The objective is to establish an adequate organisational framework for the safe and efficient delivery of a contract. This includes the imbedded capability to understand the railway operating environment and the specific requirements of railway contracts.

3.1.2 Requirement

The supplier shall have arrangements in place to:

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- a) identify and allocate the key roles listed below to posts in the organisation and have a documented organisation structure indicating these posts and posts carrying out safety critical tasks;
- b) appoint deputies for posts carrying out key roles;
- c) obtain acceptance of the responsibilities from post holders;
- d) communicate the responsibilities, authorities and accountabilities to post holders;
- e) document the organisation structure, which shall be adequate for the work;
- f) always keep the organisation structure current and relevant;
- g) set up the means of communication with the external expert supplier.

NOTE: Point g) applies where key safety, environment, quality or technical expertise is procured from outside the organisation.

Key roles include:

- a) those with the accountability for:
 - 1) safety management;
 - 2) environmental management;
 - 3) quality management;
 - 4) technical expertise (as required for the work carried out e.g. civil engineering, electrification etc.);
 - 5) rail operations;
 - 6) competence management.
- b) those with responsibility for delivering the following:
 - 1) maintaining the management systems;
 - 2) co-ordinating employment medicals;
 - 3) assessing first aid resources to be provided on site;
 - 4) document control;
 - 5) producing and delivering briefing material;
 - a. procuring products and services (carrying out internal and external audits and other compliance activities as appropriate);
 - 6) competence assessment and training.
 - 7) safety critical activities (where relevant):
 - i. monitoring, managing and mitigating against the risk of employee fatigue (including hours worked and authorising exceedances for employees and their suppliers' employees);

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- ii. co-ordinating pre-employment, random and 'for cause' alcohol and drugs assessments;
- iii. planning work (including planning safe access and egress to Network Rail Managed Infrastructure);
- iv. recording and reporting accidents and investigations;
- v. carrying out risk assessments;

NOTE 1: This list is not exhaustive. It is expected that appropriate assessment is undertaken and documented to identify the roles required. Posts may undertake more than one 'key role'.

NOTE 2: Safety critical tasks are as defined in Regulation 23 of the Railway and Other Guided Transport Systems (Safety) Regulations 2006.

NOTE 3: Where the organisation has different structures on projects, they shall demonstrate how this relates to the overall hierarchy.

3.2 Individual capabilities and experience of staff in 'key roles'

3.2.1 Objective

The objective is to employ suitably competent staff in 'key roles'.

3.2.2 Requirement

The supplier shall set the minimum acceptable competence requirements for the posts carrying out the 'key roles' identified in 3.1.2.

Competences shall include:

- a) experience in specific roles;
- b) professional qualifications (if applicable);
- c) training and certification requirements.

3.3 Provision of health, safety, quality and environment advice

Objective

The objective is to provide employees with ready access to competent and current rail-specific health, safety and environment advice in a timely and consistent manner.

Requirement

The supplier shall have arrangements in place to provide access to competent health, safety, quality and environment advice to employees (and their suppliers when appropriate). They shall:

- a) identify the post(s)/source(s) responsible for providing the advice;
- b) indicate the extent of information available;
- c) indicate specifically from where information and advice is obtained e.g. safety groups, trade federations, external consultants, chamber of commerce, etc;
- d) indicate how such advice and information is accessed by those who need it.

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The minimum competence requirements for the post/source providing rail-specific health, safety, quality and environmental advice shall be:

- a) relevant training (e.g. NEBOSH General Certificate, IRCA, CQI);
- b) Membership of relevant professional institution (e.g. Institute of Environmental Management & Assessment (IEMA), Institute of Occupational Safety and Health (IOSH), International Institute of Risk and Safety Management, Chartered Quality Institute (CQI) or equivalent);
- c) knowledge of the health and safety requirements set out in legislation, Railway Group Standards and Network Rail company standards applicable to railway activities;
- d) evidence of experience of providing both first line advice and tactical support and development in the relevant discipline.

NOTE: Reg. 7 Management of Health and Safety at Work Regulations 1999 requires employers to appoint one or more competent persons to help in applying the provisions of health and safety law.

3.4 Management of Legislation and Customer Requirements

Objective

The objective is to identify and integrate changes to customer and regulatory requirements that are applicable to contracts into the supplier's arrangements without delay.

Requirement

The supplier shall have arrangements in place for obtaining, interpreting, and managing the impact of customer and regulatory requirements appropriate to the scope of services provided by their business, including subsequent changes.

The arrangements shall include:

- a) obtaining and maintaining access to customer and regulatory requirements;
- b) designating the posts that are responsible for reviewing the requirements (e.g. Technical Heads);
- c) identifying how the requirements are to be implemented and briefed;
- d) identifying necessary changes to the management system;
- e) confirming to the customer representative that changes have been made;
- f) seeking authorisation for non-compliances with customer requirements, when compliance is not possible or appropriate.

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4 Management Systems

4.1 System Arrangements

4.1.1 Objective

The objective is that the organisation has arrangements in place to manage its activities in a safe and effective manner (including time, quality, cost, health, safety and environmental.)

4.1.2 Requirement

Suppliers shall have Management Systems in place to meet all requirements detailed within this module.

The Organisation should have an ISO 9001:2015 quality certificate and/or ISO 45001:2018 certificate and/or an ISO14001:2015 certificate issued by a UKAS (or equivalent) accredited organisation in place.

NOTE 1: The most recent 3rd party surveillance reports should be reviewed to establish that no significant shortfalls were identified that could import unacceptable risk to Network Rail and/or the general public.

