

## RISQS Audit Protocol

### Operational Railway Services (CORE Module)

Document no.: RISQS-AP028-CORE(ORS)

Revision	Author	Checked by	Approved by	Date approved	Reason for revision
01	P Smith	M.Littlewood	Tony Howard	10/01/23	New Protocol to permit separation of Operational and Non Operational Rail activities

## Preface

This protocol is designed to assess a supplier's core management system and compliance with the RISQS Committee and Infrastructure Manager requirements for pre-qualification.

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.

## Scope

The protocol applies to organisations whose activities are categorised as high risk (auditable within the RICCL) and intending to work within the boundaries of the Operational Railway.

The Operational Railway for this module is defined as the following:

- Trackside/ On or near the line (within 3 metres (10 feet) of a line or 1.25 metres (4 feet) of a station platform edge if doing engineering or technical work)
- Lineside (if between trackside and the boundary fence)
- A position where safety critical work being performed may impact on the Operational Railway (i.e. within Turn-back, reversing, loop, lay-by, lay-over sidings and depots).

## Guidance notes

The questions and guidance notes within this document are applicable to all organisations except for those questions and bullet points denoted (TfL requirement or NWR requirement) which apply only to organisations specifically limiting their scope of works to Transport for London (TfL) or Network Rail (NWR) infrastructure.

Additionally, where a bullet point is denoted as (Safety Critical Only) it applies to safety critical employees who are not sponsored on sentinel but undertaking safety critical activities in a trackside and non-trackside environment (examples of roles would be train drivers, structural inspectors, on-track vehicle maintainers, temporary works installers).

The safety critical definition is defined by the ORR for trackside works and the HSE for non-trackside works.

The guidance notes are indicative lists, but they are not exhaustive.

## 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.

## 1.0 Organisation (Structure)

### 1.1 Management Structure

The supplier shall provide evidence which demonstrates the organisation has an adequate structure in place for the safe and efficient delivery of the RICCL services selected. The arrangements shall include:

- a) A process for:
  - i. carrying out appropriate assessments to identify and allocate the key roles to posts in the organisation (listed below)
  - ii. reviewing and validating proposed organisational change (which shall include a process for identifying and removing risk from such changes, communication arrangements for interested parties and obtaining formal acceptance of any changes prior to implementation)
  - iii. communicating with external expert advice (particularly where health and safety, environment, quality, or technical expertise is procured from outside the organisation).
- b) Evidence of:
  - i. a documented organisational structure which reflects the services being offered to the buying community (must be current and relevant) and where the organisation has different structures on projects, the evidence shall demonstrate how this relates to the overall hierarchy
  - ii. posts carrying out safety critical tasks are clearly identifiable on the organisation chart and the roles have been assigned to competent individuals
  - iii. key roles have been assigned to competent individuals and identifiable on the organisation chart
  - iv. defined job descriptions documenting a minimum acceptable competence required for the key roles including experience, professional qualifications, training, and certification required responsibilities, authorities, and accountabilities of the post
  - v. job descriptions have been communicated to and accepted by the post holder
  - vi. appointment (and acceptance) of deputies for posts carrying out key roles.

Notes: Key roles include (this list is not exhaustive):

- i. **those with the accountability** for safety management, environmental management, quality management, technical expertise (as required for the work carried out e.g., civil engineering, electrification), rail operations, and competence management
- ii. **those with responsibility** for maintaining the management systems, co-ordinating employment medicals, assessing first aid resources to be provided on site, document control, producing and delivering briefing material, procuring products and services (carrying out internal and external audits and other compliance activities as appropriate), competence assessment and training, those with responsibility for safety critical activities (where relevant as defined Regulation 23 of the Railway and Other Guided Transport Systems (Safety) Regulations 2006) including monitoring, managing and mitigating against the risk of employee fatigue (including hours worked and authorising exceedances for employees and their organisations' employees) co-ordinating pre-employment, random and 'for cause' alcohol and drugs assessments, planning work (including planning safe access and egress to Managed Infrastructure, recording and reporting accidents and investigations, carrying out risk assessments, responsibilities for business continuity, data protection.

## 1.2 Health, Safety, Quality & Environmental Competent Support

The supplier shall provide evidence that demonstrates arrangements are in place to ensure the provision of adequate competent health, safety, quality, and environmental advice is available to support employees and any individual entering their premises or worksites. The arrangements shall include:

- a) A process for:
  - i. identifying the extent of information available and where the information and advice is obtained from (e.g., safety groups, trade federations, external consultants, chamber of commerce)
  - ii. how such advice and information is accessed, reviewed, and implemented into the business practices
  - iii. ensuring employees are actively engaged in health, safety, and environmental matters.
- b) Evidence of:
  - i. the post(s)/role(s) responsible for providing the advice is clearly identified on the organisation chart
  - ii. job description communicated and accepted by the post holder
  - iii. the appointed person meets the minimum competence requirements for the post, which includes:
    - relevant training has been achieved (e.g., NEBOSH GC, IRCA, CQI)
    - holds the knowledge and experience of the health, safety, environmental and quality requirements set out in legislation, Railway Industry Standards, and Infrastructure Manager Standards applicable to railway services offered
    - evidence of experience of providing first line advice and tactical support and development in the relevant rail disciplines
  - iv. the HSQE support is actively involved in the key elements of health, safety, and environmental management (such as overseeing the company's risk management process, reviewing safety performance, setting targets, proactively encouraging health, safety and environmental improvements and safe behaviours)
  - v. **where a consultant is appointed to hold the responsible role:**
    - **they hold the practical experience of providing advice in the organisations area of work**
    - **adequate health, safety and environmental competence is available internally for the risk management of daily activities when the consultant is engaged on other business**
  - vi. actively engaging with employees in health, safety, and environment matters.

