

RISQS Audit Protocol

Principal Contractor Licensing

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Revision	Author	Checked by	Approved by	Date approved	Reason for revision
01	P Smith	M. Littlewood	Tony Howard	10/01/23	Initial issue

Preface

This protocol is designed to assess a supplier's management system and compliance with the RISQS Committee and Infrastructure Manager requirements for a Principal Contractors License.

Audits take place on the anniversary of a Principal Contractor License being granted, 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

All questions within this module will be raised by the Auditor, where a requirement within a question is not applicable, the supplier will be required to provide the justification which will be recorded within the audit report. Where suitable justification is not provided then a non-conformance may be raised against a requirement.

Suppliers will be able to appeal any findings raised by following the appeals and complaints process in the document RISQS Scheme Rules (RISQS-SD-002).

Assessment Requirements

As part of RISQS' commitment to ensuring efficient auditing and advantageous assurance levels, the assessment will cover two parts:

- The first part 'A process for...' is a review of the documented procedures and processes that are required to assist a supplier in their delivery of a safe efficient service to the rail industry.
- The second part 'Evidence of...' is an evidential based audit to assess the implementation or use of the processes and procedures described in first part.

1. Assessment Requirements

1.1 Planning & Control of Works

The supplier shall provide evidence that demonstrates the organisation has arrangements in place to maintain compliance with the Infrastructure Managers requirements for the planning and implementations of project works. The arrangements shall include:

- a) A process for:
 - i. identifying and complying with the Infrastructure Managers documentation requirements and approval processes
 - ii. identifying and complying with the Infrastructure Managers requirements for permits to work, such as Hot Works, Confined Spaces, Working at Height, Digging, Spiking and Breaking Ground
 - iii. developing, implementing, and managing a RACI chart for temporary works.
- b) Evidence of:
 - i. complying with the Infrastructure Managers documentation requirements for projects and gaining approval for any unauthorised documentation prior to use
 - ii. planning documentation being approved by relevant parties prior to implementation
 - iii. planning documents being managed and version controlled
 - iv. a RACI chart where temporary works are applicable.

1.2 Specialist Advice

The supplier shall provide evidence that demonstrates the organisation has arrangements in place for the provision of practically applied knowledge, experience, and competence. The arrangements shall include:

- a) A process for:
 - i. ensuring suitable resource is in place within the organisation to deliver and meet the expectations of the Infrastructure Managers Principal Contractor Licence requirements
 - ii. identifying contract specific requirements and identifying the competency requirements through the relevant Infrastructure Managers standard (e.g., comparisons of Appendices F and G within the Standard NR/L2/OHS/CP0070)
 - iii. identifying the risks associated with the contract works and ensuring appointed resource have the relevant experience and capabilities to mitigate the risk
 - iv. identifying the number and geographical spread of contracts and ensuring suitable resource is available to manage all projects and the activities within
 - v. ensuring the availability of emergency health, safety, wellbeing, environmental and social advice in the event of an emergency/incident.
- b) Evidence of:
 - i. applying sufficient resource to the contracts being managed and appointing suitably competent personnel. The evidence shall demonstrate:
 - consideration of the number and locations of contracts
 - the environment the contract is delivering to (e.g., rail, construction)

- compliance with the relevant standards (e.g., Appendices F and G of the standard N2/L2/OHS/CP0070)
 - comparable experience between the appointed persons and the activities to be delivered
- ii. full time employment of an individual with NEBOSH Construction Certificate or equivalent/greater; ensuring they are involved in Principal Contractor Licence arrangements
 - iii. full time employment of an environmental professional with competencies and experience determined by the relevant Infrastructure Managers standard (e.g., Table F.2 (Appendix F) of standard NR/L2/OHS/CP0070)
 - iv. emergency health, safety, wellbeing, environmental and social advice being available during project delivery; evidence that the support can reach a site within a reasonable time frame following notification and they have suitable knowledge and competence to deal with emergency/incidents.

