RISQS Audit Protocol

Safe System of Work Planning (SSOW)

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01	Carl Rulton	Alan Thomas	Richard Sharp	27-02-18	Initial Issue
02	Gillian Scott			27-03-19	Logo change only
03	Phil Smith	RSSB Supplier Assurance	Gillian Scott	July 20	Align with Module 04 NR/L2/SCO/302
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05	Phil Smith	Martin Littlewood	Tony Howard	11/01/23	Separation of types of evidence for verification,

					audit or assessment

Preface

This protocol is designed to assess a supplier's management system and compliance with the RISQS Committee and Infrastructure Manager requirements for qualification in safe system of work services.

The audit will take place upon initial selection of safe system of work services, 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 that have selected the service of safe system of work planning.

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 the first part.

1. Organisation

1.1.   Management Structure

The supplier shall provide evidence that demonstrates the organisation has an adequate structure in place applicable for the management and delivery of safe systems of work planning activities. The arrangements shall include but not be limited to:

a) A process for:
   i.   carrying out assessments to identify the Safe System of Work Planning (SSOWP) resource requirements to ensure it meets the infrastructure expectations the organisation is delivering to. As a minimum, the resource assessment shall include:
      - Responsible Manager(s), Safe Work Planner(s), and Persons in Charge (PIC) positions
      - provision of health and safety advice from a person with safe system of work planning experience
      - provision of advice for On-Track Plant (OTP) Operations (i.e., POS management)
      - the size (number) and geographical spread of the service (ensuring local knowledge is available)
      - how subcontracted resource will be managed and communicated with.

b) Evidence of:
   i.   documenting the organisational structure that is adequate for the delivery of safe system of work planning activities in accordance the relevant Infrastructure Manager's requirements ensuring the following roles are identified:
      - a manager(s) responsible for Safe Work Planning (Responsible Manager)
      - Safe Work Planner(s)
      - Person(s) in Charge
   ii.   keeping the organisational structure documentation current
   iii. nominating roles to projects and ensuring those nominated have the skills and local knowledge to carry out the planning activities
   iv.   clear identification of subcontracted resource/position and those with responsibility for communicating and coordinating with them.

1.2.   Competence, Capability and Continuous Development

The supplier shall provide evidence that demonstrates the organisation has arrangements in place to demonstrate training, development, and ongoing competence management for safe systems of work planning activities. The arrangements shall include:

a) A process for:
   i.   undertaking capability assessments for the roles of Safe Work Planner and Person in Charge prior to appointment and annually thereafter. Ensuring the assessment includes a review on:
      - knowledge and experience
      - (past) performance and behaviours
      - frequency of practice of the competence
      - incidents, accidents or near misses as a result of undertaking the work
   ii.   managing an authority to work following the outcome of the capability assessment
   iii. restoring the required level of performance where a standard has fallen short of capability expectations

    iv.   obtaining and reviewing evidence of capability for all externally provided resource prior to use

    v.   continuous development for all persons involved in safe work planning activities to ensure knowledge and understanding of:
- changes to rule books and Infrastructure Manager standards and guidance updates
- changes to technology and infrastructure assets/systems relevant to safe work planning
- local areas where services are provided (including obtaining any additional formal competencies that are required)

    vi.   formal competencies are managed and maintained in-line with competency rules and standards

    vii.   mentoring, supervising, and monitoring of safe work planning delivery and linking the outcome into individuals' capability assessments.

b) Evidence of:
    i.   undertaking capability assessments for all internally appointed roles
    ii.   reviewing the capability decisions of externally sourced positions prior to use
    iii.   implementing mentoring, supervision and monitoring arrangements and including the outcomes in capability assessment for internally appointed personnel.
    iv.   authority to works are being linked to the capability assessments and managed to prevent tasks being undertaken where it has been identified that the standard required for undertaking work has not been met
    v.   plans being implemented to restore 'capable' status where the level of performance is below expectation
    vi.   management of formal safe work planning competencies where they have not been covered as part of the CORE module
    vii.   supervision and monitoring results of externally provided resource being reviewed and action taken where poor performance has been identified.