Where a supplier's management system has been certificated by a UKAS accredited organisation (system arrangements and process implementation), and this covers rail work, the assessor should validate that the appropriately scoped certification held demonstrates compliance with this clause.

NOTE 2 The supplier may approach these considerations in a fully integrated way or follow the individual requirements set out in 'certification' standards such as ISO 9001, ISO 14001, OHSAS 18001 - or follow the guidance set out in HS(G)65.

The management system shall:

- a) set policies;
- b) organise resources and processes;
- c) identify risks and their associated controls (including interfaces);
- d) implement processes;
- e) monitor performance;
- f) review the adequacy and effectiveness of the management system and identifying improvements (annually as a minimum);
- g) audit the management system as a whole.

The supplier shall:

- a) maintain an up to date compliance matrix / index;
- b) brief employees on the outline management system;
- c) review the management system's effectiveness by considering:
 - i. performance against objectives;
 - ii. audit reports;

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- d) validate organisational changes prior to implementation, including:
- e) risk assessments (including reviewing possible impact on product code capability, plus safety and environment);
- f) consulting with customers and notifying the 'Supplier Assurance Provider' of changes as a result of organisational change;
- g) sign off (formal validation of change) at appropriate management level;
- h) obtain approval from customers where there is:
 - i. a change to the scope of works;
 - ii. a change to standards or designs controlling the engineering/production/delivery process;
 - iii. new technology to be introduced;
 - iv. a change to the organisation/management system and/or the validation process that has identified an increase in overall risk.

The supplier shall have a systematic approach to promoting continual improvements in its processes relating to work on the railway and for supplying products for use on the railway. The system shall include health, safety, quality of the product or service and the environment.

4.2 Policy Control

4.2.1 Objective

The objective is to demonstrate to employees and other affected parties, the supplier's top-level management commitment to Quality, Health, Safety and Environmental requirements and identify the overall framework within which the company operates.

4.2.2 Requirement

The supplier shall produce, brief and display the following policy statements:

- a) Health and Safety;
- b) Environmental;
- c) Quality;
- d) Drugs & Alcohol;
- e) Fatigue Management (Working Hours);
- f) General Data Protection Regulations (GDPR);
- g) Modern Slavery (where applicable).

NOTE: A single integrated policy statement, in compliance with the Health, Safety and Environmental requirements and Quality objectives, is permissible where the supplier has an integrated management system.

The policies/policy shall:

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- a) meet UK legislative requirements;
- b) be dated and current;
- c) be endorsed at top level management (i.e. signed-off at Director Level) currently employed by the organisation;
- d) cover all areas of the supplier's business;
- e) be communicated to all employees on initial induction and following policy changes;
- f) be communicated to their suppliers (as necessary) and other interested parties;
- g) be reviewed regularly (annually as a minimum).

The Health and Safety Policy statement shall contain a clear commitment to:

- a) safety, in so far as is reasonably practicable;
- b) providing sufficient resources for the management of health and safety;
- c) setting and monitoring safety objectives;
- d) continual improvement in safety performance.

The Environmental Policy Statement shall contain a clear commitment to:

- a) preventing pollution;
- b) specifically protecting the environment, with reference to aspects of work activities that are environmentally significant;
- c) specifically minimising the environmental impact, for the life cycle; (including disposal), of plant, equipment, and other physical assets under the control of the supplier;
- d) setting and monitoring environmental objectives;
- e) continual improvement in environmental performance.

The Quality Policy statement shall contain:

- a) whether the supplier is certificated to any standards (e.g. ISO 9001 or any specific standards for the type of product or service);
- b) the setting and monitoring of quality objectives;
- c) a commitment to work with suppliers and customers to establish and maintain the highest quality standards;
- d) a commitment to continual improvement in quality performance.

The Drugs & Alcohol Policy Statement shall contain:

- a) a commitment to meet the requirements of NR/L1/OHS/051;
- b) provide details around the specific elements of the standard;

The Fatigue Management Policy Statement shall contain:

- a) a commitment to meet the requirements of NR/L2/OHS/003;

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- b) provide details around the specific elements of the standard.

4.3 Document Control

4.3.1 Objective

The objective is that employees and suppliers are provided with the up to date information required to discharge their duties and comply with customer requirements.

4.3.2 Requirement

The supplier shall have arrangements in place for approving, controlling, distributing and making readily available at the point of use (either hard copy or electronic), documents necessary for the discharge of their processes.

The organisation shall have a Document Control Procedure that identifies the key documents requiring control.

These documents include:

- a) national and international standards;
- b) relevant legislation;
- c) industry and contract specific documentation;
- d) documents supporting the organisation's processes.

The Document Control Procedure should identify:

- a) how documents are reviewed and changes identified;
- b) how documents are issued and reach their point of use; in particular multi sites;
- c) the process for cancelled and superseded documentation;
- d) archiving and retention.

The supplier shall control the issue of drawings to specialist functions and construction functions/organisation by:

- a) maintaining a register of all controlled documents;
- b) approving the contents of documents produced internally;
- c) controlling and distributing all registered documentation including amendments to employees and to their suppliers;
- d) removing obsolete documentation promptly;
- e) retaining records for legal and/or knowledge preservation purposes, including the periods of retention required;
- f) controlling personally issued railway documentation such as the Rule Book and Electrified Line Instructions.

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NOTE: Documents to be controlled are those required for the delivery of service or product and those relating to Health, Safety, Quality and the Environment e.g. policies, procedures, Network Rail company standards, RGSSs, Rule Book modules etc.