## 1.3 On-going Competence Management

The supplier shall provide evidence that demonstrates there are arrangements in place to test and maintain the effectiveness of their competency management system. The arrangements shall include:

- a) A process for
  - i. establishing, implementing, and managing competency standards, training, and ongoing-development requirements for:
    - the services provided
    - the task/job position to be carried out (considering health, safety, and environmental awareness)

- compliance with statutory/industry/client-specific requirements (i.e., IRSE, NSAR, Sentinel)
  - ii. selecting training providers and ensuring they are approved
  - iii. developing competency standards internally where there are no external delivery options
  - iv. managing competency to ensure:
    - control over certification expiry/ retraining event dates
    - control over interim assessment dates
    - remote workers competency doesn't lapse
    - control over assessors' competencies.
- b) Evidence of:
- i. competency meeting statutory/industry/client requirements for the services offered, activity being performed and job position in place (evidence that professional qualification is in place for key positions)
  - ii. competences being obtained and checked before tasks are undertaken
  - iii. ongoing coaching and appraisals being delivered (both safety critical appraisals and non-safety-critical performance assessments)
  - iv. personnel holding experience in the services being offered (additional consideration required for multi-disciplinary organisations)
  - v. identifying and managing certification expiry, retraining event dates and interim competency assessment dates
  - vi. (where applicable) internally developed competency being approved by the client and assessments performed by competent personnel
  - vii. training and competence records being maintained
  - viii. tasks that require competent execution to manage safely being assessed by the Organisation.

## 1.4 Recruitment and Induction

The supplier shall provide evidence that demonstrates there are arrangements in place to recruit, sub-contract and induct staff who have the necessary understanding and skills to discharge their duties. The arrangements shall include but not limited to:

- a) A process for:
- i. recruitment and induction
  - ii. identification of the competence requirements for job roles
  - iii. selecting personnel (e.g., advertising selection, interview) including assessing candidates' qualifications, experience, and skills
  - iv. assessing / verifying that workers carrying out protection activities can communicate in English (both written and oral)
  - v. **communicating the need for workers carrying out safety critical tasks to carry safety critical identification cards: (induction / toolbox talks / briefing records (TfL requirement)).**
- b) Evidence of:
- i. implementation of the recruitment process, ensuring:
    - the selection process is fair and in-line with Legislation (Equality Act) and company policies
    - candidates are assessed for communication capabilities
    - competency expectations are identified
  - ii. implementation of the induction process, ensuring:
    - it is suitable for the role to be held
    - covers health and safety arrangements

- iii. control of recruitment and induction records
- iv. records of communicating the need for workers carrying out safety critical tasks to carry safety critical identification cards: (induction / toolbox talks / briefing records (TfL requirement)).

## 2.0 Management Systems

### 2.1 System Arrangements

The supplier shall provide evidence that demonstrates arrangements are in place to manage its activities in a safe and effective manner and take into consideration time, quality, health, safety, environment, and cost. The arrangements shall include but not limited to:

- a) A process for:
  - i. implementing and maintaining a management system for the services being offered, and managing control of any potential system changes
  - ii. developing and setting objectives
  - iii. promoting continual improvements in processes relating to services provided to the buying community.
- b) Evidence of:
  - i. a system that covers health, safety, quality, and environmental management
  - ii. an up-to-date compliance matrix / index (ensuring it captures the audit module requirements)
  - iii. setting of appropriate health, safety, and environmental objectives, for the organisation and contract / project site specific level
  - iv. briefing employees on the outline management system
  - v. obtaining approval from customers where there is change to the scope of works, standards or designs controlling the engineering / production / delivery process or an organisation / management system and / or the validation process that has identified an increase in overall risk (if applicable)
  - vi. third party surveillance reports (if applicable).

### 2.2 Management of Legal and Other Requirements

The supplier shall provide evidence to demonstrate arrangements are in place to ensure that they obtain, review changes, interpret the impact of the Infrastructure Manager, Client, and Legislative requirements relevant to their own scope of works / services. The submission shall include:

- a) A process for:
  - i. accessing and reviewing Legislation and applicable standards appropriate to the scope of services provided (i.e., RIS, NWR, TfL)
  - ii. implementation of requirements into the management system
  - iii. communication of changes because of updates/new Legislation/standard release (including communicating to interested parties)
  - iv. derogation from a standard/ client requirement, ensuring authority for any planned non-compliance.
- b) Evidence of:
  - i. a register of the Legislation and standards that are applicable to the scope of works

- ii. an aspects and impacts register specific to the scope of work (include project specific registers if different from the organisations overall register)
- iii. Legislation/standards review (ensuring recent applicable changes have been captured)
- iv. appointment of a competent person responsible for reviewing the requirements and making business changes where there is an impact
- v. senior leadership involvement in the review and business change process
- vi. communication of the review and any significant changes to the workforce where applicable.

## 2.3 Policy Control

The supplier shall provide evidence that demonstrates policies are in place which clearly identifies the organisation's top-level management commitment to Safety, Health, Environment and Quality requirements and identify the overall framework within which the organisation operates. The arrangements shall include but not limited to:

- a) Evidence of:
  - i. organisation policy statements covering Health and Safety, Environmental, Quality, Drugs and Alcohol, Fatigue Management (Working Hours), General Data Protection Regulations (GDPR) and Modern Slavery
  - ii. the policies / policy meeting UK Legislative requirements and the specific criteria of each policy identified in the notes section below
  - iii. the policies being dated and current, endorsed at top level management (Director Level) and cover all areas of the organisation's business
  - iv. policy communication to all employees on initial induction and following policy changes, to key suppliers and other interested parties (as necessary)
  - v. being reviewed regularly (annually as a minimum).

