

(IMR Condensed - 5 Star Qualified Organisations).



# RISQS Audit Protocol

## Industry Minimum Requirements (IMR Condensed - 5 Star Qualified Organisations).

Document no.: RISQS-AP-012

Revision	Author	Checked by	Approved by	Date approved	Reason for revision
01	Carl Rulton	Alan Thomas	Richard Sharp	27-02-18	Initial Issue
02	Gillian Scott			27-03-19	Logo change only

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# 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

## 1. Management Control

### 1.1 Management Structure

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Note: This question is only to be applied where there have been changes to the structure of the Organisation, in which case change validation processes should have been applied; or where the persons holding key roles have changed during the period since the previous audit.

Auditor Note: The Auditor shall verify the change validation process has been applied and is documented by the Organisation.

- Evidence of current Organisational structure identifying key managerial posts i.e. Safety, Health, Environmental, Quality, technical, etc. and their responsibilities for working within the relevant sector.
- Evidence that roles have defined job descriptions and that these have been briefed to the post holder and acknowledged / signed by the post holder
- Evidence that deputies or alternative arrangements are in place for 'Key roles'.
- That there are suitably qualified personnel for the services provided.
- If there are different structures on projects how this relates to the overall hierarchy.
- Organisational structure changes must be subject to change validation processes prior to implementation, including:
- Risk assessment (including reviewing impact on product code capability, Safety and Environment.
- Sign off at appropriate management level.

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## 1.2 Health & Safety Competent Support

The Auditor shall verify how the organisation ensures that they have adequate Health and Safety support to manage the work activities identified within their profile that:

- hold a minimum qualification of NEBOSH general certificate or equivalent.
- they are members of an appropriate professional institution e.g. Institute of Occupational Safety and Health (IOSH); International Institute of Risk and Safety Management (IIRSM).

## 1.3 Management of Legal and Other Requirements

The Auditor shall verify how the Organisation ensures that they are aware of the requirements of, and changes to legislation and standards (Including relevant sector / industry standards and regulations):

- How the Organisation accesses and reviews Safety, Health and Environmental legislation and standards.
- How the Organisation accesses and reviews legislation and standards applicable to the rail sector appropriate to the scope of services provided (e.g. Railway Group Standards, Network Rail Company Standards, TfL QUENSH).
- Where an Organisation undertakes safety critical activities on TfL infrastructure they have access to and understand the requirements of TfL Document G0421 (Management and competency requirements of those that carry out protection activities).

## 1.4 Compliance with CDM Regulations 2015

The auditor shall verify how the Organisation complies with the relevant requirements within the Construction (Design and Management) Regulations 2015:

- If the Organisation acts as a Client that it can demonstrate mechanisms for:
  - Appointing other duty holders
  - Ensuring relevant information is provided to other duty holders
  - Ensuring the Principal Designer and Principal Contractor carry out their duties
  - Allocating sufficient time and resources (including welfare arrangements)
- If the Organisation acts as a Principal Designer, that it can demonstrate mechanisms for:
  - Planning, managing, monitoring and coordinating health and safety in the pre-construction phase of a project including:
    - identifying, eliminating or controlling foreseeable risks;
    - ensuring designers carry out their duties;
    - preparing and providing relevant information to other duty holders;
  - Liaising with the principal contractor to assist in the planning, management, monitoring and coordination of the construction phase.
- If the Organisation acts as a Designer that it can demonstrate mechanisms, when preparing or modifying designs, to:
  - Eliminate, reduce or control foreseeable risks that may arise during construction and the maintenance and use of a building once it is built.
  - Provide information to other members of the project team to help them fulfil their duties.
- If the Organisation acts as a Principal Contractor can it demonstrate mechanisms for:
  - Planning, managing, monitoring and coordinating the construction phase of a project. This includes:
    - liaising with the client and principal designer;
    - preparing the construction phase plan;
  - Ensuring that adequate resources are available to satisfy the work requirements;

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- organising cooperation between contractors and coordinating their work.
- Ensuring suitable site inductions are provided
- Ensuring site security (preventing unauthorized access)
- Ensuring workers are consulted and engaged in Health and Safety
- Ensuring welfare facilities are provided.
- If the Organisation acts as a Contractor that it can demonstrate mechanisms for:
  - Planning, managing and monitoring construction work under their control so that it is carried out without risks to health and safety;
  - Ensuring that adequate resources are available to satisfy the work requirements;
  - For projects involving more than one contractor, coordinating their activities with others in the project team
  - For single-contractor projects, preparing a construction phase plan

## 1.5 Management Systems

[Note: This question is only to be applied to documents that have been changed / amended during the period since the previous audit].