4.4 Monitoring

4.4.1 Objective

The objective is to confirm that the management systems are adequate and are being implemented satisfactorily, that the performance of employees and suppliers is at an appropriate level for the safe, effective and efficient delivery of contracts, and that safety and environmental requirements are being fulfilled on site.

4.4.2 Requirement

The supplier shall have arrangements in place for proactive and reactive monitoring and analysis of its (and its suppliers') performance. The arrangements shall include the:

- a) setting of appropriate health safety and environmental objectives;
- b) collection of data including:
 - i. site inspection reports;
 - ii. performance against objectives (including safety & environmental);
 - iii. accident frequency rates (AFRs or alternative measures appropriate to supplier size and scope of work);
- c) analysis of performance data, including the identification of trends and significance of data;
- d) production of reports that set out the performance data *and the analysis*;
- e) review of performance reports at senior management level;
- f) review of suppliers' performance with the suppliers;
- g) identification, tracking and the close out of corrective actions and/or improvement plans;
- h) testing the adequacy and effectiveness of risk controls;
- j) identification of new/emergent and changing risks.

NOTE: Suppliers should be mindful that the setting of corporate objectives does not have unintended 'cultural' consequences such as the under-reporting of close calls, near misses and RIDDOR-reportable accidents. The emphasis during analysis and interpretation of data should be given to the statistical significance of data collected and as a guide to improvement.

The supplier shall have arrangements in place for the audit of their management system(s) and their suppliers' management systems.

The arrangements shall include:

- a) creating audit plans where frequency and scope of audits is based on safety and environmental risk;

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- b) that management systems are assessed internally on a regular basis by competent personnel;
- c) implementing the audit plans;
- d) reviewing audit reports and the tracking of actions to close out;
- e) utilising an auditor independent of the system or process being audited;
- f) managing audits carried out by external organisations (second and third-party audits) and the close out of the findings;
- g) managing the close out of findings from audits carried out on their suppliers;
- h) using the results of audit reports and other compliance activities for systemic improvement.

The supplier shall have arrangements in place for planning and implementing site inspections and safety tours. The arrangements shall include:

- a) determining the frequency of site inspections based on risk;
- b) determining the frequency of safety tours;
- c) developing contract specific inspection checklists;
- d) the posts/representatives that carry out the inspections;
- e) producing site inspection reports that identify suitable corrective action when shortfalls are identified (or noting good practice);
- f) tracking the close out of resulting corrective actions or the dissemination and adoption of good practice.

5 Risk Management

5.1 Risk Assessment

5.1.1 Objective

The objective is to identify and manage all risks to the organisation and Network Rail through the delivery of its activities to ensure they are undertaken in an effective and safe manner in so far as is reasonably practicable (SFAIRP).

5.1.2 Requirement

Suppliers shall incorporate Health and Safety controls into their risk management process.

The supplier shall have arrangements in place for the management of risk and the identification of controls to reduce the risk in so far as is reasonably practicable (SFAIRP). The arrangements shall demonstrate the methodology used for risk assessment including:

- a) utilisation of an appropriate cross section of employees in the process;
- b) identifying potentially hazardous events;

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- c) determining the frequency and severity of the consequences of the hazardous events;
- d) assessing the risk (e.g. via risk ranking matrix, FMEA, HAZOP as appropriate);
- e) identifying the control measures already in place;
- f) identifying possible additional control measures;
- g) documenting the risk assessment findings in a risk log;
- h) checking that risk assessments required by COSHH, PPE and Manual Handling legislation (and any other applicable legislation) are carried out;
- i) identifying all reasonably practicable controls and including them in company processes/method statement/work package plans;
- j) identifying in the risk log the generic top ten hazards/risks with the highest evaluated risk;
- k) briefing risk information to employees and other affected parties;
- l) reviewing risk assessments to check that the control measures remain adequate and effective including involvement of senior management;
- m) identifying those involved in the risk assessments process and their competences;
- n) consideration of direct and indirect impacts under normal, abnormal and emergency conditions;
- o) quantification of the environmental risk;
- p) developing action plans, objectives and targets;
- q) production and review of an impacts and aspects register;
- r) establishing assessments that are generic to the Organisation's scope of operations or unique to each particular contract;
- s) incorporating all applicable site issues into the relevant risk assessments;
- t) all infrastructure specific risks appropriate to the scope of services are captured within the organisation's risk management process;
- u) communicating risk assessments to staff, clients and Organisations/subcontractors;
- v) recording and retaining risk assessment briefing records;
- w) undertaking periodic reviews of risk assessments and the types of information the Organisation receives that may initiate a review of the risk assessments;
- x) reinforcing safe behaviour and re-educating un-safe behaviours (behavioural safety);
- y) managing issues related to environmental noise and restrictions on working hours.

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5.2 Control of Substances Hazardous to Health

5.2.1 Objective

The objective is that the supplier understands the risks and has appropriate arrangements in place for the Control of Substances Hazardous to Health.

5.2.2 Requirements

Suppliers shall:

- a) identify any substances used that might fall within the scope of the COSHH Regulations;
- b) obtain Manufacturers' Safety Data sheets for all substances used;
- c) undertake formal COSHH assessments based upon the Manufacturers Safety Data sheets;
- d) brief COSHH Assessments to all employees, organisations, subcontractors and the client as applicable;
- e) retain records of COSHH assessment briefings.

