

# RISQS Audit Protocol

## On-Track Plant (OTP)

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01	P Smith	RSSB Assurance Team	G Scott	July 2020	Initial issue to comply with NR/L2/SCO/302 Module 5

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## Preface

This protocol meets the RISQS Committee and Infrastructure Manager 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 Committee. 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 except for those questions and bullet points' denoted (*TfL requirement or NWR requirement*) which apply only to

suppliers specifically limiting their scope of works to Transport for London (TfL) or Network Rail (NWR) infrastructure.

This module is applicable to suppliers who supply, hire, operate, maintain, overhaul, manufacture or convert on-track plant.

*NOTE: For suppliers who wish to be certificated under the On-Track Plant Operations Scheme, please refer to NR/L2/RMVP/0200/P521.*

## Assessment Requirements

The auditor shall verify that the supplier has fully documented arrangements in place for all of the requirements.

# 1. Organisation

## 1.1 Management Structure

The auditor shall verify that the supplier has fully documented arrangements in place for the safe and efficient delivery of a contract, ensuring the imbedded capability to understand the railway operating environment and the specific requirements of railway contracts requiring the provision of OTP. The arrangements shall include:

- a) the organisational structure to demonstrate that it is adequate for OTP supply, hire, operation, maintenance, overhaul, manufacture or conversion activities
- b) keep the organisational structure and organisational charts current
- c) obtain the acceptance of responsibilities from all post holders
- d) assessing risk, validate and brief out material changes to the management system
- e) be in a possession of a licence or Licence exemption from the ORR to Operate rail mounted plant as per Section 6 of the Railways Act 1993
- f) register all owned OTP assets on the National On-Track Plant Register in accordance with Rail Industry Standard RIS-1530-PLT
- g) key issues relating to the hire out/supply/maintenance of on-track plant.
  - o purchase of new machines
  - o accreditation of maintenance plans
  - o modification of machines
  - o maintenance procedures
  - o annual brake test procedure
  - o rated capacity indicator (RCI) test procedure

## 1.2 Document Control

The auditor shall verify that the supplier has a robust system to provide the following documentation for each machine and trailer in use and has an nominated responsible manager/ individual:

- a) engineering Acceptance (all pages) and endorsements
- b) network rail product acceptance or letter of exemption
- c) record of Thorough Examinations
- d) load radius charts (only for machines fitted with RCIs)
- e) log book/operator inspection report book
- f) brake test certificate

## 1.3 Scope of Work

The auditor shall verify that the supplier has fully documented arrangements in place, providing an operational framework for the safe and efficient delivery of a contract. This includes the capability to deliver the service for the railway operating environment and the specific requirements of railway contracts. The arrangements shall include:

- a) types and number of OTP owned, including their date of introduction
- b) types and number of OTP hired
- c) number of OTP operating hours per year
- d) details of all maintenance facilities
- e) details of all accidents and close calls in the last 12 months

## 1.4 Responsible Roles

The supplier shall appoint and demonstrate continued competent personnel to undertake the following key roles:

### 1.4.1 Management of on-track plant

The person fulfilling this role shall be:

- a) competent in managing the OTP supply, hire, operation, maintenance, overhaul, manufacture or conversion activities.
- b) responsible for assigning competent OTP personnel including machine operators, fitters and maintenance personnel etc.

### 1.4.2 On-Track Plant Engineering

The person fulfilling this role shall be:

- a) be competent in the design, manufacture, maintenance and engineering change aspects of OTP engineering
- b) 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
- c) be responsible for the product approval and engineering acceptance of OTP including engineering change
- d) where this role is sourced from an external organisation, the supplier shall identify a person within their Organisation to be responsible for liaising with the external organisation

## 1.5 Monitoring of effectiveness of On-Track Plant

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

- a) obtaining and collating their own and their supplier's monitoring data, e.g. site inspection reports, audits, accident reports, etc
- b) analysing and reviewing performance data and other key performance indicators (KPIs), including OTP reliability and the identification of trends
- c) conducting a management review (at least annually) of the POS provider's processes and arrangements
- d) obtaining and reviewing their supplier's RISQS product codes and technical audits
- e) reviewing and discussing supplier performance with their suppliers
- f) 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 organisation has fully documented arrangements for sharing information on risk with interfacing organisations, and ensure that employees are suitably briefed, such that a co-ordinated approach to implementing risk control measures can be achieved. The arrangements shall include:

- a) accident/incident reporting arrangements including directly reporting accidents or incidents to NIR-online
- b) emergency and contingency planning arrangements
- c) arrangements for assessing and communicating information on risks etc. with the POS Provider
- d) demonstrating that essential communication and / liaison between all those involved in the work takes place as planned

## 3. Supply Chain Management

### 3.1 Supplier and Subcontractor Management

The auditor shall verify that the organisation has fully documented arrangements for selecting and managing 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.