1.3.   Acknowledgement of Responsibilities

The supplier shall provide evidence that demonstrates the organisation has arrangements in place for assigning safe work planning responsibilities to competent staff and the duties are acknowledged and accepted. These arrangements shall include:

a) A process for:
    i.   formally briefing and appointing responsibilities for safe work planning activities, ensuring all responsibilities are understood and formally acknowledged/accepted
    ii.   undertaking a refresh of the responsibilities following:
- change of responsibilities/role
- infrequent delivery of the role
- where there is a significant gap between the last formal briefing.

b) Evidence of:
    i.   Responsible Manager(s) acknowledging responsibilities of the role which include as a minimum:
- overall development of safe systems of work plans
- only assigning Planner(s) and PIC(s) with familiarisation of the type and complexity of the work, the location, and safe system of work arrangements required
- ensuing planner(s) and PIC(s) are adequately resourced
- ensuring the PIC(s) work with the planner during development of the plans

- maintaining an understanding of the planning provider's management system to be able execute their responsibilities
- authorising or rejecting Safe Work Packs (SWP)
- ensuring all packs are returned
- monitoring performance data, including level of protection provided, the number of plans rejected or changed on site and ensuring corrective action is taken where detrimental patterns emerge

ii. Planners acknowledging responsibility of their role which includes as a minimum:
- formally develop and document plans
- communicate and coordinate as directed by the Responsible Manager
- liaising with competent resource where required (i.e., lift planners, POS reps)
- developing plans with the involvement of the appointed PIC
- maintaining competence and ensuring local knowledge and familiarisation prior to accepting the responsibility of a particular plan

iii. Persons in Charge acknowledging responsibility for the position of PIC which includes as a minimum:
- involvement in the planning process (or ensuring another PIC with similar knowledge and experience has been involved during planning)
- verify the proposed SWP ensuring it is fit for purpose and appropriate (at least one shift in advance of delivery)
- record any errors and changes that are made to SWPs
- ensuring all packs are returned to the Responsible Manager
- briefing the safe work pack to the team (or delegating the responsibility where appropriate)
- standing down work, or stop from commencing where no safe system of work can be established/maintained, or new risks have been identified and the controls are no longer effective
- maintaining accountability for the safe delivery of work without delegating (PIC will remain accountable above all other COSS employed on the site).

2. Management Systems

2.1. System Arrangements

The supplier shall provide evidence that demonstrates the organisation has arrangements 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 safe system of work planning and controlling any potential system changes
ii. developing and setting objectives with an intention of continuous improvement in safe work planning activities

a) Evidence of:
i. the safe work planning system managing processes for:
- selection and use of subcontractors
- competence management
- delivering safe system of work planning in-line with standard requirements
- monitoring and measuring
- communication and investigation of breaches of safe system of work planning arrangements and processes
ii. insurance covers the provision of safe work planning activities

iii.   activities are being undertaken in-line with the management system expectations and this is being reviewed internally on a regular basis.

2.2.   Management of Legal and Other Requirements

The supplier shall provide evidence that demonstrates the organisation has arrangements in place to ensure they obtain and review changes to Infrastructure Manager standard requirements for safe work planning. The arrangements shall include but not limited to:

a) A process for:
- i.   accessing, reviewing, and keeping up-to date with the relevant Infrastructure Managers standard requirements
- ii.   making changes to the internal management system where changes in the standard requires it
- iii.   ensuring all staff that hold safe systems of work planning responsibilities are updated on the latest relevant Infrastructure Managers standards and any significant management system changes.

b) Evidence of:
- i.   all staff holding safe systems of work planning responsibilities having knowledge, awareness and understanding of the relevant safe system of work planning standard
- ii.   safe work packs are in compliance with the relevant standard requirements.

2.3.   Document Control

The supplier shall provide evidence that demonstrates the organisation has arrangements in place to ensure control over safe work planning documentation and plans produced meet the minimum requirements of standard expectation. The arrangements shall include but not limited to:

a) process for:
- i.   establishing and maintaining a system that provides access to the relevant documentation required to deliver safe system of work planning services (i.e., hazard directory, sectional appendix)
- ii.   controlling changes to:
  - documents used to deliver safe systems of work planning services
  - safe work packs during the planning phase and at the point of execution.

b) Evidence of:
- i.   plans produced include site diagrams, visual schematics, hazard Information, emergency contact numbers, safe system of work arrangements, interface arrangements
- ii.   correct (document controlled) templates are used
- iii.   changes being managed and controlled.