5.3 Implementation of Risk Controls

5.3.1 Objective

The objective is to confirm the supplier understands their risks, responsibilities and has appropriate arrangements in place.

5.3.2 Requirements

Suppliers shall:

- a) identify risk controls within the organisation's processes and communicating throughout their organisation;
- b) allocate responsibility for implementation of these arrangements to competent persons, including Professional Heads;
- c) detail how control measures are monitored/reviewed on a regular basis by personnel who understand the work being assessed;
- d) **incorporate or reference risk assessments** where method statements are produced.

6 Personal Protective Equipment

6.1 Objective

The objective is that Suppliers understand the risks and their responsibilities and that employees of the supplier are provided with appropriate PPE and are trained in its use.

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6.2 Requirements

Suppliers shall:

- a) issue PPE at induction and following loss or damage;
- b) provide PPE free of charge to own employees;
- c) monitor the use of PPE;
- d) detail the PPE required in the risk assessment (where applicable);
- e) confirm subcontractors working on associated projects have suitable controls in place for PPE;
- f) comply with LOLER and PUWER.

PPE includes Fall Arrest and Fall Prevention Equipment if applicable.

7 Refusal to Work on the Grounds of Health and Safety (Work Safe)

7.1 Objective

The objective is to remove employees' fear of disciplinary action, or being disadvantaged in any way, if they refuse to work on the grounds of health and safety and thereby encourage the identification of unsafe acts and conditions.

7.2 Requirements

Suppliers shall have arrangements for managing refusal to work on the grounds of Health and safety (Work Safe) including:

- a) having a documented Policy;
- b) recording/retaining records of briefing of the Policy;
- c) escalation in the event of conflict / disagreement;
- d) detailing that employees are not penalised for refusing to work on grounds of Health and Safety;
- e) recording reports of unsafe acts and conditions;
- f) responding positively and promptly to employees refusing to work on the grounds of Health and Safety;
- g) recognising the right of employees to escalate such concerns to the appropriate level of the organisation without fear of discrimination;
- h) advising line managers not to discriminate against employees who raise such issues;
- i) checking that their suppliers have similar refusal to work policies in place;
- j) advising employees of the arrangements and encouraging them to report unsafe acts and conditions;
- k) advising employees of the Confidential Incident Reporting & Analysis System (CIRAS).

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8 Welfare Arrangements

8.1 Objective

The objective is to provide adequate facilities (irrespective of work location), such that employees' health, welfare and wellbeing is not adversely affected while at work.

8.2 Requirements

The supplier shall provide and maintain welfare facilities for personnel under their control, including the provision of drinking water, toilets washing and rest facilities.

The supplier shall review:

- a) expected work duration (including 'door to door' travelling time);
- b) size and location of site;
- c) type of work to be undertaken;
- d) number of people involved in the work.

Particular attention should be given to provision of mobile facilities at transient work sites where fixed public facilities are not reasonably accessible.

NOTE: Where welfare facilities are not provided directly, the supplier should confirm that suitable welfare facilities are made available and keep records of any checks made.

9 Communication and Coordination

9.1 Objective

The objective is to share information on risk with interfacing organisations, and confirm employees are suitably briefed to achieve a co-ordinated approach to implementing risk control measures.

9.2 Requirement

The supplier shall:

- a) inform other organisations and brief their employees of any risks from work being carried out by the supplier and the necessary controls to be introduced;
- b) co-operate with other organisations working in the same area regarding the implementation of control measures for the adequate overall control of risk;
- c) provide access to: premises, worksites and employees for inspections and audits by organisations who may be affected by the supplier's operation;
- d) co-operate with the Principal Designer and/or Client (as applicable);
- e) co-operate with others to enable each party to discharge their duties under CDM 2015, the MHSAW Regs and any other relevant statutory duty. Identify how the supplier engages with the wider construction team to coordinate delivery of their service to, so far as reasonably practicable, safeguard the

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health and safety of those carrying out the work and those who are affected by the work;

- f) have processes in place for the controlled issue of Method Statements, RAMS, Work Package Plans and Task Briefings to staff and their suppliers (as applicable);
- g) have a process for the validation and checking of supplier Method Statements, RAMS, Work Package Plans and Task briefings (as applicable);
- h) implement a meeting structure for the dissemination of Health Safety and Environmental (HS&E) information to all employees (including suppliers as required), indicating frequency, attendees and overall purpose of each meeting;
- i) produce and delivering briefing material;
- j) communicate in a two-way process on Health Safety and Environmental matters;
- k) record communications;
- l) determine an appropriate variety of methods of communicating, such as notice boards, company newspapers, intranet, internet, videos, bulletins, leaflets, laminated cards, presentations, '1-2-1's, toolbox talks, information libraries, etc;
- m) provide details of regulatory visits to customers.

⋮ E.g. by HSE / ORR / EA / SEPA etc).

The supplier shall provide this information to site workers:

- a) site rules;
- b) risks to health and safety;
- c) environmental risks;
- d) measures for reducing risk;
- e) procedures to be followed in the event of an accident or other emergency.

Provide the following information to the principal contractor (where appointed):

- a) risks to health and safety from the supplier's activities;
- b) environmental risks;
- c) contractors appointed by the supplier to work on the project;
- d) details of accidents and dangerous occurrences;
- e) details of pro-active (leading) metrics (e.g. outputs from PGIs, Safety Tours and Audits).

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10 Workforce involvement

10.1 Objective

The objective is to make employees aware of changes to arrangements and to enable them to make contributions towards improvements.