The Auditor should establish how the Organisation ensures that the Safety, Health and Quality Management Systems are assured:

- That preferably the Organisation should have an ISO 9001:2015 Quality certificate and/or OHSAS 18001:2007 certificate and/or an ISO14001:2015 certificate issued by a UKAS (or equivalent) accredited organisation in place.
- As a minimum a documented management system, appropriate to the scope of services, that meets all the quality, environmental and safety requirements detailed within this document

Auditor Note: The latest 3rd party surveillance reports are to be reviewed and where non-conformances were identified the auditor should review the actions planned and undertaken to close these.

- Where applicable the Organisation must have documented procedures that cover key issues relating to the hire out/supply/maintenance of On-track Plant (OTP).
  - Purchase of new machines
  - Accreditation of maintenance plans
  - Modification of machines
  - Maintenance procedures
  - Annual brake test procedure
  - RCI test procedure

## 1.6 Policy Control - "Question Exempt - 5 Star Qualification"

## 1.7 Document Control

[Note: This question is only to be applied to documents that have been changed / amended during the period since the previous audit].

The Auditor shall verify what the Organisation's arrangements are for the identification of all documents that require control to ensure the effectiveness of operations:

- The Organisation has a Document Control Procedure that identifies the key documents requiring control.

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Such as:

- National and International Standards,
- Relevant Legislation.
- Industry and Contract Specific Documentation, including, but not limited to such as; Railway Group Standards, client / customer standards and technical specifications.
- Documents supporting the Organisation's processes.
- The Document Control Procedure should identify:
  - How documents are reviewed and changes identified.
  - How documents are issued and reach their point of use; in particular multi sites.
  - The process for cancelled and superseded documentation.
  - Archiving and retention.
- How does the Organisation control the issue of drawings to specialist functions and construction functions/organisations?
- The auditor shall identify how the Organisation controls the issue of documentation (e.g. TfL Log Books, Rule Books, company documentation) to staff and perform a sample check of the records of issue.
- A master list of controlled documents and their status is maintained.
- The Auditor shall establish that there is a robust system in place, where applicable, to ensure that the following documentation is provided for items of plant (all OTP should be checked and a sample of other plant items):
  - Engineering Acceptance/Conformance (all pages) and endorsements
  - Network Rail product acceptance or letter of exemption
  - Record of thorough Examinations
  - Load radius charts (where machines are fitted with Rated Capacity Indicators (RCI's))
  - Log book/operator inspection report book
  - Brake test certificate
  - For Machine specific documentation has the Organisation nominated a responsible manager / individual?

## 1.8 Monitoring - "Question Exempt - 5 Star Qualification"

## 1.9 Design Management and Control - "Question Exempt - 5 Star Qualification"

## 2. Safety Risk Management

### 2.1 Health and Safety Risk Controls - "Question Exempt - 5 Star Qualification"

### 2.2 Control of Substances Hazardous to Health - "Question Exempt - 5 Star Qualification"

### 2.3 Implementation of Risk Controls

The Auditor shall verify the Organisation's arrangements for implementing the risk mitigation control measures identified through the Risk Assessment process:

- That the risk controls identified within the Organisation's processes have been communicated throughout their Organisation.
- That the responsibility for implementation of these arrangements has been allocated to competent persons, including Professional Heads.
- How the control measures are monitored/reviewed on a regular basis by personnel who understand the work being assessed.
- That where method statements are produced, risk assessments are incorporated or referenced.

Auditor Note: A sample of method statements shall be reviewed to ensure that risk assessments have been referenced during the compilation of method statements and that they are relevant to the works being undertaken.

### 2.4 Personal Protective Equipment - "Question Exempt - 5 Star Qualification"

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

The Auditor should establish the Organisation's arrangements for managing the refusal to work on the grounds of Health and Safety (Work Safe):

- That the Organisation has a documented Work Safe Policy
- That records of briefing of the Work Safe Policy are available
- That the Work Safe Policy includes a cascade procedure in the event of conflict / disagreement
- That employees are not penalised for refusing to work on grounds of Health and Safety

### 2.6 Welfare Arrangements - "Question Exempt - 5 Star Qualification"



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## 2.7 Communication and Coordination

The supplier shall have arrangements in place for Identifying and seeking co-operation from others who their works affect or whose work may affect them and adequately co-operating with them to enable each party to discharge their duties under CDM 2015, the MHSWA Regs and any other relevant statutory duty. These shall identify how the supplier engages with the wider construction team to coordinate delivery of their service in a way which, so far as reasonably practicable, ensures the health and safety of those carrying out the work and those who are affected by the work.