3. Supply Chain Management

3.1. Organisation and Subcontractor Management

The supplier shall provide evidence that demonstrates the organisation has arrangements in place for the selection and use of suitable competent Organisations; including suppliers of Safety Critical goods, products or services and hired-in staff. The arrangements shall include:

a) A process for:
   i. approving and maintaining the assurance of all suppliers for safe work planning activities, ensuring they meet the requirements set out in this document.
   ii. ensuring products, goods, and services:
      - can be delivered timely and safely
      - are fit for purpose
      - meet performance expectations
      - don't adversely impact on the environment or service provided
   iii. assessing hired-in personnel before use to ensure that they meet the requirements of this protocol for competence and capability
   iv. inducting hired-in personnel and providing training on the management systems to be used.

b) Evidence of:
   i. approving and managing suppliers of safe systems of work planning products, goods, and services (when applied)
   ii. safe work planning products, goods and services being assessed to ensure it meets the requirements detailed in 3.1a) ii
   iii. hired-in personnel being assessed before use; where an individual doesn't meet the requirements of the protocol for competence and capability, the shortfalls are addressed before use.
   iv. Hired-in personnel are inducted on the company's policies and procedures and trained on the management systems to be used.

4. Safe Systems of Work Planning Delivery

4.1. Safe Systems of Work Planning

(Including emergency and contingency planning)

The supplier shall provide evidence that demonstrates the organisation has a system in place to produce suitable and sufficient safe systems of work plans that are clear, adequate for the work and include contingency and emergency arrangements. The arrangements shall include:

a) A process for:
 i. identifying and documenting the hazards and risk-based controls according to the complexity of the site and the task
 ii. identifying and documenting the operational risk controls (i.e., protection arrangements factoring in location, works and duration)
 iii. identifying and documenting other rail industry risks controls (such as controls for runaway risk, OTP movement & ALO)
 iv. integrating OTP plans into the SWP
 v. identifying and documenting emergency and contingency arrangements ensuring they are consistent with the Principal Contractors (PC) arrangements, which includes:
    - emergency contact details
    - accident and incident contact/arrangements
 vi. identifying and documenting the provision of equipment to be used in an emergency; ensuring it is suitable for the work to be undertaken
 vii. identifying and documenting adequate welfare arrangements
 viii. reviewing and testing the adequacy of the plan's arrangements and controls prior to implementation.

b) Evidence of:
 i. the outputs from arrangement listed in section a) i to vii have been included in the safe work packs and they are adequate for the activity, location, and duration of the works
    (the Auditor will be required to review a sample of packs to determine the adequacy of the arrangements)
 ii. using individuals with POS experience where OTP plans need to be integrated
 iii. reviewing and testing the adequacy of plans.

4.2. Communication and Coordination

The supplier shall provide evidence that demonstrates the organisation has documented arrangements for communication and co-ordination of safe work plans prior to planning, during the planning phase and at point of execution on the worksite. These arrangements include:

a) A process for:

 (Overarching arrangements)
 i. identifying the communication and coordination arrangements when working under a PC or Infrastructure Manager which includes:
    - nominating a person with liaison responsibility
    - establishing documentation for communication plans
    - ensuring emergency and contingency plans are coordinated
    - accident and investigation arrangements
    - interfacing with Regulatory Authorities and Emergency Services
    - breaches of safe system of work planning arrangements

- sharing performance data (i.e., percentage of re-planned work)

(During Planning Stages)

ii.   identifying whether the site of work forms part of a group of sites of work, and whether protection arrangements need to be coordinated

iii.   coordinating a team for the development of safe work plans ensuring it is adequately resourced for the activities to be controlled (ensuring every plan has the involvement of competent and capable Planner(s), PIC(s), Responsible Manager(s) and any other technical experts required)

iv.   ensuring that each Organisation responsible for an activity taking place in the site of work:
- cooperates in the planning, in order of identifying and controlling the risks arising from the interface between their activities
- understand the protection arrangements assigned
- can be made aware of any change during the planning process and any additional management responsibilities they may have in the event of change

v.   communicating/briefing the final plan before the date of execution to the person in charge of work (and the PC where applicable)

vi.   plans are formally verified and authorised in-line with the Infrastructure Manager's standard requirements

(During and after execution of the arrangements)

vii.   communicating/briefing the plan to those that are affected by it (such as those taking isolations and those working within a worksite protected by the plan)

viii.   checking the awareness of the arrangements by all affected by the plan

ix.   testing the effectiveness of the plan

x.   ensuring that each Organisation responsible for an activity taking place in the site of work cooperates in the delivery of work with others and it is done so in compliance with the plan

xi.   communicating the performance data from each plan provided.

b)   Evidence of:

i.   arrangements provided meet the PC and Infrastructure Managers requirements (where applicable); evidence of the PC and Infrastructure Managers requirements will need to be available at audit where it is applicable

ii.   the team assigned to the planning and delivery process is:
- adequately resourced for the activities
- comply with applicable standards
- have the necessary competence and capability for the complexity of the task/site

iii.   adequate coordination and communication of the requirements in section a) have been achieved, ensuring acknowledgement of the requirements by parties involved in the activity

iv.   site reports detailing:
- effectiveness/adequacy of the plans
- changes/ re-planning
- missed information
- cooperation of the requirements from parties involved in the activities.