10.2 Requirement

The supplier shall have arrangements in place for:

- a) consulting employees when:
 - i. procedures are to be changed;
 - ii. the organisation is to be changed;
 - iii. new technology, systems and processes are to be introduced;
 - iv. conducting risk assessments;
 - v. reviewing general performance matters;
- b) recording suggestions made by employees;
- c) reviewing suggestions and providing a response to employees.

11 Management of 'Close Call', Near Miss, Accident and Incident Reporting and Investigation

11.1 Objective

The objective is to confirm that the supplier has arrangements in place to investigate, analyse and report accidents and incidents (including safety and environmental events) involving their employees and/or operational activities and implement measures to prevent recurrence, and share any lessons learned within the industry.

11.2 Requirement

Suppliers shall:

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- a) demonstrate understanding of the requirements of RIDDOR;
- b) have a nominated person for the statutory reporting of accidents and incidents as identified in RIDDOR;
- c) maintain records of accidents, incidents, near misses and close calls;
- d) retain evidence that it has communicated the accident reporting process to its workforce and where applicable sub-contractors;
- e) have a documented process for undertaking local investigations, that contains:
 - 1) competence of people undertaking the investigation;
 - 2) briefing operatives to make them aware of the investigative process;
 - 3) a mechanism for feeding into the Clients formal enquiry process;
 - 4) arrangements to assist and provide records to enforcement agencies (Police, Environment Agency, HSE).
- f) produce and analyse Accident and Incident Statistics;
- g) produce annual reports detailing Accidents, Incidents and Dangerous Occurrences Statistics and making these reports available;
- h) manage accident and incidents appropriate to the severity of the event (Suppliers shall also have processes in place to reach a clear understanding of responsibilities for reporting and investigation on shared worksites);
- i) report (including to Network Rail / the principal contractor) of all 'close calls', 'near misses' and accidents (including all safety and environmental events in relation to pollution and or damage to the environment, property and equipment);
- j) carry out the statutory reporting of RIDDOR reportable events;
- k) manage the investigation of accidents and incidents in accordance with NR/L2/INV/002;
- l) appoint a competent person to undertake an investigation. Railway Group members shall demonstrate procedures to appoint a Designated Competent Person (DCP) as appropriate to set investigation remit and appoint a lead investigator;
- m) identify and track corrective and preventative actions until closed out;
- n) re-assess risks, if appropriate;
- o) brief employees and other parties on the findings of the investigation reports;
- p) share lessons learned via channels such as RPA, RICA, Rail Alliance, site and contract meetings with clients etc;
- q) implement (when applicable) and track internal progress of supplier actions following recommendations from major investigations/inquiries/inquests into

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accidents/incidents, e.g. HSE, ORR, RAIB, Coroner, Public Inquiry, Industry Investigation, Environment Agency.

12 Emergency and Contingency Planning

12.1 Emergency response

12.1.1 Objective

The objective is to confirm that the supplier has arrangements in place to respond to emergencies while undertaking activities on Network Rail managed infrastructure, including having sufficient first aid qualified employees and maintained first aid facilities available.

12.1.2 Requirements

Suppliers shall:

- a) prepare and distribute emergency response plans to its own personnel and suppliers and other affected parties;
- b) produce and distribute an emergency contact list;
- c) provide equipment for use in the event of an emergency;
- d) provide of sufficient competent personnel e.g. first aid staff;
- e) brief workers on the plans and testing the effectiveness of such plans;
- f) interface with and assist Principal Contractors, Infrastructure Managers, Regulatory Authorities, and the emergency services, etc.;
- g) review and revise the plans, particularly after an accident/incident or an emergency;
- h) assess the extent of first aid facilities required to be provided on site;
- i) maintain first aid competences;
- j) maintain first aid facilities.

NOTE: Where the emergency planning on projects is the responsibility of another party it should be established that the supplier reviews and communicates applicable arrangements

12.2 Restoration of Service (Business Continuity and Disaster Recovery)

12.2.1 Objective

The objective is to confirm that the supplier has arrangements in place to identify critical operations and risks and provide a plan to maintain and/or restore operations during a crisis.

12.2.2 Requirements

Suppliers shall have arrangements for the preparation and implementation of a business continuity management process so a coordinated programme can be put into place.

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These arrangements shall include:

- a) demonstrating that Business Continuity been addressed within the business using a formal plan or corporate process;
- b) documenting Business Continuity arrangements including a phased recovery plan with key recovery stages identified;
- c) allocating responsibility to a senior person within the business for business continuity;
- d) identifying command and control structure in all key areas of the business so the programme is implemented to minimise disruption to production / service;
- e) identifying a communications person (For Business Continuity issues) to deal with media, internal communication and other interested parties including customer base where applicable.

13 Supply Chain Management

13.1 Supplier and Subcontractor Management

13.1.1 Objective

The objective is to confirm that the supplier has arrangements in place to select and manage capable and competent suppliers of services to undertake work in a safe and efficient manner whilst paying due regard to the environment and quality of work delivered.

13.1.2 Requirement

The supplier shall have arrangements in place for selecting and managing suppliers of services. The arrangements for selection shall include utilisation of a Network Rail approved supplier qualification scheme and/or the supplier's own demonstrably *equivalent* process for the assessment of suppliers.

Suppliers providing services with sponsored staff under the Sentinel scheme and/or providing safety critical services directly to Network Rail shall be RISQS Qualified by the contract start date and shall remain so for the duration of the contract as a minimum.