- The supplier should have processes in place for the controlled issue of such as; Method Statements, Risk Assessments, Work Package Plans and Task Briefings etc. to staff and their suppliers (as applicable).
- The supplier must have a process for the validation and checking of their suppliers Method Statements, Risk Assessments, Work Package Plans and Task Briefings (as applicable).

## 3. Environmental Management

### 3.1 Environmental Risk

The Auditor should establish whether the Organisation has produced Environmental Aspects and Impacts (i.e. Environmental risk assessments) appropriate to the scope of its activities:

- That the supplier has identified controls to manage environmental legislative requirements appropriate to the scope of its activities
- That competent and authorised personnel have assessed the Environmental Aspects and Impacts associated with the scope of its works.
- That Environmental Risk Management Processes are formally documented within the Organisation's Management Systems.
- How does the Organisation ensure issues such as environmental noise and restrictions on working hours are managed?
- Responsibility and competency for compiling and authorising environmental risk assessments.
- Whether risk assessments are generic to the Organisations scope of operations or unique to each specific contract.
- How Environmental risk assessments are communicated to staff, clients and the Organisations' sub-contractors.
- How those records of briefing are retained by the Organisation.
- How does the Organisation verify that staff have appropriate knowledge of Environmental issues
- The mechanism for periodic reviews of environmental risk assessments and the types of information the Organisation receives that may initiate a review of the risk assessments.

## 4. Management of Accidents and Incidents

### 4.1 Accident and Incident Reporting and Investigation

The Auditor shall verify the Organisation's arrangements for the investigating and reporting of all accidents, incidents, near misses and close calls:

- Does the Organisation demonstrate awareness of responsibilities for reporting as detailed in the RIDDOR?
- Does the Organisation have a nominated person for the statutory reporting of accidents and incidents as identified in RIDDOR (Head Office and site if different)?
- Does the Organisation maintain records of accidents, incidents, near misses and close calls (This includes safety and environmental incidents)?
- The Organisation has communicated the accident reporting process to its workforce and where applicable to its sub-contractors.
- That the Organisation has a documented process for undertaking local and formal investigations.
- This should include: competent people are undertaking the investigation; all operatives are aware of the investigative process; a mechanism for feeding into the Clients formal enquiry process; that arrangements are in place to assist and provide records to enforcement agencies (Police, Environment Agency, HSE).
- Does the Organisation produce and analyse Accident and Incident Statistics?
- Does the Organisation produce annual reports detailing Accidents, Incidents, Close Calls and Dangerous Occurrences Statistics?
- Are these reports available? Are these reports available to all levels of the Organisation?

### 4.2 Emergency and Contingency Planning - "Question Exempt - 5 Star Qualification"

### 4.3 Restoration of Service (Business Continuity)

What are the Organisation's arrangements for the preparation and implementation of a business continuity management process, which ensures that an effective, coordinated programme can be put into place?

- Has Business Continuity been addressed within the business using a formal plan or corporate process? – specify what is in place.
- Do Business Continuity arrangements include a phased recovery plan with key recovery stages identified?
- Has the Organisation allocated responsibility to a senior person within the business for business continuity?
- Is a command and control structure identified in all key areas of the business to ensure that the programme is implemented quickly to ensure minimal disruption to production / service?
- Has a communications person (For Business Continuity issues) been appointed to deal with media, internal communication and other interested parties including customer base where applicable?

## 5. Supply Chain Management

### 5.1 Supplier and Subcontractor Management

The Auditor should establish how the Organisation ensures effective supplier and subcontractor management:

- How does the Organisation control its supply chain approval process?
- How does the Organisation assess the historical competence of its supply chain and their ability to meet designated functions under UK Legislation?
- Has the Organisation identified the relevant licences and trade associations that the supply chain should be members of dependent upon the scope of service offered?
- Does the Organisation's supply chain register identify any licences or trade association memberships held by their supply chains?
- What is the process for ensuring information is provided to potential suppliers and understood by them to assist them with their bids (programmes / specifications/ meetings etc.)
- What controls does the Organisation have in place to manage sublet work/design packages with Organisations that are based overseas and that they are able to meet UK regulatory requirements (if applicable)?
- What approval mechanism the Organisation has in place prior to placing a contract for works with an approved supply chain member.
- Has the Organisation identified the minimum levels of insurance applicable and required to be held by its supply chain?
- Does the Organisation undertake supply chain auditing or use third parties to undertake this for them?
- Does the Organisation have a process for the recording and monitoring of any corrective actions raised at supply chain audits?
- Does the Organisation undertake post contract reviews of supply chain performance and how are the results of these reviews communicated.
- Does the Organisation have a mechanism to verify and ensure that products and components procured are approved and fit for purpose?