*Note: Policies as a minimum shall cover:*

*The Health and Safety Policy statement shall contain a clear commitment to:*

- b) safety, in so far as is reasonably practicable
- c) providing sufficient resources for the management of health and safety
- d) setting and monitoring safety objectives
- e) continual improvement in safety performance
- f) safe behaviours and re-educating un-safe behaviours
- g) whether the organisation is certified to any standards (e.g., ISO 45001:2018 or any specific standards for the type of product or service).

*The Environmental Policy Statement shall contain a clear commitment to:*

- a) preventing pollution
- b) specifically protecting the environment, with reference to aspects of work activities that are environmentally significant
- c) specifically minimising the environmental impact, for the life cycle; (including disposal), of plant, equipment, and other physical assets under the control of the organisation
- d) setting and monitoring environmental objectives
- e) continual improvement in environmental performance
- f) whether the organisation is certified to any standards (e.g., 14001:2015 or any specific standards for the type of product or service).

*The Quality Policy statement shall contain:*

- a) whether the organisation is certified to any standards (e.g., ISO 9001:2015 or any specific standards for the type of product or service)
- b) the setting and monitoring of quality objectives
- c) a commitment to work with organisations and customers to establish and maintain the highest quality standards
- d) a commitment to continual improvement in quality performance.

*The Drugs and Alcohol Policy statement shall contain:*

- a) a commitment to meet Client and Infrastructure Manager requirements
- b) provide details around meeting the specific elements of these requirement



- c) a commitment to performing unannounced random testing (where applicable).

The Fatigue Management Policy statement shall contain:

- a) a commitment to meet Client and Infrastructure Manager requirements
- b) provide details around the meeting the specific elements of these requirements.

The Modern Slavery Policy statement shall contain:

- a) a commitment to legal compliance, ethical standards, and fundamental human rights as set out by the principles of the ILO/UN Guiding Principles
- b) a commitment to raising awareness of modern slavery issues including how to spot the signs in the business and supply chain
- c) provision(s) for whistleblowing or other mechanism(s) for reporting issues
- d) a nominated person at the most senior management level within the business that has responsibility for preventing modern slavery within the business
- e) a commitment that the policy applies and is communicated within the business and their supply chain
- f) a commitment to address and directly prohibit practices that are known to contribute to the risk of modern slavery
- g) due diligence requirements for the business and supply chain and the steps it will take should modern slavery practices be identified within either
- h) the identification of and management requirements for any high-risk materials/labour sourcing.

## 2.4 Control of Bribery

The supplier shall provide evidence that demonstrates arrangements are in place to manage and control the risk of bribery occurring among an organisation's employees and within 'agents' acting on behalf of the organisation. The arrangements shall include but not limited to:

- a) A process for:
  - i. assessing the risk of bribery
  - ii. implementing anti-bribery measures that are clear, practical, and attainable; ensuring it is proportionate to the risks identified
  - iii. ensuring top level commitment to the prevention of bribery
  - iv. carrying out due diligence on its organisations, subcontractors, and agents to identify any corrupt practices.
- b) Evidence of:
  - i. a periodic and formal assessment of the risk of bribery within its organisation or that of its associated persons
  - ii. top level commitment to the prevention of bribery
  - iii. communication of the anti-bribery procedures to staff and 'agents'
  - iv. a periodic review of the policy, procedures and the results of due diligence checks being undertaken.

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

The supplier shall provide evidence that demonstrates arrangements are in place for managing a refusal to work stance raised on the grounds of Health and Safety (Work Safe). The arrangements shall include but not limited to:

- a) A process for:
  - i. managing a refusal to work on the grounds of Health and Safety (Work Safe)
  - ii. escalation in the event of a conflict / disagreement
  - iii. investigating and implementing corrective action where reports of unsafe acts and conditions are reported

- iv. checking that their supply chain have similar refusal to work policies in place (where applicable).
- b) Evidence of:
- i. top level commitment to 'work safe' through a documented policy (ensuring employees are not penalised for refusing to work on the grounds of health and safety)
  - ii. maintaining records of the Policy brief, including briefings to line managers not to discriminate against employees who raise such issues
  - iii. advising employees of the work safe arrangements, encouraging them to report unsafe acts and conditions and providing details of the Confidential Incident Reporting & Analysis System (CIRAS)
  - iv. investigation and corrective action where reports of unsafe acts and conditions are reported (where applicable).

## 2.6 Document Control

The supplier shall provide evidence that demonstrates the organisation has arrangements in place for identifying, approving, controlling, distribution and making readily available at the point of use up to date information required for their operations. The arrangements shall include but not limited to:

- a) A process for:
- i. identifying the key documents requiring control (e.g., National and International Standards, relevant Legislation, Industry and contract specific documentation and documents supporting the organisation's processes)
  - ii. approving the content of documents produced internally
  - iii. how documents are reviewed, changes identified, issued, and reach their point of use (particularly where there are multiple sites)
  - iv. document control
  - v. cancelled and superseded documentation, archiving and retention
  - vi. controlled issue of personal issue information such as handbooks and relevant standards
  - vii. **ensuring staff (including contractors) are in possession of the correct certification when attending site e.g., Industry Common Induction (ICI) LU endorsement; Fire Training; Drugs Alcohol Medical Screening Programme (DAMSP) and Track Safety (TfL requirement)**
  - viii. monitoring the return of all relevant passes and permits.
- b) Evidence of:
- i. a document control register (with clear identification of retention requirements)
  - ii. Legislative and Standard requirements have been identified and complied with (Data Protection Act 2018).
  - iii. compliance with internal processes in respect of issue, retention of records and archiving obsolete documentation promptly
  - iv. issuing railway documentation such as TFL Logbooks, Rule Books and Electrification Line Instructions
  - v. monitoring the return of all relevant passes and permits.

