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NR/L2/SCO/302

Module 04

Supplier Qualification – Rail Interface (Safe Work) Planning Requirements

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Ref:	NR/L2/SCO/302/04
Issue:	1
Date:	06 June 2020
Compliance date:	05 September 2020

Contents

1 Purpose 3

2 Scope 3

3 Management Control 3

3.1 Management Structure 3

3.2 Management of Legal and Other Requirements 4

3.3 Compliance with CDM Regulations 2015 4

3.4 Management Systems 4

3.5 Policy Control 5

3.6 Monitoring Safe System of Work Pack (SSoWP) compliance 5

3.7 Document Control..... 6

4 Monitoring 7

5 Implementation of Risk Controls 8

5.1 Communication and Coordination 8

6 Management of Accidents and Incidents 9

6.1 Emergency and Contingency Planning..... 9

7 Supply Chain Management..... 9

7.1 Supplier and Subcontractor Management 9

7.2 On-going Competence Management..... 9

8 Competence Management 11

8.1 Recruitment and Induction..... 11

8.2 On-going Competence Management..... 11

9 Plant & Equipment..... 11

9.1 Management, Maintenance and Servicing..... 11

Ref:	NR/L2/SCO/302/04
Issue:	1
Date:	06 June 2020
Compliance date:	05 September 2020

1 Purpose

This document seeks to mitigate the risks that suppliers import when working on Network Rail Managed Infrastructure and sets out the management system and management process requirements for suppliers planning for the protection of trackside staff from the operational railway in accordance with NR/L2/OHS/019e.

2 Scope

This module specifies the requirements for supplier qualification.

It applies to:

- a) Network Rail employees contracting a supplier for safety critical work
- b) Suppliers who plan for the protection of trackside staff in accordance with NR/L2/OHS/019.

3 Management Control

3.1 Management Structure

3.1.1 SWP Roles and Responsibilities

The auditor shall verify that the Supplier has arrangements in place for, and records the appointment of:

- a) a Senior Manager Responsible for Safe Work Planning (SWP)
- b) manager(s) Responsible for Safe Work Planning (Responsible Manager)
- c) Safe Work Planner(s)
- d) Person in Charge

The auditor shall verify that the Supplier has documented the organisation structure applicable to the management and delivery of safe systems of work planning activities in compliance with the Roles and Responsibilities defined by the infrastructure manager for the infrastructures on which the Supplier operates.

The auditor shall verify that the Supplier has arrangements in place for:

- i. reviewing the SWP requirements for the infrastructures on which the Supplier operates.
- ii. documenting the organisational structure for the delivery of safe system of work planning activities in accordance the relevant infrastructure manager's requirements.
- iii. keeping the organisational structure documentation current.
- iv. setting up and implementing a means of communication with those who provide key Safety, Health, Environmental, Quality, local knowledge or technical expertise where this is procured from outside the organisation.
- v. demonstrating their understanding of the roles and responsibilities of the provider in planning a safe system of work in relation to roles undertaken by others (e.g. Principal Contractors (PCs), On-Track Plant Operations Scheme (POS) providers and relevant infrastructure managers).

Ref:	NR/L2/SCO/302/04
Issue:	1
Date:	06 June 2020
Compliance date:	05 September 2020

- vi. risk assessing, validating and briefing out material changes to the management system.
- vii. nominating roles to projects and ensuring those nominated have the skills and local knowledge to carry out the planning activities.

3.2 Management of Legal and Other Requirements

The auditor shall verify that:

- a) The Supplier has documented the safe system of work planning activities included within the scope of approval and on which infrastructures these are delivered
- b) The Supplier is acting as a Primary Sponsor to personnel
- c) The Supplier can demonstrate knowledge and awareness of the requirements for safe system of work planning and development of Safe System of Work packs (SSoWP).

3.3 Compliance with CDM Regulations 2015

The auditor shall verify that the Supplier has documented the organisation structure for the management and delivery of safe systems of work planning activities in compliance with the Roles and Responsibilities as defined by the infrastructure manager for the infrastructures on which the Supplier operates (e.g. NR/L2/OHS/019).

The auditor shall verify that the Supplier has arrangements in place for:

- i. reviewing the SWP requirements for the infrastructures on which the Supplier operates.
- ii. documenting the organisational structure that is adequate for the delivery of safe system of work planning activities in accordance the relevant infrastructure managers requirements.
- iii. keeping the organisational structure documentation current and relevant at all times.
- iv. setting up and implementing a means of communication with those who provide key Safety, Health, Environmental, Quality, local knowledge or technical expertise where this is procured from outside the organisation.
- v. demonstrating their understanding of the roles and responsibilities of the provider in planning a safe system if work in relation to roles undertaken by others (e.g. Principal Contractors (PCs), On-Track Plant Operations Scheme (POS) providers and relevant infrastructure managers).
- vi. risk assessing, validating and briefing out material changes to the management system.
- vii. nominating roles to projects and ensuring those nominated have the skills and local knowledge to carry out the planning activities.