Suppliers providing services with sponsored staff under the Sentinel scheme and/or providing safety critical services indirectly to Network Rail shall be qualified through a *Network Rail approved supplier qualification scheme* by the contract start date and shall remain so for the duration of the contract as a minimum.

Suppliers shall:

- a) check that suppliers are competent and have the resources to carry out the required work;
- b) check that the providers of designated services to the supplier (e.g. PTS and associated training, alcohol and drugs testing) are approved by Network Rail or other body carrying out approval's on Network Rail's behalf;

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- c) populate and maintain an approved supplier list;
- d) carry out risk-based planned general inspections of their suppliers' worksites;
- e) carrying out risk-based audits on their suppliers' management system;
- f) review their suppliers' performance;
- g) produce and make available to appropriate employees, a list of qualified suppliers containing sufficient and appropriate information to aid selection for contract;
- h) review periodically suppliers' qualifications (annually as a minimum);
- i) assess the historical competence of its supply chain and their ability to meet designated functions under UK Legislation;
- j) identify the relevant licences and trade associations that the supply chain are members of dependent upon the scope of service offered and records kept;
- k) have a process in place for ensuring information is provided to potential suppliers and understood by them;
- l) have in place processes to manage sublet work/design packages with Organisations that are based overseas and check that they are able to meet UK regulatory requirements;
- m) have an approval process in place prior to placing a contract for works with an approved supply chain member;
- n) identify the minimum levels of insurance applicable and required to be held by its supply chain;
- o) undertake supply chain auditing or use third party systems or organisations to undertake this for them;
- p) have a process for the recording and monitoring of any corrective actions raised at supply chain audits;
- q) undertake post contract reviews of supply chain performance and the results of these reviews should be communicated through the business;
- r) have a mechanism to verify and ensure that products and components procured are approved and fit for purpose.

Examples of service providers that require Network Rail's approval include:

- a) medical providers (approved through RISQS);
- b) alcohol and drugs testers (approved through RISQS);
- c) training providers and competence assessors (licensed by NSAR).

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14 Competence Management

14.1 Recruitment and Induction

14.1.1 Objective

The objective is to confirm that the supplier has arrangements in place to employ staff who have the necessary understanding and skills to discharge their duties.

14.1.2 Requirement

Suppliers shall have a policy on and arrangements for the recruitment and induction of employees and others under its control including sub-contractors and self-employed personnel.

This shall include:

- a) having a suitable process and evidence of implementation;
- b) identification of the competence requirements for job roles;
- c) arrangements for selecting personnel (e.g. advertising selection, interview) including assessing candidates' qualifications, experience and skills;
- d) a process in place to assess / verify that workers carrying out protection activities can communicate in English (both written and oral);
- e) a suitable induction process and evidence of implementation;
- f) training employees and the assessment and development of employees' competence;
- g) maintaining records of induction and ongoing communication;
- h) communicating the need for workers carrying out safety critical tasks to carry safety critical identification cards: (induction / toolbox talks / briefing records).

14.2 On-going Competence Management

14.2.1 Objective

The objective is to confirm that the supplier has arrangements in place to maintain the competence of staff so they maintain the skills to discharge their duties.

14.2.2 Requirement

The competence management system shall meet the requirements set out in NR/L1/CTM/001.

This shall include:

- a) identifying tasks where competent execution of the task is required to manage safety effectively (ref. risk assessments);
- b) identifying and documenting competence requirements for the tasks to be carried out, considering health, safety and environmental awareness;

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- c) training employees including:
 - 1) establishing training and development requirements;
 - 2) selecting training providers;
 - 3) providing initial and ongoing training and mentoring;
- d) assessing and developing competences, including:
 - 1) ongoing coaching and appraisals (both safety critical appraisals and non safety-critical performance assessments);
 - 2) verification of the competences of those carrying out competence assessments.
- e) checking the necessary competences are obtained before tasks are undertaken, including checking the competence of their suppliers' employees;
- f) maintaining training and competence records;
- g) how the Organisation identifies competence requirements for particular activity;
- h) evidence of identifying and meeting statutory competence requirements as distinct from client-specific competencies;
- i) evidence that current personnel have experience with that work type (for multi-disciplinary organisations);
- j) how the Organisation records what training or levels of competency required for the position;
- k) the Organisation a process for certification expiry/re-training event dates;
- l) the capability to meet the professional qualification requirements and review and changes or updates for its activities (if applicable);
- m) that the Organisation has a means of identifying certification expiry/re-training event dates and, where necessary, competency assessment events due dates;
- n) how the Organisation identifies and meets industry/client-specific competence/ training requirements (e.g. Sentinel Sponsorship);
- o) that the relevant competency standards been documented; these may be drawn from external organisations;
- p) where competency standards have been developed internally these must be signed off by competent personnel;
- q) how remote workers are advised of their need to be re-assessed (if applicable);
- r) if appraisals of personnel performance and personal training plans put in place;

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- s) whether the company has documented process in place for complying with the IRSE Licensing Scheme (Signalling only);
- t) where IRSE is used that the organisation has documented procedures for the management of IRSE licensing requirement or confirming the competence of signalling personnel;
- u) checking the company has a process in place for the mentoring and development of personnel deemed “not yet competent”;
- v) demonstrating that competency management records support the management system presented;
- w) having a process for the mentoring, development and re-training of personnel following an accident or who are unfamiliar with an area.
- x) Ensuring that the track safety and engineering competencies are in accordance with published Network Rail company standards and specifications.