## 2.7 Restoration of Service (Business Continuity)

The supplier shall provide evidence that demonstrates business continuity arrangements are in place to identify critical operations and risk and provide a plan to maintain and / or restore operations during a crisis. The arrangements shall include but not limited to:

- a) A plan that:
  - i. demonstrates business continuity has been addressed
  - ii. includes a phased recovery with key recovery stages identified
  - iii. has allocated overall responsibility to a senior person within the business
  - iv. identifies the command-and-control structure in all key areas of the business so the programme is implemented to minimise disruption to production / service
  - v. identifies a communications person (for business continuity issues) to deal with media, internal communication and other interested parties including customer base where applicable
  - vi. identifies deputies for key functions.
- b) Evidence of:
  - i. the supplier's business continuity plan, ensuring it is suitable and sufficient for the services being provided; including:
    - the recovery plan mitigates any risk being imported from services that continue
    - responsibilities are assigned for business recovery and the individuals have been assigned the responsibilities
  - ii. a programme for testing and reviewing the arrangements
  - iii. records of previous tests and reviews.

## 2.8 Workforce Involvement

The supplier shall provide evidence which demonstrates arrangements are in place to make employees aware of changes to the business and enable them to make contributions towards improvements. The arrangements shall include but not limited to:

- a) A process for:
  - i. engaging with the workforce and providing opportunities to contribute towards improvements
  - ii. delivery of regular briefings, Rule Book Updates and Sentinel Scheme Rule Updates.
- b) Evidence of:
  - i. employee engagement, particularly when:
    - procedures are to be changed
    - the organisation is to be changed
    - new technology, systems and processes are to be introduced
    - conducting risk assessments
    - reviewing general performance matters.
  - ii. recording suggestions made by employees
  - iii. review of suggestions and providing response.

## 3.0 Supply Chain Management

### 3.1 Organisation and Subcontractor Management

The supplier shall provide evidence that demonstrates arrangements are in place to select and manage capable and competent organisations of products / services to undertake work in a safe and efficient manner whilst paying due regard to the environment and quality of work delivered. The arrangements shall include but not limited to:

- a) A process for:
  - i. approving and maintaining the assurance of all suppliers to be utilised, ensuring there is sufficient and appropriate information to aid selection for contract
  - ii. selecting and approving suppliers from a controlled list before placing a contract, ensuring the supplier is competent and have the resource to carry out the work (factoring in historical performance/competence)
  - iii. ensuring suppliers of designated services who are in an approved scheme, trade association and/or hold relevant licenses such as Sentinel, NSAR, IRSE and CIRAS have live certification/accreditation/contract in place (where applicable)
  - iv. ensuring suppliers hold the minimum levels of insurance that are applicable to their scope of services
  - v. ensuring risk from modern slavery are not being introduced from the supply chain
  - vi. ensuring suppliers can meet UK regulatory requirements (organisations based overseas)
  - vii. ensuring products and components procured are approved and fit for purpose
  - viii. communicating with suppliers and ensuring relevant information is provided and received where required; the process shall ensure all information shared is understood
  - ix. managing sublet work and design functions
  - x. reviewing periodically of supplier's qualifications
  - xi. reviewing suppliers' performance when used
  - xii. verifying and ensure that products and components procured are approved and fit for purpose
  - xiii. supply chain auditing
  - xiv. recording and monitoring of any corrective actions raised at supply chain audits.
  
- b) Evidence of:
  - i. a controlled list of approved suppliers
  - ii. the controlled list is tracking and managing the requirements listed in 3.1 a) (where applicable)
  - iii. taking action where there is an outstanding requirement (where applicable).
  - iv. monitoring and measuring suppliers' performance during and after use, which shall include:
    - carrying out risk-based planned general inspections of suppliers' worksites
    - carrying out risk-based audits of suppliers' management systems
    - post contract reviews of supply chain performance and the results of these reviews being communicated through the business.

## 4.0 Workplace Arrangements

### 4.1 Emergency and Contingency Planning

The supplier shall provide evidence that demonstrates arrangements are in place to respond to emergencies, including having sufficient first aid qualified employees and maintained first aid facilities available. The arrangements shall include:

- a) A process for:
  - i. establishing an emergency response plan and assessing the requirement and provisions of equipment for the use in the event of an emergency (including first aid facilities) for all work locations
  - ii. ensuring the provision of competent personnel for emergencies (e.g., first aid staff)
  - iii. reviewing and controlling the revision of the plans, particularly after an accident/incident or an emergency
  - iv. communicating, interfacing, and assisting Clients, Principal Contractors, Infrastructure Managers, Regulatory Authorities, emergency services and any individuals that maybe affected by the services provided
  - v. acting where modern slavery has been uncovered in the business and/or supply chain
  - vi. obtaining and reviewing plans where they are the responsibility of another (where applicable).
  
- b) Evidence of:
  - i. emergency equipment and first aid provision assessments for each worksite
  - ii. emergency response plan for each worksite (shall include third party plans where applicable)
  - iii. distributing the emergency plans to all interested parties (own personnel, suppliers, and other affected parties) and reviews of emergency plans provided by others
  - iv. briefing workers on the plans and testing the effectiveness and understanding of such plans.

### 4.2 Welfare Arrangements

The supplier shall provide evidence that demonstrates arrangements are in place for ensuring the provision of adequate welfare facilities (irrespective of work location) for personnel under their control, including the provision of drinking water, toilets washing and rest facilities. The arrangements shall include:

- a) A process for:
  - i. assessing the welfare needs considering the expected work duration (including 'door to door' travelling time), the size and location of site, type of work to be undertaken and the number of people involved in the work (consideration should be given for mobile facilities at transient work sites where fixed public facilities are not reasonably accessible)
  - ii. ensuring adequate maintenance of the facilities to an appropriate level of hygiene and cleanliness
  - iii. checking the adequacy of welfare for staff where it is provided by another.
  
