

6. Competence Management

6.1 Recruitment and Induction

Suppliers shall have a policy on and arrangements for the recruitment and induction of employees and others under its control including sub-contractors and self-employed personnel.

Suppliers shall have:

- Suitable process and evidence of implementation
- Records of induction and ongoing communication.
- Suitable induction process and evidence of implementation
- A process in place to assess / verify that workers carrying out protection activities can communicate in English (both written and oral)
- Arrangements for selecting personnel (e.g. advertising selection, interview) (TfL only)
- Processes for communicating the need for workers carrying out safety critical tasks to carry identification: (induction / toolbox talks / briefing records) (TfL)

6.2 On-going Competence Management

Suppliers shall be able to demonstrate the effectiveness of the competency management system, including:

- How the Organisation identifies 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 work type (for multi-disciplinary organisations)
- How the Organisation records what training or levels of competency required for the position.
- The Organisation a process for certification expiry/re-training event dates.
- The capability to meet the professional qualification requirements and review and changes or updates for its activities. (if applicable)
- That the Organisation has a means of identifying certification expiry/re-training event dates and also where necessary competency assessment events due dates.
- How the Organisation identifies and meets industry/client-specific competence/ training requirements (e.g. Sentinel Sponsorship)
- That the relevant competency standards been documented; these may be drawn from external organisations.
- Where competency standards have been developed internally these must be signed off by competent personnel.
- How remote workers are advised of their need to be re-assessed (if applicable)
- If appraisals of personnel performance and personal training plans put in place.
- Whether the company has documented process in place for complying with the IRSE Licensing Scheme. (Signalling only)
- Where IRSE is used that the organisation has documented procedures for the management of IRSE licensing requirement and if not how does the company ensure the competence of signalling personnel
- Ensuring that the company has a process in place for the mentoring and development of personnel deemed “not yet competent”
- Demonstrating that competency management records support the management system presented.
- Demonstrating that nominated competent personnel have been appointed with responsibility for the relevant engineering streams (e.g. Professional Heads)
- Processes for the nomination of key staff for projects
- Having a process for the mentoring, development and re-training of personnel following an accident or who are unfamiliar with an area.

7. Plant & Equipment

7.1 Management, Maintenance and Servicing

Suppliers shall ensure that work equipment is fit for purpose.

Suppliers shall:

- Have a process to identify each item of plant or machinery
 - For suppliers providing On-track plant (OTP) the company must have an up to date inventory of all on-track plant that it operates.
- Arrangements to ensure that all plant, small hand tools and equipment are approved prior to use?
- Processes to ensure that calibration requirements are controlled (if applicable)
- Equipment from a third party fit for purpose.
- Have processes in place to identify and deliver statutory and other inspections/ service maintenance (e.g. Vehicle mounted fire extinguishers, Lifting Accessories, LEV).
- Ensure that maintenance and service procedures identify quarantine arrangements to ensure equipment that is not fit for purpose cannot be used
- Lifting equipment and its ancillary (chains/ slings/ strops) equipment are used, with processes to ensure they remain safe (if applicable)
- Detail the competence requirements for internal staff involved in maintenance, inspections and servicing of equipment.
- Ensure that maintenance work plans are signed by a competent person.
- Understand the requirements of Product and Engineering Acceptance, Where applicable. (supplying OTP)
- 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.
- Retain records of completed maintenance/service check sheets for all machines, trailers and attachments.
- 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.
- Have, where applicable, a documented process for the reporting of high risk / safety related defects

8. Human Resources including Occupational Health Management

8.1 Occupational Health

Suppliers shall have processes to meet occupational health surveillance requirements

Suppliers shall:

- Have a process in place to ensure that long-term health issues are risk assessed.
- Document who has been involved in setting up the occupational health process (employees, specialist advice, Unions or representatives)
- Detail how the potential hazards are identified.
- Detail whether the company undertake Alcohol and Drugs screening for personnel engaged in Safety Critical works, and show evidence of this.
- Manage fatigue of its employees & contractors under its control, and keep records.
- Have processes in place to bring the risks down to as low as is reasonably practicable.
- A process for understanding the medical condition of all employees before they start working for the Organisation.
- Have a process in place for when personnel change roles for reviewing their occupational health requirements assessed prior to starting.
- Undertake a programme of routine health surveillance
- Have processes in place to ensure that control measures remain appropriate to individual's condition/ requirements
- Have access to occupational health surveillance/ advice, undertaken in-house or by a specialist provider.
- Detail how often is the occupational health process reviewed and record evidence of this review.
- Detail whether the Organisation manages their subcontractors in this area, if applicable.
- Securely store its occupational health information on employees
- Give employees have the opportunity to review the Records kept regarding them if requested.
- Retain records for the minimum period applicable to the type of record.