15 Plant and Equipment

15.1 Management, Maintenance and Servicing Products and plant (including safety critical)

15.1.1 Objective

The objective is to confirm that the supplier has arrangements in place to select only products and plant that are technically sound, fit for purpose and safe to use in the intended application.

15.1.2 Requirement

The supplier shall have arrangements in place for checking that products and plant falling into the scope of Network Rail Company Standard NR/L2/RSE/100 ‘*Network Rail Assurance Panel Process*’ are approved by Network Rail prior to use and have arrangements in place for selecting suitable suppliers of such products and plant.

The arrangements for supplier selection shall include utilisation of the supplier qualification scheme or the supplier’s own demonstrably *equivalent* process for the assessment of suppliers.

NOTE: See: NR/L2/RSE/100/05 for more information.

The arrangements shall:

- a) identify products and plant falling within the scope of NR/L2/RSE/100/05;
- b) populate and maintain an approved supplier list;
- c) check that products and plant are procured only from a supplier on the approved supplier list;
- d) produce, and make available to appropriate employees, a list of approved suppliers;

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- e) assess risks and identify control measures when selecting products and plant;
- f) check that all other goods and products to be used on railway related contracts are fit for purpose;
- g) pass information to customers/users regarding damaged equipment or equipment under temporary repair before going back into service;
- h) carry out audits on implementation of suppliers' management system;
- i) review their suppliers' performance;
- j) review periodically their suppliers' qualifications;
- k) check work equipment is fit for purpose;
- l) have a process to identify each item of plant or machinery;
- m) for suppliers providing On-track plant (OTP) an up to date inventory of all on-track plant that it operates;
- n) arrangements to approve all plant, small hand tools and equipment prior to use;
- o) processes to control calibration requirements (if applicable);
- p) check equipment hired from a third party is fit for purpose;
- q) having processes in place to identify and deliver statutory and other inspections/ service maintenance (e.g. Vehicle mounted fire extinguishers, Lifting Accessories, LEV);
- r) checking maintenance and service procedures identify quarantine arrangements so equipment that is not fit for purpose cannot be used.

15.2 Use of plant and equipment (including safety critical)

15.2.1 Objective

The objective is to use only plant and equipment on Network Rail Managed Infrastructure that is properly maintained and that it is operated by competent individuals.

15.2.2 Requirement

The supplier shall have arrangements in place for managing the safe use of plant and equipment used on Network Rail Managed Infrastructure and implementing relevant statutory requirements, including the *Provision and Use of Work Equipment Regulations 1998*.

The arrangements shall include:

- a) checking that Network Rail approved plant and equipment is used when required;

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- b) identifying a safe method of use based on the risk assessment findings – consideration to be given to plant, transportation, access and use, and the need for appropriate PPE;
- c) uniquely identifying plant and equipment for control and maintenance purposes;
- d) maintenance of supplied plant and equipment;
- e) calibrating tools and equipment (where applicable);
- f) establishing supervision requirements providing information regarding operator training;
- g) the segregating (quarantine) of substandard and faulty plant and equipment, so that it is not unintentionally put into service;
- h) checking that lifting equipment and its ancillary (chains/ slings/ strops) equipment are used, with processes to check they remain safe (if applicable);
- i) detailing the competence requirements for internal staff involved in maintenance, inspections and servicing of equipment;
- j) checking maintenance work plans are signed by a competent person;
- k) checking maintenance / service check sheets are in place for all machines, trailers and attachments, along with an annual maintenance programme indicating when next planned maintenance is due;
- l) retaining records of completed maintenance/service check sheets for all machines, trailers and attachments;
- m) checking arrangements are in place for the implementation of 'Pre-Delivery Inspection' (Fitter) and 'Pre start' checks (Operator) and that these are formally recorded;
- n) having, where applicable, a documented process for the reporting of high risk / safety related defects.

NOTE: The site management and control of on-track plant in Network Rail engineering possessions and projects is only permitted by a corporate operator holding a Plant Operations Scheme certificate.

16 Human Resources including Occupational Health Management

16.1 Occupational Health

16.1.1 Objective

The objective is to confirm that the supplier has arrangements in place to be aware of the health and wellbeing of their employees and to meet occupational health surveillance requirements.

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16.1.2 Requirements

Suppliers shall have arrangements in place to understand and monitor the health of its employees.

These shall include:

- a) having a process in place for long-term health issues to be risk assessed;
- b) documenting who has been involved in setting up the occupational health process (employees, specialist advice, Unions or representatives);
- c) detailing how the potential hazards are identified;
- d) having processes in place to bring the risks down to as low as is reasonably practicable;
- e) understanding the medical condition of all employees before they start working for the Organisation;
- f) having a process in place for when personnel change roles for reviewing their occupational health requirements assessed prior to starting;
- g) undertaking a programme of routine health surveillance;
- h) having processes in place to ensure that control measures remain appropriate to individual's condition/ requirements;
- i) having access to occupational health surveillance/ advice, undertaken in-house or by a specialist provider;
- j) detailing how often is the occupational health process reviewed and record evidence of this review;
- k) detailing whether the Organisation manages their subcontractors in this area, if applicable;
- l) securely storing its occupational health information on employees;
- m) giving employees the opportunity to review the Records kept regarding them if requested;
- n) retaining records for the minimum period applicable to the type of record.

16.2 Managing worker and suppliers' workers' fatigue

16.2.1 Objective

The objective is to minimise the risk of workers not being able to discharge their duties safely due to fatigue.

16.2.2 Requirements

The supplier shall have arrangements in place for identifying, risk assessing, planning and preventing the fatigue of employees (including agency), contractors and that sub-contractors have arrangements in place to manage fatigue of their workers (including agency).

