



RISQS Audit Protocol

On-Track Plant Operations Scheme (POS)

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Contents

Preface	3
Guidance Notes.....	3
Assessment Requirements.....	3
1. Management Control.....	3
1.1 Organisation.....	3
1.2 POS Providers Responsible Roles.....	4
1.2.1 On-Track Plant Operations.....	4
1.2.2 On-Track Plant Engineering	4
1.2.3 On-Track Plant Operations scheme representative.....	4
1.3 Monitoring of effectiveness of On-Track Plant planning	5
2. Safety Risk Management	6
2.1 Communication and Coordination.....	6
3. Supply Chain Management	7
3.1 Supplier and Subcontractor Management.....	7
4. Competence Management	8
4.1 On-going Competence Management	8
4.1.1. Competence:	8
4.1.2. Managing directly employed personnel:	8
4.1.3. Managing hired in personnel:	8
4.1.4. Monitoring performance of OTP personnel:.....	9
4.1.5. Special monitoring of OTP personnel that are either newly qualified or poorly performing:	9
5. Plant and Equipment.....	10
5.1 On-Track Plant (Scope of Operation)	10
5.2 OTP Acceptance and Maintenance.....	10
5.3 OTP Reliability	10
6. Human Resources including Occupational Health Management	11
6.1 Misconduct Processes.....	11
7. Operational Arrangements and Requirements	12
7.1 Operational Arrangements and Requirements.....	12
7.1.1. Operational Control:	12
7.1.2. Planning:.....	12
7.1.3. Control and supervision of OTP:	12
7.2 On-Track Plant Planning.....	12
7.3 Transfer of POS provider approval.....	13

Preface

This protocol meets the RISQS Board Industry Minimum Requirements for Prequalification.

The audit is intended to facilitate the validation of information submitted by Supplier's on to the RISQS platform at the prequalification stage and to assess additional areas of compliance as required by Infrastructure Managers and the RISQS Board. 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 and bullet points' denoted (*TfL requirement*) which apply only to suppliers specifically limiting their scope of works to Transport for London (TfL) infrastructure.

Assessment Requirements

POS

1. Management Control

1.1 Organisation

A POS provider shall have a management system and framework for the safe delivery of On- Track Plant (OTP) operations.

A POS provider shall have arrangements in place to:

- Document the organisational structure to demonstrate that it is adequate for OTP operations and planning.
- Keep the organisational structure and organisational charts current.
- Obtain the acceptance of responsibilities from all post holders.
- Set up a means of communication with suppliers where key Safety, Health, Environmental, Quality or technical expertise is procured from outside the organisation.
- Demonstrate their understanding of the roles and responsibilities of a Principal Contractor (PC) in relation to the POS provider.
- Risk assess, validate and brief out material changes to the management system. Proposed material changes are to be notified to the POS Administrator (Network Rail POS Review Panel) in sufficient time for review and approval prior to the material changes being implemented.

1.2 POS Providers Responsible Roles

The POS provider shall have appointed suitable personnel to undertake key roles.

1.2.1 On-Track Plant Operations

POS providers shall nominate a person to be responsible for OTP and the continued competence of all individuals involved in the work.

The person fulfilling this role shall be:

- Competent in managing the planning, operation and maintenance of OTP operations; and
- Responsible for assigning competent OTP Personnel including POS Representatives.

1.2.2 On-Track Plant Engineering

POS providers shall nominate a person to be responsible for OTP engineering and the continued competence of all individuals involved in the work.

The person fulfilling this role shall;

- Be competent in the design, manufacture, maintenance and engineering change aspects of OTP engineering.
- Have been trained and assessed as competent in the use of the safety systems used on items of OTP that are owned directly by their employing Organisation or might be used in OTP operations within the POS provider's scope of work;
- Be responsible for the product approval and engineering acceptance of OTP including engineering change.
- Where this role is sourced from an external organisation, the POS provider shall identify a person within their Organisation to be responsible for liaising with the external organisation.

1.2.3 On-Track Plant Operations scheme representative

POS Providers shall nominate at least one POS representative on each site where OTP is being utilised.

This post will be referred to as the POS Representative and the person(s) fulfilling this role shall be:

- Formally nominated, fully trained, and assessed as competent in the POS provider's management systems for delivery of the OTP plan and arrangements.
- The single point of contact for the Person in Charge Safe Work for OTP operation.
- Assist in the planning of OTP operations and the documenting of these in the OTP Plan.
- A direct employee of the POS provider.
- A POS representative shall not be engaged in, or be responsible for any other site safety critical duties except as a machine controller (MC) or a crane controller (CC), when only a single item of OTP is in use and they hold the corresponding competence.

1.3 Monitoring of effectiveness of On-Track Plant planning

The auditor shall verify that the POS provider shall have arrangements in place for the proactive and reactive monitoring of their own performance and that of their suppliers.