3.4 Management Systems

The auditor shall verify that the Supplier management system(s) contains documented procedures for the management of:

Ref:	NR/L2/SCO/302/04
Issue:	1
Date:	06 June 2020
Compliance date:	05 September 2020

- a) organisation structure
- b) the Organisation approval as a Safe Work Planning Provider
- c) identification and provision of Insurance requirements
- d) selection and Use of Suppliers
- e) resources
- f) competence Management
- g) planning
- h) emergency Planning
- i) communication and Co-ordination
- j) monitoring
- k) communication and Investigation of breaches of safe system of work planning arrangements and processes

3.5 Policy Control

The auditor shall verify that the supplier has arrangements in place for the proactive and reactive monitoring of the effectiveness of the railway safe systems planning activities.

The arrangements shall include:

Continuous review

Managers, Supervisors (including responsible managers) shall carry out informal and routine inspections to review the effectiveness of planning and task delivery by the observation of staff at work including:

- a. Unsafe behaviours, activities and/or conditions
- b. Corrective actions implemented to address unsafe behaviours, activities and/or conditions
- c. Evidence of feedback on these activities provided to the person in charge
- d. Local arrangements used to record concerns/risks identified and action plans put in place to prevent reoccurrence and drive continual improvement
- e. Key performance indicators used by the Supplier to measure compliance with the requirements for safe systems of work planning.

3.6 Monitoring Safe System of Work Pack (SSoWP) compliance

The responsible manager shall each period:

- a. monitor the return of all SSoWPs that have been produced. Where a pack is not returned a record shall be kept and an investigation initiated to identify the reason for non-return.
- b. maintain a record of the number of SSoWPs issued and not implemented.
- c. maintain a record of all instances of SSoWPs being verified on the same shift as the work.
- d. review all SSoWPs that have been returned with highlighted errors/amendments.
- e. maintain evidence that any errors found have been discussed with the person in charge and any other individuals responsible for those errors;

Ref:	NR/L2/SCO/302/04
Issue:	1
Date:	06 June 2020
Compliance date:	05 September 2020

- f. record any actions taken to prevent re-occurrence of errors found.
- g. review a percentage of completed and implemented SSoWPs in line with the level set by the relevant Infrastructure Manager (e.g. Network Rail require at least 10% of completed and implemented SSoWPs; (or review a minimum of 50 SSoWPs where an Organisation prepares more than 500 SSoWPs per period).

Reviews of implemented plans shall identify and assure whether the SSoWP:

- i. Produced was accurate, appropriate and within the timescales.
- ii. Was verified and authorised as required prior to implementation;
- iii. All relevant fields were completed accurately (including signatures).
- iv. Was implemented as planned and any changes made were authorised as required
- v. Errors/amendments identified by the person in charge have been corrected prior to re-issue of the SSoWP.

Monitoring of safe system of work use

- Suppliers shall have documented processes by which Senior managers (or other nominated equivalent accountable and responsible persons) monitor the level of work carried out under each level of the hierarchy of control for operational risk.
- Suppliers shall maintain records to demonstrate that the monitoring of the level of work carried out under each level of the hierarchy of control for operational risk has been implemented.

3.7 Document Control

The Auditor should establish that the document control procedures include content of plans.

The Supplier shall demonstrate that all plans produced include:

- a) Site Diagram
- b) Visual Schematics
- c) Hazard Information
- d) Emergency Contact Numbers
- e) Safe System of Work Arrangements
- f) Interface Arrangements
- g) Plans are recorded on the correct templates.

The auditor shall verify that personnel have access to all relevant documentation, which should include the Hazard Directory, Sectional Appendix, planning tools, visual schematics, site diagrams and records of local knowledge held.

Ref:	NR/L2/SCO/302/04
Issue:	1
Date:	06 June 2020
Compliance date:	05 September 2020

The Supplier shall demonstrate adequate change management controls captured within the document control arrangements. Change management controls shall detail controls for managing change to the plan, both during the planning phase and at the point of execution of work.

4 Monitoring

The auditor shall verify that the supplier has arrangements in place for the proactive and reactive monitoring of the effectiveness of the railway safe systems planning activities.