Auditor note: the auditor must consider the level of risk imported into the business by the relevant supplier in the level of control implemented and findings made accordingly

## 6. Competence Management

### 6.1 Recruitment and Induction - "Question Exempt - 5 Star Qualification"

### 6.2 On-going Competence Management

The auditor shall verify the effectiveness of the competency management system –

- How does the Organisation identify competence requirements for particular activity?
- Evidence of identifying and meeting statutory competence requirements as distinct from client-specific competencies.
- Evidence that current personnel have experience with that workload (for multi-disciplinary organisations)
- How does the Organisation record what training or levels of competency required for the position?
- Has the Organisation a process for certification expiry/re-training event dates.
- Does the Organisation have the capability to meet the professional qualification requirements and review and changes or updates for its activities? (if applicable)
- How does the Organisation record what training or levels of competency are needed for the position?
- That the Organisation has a means of identifying certification expiry/re-training event dates and where necessary competency assessment events due dates.
- How does the Organisation identify and meet industry/client-specific competence/training requirements? (e.g. Sentinel Sponsorship)
- The Organisation, if providing rail trailers and attachments with wheels, must ensure relevant staff understand the requirements of M&EE COP0014.
- Has the Organisation determined and documented which roles / tasks / activities are deemed to be 'Safety Critical?' (*TfL requirement*)
- Have those employees carrying out safety critical work been identified? (e.g. training matrix) (*TfL requirement*)
- Does the list of safety critical workers correlate with the relevant infrastructure owner's safety critical workers data (e.g. TfL SCL database)? (*TfL requirement*)
- Does the Organisation issue Safety Critical Work Identification cards? (minimum details Name of holder, Photograph, Name and address of employing Organisation) (*TfL requirement*)
- Are protection staff deployed according to their skills, certification and licensing levels? (How does the Organisation ensure that staff carrying out protection activities, are familiar with the areas in which they are set to work; Site familiarisation matrix, evidence of site familiarisation, identification of 'Complex' and 'Basic' areas, number of visits to locations, date of last visit to a location (*TfL requirement*))
- What procedures does the Organisation have in place for managing protection staff no longer performing protection activities? (*TfL requirement*)
- How does the Organisation ensure that staff (including contractors) are issued with the correct certification required e.g. Industry Common Induction (ICI) with LU endorsement, Fire Training, Drugs Alcohol Medical Screening Programme (DAMSP) and Track Safety Training when attending site. (*TfL requirement*)
- Is assessment / verification of training carried out by suitably competent / approved personnel? (e.g. Sentinel registered / NSARE approved training providers or TfL approved training providers/ assessors)
- Have the relevant competency standards been documented; these may be drawn from external organisations

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- Where competency standards have been developed internally these must be signed off by competent personnel
- How are remote workers advised of their need to be re-assessed? (if applicable)
- Are there appraisals of personnel performance and personal training plans put in place?
- With respect to signalling, does the Organisation have documented process in place for complying with the Institute of Rail Signalling Engineers (IRSE) Licensing Scheme?
- In relation to signalling services (if applicable) does the Organisation use IRSE licensing?
- Where IRSE is used does the organisation have documented procedures for the management of IRSE licensing requirement?
- Where the IRSE is not used, how does the Organisation ensure the competence of signalling personnel?
- Does the Organisation have a process in place for the mentoring and development of personnel deemed “not yet competent”?
- Does the Organisation have a process for the mentoring, development and re-training of personnel following an accident or who are unfamiliar with an area? (*TfL requirement*)
- Can the Organisation demonstrate that competency management records support the management system presented (in line with mandated sampling regime)?
- Can the Organisation demonstrate that nominated competent personnel have been appointed with responsibility for the relevant engineering streams e.g. Professional Head?
- Processes for the nomination of key staff for projects

Where the Organisation provided rail welding services

- For alumino-thermic welding competencies can the Organisation demonstrate that trainer/assessors (or trainer/assessor companies) used are approved in the respective processes by Railtech UK and/or Thermit GB Ltd?
- Auditor note: Suppliers providing arc-welding services require final Network Rail approval prior to the supplier being considered for arc-welding services on Network Rail Managed Infrastructure (NRMI).
- Auditor note: For Flash Butt Welding suppliers must hold Network Rail Product Acceptance for services on NRMI.