5. Plant & Equipment

5.1. Management of Plant and Equipment

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

a) A process for:
   i. selecting, maintaining, and using equipment required for the delivering safe work planning services (i.e., Sentinel checking equipment, isolation/possession management equipment)
   ii. ensuring OTP is provided by a POS provider and under the control of the nominated POS representative identified during planning.

b) Evidence of:
   i. management control over safe systems of work planning equipment, ensuring:
      - where it is hired, that it is hired from an approved supplier and the equipment is fit for purpose before use
      - where it is owned by the supplier the equipment is being managed, maintained, and inspected, ensuring it is fit for purpose before use
   ii. where OTP is used, it has been supplied by an approved supplier and managed by a POS Representative.

6. Monitoring

6.1.   Continuous Review

Managers, Supervisors (including Responsible Managers) shall carry out informal and routine inspections to review the effectiveness of planning and task delivery through observation of staff at work. The arrangements shall include:

a) A process for:
   i.   informal and routine inspections, checking on:
       •   the effectiveness of the planning arrangements
       •   the task delivery
       •   unsafe behaviours, activities and/or conditions
       •   implementation of corrective actions
       •   coordination and cooperation of those involved in the activities
   ii.   corrective actions where issues/shortfalls are identified as part of the inspections
   iii. briefing of inspection result to the planning team (Planners, PIC and Responsible Manager when undertaken by another manager/supervisor)
   iv.   establishing key performance indicators to measure compliance with the requirements of safe work planning

   for suppliers providing planning only
   v.   obtaining feedback/report of the planning effectiveness from the organisation's manager/supervisor that uses the plans provided
   vi.   briefing the results to the relevant personnel to provide opportunities of improvement.

b) Evidence of:
   i.   inspection reports, ensuring it covers the requirements of 6.1.a) i
   ii.   corrective actions being generated and implemented (where applicable)
   iii. briefing of inspection results to the relevant persons
   iv.   generation and implementation of KPIs for safe work planning compliance

   for suppliers providing planning only
   v.   obtaining site reports on the effectiveness of plans provided
   vi.   briefing the results to the relevant personnel involved in safe work planning.

6.2.   Monitoring Safe (System of) Work Pack Compliance

6.2.1. Management System Monitoring

The supplier shall provide evidence that demonstrates the organisation has arrangements in place to monitor and measure the safe system of work management system. The arrangements shall include:

a) A process for:
   i.   reviewing the management of safe work planning activities which includes:
       •   monitoring the return of all SWPs that have been produced. Where a pack is not returned a record shall be kept and an investigation initiated to identify the reason for non-return
       •   maintaining a record of the number of SWPs issued and not implemented
       •   monitoring and maintaining a record of the level of work carried out under each level of the hierarchy of control for operational risk
       •   maintaining a record of all instances of SWPs being verified on the same shift as the work

- reviewing all SSoWPs that have been returned with highlighted errors/ amendments
- maintaining evidence of discussing errors found with the relevant person(s) (i.e., the Person in Charge or Planner)
- recording any actions taken to prevent re-occurrence of errors found
- reviewing a percentage of completed and implemented SWP in-line with the level set by the relevant Infrastructure Manager (e.g., Network Rail require at least 10% of completed and implemented SWPs; or review a minimum of 50 SWPs where an Organisation prepares more than 500 SWPs per period).

b) Evidence of:
  I. the Responsible Manager undertaking a review of the safe work planning management system and meeting the requirements set in section 6.2.1.a) i.

6.2.2. Reviews of implemented plans

The supplier shall provide evidence that demonstrates the organisation has arrangements in place to monitor the adequacy of the plans implemented. The arrangement shall include:

a) A process for:
  i. ensuring plans produced are:
     - accurate, appropriate and within the timescales
     - verified and authorised as required prior to implementation
     - completed accurately and all relevant fields filled in (including signatures)
     - implemented as planned and any changes made were authorised as required
     - corrected prior to re-issue of the SWP where errors/amendments have been identified by the person in charge.

b) Evidence of:
  i. Responsible Manager reviews, ensuring checks are made on the requirements set out in 6.2.2 a) i.
  ii. corrective actions taken where issues have been identified
  iii. the number of checks undertaken meet the Infrastructure Managers expectations as a minimum.