The arrangements shall include:

Continuous review

Managers, Supervisors (including responsible managers) shall carry out informal and routine inspections to review the effectiveness of planning and task delivery by the observation of staff at work including:

- a) Unsafe behaviours, activities and/or conditions
- b) Corrective actions implemented to address unsafe behaviours, activities and/or conditions
- c) Evidence of feedback on these activities provided to the person in charge
- d) Local arrangements used to record concerns/risks identified and action plans put in place to prevent reoccurrence and drive continual improvement
- e) Key performance indicators used by the Supplier to measure compliance with the requirements for safe systems of work planning.

Monitoring Safe Systems of Work Pack (SSoWP) compliance

The responsible manager shall each period:

- a) monitor the return of all SSoWPs that have been produced. Where a pack is not returned a record shall be kept and an investigation initiated to identify the reason for non-return.
- b) maintain a record of the number of SSoWPs issued and not implemented.
- c) maintain a record of all instances of SSoWPs being verified on the same shift as the work.
- d) review all SSoWPs that have been returned with highlighted errors/amendments.
- e) maintain evidence that discussions of any errors found have been discussed with the person in charge and any other individuals responsible for those errors;
- f) record any actions taken to prevent re-occurrence of errors found.
- g) review at least 10% of completed and implemented SSoWPs; (or review a minimum of 50 SSoWPs where an Organisation prepares more than 500 SSoWPs per period).

Reviews of the SSoWP shall identify and assure whether the SSoWP produced:

Ref:	NR/L2/SCO/302/04
Issue:	1
Date:	06 June 2020
Compliance date:	05 September 2020

- i. was accurate, appropriate and within the timescales.
- ii. was verified and authorised as required prior to implementation;
- iii. had all relevant fields completed accurately (including signatures).
- iv. was implemented as planned and any changes made were authorised as required
- v. had errors/amendments identified by the person in charge corrected prior to re-issue of the SSoWP.

Monitoring of safe system of work use

Suppliers shall have documented processes by which Senior managers (or other nominated equivalent accountable and responsible persons) monitor the level of work carried out under each level of the hierarchy of control for operational risk. Suppliers shall maintain records to demonstrate that the monitoring of the level of work carried out under each level of the hierarchy of control for operational risk has been implemented.

5 Implementation of Risk Controls

5.1 Communication and Coordination

The auditor shall verify that the Supplier has processes for communication and co-ordination within any worksite.

These processes shall be fully documented and include the following:

- a) Accident / incident reporting arrangements which are consistent with the PC's arrangements
- b) Emergency planning / contingency planning arrangements which are consistent with the PC's arrangements
- c) Arrangements for assessing information on risks
- d) Identifying when the site of work forms part of a group of sites of work where protection arrangements shall be coordinated
- e) Coordinating all activities to manage interface risks and any common controls
- f) Checking that each Supplier responsible for an activity taking place in the site of work cooperates in the planning and delivery of work with others in order to identify and control the risks arising from the interface between their activities.
- g) Checking that those Suppliers responsible for each activity within the site of work are aware of any change during the planning process and any additional management responsibilities they may have in the event of change.
- h) Checking that all Suppliers who implement the plan are made aware of the outcomes from the coordination process.
- i) Communicating the plan before the date of execution to the person in charge of work, the PC and any other relevant bodies that affect the plan such as those taking isolations and those working within a worksite protected by the plan.
- j) When working under a PC or Network Rail, Suppliers shall have arrangements for communicating with either the PC or Network Rail, including a nominated contact and a template for communication plans. Suppliers shall share key performance data with PCs or Network Rail.

Ref:	NR/L2/SCO/302/04
Issue:	1
Date:	06 June 2020
Compliance date:	05 September 2020

6 Management of Accidents and Incidents

6.1 Emergency and Contingency Planning

The auditor shall verify that the Supplier has in place adequate arrangements for contingency and emergency planning that recognise the additional elements that this form of planning requires.

These arrangements shall be fully documented and include:

- a) Risk based controls according to the complexity of the task
- b) Coordination and cooperation with the Principal Contractor in the preparation and distribution of contingency and emergency plans
- c) Briefing arrangements
- d) Testing of effectiveness and understanding
- e) Production and distribution of Emergency contact details
- f) Provision of equipment to be used in the event of an emergency
- g) Interfacing with, and supporting, the Principal Contractor, Network Rail, Regulatory Authorities and the Emergency Services
- h) Periodic and/or post incident review and revision of processes where necessary
- i) Communication and Investigation of breaches of safe system of work planning arrangements
- j) Accident / Incident Reporting Arrangements
- k) Emergency Planning / Contingency Planning Arrangements
- l) Assessment of risk information
- m) Coordination of Protection Arrangements
- n) Coordination of activities within the contingency & emergency plans
- o) Communication with person in charge of work, the Principal Contractor and other relevant bodies
- p) Sharing of Performance Data

7 Supply Chain Management

7.1 Supplier and Subcontractor Management

The auditor shall verify that the Supplier has arrangements in place for assuring the competence of their employees and hired-in staff involved in the planning process.

