RISQS Audit Protocol

Safe Work planning

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Preface

This protocol meets the RISQS Industry Minimum Requirements.

The audit is intended to facilitate the validation of information submitted by Supplier's on to the RISQS platform at the capability assessment stage and to assess additional areas of compliance as required by Infrastructure Managers and the RISQS Council. Audits take place upon initial entry to the scheme, on a periodic basis and where there are relevant changes to the Organisation's information within RISQS. Auditors and Auditees (i.e. organisation subject to audit) are required to familiarise themselves with the content of the audit and its requirements prior to the audit commencing.

Guidance Notes

The questions and guidance notes within this document are applicable to all suppliers with the exception of those questions ad bullet points' denoted *(TfL requirement)* which apply only to suppliers specifically limiting their scope of works to Transport for London (TfL) infrastructure.

Assessment Requirements

1. Management Control

1.1   Roles and Responsibilities

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

- A Senior Manager Responsible for Safe Work Planning (SWP)
- Manager(s) Responsible for Safe Work Planning (Responsible Manager)
- Safe Work Planner(s)
- Person in Charge

1.2   Management Systems

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

- Organisation structure
- Managing the Organisation approval as a Safe Work Planning Provider
- Identification and provision of Insurance requirements
- Selection and Use of Suppliers
- Resources
- Competence Management
- Planning
- Emergency Planning
- Communication and Co-ordination
- Monitoring
- Communication and Investigation of breaches of safe system of work planning arrangements and processes

1.3   Safe Systems Planning Provider Approval

The auditor shall verify that:

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

1.4   Organisation

The auditor shall verify that the Organisation 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 as defined by the infrastructure manager for the infrastructures on which the organisation operates (e.g. Network Rail Standard 'Safety of People at Work on or near the line' NR/L2/OHS/019)

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

- Reviewing the SWP requirements for the infrastructures on which the organisation operates.
- Documenting the organisational structure that is adequate for the delivery of safe system of work planning activities in accordance the relevant infrastructure managers requirements.
- Keeping the organisational structure documentation current and relevant at all times.
- 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.
- 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).
- Having arrangements in place for risk assessing, validating and briefing out material changes to the management system.
- Nominating roles to projects and ensuring those nominated have the skills and local knowledge to carry out the planning activities.

1.5   Document Control

The Auditor should establish that the document control procedures include content of plans. The Organisation must demonstrate that all plans produced include:

- Site Diagram
- Visual Schematics
- Hazard Information
- Emergency Contact Numbers
- Safe System of Work Arrangements
- Interface Arrangements
- 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.
The Organisation will demonstrate that it has adequate change management controls captured within the document control arrangements. Change management controls will detail controls for managing change to the plan, both during the planning phase and at the point of execution of work.

1.6 Monitoring of Safe System of Work Planning Arrangements

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:

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

Monitoring Safe Work Pack (SWP) compliance

The responsible manager, shall each period:

- Monitor the return of all SWP's 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.
- shall maintain a record of the number of SWP's issued and not implemented.
- Maintain a record of all instances of SWP's being verified on the same shift as the work.
- Review all SWP's that have been returned with highlighted errors/amendments.
- Maintain evidence that discussions of any errors found have been discussed with the person in charge and any other individuals responsible for those errors;
- Record any actions taken to prevent re-occurrence of errors found.
- Review a percentage of completed and implemented SWP in line with the level set by the relevant Infrastructure Manager (e.g Network Rail require at least 10% of completed and implemented SWP's; (Or Review a minimum of 50 SWPs where an Organisation prepares more than 500 SW'Ps per period).

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

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

Monitoring of safe system of work use

- 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.
- Records to support that the monitoring of the level of work carried out under each level of the hierarchy of control for operational risk. Has been implemented.