## 7. Plant & Equipment

### 7.1 Management, Maintenance and Servicing

The auditor shall ensure how the Organisation ensures that its work equipment is fit for purpose?

- Does the Organisation have a process to identify each item of plant or machinery?
- For suppliers providing On-track plant the Organisation must have an up to date inventory of all items of OTP and rail trailers/attachments it operates.
- What are the Organisation's arrangements to ensure that all plant, small hand tools and equipment are approved prior to use?
- If the Organisation uses equipment from a third party, how does it assure itself that the equipment is fit for purpose?
- Does the Organisation have processes in place to identify and deliver statutory and other inspections/ service maintenance e.g. Vehicle mounted fire extinguishers, Lifting Accessories, Local Exhaust Ventilation? (LEV)
- Do maintenance and service procedures identify quarantine arrangements to ensure equipment that is not fit for purpose cannot be used?
- If lifting equipment and its ancillary (chains/ slings/ strops) equipment are used, does the Organisation possess processes to ensure they remain safe (if applicable)?
- The competence requirements for internal staff involved in maintenance, inspections and servicing of equipment.
- That maintenance work plans are signed by a competent person.
- How are calibration requirements controlled (if applicable)
- Auditor note: Specific check of calibration records for CRIDs is to be carried out (TfL Requirement)

Where applicable does the Organisation (if supplying OTP) understand the requirements of Product and Engineering Acceptance/Conformance Certificate (EAC/ECC)?

- The Auditor will establish the auditees understanding by being able to provide the following:
- The principles of vehicle acceptance or steps to be taken regarding modifications to the machines against a current copy of the relevant standard
- Internet access is acceptable for the above document
- The need for an EA/EC certificate and how it is obtained
- The role of the Plant Acceptance Bodies (PAB).
- Changes / Modifications
- The purpose of the accredited Maintenance Plan
- The need for the Engineer to review the Maintenance Plan against EA/EC and resubmit it for scrutiny if required
- The Organisation must have Engineering Conformance Documentation issued by an approved PAB for all items of OTP and rail trailers it operates.
- The Organisation must have infrastructure specific Product Acceptance where applicable
- For on-track machinery providers the Auditor will carry out a sample review of the maintenance plan / vehicle maintenance instruction documentation, to establish accreditation is correct and valid.
- The Organisation must ensure 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.
- The Organisation must retain records of completed maintenance/service check sheets for all machines, trailers and attachments.
- The Organisation must ensure that arrangements are in place for the implementation of 'Pre-Delivery
- Inspection' (Fitter) and 'Pre-start' checks (Operator) and that these are formally recorded.

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- Where applicable does the Organisation have a documented process for the reporting of high risk / safety related defects?



## 8. Human Resources including Occupational Health Management

### 8.1 Occupational Health

The auditor shall verify how the supplier meets occupational health surveillance requirements?

- Does the Organisation undertake a programme of routine health surveillance?
- Is occupational health surveillance/ advice undertaken in-house or by a specialist provider?
- Are occupational health personnel on-site or are they remote?
- Are long-term health issues risk assessed?
- Who has been involved in setting up the occupational health process (employees, specialist advice, Unions or representatives)
- How are the potential hazards identified?
- Does the Organisation undertake Alcohol and Drugs screening for personnel engaged in Safety Critical works?
- How does the Organisation manage fatigue?
- What control options are considered to bring the risks down to as low as is reasonably practicable?
- Do employees have pre-employment medicals before they start working for the Organisation?
- If personnel changes roles are their occupational health requirements assessed prior to starting?
- What processes are in place to ensure that control measures remain appropriate to individual's condition/ requirements
- Is there statutory/client requirement for regular surveillance?
- How are results fed back to the Organisation?
- How often is the occupational health process reviewed? Is this review recorded?
- How does the Organisation manage their subcontractors in this area, if applicable?
- Does the Organisation interview safety critical workers following periods of non-attendance? (e.g. 'Back to Work' policy / procedures) (*TfL requirement*)

#### Occupational Health Records

- Where does the Organisation store its occupational health information on employees?
- Do employees can review the Records kept regarding them if requested?
- Does the Organisation have a policy for how long records must be retained? Does this comply with COSHH requirements for the retention of heavy metals, asbestos, silica dust, compressed air, ionising