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The arrangements shall include:

- a) identifying the activities and tasks in the organisation and supplier's organisations where fatigue could result in impaired performance and increased operating risk;
- b) carrying out fatigue risk assessments HSE's FRI or similar may be utilised;
- c) the working time limits that workers shall be permitted to work;
- d) planning work so that exceedances are not required;
- e) authorising unforeseen exceedances (including risk assessments);
- f) monitoring actual hours worked;
- g) analysing trends in hours worked (including travel time, etc) and correlating this with error and incident data, skill availability and sickness/absence data and taking appropriate action in the light of identified patterns and trends;
- h) plans and objectives for controlling actual hours;
- i) plans and objectives for reducing unforeseen exceedances (if applicable);
- j) arrangements to prevent workers from carrying out or continuing to carry out work activities where there is reason to believe they are unfit due to fatigue;
- k) retention of records as per NR/L3/INF/02226;
- l) NR/L2/ERG/003 'Management of fatigue: Control of working hours for staff undertaking safety critical work' (ROGS);
- m) assessment of what fatigue arrangements are appropriate for their staff including compliance with ROGS.

NOTE 1: A 'Fatigue Risk Index' is available for download from the Health and Safety Executive website. There are other tools or assessment methods which could be used.

NOTE 2: Suppliers should note the general duty of care with regard to the planning and control of the combination of individual employee's work, walking time, handover/wash-up time and travel time.

NOTE 3: This standard outlines the requirements for managing fatigue and working hours and demonstrates the means by which compliance with Regulation 25 of the 'Rail and Other Guided Transport Systems (Safety) Regulations 2006' is realised

16.3 Alcohol and drugs arrangements

16.3.1 Objective

The objective is to minimise the risk to and imposed by workers carrying out tasks whilst under the influence of drugs or alcohol.

16.3.2 Requirement

The supplier shall have arrangements in place for checking that all workers under its control do not access Network Rail Managed Infrastructure or carry out safety critical tasks while under the influence of drugs or alcohol.

The arrangements shall include:

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- a) briefing employees on drugs and alcohol (company/client/railway group) policy i.e. pertaining to work activity;
- b) managing employees (and their suppliers' employees) taking prescription and over the counter medicine;
- c) selecting and appointing an approved drugs and alcohol testing provider;
- d) routine, pre-appointment testing - such as pre-employment and following transfer to a post which requires the employee to be qualified in Personal Track Safety or is designated a safety critical work post;
- e) carrying out a risk-based programme of random testing (5% per annum is typical);
- f) carrying out 'for-cause' testing – i.e. following accidents, serious incidents or suspected of being unfit through drugs or alcohol, where applicable;
- g) implementing actions following a failure of a drugs and alcohol test;
- h) access and update arrangements to the Sentinel database for changes to status of sponsored 'Sentinel' employees;
- i) dealing with appeals internally;
- j) keeping records (10 years from the date of testing. Records of positive tests shall be retained indefinitely).

16.4 Employment medicals

16.4.1 Objective

The objective is to minimise the risk of workers, suffering from medical conditions that may adversely affect themselves or others.

16.4.2 Requirement

The supplier shall have arrangements in place for checking that workers under its control meet and maintain the health requirements in Network Rail company standards and Railway Group Standards.

The arrangements shall include:

- a) carrying out pre-employment medical examinations, set out in NR/L2/OHS/00124;
- b) checking that persons engaged to work on Network Rail Managed Infrastructure meet the requirements set out in NR/L2/OHS/00120.
- c) carrying out routine medical examinations, including risk-based health surveillance as appropriate;
- d) a process for managing any employee declaring:
 - i. a negative change to their state of health or

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- ii. the taking prescription drugs that may impact on the safety of themselves or others.
- e) obtaining medical self certifications for Track Visitor Permits;
- f) checking their supplier's arrangements for employee medicals.

16.5 Control of bribery

16.5.1 Objective

The objective is to manage and control the risk of bribery occurring among a supplier's employees and within 'agents' acting on behalf of the supplier.

16.5.2 Requirement

The supplier shall:

- a) periodically formally assess the risk of bribery within its organisation or that of its associated persons;
- b) have in place clear, practical and accessible anti-bribery procedures proportionate to the risks identified;
- c) demonstrate top level commitment to the prevention of bribery;
- d) carry out due diligence on its suppliers, subcontractors and agents to identify any corrupt practices;
- e) communicate anti-bribery procedures to staff and 'agents';
- f) monitor and periodically review the policy and procedures particularly if conditions change.

NOTE: If any periodic assessment indicates that the risk of bribery is insignificant, guidance from the Ministry of Justice is that formal procedures will not be required. See Ministry of Justice website. <http://www.justice.gov.uk/guidance/making-and-reviewing-the-law/bribery.htm>

16.6 Insurance arrangements

16.6.1 Objective

The objective is to provide sufficient financial cover in the event of matters of an unseen nature arising that result in loss or damage or financial loss.

16.6.2 Requirement

The supplier shall have arrangements in place to provide the required insurance cover and shall include:

- a) providing at least the minimum levels of insurance required by law;
- b) providing levels of insurance as specified on a contract specific basis;
- c) acknowledging that Network Rail will provide Contractor all risks and public liability insurance or self-insurance on construction projects;

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- d) making sub contract arrangements that pass on appropriate insurance requirements;
- e) maintaining required insurances with reputable insurers for the periods stated in the contract.