2. Safety Risk Management

2.1 Communication and Coordination

The auditor will verify that the Organisation has processes for communication and co-ordination within any worksite. These processes shall be fully documented and include the following:

- Accident / incident reporting arrangements which are consistent with the PC's arrangements, where appropriate
- Emergency planning / contingency planning arrangements which are consistent with the PC's arrangements, where appropriate
- Arrangements for assessing information on risks
- Identifying when the site of work forms part of a group of sites of work where protection arrangements must be coordinated
- Coordinating all activities to manage interface risks and any common controls (e.g. Emergency Plan, Isolation Plan and Access Plan etc.)
- Ensuring that each Organisation 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.
- Ensuring that those Organisations 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.
- Ensuring that all Organisations who implement the plan are made aware of the outcomes from the coordination process.
- 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.
- When working under a PC or infrastructure manager, Organisations must have arrangements for communicating with interfaces, including a nominated contact and a template for communication plans. Organisations must also share key performance data, such as the percentage of re-planned work.

3. Management of Accidents and Incidents

3.1 Emergency and Contingency Planning

The auditor shall verify that the Organisation 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:

- Risk based controls according to the complexity of the task
- Coordination and cooperation with the Principal Contractor in the preparation and distribution of contingency and emergency plans
- Briefing arrangements
- Testing of effectiveness and understanding
- Production and distribution of Emergency contact details
- Provision of equipment to be used in the event of an emergency
- Interfacing with, and supporting, the Principal Contractor, Infrastructure Manager, Regulatory Authorities and the Emergency Services
- Periodic and/or post incident review and revision of processes where necessary
- Communication and Investigation of breaches of safe system of work planning arrangements
- Accident / Incident Reporting Arrangements
- Emergency Planning / Contingency Planning Arrangements
- Assessment of risk information
- Coordination of Protection Arrangements
- Coordination of activities within the contingency & emergency plans
- Communication with person in charge of work, the Principal Contractor and other relevant bodies
- Sharing of Performance Data

4. Supply Chain Management

4.1 Supplier and Subcontractor Management

The auditor shall verify that the Organisation has adequate arrangements in place for the selection and use of suitable suppliers, including Safety Critical goods, products or services. These arrangements are to be fully documented and shall include:

- That work can be delivered in a timely manner, safely, without adverse impact to the environment and to the required quality.
- Services and goods utilised on rail related contracts are fit for purpose.
- Where the safe system of work planning provider hires in additional resources such as equipment or personnel the provider shall be subject to the same arrangements under the arrangements set out in this document.

5. Competence Management

5.1 Recruitment and Induction

The auditor shall verify that the Organisation 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 are to include:

- A suitable process for recruiting planners and staff controlling the works (e.g. SPC, SWL) that includes consideration of sufficient experience, skills, knowledge and qualifications.

5.2 On-going Competence Management

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

The auditor shall verify that the Organisation has arrangements in place to ensure Responsible Managers are responsible for:

- Assigning safe systems of work planning activities to competent planners
- Adequate preparation of the plan by the nominated planner(s) and commissioning and validating of the plan
- Accepting and Rejecting plans
- Verifying that the specified levels of protection are appropriate to location and nature of work
- Nominated Safety Critical Roles
- Monitoring Performance Data including level of protection provided, and the number of plans rejected or changed on site

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

- Have been formally nominated, trained and assessed as competent in the delivery of safe systems of work planning activities and production of SWP and associated arrangements
- Have been formally assigned to develop and document plans and associated communication and coordination monitoring as directed by the Responsible Manager
- 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
- Has demonstrable arrangements for planners and staff controlling the works (e.g. SPC, SWL) to acquire and keep up to date local knowledge.
- 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 clear 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.

- Ensuring that the Responsible Manager is provided with sufficient training in the planning provider's management system to effectively execute their responsibilities.
- Employees and supplier's staff have their rail related competencies maintained and developed (e.g. in line with industry changes and technological developments).
- 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.
- That planners and staff controlling the works (e.g. SPC, SWL) who are being trained are adequately supervised and do not undertake tasks they are not yet trained and assessed in
- Maintaining relevant knowledge and understanding of the rule book and industry processes associated with the production of safe systems of work planning SWP.
- Suitable arrangements 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.
- Ensuring the provision of training, guidance and mentoring of those who conduct briefings of the plan to the site team.

6. Plant & Equipment

6.1 Management of Plant and Equipment

The auditor shall verify that the Organisation has arrangements in place to ensure:

- That all relevant equipment is provided to execute the plan, including equipment to verify sentinel cards, isolation equipment and possession management equipment.
- That 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.
- That 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 Work Packs (SWP).