These arrangements shall be fully documented and include:

- Obtaining and collating their own and their supplier's monitoring data, e.g. site inspection reports, audits, accident reports, etc
- Analysing and reviewing performance data and other key performance indicators (KPIs), including OTP reliability and the identification of trends.
- Conducting a management review (at least annually) of the POS provider's processes and arrangements.
- Obtaining and reviewing their supplier's Railway Industry Supplier Qualification Scheme (RISQS) product codes and technical audits.
- Reviewing and discussing supplier performance with their suppliers.
- Identifying and closing out corrective actions and concessions in a timely manner.

2. Safety Risk Management

2.1 Communication and Coordination

The auditor shall verify that the POS can demonstrate their controlled processes for communication and co-ordination within possessions and worksites.

These arrangements shall be fully documented and include:

- A POS representative acting as the single point of contact during OTP activities.
- Accident / incident reporting arrangements. Including directly reporting accidents or incidents to NIR-online.
- Emergency and contingency planning arrangements.
- Arrangements for assessing information on risks etc. provided by the Principal Contractor and from the POS provider's own site walk out and the incorporation of any resulting information into the OTP Plan and Method Statement.
- Demonstrating that essential communication and / liaison between all those involved in the work takes place as planned.
- Where the POS provider is also undertaking the role of the PC, the representatives of the POS provider and the PC shall be separate; this being to ensure the integrity of both duties is maintained.

3. Supply Chain Management

3.1 Supplier and Subcontractor Management

POS providers shall have 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:

- OTP used on rail related contracts shall only be hired in from approved suppliers that have in place the necessary RISQS auditable product code.
- All hired in OTP and attachments used on rail related contracts are to be Network Rail approved and have a valid certificate of Engineering Acceptance (where applicable).
- Where a POS provider hires in additional resources such as OTP or personnel they shall be subject to the same arrangements for the planning of OTP operations as their own and shall be documented in the OTP Plan under the responsibility of the POS Representative.
- Where a POS provider hires in supporting services e.g. mobile cranes, general construction plant, etc., they shall be subject to the same arrangements for the planning of OTP operations and shall be documented in the OTP Plan under the responsibility of the POS Representative.
- Hired in supporting services and goods utilised on rail related contracts are fit for purpose and are properly maintained, in a serviceable condition that meets the required standard of performance and reliability accepted by Network Rail.
- All hired in plant, equipment and attachments will only be operated by competent personnel.

4. Competence Management

4.1 On-going Competence Management

A POS provider shall have arrangements in place for assuring the competence and fitness of their employees and hired-in staff involved in the operation and maintenance of OTP. These arrangements shall be fully documented and are to include:

4.1.1. Competence:

- Determining the specific competence requirements for OTP personnel including maintainers and logistics staff.
- Specific training for the POS Representative including an assessment of competence.
- Selection of new OTP personnel including maintainers.
- Provision of training on the operation and maintenance of OTP.
- Training and /briefing on the risks associated with OTP.
- Training and /briefing on avoiding points run through and incident awareness.
- Re-assessing competence periodically and retraining following identification of poor performance.
- Awareness of behaviour based safety for OTP personnel.

4.1.2. Managing directly employed personnel:

- Checking of depots and sites.
- Booking-on procedures.
- Monitoring of fitness and fatigue.
- Managing notice boards / late notice cases (where applicable).
- Distribution of operational information and briefings.

4.1.3. Managing hired in personnel:

- Assuring competence.
- Assuring fitness and monitoring fatigue.
- Monitoring performance.
- Sharing performance data.

4.1.4. Monitoring performance of OTP personnel:

- Compliance with operational arrangements.
- Booking on arrangements.
- Plant preparation.
- Machine operating techniques.
- Movement speeds of OTP.
- Acting when non-compliance is identified.
- Frequency of monitoring.
- Posts responsible for monitoring.

4.1.5. Special monitoring of OTP personnel that are either newly qualified or poorly performing:

- Criteria for instigating special monitoring.
- Additional monitoring to be carried out.
- Additional controls that may be required.
- Criteria for ending any special monitoring.

5. Plant and Equipment

5.1 On-Track Plant (Scope of Operation)

POS providers shall have a documented system that identifies the following:

- Number of items of OTP operated per week.
- Types and number of OTP owned, including their date of introduction.
- Types and number of OTP hired.
- Number of possessions operated per year.
- Number of OTP operating hours per year.
- Details of all maintenance facilities.
- Details of all accidents and close calls in the last 12 months.

5.2 OTP Acceptance and Maintenance

A POS provider shall have arrangements / processes in place for the approval, acceptance and maintenance of OTP.