- b) Evidence of:
  - i. welfare assessments undertaken



- ii. welfare provided (if applicable)
- iii. checks on welfare when provided by another (if applicable).

### 4.3 Insurance Arrangements

The supplier shall provide evidence that demonstrates arrangements are in place to provide sufficient financial cover in the event of matters of an unseen nature arising that result in loss or damage or financial loss. The arrangements shall include but not limited to:

- a) A process for:
  - i. putting in place, maintaining and reviewing (annually as minimum) the cover required for the scope of works provided
  - ii. reviewing the insurance held before a contract commences, ensuring the right level of insurances are in place for specific contracts and for the duration of the contract
  - iii. ensuring subcontract arrangements are in place to be able to pass on appropriate insurance requirements.
- b) Evidence of:
  - i. holding the minimum level of insurances required by law and it covers the scope of services
  - ii. acknowledgement that Network Rail will provide Contractor all risks and public liability insurance or self-insurance on construction projects.
  - iii. for each project either delivered in the last 12-months or due to commence within the next 12-months, a check that the organisation has put in place insurance with a reputable insurer and the insurance meets the levels required by the contract and last for the duration of the contract.

### 4.4 Management of a Close Call, Near Miss, Accident, and an Incident

The supplier shall provide evidence that demonstrates arrangements are in place to report, investigate and analyse accidents, incidents, close calls, and near misses (including safety and environmental events) involving their employees and/or operational activities. The arrangements shall include but not limited to:

- a) A process for:
  - i. accident reporting and communicating the process to the workforce, sub-contractors, and any other interested party (ensuring compliance with RIDDOR)
  - ii. maintaining records of accidents, incidents, near misses and close calls
  - iii. undertaking local investigations, identifying the competence of people undertaking the investigation, briefing operatives of the investigative process, a mechanism for feeding into the Clients formal enquiry process, arrangements to assist and provide records to enforcement agencies (Police, Environment Agency, HSE)
  - iv. managing accident / incidents appropriate to the severity of the event including arrangements to reach a clear understanding of responsibilities for reporting and investigation on shared worksites
  - v. ensuring investigations of accidents and incidents are managed in accordance with Client and Infrastructure Manager requirements
  - vi. identifying the underlying / root causes of any accidents and incidents

- vii. identifying and tracking corrective and preventative actions through to close out, including re-assessing the risks, if appropriate, brief employees and other parties on the findings of the investigation reports and share lessons learned with clients
  - viii. producing, analysing, and reporting of accident, incident and dangerous occurrences statistics and making these reports available Clients or enforcement agencies
  - ix. reporting to the Client, PC, and Infrastructure Manager all safety and environmental 'close calls', 'near misses' and accidents (including all events in relation to pollution and or damage to the environment, property, and equipment)
  - x. implementing (when applicable) and tracking internal progress of organisation actions following recommendations from major investigations/inquiries/inquests into accidents/incidents, e.g., HSE, Coroner, Public Inquiry, industry investigation, Environment Agency.
- b) Evidence of:
- i. the formal appointment of a nominated person responsible for the statutory reporting of accidents and incidents as identified in RIDDOR (head office and site if different)
  - ii. appointing a competent person to undertake investigations
  - iii. communicating the reporting process to employees and subcontractors
  - iv. accident, incident, near misses and close call records
  - v. producing, analysing, and reporting of accident, incident, and dangerous occurrences statistics; ensuring the reports have been made available to Clients or Enforcement Agencies (where required)
  - vi. where an accident/incident has occurred, the organisation has:
    - conducted an investigation to a level that was appropriate to the severity of the event.
    - identified the underlying / root cause and appropriate corrective actions have been implemented
    - lessons learned briefings have been conducted.

## 5.0 Plant & Equipment

### 5.1 Management, Maintenance and Servicing

The supplier shall provide evidence that demonstrates arrangements are in place to only select and use plant and equipment that are technically sound, maintained, fit for purpose and safe to use in the intended application. The arrangements shall include but not limited to:

- a) A process for:
  - i. creating, maintaining, and making available to employees an approved supplier list for plant and equipment
  - ii. assessing the risk and identifying control measures when selecting products and plant; ensuring occupational health impacts have been considered in the assessment
  - iii. identifying each item of plant or machinery in the supplier's control
  - iv. identifying the products and plant that fall within the scope of NR/L2/RSE/100/05
  - v. identifying maintenance and control requirements of all plant and equipment
  - vi. checking all work equipment, goods, and products to be used to ensure they are fit for purpose, whether owned or hired in from a third party
  - vii. the implementation of 'Pre-Delivery Inspection' (Fitter) and 'Prestart' checks (Operator) (where applicable)
  - viii. checking lifting equipment and its ancillary (chains/ slings/ strops) equipment before use and ensuring compliance with Regulations (where applicable)
  - ix. calibrating tools and equipment (where applicable)
  - x. quarantine arrangements so equipment that is not fit for purpose cannot be used
  - xi. communicating information on damaged equipment, or equipment under repair and in quarantine
  - xii. reporting of high risk / safety related defects.
  
- b) Evidence of:
  - i. products, plant, and equipment being procured from an organisation on the approved suppliers list
  - ii. a controlled list of plant and equipment being maintained (including third party hired equipment) and the items have been checked to ensure they are fit for purpose before use
  - iii. risk assessments which identify the occupational health impacts of selected plant and equipment
  - iv. the organisation is identifying and managing the inspection, service, calibration and maintenance requirements of all plant, equipment, trailers, and attachments used; ensuring compliance with relevant statutory requirements (i.e., PUWER 1998, LOLER 1998), manufactures instructions and client expectations. Evidence shall include:
    - records of completed maintenance/service check sheets for all plant, machines, trailers, and attachments
    - records of 'Pre-Delivery Inspection' (Fitter) and 'Prestart' checks (Operator)
    - records of calibration (where applicable)
  - v. a quarantine process being implemented and suitably managed. Evidence will be sought to demonstrate that equipment and plant that is not fit for purpose is being placed in quarantine and the status of the plant/equipment is clearly identifiable to any potential user.