These arrangements shall be fully documented and include a process for recruiting planners and staff controlling the works (e.g. SPC, SWL) that includes assessment of experience, skills, knowledge and qualifications.

7.2 On-going Competence Management

The auditor shall verify that the Senior Manager Responsible for the development of safe systems of work and production of SSoWP is competent and experienced in setting policy and defining procedure and guidance for safe systems of work planning and the production of SSoWP activities. Where this role is sourced through

Ref:	NR/L2/SCO/302/04
Issue:	1
Date:	06 June 2020
Compliance date:	05 September 2020

an external provider, the Supplier shall have appointed a person with responsibility for coordination with the external provider.

The auditor shall verify that project specific Responsible Managers are appointed and are competent and experienced in managing the processes for development of safe systems of work and production of SSoWP.

The auditor shall verify that the Supplier has arrangements in place for Responsible Managers to:

- a) Assign safe systems of work planning activities to competent planners
- b) Commission and validate the plan prepared by the nominated planner(s)
- c) Accept and Reject plans
- d) Verify that the specified levels of protection are appropriate to location and nature of work
- e) Nominate Safety Critical Roles
- f) Monitor Performance Data including level of protection provided, and the number of plans rejected or changed on site.

The auditor shall verify that the Supplier has appointed competent planners. The Supplier shall demonstrate that all planners meet the following criteria:

- i. Have been formally nominated, trained and assessed as competent in the delivery of safe systems of work planning activities and production of SSoWP and associated arrangements
- ii. Have been formally assigned to develop and document plans and associated communication and coordination monitoring as directed by the Responsible Manager
- iii. Have been provided access to appropriate and competent resources in relation to the delivery of safe systems of work planning activities including lift planning and adjacent line open working
- iv. Has demonstrable arrangements for planners and staff controlling the works (e.g. SPC, SWL) to acquire and keep up to date local knowledge.
- v. Has a clear nomination process for assigning competent planners and staff controlling the works (e.g. SPC, SWL) to the delivery of safe systems of work planning activities.

The auditor shall verify that competence management arrangements include:

- A. A training and development process for planners and staff controlling the works (e.g. SPC, SWL) that includes processes for developing local knowledge, gaining access to required data, and acquiring any formal competencies which are required.
- B. Providing the Responsible Manager with training in the planning provider's management system to execute their responsibilities.
- C. Maintaining and developing employees and supplier's staff rail related competencies (e.g. in line with industry changes and technological developments).

Ref:	NR/L2/SCO/302/04
Issue:	1
Date:	06 June 2020
Compliance date:	05 September 2020

- D. Providing adequate and appropriate training including an assessment of competence for planners and staff controlling the works (e.g. SPC, SWL) resulting in an Authority to Work to carry out the role.
- E. That planners and staff controlling the works (e.g. SPC, SWL) who are being trained are supervised and do not undertake tasks they are not yet trained and assessed in
- F. Maintaining relevant knowledge and understanding of the rule book and industry processes associated with the production of safe systems of work planning SSoWP.
- G. System for providing and signing off an Authority to Work for employees and supplier’s staff.
 This could include the issue of an Authority to Work card detailing the specific assigned duties relating to safe systems of work planning activities.
- H. provision of training, guidance and mentoring of those who conduct briefings of the plan to the site team.

8 Competence Management

8.1 Recruitment and Induction

The auditor shall verify that the Supplier has arrangements in place for assuring the competence of their employees and hired-in staff involved in the planning process. These arrangements shall be fully documented and include a process for recruiting planners and SWLs that assesses experience, skills, knowledge and qualifications.

8.2 On-going Competence Management

The Supplier shall have arrangements in place to monitor and manage the competences held by those undertaking planning activities to check the organisation has competent staff carrying out their duties.

9 Plant & Equipment

9.1 Management, Maintenance and Servicing

The auditor shall verify that the Supplier has arrangements in place to confirm:

- a) equipment is provided to execute the plan, including equipment to verify sentinel cards, isolation equipment and possession management equipment.
- b) all On Track Plant (OTP) is provided by a POS provider, and is under the site control of the nominated POS Representative identified in the plan.
- c) the POS provider has assisted and agreed to the OTP plan, and this is integrated into the processes for the development of safe systems of work and production of Safe System of Work Packs (SSoWP).