These arrangements shall be fully documented and are to include the following:

- Network Rail product approval, or approval exemption.
- Engineering acceptance of OTP.
- A process for managing engineering Change following OTP modification or upgrade.
- Development and implementation of maintenance instructions for each type of OTP.
- Provision of suitable and sufficient maintenance facilities.
- Control of maintenance periodicity.
- Monitoring and reporting of maintenance performance.
- The regular review of maintenance instructions and a process for amending or updating maintenance instructions.
- Maintenance of Safety Critical systems (e.g. RCI calibration).
- Implementation of these requirements for hired in OTP through assurance and monitoring.
- Maintaining an up to date register of all OTP subject to these arrangements.

5.3 OTP Reliability

A POS provider shall have arrangements in place for monitoring the reliability of OTP.

These arrangements shall be fully documented and are to include:

- A reporting system in use to report faults accurately and in a timely way.
- A reliability improvement plan to detail proactive efforts in overcoming reliability issues and show any actions planned or taken to overcome OTP reliability issues.
- Analysis of reliability data collected to support continuous improvement against performance criteria.
- Actions taken to minimise damage during transit to ensure OTP remains fit for purpose prior to the start of work.
- Actions taken to ensure that all attachments supplied are properly cared for when not in use, providing additional safe/clean stowage where necessary.
- An assessment as to whether there is a need for an on-site fitter available throughout the work and the provision of a contingency spares/tools pack of commonly used items.

6. Human Resources including Occupational Health Management

6.1 Misconduct Processes

The auditor shall verify that the POS provider has a process in place to ensure that when an alleged breach of the POS rules is received the POS provider commences a Local Investigation. The Local Investigation must be suitably independent to ensure that it also considers system and management failures as part of the investigation report. Following completion of the Local Investigation, the POS must identify the improvements or remedial actions they will undertake to prevent a re-occurrence.

7. Operational Arrangements and Requirements

7.1 Operational Arrangements and Requirements

A POS provider shall have arrangements in place for implementing operational requirements. These arrangements are to be fully documented and shall include:

7.1.1. Operational Control:

- Communications processes.
- Exchange of information with Network Rail regarding diversions, speed restrictions, late notices and infrastructure failures.
- Interface with Network Rail's National Control regarding Urgent Operating Advices (RIS-3350-TOM) and Defect Reports (RIS-8250-RST) and (NR/PLANT/0200/module P100).
- Communicating conditions of low rail adhesion (RIS-8040-TOM).

7.1.2. Planning:

- Involvement in possession planning including input to such as; method statements and work package plans.
- Advising on the selection of the OTP for the work to be carried out.
- Selecting and controlling OTP personnel.
- Attending pre-possession meetings.
- Attending site walkouts.
- Involvement in the selection and use of competent lift planners to plan lifting operations.

7.1.3. Control and supervision of OTP:

- Pre-use checks.
- Setting up of OTP
- OTP movements (as required by Rule Book Module GE/RT8000 – HB15)
- Reports of OTP faults or defects.
- Exclusion zones and Duplex communications

7.2 On-Track Plant Planning

POS providers should assist in the development of an OTP Plan that includes all information relevant to the safe operation of the OTP. The auditor shall ensure that the organisation has processes in

place to ensure that documented OTP Plans will comply with NR/PLANT/0200 and include the following information as a minimum.

- Description of work to be undertaken and the use that will be made of the plant.
- Safe system for operations affecting any adjacent line open (ALO), overhead line equipment (OLE) or third and fourth rail areas including third party owned OLE.
- Limitations and obstructions to space and clearance such as gauge restrictions, bridges, platforms, buried cables and troughing etc.
- Identification of road-rail access point (RRAP) locations for on/off/cross tracking of OTP.
- The transportation of OTP to/from the site access point
- Worksite details and the movements involved, including to/from the worksite. g. Details of where different modes of operation are to be undertaken.
- Site briefing arrangements and responsibilities.
- Emergency information and the emergency plan applicable including contacts and recovery arrangements.
- Storage/stabling locations including security requirements on site.
- Communications including Duplex communications equipment.
- Arrangements for traffic management planning / cooperation including exclusion zones and safe movement of personnel and OTP from the delivery point and throughout the site of work.
- Contingency planning arrangements in place for preventing the operation of defective OTP performing a Safety Critical function.

7.3 Transfer of POS provider approval

Note: This question to be applied in cases where a POS provider is to be / has been acquired by another Organisation or group.

The auditor shall establish that due process has been followed, including as a minimum.

- The POS Review Panel had been notified in advance of the acquisition.
- The acquiring Organisation had produced a material change report to detail how the POS processes will be merged and the POS provider's approval transferred in practice.
- Evidence that the POS Review Panel had reviewed the material change report to determine if the POS provider approval can be transferred to the acquiring Organisation.