## 5.2 Use of Plant and Equipment (including safety critical)

The supplier shall provide evidence that demonstrates arrangements are in place to ensure plant is maintained and operated by competent individuals who have received adequate information, instruction, and training relevant to statutory requirements, such as the Provision and Use of Work Equipment Regulations 1998. The arrangements shall include but not limited to:

a) A process for:

- i. identifying a safe method of use based on the risk assessment findings, and consideration has been given to plant, transportation, access and use, persons affected, occupational health impacts, and the need for appropriate PPE
- ii. establishing training and supervision requirements for all plant and equipment to be used
- iii. maintaining the competency of individuals in relation to plant and equipment in use
- iv. ensuring the competence of any third party used to maintain or use plant and equipment in the supplier's control.

b) Evidence of:

- i. detailing the competency requirements for staff involved in maintenance, inspections, and servicing of equipment
- ii. detailing the competency requirements for staff involved in operating plant and equipment and individuals with supervision responsibility
- iii. adequate training being assigned and delivered to those with responsibility for maintenance, inspection, operating and supervision of plant and equipment; ensuring refresher/re-assessments are being managed and controlled in line with requirements
- iv. employees and subcontractors under their control being briefed and trained on occupational health assessment results and the associated control measures required for ensuring the safety of the user and those around them (briefings shall also be provided to anyone that maybe affected by the plant and equipment being used)
- v. maintenance work plans being signed by a competent person.

## 6.0 Risk Management

### 6.1 Health, Safety and Environmental Risk Controls

The supplier shall provide evidence that demonstrates arrangements are in place to identify and manage all risk to the Organisation, its Client, and the Managed Infrastructure. The arrangements shall include but not limited to:

- a) A process for:
  - i. identifying, capturing, and assessing all potentially hazardous events; ensuring it covers:
    - the likelihood and severity of the consequences (via risk ranking matrix, FMEA, HAZOP as appropriate)
    - the appropriate section of employees has been involved in the process
    - consideration of direct and indirect impacts under normal, abnormal, and emergency conditions
    - quantification of the environmental risk including managing issues related to noise and any restrictions on working hours
    - contract specific requirements and not just generic operational and office requirements
  - ii. on-site dynamic risk assessments; ensuring it covers:
    - the methodology for capturing, updating, and briefing dynamic risk on-site
    - the methodology for reviewing dynamic risk assessments and updating risk log
    - ensuring employees are familiar with the process and encouraging its use
  - iii. ensuring appropriate competent resource is available to implement, manage and review control measures (factoring in the number of sites under the supplier's control)
  - iv. communicating risk assessments to staff, clients and all other affected parties and retraining briefing records
  - v. incorporating / referencing risk assessments into method statements / task briefing sheets
  - vi. identifying risk controls within the organisations processes and communicating them throughout their organisation
  - vii. monitoring / reviewing of control measures on a regular basis by personnel who understand the work being assessed
  - viii. ad-hoc reviews when new information is received which may change a risk
  - ix. reinforcement of safe behaviours and re-educating un-safe behaviours
  - x. obtaining, reviewing, making changes to processes (when applicable), and communicating out safety instructions, alerts, and bulletins.
- b) Evidence of:
  - i. appointing a designated competent person who is responsible for compiling and authorising the risk assessments; ensuring they understand infrastructure specific risks appropriate to the scope of services
  - ii. appointing competent persons for the implementation and review of risk controls (ensuring the different sites under the supplier's control have been factored in)
  - iii. a risk log, documenting all assessment findings, including identifying the generic top ten hazards/risks with the highest evaluated risk
  - iv. production and review of an environmental aspects and impacts register
  - v. control measures have been included in company processes and site-specific documents (method statements, task briefing sheets, work package plans, environmental management plan)
  - vi. communicating:

- risk assessments to staff, clients, and all other affected parties; ensuring briefing records have been retained in-line with document control processes
  - safe behaviours and re-education provided for un-safe behaviour identified
  - safety instructions, alerts, and bulletins
- vi. risk controls on site correlate with the risk controls on the relevant risk assessment and the organisation is monitoring and reviewing the control measures on a regular basis by personnel who understands the work being assessed.

## 6.2 Control of Substances Hazardous to Health

The supplier shall provide evidence that demonstrates arrangements are in place to identify the risk and controls required to comply with the Control of Substances Hazardous to Health (COSHH) Regulations. The arrangements shall include but not limited to:

- a) A process for:
- i. identifying any substances used that may fall within the scope of the COSHH Regulations
  - ii. obtaining, using, and implementing manufacturers safety data sheet information
  - iii. developing COSHH assessments based upon the Manufacturers Safety Data sheet information
  - iv. consideration of different site locations
  - v. communication for all that maybe affected by substances used.
- b) Evidence of:
- i. list of COSHH identified
  - ii. COSHH assessments for substances being used
  - iii. COSHH Assessments have been briefed in all offices and site locations, to all employees, suppliers, subcontractors, and the Client as applicable and records of briefing retained.