1.3 Planning and Use of Plant

(NOTE: Network Rail PCs need to comply with the whole of the process requirements within this question. For other Infrastructure PCs, where a requirement in this question is not applicable, the supplier shall provide justification to the Auditor and be recorded within the report).

The supplier shall provide evidence that demonstrates the organisation has arrangements in place to manage works involving POS providers and non-rail mounted plant. The arrangements shall include:

- a) A process for:
 - i. reviewing and implementing standard requirements and guidance recommendations (e.g., NR/L2/RMVP/0200, COP0032, Infrastructure Plant Manual, Delivery Point Management)
 - ii. identifying and selecting approved POS and non-rail mounted plant providers
 - iii. identifying, understanding, and acknowledging the requirements of the POS and non-rail mounted plant providers
 - iv. establishing coordination and control arrangements for all plant activities, ensuring it includes:
 - the point of delivery for plant, equipment, and materials
 - works delivery
 - supervision and monitoring requirements for the life cycle of the project
 - v. establishing and appointing competent advice and support for plant activities, ensuring there is suitable experience in:
 - planning and managing works involving OTP and/or non-rail mounted plant
 - control of relevant standard/guidance requirements (e.g., COP0032)
 - Any Line Open Working (if applicable)
 - the health and safety aspects of OTP and/or non-rail mounted plant activities.
- b) Evidence of:
 - i. appointing approved POS/non-rail mounted plant providers on contracts that require it
 - ii. only approved POS providers hiring OTP
 - iii. non-rail mounted plant being hired from an approved supplier
 - iv. planning, coordination, and supervision of all plant activities where a project has been delivered within the last 12-months (project life cycle to be considered)
 - v. planning, coordination, and supervision plans for any projects planned for delivery within the next 12-months (project life cycle to be considered)
 - vi. competent advice and support being appointed for plant activities that meet the requirements of 1.3a) v.

1.4 Safety Culture Development

The supplier shall provide evidence of arrangements that demonstrates the organisation has a safety culture maturity programme in operation within the business. The arrangements shall include:

- a) A process for:
 - i. establishing a safety culture maturity programme and ensuring senior management involvement/commitment
 - ii. implementing the programme across the organisation including mechanisms for application at worksite level
 - iii. reporting safety issues, ensuring the process is open, fair, and consistent
 - iv. identifying and implementing Infrastructure derived initiatives (e.g., Life Saving Rules/Take 5)
 - v. monitoring and measuring the organisations safety culture maturity with an objective to maintain and improve.
- b) Evidence of:
 - i. a policy that demonstrates a commitment to a culture of safety from Senior Leadership
 - ii. a safety culture programme implemented into the business, and it is being monitored, measured, and improved upon
 - iii. safety issues being reviewed, and suitable corrective actions being taken; ensuring employees who raise issues are being treated fairly
 - iv. Infrastructure initiatives being implemented into the business and cascaded throughout the workforce.

NOTE: examples of a safety culture maturity model are Network Rail's DOS, ORRs RM3 or the Health and Safety Laboratory Safety Climate Tool.

1.5 Quality Management

The supplier shall provide evidence that demonstrates the organisation has arrangements in place for the provision of a quality management. The arrangements shall include:

- a) A process for:
 - i. developing and implementing a project specific quality management plan, ensuring:
 - it is in place before the commencement of works and maintained during the works
 - meets the minimum standard requirements of the client/contract (e.g., Regional/Route Infrastructure Manager)
 - approved by relevant personnel
 - integrated into wider documentation where required (e.g., Project Delivery Plans)
 - ii. the responsible procurement and installation of approved products, and the process to obtain product approval where required
 - iii. identifying the resource requirements for holding and maintaining a quality management system, factoring in the number and location of projects
 - iv. monitoring and measuring of the plan's performance.
- b) Evidence of:
 - i. project specific quality management plans

- ii. appointment of a competent person(s) responsible for:
 - maintaining a quality management system on the projects currently on-going or due to start
 - compliance with the Infrastructure Managers quality requirements
- iii. holding and maintaining a quality management system certified to ISO 9001 by an accredited third party
- iv. submission and approval of quality plans
- v. monitoring and measuring the plans.