- a) all OTP and attachments used on rail related contracts shall be Network Rail product approved and have a valid certificate of Engineering Conformance / Acceptance (where applicable)
- b) only suppliers who hold the necessary RICCL product code are used to convert or upgrade any items on On-Track Plant
- c) plant, equipment and attachments shall only be operated by competent personnel
- d) 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 infrastructure manager

## 4. Monitoring

### 4.1 Monitoring Performance of OTP Personnel

The auditor shall verify that the organisation has fully documented arrangements for proactive and reactive monitoring and analysis of the performance of OTP personnel and maintenance staff (employed and hired) for the safe, effective and efficient delivery of the service, and that requirements are being fulfilled on site. The arrangements shall include:

- a) compliance with operational arrangements.
- b) plant preparation.
- c) machine operating data analysis.
- d) action when non-compliance is identified.
- e) frequency of monitoring.
- f) posts responsible for monitoring.

### 4.2 Special Monitoring Measures

The auditor shall verify that the organisation has fully documented arrangements for proactive monitoring both employed and hired staff) that are either newly qualified or where performance issue poorly performing. The arrangements shall include:

- a) detailing the criteria for instigating special monitoring
- b) identifying what additional monitoring is to be carried out
- c) establishing additional controls that may be required
- d) detailing the criteria for ending any special monitoring

## 5. Plant and Equipment

### 5.1 OTP Acceptance and Maintenance

The auditor shall verify that the organisation has fully documented arrangements to demonstrate that items of OTP plant falling into the scope of RIS-1530-PLT are technically sound, fit for their intended application. The arrangements shall include:

- a) Infrastructure manager product approval, or approval exemption
- b) engineering conformance / acceptance of OTP
- c) a process for managing engineering Change following OTP modification or upgrade
- d) development and implementation of maintenance instructions for each type of OTP
- e) provision of suitable and sufficient maintenance facilities
- f) control of maintenance periodicity
- g) monitoring and reporting of maintenance performance
- h) the regular review of maintenance instructions and a process for amending or updating maintenance instructions
- i) maintenance of Safety Critical systems (e.g. RCI calibration)
- j) implementation of these requirements for hired in OTP through assurance and monitoring
- k) maintaining an up to date register of all OTP subject to these arrangements

### 5.2 OTP Reliability

The auditor shall verify that the supplier has fully documented arrangements in place for monitoring the reliability of their OTP and planning for improvement where needed. The arrangements shall include:

- a) a reporting system in use to report faults accurately and in a timely way
- b) a reliability improvement plan to detail proactive efforts in overcoming reliability issues and show any actions planned or taken to overcome OTP reliability issues
- c) analysis of reliability data collected to support continuous improvement against performance criteria
- d) actions taken to minimise damage during transit to ensure OTP remains fit for purpose prior to the start of work
- e) actions taken to ensure that all attachments supplied are properly cared for when not in use, providing additional safe/clean stowage where necessary
- f) 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 Competence Management of employed personnel

The auditor shall verify that the supplier has fully documented arrangements to maintain competence and fitness of their employees, meeting the requirements set out in NR/L1/CTM/001. The arrangements shall include:

- a) determining the specific competence requirements for OTP personnel including maintainers and logistics staff
- b) selection of new OTP personnel including maintainers
- c) provision of training on the operation and maintenance of OTP
- d) training and /briefing on the risks associated with OTP
- e) re-assessing competence periodically and retraining following identification of poor performance
- f) awareness of behaviour-based safety for OTP personnel

## 6.2 Competence Management of hired in personnel

The auditor shall verify that the supplier has fully documented arrangements to maintain competence and fitness of their employees, meeting the Infrastructure Manager requirements (NWR requirements are set out in NR/L1/CTM/001). The arrangements shall include:

- a) assuring themselves of the competence of the individual prior to use
- b) sharing performance data with the hired in staff's employer