## 6.3 Personal Protective Equipment

The supplier shall provide evidence that demonstrates arrangements are in place to mitigate risk; ensuring employees are provided with appropriate PPE and trained in its use. The arrangements shall include but not limited to:

- a) A process for:
- i. the issue of PPE at induction, following loss or if damaged
  - ii. ensuring PPE selection, use and maintenance complies with Legislation (such as PUWER and LOLER)
  - iii. retention of records of all PPE provided
  - iv. ensuring PPE is included in the risk assessment process and clearly identifies the specifics of the PPE required (i.e., the levels of PPE required to mitigate the risk)
  - v. training in the use and maintenance of PPE (where applicable)
  - vi. ensuring risk assessment are undertaken where PPE is to be reduced for an activity
  - vii. monitoring of PPE issue and use
  - viii. reviewing the effectiveness of the PPE supplied through employee engagement; ensuring adequate protection for the activities being performed
  - ix. confirming the suitability of PPE for all sub-sponsored personnel when working on behalf of the Supplier
  - x. confirming subcontractors working on associated projects have suitable controls in place for PPE

- xi. corrective action should be identified or reported in.
- b) Evidence of:
- i. the organisation operating in compliance with legislation and applicable standards (considering the activities being provided)
  - ii. PPE being provided free of charge to employees and primary sponsored staff (where applicable)
  - iii. the correct levels of PPE have been provided for the services being offered, including the supply to sub-sponsors (where applicable)
  - iv. training being provided on PPE use, fitting and maintenance (where applicable)
  - v. PPE branded with the Primary Sponsors logo being issued (outer skin upper body clothing only)
  - vi. ensuring the PPE supplied provided adequate protection for the activities being performed (including evidence of feedback through employee engagement)
  - vii. checks are being made of subcontractor's use of PPE on associated projects and confirming the suitability of PPE that has been supplied and used by all sub-sponsored personnel when working on behalf of the organisation.

## 6.4 Communication and Coordination of Risk Controls

The supplier shall provide evidence that demonstrates arrangements are in place for the sharing of information on risk with interfacing organisations and confirming their employees are suitably briefed to achieve a co-ordinated approach to implementing risk control measures. The submission shall include:

- a) A process for:
- i. informing and cooperating with other organisations working in the same area on the implementation of measures to control risk
  - ii. establishing communication and coordination arrangements for dissemination of HS&E information which shall include identifying the required attendees, meeting structure, frequency of meetings, purpose of meetings and recording attendance and actions
  - iii. establishing resource and access for inspections and audits from organisations who may be affected by the supplier operations
  - iv. determining an appropriate variety of methods of communication, producing, and delivering briefing material to facilitate a two-way process for communication on HS&E matters and documenting attendance).
- b) Evidence of:
- i. a meeting structure being implemented for the dissemination of HS&E information; ensuring the attendees and actions are documented (consideration should be given to each project being delivered)
  - ii. providing information to site workers on site rules, HS&E risks, measures for reducing risk and procedures to be followed in the event of an accident or other emergency
  - iii. providing information on regulatory visits to customers e.g., by HSE / ORR / EA / SEPA (where applicable)
  - iv. meeting plan for the dissemination of HS&E information.

## 7.0 Human Resources

### 7.1 Occupational Health Management

The supplier shall provide evidence that demonstrates arrangements are in place to ensure the health and wellbeing of their employees and to meet occupational health surveillance requirements. The arrangements shall include (but is not limited to):

- a) A process for:
  - i. identifying, reviewing, meeting, and maintaining the health requirements specified by the Infrastructure Manager/Customer/Client standards (e.g., NWR, TFL, RIS, Tier 1)
  - ii. identifying hazards and risk that may affect the health and wellbeing of employees
  - iii. risk assessing health issues by a competent professional which includes:
    - determining whether it is reasonably practicable to implement a safe system of work to allow individuals to continue to undertake their duties
  - iv. assessing the pre-employment medical condition of all employees
  - v. reviewing the occupational health requirements of anyone changing position (prior to starting the new role)
  - vi. routine health surveillance
  - vii. reviewing the occupational health arrangements
  - viii. managing the occupational health arrangements of subcontractors (if applicable)
  - ix. securely storing occupational health information on employees and ensuring records are retained for the minimum period applicable to the type of record
  - x. giving employees the opportunity to review their records if requested
  - xi. mental and stress management
  - xii. seeking assistance confidentially when they have concerns, they may be developing a habit/problem, mental health, or wellbeing issues.
  
- b) Evidence of:
  - i. the appointment of persons responsible for setting up and managing the occupational health process (employees, specialist advice, unions, or representatives)
  - ii. access arrangements for occupational health surveillance, advice, and mental health support (identifying where this is undertaken, inhouse or by a specialist provider)
  - iii. when required, occupational health risk assessments being conducted, and control measures being briefed to the relevant personnel:
    - where control measures have been identified to mitigate occupational health risks, they have been implemented and are adequate for the services being delivered
    - where the risk assessment requires routine health surveillance, it has been implemented and is adequate for the services being delivered
    - implementing a safe system of work
  - iv. regular review of the occupational health arrangements.

### 7.2 Managing Fatigue

The supplier shall provide evidence that demonstrates arrangements are in place for identifying, risk assessing, planning, and preventing the fatigue of employees, agency, contractors, and sub-contractors. The arrangements shall include (but is not limited to):

- a) A process for:



- i. identifying the activities and tasks in the organisation and organisation's suppliers where fatigue could result in impaired performance and increased operating risk
  - ii. carrying out fatigue risk assessments
  - iii. ensuring compliance with the rail industry's working time limits for employees and the infrastructure standard requirements the supplier is delivering to
  - iv. planning work so that exceedances do not occur
  - v. authorising unforeseen exceedances (including risk assessments)
  - vi. monitoring actual hours worked
  - vii. analysing trends in hours worked (including travel time, etc) and correlating this with incident data, skill availability and sickness/absence data and taking appropriate action in the light of identified patterns and trends
  - viii. establishing plans and objectives for controlling actual hours and reducing unforeseen exceedances
  - ix. preventing workers from carrying out or continuing to carry out work activities where there is reason to believe they are unfit due to fatigue
  - x. retaining records as per the control of working hours for staff undertaking safety critical work' (ROGS) (where applicable)
  - xi. assessing the fatigue arrangements so that they are appropriate for their staff and ensure compliance with ROGS.
- b) Evidence of:
- i. implementing plans and objectives for controlling actual hours worked and reducing unforeseen exceedances
  - ii. risk assessing activities and tasks where fatigue could increase risk (implementing control measures where required)
  - iii. planning work hours to avoid exceedance
  - iv. authorising and implementing controls where an exceedance occurs
  - v. monitoring hours worked and analysing for trends; taking action where patterns and trends have emerged from:
    - exceedances
    - incident data
    - sickness/absence data
  - vi. assessment and periodic review of fatigue arrangements
  - vii. overall compliance with the rail industry working time limits and the Infrastructure standard the supplier is delivering to.

## 7.3 Alcohol and Drug Arrangements

*This question applies to all suppliers undertaking this module*

The supplier shall provide evidence that demonstrates arrangements are in place for checking that all workers under its control do not attend work while under the influence of drugs or alcohol. The arrangements shall include (but is not limited to):

- a) A process for:
- i. implementing a drug and alcohol policy and briefing out to employees
  - ii. reporting, recording, and assessing the use of prescription drugs
  - iii. providing access to professional support and guidance for employees who declare issues with drug and alcohol misuse/abuse.
- b) Evidence of:
- i. **fit to work policy (TFL Requirement Only)**
  - ii. where an individual has declared the use of medication or requiring professional support for drink/drug use:
    - professional guidance has been provided
    - risk assessment conducted

- where necessary, a safe system of work implemented.

### 7.3.2. Alcohol and Drug Arrangements (Safety Critical Only)

*This question applies to all suppliers who have safety critical employees that are **not** sponsored through Sentinel (the requirement for Sentinel positions will be captured in the Sentinel module)*

The supplier shall provide evidence that demonstrates arrangements are in place for checking that all workers under its control do not carry out safety critical tasks while under the influence of drugs or alcohol. The arrangements shall include (but is not limited to):

- a) A process for:
  - i. maintaining a controlled list of safety critical employees and ensuring they have been briefed on the risk based random testing programme
  - ii. routine, pre-appointment testing - such as pre-employment and following transfer to a post which is designated as safety critical
  - iii. carrying out 'for-cause' testing through an assured drug and alcohol testing provider— i.e., following accidents, serious incidents or suspected of being unfit through drugs or alcohol
  - iv. implementing actions following a failure of a drug and alcohol test
  - v. dealing with appeals against drug and alcohol test results
  - vi. retaining test result records in-line with the Infrastructure Managers requirements

*For safety critical employees that perform works that may impact the operational running of the rail infrastructure:*

- vii. carrying out a risk-based programme of random testing on a rolling 12-month period ensuring:
      - a. it meets the Infrastructure Managers percentage expectation
      - b. the testing is performed randomly at irregular points within a 12-month period to ensure a random nature to the process.
  - b) Evidence of:
    - i. appointing an approved drugs and alcohol testing provider
    - ii. undertaking testing pre-employment (pre-post appointment) and following an accident/serious incident
    - iii. actions have been taken where there has been a positive random test.

*For safety critical employees that perform works that may impact the operational running of the rail infrastructure:*

- iv. implementation of a risk-based programme of random testing in-line with the Infrastructure Managers requirements and the testing has been performed intermittently over a rolling 12-month period to ensure the random nature of the requirement.

## 8.0 Improvement

### 8.1 Monitoring

The supplier shall provide evidence that demonstrates arrangements are in place for the proactive and reactive monitoring and analysis of their own performance and that of their organisations to ensure they are appropriate for the safe, effective, and efficient delivery on site. The arrangements shall include but not limited to:



- a) A process for:
- i. the creation and implementation of a schedule of site inspections, safety tours and audits, where the frequency is determined based on risk and contract specific requirements
  - ii. identification of the posts / representatives that carry out the inspections, tours, and audits
  - iii. obtaining measurable information for management review from inspections, tours, and audit, including:
    - performance against objectives (including safety & environmental, employee engagement and the internal management system)
    - supplier performance and feedback results
    - the adequacy and effectiveness of risk controls
    - identification of new/emergent and changing risks
    - the close out and effectiveness of corrective actions and/or improvement plans
  - iv. measuring and monitoring of accident frequency rates (AFRs or alternative measures appropriate to organisation size and scope of work)
  - v. producing reports that identify suitable corrective action when shortfalls are identified (or noting good practice)
  - vi. tracking the close out of resulting corrective actions or the dissemination and adoption of good practice
  - vii. quality inspections on installation works
  - viii. analysing and reporting of data including the identification of trends and significance of the data and corrective actions reviewed at senior management level
  - ix. review of all monitoring and measuring data and striving towards continual improvement (i.e., management reviews, HSQE reviews and client reviews).
- b) Evidence of:
- i. management review plan for the coming year and evidence of previous reviews
  - ii. the Organisation actively monitoring and measuring all deliverables, services, process, and procedures to ensure safety in their activities; the monitoring may include a combination of:
    - audits, inspection, and safety tour reports
    - performance and quality inspection reports
    - 3<sup>rd</sup> party surveillance report (summary of actions)
    - management review decisions
  - iii. implementing and managing corrective actions/ improvement strategies to ensure continual improvement, which shall include:
    - a suitably managed action tracker/ correction actions list
    - close out of previous years non-conformances/actions from internally identified non-conformances/actions and any non-conformances raised in 3<sup>rd</sup> party surveillance report
    - management reviews.