1.6 Environment and Sustainability

The supplier shall provide evidence that demonstrates the organisation has arrangements in place for the provision of environment and sustainability management. The arrangements shall include:

- a) A process for:
 - i. reviewing, implementing, and managing the compliance requirements of associated standards (e.g., NR/L2/ENV/015, NR/L2/OHS/CP0070), environmental sustainability strategies and social value frameworks released by the relevant Infrastructure Manager
 - ii. ensuring compliance with the Infrastructure Managers policies on environment and sustainability
 - iii. identifying the environmental and social sustainability competency and resource requirements for a project, ensuring:
 - it is aligned with the applicable standard requirements
 - it is adequate for the needs of the project(s)
 - iv. developing and implementing a project specific environmental management plan, ensuring:
 - it is in place before the commencement of works and maintained during the works
 - it is specific to the project
 - it identifies the competent social and environmental support assigned.
- b) Evidence of:
 - i. project specific environmental management plans
 - ii. holding and maintaining an environmental management system certified by an accredited third party (i.e., ISO 14001 or equivalent)
 - iii. an awareness within the organisation of applicable Environmental Sustainability Strategies and Social Value Frameworks
 - iv. compliance with associated standards (e.g., NR/L2/ENV/015, NR/L2/OHS/CP0070), policies, environmental sustainability strategies and social value frameworks
 - v. suitable and sufficient environmental management resource and competence for projects being delivered, or due to start (ensuring competency is in compliance with standard requirements).

1.7 Health, Safety, and Wellbeing

Note: occupational health arrangements relevant to the organisations services is to be covered within the CORE Module. This question is designed for establishing compliance with specific Infrastructure Managers Principal Contractor requirements and establishing the management control of occupational health arrangements where there are multiple parties involved in a project.

The supplier shall provide evidence that demonstrates the organisation has arrangements in place for the provision of health, safety, and wellbeing management. The arrangements shall include:

- a) A process for:
 - i. reviewing, implementing, and managing the compliance requirements of Infrastructure Managers policies on health and safety
 - ii. establishing health and safety arrangements, ensuring:
 - it is specific to the project
 - it is in place prior to commencement of works
 - it includes direct employee and all subcontractors' activities
 - iii. continuous measuring and monitoring of project systems and arrangements, and a process for introducing an improvement plan where a system is found to be ineffective.
- b) Evidence of:
 - i. holding and maintaining a health and safety management system certified by an accredited third party (i.e., ISO 45001 or equivalent)
 - ii. using occupational health providers that are:
 - SEQOHS accredited
 - approved medical provider holding RICCL H.H.4
 - headed by an OHP holding FFOM/MFOW registration or a Nurse that is part 3 registered on the NMC for Occupational Health (and has access to an OHP when required)
 - iii. available occupational health and safety advice from a chartered member of the Institution of Occupational Safety and Health (IOSH) or equivalent (e.g., IIRSM if Occupational Health related)
 - iv. control and mitigation arrangements provided on projects cover all direct employee and subcontractor activities, and it includes:
 - the management and mitigation of occupational health and safety hazards
 - the protection of immediate and long-term health for all
 - prevention of occupational diseases
 - v. suitable and sufficient monitoring and measuring arrangements, ensuring it is in place for all project activities (direct employees and subcontractors)
 - vi. improvement plans being implemented (where required).

1.8 Notification of Changes

The supplier shall provide evidence that demonstrates the organisation has arrangements in place for notifying change. The arrangements shall include:

- a) A process for:
 - i. identifying, reviewing, and mitigating any changes which will affect the declared organisation or the arrangements for which the PCL/letter of compliance was issued/is held

- ii. notifying the relevant Infrastructure Managers department of any changes which will affect the arrangements under which the contract was issued
 - iii. submitting a risk-based safety validation for review to the TA Audit Team prior to any change being implemented.
- b) Evidence of:
 - i. actions taken where a change has occurred (where applicable).